LES DEUX JEANNOT: AN INVESTIGATION OF FIRM BEHAVIOR IN CORRUPT ENVIRONMENTS

Howard Jean-Denis
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LES DEUX JEANNOT: AN INVESTIGATION OF FIRM BEHAVIOR IN CORRUPT ENvironments

A Dissertation Presented

by

HOWARD JEAN-DENIS

Submitted to the Graduate School of the University of Massachusetts Amherst in partial fulfillment of the requirements for the degree of

DOCTOR OF PHILOSOPHY

May 2022

Isenberg School of Management
LES DEUX JEANNOTs: AN INVESTIGATION OF FIRM BEHAVIOR IN CORRUPT ENVIRONMENTS

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by

Howard Jean-Denis

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DEDICATION

First, I would like to thank God for all the amazing ways he has blessed my family. I am dedicating this dissertation research project to my beloved family who has been a loving source of support. I was married the year before I began my doctoral journey and also fathered one child which expanded our group of children to a current total of three children. Family is extremely important and the source of motivation and pride for myself. My father Jeannot, who was one of my heroes has his name in the title and was in large part an inspiration in the original ideas. My mother, Solange, has provided tremendous support to me as well as my brothers Watson, and Greg and sister Lynn. I am dedicating this dissertation to all of my immediate family as well as my wonderful and supportive wife Alisha, as well as my three children Hayden, Yara, and Jayla. My children and wife are major inspirations for everything I do as I strive to help build a better world for them.
ACKNOWLEDGMENTS

I would like to acknowledge all of the amazing support I have received over the last several years. I am eternally grateful for my dissertation chair, Dr. Mzamo P. Mangaliso. Dr. Mangaliso has provided me with invaluable feedback and mentorship over my doctoral program. To the other members of my committee, Dr. Whitney Battle-Baptiste, Dr. Emily Heaphy, and Dr. Scott Monroe, thank you for all of your support and guidance. The PhD Project has also been a significant positive influence particularly my cohort mates and colleagues: Dr. Steven Day, Dr. Diane Lawong, Dr. Angelica Leigh, Dr. Alexander Lewis, Dr. Courtney Hart, Dr. Lyangela Guiterrez, Dr. Florencio Portercarro, Dr. Nick Mbanga, Dr. William Luse and Dr. Tianna Barnes. I appreciate the connections I was able to create through Louis Elneus in Haiti and Namhla Tshetu in South Africa. The faculty at UMASS and UCONN have been supportive as well including David Souder, Nefertiti Walker, George Milne, and Barbara Krauthamer. Finally, my close friends Benjamin Manyara, Lorenzo Bennett, Reuel Parks, Cyril Kakulu, Mike Childress, and Oleg Popovsky. I love and appreciate all of the support from my committee and loving support system. The responsibility for any weaknesses and errors in argument and presentation, however, remain solely mine and mine alone.
ABSTRACT

LES DEUX JEANNOTs: AN INVESTIGATION OF FIRM BEHAVIOR IN CORRUPT ENVIRONMENTS

May 2022

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Directed by: Professor Mzamo P. Mangaliso

Historically, members of the African Diaspora have endured the brunt of slavery, colonization, economic challenges, and corruption which was imposed on them by their colonial rulers. As a proud descendant of these original, indigenous African groups of people, I embarked on this dissertation to explore the role of the managerial perceptions and indigenous philosophies held by this focal group on their ultimate organizational strategy.

Strategic management research has established that organizations with valuable resources and relevant competencies, as well as those which are dynamically capable, will perform better than firms that do not have these capabilities (Barney, 1991; Teece, 1997, 2007). However, in some smaller, developing economies, these organizations also deal with corrupt governments, poverty, and the lingering effects of colonialism in their environments. Additionally, conducting business in these countries varies due to institutional differences and indigenous philosophies such as Ubuntu and Lakou that direct human behavior. Institutional and agency theories are the dominant perspectives to explain corruption, yet both fall short of accurately capturing firm behavior in the contexts of these countries. More theoretical development is needed to
understand how firms can compete and grow in these challenging environments, particularly due to the behavioral nature of managers (Cuervo-Cazurra, 2016).

This dissertation explores the relationships between dynamic capabilities, firm culture, and the strategies they choose to navigate corruption in developing economies. The aforementioned constructs are largely grounded in Western theories, and thus their assumptions were tested through novel hypotheses in these rich contexts. The two overarching research questions were: *If corruption is rampant in the external environment, then how can firms overcome these challenges to create a competitive advantage? In post-colonial emerging markets, how do managers make meaning of corruption?* Theory was built and tested through a mixed methods approach with semi-structured interviews, archival data, and quantitative surveys within Haitian and South African contexts.

*Keywords: Lakou, Dynamic Capabilities, Corruption, Humanistic culture, Ubuntu*
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CHAPTER 1

INTRODUCTION

1.1 Motivation and research question

“We are not a corrupt people; we became this way through external influences”

Haitian CEO, 2020

For decades, strategic management scholars have explored the factors potentially influencing organizational performance, concluding that industries and firms themselves both influence performance (Porter, 1980; Rumelt, 1991; Peteraf, 1993). The most significant aspects of strategic management include an understanding of certain external factors, such as environmental uncertainty and resource availability, and internal factors, such as company culture and dynamic capabilities (Teece, 1997, 2007; Eiesenhardt & Martin, 2000; Porter, 1981; Hannah & Freeman, 1978). Managers may perceive corruption as an environmental uncertainty and thus adapt it strategically. Pinto, Liana, and Pil (2008) define corruption as an individual or collective engagement in illegal or immoral transactions for self-benefit. Corruption benefits the participants while producing adverse effects on multiple actors, such as reputational concerns, decreased trust, reduced investment, and income inequalities (Mauro, 1996). The idea that corruption is a relevant determinant of organizational outcomes has been explored theoretically and empirically. Evidence has shown a lack of consensus on the implications of corruption on firms themselves (Rodriguez, Uhlenbreck, & Eden, 2005; Mauro, 1996; Spencer & Gomez, 2012).

Corrupt behavior is salient globally, with the highest prevalence being in countries with high poverty rates, bad governance, and institutional voids (Hsieh & Olken, 2014). Firm
corruption has persisted in emerging and developing markets globally for centuries due to the negative effects of colonial, economic, political, and sociological influences (Kempe, 2017; Spencer & Gomez, 2012). Mauro (1995) has argued that corruption slows down firm growth, with most corruption researchers conceding the aforementioned negative effects. Additionally, the average per capita income of most corrupt countries, such as Haiti, is only $5,100, suggesting severe resource constraints and vulnerability to unscrupulous competitors (Bai et al., 2017). This tenuous situation places firms that do not counteract local corruption in emerging and developing markets in a precarious position. The environmental factors which lead to corruption vary in different contexts. When institutional voids exist, the ramifications are performance advantages for the organizations complicit in this behavior.

Nevertheless, an exciting dynamic for theorists and practitioners in this context is that successful firms exist in emerging markets amidst pervasive corruption. Despite these success stories, firms are still striving to compete; thus, an understanding is sought on how managers in these emerging market contexts perceive the corruption phenomenon through their lived experiences. In order to investigate further how these perceptions influence managerial behavior and competition, meaning-making is explored in this study and related to management strategy through the following two research questions (RQ). (RQ1) If corruption is rampant in the external environment, then how can firms overcome these challenges to create a competitive advantage? (RQ2) In post-colonial emerging markets, how do managers make meaning of corruption? This dissertation sought to investigate the perceptions of and outcomes for firms with an internal culture capable of combatting corruption while illuminating relevant conditions within this context.
The Strategic Management Society was formed in the 1980s, although the preceding decades included advancements by seminal research exploring various theories of firm (Coase, 1937; Penrose, 1958; Porter, 1980; Wernerfelt, 1984). In these earlier decades of management research, researchers of scholarly meaning evolved from an overarching belief that the external environment primarily influences performance with a focus on firms’ actions. The logic is that although “firm” and “environment” exist simultaneously, selecting an environment to compete in will lead to opportunities, challenges, and constraints that exist accordingly (Bain, 1951; Mason, 1939).

More recently, contemporary resource- and capability-based theories have been primarily influenced by a combination of industry choice and managerial decision-making, acting as predictors of performance (Peteraf, 1993; Teece, 2007). These capability-based theories refuted the notion that owning a resource was sufficient and attributed the acquisition of competitive advantage to identifying a process-oriented firm capability. This study contributes to the recent strategic management discourse by focusing on dynamic capabilities, corruption, and culture and their influence on firm strategy. It examines this intersection within firm-level strategies, integrating the consequences of operating in two developing countries, namely, Haiti and South Africa.

1.2 Corruption and dynamic capabilities

Firms in developing countries face significant external pressures to participate in corruption. Managers must make a strategic choice to conform to the norms or violate them (Beets, 2005; Spencer & Gomez, 2012). Corrupt behavior in practice materializes in bribery, kickbacks, influence peddling, and collusion to exploit opportunities (Spencer & Gomez, 2012). The act of corruption reflects rational self-interested behavior where agents are misusing their
authority to allocate potential resources to themselves and others (Misangyi, Weaver, & Elms, 2008). Institutional theory holds that coercion imposed by government officials to take bribes puts pressure on firms working with the government to inevitably comply to survive, obtain resources, and remain legitimate (Dimaggio & Powell, 1983; Miller & Chen, 2005). The tension in these developing countries is how managers manage these pressures and develop a poised culture to overcome or become institutionalized by sociological influences. Firms with strong dynamic capabilities in alliance formation and product development are often uniquely positioned to avoid corruption if their business models reduce the need for external government support.

Additionally, a firm with an internal culture that promotes ethical and prosocial behavior can inspire its employees to practice socially responsible actions. Accordingly, this study looks to specify a type of firm capability that might prevent the need for employees and stakeholders to engage in corruption. In Spencer and Gomez’s (2012) study, certain multinational firms operating in Ghana implemented such cultural controls that enabled them to resist corruption. This study fills a relatively unexplored area in the corruption literature to explain how firms can navigate corrupt environments and create a competitive advantage.

1.3 Firm culture and dynamic capabilities

In his seminal work on culture, Hofstede (1980) developed multiple dimensions that distinguish the aspects of human behavior across the world. From an organizational perspective, Hofstede (1980) examined social psychological theory on how humans inevitably behave in specific patterns due to cultural influences. He stated that employees are partially directed by their mental programming and the external forces that stimulate them. One of the foundational aspects of human behavior research in organizations considers the argument that individual
personalities may be consistent until a situation externally influences an employee (Fleeson, 2004). At a collective level, human behavior is where culture exists primarily through norms, rules, values, and beliefs. A belief in universal values exhibited through collective behavior can significantly explain subjects’ actions (Durkheim, 1895; Hofstede, 1980). Human behavioral intentions originate from either universal or individual (physiological) needs or those influenced by the collective. Collective belief holds that human beings reside within and, ultimately, may desire their individual behavior to be consistent with the values of the collective. Thus, Hofstede concluded that the mental programming of humans is the origin of their eventual decision-making behavior in the workplace.

For an organization’s culture to become an asset, it must help execute the firm’s strategies by increasing workforce productivity, efficiency, and routines. Firm culture is conceptualized as a belief system of a competitive, cooperative, and controlling nature that directs behavior among the actors within a firm (Cameron & Quinn, 1999). For firm culture to influence organizational outcomes, it must provide benefits, such as increased sales and margins and workforce productivity (Barney, 1986). Scholars define dynamic capabilities as a set of specific and identifiable processes and routines, such as product development and alliancing, directed at matching or creating market changes and value creation through resource reconfiguration (Eisenhardt & Martin, 2000; Teece, 1997). One of the critical assumptions developed within the literature is that these processes are complex, causally ambiguous, and difficult to replicate (Barney, 1986, 1991; Conner & Prahalad, 1996; Teece, 1997).
1.4 Researcher positionality

In this writer’s view, one can acquire knowledge of theoretical constructs in a firm through direct engagement with human respondents and acquired empirical data on organizational outcomes. The qualitative component of this research is conducted through phenomenology to understand the participants’ perspectives of their lived experiences in corrupt environments. As a member of the African diaspora with ancestral lineage in one of the study’s geographic locations, the writer held an emic approach to research. Pike (1967) and Harris (1964) initially defined the emic and etic methods as alternate techniques to observe phenomena. The emic approach examines the cultural, political, and economic causes of the phenomena from the perspective of the insider, whereas the etic approach studies behavior as an outsider (Harris, 1964). The discourse on culture is vast and constitutes national, organizational, team, and indigenous cultures, which are particularly important for emerging markets. Indigenous culture refers to the belief system of the original people in a specific country. Ubuntu is the most referenced indigenous communal philosophy when describing the African diaspora members and their predisposition to humanistic communal behavior (Mbigi, 1996; Ngambi, 2004). Dynamic capabilities are helpful when they can assist the firm in strategic positioning aligned with its rapidly changing environment. Few empirical studies on Ubuntu exist that test established models, with certain exceptions (Chisale, 2018; & Nansunbuga, Muneen, 2019).

1.5 Empirical setting

Haiti and South Africa were selected because they have been frequently cited for incidences of corruption in the private and public sectors (Transparency International, 2018). Haiti is a developing country ranked as the poorest in the West. In contrast, South Africa is an emerging-market nation with one of the strongest economies in Africa, though beleaguered by
corruption. The countries were contrasted by observing any varying effects between Anglophone and Francophone histories of control and economic development. Chapter 2 discusses humanistic philosophies, namely, *Ubuntu* in South Africa and *Lakou* in Haiti. A humanistic philosophy is a system of thought which describes humanism as a theoretically constructed belief that human beings should place value. The objective was to collect data from organizations in South Africa and Haiti.

Haiti is a country that consists of the smaller one-third of the island of Hispaniola in the Caribbean, with approximately 11 million people (Desir, 2012). Despite a fascinating and proud history, it has been impacted negatively by poor governance, international isolation, natural disasters, and a lingering colonial history (Dubois, 2012). Haiti’s existing industries include retail, financial services, hospitality, energy, manufacturing, and professional services, albeit a small economy. Haiti obtained its independence in 1804 in the only successful slave rebellion in world history when they defeated the French and informed the world of their capabilities. Nevertheless, the French forced the Haitians to pay a significant financial debt to recover the lost revenue from their “former human property.” The considerably high capital outflow of the country to fulfill this financial burden to the French has historically decimated the economy. Transparency International (2019) ranked Haiti as one of the most corrupt countries in the world. Additionally, among 180 countries ranked globally, Transparency International (2019) has ranked Haiti 168th, whereas South Africa was ranked at 70th place.

The title of this dissertation begins with the phrase “Les Deux Jeannots” It symbolizes the varying types of managers representing humanizing and dehumanizing philosophies. “Les Deux Jeannots” translates from Haitian/French Kreyol as “the two jeannots” and represents a typology. Jeannot was the first name of the author’s beloved father and represents the humanistic manager. In Haitian historical literature, Jeannot was also the name of one of the first revolutionaries who
overthrew the French and was depicted as notoriously brutal to other humans. Thus, in this typology, these two types of managers, with and without humanistic tendencies, respectively, will be contrasted in the chapter five’s discussion. Due to the institutional voids in Haiti as a developing nation and the relative absence of Haitian studies in management, this setting is an intriguing context for firm data collection from primary and secondary sources. Data were collected from Haitian government agencies and local entrepreneurs with solid connections. Contacts were made at the Haitian Ministry of Commerce and one of the local chambers of commerce in Port-au-Prince, La Gonave.

Regarding South Africa, data on publicly listed, large corporations headquartered in this country were collected from the Johannesburg Stock Exchange public database. A similar study on corruption was conducted in South Africa. Thus, specific websites, documents, and contact information to be procured from South African firms were accessed and gathered. To capture the latent factors of corruption and culture, factor and path analyses in structural equation modeling were utilized for the quantitative data.

Connections were utilized with a contact based in Port-Au-Prince, Haiti, who helps locals navigate business networks. Due to the pandemic situation in January 2021, three months of research were completed virtually, conducting interviews with managers, document analysis, and environmental observations. Each organization included in the study must have been operational for at least 5 years before participation. A Qualtrics survey was utilized to engage managers in the topic of corruption confidentially. Qualitative inquiry through interviews and focus groups enabled the study to answer RQ2 on the “meaning-making of corruption,” whereas three hypotheses will be proposed for RQ1 “strategy amidst corruption” were addressed through statistical analysis of the survey data. Appendix 1 below presents examples of interview
questions from the protocol. The protocol was designed to capture the constructs of culture, corruption, performance, and capabilities.

***************

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1.6 Contribution of the study

This study makes two contributions to the academic literature. The proposed contributions were sought through several approaches. First, the study theoretically explores corruption through managerial perceptions, experiences, behavior, and motivations. Second, this study developed a theoretical framework that explains how firms utilize their internal humanistic culture to address local corruption while seeking improved performance. The extant literature suggests that corruption has adverse effects on foreign direct investment and local economic growth but does not indicate how local firms can overcome these effects in developing market contexts (Spencer & Gomez, 2012). Accordingly, this study addresses this significant gap in the literature, namely, the process of how firms can contextually overcome pervasive corruption. Hypotheses were developed establishing the linkages between firm capabilities and increased performance and expressing that the conditions of culture and corruption moderate firm behavior. Thus, this study sought to contribute to the literature on firm capabilities, corruption, and culture and develop a new theoretical construct called “Lakou business management.”
Lakou can be described as a place (direct translation: courtyard) where Haitian people philosophically develop a communal culture in which they work together with others on the island. To describe the embodiment of this type of culture, the local form of humanism was identified and developed conceptually in Haiti (Lakou was conceptualized in focus groups and discussed in Kreyol and English). Alvarez and Barney (2005, 2007) theorize the academic concept of cooperative governance as an approach to organizing an effective means toward executive fiat under uncertain conditions. Empirical work for creating value for organizations has shown that capabilities create value for organizations, which is crucial to firms’ market performance (Mahoney & Pandian, 1992; Peteraf, 1993). In recent empirical studies, researchers have explored the effects of dynamic capabilities on performance in varying contexts and found that specific capabilities are directly linked to performance, mainly when infrastructure and resources are present (e.g., Jantunen et al., 2005; Wamba et al., 2017).

Although education and sociology scholars have discussed the theoretical construct of Lakou, it is relatively absent in the management literature (Desir, 2012). In part, this study addresses this gap through a literature review, construct development, and hypothesis testing. Accordingly, a novel theory was built on how firms utilize their capabilities and internal culture to achieve performance goals when faced with environmental uncertainty. This study builds on behavioral theory, which utilizes a framework of decision-making that integrates institutional and agency perspectives (Argotte & Greve, 2007; Powell, Lovallo, & Fox, 2011). The concepts of institutions, dynamic capabilities, and cultural aspects were integrated to posit nuance in the behavioral theory space.

This study investigates organizational processes (dynamic capabilities), behavior (culture), and strategies in the face of corruption. The organizational outcome of interest is the
consequences of these factors on ultimate firm performance. Foundational models within strategic management assumed that self-interested, utility-maximizing managers led firms until behavioral perspectives suggested boundedly rational managers were more common (Cyert & March, 1963; March & Simon, 1958). The intention is to challenge the assumptions of inherently self-interested managers in the management literature and argue that variance exists in levels of managerial interests across contexts. Few studies in the management literature apply management theory derived from the African diaspora, as opposed to theory derived from industrialized, Western countries. The result is that managers’ portrayals in contexts such as South Africa and Haiti are monolithic, lacking the richness of detail that managers of African descent possess (Mangaliso et al., 2018). Studies in the strategic management literature on business activities in small developing markets, such as Haiti, are limited. Thus, this study aims to address this gap.

1.7 Limitations

This study has several limitations, including budgetary constraints, cultural limitations, and theoretical concerns. First, primary data were difficult to access via interviews and surveys with executives due to secrecy in executive decision-making. Thus, proxies of CEO participation were included, such as senior-level executives. These executives work alongside the top-level management and are aware of their decision-making processes. Second, the corruption construct is notoriously difficult to observe due to participants’ resistance to self-incrimination (Spencer & Gomez, 2012). Respondents were assured of confidentiality and anonymity in the survey that utilized scenario-based questions. Where necessary, secondary data from Transparency International (TI, 2008) were applied and financial resources from personal capital were utilized, significantly restricting the writer’s overall budget.
The COVID-19 pandemic, which broke out in 2019, was a global health crisis that affected all industries as humans everywhere in the world were shut down due to the contagion of the sickness. The pandemic began in the same timeframe as this dissertation, and prohibited travel due to quarantine restrictions as it poses the risk of infection. Thus, the travel component for data collection in this study was derailed. Travel restrictions on global destinations were imposed, requiring individuals to quarantine for 14 days after arrival in a new country. As a result, interviews, focus groups, and surveys were conducted remotely. Virtual communication was employed through email, web conferencing, and remote survey participation. This approach limited the amount of first-hand knowledge collected due to the remote nature of the qualitative research.

1.8 Structure of the dissertation

This dissertation includes five chapters structured as follows. Chapter 1 presents the introduction. Chapter 2 provides a systematic review of the literature concluding with theoretical development and hypotheses. Chapter 3 presents the methodology that guides the research design. Chapter 4 discusses the analysis of the results and findings. Finally, Chapter 5 concludes the dissertation with implications for management theory and practice.
CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

This chapter serves as a review of the extant literature on culture, corruption, dynamic capabilities, institutional voids, and firm performance. Each section defines the theoretical construct and then explores the relevant research in the area pertinent to this study. A conceptual framework is then developed to connect the constructs. The literature review also surveys the institutional forces which influence corrupt behavior, namely colonial impacts and regulations (e.g., French, Dutch, and British). The review seeks to find linkages between the incidence of pro-social and corrupt behavior and the organizational outcomes which firms realize through these actions. After discourse on the extant literature and hypothesizing, empirical tests are discussed in the subsequent chapter.

The literature review begins by discussing firm culture as an internal characteristic of the organization. As mentioned in chapter 1, four constructs are utilized to develop a theoretical model of firm behavior within these phenomena. The main effect of the model is that dynamic capabilities have a relationship with firm performance. This relationship has been well established in strategic management (Teece, 1997, 2007). However, most studies conceptualize resources and capabilities from a Western perspective (Wernerfelt, 1984; Barney, 1991; Teece, 1997, 2007). This dissertation proposes that there are intervening constructs in the main relationship and conceptualizes them as moderators. The two moderators in the theoretical model predict that organizational culture and local corruption are conditions also present in
understanding organizational outcomes. Ultimately, the literature review is developed to understand the linkages between constructs and how the framework can be utilized to predict firm outcomes in emerging and developing markets. Figure 1 represents a theoretical model of four constructs, namely dynamic capabilities, corruption, culture, and performance.

2.2 Firm culture

Culture can be defined as a group characteristic constituting the accumulated learning, assumptions, and human behavior exhibited because of their shared beliefs (Schein, 1990). According to Schein (1985), culture is a foundational concept to most organizations and can be interpreted as existing on multiple levels in firms. Meanwhile, according to Hofstede (1980), culture is collective programming that characterizes value systems originating in the family and is influenced by external forces throughout one's life. Culture can be observed through the assumptions that humans make about their environment, the values they perceive, and artifacts of their behavior in the organization. Human beings make assumptions about their environment, namely the places they work, such as whether engaging in a team project as prosocial behavior will manifest the expectations that others will reciprocate (O'Reilly, Chatman, 1986; Simpson, Willer, 2008; Tsai, 2011). Researchers have discovered that culture can be measured by the level of agreement of values across an organization. Individuals seek out organizations with which they identify and expect reciprocity for their prosocial behavior (O'Reilly, Chatman, 1986; O'Reilly, Chatman, Caldwell, 1991).
The values that organizations possess are higher-level symbols transferred through social interaction, including respect, cooperation, honesty, humility, and competitiveness. The artifacts that Schein (1983) describes are the visible instances of culture, such as language, rituals, ceremonies, routines, and processes. Hofstede (1980) distilled culture from an individual to a national level, yet Schein (1983) believed that culture could be manifested in a group, department, community, organizational, and national level. In turn, leadership is distinguished from a culture in the management literature as leadership conveys values from one member of the group to another. In contrast, culture demonstrates values through behavior (House et al., 2004).

Culture is communicated through the channels of language, decision making, and prescribed routines management mandates to persuade colleagues to act in accordance with the shared understanding of the group. Espoused values are the values that organizations officially announce (Deal & Kennedy, 1999) through their standard operating procedures and face-to-face conversations within the firm. In the management literature, researchers have learned that culture can be acquired through socialization. New entrants to a firm fulfill their roles and connect with leaders through these standard operating procedures (House et al., 2004). Leaders may articulate the philosophies they wish colleagues to uphold in speeches, ceremonies, and training, which may be confidential and proprietary. In contrast to cooperation assumptions, a firm environment may be cynical, combative, or engendered to competition, which may incite adversarial behavior. As humans observe moral cynicism or competitive behavior from their colleagues, it may evoke the response to emulate or reject the status quo.

Pettigrew (1977) and Hofstede (1981) believed that organizational units, from families to business organizations, have a history crafted by the founders. This history constrains the
organizational behavior of the future members who become part of the organization subsequently. Pettigrew (1977) explains in his works that culture is disseminated through language, rituals, and evoked by humans as they follow the entrepreneur (leader). Commitment to the organization's goals comes when humans connect with the leader's goals due to value orientation. When an individual is said to exemplify a value, it can be interpreted that the individual believes that a particular action or conduct is preferred socially or individually than a different action or mode of conduct (Rokeach, 1968). Every human is assumed to have several values that they hold as important and influential to their existence and subsequent behavior. The collection of values makes decision making more complicated because of the variety of values, the intensity and direction of the desire to fulfill them, and the perceived consequence of one's actions.

2.3 The role of culture in navigating environmental issues

Human behavior is influenced by multiple factors, including organizational goals, dominant coalitions within the firm, and environmental stimuli. The behavioral theory states that management sets the tone through directing attention to firm objectives. The behavioral theory of the firm, which Simon (1958) pioneered, and Cyert & March (1963) extended, centers the dominant coalition's role in manipulating actors' decision-making within the organization. The dominant coalition is a group of influential individuals within any organization that advocates for specific goals. Setting these goals by the dominant coalition inevitably constrains resources from certain activities and places it in the hands of separate actions that fulfill these influential players (Norburn & Birley, 1988). Hofstede (1978) has discussed how reward systems and work evaluations can steer behavior towards compliance with dominant coalitions and reward individuals with similar value systems. This dominant coalition may utilize reward systems to
incentivize corrupt behavior by offering rewards to colleagues who can achieve the goal they set internally.

Hofstede developed a total of six cultural dimensions (Hofstede, 1980, 1991). His initial four cultural dimensions included uncertainty avoidance, femininity-masculinity, individualism-collectivism, and power distance. House, Javidan, Hange & Doorman (2002) suggested that all humans have values, and these values indicate their preferred outcomes in various situations. This logic of assumptions, cultural values, and behavior is consistent with Hofstede's beliefs on how behavior manifests in organizations (Hofstede, 1980). Collectivism is the extent to which organizational and societal institutional practices influence and reward a shared collective distribution of resources and collective action. Uncertainty avoidance refers to the degree to which individuals feel comfort with ambiguity or uncertainty.

Masculinity represents a desire for achievement, versus femininity, which has been argued to represent a desire for cooperation, modesty, and caring for those who need support. Individuals exhibiting masculinity and low uncertainty avoidance would be more prone to corrupt behavior, whereas feminine or high uncertainty avoidance humans would be averse to this high-risk behavior. Power distance refers to the perception of disparity between the individual's power and others on a higher level. According to Seleim & Bothis (2009), some of these cultural dimensions may influence corruption, which is consistent with this dissertation's arguments. For instance, their research suggests that high human orientation societies encourage caring, compassion, sympathy, and personal relations, which indicates that corrupt behavior might be relatively scarce compared to low human orientation societies. Low human orientation societies are argued to contain more individuals who would typically take advantage of others for
personal benefits (Hofstede, 1981). According to the global results and the national orientation research on culture, several dimensions may relate to culture and corruption incidence.

Future (or long term) orientation is Hofstede's fifth dimension and indulgence versus restraint is the final dimension. Long term orientation is defined as the extent to which humans engage in long term behaviors such as delaying gratification, planning, and investing in the future (Hofstede, 2011). Humans with high future orientation, lower power distance, and institutional collectivism are less likely to be involved in corruption as those with flat future orientation, high power distance, and individual orientation. According to the Tuliao & Chen (2017) article exploring the role of culture, CEO demographics, and corruption relationships, the empirical study's results were mixed. High institutional collectivism was found to positively moderate the relationship between gender and the propensity to engage in corrupt behavior. Additionally, male CEOs were more likely to engage in bribery due to the belief that the average woman is more sensitive to ethical issues and is less likely than their counterparts to be involved in illegal activity. In contrast, the average man is less sensitive, and this assertiveness with others to achieve more autonomy in decision making could lead to their corruption being undetected.
2.4 Ubuntu as a cooperative management philosophy

The concept of Ubuntu denotes the philosophy that governs the character of the people in sub-Saharan African countries (Mangaliso, 2001). To embody Ubuntu means “being human,” which is an ideal characteristic for someone to possess (Mangaliso, Mangaliso, Ndanga, & Jean-Denis, 2021; Mangaliso, Mangaliso, Knipes, Jean-Denis, & Ndanga, 2018). The philosophy of Ubuntu is best captured in the isiXhosa aphorism which states 'Umntu ngumntu ngabany' abantu' This translates to, "A human being is a human being through other human beings" (Mangaliso et. al, 2021). This philosophical approach towards others’ existence and management suggests that individuals must preserve their colleagues' human dignity. Ubuntu is like other collectivist approaches but is distinguished due to the spiritual aspects. When management believes in ideological views such as Ubuntu or Lakou, they can instill these beliefs into their colleagues by developing a supportive culture.

In this dissertation, the Ubuntu and Lakou philosophies are conceptualized as components of organizational cultures that symbolize humanistic behavior. Ubuntu has been utilized as a framework for several social science areas, including management studies (Khoza, 2006; Ngambi, 2004) and theology (Mbiti, 1969; Mnyaka & Motlhabi, 2005). Ubuntu places a premium on human dignity by continually seeking to preserve harmony and respect for stakeholders. As managers and leaders engage with firm initiatives, their lenses for projects will build on interdependencies, promote spiritual and caring approaches to communication, and avoid unnecessary human suffering (Ngunjiri, 2016; Mbigi, 1996). Managers faced with human suffering through marginalized communities, corrupt partners, or related institutional factors will seek to build consensus in their decision making (Karsten & Illa, 2005; Mbigi, 1996). The underlying belief of how one achieves this Ubuntu ideal is by placing others' needs before their
own, which starts even with a daily greeting. In the local Shona language, humans greet each other with the phrase Makadini (How are you)? The prefix maka always takes the plural form to symbolize how the group feels most important. This theme persists in personal and professional relationships in the organization. Ubuntu has been practiced within African contexts for many centuries before colonization. Ubuntu is believed to have been first written in texts between 1846 and 1850. These initial accounts described the concept as 'human nature,' 'good disposition,' or 'goodness of nature' (Colenso, 1860, 1859). Past reconciliation has uplifted Ubuntu as a guiding principle for society and relations with foreigners in Africa.

These humanistic behaviors stem from a spiritual perspective and are enacted through cooperative human behavior within the firm. Culture is the human mind's collective programming that can distinguish one group's behavior from another group (Hofstede, 1980). Although Ubuntu is widely considered a philosophical perspective, it can be institutionalized as a cultural artifact if leaders and colleagues exhibit these characteristics. Culture has been studied extensively in management literature as an organizational characteristic that directs human behavior (Lanier, Kirchner, 2018; Ogbonna, Harris, 2000; Smircich & Calas, 1987; O'Reilly, Chatman, & Caldwell, 1991). Therefore, if an organization promotes interdependence, humility, and consensus-building as expectations within their value systems, it will generate a humanistic culture. These value systems are socially, economically, and geographically transferred through language, symbols, rituals, incentives, and organizational mandates. As part of Hofstede's work, several dimensions of culture were developed (Hofstede, 1980). These dimensions, such as the dimension representing ‘collectivism’ represent a group characteristic which is symbolic of Eastern and African cultures.
Management practices should be aligned with the social ideologies of the communities in which they operate particularly for firms within the African Diaspora (Mangaliso et. al, 2018). In this dissertation, all the managers studied belong to countries that are part of the African diaspora. According to Hofstede (1980), there are differences between Western and African cultures in that Western cultures tend to be more individualistic and competitive. In contrast, African cultures tend to be collectivistic and cooperative. These cultural values are essential for managers to understand and remember in carrying out their responsibilities. These values are integrated with managers' decision-making processes and can affect choices such as export strategy, internationalization, and market entry (Jean-Denis, 2018). Ubuntu philosophy places a higher value explicitly on the human participants in an organization, believing that placing people first will ultimately benefit a firm (Tutu, 1999; Mangaliso et al. 2018; Lutz, 2009).

Both Ubuntu and Lakou's philosophies are specific and enduring to the geographic locations in which this dissertation research is based: South Africa and Haiti, respectively. The collectivist orientation that exists in some eastern cultures e.g. China, and South Africa also exists in organizations originating within the African diaspora (Triandis & Singelis, 1998). The value systems that are compared in this systematic review have family and ethnic group origins from the ancient civilizations in these nations. These concepts symbolize a spiritual perspective towards human behavior, which places the community's welfare above the individual.

### 2.5 Spirituality in humanistic culture

According to Ngunjiri (2016), spirituality permeates through leadership praxis and management approaches for many leaders within the African diaspora. Spirituality is an essential
value within the African diaspora's sociocultural dynamic and is a common theme linking the Ubuntu to the *Lakou* management approach. Bangura (2005) argued that Ubuntu served as the spiritual foundation of nearly all African societies. Spirituality can be defined as a state, an attitude, or an attribute that one can develop (Neal, 2013). Integrating spirituality into the workplace requires instilling a culture of service to others, the community, or divine power that one may believe in (Neal, 2000). Ubuntu has been decidedly religious and focused on character formation as the cornerstone of traditional African learning taught through African traditional education (Fafunwa, 1974). This character formation is intertwined between the value systems held by indigenous Africans, which places the community's well-being above their welfare. In several African families, spirituality has played a vital role in society and uniting the ancestors with the living and the extended family (Mbiti, 1969).

Spirituality is conceived as the belief and subsequent relationship with a deity in contrast to a religion, which is conceived as a formal system of practices an individual or group can follow to remain in good standing with that deity. This distinction is essential because religions such as Christianity and Islam have been utilized to influence African people under the guise of helping them for centuries. Colonization came with the enduring belief of "terra nullius," which means that nothing existed in Africa before the arrival of whites and Arabs. This "terra nullius" thought process legitimized the act of evangelizing African people, although spirituality was present in Africa well before foreigners arrived (Tagweiri, 2017). Tagweiri argued that Western authors avoided promoting African spirituality due to this terra nullius concept even though historians established a distinct belief system unique to the continent.

Totems, ancestral spirits, and healers are common themes emblematic of African spirituality (Luyaluka, 2018). Ubuntu and *Lakou* philosophically have these themes in common
and musical renditions of the ethnic group desire to return to traditions in postcolonial times. The principles of African traditional religion have been Sumer, ancient Egypt, and Bukôngo (Luyaluka, 2018). The healers, priests, and chiefs within the sociological systems were ordained with this community's authority based on a belief that Africans could rule themselves like any other culture. Return to this time of self-regulation has been promoted by leaders such as former president Thabo Mbeki of South Africa, who spoke of an African renaissance. The African renaissance suggested by Mbeki is that Africa will one day have a cultural, economic, and spiritual renewal. Several initiatives have been launched in the private and public sectors in many African countries to coincide with the return to majority black rule.

Sesanti (2016) suggested that philosophically, the African renaissance coincides with the cultural and spiritual uprising among young people across the continent. In pre-colonial times Africans were inventors, mathematicians, scientists, and leaders, and this renaissance was designed to reclaim their space spiritually and culturally. Within South Africa, the African renaissance movement was inspiring, but was relatively domestic, as the ex-president did not partner sufficiently with leaders of different countries. Young people cognizant of colonialism's artifacts, such as statues of the white military conqueror Louis Botha and lingering inequalities, have protested the lack of progress. Corruption within the prominent institutions and the mistreatment of indigenous Africans is diametrically opposed to Ubuntu's indigenous values (Luyaluka, 2018).

Within African societies, a bond exists between human beings, the ancestors, and the supreme being through which all life flows. This supreme being ultimately guides the performance of the organization (Sesanti, 2018). Consensus building, dialogue, and the spirituality of humans play an important role in the promotion of collaboration in organizations
(Mangaliso et. al, 2021). However, further empirical research is needed to link these factors to performance outcomes (Nafukho, 2006). Ubuntu has been utilized to build consensus by promoting that individuals place the group's needs above their own needs and demonstrate devout reliance on the collective to achieve goals (Mangaliso et al., 2018). In Kenya, team-centered organizations are known as Sindikiza (pushing each other) groups. These communal groups could be referred to as capitalism with utu (humanness). One has to pay membership and monthly contribution fees to remain active and benefit from the groups (Nafukho, 2006).

Harnessing Ubuntu calls on a spirit of moral, emotional, and supportive building of the organization as an extension of interdependencies within African society.

The conceptualization of the spiritual dimension defined within the context of Ubuntu philosophy has varying names based on the country's location on the African continent (e.g., Biakoye in Ghana) or externally within the African diaspora (Lakou in Haiti). Within work settings in South Africa, the song Shosholoza is often sung to inspire the participants in celebration of the successful completion of a challenging job or project (Mangaliso et al., 2021; Mututa, 2019). Shosholoza symbolizes a rhythmic pattern of working cohesively and mirrors the spiritual hymns which have been sung in the Caribbean and other countries with higher concentrations of African descent. Varying conceptualizations of humanistic behavior were explored in South Africa and Haiti, respectively.

### 2.6 Ubuntu in practice

There is an ambiguity about how widespread humanistic management is practiced in the African diaspora due to managers' education and socialization. This contradiction arises because
Western culture emphasizes the maximization of shareholder value as imperative and at the expense of human well-being (Adeleye, Luiz, Muthuri, & Amaeshi, 2020). This emphasis on shareholder value maximization can lead to unethical behavior within the ranks of management. When managers are educated on management theories that might conflict with their indigenous African values, it is challenging to maintain the organization (Mangaliso et al., 2018). Additionally, competing against firms with a capitalistic agenda can induce managers to believe they need to engage in shareholder maximization for shareholders to survive. The academic discourse aimed at developing new theories on organizations operating within the African diaspora has recently explored the Ubuntu philosophy's relevance and justification as a pathway (Adeleye et al., 2020). The lingering remnants of colonial rule and its role in amplifying poverty, corruption, violence, and corruption are at odds with these cultural values (Kempe, 2017).

Despite the persistence of challenging conditions within the African diaspora, the philosophers Hoffman and Metz (2017) have theorized whether the literature on human capabilities could learn from Ubuntu's humanistic logic. Although some African countries, and countries primarily populated by descendants of Africans have achieved modest levels of human potential, the modern corporation and globalization may be able to change that in the coming decades. Within strategic management, dynamic capabilities are among the dominant logics of how firms operate in changing environments (Teece, 2017). Researchers have investigated the relationship between firm ethical culture, dynamic capabilities, and corruption within these emerging markets (Agyei & Mensah, 2017).

2.7 Related humanistic ideologies within the African diaspora

The Ubuntu philosophy's essence is that individuals can attain truly great outcomes for their own lives by promoting others' good. This cultural characteristic is similar across Africa
and throughout the global African diaspora despite the rich diversity between countries. Mangaliso (2001) suggests the Ubuntu philosophy can be harnessed by organizations to obtain competitive advantage within the business world. This philosophical explanation of how to attain this advantage is explained by placing employees' welfare paramount through creating a communal environment. The implementation of this management approach can be achieved if the organization can embody the core values of respect, honor, humility, honesty, and commitment. Table 1 depicts the varying manifestations of humanistic ideologies, discussed in the preceding literature review, and the African diaspora in the selected African countries.

Nevertheless, there has been disagreement about how Ubuntu inspired management occurs in practice (Naude, 2019). According to Naude, Ubuntu may serve as a management practice and a path to decolonize Western knowledge from indigenous thought systems. Ubuntu has been conceptualized in similar ways in different countries within the African Diaspora, including Haiti and Martinique. Each of these humanistic philosophies contains the premise of connecting a society of human beings through cooperative behavior that places collective needs over individual needs. Due to the varying geographic locations where these humanistic ideologies originate, the names are in varying dialects. Moreover, Ubuntu's diverse conceptualizations are linked by their capabilities to speak to liberation, spirituality, and unity, namely the Haitian Lakou philosophy.
2.8 Perspectives on Ubuntu research

There are several authors active in Ubuntu research with a collection of them being cited in these works. According to one of the most influential writers in Ubuntu from a management perspective Mzamo P. Mangaliso, organizations are best managed when a sense of caring, compassion, and community found in Ubuntu permeates their culture. This caring style is carried out through activities such as willingness to negotiate, honoring self-expression, honoring elders (particularly in leadership positions), and recognition of the belief system of indigenous peoples (Mangaliso, 2001). The basic element that embodies Ubuntu is humanism and that each individual is not alone in their existence. The implications of the key perspective of Ubuntu extend into a symbiotic relationship where humans interrelate with their environment, with other humans, and with the Supreme being (Weir, Mangaliso, & Mangaliso, 2010). This perspective is in stark contrast to some of the Western, capitalistic approaches to managers, which center wealth maximization and prioritization of the firm over others within the environment. With this in mind, Ubuntu extends a stakeholder approach towards management, with acknowledgement of internal and external actors to a larger degree than other perspectives.

Ubuntu has several manifestations and conceptualizations of the focal elements of the philosophy. Depending on the scholar covering Ubuntu, however, the interdependent nature of the construct will be highlighted which is created when organizations practice humanism. Some of the core elements according to (Weir, Mangaliso & Mangaliso, 2010) are dialogues amongst stakeholders, Reciprocity within relationships, and indigenous traditions which are practiced in actual Ubuntu ceremonies. uNkulunkulu and uQamata are two terms to describe the Supreme being, which is one of the central beliefs within the Ubuntu philosophy. Therefore, those who practice this ideology must consider spirituality while making decisions. According to Mangaliso
& Mangaliso (2012), those which internalize Ubuntu encounter an existential feeling where they feel respect, solidarity, and connected to others. When making decisions, the individual is recognized as an integral part of the collective, just as the collective is an important part of the individual. The following table (Table 2) captures five of the more key contributions associated with Mangaliso, which are utilized for theoretical development.

An example of Ubuntu manifesting within a managerial setting would be in the case of a leader (or follower) recognizing the circumstances of a colleague to act. For instance, if a manager in South Africa was made aware that an employee’s family member passed away or that the colleague was having difficulty with their roles at work, they could demonstrate a caring approach to help them to overcome this challenge. Over the last 5-10 years, Ubuntu has been increasingly tested empirically, which is one of the goals of this dissertation. As part of the literature review, a comparison is drawn between this African humanistic approach to management with the subsequent Haitian concept of Lakou.

2.9 Haitian Lakou philosophy as a communal Concept

"Nan menm lakou nou ye, lakou sa demanbre, fo n respekte."

The concept of Lakou originates from within the indigenous people of Haiti, who fought and survived slavery from the French in the country formerly called colonial Saint Domingue (Ramsey, 2011). Lakou represents social resistance to colonial rule through communal activities
and ownership of resources through a shared belief system (Rubin, 1960). Lakou is a philosophy that symbolizes liberty and freedom for the Haitian people, as well as their cooperation and healing through connection with ancestors. The initial quote at the beginning of section 2.8 translates to, “We are all part of the same Lakou, this Lakou was passed from the ancestors, we must respect it.” This powerful phrase, translated from Haitian Kreyol, was spoken by a member of the popular Haitian musical group Boukman eksperyans at Kanaval in the year 2016. Their song Zonbi sans Manman has a powerful message of unity within the Haitian community. It empowered people to be "woke" and not act like a zombie controlled by the Haitian government. The singers encouraged the large crowds at Kanaval to liberate themselves from Haiti's oppressive systems, rendering part of the population unconscious and zombified. Regardless of whether you were rich or poor, light or dark-skinned, this musical anthem and message resonated with the audience, who longed to rebuild community ties within a country that has been politically isolated and ravaged by corrupt leaders.

Similar to the Ubuntu philosophy, ancestral worship is prominent in Lakou as a component of the voudou perspective, which originated from the African religions brought over by the original humans who became slaves centuries ago (Dubois, 2012). Before and after the Haitian revolution (1791 – 1804), the original Haitian people became a mixture of those of African heritage, those of Taino origin native to the land, and neg mawons, which consist of any persons who survived the conflict (Dubois, 2012). The Lakou concept translates as a family compound and a robust idea of communal and socioeconomic connection within Haitian people's imagination regardless of whether they are a Voudousans (believer in Voudou). The practice connects organizations to address social issues and resolve problems by for-profit organizations, NGOs, activists, and family organizations.
Lakou has been conceptualized not only in music, but also in professional practice to demonstrate a connection among community members to cooperate and profess to share equally over the selfishness that plagues the country's history. Haitian leaders and activists who are critical of the country's challenges routinely blame the legacy of coups and failed leadership and have professed unity as a solution. Pou rale n deye translates to pulling us backward, and Yo ba n pase anterye means they (the government) is pulling us back to the past when the Haitian people were enslaved. Values are the tools that Lakou and Ubuntu have in common, expressing how these philosophies are communicated and utilized to develop an organizational culture. These values are compared within the table below, which shows the similarities and differences between these cultural phenomena. Lakou promotes the values of respect, dignity, compassion, truth, heritage, and history. These values come from the Lwa Ginen, a miste/lwa (spirits) commonly discussed as the people who serve spiritually by being a good person.

2.10 Lakou historical development

The Haitian revolution's historical accounts began with the uprising in 1791 and concluded with the French defeat by the victorious Haitian men and women. The infamous night took place on the 14th of August 1791, in Bois Caiman. A group of people met for a ceremony to sing and pray to incite a revolution that would ultimately be successful over the next 13 years, culminating in 1804 (Dominique, 2010). This ceremony represents a "Lakou," which invokes separate families' coming together to work on inspiring change. The legend of "Dutty Boukman" is one of the highlights of this legend as Boukman is renowned for having led a prayer and Voodoo ceremony before the successful revolt (Moral, 1971). These ceremonies are one component of Lakou's historical accounts. Nevertheless, the international community has
perceived the spiritual elements of the African and Caribbean indigenous religions negatively in contrast to Christianity and Catholicism (Dominique, 2010).

Moreover, the perception of voodoo as being satanic represents ignorance and white supremacist views being generalized onto a demographic which participates in Lakou for various reasons. Within the ceremonies, the "lwas" and "marassas" are prayed to for direction and insight. This tradition brings members of the multiple ethnic groups together, accepting each family's differences and bringing unity (Dominique, 1988). This Lakou courtyard experience acts similarly to a business group, collaborative, or entrepreneurial ecosystems when economic growth or overcoming corruption is the purpose. The enslavement of the Taino Indians, African slaves, and maroons, which was overcome by revolution, represents this symbolic push for change (Frostin, 1975).

A critical linkage between Ubuntu and Lakou is the component of spirituality. From an indigenous African perspective, spirituality has been stigmatized in some literature and even within Haitian culture (Fouchard, 1984). Ancestral worship is a practice where believers will actively pray and seek advice from their ancestors who have died. These concepts are practiced by both practitioners of Ubuntu and Lakou globally. These Lakou practices are still held today throughout the diaspora in places such as Montreal, New York, Miami, and Paris by Haitian people. Dubois (2012) described the Lakou as an 'egalitarian system without a state' to describe this phenomenon's all-encompassing nature. The peasants would utilize the networks gained from the Lakou not only to socialize challenges and develop initiatives, but the Lakou commonly facilitated the voodoo ceremonies. Lakou translates to the courtyard to describe the open area where these families would come together to worship without foreign influences (Merilous, 2015). Merilous has suggested that the Lakou system could be a global entry point for trade and
international development in Haiti for the tourism industry, high technology, and bioprospecting. This arrangement is based on the *Lakou* members' accessibility, who negotiate terms easier than the elite class members connected with the government and are motivated to bring back trade to Haiti.

Meanwhile, the *Lakou* system of economic growth has been seldom embraced by political leaders in Haiti in contrast to Ubuntu. Merilous (2015) argued that the *Lakou* system can develop the identity and pride of the people, which is continually broken through uncertainty within the country. The following table takes a deeper dive into some of the *Lakou* studies which have had a large contribution to discourses in anthropology, education, and sociology. The shared conceptualization of *Lakou* as a physical space permeates each academic discipline. Yet it is also utilized as a framework of human experiences e.g. as a part of a collective, and as a mechanism of interdependence in the following studies. The Saint-Louis (1988) study accounts for migrations of Haitian families, who traveled with a sense that the *Lakou* was a valuable connection with their past which can aid them in their new destination. A collective identity can be developed through Lakou; this aspect of life in the country was fractured during the plantation-based times and rebuilt by the hundreds of Haitians living in the countryside who worked in *Lakou* systems for economic development. The following table (Table 3) describes some of the seminal research within the area of *Lakou*.

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Insert Table 3 about here

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2.11 Lakou as a conceptual framework for research

One of the goals of this research is to entangle and reveal if the Lakou system has credibility and resonance with managers of organizations in Haiti. In conclusion, the Lakou philosophy encapsulates a spiritual and socioeconomic space within the Haitian setting (Desir, 2012; Ramsey, 2011). The conceptualization of Lakou has been explored in educational, spiritual, and sociological research as a place where families and communities congregate to worship their ancestors and connect on communal matters. The Lakou philosophy is embodied in organizational leaders who create a safe space to connect on municipal and economic issues (Desir, 2012). There is under-specification in strategic management literature on how managers within emerging markets, particularly those from the African Diaspora, connect in these spaces. Ultimately, the firms' cultural aspects in these institutional contexts may allow it to be perceived as a safe space, making an organizational member empowered to successfully navigating potential obstacles.

Finally, Figure 2 was created below to conceptualize some of the aspects of Lakou within organizations. The center of the figure system states ‘Lakou management,’ and this construct is surrounded by six concepts which are related to Lakou in literature and are proposed to be aspects, behaviors, and outcomes of these practices. The six aspects are sharing resources, collective identity, empowering employees, inclusion in the economic system, spirituality, and addressing corruption (Desir, 2012; Saint-Louis, 1988; Dubois, 2012; Merilous, 2015). It is conceptualized that all six of these aspects may be associated with firms which engage in Lakou management and might be a transformative force within the management function of an organization. Subsequently within Chapter Four, as the qualitative methodology is implemented, research participants were engaged to test whether managers perceive these aspects of Lakou to
be relevant in their organizations. In summary, more research is needed to test this theoretical construct and augment our current knowledge of its use within the context. *Lakou* can be conceptualized as a "mutually beneficial arrangement" where familial and intimate professional bonds could be made with business partners.

2.12 Dynamic capabilities

Dynamic capabilities are defined as a set of specific and identifiable processes and routines such as product development, and alliancing to match or create market changes, value creation through resource reconfiguration (Eisenhardt & Martin, 2000; Teece, 1997). Dynamic capabilities research is an extension of the resource and knowledge-based theories that advance our knowledge of how the modern corporation operates. One of the critical assumptions developed within the capability's literature is that these processes are complex, causally ambiguous, and difficult to replicate (Barney, 1986, 1991; Conner & Prahalad, 1996; Teece, 1997). Dynamic capabilities are useful when they can assist a firm in strategic positioning aligned with the rapidly changing environment a firm faces. Capabilities have been shown through empirical work to create value for organizations, a critical step in the firm's performance in markets (Peteraf, 1993; Mahoney & Pandian, 1992).
A simple and practical example of dynamic capabilities comes from within the organization "Netflix," which has emerged as one of the most dominant online entertainment firms. Netflix was founded as an organization offering video rentals, competing with earlier movers such as Blockbuster Inc. Rivals of Netflix struggled because they did not keep up with the changing technological trend of on-demand entertainment. Netflix developed a process internally to recruit talent and create movies and television shows directly, so they did not need to rely on their supply chain and external demand from customers (Rataul, Tisch, & Zambrosky, 2018). This firm strategically positioned itself by developing this online video content capability to keep up with the market's rapidly changing demand. Dynamically capable firms can perform well, and thus researchers have been exploring the relationship between these capabilities and firm performance in the literature. In recent empirical studies (Wamba et al., 2017; Jantunen et al., 2005), researchers have explored the dynamic capability's effects on performance in varying contexts.

2.13 The evolution of dynamic capabilities

Since the earliest days of strategy, the discourse on firm performance has delved into the industry and firm explanations for organizational outcomes with environmental explanations leading the early charge (Bain, 1951; Mason, 1939). Industry structure was believed to influence those who entered it, and if they conformed, they would survive and perform well. Industrial organization economics perspectives (Bain, 1957; Porter, 1980) suggested that all firms were homogenous. Therefore, an organization's performance is primarily due to its structure, which dictates firm conduct and ultimate performance. During the 1980s, Michael Porter further advanced the discourse by suggesting that five forces (rivalry, buyers, suppliers, substitutes, and the threat of new entrants) were instrumental in determining whether a firm performs well
(Porter, 1980, 1981, 2008). Resource-based theorists further extended this logic by acknowledging the external forces' role while simultaneously exploring firm resources, competencies, and capabilities as predictors of achieving economic rents (Barney, 1984; Dierrick & Cool, 1989; Wernerfelt, 1984).

Resource-based theorists challenged the notion that firms were homogenous and suggested firms were different (heterogeneous) and should look internally at their competencies, resources, and routines. The logic behind the importance of internal dynamics was that if firms and resources were heterogeneous, firms could utilize any unique resources, they controlled to develop their industry's superior position. Rumelt (1991) tested and built on a prior study by Schamansee (1986), exploring the effects of industry choice versus firm-level impact and determined that managerial strategy was more influential than external factors. The past strategic management literature has evolved to a more explicit consensus that firms may inherit or develop differences in their routines, resources, and competences (resource heterogeneity). Within these resources, bundles allow managers to manage configuration to achieve competitive advantage (Penrose, 1957; Wernerfelt, 1984; Peteraf, 1993).

Although the resource-based view was well received in the strategic management literature and utilized widely, it also came under criticism (Priem & Butler, 2001) for several reasons. The resource-based view has several limitations (Priem & Butler, 2001). These include being described as tautological, possessing ambiguity in describing what exactly is a resource, and underspecifying the relevance of firm performance knowledge. Some of the most common critiques of the resource-based view are the following: that the definition of a 'resource' is problematic, the RBV is not a theory of the firm, that sustainable competitive advantage is not attainable, and that it does not explicitly tell managers how resources should be developed to
compete (Priem & Butler, 2001; Foss, 1996; Mahoney, 2008). In addition to Priem & Butler's critique of the resource-based view, the capabilities literature has been increasingly developed as a response to shortcomings of RBV, with a specification of the processes that entail firm ability to achieve superior returns (Teece, 1997, 2007).

Chandler’s (1962) initial work on strategy in his seminal book provided rich detail on how executives made decisions in the modern corporation. Although Chandler provided case studies with great clarity, he did not empirically test theories such as behavioral theory or transaction cost economics. However, Teece (2010) remarked that Chandler believes firm capabilities were an integral part of firm growth through the routines, knowledge, and strategic decisions made by managers. The firm's capabilities resided in the managerial competencies to sense external opportunities and allocate resources to exploit them. Although much of Chandler's work was on large corporations, the literature has shown that capabilities are relevant in dynamically changing environments and firms of various sizes (Teece, 1997, 2017).

The concept of dynamic capabilities extends the resource-based theory’s focus on firm resources yet branches into how the action-orientated process within firms can lead to increased performance. Dynamic capabilities reflect firms’ ability to acquire, generate, and combine knowledge resources to sense, explore, and address environment dynamics (Teece, 2007) and incorporate the changing nature of the external environment. Dynamic capabilities consider the external environment because it incorporates the rapidly changing landscape and develops processes to adapt (Teece et al., 1997; Eisenhardt & Martin, 2000; Teece, 2007). The connection between dynamic capabilities and the firm's nature relates to aligning the firm's internal dynamics to the external dynamics through strategic positioning. Dynamic capabilities are considered a subset of competencies or capabilities that allow firms to create new products,
services, and processes in response to changing environments, exploiting existing competencies and developing new competencies to address changing environments (Teece et al., 1997).

2.14 Firm culture as a competitive advantage

Barney (1986) has argued that culture can be instrumental in firm outcomes to the extent that it is utilized as a rare, valuable, and inimitable competitive resource. Smircich (1983) suggested that firm culture is key to unlocking productivity and profitability in organizations. Archbishop Desmond Tutu (1999) stated that it is extremely difficult to translate the term Ubuntu into a Western language, and views Ubuntu as "the essence of being human and that it is part of Africa's gift to the world." Tutu also stated that when Africans want to give high praise to someone, they would say "Yu unobuntu," translated as "You have Ubuntu". Within the continent of Africa, there is a diversity of firm cultures due to managerial training, leadership style, and organizational structures. Ubuntu-inspired culture is explicitly conceptualized as a cooperative approach with collaboration amongst workers and the sharing of resources (Mangaliso et al., 2021).

Ubuntu has been framed as a perspective to explain business ethics (Taylor, 2014) and leadership (Khoza, 2005). Nevertheless, there has been less connection of Ubuntu to firm capabilities and performance as an outcome. Mangaliso (2001) argued that firms could create a competitive advantage by developing a caring community and weaving interdependencies into decision making. Mangaliso & Nkomo (2001) discussed South African businesses' transformation and what this meant for growth in the country from a managerial perspective. Mangaliso did not empirically test this theory but could stimulate Ubuntu's significant interest as a framework for increasing commitment and respect from employees in organizations (Mamman & Zakaria, 2016; Nansanbuka & Bunene, 2019). Thus, it is theorized that managers may
consider strategies to work inter-organizationally with firms that can not only provide resources and legitimacy but can assist them in combatting corruption.

### 2.15 Corruption

There are multiple definitions of corruption which have been utilized in the literature. A simple yet powerful definition of corrupt behavior is the misuse of entrusted power for private gain (Cuervo-Cazurra, 2016). Another definition that focuses on the fiduciary relationship in agency theory states that corruption is monetary payments to agents (both public and private) to induce them to ignore their principals' interests and favor the bribers' private interests instead (Rose-Ackerman, 2006). The act of corruption has existed since the beginning of time, since there are reported bribes documented in ancient Greek and Roman civilizations. In a 2013 speech, the head of the United Nations, Jim Yong Kim, stated that corruption was "public enemy number 1 for developing countries".

The academic interest in corruption has increased over recent decades due to a renewed focus on governance, ethics, and social responsibility in management literature (Jain, 2001). Researchers previously assumed that corruption's deleterious effects were confined to the 'corrupt transaction' until additional studies illuminated the field on the various consequences. Corruption affects national investment, reputation, entrepreneurial incentives, and income inequality (Jain, 2001; Svennson, 2005). On a grand scale, when corruption is consistent and persistent, it exacerbates other social ills like poverty and healthcare failures. More industrialized countries are typically ranked higher on the corruption perception index (TI, 2018).

Glaeser & Saks (2006) studied corruption in an industrialized environment, such as the United States, and found that corruption exists in this vibrant country. However, it varies based
on existing institutions and wealth. Richer and smaller U.S. states have relatively less corruption than poorer and larger nations, which speaks towards how bureaucracy deters enforcement and monitoring. The institutional context is relevant to the consequences of corruption. Haiti has a modestly sized population of 11 million people. Still, it lacks the regulatory institutions that deter this activity and per capita wealth that might dissuade potential corrupt activity such as in the United States.

Managers may consider the perceived benefits and costs of engaging in corrupt activity from a resource dependence or transaction cost lens. Every country has some level of penalties and laws against corruption, yet firms are still incentivized to engage in bribery due to weak enforcement of laws or alternatively the resultant capability to gain a competitive advantage (Cheung, Rau, Sturatis, 2012; Husted, 1999; Cuervo-Cazurra, 2016). The seminal works of Williamson (1985) and Coase (1937) have taught us that transaction costs are imperative to firm performance. If engaging in corruption will yield access to resources, then a competitive advantage has been achieved. Transaction costs often overlooked by corrupt organizations are the managerial attention spent on these ongoing secret relationships, which might have been better used on more legitimate initiatives (Cuervo-Cazurra, 2016). Rodriguez, Uhlenbreck & Eden (2005) found that multinationals in particular were positioned to adapt to corruption in contrast to smaller firms with fewer resources and legitimacy.

The ‘ethical power escape’ is a concept in the corruption literature that describes when a corporation avoids engaging in corrupt behavior within a corrupt environment by stating that it violates their code of conduct (Spencer & Gomez, 2011; Cuervo-Cazurra, 2016). This concept extends the resource dependence theory. The typical logic on this theory states that corporations would be dependent on government support and resources in specific industries and would
engage in corrupt behavior to obtain access and resources (Cuervo-Cazurra, 2016). The resource dependence theory states that there is a collection of interdependencies that organizations have. If a competitor or government agency has resource "A," the corporation would desire to reduce that dependency if it doesn’t want the competitor to possess all the power over it as the owner of the resource. International business research has argued that this is a problem for multinational corporations and domestic corporations involved in emerging markets until they understand and adapt to the local institutions (Bierhman & Harsch, 2017).

Corruption incidence can have silent effects, such as low diagnostic effort or absent equipment for malaria scanning (Rothstein, 2017). Corruption within the Africa diaspora can also have a significant impact and visibility, even on the presidential level. According to Mlambo (2019), one prominent example is the forced resignation of former South African president Jacob Zuma for corrupt relationships in the private sector on the 14th of February 2018. Mlambo states that although fighting corruption has long been an objective globally, it has mainly been an issue in Africa, where several cronies and executives have benefitted from these corrupt dealings. Because corrupt behavior has been institutionalized in systems, routines, and activities between the private and public sectors, it is easy to justify, mainly on the profit motive (Moosa, 2019). From the organization's perspective, dealing with corruption takes managers' attention away from operational decision-making and towards dealing with corrupt partners, although the trade-off requires additional contracts, permits, and increased revenue (Cheung, Rau & Stouratis, 2012; Cuervo-Cazurra, 2016).

A manager working in a developing world must consider whether it is worth the risk incurred to engage in a corrupt relationship. Meanwhile, agency theory can explain these corrupt transactions through the agency relationship between a firm's manager and a bribing official
externally. According to Cuervo-Cazurra (2016), this presents a contribution to agency theory because a manager engaged in corruption cannot only write a contract to control agency costs because a transaction is often against local norms and secretive. The agent and principal would have to incur additional agency costs due to illegitimate contracts' uncertainty compared to transactions involving corruption. Liu (2104) argued that corporate governance is a common context for corruption to occur due to the uncertainty mentioned above and the agent's vulnerability to engage in misconduct.

2.16 The secrecy and language of corruption

Since corruption is illegal in many countries and identifying what constitutes corruption is unknown, it is challenging to determine whether a firm is committing the act. In many countries, taking someone out to dinner and giving expensive gifts are indirect but commonly understood approaches to facilitating transactions. Additionally, the phrases for corruption are subtle in many languages, such as asking a business partner to go for "pot de vin" (a glass of wine) in French or offering to exchange "kitu kidogo" (small things) in Kenyan Swahili (Franz, 2012; Dubois, 2012). Even when firms are large and established, they sometimes yield to institutional pressures towards engaging in corruption in local environments. Researchers have argued the relative disadvantages that developing country multinationals have in contrast to developed country multinationals can be transformed into advantages due to the familiarity that local firms have of these secret transactions and how to navigate them successfully (Cuervo-Cazurra, & Genc, 2008).

2.17 Corruption in emerging markets
Corruption had not been studied in an international business context until the 1980s, when academic researchers began to observe the role of the multinational corporation in markets abroad (Bahoo, Alon, & Paltrinieri, 2020). In the aforementioned review piece, the authors surveyed the literature over three decades and offered seven research streams and future directions for corruption work. Institutional theory has been the primary lens to investigate corruption in an international or emerging market perspective, followed by a resource-based view, transaction cost economics, social networks, and resource dependence. Guo et al. (2018) explored interpersonal relationships in international business in China, and how Guanxi can be influential to engagement in corruption. This dissertation builds on these philosophical approaches to businesses; Ubuntu and Lakou, and even Guanxi as relational structures, guide corrupt behavior in many instances. In the extant literature on corruption in emerging markets, transparency international and world governance indicators are commonly used as sources of measuring corruption. Nevertheless, the authors (Bahoo et al., 2020) suggest survey data as an excellent approach to collecting more accurate portrayals of the phenomenon from the participant's vantage point.

Firm corruption has continued to persist in emerging and developing markets globally for centuries due to colonial, economic, political, and sociological influences (Kempe, 2017; Spencer & Gomez, 2012). Within emerging markets, not only is there a relative absence of institutions (laws, policies, enforcement) to regulate this social behavior, but the conceptualization of corrupt acts is ambiguous and difficult to define due to multiple influences, as mentioned earlier. For instance, an organization operating in an emerging market country, such as South Africa, may have a higher concentration of managers from a former colonial power, influencing business partners' preferences to firms inhabiting the formerly ruling country.
As discussed, corruption can be indicative of an organization, individual, or group, or a description of the external environment. The antecedents and consequences of corrupt behavior in emerging and developing markets vary and suggest performance advantages for organizations that operate in these environments. The act of corruption reflects rational, self-interested behavior where agents are misusing their authority to allocate potential rents to themselves and others (Misangyi, Weaver, & Elms, 2008). This behavior materializes in the bribery, kickbacks, influence peddling, and collusion to exploit opportunities.

2.18 Firm-level of corruption

According to Mauro (1996), a firm's approach to corruption attends how corrupt practices and activities can specifically become institutionalized within organizations — thereby becoming part and parcel of everyday organizational life. As Ashforth and Anand (2003) have described the process, leaders might encourage or sanction corrupt behaviors, explicitly or implicitly, by offering reward structures that promote corrupt practices or by condoning or ignoring such practices when they occur. Corrupt practices can go through a process where they become embedded within the scripts people associate with depersonalized organizational roles. This same corruption can be embedded in firm practices (Misagyni, Wever, & Elms, 2008). As a result, corrupt practices become routinized and habitual and, thus, institutionalized within the organization.

Moreover, corrupt activities then become less salient because routinization makes them normative and enacted automatically. For new organization members, corruption is made acceptable through socialization, reward systems, rationalizing ideologies, expectations to obey managers, and presumptions that existing firm practices are rational and legitimate (Misagyni et al., 2008). Corruption in any transactional space is seen as an additional business cost,
influencing strategic decision-making (Luiz & Stewart, 2014). The extant corruption literature lacks rigorous studies to explore how corruption should be addressed by corporations expanding in or operating in frontier markets, such as those in Africa, so that corporations can formulate or evaluate strategy (Svennson, 2005).

2.19 Individual level of corruption

Management researchers such as Williamson's (1995) seminal work on transaction cost economics assumed that managers were self-interested with guile. More economically oriented approaches assume that people consciously participate in acts (corrupt or otherwise) when it is in their self-interest to do so —a self-interest based on fixed and stable preferences (Fligstein & Mara-Drita, 1996). Thus, there is seldom room for roles or identity in such accounts of behavior (Friedland & Alford, 1991). Depersonalized roles have become the reality of organizational life (Ashforth, 2001), so corrupt actions can become institutionally defined role identities. Identities strongly influence and motivate behavior, including ethically significant behavior (Aquino & Reed, 2002; Reed, Aquino, & Levy, 2005; Weaver & Agle, 2002). Normal, well-meaning people can end up engaging in corrupt behavior while fulfilling their organizational roles regardless of what those roles are. These ordinary, well-meaning people may become institutionalized based on the organization's rules and norms or the lack of education on corrupt behavior implications. Officials with relatively little education may solely comprehend the short-term personal gains of accepting bribes and fail to understand the global implications of corruption on world economics, the economy of their countries, and, ultimately, their quality of life (Sweeney, 1999). Below is a brief table of studies exploring corruption as phenomena on a national and local level related to firms.
2.20 Institutional voids

Institutions are the regulatory, cognitive, and normative structure which guide social behavior for humans (Scott, 1995). Institutions can be formally established through rules, laws, or enforcement bodies. They can be informal in emerging markets where failures of the political and social systems have occurred. Institutional voids describe when an environment lacks the necessary formal structures to direct most of the behavior. In any context, the political system, product markets, labor markets, capital markets, and openness are the components of the economy that firms should be cognizant of before doing business in that country (Khanna & Paleppu, 2009). Therefore, institutional voids are relevant to organizations because they need the resources provided by these five components and struggle to grow, compete, and establish legitimacy without institutions. These five contexts are commonplace in industrialized countries and are not fully developed yet in developing and some emerging markets. As a result, access to capital markets or enforcement of contracts is fragile in these markets with "institutional voids," which sets the firm up for failure unless some informal institutional norms are applied. For instance, if unofficial, verbal agreements can be substituted and enforced in the local market in place of contractual documents, firms can still conduct regular business.

Informal institutions are sought when formal institutions are inefficient or absent (Khanna & Paleppu, 2000). In the case of corruption, environments where it is rampant, creates an ongoing uncertainty that local firms may have grown accustomed to, despite deleterious
effects. Manikandan & Ramachandran (2015) argue that business groups are a sufficient alternative to the multi-divisional (M form) corporation in environments with institutional voids. The logic was that business groups allowed the organization to connect with a diverse portfolio of resources and possess privileged access to opportunities that others do not have in the institutional environment. This study contrasts with business group research because it does not suggest that business groups are a complete solution without its cultural development. Institutional voids are conceptualized as failures in the government sector, such as absent agencies for oversight, diminished capital markets, and labor markets that lack quality talent.

2.21 Postcolonial contexts with institutional voids

The postcolonial institutional context provides a unique setting for research as the lingering traditions of European rulers still affect business practices. According to post-colonial discourse (Dubois, 2012), countries formerly ruled by these superpowers adopted their institutions and were subjugated within the process. Even in 2020, Haiti does not have a formal financial exchange or stock market, although one does exist in several African countries e.g. Kenya, and South Africa. Frantz Fanon (1961) argued that colonial rule was destructive psychologically and societally due not only to the financial burden, but the colonial choice to restrict French colonies from becoming self-sufficient. Haiti can be described as a Francophone country, as it was controlled primarily by France throughout its colonial history, whereas Great Britain and the Netherlands formerly occupied South Africa. Both Haiti and South Africa differ regarding institutions to the extent that the ruling country possessed idiosyncratic approaches towards control. The Dutch arrived in South Africa in 1652 with the Dutch East India Company, which founded Cape Town.
One of the central components of Ubuntu is that human beings are interconnected and that demonstration of empathy for others is an admirable quality (Khoza 1994; Senge, Kleiner, Roberts, Ross and Smith 1994). The preeminence of the collective is an important concept in connecting the individual’s motivation towards prosocial behavior when they consistently empathize with the group over themselves (Mangaliso 2001; Mbigi and Maree 1995; Prinsloo 2000). Empathy, respect, and creation of synergies are the mechanisms which explain why participants in the collective could help an organization to increase productivity, satisfaction, and well-being. Ubuntu and Lakou both serve to bring to light traditional belief systems which have been suppressed and marginalized due to the post-colonial influences on organizations in the African Diaspora. On an individual level within the firm, practicing humanistic approaches may serve as a conduit for revitalization of the African identity and creation of linkages which can heal some of the institutional decay which has taken place.

Fanon (1961) introduced the term “racial subjectivity” to denote how members of the African diaspora negotiate their identity through social movements and organizing against their oppressors. The 1800s saw the Zulu kingdom's rise as the Zulu ethnic groups created a militaristic kingdom in South Africa. The Dutch ruled until 1899-1902 when the Dutch and Anglophones fought over control of the land. The period beginning in 1948 and ending in 1994 is commonly described as apartheid, which translates to "separateness," demonstrated when Afrikaner nationalism gripped the country, and oppression was rampant. The colonial forces in South Africa primarily considered the location as a strategic trade post. The discovery of precious metals contributed to the growth of the economy over time as well. According to Dominique (2010), despite Haiti achieving its independence in 1804, it has long been in a continuous struggle due to the interventions of multiple foreign powers (France and the United
States) and the aspirations of Haitians themselves. This foreign power's presence has undermined the country's self-sufficiency and the focus on Haitian well-being and growth in favor of fulfillment of the goals of the foreign powers themselves. The institutional voids within the country are more extreme than within South Africa, and include the relative absence of a significant financial system, underfunded healthcare, and a broken educational system (Dubois, 2012).

2.22 Firm performance

There has been an ongoing debate in the management literature for decades about the relationship between strategy and structure and the implications for performance (Chandler, 1962; Teece, 2017; Miller, 1986; Kono, 2016; Mishra et al., 2018). Business performance can be conceptualized as effectiveness, financial returns, social capital, and organizational growth (Waddock & Graves, 1997). It is difficult and complicated to measure the predictors of firm performance. Nevertheless, managerial behavior (motivations, characteristics, decision making), resource bundles (assets, competencies, capabilities), as well as a formulated strategy (business and corporate level), are frequently studied (Blackburn, Hart & Wainwright, 2013). The strategic management literature categorizes these factors as components of the strategy process or strategy content (Mintzberg, Ghosal, Lampert, & Quinn, 2003). This dissertation has sought to synthesize the literature review findings into a strategic management model that investigates how managers navigate decisions on culture, capabilities, and corruption to pursue superior performance.

In the last ten years, the existing capabilities literature has focused primarily on dynamic capabilities and knowledge management processes as a practical approach to increasing performance. Specifically, the roles of transformational leadership, knowledge coordination, knowledge transfer have all been investigated to demonstrate their roles in performance with
mixed results. Consistent with this dissertation's purpose, the top management team has been argued to be integral to inspiring trust and motivation in the exploration and exploitation of opportunities for the firm (Donate & Guatamillas, 2017). Cultural development has been discussed as an influence on internal support and information access within the organization. According to Lee, Kim, & Kim (2012), top management support has been instrumental in the division of labor and responsibilities and allocates resources into activities that can exploit opportunities. Heisig (2009) has categorized all of these studies on capabilities and performance in technology-orientated studies, human orientation studies, organizational orientated studies, and management process-orientated studies. The human-oriented studies have argued that management support and leadership have promoted creativity and a trustful and respectful atmosphere, improving coordination (Inkinnen, 2016).

2.23 Hypotheses development

Organizations are defined as goal-directed, boundary-maintaining, and socially constructed human activity systems in this essay (Aldrich & Herker, 1977). While developing a theory, logic will be proposed through a model that builds a behavioral framework of decision-making that integrates institutional and agency perspectives (Bromiley, 2005; Eisenhardt & Martin, 1989). According to institutional theory, organizations may be embedded in social environments established based on institutional rules and norms (Meyer & Rowan, 1977). Organizations seek the acquisition of resources and legitimacy to survive. Institutional norms, such as corruption, can be normalized in specific contexts. Corruption leads organizations to choose between either imitating other corrupt firms or resisting in the face of uncertainty. Formal and informal institutions provide the shared meaning that gives coherence to social life through social identities (Scott, 1995).
Contextually, firms behave according to their expectations for survival, the pursuit of resources, or the powerful actors' legitimacy in their environment. Agency theory suggests that managers are self-interested and seek to maximize their utility at the organization (Jensen & Meckling, 1976; Eisenhardt & Martin, 1989). Meanwhile, the firm's behavioral theory assumes that these managers are, after all, individuals with goals that are influenced by the organization they work for (Gavetti, 2012; Cyert & March 1963). Finally, institutionally theory presumes environmental pressures are signals that may dissuade or encourage behavior for these managers.

In the Greve & Zhang study (2017), the institutional transition by the Chinese state (socialistic country) was at play in why firms decided to engage in M&A activity. The firms were not motivated simply by market-based goals but also their fellow members of the coalitions. For countries in the African diaspora, there is a lingering influence of colonial powers who controlled, corrupted, and instill their French, Dutch, and British traditions into the local populations.

The central relationship in the theoretical framework is that dynamic capabilities lead to higher performance. This concept has been empirically tested in more extensive, industrialized markets that differ from emerging and developing economies such as Haiti or South Africa. When faced with institutional voids and international competition from colonial powers for customers and domestic resources, firms must find a distinctive process, path, or position that will allow them to obtain a competitive advantage (Teece, 1997). Unlike large semiconductors or software firms in industrialized nations, this dissertation's focal firms have to combat unchecked corruption and a dearth of resources. The claims are that institutions and agentic pressures will motivate the manager, but their ultimate path will lie more closely with the organization's cultural characteristics.
Extant literature suggests that larger firms with sufficient resources and positioning is more resistant to environmental uncertainty, such as those with corruption, than smaller firms. How do these firms of varying sizes empower and enact strategies in highly corrupt environments devoid of institutional norms? The proposed theoretical contribution is the model that explains how firms utilize their internal humanistic culture to address local corruption while seeking higher performance. The existing literature suggests that corruption has adverse effects, but it does not indicate how firms can overcome these effects in developing market contexts. The process of how firms can navigate corruption is that gap in the literature.

2.24 Dynamic capabilities and performance

Dynamic capabilities are considered a subset of competencies/capabilities that allow firms to create new products, processes, and services in response to changing environments, exploiting existing competencies, and developing new competencies to compete in a changing environment (Teece et al., 1997). Developing a strategic advantage in the firm's environment is challenging yet achievable by coordinating internal and external resources. Creating this advantage for firms has been explored in the dynamic capability's literature through strategic alliance formation and product development, which meets the needs of a rapidly changing environment (Teece, 1997). The motive to engage in strategic alliances for many firms is to acquire legitimacy and acquire resources in new capabilities through organizational learning (Eisenhardt & Schoonhaven, 1996). Firms that engage in strategic alliances and succeed in acquiring resources are likely to gain a competitive advantage through this new positioning in their environment.

This phenomenon is especially relevant to the context of emerging and developing markets due to institutional voids and a deficit in alliance partners. The extant strategic
management literature has evolved to a more explicit consensus that firms are different (resource bundles). Within these resources, bundles allow managers to achieve superior performance (Penrose, 1957; Wernerfelt, 1984; Peteraf, 1993). Nevertheless, firms engage in strategic alliances to develop new products and enhance their positioning. The firm's dynamic capabilities are acquired when they are intended to learn the firm's strategic alliance partner and engage in processes, routines, and development of products that are not accessible to those outside of the alliance (Mowery, Oxley & Silverman, 1996). Assessment of whether a dynamic capability was created could be observed by determining if value materialized through an alliance results in increased goodwill, sales, or revenue. Taken together, these arguments result in the following hypothesis.

*Hypothesis 1: In emerging markets, firms with greater dynamic capabilities will outperform firms with weaker dynamic capabilities.*

### 2.25 Corruption as an influential factor towards firm behavior

The external factor, which is one of the foci of this research, is corruption within the firm's local environment and its impact on the firm. The academic literature on corruption in the management field has concluded through numerous studies that corruption is both a state and a process (Ashforth, Gioia, Robinson, & Trevino, 2008). Researchers have proposed in this light that organizations can be conceptually corrupt through their processes and routines, or the individuals can be in a state of corruptness through past or present involvement. The notion of the state of being corrupt (corruptibility) presumes organizations have been persuaded, incentivized, or have conceded to the internal or internal pressures to engage in this behavior.
Lanier & Kirchner (2018) found in their study that Hofstede's cultural dimensions of power distance and individualism are predictive of corrupt behavior.

Within emerging and developing markets, members of organizations may be tempted to engage in corrupt acts due to income inequality, weak regulations, and if they do not foundationally have incentives or dispositions which encourage ethically significant behavior. Depersonalized roles have become the reality of organizational life (Ashforth, 2001), so corrupt actions can become institutionally defined role identities. Identities strongly influence and motivate behavior, including ethically significant behavior (Aquino & Reed, 2002; Reed, Aquino, & Levy, 2005). (Weaver & Agle, 2002). Thus, ordinarily, well-meaning people can end up engaging in corruption while fulfilling their organizational roles regardless of what that role is. Thus, local corruption which originates outside the firm can more easily influence members through these depersonalized roles while weakening the relationship between the firm's capabilities and ability to perform ethically.

The process that organizations undergo while becoming corrupt may involve inter-organizational relationships (alliances) with other firms or government entities and processes developed internally to compete as an organization. Within industries where corruption is pervasive, the incidence of corrupt behavior will create barriers for focal firms to exploit opportunities in their environment due to these inconspicuous agreements by corrupt actors. These entry barriers and competition will produce negative implications for performance for firms who are not engaged in this behavior (Djankov et al., 2002).

**Hypothesis 2:** In emerging markets, the relationship between dynamic capabilities and performance is moderated by corruption such that high corruption weakens the relationship, and low corruption strengthens it.
2.26 Culture's influence on firms overcoming corruption

Humanistic firm culture can contextualize the effects of dynamic capabilities on firm performance, acting as a moderator within an emerging market context. The field of strategic management has evolved to more knowledge and capabilities-based explanations of firm behavior, although it lacks empirical studies in the emerging markets. Dynamically capable firms that cannot reflect the local culture in their internal values and processes will create a disconnect with employees and lead to lower productivity and reduced morale. The organizations which can promote the Ubuntu inspired culture as a central component of their culture will intensify the main effect and create a not easily imitable, valuable, and rare advantage over the firms that do not (Mangaliso, 2001; Barney, 1991).

Managers encourage and direct norms within the organization, which stimulate organizational culture and acts as signals for members of the firm (Ashforth, Gioia, Robinson, & Trevino, 2008). Corporate culture may be a constraint during the strategic management process due to the varying decision-makers' varying styles and the logic that differs among firms. Organizational norms can be directed toward overly competitive behavior that subsumes society's ethical expectations (corrupt behavior) or conversely grounded in the community's prosocial and the organization itself. For firm culture to influence organizational outcomes, it must provide some form of benefit, such as increased sales, higher margins, or productivity in the workforce (Barney, 1986).

Dynamic capabilities are defined as a set of specific and identifiable processes and routines such as product development, alliancing, etc. to match or create market changes, value creation through resource reconfiguration (Eisenhardt & Martin, 2000). One of the critical assumptions developed within the capability's literature is that these processes are complex,
causally ambiguous, and difficult to replicate (Barney, 1986, 1991; Conner & Prahalad, 1996; Teece, 1997). Within the seizing phase of dynamic capabilities, a humanistic culture will accentuate alliancing to uplift the organization in a prosocial manner. Lanier & Kirchner (2018) found in their study that Hofstede's cultural dimensions of power distance and individualism are predictive of corrupt behavior. It can be hypothesized that humanistic cultures with collectivist approaches (Ubuntu and Lakou) would be less prone to corruption.

Dynamic capabilities are effective when they can assist the firm in strategic positioning aligned with the rapidly changing environment it faces. Capabilities have been shown through empirical work to create value for organizations, which is a critical step in the firm's performance in markets (Peteraf, 1993; Mahoney & Pandian, 1992). In recent empirical studies (Wamba et al., 2017; Jantunen et al., 2005), researchers have explored dynamic capabilities effects on performance in varying contexts. These prosocial expectations can offset the corrupt actions external to the firm and redirect members to the firm's internal prosocial goals. Therefore, the study hypothesizes that humanistic culture can enhance the relationship between dynamic capability and performance. The mechanism is the power of social relationships: the placement of the community's needs above managers' individual needs and resistance from external pressures to engage in corrupt acts.

**Hypothesis 3:** In emerging markets, the relationship between dynamic capabilities and firm performance is moderated by culture such that a more humanistic culture strengthens the relationship, and a less humanistic culture weakens it.

### 2.27 Concluding questions

Chapter 2 has argued that corruption can be an internal characteristic exhibited by individuals or processes or an external characteristic endemic of rival firms as a systematic
approach to doing business. Nevertheless, corruption is still primarily external in emerging and
developing markets that have institutional voids. The management literature has explored how
corrupt behavior affects the firm and has established that it can have positive effects (greasing
the wheels) or adverse effects (reputation and economic challenges) (Mauro, 1996; Spencer &
Gomez, 2012). Nevertheless, there are still successful domestic firms in these environments
which thrive and grow despite corruption. Hypotheses have been formally stated in the prior
section, and yet these claims will be empirically tested in this dissertation to find evidence. The
literature review concludes with some lingering questions to provoke thought alongside the
hypotheses. The first question is: how does the external factor of corruption influence the firm's
ability to perform well? The paradox which exists is that corrupt is detrimental, but there is
inconclusive evidence to support under which conditions it yields performance advantages.
Secondly, what role does firm culture play in environments where corruption is pervasive? Since
culture can be a heterogeneous characteristic of an organization, this alludes to an opportunity to
yield culture as a competence.

To establish linkages between the corruption and culture literature, existing work will be
pulled from on corruption culture and ethics studies that discuss organizational initiatives to
address these phenomena. Nevertheless, these studies are, for the most part, examining the "code
of conduct" initiatives led by human resources in contrast to cultural characteristics driven by
leaders and followers. Another question stemming from Chapter 2 is: Can organizational culture
play a role in overcoming the institutional pressures to become complicit in corrupt behavior?

This chapter presented a systematic review of the literature connecting culture and
corruption to capabilities. The institutional context was important for this study as the typical
social structures such as routine enforcement, unambiguous regulations, and behavioral
processes to check corruption constitute the problem statement. The indigenous cultural values reviewed prior represent a spiritual passage that managers can attempt to revitalize their firms and revisit management approaches that fit their circumstances. Since there is ample diversity in the culture worldwide and within the African diaspora, it presents an opportunity to understand if utilization of Western management theory in African firms is problematic. Finally, what are the performance implications for the firm in these environments concerning survivability and above-average returns? Chapter 3, presents a methodology of this study and how the relationships will be tested.
CHAPTER 3
RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

In this chapter, the methodology of the dissertation is discussed. The chapter includes measures, choice of statistical analysis, research setting, and desired sample description. Data collection and empirical testing was completed in three phases. During phase 1, focus group discussions and one on one interviews were utilized to collect qualitative data towards answering research question 2: In post-colonial emerging markets, how do managers make meaning of corruption? Within phase 2, a survey questionnaire was utilized to collect quantitative data to address research question 1: If corruption is rampant in the external environment, how can firms overcome these challenges to create a competitive advantage? During phase 3, all data was in hand and coded, and aggregate dimensions were identified, as well as regression analysis.

Phase 1 represents the period when constructs were clarified through qualitative inquiry. Phase 2 involves collecting participant responses through a Qualtrics survey and identifying electronic copies of cultural artifacts (cultural totems, historical documents, business activities). Phase 3 included coding the data from the interviews and focus group on identifying themes and analyzing the survey data to test hypotheses. The ontological perspective is that the relationship between the four primary constructs in this dissertation can be examined through a mixed-methods approach holding certain assumptions to be true. The survey approach is positivist in nature and assumes organizations and their relevant factors exist and can be measured. The focus group and interviews are hermeneutic in nature. The analysis consists of statistical calculations, confirmation of internal and external validity, and performing robustness checks.
The total duration of data collection was 120 days. The timeline of the three phases is covered in table 2.

**Phase 1:** Focus groups, Semi-structured Interviews, and thematic analysis

**Phase 2:** Qualtrics Survey distribution

**Phase 3:** Collection and analysis of cultural artifacts and business documents

Pilot testing was conducted prior to phase 1 to engage in several practice interviews with members of the managerial community in Haiti and South Africa. Because this was a mixed-methods study, all transcripts of interviews and focus groups were reviewed and used in conjunction with quantitative data from the Qualtrics survey and firm documents. Based on the initial readings, parent codes were created. This process was a useful organization of the qualitative data, separate from the quantitative data. Data was analyzed in Dedoose and STATA software before being converted to Excel 2010 to create tables and figures. The following table illustrates the process chronologically of how data is to be collected in a conceptual map.

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Insert table 5 here

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3.2 Proposed methodology

**Perception of corruption**

This qualitative research methodology aims to answer the research question: In post-colonial emerging markets, how do managers make meaning of corruption? Through this research, the study explored how managers make meaning of cultural, economic, and organizational factors and how they shape their perceptions of corruption. The construction of meaning-making is the goal of some qualitative research design that seeks to understand people’s
motivations, perceptions, and lived experiences. Utilization of qualitative inquiry in focus groups, and interviews were conducted to answer research question two (meaning making of corruption). One assumption was that it is necessary to enter the institutional context by collecting primary data from the managerial participants to understand the constructs clearly. Phenomenology is the qualitative research area ascribed to this dissertation where the study will, through virtual means, collect data from the subject. Each human subject participant was given informed consent before engaging in the focus group or semi-structured interview.

**Research design (qualitative genre)** – The chosen approach to qualitative inquiry is phenomenology. Phenomenology is an approach that is common in qualitative research because it provides detailed, first-hand information on an individual's experiences (Nichols, Kotchick, McNamara-Barry, & Hasking, 2010). This methodological inquiry aims to understand the lived experiences of the participants and how their cultural belief influences their perception of corruption in their country (Ng & Earley, 2006). In general, qualitative researchers seek to understand the meaning that humans have constructed, which includes how people make sense of their world and their experiences in the organizations they inhabit.

**Setting and Participants:** This qualitative study's setting was virtual in nature, with engagement in zoom calls with participants. The populations of interest are ethnically from the country of Haiti and South Africa respectively, and have occupied managerial positions within their countries. Since travel to Haiti and South Africa was discouraged, the interviews with participants were conducted remotely. Data was collected until the dissertation reached theoretical saturation. The age group of participants will range in age from 30 – 50 years old. There were males and female managers in this study.
**Gaining Entry and Informed Consent:** Entry was gained to these contexts by sending electronic correspondence requesting these interviews. The access was granted by some of the participants whom connections were formed before the study. Informed consent was distributed to each participant.

**Researcher Profile:** The author’s ethnicity is Haitian, although he has lived in the United States for many years. Therefore, there are some presuppositions about the concept of corruption that must be stated. Acknowledgement of any bias was attempted by asking open-ended questions and disclosing all the participants' information. Because of the similarities with the respondents in one of the samples, there was an attempt to separate too much relatedness to avoid any conflict of interest.

**Qualitative Data management:** The interviews were transcribed and a copy of the data transcripts were saved electronically. There were also handwritten observations of some of the participants. A statement was made to the participants at the beginning of each interview that they will keep each participant's identity confidential by utilizing pseudonyms. This process will increase the trustworthiness and confidentiality of the participants. This critical goal of trustworthiness was founded in transparent and confidential procedures explained in the informed consent and interview protocol.

**Cultural artifact management**

Physical artifacts were collected in the form of financial documents or electronic copies of images representing culture or corruption in Haiti and South Africa to answer research question 1 (Strategy amidst corruption). Towards the end of the dissertation proposal there are several examples of the type of artifacts collected including images of the Lakou and Ubuntu
ceremonial meanings, and documents articulating the state of corruption locally. These are labeled A 1-5: artifacts 1-5.

3.3 Descriptive statistics

The analysis was enclosed in chapter 4 (results/findings) through text and multiple tables, which will detail the thematic analysis and demographics of the participants. The author collected the primary data remotely and searched for secondary data to include in the database he created. Qualitative analysis was performed using Dedoose. Quantitative analysis was performed in STATA via regression specification of structural equation modeling and ordinal logistic regression. Structural equation modeling combines factor analysis and regression analysis in the same approach (Cheung, & Rensvold, 2002). The purpose of structural equation modeling (SEM) is to test the interrelated nature of constructs and evaluate if unobserved (latent) variables are the underlying cause for multiple observed variables. Still, the belief is that SEM is the most appropriate due to the nature of the dependent variable and the data.

There are multiple dependent variables in this study, as mentioned. The justification of this SEM analytical approach is that it will allow testing of the items (factor loading) and evaluation of causality through regression. For example, multiple questions were posed for Ubuntu's construct, and then SEM can evaluate if any unobserved (latent) items exist and play a
role in the results. Additionally, the Harman one-factor test (through exploratory factor analysis) was applied as an additional robustness check to examine the common method variance's potential problem in this study.

3.4 Regression equation

The following is a general equation that expresses the relationship among the variables included in this dissertation.

$$FP = \alpha + \beta_1 LC + \beta_2 HC + \beta_3 DC + \beta_4 LC*HC + \beta_5 HC*DC + \beta_6 LC*DC + \beta_7 LC*HC*DC + \beta_8 C_1 + \beta_9 C_2 + \beta_10 C_3 + e$$

Where:

FP = Firm Performance (FP is one of the following outcome variables: goodwill, market share, and return on assets)

\(\alpha\) = constant term

LC = Local Corruption

HC = Humanistic firm culture

DC = Dynamic capability

C1 = Age control variable

C2 = Education control variable

C3 = Industry control variable

e = error term
3.5 Measures

This study's first set of measures are the explanatory/independent variables, namely local corruption, and humanistic firm culture. The level of analysis for dynamic capabilities and firm culture is the firm level. The level of analysis for corruption was meso, as it is measured on a firm-level in conjunction with the industry that each firm occupies.

Independent variables

Local corruption – Corruption was measured as the incidence of bribery or illicit behavior such as illegal contracts by firms within the business sector that the firm operates. This variable was either the perception (South Africa sample) or the recorded incidence of the behavior by local authorities who monitor and report (Haiti sample). Local corruption is a continuous variable. Sources were transparency international, the Zonda commission, and the Haitian Ministry of commerce. Survey items were derived from questions in the extant literature (Transparency.org, 2021; Spencer & Gomez, 2011). Through these communications, it was learned that that Haiti had a corruption perception (CPI) score of 18 which is second lowest in the Western Hemisphere behind Venezuela. Only 9 countries have lower scores than Haiti. In comparison, South Africa is ranked number 76 and has a score of 44. There is not a national chapter in Haiti for Transparency International but I was able to email the global headquarters and receive information about the factors which went into its low score. Communication was made with the national chapter in South Africa and inclusion of factors was made as talking points during the Interviews for both countries.

Humanistic Firm Culture – Ubuntu inspired culture was operationalized according to items in Ojiako, Mashele, & Chipulu’s (2014) empirical study that explored Ubuntu's role in construction
firms in South Africa. The authors utilized items that had been introduced in an earlier conceptual piece by Mangaliso (2001). A likert scale was utilized ranging from 1 – 5 with each item response indicating strongly agree, agree, neutral, disagree, and strongly disagree. The construct was operationalized by items exploring how the concepts of relationships with others, time, communication, age, productivity, and decision making were instrumental in the firm culture. The survey items inquire about how managers viewed harmony in decision making, age, and consensus building solution making in the organization. The sample items are listed below and at the end of the dissertation in the appendix.

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Insert Appendix 6 about here

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**Dynamic capabilities** - This construct was measured by items from the literature exploring the routines, processes, and learning activities owned by the firm, making them capable of performing a specific action (Zhou, Zhou, Feng, & Jiang, 2019). The variable was measured on a Likert scale ranging from 1 (strongly agree) to 5 (strongly disagree). Capabilities are explicitly conceptualized as the process of how resources were reconfigured and redirected into routines. The sample questions/items were conceptualized as capabilities that promote integration, learning, and managerial decision making. An appendix of sample items is at the end of the dissertation. This dynamic capability mathematical formula expresses the components of dynamic capabilities (Teece, 2007, 2018).
Dynamic capabilities equation:

The following is a general equation that expresses the relationship within the dynamic capabilities’ variable included in this dissertation.

\[ DC = SP + SB + TC \]

Where:

DC = Dynamic capabilities

SP = Sensing process

SB = Seizing behavior

TC = Transformed capabilities

The sensing process equals the social routine of paying attention to opportunities in the market as they are formed and considering if the firm is capable of meeting them internally. Seizing behavior is the firm's internal investments, developing resources, and refining the business model to increase capabilities. The aforementioned "transformed capabilities" are the existence of newly formed capabilities aligned with market demand.

Control variables

Control variables are defined as variables held constant within a study so that the focus can be on the primary outcomes of interest (Salkind, 2019). Control variables are typically found by reviewing existing literature to examine which variables were used in the past relevant to the
phenomena. After reviewing the corruption, ubuntu, and dynamic capabilities literatures, three control variables were identified: firm size, industry, and manager’s age, as discussed below.

**Firm size** - Prior studies have documented that firm size influences a firm's financial performance (Fama & French, 1992). The study utilized the total number of employees as a proxy for firm size. The firm's size can be utilized to operationalize the firm's ability to exercise productive economies of scale in their processes. The variable is categorical with a range of 1: micro (1-9 employees), 2: small (10 – 49 employees), 3: medium (50 - 249 employees) and 4: large (250+ employees) (Lopez-Perez, Melero & Sese, 2017). These cutoffs have been utilized in the extant literature and represent one measure to evaluate organizations’ size internationally.

**Industry** - This categorical variable is measuring each firm's segmentation based on the kind of firm they primarily compete in within the industry. The management literature has explored whether firm type, business unit, and industry matters in past studies (Rumelt, 1991; Peteraf, 1993). The range of the company types in the sample could consist of firms operating as engineering, transport, excavation, construction, manufacturing, and staffing.

**Manager’s age** - Previous research has shown that certain demographic factors may have an influence on organizational outcomes through attention, values, preferences, and decision making (Hambrick & Mason, 1984; Bromiley, 2005). Particularly, age has been utilized as a proxy for risk taking and perceptions towards decisions. Managerial age was a categorical variable in this study measured through an item on the Qualtrics survey with the scale of 1 – 21 – 30 years, 2 – 31 – 40 years, 3 – 41 – 50 years, 4 – 51 and above.
Dependent variables

The final category of variables represents the outcome of interest or dependent variables for this dissertation study. Firm performance (FP described in chapter 3) is conceptualized as three separate outcome variables, good will, market share, and return on assets below. The level of analysis is the firm level for all the dependent variables.

**Goodwill/reputation** – Reputation can be defined as the cumulative judgements of the firm by stakeholders over an extended period (Fombru, & Shanley, 1990). These judgments represent the firm's perception in the eyes of various stakeholders, such as customers, investors, employees, and the public. In a study by Black, Carnes & Williamson (2000), the authors argued that corporate reputation had value relevance and demonstrated competitive advantage. The authors computed reputation based on a fortune.com survey of firms' judgments subtracted by their financial performance. Goodwill/reputation was collected via survey and measured according to a scale ranging from:

**Profitability (Return on assets)** - Return on assets was selected as an indicator of firm financial performance as a continuous outcome variable. Return on assets has been utilized previously in the literature as an accounting-based performance indicator capturing profitability comparing income to the relevant assets utilized to achieve them (Waddock & Graves, 1997). Return on assets is calculated as the ratio of earnings before interest, taxes, depreciation, and amortization (EBITDA) to total assets. This profitability-based variable is subjective in nature as was also self-reported into the survey form for Haiti, although objective profitability data is verifiable for certain sectors through the Johannesburg stock exchange in South Africa.
**Firm growth** – Growth of the organization evaluates the log change in the percentage market share that the organization operates in according to Eddeling & Himme (2018). The question probes the percentage change in market share that the company has obtained and measured as a percentage. This measure is calculated based on 1 survey item response for the Haitian dataset and reported market share percentages for the South African dataset based on JSE procedures. The following table 6 summarizes the variables previously described for inclusion in the dissertation.

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Insert Table 6 about here
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3.6 Approach to analysis

This section describes the approach to quantitative inquiry to answer research question 1 (Strategy amidst corruption) with survey data. Qualitative data was collected from the interviews that will address the influence of unobserved factors and time on the effects. Quantitative data was also collected via the questionnaire and analyzed in STATA, whereas the qualitative data from the interviews was inputted into Dedoose software. Triangulation is essential for survey research due to the self-reported nature of the data sources. As mentioned, triangulation will relate the secondary data obtained in the South Africa sample from the Johannesburg Stock Exchange to any primary data (interviews) in this location. According to Dillman (2002), survey research is strong in finding generalizability but weak in establishing causality. The study combines the themes articulated from participants through qualitative data to clarify the
constructs and survey data to attempt to establish causality to address this challenge. Within the Haitian setting, surveys were electronically submitted through a third party local to the country, and survey responses were kept separate from the semi-structured interviews conducted to address the overall investigation.

In this chapter, the methodological approaches were outlined, which were implemented to answer the two overarching research questions. All steps mentioned in this methodology chapter were followed. In addition, a snowball sampling approach was undertaken, where engagement was made with the professional network of the researcher to collect data (Johnson, 2013). Each theoretical construct's subjective measures were listed in the questionnaire and plans existed to compare them to actual performance captured from an external source operating in the same industry. Survey research is weak in establishing causality because surveys are more focused on finding correlations (correlational research). It is not intended to manipulate variables such as experimental research design. To address this limitation, meetings were conducted directly with managers and industry insiders to ascertain any relevant events and factors. Non-response bias describes a scenario where non-respondents differ in some meaningful way from respondents. To test for non-response bias, an examination of the differences in the characteristics of respondents and non-respondents was conducted.

Within the final dataset, a comparison of all the mean values on relevant variables were compared to each other through a t-test. The t-tests dictated if the means differ in some meaningful way. If the means were similar, then a researcher can conclude that no non-respondent bias exists because the sample resembles other firms within the population. The ideal response rate would be over 35% for managers, a benchmark average for strategic management research (Baruch & Holtom, 2008). The goal was to exceed the average response rate and
achieve a response rate of 20% or more due to multiple reminders and assistance from the industry insider.

**A statistical approach and multi-collinearity**

The statistical analysis in the next chapter will include descriptive statistics, correlation coefficients, and structural equation modeling. The descriptive statistics consist of a table with the mean values, standard deviations, and correlations of all pertinent variables. The mean values and standard deviations provide the reader with the data's general characteristics, so they visualize the sample's components. Correlation ranges from 0 – 1.0 and measures to what degree variables move in the same direction. The correlation coefficients determine if the measures are independent. Regarding correlation coefficients, the study should not have variables that are too highly correlated (above 0.60), which could affect the results. If some variables are highly correlated, one can check for multi-collinearity by a VIF (variance inflation factor) test.

Multi-collinearity exists when a variable can be linearly predicted by other variables in the model and is a common problem. The dissertation attempts to use items that have been previously used in the literature and have precedence. The study's internal consistency was verified using the Cronbach alpha approach, ensuring that the minimum acceptable Cronbach's alpha is 0.70 (Taber, 2018). The average variance extracted (AVE) was used to check convergent and discriminant validity, as Hair et al. (1998) have recommended.

**Common method variance and Robustness checks**

Common method variance is a concern in any study which utilizes survey instruments (Doty & Aastakhova, 2020). Several potential error sources exist in survey research, including
participant motivation that may cause informants to misreport deliberately, perceptual, and cognitive distortions, and corresponding lack of information. Motivational and perceptual factors can be described as "common method bias," which begins when the same informant rates both independent and dependent variables. The existing research has found that a more fundamental source of error is respondents' lack of information. Data was collected from an external source that evaluates the firm's performance and interviews of relevant stakeholders to address this in the study.

### 3.7 Addressing threats to validity

Approaches to address the dissertation's internal validity concerns are: a) historical events, b) selection bias, and c) extraneous factors not investigated in the survey. The focus in addressing internal validity is to prevent selection bias. Selection bias refers to differences in the sample (For example, 100% male participants) and other firms within the population, which may bias the results. Earlier in the methodology, it was mentioned to perform a t-test of the sample participants' means compared to firms outside the study to test for differences. The inclusion of more control variables in this study can also measure any unwanted source of influence (confounding) that could invalidate the study's conclusions. Finally, performing a pre-test or a post-test study at different time points to examine if any historical events occurred may evaluate internal validity.

Randomization is essential for establishing validity. Due to the study design and the probability sampling approach, the random nature of a dataset can address external validity. To address external validity threats, one can attempt to randomize the sampling technique and collect data in multiple industries or geographic locations. All participating firms exist in the same countries (Haiti and South Africa), but they were located in various cities. Anything that
reduces the generalizability will reduce external validity. Randomization (probability sampling), or random sampling as it is also called, is when individuals are randomly selected into a sample that addresses external validity threats. This study is not a laboratory study, and lab experiments often fall short on ecological validity because of the level of manipulation. Natural experiments, where participant firms are randomly selected, can also be replicated more easily and applied to other settings, periods, or phenomena.

To address construct validity concerns in this study, the following steps are performed including: a) utilization of validated measures in the literature, b) conducting convergent validity, c) conducting discriminant validity d) conducting factor analysis. Utilization of measures/items previously published in the literature promotes confidence that the measures have been validated prior, particularly in the best journals in the field. Several techniques can be employed for this type of validity. Convergent validity refers to whether, for example, an individual trait measured by different methods yields similar results. For example, composite reliability can be utilized. A high value of composite reliability, ranging from 0.72 to 0.86, suggests reasonable convergent validity of the constructs. Discriminant validity refers to when different traits using the same form of measurement yields different results (are unrelated). Factor analysis can also be used when one desires to measure a given construct's distinct dimensions.

3.8 List of methodological terms

**Confirmatory factor analysis (CFA)** is a multivariate statistical procedure used to test how well the measured variables represent the number of constructs. The approach will determine how many factors are required in the data and which measure should be aligned with which latent variable. A latent variable is an unobserved variable that was collected in the study.
Cronbach's alpha measures internal consistency: defined as how closely related a set of items are to each other. Technically, Cronbach's alpha isn't a statistical test but a measure of consistency in the study's items. An acceptable Cronbach's alpha is 0.70.

Non-response bias - Non-response (or late-response) bias occurs when non-responders from a sample differ in a meaningful way to responders (or early responders). This bias is common in descriptive, analytic, and experimental research, and it has been demonstrated to be a severe concern in survey studies.

R-squared (R2) is a statistical measure that numerically displays the proportion of the variance for an outcome variable that can be explained by an independent variable or variables in a regression model. Typically, in the social sciences, R-squared are not as high as in the natural sciences, but an R-squared of 0.30 or higher means the model has a reasonable influence on the outcome variable.

P-value - The P-value, or calculated probability, is the probability of finding the observed results when the null hypothesis (H0) of a study question is valid. The smaller the p-value, the less likely to see an effect given that the null hypothesis is correct. Combined with the level of significance (0.05 or 0.01), a researcher is searching for a p-value that is less than the level of significance to reject the null hypothesis and demonstrate that there is statistical significance.

Multivariate regression analysis – regression analysis is a statistical technique that tests the relationship between one or more independent variables and the outcome variable(s). When completing the investigation, a regression coefficient is produced, demonstrating how much a change in an explanatory variable has on an outcome variable. For instance, a regression
coefficient of 0.50 would indicate that a 0.50 difference in the explanatory variable would have a positive increase of one unit in the outcome variable.

**Multi-collinearity** - Multi-collinearity exists when other variables in the model can linearly predict a variable, and it can be a common problem in quantitative research. A check for multi-collinearity through tests can verify the existence of this concern in the model or not. The survey questions will use items that have been previously used in the literature and have precedence and relevance to the research question.

**Structural equation modeling** – structural equation modeling (SEM) is a type of regression analysis that combines confirmatory factor analysis and regression analysis to show the nature of the relationships in the experiment.

**Internal validity**

Internal validity is about evaluating causality. Does the internal design of the experiment allow one to draw inferences about the relationships between independent variables and the outcome variable? The null hypothesis states there is no effect between the relationship of the alternate hypothesis. The study is attempting to reject the null hypothesis by providing evidence through their research hypotheses through an internally valid experiment that there is a statistically significant relationship. Internal validity also pertains to the overall logic of good experimental design: mainly, internal validity speaks to if the procedures and methods in the experiment are arranged optimally (Underwood, 1957, pg. 86). Threats to internal validity can be confounding variables, historical events, or bias. One of the approaches to addressing internal validity is implementing probability sampling, where the data is randomly collected for the study. One can also attempt to exclude any confounding variables that may skew the results of the research. If
internal validity is addressed optimally, one can claim that they likely answered the research question or put another way that the dependent variable's effects were evaluated unambiguously.

**External validity**

External validity is the step within research design when one considers if the study results can be generalized universally to other people, settings, or periods. The threats to external validity may be that the focus of the research is too narrow or disconnected from the real world. There are two types of external validity, ecological validity, and sample generalizability. Sample generalizability pertains to whether the sample can be helpful to other settings and those not in the sample. Ecological validity refers to whether the experiment results are concerned with a real-life impact, which can be useful to practitioners and the actual subjects being researched. The research study may be internally valid because the design was appropriate for answering the research question. Yet, the question of externally validity pertains to if the results can apply universally to other settings. At times, a researcher focuses too much on random assignment and research design, which reduces generalizability and increases internal validity.
CHAPTER 4

EMPIRICAL ANALYSIS AND FINDINGS

4.1 Introduction

This chapter presents the analysis and interprets the findings. It begins with a restatement of the qualitative research question (RQ2), followed by the methodology and analysis of the empirical findings from the data in each country. Next, the quantitative research question (RQ1) is restated, and the methods, analysis, and findings are reported for each country. Table 7A below describes the collected quantitative data and their intended purpose as part of the research methodology.

Restatement of research question 2

A qualitative approach was employed to answer RQ2: In post-colonial contexts, how do managers make meaning of corruption? The analysis and empirical findings showed substantial evidence that managers within the study had complex perceptions of corrupt behavior in the Haitian and South African contexts. The remainder of the qualitative portion of this chapter is organized as the analysis and findings sections.

4.2 Research methodology

Participants were recruited through professional networks on social media and professional affiliations to engage in interviews and focus groups. The participants were selected...
for recruitment if they were identified as managers currently working in either the Haitian or South African context for an organization with at least 5 years of experience. Individuals were asked if they were willing to participate in either an interview or a focus group with other participants. As a result, the final total of participants was 40 human subjects (12 interviews and 8 focus group participants in each country). Most of the participants in the interview process were between the ages of 35-45 and possessed a bachelor's degree. The sample should be representative of both populations in that any of the participants could have answered focus group or interview questions. Data were collected for the focus groups and interviews by phone and through the platforms of WhatsApp, Zoom, and Facebook Messenger. These sessions were transcribed with Otter and Scribie, and then transcriptions were uploaded to Dedoose software.

Dedoose was employed in this study due to three benefits: it allows multiple users to participate in analysis simultaneously, allows one to create a family of codes, and is user-friendly. Additionally, Dedoose can analyze qualitative and quantitative data together in the same project, where the research can create tables and figures for each approach. Codes were created within the Dedoose software as reported in this chapter. Concerning coding of data, the Gioia method was utilized for the following reasons listed in the next section.

4.3 The gioia method

The gioia method is a practical approach because it focuses on listening closely to the informants' first-hand accounts and perceptions of the underlying theoretical construct. The motivation behind this decision to utilize the gioia method for the qualitative analysis was its strong reputation for scholarly rigor (Gioia, Corley, & Hamilton, 2013; Charmaz, 2014). Observing the meaning-making directly from informants at various organizations can help develop theoretical constructs, which is one of the goals of this dissertation. The gioia method
makes two main assumptions, and in doing so imposes qualitative rigor to capture the experiences of the human subject. The first fundamental assumption is that the organizational world is socially constructed, and the second assumption is that the actors in these organizations are knowledgeable agents (Gioia et. al, 2013). These assumptions are important because they allow the researcher to center the perspective of humans in organizations and focus on understanding the knowledge of their experiences at work. The meaning-making observed within the data structure suggested by the gioia method reports first order, second order, and aggregate dimensions. The first-order data comes directly from the participants, second-order data are generalized themes, and aggregate dimensions are the major themes within the study.

4.4 Focus group analysis

The first type of analysis was performed on the focus group qualitative data. A total of 4 focus groups were completed with participants (2 from each country), as each session was primarily administered to understand the theoretical constructs to a greater degree. This process was advantageous for engaging in the interviews and interpretation of the findings in this chapter. Some of the questions posed by the researcher are the following: How do you define Lakou? What is the first thing that comes to mind when you hear the word Lakou? Do you think the country’s reputation as being a corrupt environment is justified? How do you feel about Ubuntu? How do colleagues communicate their belief systems within the Ubuntu philosophy? These statements were helpful within the semi-structured interviews because the interviewer was able to provide relatable definitions of constructs to orientate the conversation. A definition was provided for each construct, as well as individual experiences from each participant. The participants in the focus groups were highly engaged and familiar with each of the constructs.
mentioned, although the 'dynamic capabilities' theme was more challenging to distill during that session.

The two main findings from the focus groups were a) specificity through practical examples of constructs by managers and b) clarification on institutional voids. Institutional voids were discussed as themes in the literature here and subsequently in interviews to ascertain if managers considered their local environment relatively devoid of formal institutions. Participants were first told that institutions were norms, or rules that direct human behavior and then asked if they have encountered them. Follow up questions to their initial statements were the following: In your view, what needs to be addressed at the (a) national, (b) industry and (c) organizational levels for institutions to be relevant in the country? (Amaeshi, Adagbane, & Adagbite, 2016).

Institutions stem from Dutch and British rules and because the white minority is primarily ethnically from these countries, institutions support this group retaining wealth and power. Haitian managers believed that the chaos within the government was broadly meaningful as it exemplified the broken institutions existing in both public and the private sector. In summary, Institutional voids apply to Haiti and not South Africa, per qualitative data. Within Table 7B (below), critical statements given by members of the Haiti and South Africa sessions are provided, which can be utilized to capture practitioner conceptualizations of the four main constructs.

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Insert Table 7B about here

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4.5 *Lakou* qualitative analysis

After the focus group sessions were completed, the data was transcribed and coded, and some of the relevant themes were derived and used to validate figure 2, which was previously conceptualized in chapter 2. In chapter 2, a literature review was performed, which uncovered some of the existing conceptualizations of *Lakou*. The main objective in creating figure 2 was to create a visual of how *Lakou* manifests itself in organizations based on the qualitative data. Some of the focus group and interview responses were utilized to begin clarifying corruption perception by managers and construct clarification of *Lakou*. This qualitative data has been instructive in describing the *Lakou* theoretical construct within the area of management. Relevant questions that were asked to participants were the following: How do you feel about *Lakou*? What impact has *Lakou* had in your industry or firm? Each activity within figure 2 represents organizational phenomena that have been linked to *Lakou* by participants in the study.

Participant #1 described *Lakou* as "a systematic approach to management which can yield results for an organization including addressing corruption, empowering employees, and inclusion in the national economic system." Several Haitian managers described themselves as proud of their ancestral lineage and the history of solidarity through the *Lakou* system. Participant #1 described the Lakou approach as "a method to galvanize support for partners and market the value of their organization." Partners and investors are interested in supporting firms that engage in *Lakou* because it signifies that they desire to work with other Haitians, which bonds all parties together in solidarity. Likewise, Participant #3 described *Lakou* as "my spiritual foundation as I strive to include as many partners as possible within a capitalistic system which excludes many Haitians." *Lakou* is a tool for inclusion in remote, rural areas where human
involvement is scarcer than in urban areas. Thus, *Lakou* is a tool for inclusion connecting firms to share resources accordingly.

Several of the participants admitted that many of their peers did not have a deeper understanding of spirituality and history within the country, which may have led them to be more susceptible to unethical behavior which might betray their people. Participant #5 stated that "spirituality typically invokes humility, and a sense of accountability to others to serve a higher power, which in turn contradicts the unethical behavior that may hurt God or others."

Alternatively, Participant #3 described her work with agribusiness and corporate partners as developing a system to include rural entrepreneurs with larger organizations. She stated: "*Lakou* is not a term commonly referred to by public authorities and leaders although it is widely popular within the masses." Inclusion within a global and national system of trade is the highest potential for the *Lakou* management structure. Start-ups who do business in Port au Prince (Haiti's capital) deal with more corruption, uncertainty, and crime, but benefit from access to resources. The following table (7C), lists some of the quotes from participants which relate to the dimensions of *Lakou* from their perspective.

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Insert Table 7C about here

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4.6 Qualitative data from Haiti

There were 12 interviews conducted in the institutional context of Haiti (N = 12). The sample includes both male and female managers in 6 different industries. Table 8A illustrates the data structure in the Haitian sample with codes and themes uncovered from the qualitative data in both contexts. This provides a general overview of the types of themes in the qualitative portion of the dissertation before discussing each context.

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Insert Table 8A about here

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Colonized state

The first aggregate dimension from Table 8A refers to a 'colonized state,' expressed by several Haitian sample member participants. This can be conceived as managers in the private sector believing that their public sector counterparts are useless since foreign entities control them and the policy they implement. For example, Participant #5 stated, "Haitians do not control our country; the entities which facilitate international trade are foreign agencies not located here." This creates a cynical perception of the ability of managers to overcome corruption in the country while they are making meaning in their environment. A recurring theme was that many elitist groups are in senior ranking positions at firms and do not typically welcome indigenous Haitians into influential roles. Participant #4 also stated, "One of the inconspicuous ways that inequality plays out is through education, which results from lack of access to quality education which would set individuals up to achieve influential roles." Participant #2 echoed the earlier sentiments of another participant in stating, "Haiti is not controlled by Haitians," which can be
interpreted as alluding to a colonized state controlled by an elitist group of people. Participant #6 from the Haitian sample described the institutional environment as "difficult to grow without collusion unless your values are strong and integrated with others." During the time of the dissertation, the president of the country was under significant criticism. The lack of certainty and control in the public sector appears to be an issue for Haitian managers. Thus a 'colonized state' manifests itself as an aggregate dimension from the data.

The overarching theme of corruption perceptions was explored in semi-structured interviews. All 12 interview participants and focus group members seemed aware that corrupt behavior exists within their respective industries. Nevertheless, these participants described corruption as challenging to observe first-hand. Several participants stated that the official organizational culture is created by a formal, organization-wide statement, which may not represent organizational life accurately. Still, in smaller leadership teams, not everyone complies with the stated organizational ethics/behavior. This can be interpreted as members of the organization diverging from the stated culture to engage in behavior as they see fit. For example, Participant #2 stated, "Leaders give off the energy that you do not belong or deserve to be at the table and hold animosity from my non-Haitian colleagues."

Table 9A, 9B, 9C, 9D below present a demographic overview of the participants in the qualitative portion of this sample.

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Insert Table 9A about here

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Indigenous advantage

The aggregate dimension in Table 8A of "indigenous advantage" describes organizations that embrace the *Lakou* approach in their routines, processes, and strategy. The capital of Haiti (Port Au Prince) is heavily over-populated although the economy is perennially weak and chaos is commonplace, this create a cold, businesslike environment. Meanwhile, the rural communities on coast are isolated and struggle to access opportunities in the capital. Participant #4 noted,
“Working together in a *Lakou* creates a network which helps firms to participate in the economic system despite they being located in remote areas” Within some of these rural communities of Haiti, such as Les Cayes, where participant #3 and #6 worked, there exists tremendous potential that is still untapped due to exclusionary practices within the country. While talking about *Lakou*, Participant #6 stated that "If I were the leader of an organization, I would behave similarly because I feel this would create an advantage for a firm in her industry regarding developing cohesion and productivity." These sentiments were also discussed in the focus groups while engaging in dialogue on culture in Haitian organizations. Honoring the indigenous culture of natives appears to be a valuable resource as firms attract partners and stand out from competitors.

### 4.7 Conditions leading to corruption perceptions

After reviewing the transcripts, a further understanding was sought on whether any conditions influence how managers perceive corruption. As displayed in Table 8B, several conditions seemed to denote when corruption is more widespread, including the type of industry, and ethnicity. Participants in the Haitian focus group (Table 7b) outlined that corruption was less frequent in agribusiness or restaurants, but more common in construction, finance, or energy-related fields. Specifically, Participant #3 stated that "I am relatively unaware of unethical behavior in her agricultural activities due to the level of isolation away from bureaucracy. However, more money and bureaucracy in construction and energy development attract competition and corruption locally." The level of investment in reconstruction within Haiti is high by large, foreign NGOs, such as the Red cross; yet, it is relatively unknown where most of the international aid received by them has been spent. This creates the perception that these significant agencies and corporations are helping the country. In some instances, this is true, yet
most of the financial investment never reaches Haitian families and businesses and is controlled by foreigners in many other instances.

4.8 Qualitative data from South Africa

The qualitative data portion of the South African sample includes 12 interviews administered in the institutional context (N = 12). Through several responses by participants, it was determined that South Africa should not be considered to have "institutional voids." There are many formal institutions in South Africa, e.g., the Johannesburg Stock exchange which facilitates public offerings for hundreds of firms. Nevertheless, some of these organizations are headquartered and controlled by foreign powers, which causes them to be dominated by those who may not have the country's best interests at heart. One of the aggregate dimensions in Table 8B from the South African sample is a systematic level of corruption, which refers to widespread instances of institutions that allow preferential granting of tenders to be utilized to facilitate corruption. In other words, when managers are bidding on tenders, there is a belief that behind-the-scenes individuals are abusing their authority to grant tenders to those with which they have illicit relationships. As mentioned, through the focus groups, the theoretical constructs were clarified, for example the term most utilized was "genuine kindness" to describe Ubuntu. Alternatively, South African managers were convinced that formal institutions existed and were influential, yet race relations were difficult and central to business activity.

**Systematic corruption**

The first aggregate dimension in Table 8B was ‘systematic corruption’ which can be described as corruption which occurs due to the rules, norms, and processes in a context.
Institutional norms promote access to information to be restricted from those which represent marginalized gender, social class, and even ability to speak Afrikaans (the language of the white minority). Participant #3 stated, "My organization is very hierarchical, and although I am an executive, information is restricted from me." According to Participant #3, “the corporate performance of their firm is self-sustaining, due to the hierarchical nature of the organizational structure, which was ideal for the industry. Senior executives can be very paternalistic and can weaponize the language of Afrikaans to restrict black managers from decision-making and access to information. Everything you do and say is an attack.” The previous comment can be interpreted to mean that the executive speaking believed her Afrikaner superiors were talking down to her and believed she was inferior, and even utilized her inability to speak their language against her at times. Participant #7 is a black female executive who is self-described, outspoken, and driven, which allowed her to perform well, yet this organizational culture faced her. Participant #7 stated, "Girl, at about 6 pm, you need to leave the office because they start to use their bedroom voices," as an example of internal pressures and a sexist environment that permeated the culture of one of the participants. This executive described incidence of corruption to not be simply originating in individual, human ambition, but instead to be systematic where entitled groups of people exploit any rules that allow them to conduct this behavior without repercussions.

**Race related corruption**

We can also see from Table 8B that corruption can be conceptualized as race-related, which is the second aggregate dimension in the South Africa sample. Almost all participants described corruption as perpetuating poverty and exacerbating income inequality. Participant #6 specifically stated, "The white Afrikaners attained their wealth through stealing of land, which is
a form of corruption since those in the township were excluded from ownership." Corruption is oftentimes facilitated by tender transactions that are available to certain groups of people. Tenders were frequently described as the most readily identifiable source of corruption within the South Africa context, although they are often shrouded in secrecy.

Tender is a common term for business practitioners referring to a process whereby governments or large financial institutions open a bidding process for large, lucrative contracts. One of the participants described Ubuntu as being an ideal characteristic that a manager could exhibit. Participant #5 stated, "When my boss asks me to jump, I respond ‘How High' because I know how much he cares for me, and I know we share the same identity and interests in who I am ethnically and interpersonally.” Participant #7 elaborated that "Ubuntu does not exist in every organization, however sexism and racism do exist." Through the interpretation of the data, it was found that humanistic management varies by organization, yet can affect the perception of organization life for stakeholders.

Table 10A, 10B, 10C, and 10D below graphically show select participants' demographic makeup within the focus group and semi-structured interviews. The gender of the participants in the semi-structured interviews was split 50-50 male/female, and there were managers ethnically identifying as Colored, Xhosa, and Zulu ethnic groups and Afrikaner. The managers were also more educated than the Haitian sample, with most participants holding a master's degree or higher.
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4.9 Conclusion of qualitative findings

In summary, corruption can be a significant issue in emerging markets, although the implications vary by country and relative level of institutions. Both sets of managers described the deep colonial histories as still normalizing tolerance of unethical behavior. The overarching themes derived from the qualitative data are that Haiti is still a 'colonized state' that is currently perceived to have too much chaos to overcome corruption yet some firms are capable of creating an “indigenous advantage” through their cultural resources. Managers have primarily perceived Lakou as a practice more common to rural locations and the evidence suggests Lakou has been utilized to assemble and empower some groups of firms. Institutional voids are low or minimal within the South Africa sample as legal systems and capital providers are more prevalent than in Haiti. The overarching themes in the South African sample are that corruption can be systematic and race related due to the unique mixture of ethnic groups locally.

The key distinctions are that South Africa has an established intermediary and capital provider (Johannesburg Stock Exchange) and legal agencies facilitating the monitoring of corruption, e.g., Office of the National Director of Public Prosecutions (Public Protector) and State Capture (Zondo Commission). These agencies were well known and recognized as providing increased transparency by several participants in the South Africa sample. Nevertheless, South African managers struggle to integrate Ubuntu into strategic routines in
significant organizations, and this cultural identity was less recognized than Lakou by the Haitian participants I encountered. Additionally, institutions are inherited from the colonial areas which once formally controlled South Africa. Therefore, the practice of giving preferential treatment through tenders oftentimes enriches managers who are aligned with the elite groups within the country.

**Restatement of research question one**

Three hypotheses were developed in chapter 2 to answer research question one. RQ1: If corruption is rampant in the external environment, how can firms overcome these challenges to create a competitive advantage? The types of data collected include survey responses and physical documents as artifacts in each sample location. The three formal hypotheses are restated below. Quantitative analysis was implemented as an approach to finding evidence to answer this research question.

**Formal hypotheses**

**Hypothesis 1:** In emerging markets, firms with greater dynamic capabilities will outperform firms with weaker dynamic capabilities.

**Hypothesis 2:** In emerging markets, the relationship between dynamic capabilities and performance is moderated by corruption, such that high corruption weakens the relationship, and low corruption strengthens it.

**Hypothesis 3:** In emerging markets, the relationship between dynamic capabilities and firm performance is moderated by culture. A more humanistic culture strengthens the relationship, and a less humanistic culture weakens it.
The remainder of the quantitative portion will include the procedures for data collection, data cleaning, analysis, findings, and interpretation.

4.10 Quantitative data collection

The data collection procedures were several steps that culminated with two separate samples of survey responses. The first task which was initiated was the creation of a Qualtrics survey with 25 questions. The survey contained a link that was capable of being sent electronically to participants. The next task that was accomplished was creating an electronic flyer that was utilized to market the surveys in both geographic locations. Next, the survey was sent within professional networks to managers through a snowball sampling approach to collect data. These individuals filled out the survey questions and forwarded the link to other colleagues. The flyer and emails stated that participants would have access to the findings and all responses were confidential.

To collect enough participant responses, engagement in listserves and professional networks was conducted to spread the word of the study. The flyer was helpful in this process because it contained an email address for any participant to establish contact. The process lasted almost two months and required multiple reminders and follow-up messages to each of the networks to motivate responses. Once a minimum of 200 responses were collected, there were no more reminders sent to participants, and a thank you note was posted to show appreciation to any network members. One of the insights learned is that having an insider within an industry is especially important in garnering interest and desire to research. Participants tended to listen more to these insiders that they know before the study and become more responsive than they would to an academic researcher which was helpful in achieving the response rate.
Survey response rate

Surveys were distributed electronically via email through my network of contacts, social media, and public listservs. The total population that the survey was sent to was roughly 1,105 individuals. Of the 1,105 individuals, the total number of recorded responses was 485. Some of the survey responses were incomplete or unusable. Thus, the final sample was narrowed down even further to 443 usable responses after data cleaning—these 443 usable responses divided by 1,105 equal a response rate for the survey of 40.08%. The total amount of participants in the qualitative portion was forty, therefore N = 40. The focus group and interview participants were also identified as contacts within my professional network and recruited to answer questions listed in appendix 2.

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Insert Appendix 2 about here

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Insert Appendix 6 about here

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Data cleaning

Data cleaning is the process of fixing incorrect, duplicate, missing, or corrupted data. Once data was received, it was downloaded and placed into a Microsoft excel spreadsheet. From there, the samples were searched for any missing values or outliers. There were no extreme
outliers (+2 standard deviations from the mean), yet there was a small amount of missing data (6 missing survey responses). There are three approaches towards dealing with missing data, including deleting the specific observation, altering how the data is used, or inputting the value according to similar observations (Corales, Corales, & Ledesma, 2018). The missing values were placed in the sample based on similar observations to address this issue. The goal was to create a dataset that is complete, uniform, consistent, and accurate. After this cleaning process, the dataset was of higher quality.

4.11 Descriptive statistics

In this section, general trends are discussed within the survey data based on the descriptive statistics. The following tables provide a descriptive overview of both the Haitian and the South African samples. Table 12A reports the mean, standard deviations, coefficient alphas, and correlation coefficients the Haitian sample.

Table 12B reports the means, standard deviations, coefficient alphas, and correlation coefficients for South Africa. To test the reliability of each set of items in a theoretical construct, the 'alpha' command was performed in STATA, followed by the names of each item. The result of this analysis is displayed below. A cronbach's alpha of 0.60 (or above) indicates internal
consistency for the items. The items were all above the acceptable level. Finally, an analysis of internal consistency for the corruption, humanistic culture, and dynamic capability survey item questions was conducted. This was an essential step, as the empirical result determined that the measures would work consistently and reliably over multiple participant responses.

Table 12C reports the means of each variable in the respective samples as a comparison to how respondents answered the survey questions on average in each geographic location. Both samples are similar in many aspects, yet the education level differs with more advanced degrees in South Africa and higher mean scores in humanism. This corresponds well with Table 12A and 12B, where education, industry, and humanism were correlated at a significant level.

The intention of creating Table 12C as a descriptive table of the quantitative data is not to draw comparisons to answer either of the research questions. However, it is intriguing to observe how this subset of the Haitian and South African populations responded despite differences in country size, institutional voids, and other identifying characteristics.

4.12 Regression analysis

The regression model created was appropriate because it includes all the relevant variables. We determine that the model fits well and explains variance if a positive and statistically significant value appears for dynamic capability or humanistic culture variables.
Alternatively, if a negative and statistically significant value is identified for the corruption variable in relation to the outcome, then the model also fits well. The following is a restatement of the general regression equation that expresses the relationship among the variables included in this dissertation.

\[ FP = \alpha + \beta_1 \text{LC} + \beta_2 \text{HC} + \beta_3 \text{DC} + \beta_4 \text{LC*HC} + \beta_5 \text{HC*DC} + \beta_6 \text{LC*DC} + \beta_7 \text{LC*HC*DC} + e \]

Where:

FP = Firm Performance

\( \alpha \) = constant term

LC = Local Corruption

HC = Humanistic firm culture

DC = Dynamic capability

\( e \) = error term

Tables 13A and 13B provide the results of our hypotheses tests through ordinal logistic regression: within-unit R-squared and changes in within-unit R-squared can be observed at the bottom of each table. Model one is the reduced form of the regression equation which includes covariates, explanatory variables and one interaction effect (Humanism*Capabilities). This interaction effect was the humanism theoretical construct which was explored in detail from the qualitative approach ‘Ubuntu’ and ‘Lakou’. The justification for displaying this interaction effect in both models was to ascertain any impact it may have in the presence of all the other factors and alternatively with the controls.
The only covariate that consistently showed statistical significance in both samples was education. Model two is the full model which contains covariates, explanatory variables, three two-way interactions, and one three-way interaction. An interaction between two (or three) variables means that the effect of one explanatory variable on the dependent variable depends on the level of the other explanatory variable. For example, for firms with variance in humanistic culture their effect on profitability depends on variance in dynamic capabilities with a coefficient of 0.193. The results of the hypothesis testing contain the regression coefficients, which have asterisks (*) next to them, annotating statistical significance or not. Within each set of items in the survey data (e.g. Corruption item 1-4) each mean item value was averaged for each variable.

Hypothesis #1 predicts that dynamic capabilities are positively associated with firm performance, and support was found for this association ($\beta = 0.004$, $P < 0.05$). Hypothesis #2 also found support for predicting that corruption negatively moderates the effect between dynamic capabilities and firm performance ($\beta = -0.397$, $P < 0.05$). To consider corruption's impact from the organizational perspective, firms that could expect to generate $100,000$ in revenue based on their dynamic capabilities would generate only $61,300$ in these contexts because of corruption. Finally, Hypothesis #3 found support for predicting that humanistic culture will moderate the relationship between dynamic capabilities and firm performance ($\beta = 0.611$, $P < 0.05$). The second and third hypotheses are moderations (interaction effects) which can be interpreted as the effect of dynamic capabilities on performance increases at different levels of humanistic culture and decreases at different levels of local corruption.
P values, and unit changes in R-squared provide evidence that can be utilized to answer research question one (RQ1), Strategy amidst corruption, of the corresponding effects on performance for firms in this context.

Similarly, partial or complete support was found within the South Africa sample for hypotheses 1 and 3 per Table 13B above. Humanism as an explanatory variable did not find statistical significance; however, the interaction between dynamic capabilities and humanism yielded a positive coefficient of 1.44. This can be interpreted as a one-unit increase in dynamic capability has a differential effect on firm performance at increased levels of humanism. This provides evidence supporting hypothesis #3. Table 14 summarizes which hypotheses were supported or not towards addressing research question one, Strategy amidst corruption.
4.13 Factor analysis

This section will provide the results of the exploratory factor analysis for each of the samples in this study. The exploratory factor analysis was run with the use of the 'factor' command in STATA software. Table 15A demonstrates factor loadings for the Haitian sample, and table 15B consists of factor loadings for the South African sample.

A scree test was performed to determine the number of factors to keep in the study based on the plot. The determination was three factors for the Haitian sample and two factors for the South African sample. Factor 1 represents humanism, Factor 2 represents corruption, and Factor 3 represents dynamic capabilities within the Haitian sample.
Within the South African sample, Factor 1 represents corruption and Factor 2 represents humanism as latent constructs. In combination with the regression results, we can see that the items relate sufficiently to the latent factors. One suggestion for future research would be to complete a confirmatory factor analysis on the dataset. In order to check for robustness in this dissertation, an additional regression technique was sought below.

**Robustness checks with structural equation modeling**

Robustness tests were utilized within the quantitative research to verify the results to ensure similar findings are revealed with an alternative technique. Ordinal logistic regression was utilized as the primary technique, and structural equation modeling was implemented as a robustness test. Sufficient minimum sample size was collected (N = +200) to conduct structural equation models, and the dataset is more than adequate for ordinal logistic regression. A structural equation model was created for corruption, dynamic capabilities, and education. The empirical findings from the robustness checks are reported in Figure 3 and 4 below for each respective sample. The robustness check, factor loadings, fit indicators, and regression specifications were developed to understand whether the model fit.
Within figures 3 and 4, we see the coefficients of interest in the structural equation modeling listing covariances, error terms for the various paths. There is an asterisk next to any path coefficients which were significant at the < 0.05 level. In both the Haitian and South African samples, the only paths with statistically significant coefficients lead from corruption to performance.

4.14 Conclusion of quantitative findings

In conclusion, the quantitative analysis has revealed several interesting findings in both empirical contexts. The belief is that rich, empirical evidence was found to answer research question 1 (RQ1) and further extend theory in the corruption and culture literatures respectively. The descriptive statistics demonstrated some similarities and differences in how participants responded to the Qualtrics surveys. The reliability of the survey instrument was determined by
capturing accurate measures of the variables in coefficient alphas. The values for reliability were sufficient according to standard criteria in management journals. Regarding model fit, it is also essential in any quantitative analysis to determine a priori what values and criteria would be necessary to determine if the model is appropriate and find support for formal hypotheses.

Model fit, relevant variables, direction, and minimum criteria were discussed for the regression equation (Taber, 2018). The primary approach to the measurement of the regression analysis was ordinal logistic regression, due to the ordinal scales throughout the research instruments. Through the subsequent tests, support was found with statistical significance for some of the hypotheses determined by R-squared and p values. Finally, robustness checks were performed with structural equation modeling to determine if survey items loaded on latent variables and additional regression analysis to supplement the primary technique (Dillman, 2002; Doty & Aastakhova, 2020).

4.15 Triangulation through archival documents

I sought to triangulate the empirical findings from separate sources using documents from the following organizations: Transparency International South Africa, Haitian Ministry of Commerce, Public Protector (Madonsela), and the Zondo Commission. The Public Protector, Thuli Madonsela, and the Zondo commission were initiated during the Zuma Presidency to investigate widespread corruption. The public records of accusations of bribery against corporate leaders such as Jehan Mackay were cross-referenced against the survey and interview data (Malatji, 2021).

Telecommunications companies and consulting firms are recent examples of organizations which have been incriminated in investigations within the past 5-10 years. The
results of these public records shed light on how elite families, such as the Gupta brothers, were able to facilitate bribery with public officials. Many participants from the interviews in South Africa were aware of these instances, and state that secretive relationships between senior decision-makers in their firms and other firms are how many of these arrangements are carried out. Finally, 10 participants provided suggestions for references for publicly available statements and cultural artifacts in the survey's comments section. These archival documents were utilized for triangulation of the survey results by matching the corruption perception of the sector or the performance of the individual firm.

The Haitian ministry of commerce provided information on some alleged and convicted members for corruption in Haiti, including several mulatto, Syrian, and Haitian elite families and executives. Additionally, the Petrocaribe scandal for missing money from the Venezuelan government was alleged and detailed in these reports. Finally, three survey participants were able to provide references to documents measuring the corruption of the various sectors in their country. This information was utilized during the interview and focus group phases on questioning and matching industry corruption perceptions.

4.16 Conclusion to empirical findings

All the data was cross-sectional as mentioned in chapter 3, a limitation that reduces the ability to establish causality. However, primary data was obtained from executives and entrepreneurs who provided valuable, first-hand accounts of their managerial experiences in each context. Moreover, these managers in Haiti and South Africa recognize that corruption is an issue and can specify how this behavior occurs in their daily work. Institutional voids were more apparent in Haiti as demonstrated by the absence of capital providers, formal stock exchange, and major investment banks.
Several discoveries can be determined from the research findings. First, significant income inequalities exist between the white minority and black majority professionals living within the townships where many of the managers in the study originate in South Africa. These income inequalities were more disparate in the capital of Haiti, Port-au-Prince. Second, the unethical behavior stems from the entitlement of specific to “reap the benefits” of the corruption opportunity created in emerging markets. Third, data triangulation was conducted to identify sectors that are commonly exposed to corruption, such as asset management, mining, construction, and transactions heavily influenced by the government. Finally, several agencies are tracking the progress of anti-corruption efforts within the African diaspora, which can be utilized by researchers and practitioners in the future.

As is the case in most research, alternative models can be used to describe these phenomena in these institutional contexts. Nevertheless, “mixed methods” the combination of primary qualitative data with quantitative data provides a clearer picture of organizational life from the perspective of local managers. I decided to engage in mixed methods research approaches so that the qualitative and quantitative data can be integrated to help explain the phenomena better. The models could explain adequate variance in certain outcome variables, providing evidence specific explanatory power exists. Multiple hypotheses supporting the theory developed in Chapter 2 are statistically significant. The approach to survey data analysis with factor analysis and convergent and discriminant validity helps create a precedent for the scales in this study. The empirical findings were internally valid and dependent on the context and can be externally valid (generalizable) in other emerging markets. One critical nuance in the management literature was the framework developed for Lakou. Thus, this framework was explained within the focus group and semi-structured interviews. Finally, the empirical test for
Ubuntu and Lakou offered a rich perspective of how these humanistic management practices evolve.
CHAPTER 5

5.1 Discussion

The previous chapter provides an interpretation of the empirical results and revealed that some of the original theories had been supported. Consequentially, the initially proposed theory is reexamined in this final chapter to determine the theoretical contribution to the strategic management literature. This dissertation aimed to answer two research questions: (RQ1) How do managers make meaning of corruption? (RQ2) How can firms create competitive advantage in corrupt markets? Sufficient evidence was found supporting the overall themes in the qualitative data, whereas the survey data demonstrated some statistical support. According to most participants in the qualitative sample, corruption remains a significant issue that influences their decision-making. Moreover, this study has created new knowledge on the distinctive nature of unethical behavior in these emerging market contexts.

Additionally, the primary qualitative data enrich our understanding of firm strategies to address Haitian and South African concerns. Finally, a theoretical construct was developed with Lakou in the business context through humanizing management. The title of this dissertation begins with the phrase “Les Deux Jeannots” symbolizing the various management approaches that represent humanizing versus dehumanizing philosophies. The qualitative data demonstrated that corruption was a significant issue and that certain actors in the African diaspora felt “entitled” to benefit from these unethical practices. Entitled managers lacked accountability and spiritual awareness, leading them to engage in corruption in certain cases. They also tend to “dehumanize” their subordinates, whereas those managers who do not feel entitled often “humanize” their subordinates by uplifting them. This awareness stems from spiritual, familial, and moral obligations, prompting managers to recognize that corrupt behavior hurts other human
beings. As one senior manager stated, “I could not sleep at night if I engaged in illicit bribes, and within our organization, we have created an atmosphere where we do not want to collaborate with corrupt partners who bring this behavior with them.”

This entitlement invoked the term “tenderpreneurs” to describe a professional within the South African context who negotiate private tenders secretly, leading to their success, without remorse for others. Humanistic culture is a moderating condition of managerial behavior and interfaces with how leaders engage in corrupt environments. The novel findings of this study have broadened the frontiers of knowledge in the areas of humanistic culture and corruption.

Concerning institutional voids, tremendous uncertainty within the institutional context of Haiti was experienced during the conduct of the study. The situation was due to violence and kidnappings and because President Jovenel Moïse resisted leaving office at the end of his term. President Moïse was assassinated in 2021 under allegations of corruption and refusal to leave office. Additionally, organizations within the private sector were wary of widespread corruption. The cynical views by Haitians are due to widespread knowledge that a significant financial sum of $31.2 million USD received from an international corporation (Petrocaribe). Haitian participants consistently recalled that corrupt behavior in plain view only further demoralized local efforts as more evidence that the cycle seemingly would never end.

South Africa has been relatively less chaotic than Haiti in recent decades within the public and private sectors. Nevertheless, the country still possesses an elevated level of uncertainty for various reasons. One participant remarked that “Thabo Mbeki was a strong leader who provided the stability that helped organizations to establish a vision. In contrast, Former President Zuma’s regime created a significant mess in the country that the current President Ramaphosa is resolving.” Several South African participants in the focus group indicated that
corruption was widespread due to political causes and the secretive nature of the tenders within
the private sector. One participant remarked, “South Africa is natural resource-rich; it has a
‘resource curse,’ and the main problem is the mismanagement of these resources in the public
sector.” Successive regimes’ policy uncertainty level has made it difficult for Firms face
difficulty to develop a vision and strategy for the long term. Thabo Mbeki is an example of a
strong leader who had a vision for the country. The president was a breath of fresh air
considering the compromises made by the previous leaders.

5.2 Theoretical implications

Organizational culture varies widely between firms in Haiti, though the common theme is
entrepreneurial growth amidst widespread uncertainty. Lakou has been conceptualized as a
physical space where managers can create positive relationships and inter-organizational
agreements that seek collaboration and mutual growth. The extant institutional theory does not
adequately explain managerial intentions and humanistic orientation in emerging markets. Such a
limitation has prompted this study. The theoretical contributions shape and clarify the
mechanisms leading to the impact of humanistic culture on firm performance and introduce the
Lakou construct to the management field. The contribution borrows from “institutional logics”
and behavioral theory in advancing knowledge in the corruption literature.

In the specification of the multidimensionality of humanistic culture, this dissertation
posits that the Lakou phenomena can represent not only a physical space but also a philosophical
mindset. The corruption literature relies on institutional, agentic, and resource-dependent
perspectives, whereas the framework in this study combines institutions with managers’
cognitive maps. A key component of dynamic capabilities is that the management must develop
a relevant resource internally, that is, a cultural and humanistic resource in this context. The
regression results validating the managers’ perceptions revealed that humanistic firms may lead the renaissance to the growth of modern African firms.

5.3 **White supremacy’s role within corruption**

After engaging in the phenomena, the question of what role white supremacy plays in corruption in emerging markets remains. Several participants in the qualitative sessions echoed the sentiment that ‘supremacy. For example, Pierre (2020) argued that white supremacy played a significant role in establishing European elite families within the African diaspora. These individuals ethnically came from another continent but claimed to be natives. Subsequently, these elite foreigners embodied a cultural, racial, and economic distinction for the indigenous population and benefitted largely from preferential treatment in wealth building. This historical account of corruption lingers as managers from many organizations represent and aspire to occupy the elite status of organizations. This phenomenon further perpetuates the damage of white supremacy. As a result, these developing countries generate minuscule per capita income, and the elites refuse an opportunity to help redistribute their newfound wealth.

5.4 **Moderating conditions of corruption and humanism**

Dynamic capabilities are a well-studied concept in the strategy literature. However, institutional context and direct evidence are limited in emerging and developing markets. This form of corporate activity is more intricately linked to firm competencies in South Africa than in Haiti due to resource endowments and investment in the private sector. Several participants self-evaluated their firms as having dynamic capabilities in alliance creation, technological development, and product development. In contrast, participant 5 in Haiti stated, “Many members of our staff are bright and competent, yet we do not have the level of intellectual property to consider us as dynamically capable, and we receive little support from the
government.” Another participant in the Haitian context, participant #3, who is a lawyer and CEO, stated that *Lakou* was an integral part of her dynamic capabilities. She had partnered with local Haitian firms to create a restaurant with culture-specific local offerings that create a unique brand for them.

The extant literature had yet to connect how managers perceive corruption’s motivations and persistent characteristics. This work provides advancements of knowledge in exploring managers’ cognitive maps and perceptions of corruption in emerging markets. For instance, the qualitative data revealed that the historical remnants of colonization reduce African managers’ expectations of success. Additionally, these historical remnants in their cognitive maps caused entitled managers to settle for unethical behavior to solve the endless pursuit of participation in the global economy.

Racial concerns were a strong theme within the qualitative inquiry initiated by the respondents and related to the qualitative findings. Participant 4 remarked, “Looking at my elders, who were struggle stalwarts, I have sensed a certain element of fear when it comes to achieving certain things. Black people should not do a certain bit of ‘such things;’ however, the lighter you are, the more accepted you can do certain things. The elders seemed to fight to a certain extent but did not know at some point how far they should go.” This element of self-doubt and colorism, which exists in the private circles within the African diaspora, has its level of impact. As a result, some managers are complicit in corrupt behavior as an avenue to success, whereas others are outspoken and resistant to these institutional pressures.
5.5 Practical implications

This research has several practical implications that we will cover from firm and policy levels. On the policy level, public agencies have to re-evaluate the type and structure of relationships that politicians are allowed to have with private organizations. In June 2021, while this dissertation was being written, the Minister of Health Dr. Zweli Mkhize was investigated for corruption. Dr. Mkhize has a relationship with a former assistant and her husband to handle the coronavirus response. They stole part of the funds for this program. A total of 150 million rand was awarded in a “tender” to the health organization that Minister Mkhize arranged. Of this amount, 40 million rand was appropriately allocated; 20 million rand was unaccounted for; and the remaining 90 million rand was discovered to be paid into the personal accounts of the former assistant and her spouse. President Ramaphosa put the Minister on special leave as they continue to investigate the “Digital Vibes” scandal (Myburgh, 2022)

Regarding the policy implications for organizations, we must revert to the difference in institutional voids between South Africa and Haiti. South Africa was determined to have existing and relatively developed institutions, which functioned though predominantly controlled by foreign powers. Alternatively, Haiti, which is one of the poorest countries in the world, has prevalent institutional voids mainly because it was exploited more than South Africa. The Haitian government has been inconsistent and ineffective in economic management because of the severe lack of exploitation. This condition has overshadowed Haiti’s economic status in the past as a rich country. The problem of “overexploitation” remains in Haiti today as much as it is a poverty problem. In contrast, the South African economy has been managed sufficiently to raise the country to an emergent status as a nation. South Africa is an emerging market, whereas
Haiti has perennially been considered the poorest (most over-exploited) in the Western hemisphere.

On the organizational level, firms can consider recruiting and integrating leaders into the top management with humanistic characteristics. Thus, they can provide job satisfaction, motivation, and cohesion internally. These human capital initiatives are already underway through black economic empowerment initiatives, though significant work is needed. One participant remarked, “Discrimination is the main issue in the advancement of people such as me, which is due to senior management rather than the lack of qualified people.’ An initiative similar to the BEE could be developed in Haiti on a policy level as well as public sector support for capital and access for individuals who are interested in entrepreneurship. Firms with humanistic cultures cannot always have large staff; thus, industry or social push factors for these changes may be necessary.

5.6 Conclusion and future research

In summary, additional research on managers within the African diaspora is needed. The discussions with executives in Haiti and South Africa revealed that many cultural and economic nuances affect organizational performance and job satisfaction. This research provides significant theoretical contributions in management, economics, and sociology. The aim is to engage in a longitudinal study of firm behavior in the South African context to compare management strategies over subsequent periods. This approach will assist in assessing the causality of the focal constructs by accounting for exogenous shocks. Within the Haitian context, a deeper inquiry into the Lakou construct is needed to uncover linkages between this concept and other organizational phenomena, such as leadership, human resources, and entrepreneurship. One
of the participants in the semi-structured interviews partnered with an entrepreneurial ecosystem that houses multiple businesses that should be engaged in future research.

Furthermore, humanistic approaches to management can moderate organizational activities such that the firm can be strengthened from an interpersonal and a performance perspective. This finding is novel and important because it considers the effects of this internal dynamic in an institutional context, such as emerging markets where human suffering, poverty, and uncertainty wear on society. Managers can utilize this approach to increase their reputational, profit-centric, and motivational strengths simultaneously. This condition is more critical in Haiti, where foreign direct investment is significantly less due to stigmas against the Haitian reputation. Managers within the Haitian context shared about increasing collaborations with American firms due to changes in sentiments towards people of color after the 2020 global response to police brutality and movement against racism.

Finally, additional research is needed to determine whether certain types of employees and managers are attracted to humanistic firms or this phenomenon will be less known until afterward. As part of the dissertation roadmap, I will continue to explore this phenomenon within the context of the African diaspora. I will also increase knowledge on this critical consideration within organizations globally in conjunction with a future scholarship from researchers and practitioners.
Figure 1: Theoretical Model
Table 1: Humanistic Philosophies within the African Diaspora

<table>
<thead>
<tr>
<th>Philosophy</th>
<th>Origin</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lakou</td>
<td>Haiti</td>
<td>Cooperative arrangement among families, spiritual solidarity with ancestors, spiritual space of sharing and understanding (Dominique, 2010; Desir, 2012; Ramsey, 2012)</td>
</tr>
<tr>
<td>Ubuntu</td>
<td>South Africa</td>
<td>Placing the group’s welfare above the individual, Humanistic philosophy towards organizing (Mbigi, 1996; Nafukho, 2006; Mangaliso, 2001)</td>
</tr>
<tr>
<td>Ujaama</td>
<td>Tanzania</td>
<td>Sharing and working together, African socialism (Nyeere, 1987; Fouere, 2014; Uzoijwe, 1988)</td>
</tr>
<tr>
<td>Umoja</td>
<td>African Americans (U.S.)</td>
<td>Unity and collective responsibility, one of the principles of Kwanzaa, community development (Karenga, 1998; Watson, Washington, Steptoewashington, 2015)</td>
</tr>
</tbody>
</table>
Table 2: Selected Works Associated with Dr. Mangaliso

<table>
<thead>
<tr>
<th>Selected Ubuntu studies</th>
<th>Key contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mangaliso, 2001</td>
<td>Ubuntu can be utilized as a source of competitive advantage if organizations recognize the value system of their workers. Research discussed the characteristics of Ubuntu, examples of how it occurs, and argued for its implementation.</td>
</tr>
<tr>
<td>Weir, Mangaliso &amp; Mangaliso, 2010</td>
<td>International HRM can benefit from harmonizing of indigenous and Western philosophies of management which can collectively increase human potential. Authors suggested a comparison of indigenous management themes needs attention.</td>
</tr>
<tr>
<td>Mangaliso &amp; Mangaliso, 2007</td>
<td>Research proposes that integrating Ubuntu can be a catalyst towards economic revitalization. Organizations would be best served with a focus on the humanistic dimensions of organizational life which can yield dividends even on a national level through job satisfaction and growth.</td>
</tr>
<tr>
<td>Van den hevuel, Mangaliso, Van de Bunt, 2007</td>
<td>Argued that managers need to adapt to unlock the human potential while working in Africa. Described the core tenets of Ubuntu namely the importance of relationships, harmonizing, and respect.</td>
</tr>
<tr>
<td>Mangaliso, 2018</td>
<td>Management theory built largely on natural sciences may be misleading while describing organizational life. More research is needed to understand the humanistic approach to management particularly because humans spend most of their lives working in an organization.</td>
</tr>
</tbody>
</table>
Table 3: Studies in Lakou

<table>
<thead>
<tr>
<th>Selected Lakou studies</th>
<th>Key contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hyppolite, 2020</td>
<td>The Lakou system can be a framework for address societal issues such as sexism (oppression of women). Study explored women involvement in the economy through Lakou in farming.</td>
</tr>
<tr>
<td>Desir, 2011</td>
<td>Lakou is a liberatory space where people can connect with one another and share their experiences. The author was able to sketch the process of emancipation for young girls through the Lakou space they occupied.</td>
</tr>
<tr>
<td>Merilus, 2015</td>
<td>This system has largely benefited the Haitian people because it allowed them to create a “collective identity” after slavery. Lakou has tremendous potential for development in tourism.</td>
</tr>
<tr>
<td>Moccombe, 2020</td>
<td>To address the capitalistic systems which still oppress the developing world, leaders should embrace the Lakou’s tenets of social integration on the national levels. Lakou can be vertically integrated to bring subsistence entrepreneurs into the global economic system.</td>
</tr>
<tr>
<td>Saint-Louis, 1988</td>
<td>Lakou can be portable as groups of people migrate from one space to another. These collaborative efforts can inform economic and political processes.</td>
</tr>
<tr>
<td>Citation</td>
<td>Theory and/or Methodology</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------------------------------------------</td>
</tr>
<tr>
<td>Liu, 2014</td>
<td>Empirical study utilizing regression on longitudinal data</td>
</tr>
<tr>
<td>Djankov et al. 2002</td>
<td>Transaction cost economics</td>
</tr>
<tr>
<td>Rodriguez et al. 2005</td>
<td>Institutional Theory &amp; Resource based view</td>
</tr>
<tr>
<td>Husted, 1999</td>
<td>Transaction cost economics</td>
</tr>
<tr>
<td>Uhlenbruck et al. 2006</td>
<td>Institutional Theory</td>
</tr>
</tbody>
</table>
Table 5: Conceptual Map of the Chronological Collection of Data

<table>
<thead>
<tr>
<th>Phase 1: Interview and focus group data (Qualitative)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building rapport with interview participants and conducting sessions (N = 30)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phase 2: Survey data and cultural artifacts (Quantitative)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developing informed consent, survey questions, and identifying contacts for distribution</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phase 3: Coding, thematic design, and analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transcribing interview and focus group data, coding themes, and documenting material culture</td>
</tr>
</tbody>
</table>
Table 6: Variables sought for data collection

<table>
<thead>
<tr>
<th>Variable</th>
<th>Scale</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer centricity dynamic capability</td>
<td>Likert 1-5</td>
<td>Survey item</td>
</tr>
<tr>
<td>Managerial competence dynamic capability</td>
<td>Likert 1-5</td>
<td>Survey item</td>
</tr>
<tr>
<td>Technology dynamic capability</td>
<td>Likert 1-5</td>
<td>Survey item</td>
</tr>
<tr>
<td>CEO Education</td>
<td>Categorical</td>
<td>Document analysis</td>
</tr>
<tr>
<td>CEO Ethnicity</td>
<td>Categorical</td>
<td>Survey item</td>
</tr>
<tr>
<td>Colonial legacy competition</td>
<td>Dichotomous (Yes/No)</td>
<td>HMOC</td>
</tr>
<tr>
<td>Industry corruption rate</td>
<td>Continuous?</td>
<td>HMOC</td>
</tr>
<tr>
<td>Firm collaborative culture</td>
<td>Likert 1-5</td>
<td>Survey item</td>
</tr>
<tr>
<td>Return on assets</td>
<td>Continuous?</td>
<td>HMOC</td>
</tr>
<tr>
<td>Survival post 5 or 10 years</td>
<td>Dichotomous (Yes/No)</td>
<td>HMOC</td>
</tr>
<tr>
<td>Industry</td>
<td>Categorical</td>
<td>Document analysis</td>
</tr>
<tr>
<td>Firm Size</td>
<td>Categorical</td>
<td>Document analysis</td>
</tr>
</tbody>
</table>

*HMOC = Haitian ministry of commerce*
Table 7A: Evidence acquired from each data source

<table>
<thead>
<tr>
<th>Data Source</th>
<th>Analytical technique(s)</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focus group data</td>
<td>Content analysis</td>
<td>Qualitative description of each construct (RQ1)</td>
</tr>
<tr>
<td>Interview data</td>
<td>Thematic analysis</td>
<td>Qualitative interpretation of managerial experiences (RQ1)</td>
</tr>
<tr>
<td>Survey data</td>
<td>Ordinal logistic regression, SEM, Factor analysis, reliability</td>
<td>Quantitative measurement to test support for each hypothesis (RQ2)</td>
</tr>
<tr>
<td>Archival company documents</td>
<td>Textual analysis</td>
<td>Analysis of how managers make meaning of phenomena (RQ1+RQ2)</td>
</tr>
</tbody>
</table>
Table 7B: Focus groups

<table>
<thead>
<tr>
<th>Theoretical construct</th>
<th>Haiti focus group</th>
<th>South Africa focus group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dynamic capability</td>
<td>“Many organizations do not possess such a thing due to lack of education and market certainty. However, organizations can develop these skills through partnerships and customer feedback.”</td>
<td>“Competencies which firms create which allow them to constantly adapt”</td>
</tr>
<tr>
<td>Humanistic culture</td>
<td>“Lakou is an ancient traditional term to describe a courtyard between homes. The idea was developed centuries ago to promote sharing. It does exist today as firms work together in a space where education, profit sharing, and collaboration take place valuing everyone’s contribution”</td>
<td>• “Ubuntu can be conceptualized as genuine kindness and an inherent desire to place the group’s needs above your own” • “Ubuntu does not exist as much in hierarchical spaces such as the airline and finance industries” • “Ubuntu begins by the teachings of the elders about spirituality and kindness to others”</td>
</tr>
<tr>
<td>Local corruption</td>
<td>“We know corruption primarily as additional payments to facilitate any business activity. It is a necessary tool to make the government work. Individuals we engage in this activity due to a sense of entitlement”</td>
<td>“Corruption occurs through preferential treatment in tenders. Tenderpreneurs build their business on this move. Additional government officials facilitate these transactions through executives”</td>
</tr>
<tr>
<td>Performance</td>
<td>“Performance is typically documented by formal firms with reports to stakeholders and banks. Many of the informal organizations do not document their performance except for net income”</td>
<td>“Our performance is tracked and reported periodically to all the main regulatory bodies. We evaluate financial, social, and environmental indicators. The country is growing”</td>
</tr>
<tr>
<td>Lakou Dimension</td>
<td>Qualitative evidence</td>
<td></td>
</tr>
<tr>
<td>------------------------------</td>
<td>--------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td><strong>Addressing corruption</strong></td>
<td>“The institutional environment is difficult to grow without collusion unless your values are strong and integrated with others.” Participant #6.</td>
<td></td>
</tr>
<tr>
<td><strong>Sharing resources</strong></td>
<td>”Lakou is a method to galvanize support for partners and market the value of their organization.” Participant #1.</td>
<td></td>
</tr>
<tr>
<td><strong>Empowering employees</strong></td>
<td>”If I were the leader of an organization, I would behave similarly because I feel this would create an advantage for a firm in her industry regarding developing cohesion and productivity.” Participant #6.</td>
<td></td>
</tr>
<tr>
<td><strong>Collective identity</strong></td>
<td>“Partners and investors are interested in supporting firms that engage in Lakou because it signifies that they desire to work with other Haitians, which bonds all parties together in solidarity.” Participant #1.</td>
<td></td>
</tr>
<tr>
<td><strong>Inclusion in an economic system</strong></td>
<td>“Working together in a Lakou creates a network which helps firms to participate in the economic system despite they being located in remote areas” Participant #4.</td>
<td></td>
</tr>
<tr>
<td><strong>Spiritually connecting with others</strong></td>
<td>”Lakou is part of my spiritual foundation as I strive to include as many partners as possible within a capitalistic system which excludes many Haitians.” Participant #3.</td>
<td></td>
</tr>
</tbody>
</table>
# Table 8A: Haitian Data Structure

<table>
<thead>
<tr>
<th>1st Order Concepts</th>
<th>2nd Order Themes</th>
<th>Aggregate Dimensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;The United States have expected Haitian leaders in power and even occupied the country. Most of the NGOs here are American and facilitate decisions everywhere.&quot;</td>
<td>American NGO occupation</td>
<td>Colonized state</td>
</tr>
<tr>
<td>&quot;Industries face fierce competition from foreign firms who receive international aid and provide vital resources as NGOs or for profits.&quot;</td>
<td>Foreign NGOs saturate industries</td>
<td></td>
</tr>
<tr>
<td>&quot;Our country is not controlled by Haitians, The relationships which facilitate international trade are primarily by agencies not located here. Royal Caribbean owns the most lucrative area in Haiti.&quot;</td>
<td>French Immerseable debt in Haiti</td>
<td></td>
</tr>
<tr>
<td>The President has been involved in 4 different corruption schemes including when he took office. Our organization completely avoids contact with legal and political entities as usual.&quot;</td>
<td>Executive state capture</td>
<td></td>
</tr>
<tr>
<td>&quot;Culturally the way we view corruption is a means to an end and although we resist it, others routinely practice it.&quot;</td>
<td>Pervasive Culture of corruption</td>
<td></td>
</tr>
<tr>
<td>&quot;Lakous are more prevalent in the rural regions where they allow groups of firms to collaborate.&quot;</td>
<td>Rural location of Lakous</td>
<td>Indigenous advantage</td>
</tr>
<tr>
<td>&quot;We engage in these ecosystems in Port au Prince which has been successful in raising capital through many alliances developed through relationships.&quot;</td>
<td>Lakous reinvigorated venture capital</td>
<td></td>
</tr>
<tr>
<td>&quot;Lakous exist in a commercial sense through entrepreneurial ecosystems and familial business groups within the Capital RPH.&quot;</td>
<td>Ecosystem of resource sharing</td>
<td></td>
</tr>
<tr>
<td>&quot;Lakous are commonly practiced by Haitians, yet some managers like myself have created similar partnerships with American partners.&quot;</td>
<td>Cross cultural partnerships</td>
<td></td>
</tr>
</tbody>
</table>
Table 8B: South African Data Structure

<table>
<thead>
<tr>
<th>1st Order Concepts</th>
<th>2nd Order Themes</th>
<th>Aggregate Dimensions</th>
</tr>
</thead>
<tbody>
<tr>
<td>“Tenders are secretly given to certain members of the population based on social class, status, race, and connections.”</td>
<td>Tenderpreneurs create more inequality</td>
<td>Systematic corruption</td>
</tr>
<tr>
<td>“There is increased transparency in the country but because of the hierarchical nature of finance or airline industries it still occurs.”</td>
<td>Hierarchicalindustry</td>
<td></td>
</tr>
<tr>
<td>Entitlement appears to be a motivator to engage in corruption. Although laws forbid corruption, some persist because they feel they are owed this advantage.</td>
<td>Entitlement by managers</td>
<td></td>
</tr>
<tr>
<td>Many of the hotels and restaurants are owned by wealthy foreigners. They treat workers in winemaking terribly, but I couldn’t do anything about it without capital.</td>
<td>Foreign ownership influence</td>
<td></td>
</tr>
<tr>
<td>“Historical advantages were created during Apartheid when managerial and ownership opportunities were restricted.”</td>
<td>“Wealth inequality”</td>
<td>Race related corruption</td>
</tr>
<tr>
<td>“Inequality is still a major issue in South Africa. The beneficiary of most of these bribes are not indigenous Africans.”</td>
<td>Corruption exacerbates racial inequality</td>
<td></td>
</tr>
<tr>
<td>“Inequality plays out inconspicuously through education where good schools are not available to everyone. Individuals still struggle to become managers post Apartheid.”</td>
<td>Educationinequality</td>
<td></td>
</tr>
<tr>
<td>“Tendrishes lack resources which may create access to opportunities for indigenous African entrepreneurs.”</td>
<td>Exclusion of aspiring entrepreneurs</td>
<td></td>
</tr>
<tr>
<td>“If you cannot speak Afrikaans, you are not included in certain conversations. Then after the fact you hear about inappropriate transactions being made.”</td>
<td>Language based exclusion</td>
<td></td>
</tr>
</tbody>
</table>
Figure 2: Lakou Theoretical Framework

- Sharing resources
- Empowering employees
- Inclusion in economic system
- Spiritually connecting with others
- Collective identity
- Addressing corruption
Table 9A: Gender in Haitian Qualitative sample

Table 9B: Age in Haitian Qualitative Sample

Table 9C: Education of Haitian Qualitative Data
Table 9D: Haitian Semi-Structured Interviews

<table>
<thead>
<tr>
<th>Demographic background</th>
<th>Title/Industry</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - Male, 35</td>
<td>Technology entrepreneur</td>
</tr>
<tr>
<td>2 - Female, 37</td>
<td>VP of Consulting firm</td>
</tr>
<tr>
<td>3 - Female, 41</td>
<td>CEO of Agribusiness and lawyer</td>
</tr>
<tr>
<td>4 - Male, 39</td>
<td>CEO, Restaurant</td>
</tr>
<tr>
<td>5 - Female, 51</td>
<td>Hotel manager</td>
</tr>
<tr>
<td>6 - Male, 34</td>
<td>VP of asset management</td>
</tr>
<tr>
<td>7 - Male, 40</td>
<td>Construction manager</td>
</tr>
<tr>
<td>8 – Male, 33</td>
<td>Financial technology entrepreneur</td>
</tr>
<tr>
<td>9 – Female, 49</td>
<td>Manager, Farming</td>
</tr>
<tr>
<td>10 – Male, 47</td>
<td>Manager, Manufacturing</td>
</tr>
<tr>
<td>11 – Female, 36</td>
<td>VP, Consulting</td>
</tr>
<tr>
<td>12 – Male, 44</td>
<td>Manager, Banking</td>
</tr>
</tbody>
</table>
Table 10A: Gender in South African Sample

![Gender Pie Chart]

- Male: 50%
- Female: 50%
- Others: 0%

Table 10B: Ethnicity in South African Sample

![Ethnicity Pie Chart]

- Xhosa: 33%
- Zulu: 42%
- Colored: 17%
- Afrikaaner: 8%

Table 10C: Education in South African Qualitative data

![Education Pie Chart]

- Bachelor: 67%
- Masters: 25%
- PhD: 8%
- Others: 0%
Table 10D: Demographic background of South African Managers

<table>
<thead>
<tr>
<th>Demographic background</th>
<th>Title/Industry</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - Male, Afrikaner, 48</td>
<td>Chief finance officer, Airline industry</td>
</tr>
<tr>
<td>2 - Female, Xhosa, 43</td>
<td>VP of Marketing, Banking</td>
</tr>
<tr>
<td>3 - Male, Xhosa, 41</td>
<td>Sales Manager, Global Automobile Corp.</td>
</tr>
<tr>
<td>4 - Male, Zulu, 45</td>
<td>CEO, Consulting firm</td>
</tr>
<tr>
<td>5 - Female, Colored, 58</td>
<td>VP, Technology firm</td>
</tr>
<tr>
<td>6 - Male, Xhosa, 43</td>
<td>VP, Asset Management</td>
</tr>
<tr>
<td>7 - Female, Zulu, 46</td>
<td>VP, Asset management</td>
</tr>
<tr>
<td>8 – Female, Xhosa, 40</td>
<td>Manager, Restaurant</td>
</tr>
<tr>
<td>9 – Female, Zulu, 35</td>
<td>Entrepreneur</td>
</tr>
<tr>
<td>10 – Female, Afrikaner, 43</td>
<td>Manager, Retail</td>
</tr>
<tr>
<td>11 – Male, Xhosa, 45</td>
<td>Manager, Automotive</td>
</tr>
<tr>
<td>12 – Male, Zulu, 40</td>
<td>VP, Construction</td>
</tr>
<tr>
<td>Institutional void</td>
<td>Haiti</td>
</tr>
<tr>
<td>--------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Capital Provider</td>
<td>“Our central bank is not visible or helpful to our local retail banks. Entrepreneurs have a hard time raising capital and investment. Haiti is the poorest nation in the Western Hemisphere which inflates this need.” - Participant #2</td>
</tr>
<tr>
<td>Legal systems</td>
<td>“The legal system in the country has long been broken. Because the courts do not prosecute fairly many gangs and the ‘ton ton makout’ (secret army) are the enforcers. It is difficult to finalize civil suits or criminal. This brings up safety issues as crime, kidnapping and corruption are rampant” - Participant #3</td>
</tr>
<tr>
<td>Employment agencies</td>
<td>“There are recently emerging some agencies which try to place individuals in local businesses, but the supply of jobs is not there so this is a big problem. Many graduate to no good jobs being available” - Participant #4</td>
</tr>
</tbody>
</table>
Table 12A: Descriptive Statistics for Haitian sample

<table>
<thead>
<tr>
<th>Variables</th>
<th>Mean</th>
<th>SD</th>
<th>Alpha</th>
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<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
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</thead>
<tbody>
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<td>0.71</td>
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</tr>
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<td>0.512</td>
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</tr>
<tr>
<td>3 Local Corruption</td>
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<td>4 Industry</td>
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<td>*0.35</td>
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<td>8 Goodwill performance</td>
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<td>9 Profit Performance</td>
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<td>0.31</td>
<td>0.19</td>
<td>0.28</td>
<td>0.16</td>
<td>0.18</td>
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Table 12B: Descriptive Statistics for South African sample

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<td>Local Corruption</td>
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<td>0.37</td>
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</tr>
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<td>Industry</td>
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<td>N/A</td>
<td>0.41</td>
<td>0.41</td>
<td>*0.35</td>
<td>1.00</td>
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<tr>
<td>Education</td>
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<td>N/A</td>
<td>*0.41</td>
<td>0.34</td>
<td>0.27</td>
<td>0.31</td>
<td>0.22</td>
<td>1.00</td>
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</tr>
<tr>
<td>Market performance</td>
<td>3.1</td>
<td>0.37</td>
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<td>0.46</td>
<td>-0.11</td>
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</table>

P < 0.05 = *

N = 205
Table 12C: Descriptive statistics of each sample item

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<tr>
<th>SURVEY ITEM</th>
<th>HAITI MEAN</th>
<th>HAITI SD</th>
<th>SOUTH AFRICA MEAN</th>
<th>SOUTH AFRICA SD</th>
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<tr>
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<td>43.9</td>
<td>3.4</td>
</tr>
<tr>
<td>EDUCATION</td>
<td>1.95</td>
<td>0.45</td>
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<td>0.47</td>
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<td>CORRUPTION1</td>
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<td>0.46</td>
<td>1.65</td>
<td>0.37</td>
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<td>CORRUPTION2</td>
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<td>0.61</td>
<td>2.14</td>
<td>0.43</td>
</tr>
<tr>
<td>CORRUPTION3</td>
<td>1.92</td>
<td>0.34</td>
<td>1.76</td>
<td>0.51</td>
</tr>
<tr>
<td>CORRUPTION4</td>
<td>1.95</td>
<td>0.31</td>
<td>2.05</td>
<td>0.41</td>
</tr>
<tr>
<td>HUMANISM1</td>
<td>1.98</td>
<td>0.83</td>
<td>2.01</td>
<td>0.53</td>
</tr>
<tr>
<td>HUMANISM2</td>
<td>1.90</td>
<td>0.52</td>
<td>1.81</td>
<td>0.71</td>
</tr>
<tr>
<td>HUMANISM3</td>
<td>1.91</td>
<td>0.47</td>
<td>2.01</td>
<td>0.66</td>
</tr>
<tr>
<td>HUMANISM4</td>
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<td>1.84</td>
<td>0.31</td>
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<td>0.32</td>
</tr>
<tr>
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<td>0.34</td>
<td>2.01</td>
<td>0.52</td>
</tr>
<tr>
<td>MARKET PERFORMANCE</td>
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<td>3.1</td>
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<td>2.07</td>
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</table>
### Table 13A: Ordinal logistic regression results

#### Haitian Sample

<table>
<thead>
<tr>
<th>VARIABLES</th>
<th>Model 1</th>
<th>Model 2</th>
<th></th>
<th>Model 1</th>
<th>Model 2</th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Profitability</td>
<td>Goodwill</td>
<td>Market</td>
<td>Profitability</td>
<td>Goodwill</td>
<td>Market</td>
</tr>
<tr>
<td>Education</td>
<td>0.047**</td>
<td>0.120**</td>
<td>0.55*</td>
<td>0.176</td>
<td>-0.541*</td>
<td>0.31</td>
</tr>
<tr>
<td></td>
<td>(0.045)</td>
<td>(0.042)</td>
<td>(0.014)</td>
<td>(0.0134)</td>
<td>(0.0587)</td>
<td>(0.0630)</td>
</tr>
<tr>
<td>Industry</td>
<td>0.606*</td>
<td>0.231</td>
<td>0.18</td>
<td>0.241</td>
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<td>0.14</td>
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<tr>
<td></td>
<td>(0.021)</td>
<td>(0.045)</td>
<td>(0.031)</td>
<td>(0.063)</td>
<td>(0.027)</td>
<td>(0.024)</td>
</tr>
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<td>Age</td>
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<td>0.087</td>
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<td>0.122</td>
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<td>(0.0365)</td>
<td>(0.0021)</td>
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<td>(0.014)</td>
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</tr>
<tr>
<td>Humanism</td>
<td>1.271</td>
<td>2.17</td>
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<td>0.611*</td>
<td>0.421</td>
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<td>(0.061)</td>
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<td>(0.038)</td>
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<td>(0.038)</td>
<td>(0.042)</td>
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<td>0.231</td>
<td>0.43*</td>
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<tr>
<td></td>
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<td>(0.032)</td>
<td>(0.025)</td>
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<td>(0.0523)</td>
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<td>(0.014)</td>
<td>(0.034)</td>
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<tr>
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<td>(0.012)</td>
<td>(0.0324)</td>
<td>(0.486)</td>
<td>(0.025)</td>
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</table>

(Standard errors in parentheses)

R-Squared: 0.24 0.17 0.21 0.318 0.22 0.24

Observations: 238 238
Table 13B: Ordinal logistic regression results

South African Sample

<table>
<thead>
<tr>
<th>VARIABLES</th>
<th>Profitability</th>
<th>Goodwill</th>
<th>Market Share</th>
<th>Profitability</th>
<th>Goodwill</th>
<th>Market Share</th>
</tr>
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<tbody>
<tr>
<td><strong>Education</strong></td>
<td>0.56** (0.058)</td>
<td>-0.07** (0.032)</td>
<td>0.57 (0.014)</td>
<td>0.176 (0.034)</td>
<td>0.41* (0.641)</td>
<td>0.28 (0.043)</td>
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<tr>
<td><strong>Industry</strong></td>
<td>0.143* (0.064)</td>
<td>0.14 (0.045)</td>
<td>0.24 (0.023)</td>
<td>0.24 (0.043)</td>
<td>0.22 (0.043)</td>
<td>0.32 (0.075)</td>
</tr>
<tr>
<td><strong>Age</strong></td>
<td>-0.027 (0.056)</td>
<td>0.18 (0.032)</td>
<td>0.58 (0.043)</td>
<td>0.12 (0.687)</td>
<td>-0.03 (0.043)</td>
<td>0.72 (0.045)</td>
</tr>
<tr>
<td><strong>Humanism</strong></td>
<td>0.53 (0.034)</td>
<td>0.39 (0.057)</td>
<td>0.14 (0.054)</td>
<td>0.029 (0.054)</td>
<td>0.43 (0.063)</td>
<td>0.36 (0.063)</td>
</tr>
<tr>
<td><strong>Dynamic capabilities</strong></td>
<td>0.19 (0.025)</td>
<td>0.62 (0.034)</td>
<td>0.75* (0.023)</td>
<td>1.21* (0.063)</td>
<td>1.01 (0.034)</td>
<td>0.46* (0.002)</td>
</tr>
<tr>
<td><strong>Local corruption</strong></td>
<td>0.36 (0.045)</td>
<td>0.70 (0.12)</td>
<td>0.48 (0.063)</td>
<td>-0.223* (0.054)</td>
<td>-0.53 (0.053)</td>
<td>0.62 (0.057)</td>
</tr>
<tr>
<td><strong>Humanism*Capabilities</strong></td>
<td>0.97* (0.045)</td>
<td>0.46 (0.043)</td>
<td>0.83 (0.054)</td>
<td>1.44* (0.032)</td>
<td>0.98 (0.043)</td>
<td>0.48 (0.023)</td>
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<td>1.03* (0.064)</td>
<td>-0.75 (0.014)</td>
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<td>0.83 (0.043)</td>
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Table 14: Determination of support for hypotheses in each sample

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<th>Haitian sample</th>
<th>South African sample</th>
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<td>Partial support</td>
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<tr>
<td>#3</td>
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Table 15A: Factor loadings within Haitian Sample

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<th>Factor 2 Humanism</th>
<th>Factor 3 Dynamic capabilities</th>
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<td>Variable</td>
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<td>Managerial Capabilities</td>
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<tr>
<td>Type of Corruption</td>
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</table>
Figure 3: Structural equation modeling Results
Figure 4: Structural equation modeling results

South African SEM Data
Appendix 1: Interview questions

Interview protocol

TITLE OF PROJECT: Corruption, culture, and capabilities: an analysis in emerging markets

PROJECT RESEARCHER: Howard Jean-Denis

Introduction: Thank you for speaking with me today. I am studying management experiences in your country. During this interview, I would like to discuss aspects of your organization and your observations and perceptions of doing business there.

Protocol Introduction

To help with the notetaking, the researcher would like to audio record our conversations today. Please sign the consent form. For your privacy protection, only researcher(s) on the project will have access to the recording, and all raw data collected will be eventually destroyed after they are transcribed. Essentially, this document states that: (1) all information will be held confidential, (2) your participation is voluntary and you may stop at any time if you feel uncomfortable, and (3) we do not intend to inflict any harm. Thank you for your agreeing to participate.

This interview will last about 30 minutes. During this time, we have several questions that we would like to cover. If time begins to run short, it may be necessary to interrupt you in order to push ahead and complete this line of questioning.

You have been selected to participate in this project because you are a manager in the country of Haiti.

You are under no obligation to participate in this project. You may withdraw your participation at any time without prejudice. Also, you can refuse to answer any question. Recording will be taken after your permission.

Organizational Culture

In your organization, how would you describe your work relationships?

In your organization, does the leader listens to all point of view before making a final decision?

Are indigenous values important in your workplace? What impact do they have?

What do you think about the idea that a worker can be willing to give up their personal needs for the benefit of the organization?

How would you describe doing business in your country?

Capabilities of your firm

How would you describe the learning capability of your firm?
Does your organization have processes which can quickly adapt to external business opportunities?

Does your organization have the capability to develop new products or technology in line with industry demands? How does this work?

Describe how your organization develops experiences for the customer?

How would you describe the knowledge and managerial capability of the decision makers in your organization?

**Corruption**

In what ways would you say corruption exists in your industry?

If there was ever any indication that corruption occurred in your organization, how would you or others react?

Is corruption a small or big issue in your country and why?

Have you ever been approached by other firms to engage in any transactions involving bribery?

Have you observed corruption directly between government officials and business professionals?

Have you observed any bribes or immoral dealings with respect with local or international agencies?

Have you experienced competition from organizations outside your country? In what ways has it affected the performance of our organization?

**Demographic information**

What is your age range?

Which sector do you primarily operate in? (Example; engineering, Info technology, transport, manpower, business services, hospitality etc..)

What is the highest level of education you have achieved?

Does your organization employ mostly natives, or which demographics?

What tribe/ethnic group do you belong to?

**Firm performance**

How would the reputation of your organization be assessed in your industry?

What are some common ways to measure performance for your organization? *Is this reported anywhere?*
What is the annual revenue of your organization? (< 100K, 100K – 1 million, >1 million)

How would you describe the process within which your intellectual property and organizational knowledge is developed?

How much of the market does your firm possess?
Appendix #2

Focus group (Haitian sample)

Introduction to focus group

Thanks for attending this focus group about doing business in (Haiti). Today we will discuss your perceptions, experiences, and behavior as it relates to business in the country. The purpose of this project is to gather information about managerial experiences in Haiti from participants to contribute to the body of knowledge of business activities in the country for research purposes. Specifically, this study will focus heavily on managerial experiences surrounding culture, firm capabilities, corruption, and performance. You have been selected to participate in this project because you have worked in Haiti managing an organization in the past. Information produced by this project will be confidential and private. Audiotapes and survey records will be stored in a secure space. Names of managers and other identifiers will be removed and pseudonyms or "fake names" will be used to protect confidentiality. If managerial information is used for publication in the scientific literature or for teaching purposes, no real names will be used. You are under no obligation to participate in this project. You may withdraw your participation at any time without prejudice. Do you have any questions before we begin?

Background info

Intro: We will start by learning about you. Tell me about yourself.

What is your current job?

How long have you lived in Haiti?

Culture prompts

Intro: First, we will be talking about the native culture in Haiti. We are looking to understand perceptions of the way culture works locally as well as reactions to this term “Lakou” to describe how people work together.

How do you define “Lakou”?

If they do not provide a definition, then say: I have heard the word “Lakou” described as a “courtyard” or as a place where people can share ideas, resources and work together.

What is the first thing that comes to mind when you hear “Lakou”?

What are some of the values associated with Lakou culture in Haiti?
Can you share an example of what Lakou looks like when you see it in a business context?

When someone is part of a “Lakou” professionally, what type of behavior can you expect from them?

There are some foreign businesspeople in Haiti, what is it like when they work in a Lakou?

How do you feel about the indigenous Haitian culture of Lakou?

Are there any other points you would like to make about culture in Haiti?

**Dynamic capabilities prompts**

**Intro:** Now, we will talk about how organizational capabilities. There is a term called “dynamic capabilities” which refers to a process, or an activity that organizations have developed which makes them capable to competing in a rapidly evolving environment e.g. technological change or customer demand. When I say “dynamic capabilities” what comes to mind?

How are dynamic capabilities measured in Haiti?

Do you think this is an accurate way to measure them? Why or why not?

Can you give an example of a firm which has a dynamic capability?

How can you tell when an organization can compete in this way?

Would you like to say anything else about dynamic capabilities?

**Corruption prompts**

**Intro:** Now, we are going to talk about the concept of “corruption” which is described when some abuses their power for personal gain or receive some form of compensation or resources for preferential treatment. Let us discuss this type of behavior in Haiti.

How do you feel about corruption in Haiti?

Do you think the country’s reputation as being a corrupt environment is justified? Why or why not?

When was the first time you experienced corruption in your life?

When I say the phrase “Corruption in Haiti”, what is the first thing that comes to mind?

What is the most common form of corruption in your experience?

What influenced corruption to become a factor in Haiti?

How do you think this level of corruption continues to persist?
Does corruption affect your behavior or the behavior of other business professionals you are associated with?

Tell me about any business experiences when you were not pressured to engage in corruption, is this common or rare?

Is there anything we did not touch on about corruption that you feel are important?

Performance prompts

**Intro:** Finally, we will discuss how organizations are performing. There are many ways to evaluate how organizations are doing and we are looking to get a sense how this is measured in Haiti.

To your knowledge, how is performance measured for organizations in Haiti?

Does this approach accurately portray organizational performance?

How is the goodwill of organizations measured?

Do you think there are related topics to performance we should have covered, but did not?
INFORMED CONSENT FORM FOR PARTICIPATION

TITLE OF PROJECT: Corruption experiences for managers

PROJECT RESEARCHER: Howard Jean-Denis

DESCRIPTION OF PROJECT
The purpose of this project is to gather information about managerial experiences in Haiti from participants to contribute to the body of knowledge of business activities in the country. Specifically, this study will focus heavily on managerial experiences surrounding culture, firm capabilities, corruption, and performance.

You have been selected to participate in this project because you have worked in Haiti managing an organization in the past. This project was conducted during Fall 2020 – Summer 2021.

As part of this project, Howard Jean-Denis will collect data in the following ways:

- Interview managers, audio record interviews, and take notes.
- Ask managers to complete a short survey.
- Collect artifacts from managers such as company documents, and or photographs or items representing information they provide.

There are no specific physical risks or discomforts associated with participation in this project and every effort was taken to not disrupt your busy schedule. However, participation will take up a small amount of your time. If you find participating in this project uncomfortable for any reason, you may decline to participate at any time.

Also, there are no specific benefits associated with participating in this project. However, some managers may ultimately benefit by reading a published version to add to their professional learning leading to a better understanding of the subject.

In addition, there are no costs associated with participating in this project.

Information produced by this project is confidential and private. Audiotapes and survey records
were stored in a secure space. Names of managers and other identifiers were removed and pseudonyms or "fake names" were used to protect confidentiality. If managerial information is used for publication in the scientific literature or for teaching purposes, no real names are used.

You are under no obligation to participate in this project. You may withdraw your participation at any time without prejudice.

QUESTIONS

Should you have any questions about your participation in this project, you may contact Howard Jean-Denis by email at hjeandenis@umass.edu. If you would like to discuss the project, your participation of the project, your rights as a participant.

STATEMENT OF VOLUNTARY CONSENT

I have read the information in this consent form, and it was explained to me in a language I use and understand. I have decided to participate in the study. I have had the chance to ask questions regarding the study and have received satisfactory answers. I understand that I can withdraw from the study at any time. There are two copies of this form. A copy of this signed Informed Consent Form has been given to me.

Participants’ Full Name (print)

______________________________________________________________________________

Participant’s Signature                                      Date

PROJECT REPRESENTATIVE STATEMENT

I have explained the purpose of the research, the project procedures, the possible risks and discomforts, the possible benefits, and have answered any questions to the best of my ability.

__ Howard Jean-Denis ______________________________

Researcher’s Name (print)

______________________________________________________________________________

Signature                                      Date
Appendix 4: Dissertation Roadmap & research agenda

Howard Jean-Denis
PhD Candidate, Strategic management, and entrepreneurship
Isenberg school of Management: UMASS Amherst

Table of contents

A) Overview – Vision of research coming out of the dissertation

B) Paper 1 “A systematic literature review of indigenous/humanistic culture”

C) Paper 2 “How do managers make meaning of corruption in Haiti?”

D) Paper 3 “How can firms create competitive advantage in corrupt environments?”

E) Concluding remarks for future proposed research
A) Overview – Vision of research stemming from the dissertation

The extant management literature has suggested that there are several areas of future research in the area of corruption including establishing linkages with the theories of the firm, contextualizing business in emerging markets, and unraveling the dichotomy between culture and corruption. (Cuervo-Cazurra, 2016; Moosa, 2019; Bahoo, Alon, & Patilinieri, 2020). The purpose of this roadmap is to outline the goals for research productivity from Howard Jean-Denis’s dissertation. The aim is to create 3 separate manuscripts coming from his dissertation. The first paper is a systematic literature review which will come from his Dissertation literature review and is on the topic of indigenous/humanistic culture. The second paper is an empirical study examining capabilities, corruption, and Ubuntu culture in South Africa. The final paper is an empirical paper on meaning making of corruption in the country of Haiti. The four components of each project are touched upon for each paper in context, intervention, mechanism, and outcomes.

- **Context** - what is the scope of what is being studied
- **Intervention** - what effects or phenomena are being studied
- **Mechanisms** - explaining the relationship between interventions and outcomes
- **Outcomes** - Describing effects
B) Paper 1 “A systematic literature review of indigenous/humanistic culture”

Research Question: *How does indigenous humanistic culture influence managerial behavior?*

This paper is a systematic literature review exploring the philosophical foundations of concepts such as Ubuntu and Lakou. The aim is to examine the antecedents and outcomes of organizational practices which employ these humanistic approaches. In this paper the research will explore the literature and establish linkages between humanistic culture and common strategic management concepts. The time period of the review piece was between 1990-2020 and focuses on published work in primarily top journals such as AMR, AMJ, JOM, SMJ, JBE, ETP, and JBR. There is a calculation of the number of studies to explore each construct and the previous findings alongside proposed future directions for research. The manuscript is targeted to be submitted to the Journal of Management which is known to entertain review pieces as part of their aims and scopes.

- **Context** – Literature review over the past thirty years 1990 - 2020

- **Intervention** – Humanistic culture derived in the African diaspora

- **Mechanisms** – researcher will attempt to link humanistic culture to strategy concepts providing logic on how they interrelate

- **Outcomes** – Organization of extant literature and proposed future research questions

C) Paper 2 “Qualitative study on meaning making of corruption”

Research Question: *How do managers make meaning of corruption in emerging markets?*
This qualitative research will attempt to provide nuance to the meaning making process on corruption in contexts which possess institutional voids. The empirical approach is to utilize interviews and focus groups to provide data on the research question and a conceptual map explicating how the corruption phenomenon is perceived by managers. This manuscript could be submitted to the journal of business research (JBR) special issue in 2021, or to a regular issue of business ethics quarterly (BEQ). This research is inductive in nature and attempts to describe the processes that managers undergo in this context.

- **Context** – Perception, meaning making the central construct from lens of the manager
- **Intervention** – Perception of corruption
- **Mechanisms** – Managerial cognition, sensemaking, institutional voids
- **Outcomes** – Effects are on an individual level of the managerial cognitive schema

**D) Paper 3: “Corporate strategy and corruption in sub-Saharan Africa”**

**Research question:** *How can firms create competitive advantage in corrupt environments?*

In this study, the purpose of the research would be to explore how larger, more established corporations deal with corruption in an emerging market environment. The research examines the interplay between culture and corruption as it relates to organizations with size and resource advantages. The empirical approach utilizes data from secondary sources (Transparency International and Johannesburg Stock exchange) to set triangulate and set clear boundary conditions on the capabilities and corruption constructs. This manuscript could be submitted to the journal of business ethics (JBE).
• **Context** – the relationship between corruption and culture as conditions for performance

• **Intervention** – Theoretical arguments on moderating effects as well as empirical validation

• **Mechanisms** – Logic is developed on the pernicious, negative effect of corruption and enduring positive association of culture in this context

• **Outcomes** – The effects sought would be validation of performance outcomes for corporations through regression analysis

5 **Concluding remarks for future proposed research**

The focus of this research stream is corruption in emerging markets and the studies will attempt to contribute theoretically to this literature in various ways. The roadmap strives to frame itself within business ethics with research foundations in managerial cognition, culture, and corruption. In order to achieve tenure at his next institution, he will need to achieve publication in top journals in these areas so he will attempt to align the manuscripts with the aims and scopes of these journals. These targeted outlets include presentations at AOM, AIB, or EAM conferences, as well as submission to Journal of Management, Journal of Business Ethics, or Business Ethics Quarterly.
Appendix 5

Focus group questions (South Africa sample)

Introduction to focus group.
Thanks for attending this focus group about doing business in (South Africa). Today we will discuss your perceptions, experiences, and behavior as it relates to business in the country. The purpose of this project is to gather information about managerial experiences in South Africa from participants to contribute to the body of knowledge of business activities in the country for research purposes. Specifically, this study will focus heavily on managerial experiences surrounding culture, firm capabilities, corruption, and performance. You have been selected to participate in this project because you have worked in South Africa managing an organization in the past. Information produced by this project will be confidential and private. Audiotapes and survey records will be stored in a secure space. Names of managers and other identifiers will be removed and pseudonyms or "fake names" will be used to protect confidentiality. If managerial information is used for publication in the scientific literature or for teaching purposes, no real names will be used. You are under no obligation to participate in this project. You may withdraw your participation at any time without prejudice. Do you have any questions before we begin?

Background info

Intro: We will start by learning about you. Tell me about yourself.

What is your current job?

How long have you lived in South Africa?

Culture prompts

Intro: First, we will be talking about the native culture in South Africa. We are looking to understand perceptions of the way culture works locally as well as reactions to this term “Ubuntu” to describe how people work together.

How do you define Ubuntu?

If they do not provide a definition, then say: I have heard the word “Ubuntu” described as a communal philosophy placing the group above the individual.

What is the first thing that comes to mind when you hear “Ubuntu”?

What are some of the values associated with Ubuntu culture in South Africa?
Reflect on your experience within your industry in South Africa, and think of initiatives, workshops or other opportunities that could have enabled, or can enable you to develop and maintain relationships that are underpinned by the philosophy of Ubuntu.

Can you share an example of what Ubuntu looks like when you see it in a business context?

How do you think that the Ubuntu philosophy may affect performance in relationships?

When someone embodies Ubuntu professionally, what type of behavior can you expect from them?

There are some foreign businesspeople in South Africa, what is it like when they work with others who exhibit Ubuntu?

How do you feel about Ubuntu?

How does the concept of time relate to how managers behave in the workplace?

How do colleagues communicate their belief systems within the Ubuntu philosophy?

Does the age of members of your community play a role in organizational life?

Which values are important to you in building a sense of community at work?

Are there any other points you would like to make about culture (Or Ubuntu) in South Africa?

**Organizational capabilities prompts.**

**Intro:** Now, we will talk about how organizational capabilities. There is a term called “dynamic capabilities” which refers to a process, or an activity that organizations have developed which makes them capable to competing in a rapidly evolving environment e.g. technological change or customer demand. When I say “dynamic capabilities” what comes to mind?

How are dynamic capabilities measured in South Africa?

Do you think this is an accurate way to measure them? Why or why not?

Can you give an example of a firm which has a dynamic capability?

How can you tell when an organization can compete in this way?

Would you like to say anything else about dynamic capabilities?

**Corruption prompts**

**Intro:** Now, we are going to talk about the concept of “corruption” which is described when an individual abuses their power for personal gain or receive some form of compensation or resources for preferential treatment. Let us discuss this type of behavior in South Africa.
How do you feel about corruption in South Africa?

Do you think the country’s reputation as being a corrupt environment is justified? Why or why not?

When I say the phrase “Corruption in South Africa”, what is the first thing that comes to mind?

When was the first time you experienced corruption in your life?

What is the most common form of corruption in your experience?

What influenced corruption to become a factor in South Africa?

How do you think this level of corruption continues to persist?

Does corruption affect your individual behavior or the behavior of other business professionals you are associated with?

Tell me about any business experiences when you were not pressured to engage in corruption, is this common or rare?

Is there anything we did not touch on about corruption that you feel are important?

**Performance prompts**

**Intro:** Finally, we will discuss how organizations are performing. There are many ways to evaluate how organizations are doing and we are looking to get a sense how this is measured in South Africa.

To your knowledge, how is performance measured for organizations in your industry in South Africa?

Does this approach accurately portray organizational performance?

How is the goodwill of organizations measured?

Do you think there are related topics to performance we should have covered?
Sources:


Appendix 6:
QUALTRICS SURVEY

Survey Flow

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<th>Q1 Which industry do you primarily operate in?</th>
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<table>
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<th>Q2 What is your age range?</th>
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<tr>
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<td>○ 31 -40 years old (2)</td>
</tr>
<tr>
<td>○ 41-50 years old (3)</td>
</tr>
<tr>
<td>○ Over 50 years old (4)</td>
</tr>
</tbody>
</table>
Q3 What is your highest level of education?

- High School (1)
- Some college (2)
- Bachelors degree (3)
- Masters degree (4)

Page Break

Q4 Our organization has processes which can quickly adapt to capture external business opportunities

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)
Q5
Our organization ensures that the customer experience is central to our business strategy

- Strongly agree (1)
- Somewhat agree (3)
- Neutral (4)
- Disagree (8)
- Strongly disagree (7)

Q6
Our organization has the ability to develop new products and services in order to keep up with industry demand

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)
Q7 How would you describe the learning capability of your organization?

- Low (1)
- Medium (2)
- High (3)
Q8 Corruption is an issue for businesses working in our country

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)

Q9 In what ways would you say corruption exists in your industry?

________________________________________________________________

Q10
If you were approached with an opportunity to receive money in order to facilitate a business transaction, you would engage in the transaction
Q11 Our organization has been approached by other firms to engage in corruption

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)
Q12 Colleagues work in harmony within my organization

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)

Q13 I am willing to give up my personal needs for the good of the organization

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)
Q14 The leader listens to all points of view before making a final decision

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)

Q15 Our organization has partnerships or professional relationships with the government/NGOs

- Yes (1)
- No (2)
Q16 Competition from organizations outside your country effects the performance of our organization

- Strongly agree (1)
- Agree (2)
- Neutral (3)
- Disagree (4)
- Strongly disagree (5)

Q17 How would your stakeholders rate your reputation in your industry?

- Weak (1)
- Modest (6)
- Strong (7)
Q18 Our market share in comparison to competitors is within the following range:

- 0% (1)
- 1%-5% (2)
- 5%-10% (3)
- 10%-20% (4)
- Over 20% (5)

Q19 Our return on assets this year was in the following range:

- 0 - 5% (1)
- 6 - 10% (2)
- 11 - 15% (3)
- 16 - 20% (4)
- Greater than 20% (5)

Q20 Please leave some comments in a few sentences of your overall reflections about doing business in Haiti

_________________________________________________________________________________

End of Block: Default Question Block
A1: Bois Caiman Lakou ceremony
Port-au-Prince  June 18, 1992
To Whom it may Concern
This is a resume of the situation.

1. First of all, I must inform you of a terrible event that occurred here in HAITI: THE ASSASSINATION OF MY BROTHER GEORGES.

2. As you may have known, I am personally involved strongly in politics in my country: HAITI, NOT AS A POLITICIAN, but working to bring about needed changes in the Government, counteracting the corrupted old-style imperialist supported politicians by "cautioning", to open the way and move the majority of the population from their misery style of life to a more decent one.

3. In a peaceful revolution, a free election was won in December 16, 1990, against, of course, the will of imperialist America.

4. I was the financial backer of the winner. And I do not look for any personal "political power" or interest or taking in any profits.

5. On September 24/30, 1991, a savage and bloody coup d'etat, orchestrated by the U.S.A. Ambassador to Haiti, himself an expert in terrorism, Alvin P. Adams Jr., brought to power a so-called "MODERATE GENERAL" who does not even have a hold of the military hierarchy and a self-reclaimed Chief of Police for the capital city, with the title of Colonel.

6. Since then, repression against the majority of the people who elected Father Jean-Bertrand Aristide by a landslide, is all over the country.

7. My private house was attacked by the military as early as October 15th 1991, i.e. the day after the completion of the coup d'etat.
A3: Comedic Excerpt of corruption
DUTTY BOUKMAN'S PRAYER

The God who created the earth,
who created the sun that gives us light.
The God who holds up the ocean,
who makes the thunder roar.
Our God who has ears to hear.
You who are hidden in the clouds,
who watch us from where you are.
You see all that the White has made us suffer.
The White man's god asks him to commit crimes.
But the God within us wants to do good.
Our God, who is so good, so just,
orders us to avenge our wrongs.
It's our good God who will direct our arms
and bring us victory.
It's our good God who will assist us.
We all should throw away the image of the
White man's god who is so pitiless.
Listen to the voice for liberty
that sings in all our hearts.

- Boukman's Prayer at the Brea Kayiman
Victim ceremony, Aug 14, 1791 Call to action that launched
The Haitian Revolution, which started on August 22, 1791

Artist - Ulrick Jean-Pierre
<table>
<thead>
<tr>
<th>ITEM</th>
<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>Industry</td>
<td>Which industry do you primarily operate in?</td>
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<tr>
<td>Age</td>
<td>What is your age range?</td>
</tr>
<tr>
<td>Education</td>
<td>What is your highest level of education?</td>
</tr>
<tr>
<td>Dynamic capabilities 1</td>
<td>Our organization has processes which can quickly adapt to capture external business opportunities</td>
</tr>
<tr>
<td>Dynamic capabilities 2</td>
<td>Our organization ensures that the customer experience is central to our business strategy</td>
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<tr>
<td>Dynamic capabilities 3</td>
<td>Our organization has the ability to develop new products and services in order to keep up with industry demand</td>
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<tr>
<td>Dynamic capabilities 4</td>
<td>How would you describe the learning capability of your organization?</td>
</tr>
<tr>
<td>Local corruption 1</td>
<td>Corruption is an issue for businesses working in our country</td>
</tr>
<tr>
<td>Local corruption 2</td>
<td>Our organization has ethical codes in place to prevent corruption</td>
</tr>
<tr>
<td>Local corruption 3</td>
<td>If you were approached with an opportunity to receive money in order to facilitate a business transaction, would you engage in the transaction?</td>
</tr>
<tr>
<td>Local corruption 4</td>
<td>Our organization has been approached by other firms to engage in corruption</td>
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<td>Local corruption 5</td>
<td>In what ways would you say corruption exists in your industry?</td>
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<tr>
<td>Humanistic culture 1</td>
<td>Colleagues work in harmony within my organization</td>
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<tr>
<td>Humanistic culture 2</td>
<td>People in our organization are willing to give up my personal needs for the good of the organization</td>
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<tr>
<td>Humanistic culture 3</td>
<td>The leader listens to all points of view before making a final decision</td>
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<tr>
<td>Humanistic culture 4</td>
<td>Our organization has created positive relationships with other firms where we share resources</td>
</tr>
<tr>
<td>Goodwill (Firm performance)</td>
<td>How would stakeholders rate your reputation within the industry?</td>
</tr>
<tr>
<td>Market share (Firm performance)</td>
<td>Our market share in comparison to competitors is within the following range?</td>
</tr>
<tr>
<td>Return on assets (Financial performance)</td>
<td>Our return on assets this year was within the following range?</td>
</tr>
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REFERENCES


