

**ANTECEDENTS OF ORGANIZATIONAL AMBIDEXTERITY AND ITS
IMPACT ON INNOVATION PERFORMANCE: A STUDY ON INDIAN
MSMEs**

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by

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CERTIFICATE

This is to certify that the thesis entitled “**Antecedents of Organizational Ambidexterity and Its Impact on Innovation Performance: A Study on Indian MSMEs**”, being submitted by **Rubina Chakma** to the **Indian Institute of Technology Delhi** for the award of the degree of ‘**Doctor of Philosophy**’ in the Department of Management Studies is a record bona fide research work carried out by her under my supervision and guidance. Her thesis work has reached the requisite standards fulfilling the requirement for the Degree of **Doctor of Philosophy** of the Institute. The results presented in this thesis have not been submitted elsewhere for any degree or diploma award.

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(Rubina Chakma)

ABSTRACT

In today's dynamic and unpredictable business landscape, the quest for exceptional innovation performance has become a paramount priority. Firms are increasingly challenged to innovate and perform in the face of intense competition, continuous technological developments, geopolitical tensions, disrupted markets, and supply chains. Fostering ambidexterity emerges as a crucial aspect determining the generation of new ideas, products, processes, or services and superior performance. Ambidexterity implies the ability of firms to enhance their existing skills while simultaneously focusing on building new skills. The term “organizational ambidexterity” has received great attention in management as researchers have increasingly emphasized the importance of exploiting current competencies and exploring new ones to enhance innovation performance. The study develops a holistic approach to accommodate the critical antecedents and innovation performance of organizational ambidexterity in the Micro, Small, and Medium Enterprises (MSMEs) context. Moreover, the study reveals the moderating influence of a dynamic environment while implementing ambidexterity. The study has been divided into four phases where each phase answers a particular research objective.

The first phase of the thesis delineates a thorough understanding of ambidexterity literature with a Systematic Literature Review (SLR). It involves a Bibliometric review of publications spanning from 2001 to 2023 followed by TCCM (Theory, Context, Characteristics, and Method) analysis for classifying the literature according to less studied theories, contexts, constructs, and methods. The findings helped to reveal the frequency of research output, influential journals, top-cited authors, influential countries, top-cited publications, widely studied keywords, and co-cited references. A comprehensive research agenda has been developed for the thesis by considering

the findings of the TCCM framework. Furthermore, Random-effects meta-analysis has been conducted to provide a quantitative summarization of critical drivers. The findings of the meta-analysis helped to assess the significance of each driver and their level of heterogeneity. It was found that all the constructs including market orientation, technological capability, entrepreneurial orientation, networking capability, and knowledge management were highly heterogeneous with I square values greater than 80 percent except the enabling formalization which has low heterogeneity (42%).

The second phase of the thesis delineates the impact of selected antecedents on organizational ambidexterity and innovation performance. The proposed conceptual model has been tested empirically by implementing the Partial Least Square Structural Equation Modelling (PLS-SEM) approach. The process of data analysis includes the preliminary screening of data, Exploratory Factor analysis (EFA), Confirmatory Factor Analysis (CFA), and Path analysis. The preliminary investigation of data involves checking the missing values and outliers before reporting the demographic distribution and descriptive statistics of all the statements. EFA was conducted to identify the factor structure by removing a large set of insignificant and cross-loaded measured variables. Subsequently, CFA has been performed to assess the reliability and validity of constructs. Furthermore, the construct-to-construct relationships were determined with the help of Path analysis, also termed structural model analysis where the β coefficients and their significance were tested. Similarly, we checked the multicollinearity of the model with the help of Variance Inflation Factor (VIF) values. Finally, the PLS structural model was examined for testing the direct, indirect, total, and moderating effects. Out of twenty proposed hypotheses, fourteen were supported while the rest were not supported.

In phase three, a hierarchical framework has been developed to examine the interplay of critical antecedents, ambidexterity, and innovation performance. Modified Total Interpretive Structural Modelling (M-TISM) has been applied to create the hierarchy of the antecedents. Likewise, we implemented MICMAC analysis (Matrice D' Impacts Croises Multiplication Applique An Classment) to reveal the driving-dependence power of the constructs which were categorized into four clusters, such as autonomous, dependent, linkage, and independent quadrants. The proposed hierarchy positions the construct enabling formalization at the bottom, emphasizing its critical role in facilitating ambidexterity. The findings also highlight the significance of networking capability for the acquisition and dissemination of valuable knowledge in leading innovation and improved performance.

Finally, phase four involves cross-case analysis to validate and triangulate the empirical findings of the study. Triangulation allows establishing the credibility and validity of the findings by providing a detailed explanation of significant antecedents in different case contexts. Three case studies have been considered, each from Micro, small, and medium enterprises. The MSME (Micro, Small, and Medium Enterprises) classification provided by the Ministry of MSME in the year 2020 has been followed to select the case studies from each segment. The factors that were found significant for all the case scenarios are entrepreneurial orientation, market orientation, technological capability, and networking capability which also demonstrates the practicability of these factors in real case situations. Additionally, the practical, theoretical, and policy implications of the study have been discussed in the last chapter of the thesis.

सार

आज की उभरती और अनिश्चित व्यावसायिक परिस्थितियों में दृढ़ अस्तित्व और स्थिरता एक बड़ी चिंता बनी हुई है। जैसे-जैसे तीव्र प्रतिस्पर्धा, निरंतर तकनीकी विकास, भू-राजनीतिक तनाव, बाधित बाजार और आपूर्ति श्रृंखला जैसे मुद्दे इस विकसित माहौल में केंद्र स्तर पर आते हैं, जो कंपनियां अस्पष्टता को बढ़ावा देना चाहती हैं, वे नवाचार और बेहतर प्रदर्शन हासिल करती हैं। एम्बिडेक्सटेरिटी का तात्पर्य फर्मों की अपने मौजूदा कौशल को बढ़ाने के साथ-साथ नए कौशल के निर्माण पर ध्यान केंद्रित करने की क्षमता से है। शब्द "संगठनात्मक महत्वाकांक्षा" को प्रबंधन में बहुत ध्यान दिया गया है क्योंकि शोधकर्ताओं ने प्रतिस्पर्धात्मकता बढ़ाने के लिए वर्तमान दक्षताओं का दोहन करने और नई क्षमताओं की खोज करने के महत्व पर जोर दिया है। अध्ययन एसएमई संदर्भ में संगठनात्मक महत्वाकांक्षा के महत्वपूर्ण पूर्ववृत्त और नवाचार प्रदर्शन को समायोजित करने के लिए एक समग्र दृष्टिकोण विकसित करता है। इसके अलावा, अध्ययन से उभयलिंगी रणनीति को लागू करने में गतिशील वातावरण के मध्यम प्रभाव का पता चलता है। अध्ययन को चार चरणों में विभाजित किया गया है जहां प्रत्येक चरण एक विशेष शोध उद्देश्य का उत्तर देना चाहता है।

थीसिस के पहले चरण में एक व्यवस्थित साहित्य समीक्षा की मदद से उभयलिंगी साहित्य की गहन समझ शामिल है। इसमें व्यापक रूप से उपयोग किए जाने वाले सिद्धांतों, संदर्भों, विशेषताओं और विधियों के अनुसार साहित्य को वर्गीकृत करने के लिए टीसीसीएम विश्लेषण के बाद 2001 से 2023 तक फैले प्रकाशनों का ग्रंथ सूची विश्लेषण शामिल है। निष्कर्षों ने अनुसंधान आउटपुट की आवृत्ति, प्रभावशाली पत्रिकाओं, शीर्ष-उद्धृत लेखकों, प्रभावशाली देशों, शीर्ष-उद्धृत प्रकाशनों, व्यापक रूप से अध्ययन किए गए कीवर्ड और सह-उद्धृत संदर्भों को प्रकट करने में मदद की। टीसीसीएम ढांचे पर विचार करके थीसिस

के लिए एक व्यापक शोध एजेंडा विकसित किया गया है। साहित्य समीक्षा के दूसरे भाग में यादृच्छिक प्रभाव मेटा-विश्लेषण को लागू करके महत्वपूर्ण चालकों का मात्रात्मक सारांश शामिल है। मेटा-विश्लेषण के निष्कर्षों ने प्रत्येक ड्राइवर के महत्व और उनकी विविधता के स्तर का आकलन करने में मदद की। यह पाया गया कि सक्षम औपचारिकता को छोड़कर सभी निर्माण 80 प्रतिशत से अधिक I वर्ग मानों के साथ अत्यधिक विषम थे, जिसमें कम विषमता थी।

थीसिस के दूसरे चरण में संगठनात्मक महत्वाकांक्षा और नवाचार प्रदर्शन पर चयनित पूर्ववृत्त के प्रभाव की भविष्यवाणी करना शामिल है। प्रस्तावित वैचारिक मॉडल का पीएलएस-एसईएम दृष्टिकोण को लागू करके अनुभवजन्य परीक्षण किया गया है। डेटा विश्लेषण की प्रक्रिया में डेटा की प्रारंभिक स्क्रीनिंग, ईएफए, सीएफए और पथ विश्लेषण शामिल हैं। डेटा की प्रारंभिक जांच में सभी बयानों के जनसांख्यिकीय वितरण और वर्णनात्मक आंकड़ों की रिपोर्ट करने से पहले लापता मूल्यों और आउटलेर्स की जांच करना शामिल है। महत्वहीन और क्रॉस-लोडेड मापे गए चर के एक बड़े सेट को हटाकर कारक संरचना की पहचान करने के लिए ईएफए आयोजित किया गया था। इसके बाद, निर्माणों की विश्वसनीयता और वैधता का आकलन करने के लिए सीएफए लागू किया गया है। अनुभवजन्य मूल्यांकन के अंतिम भाग में पथ विश्लेषण की सहायता से निर्माण-से-निर्माण संबंधों की जांच करना शामिल है, जिसे संरचनात्मक मॉडल विश्लेषण भी कहा जाता है जहां β गुणांक और उनके महत्व का परीक्षण किया गया था। इसी तरह, हमने VIF मानों की सहायता से मॉडल की बहुसंरेखता की जाँच की। अंत में, प्रत्यक्ष, अप्रत्यक्ष, कुल और मॉडरेटिंग प्रभावों के परीक्षण के लिए पीएलएस संरचनात्मक मॉडल की जांच की गई। प्रस्तावित बीस परिकल्पनाओं में से चौदह का समर्थन किया गया जबकि बाकी का समर्थन नहीं किया गया।

चरण तीन में, महत्वपूर्ण पूर्ववृत्त, उभयलिंगीता और नवाचार प्रदर्शन के परस्पर क्रिया की जांच करने के लिए एक पदानुक्रमित ढांचा विकसित किया गया है। इस उद्देश्य को निष्पादित करने के लिए एम-टीआईएसएम लागू किया गया है। इसके अलावा, हमने निर्माणों की ड्राइविंग-निर्भरता शक्ति को प्रकट करने के लिए एमआईसीएमएसी विश्लेषण लागू किया, जिन्हें चार समूहों में वर्गीकृत किया गया था, जैसे स्वायत्त, आश्रित, लिंकेज और स्वतंत्र चतुर्थांश। प्रस्तावित पदानुक्रम औपचारिकता को सक्षम करने वाले निर्माण को निचले स्तर पर रखता है, जो उभयलिंगीपन को सुविधाजनक बनाने में इसकी महत्वपूर्ण भूमिका पर जोर देता है। निष्कर्ष अग्रणी नवाचार और बेहतर प्रदर्शन में मूल्यवान ज्ञान के अधिग्रहण और प्रसार में नेटवर्किंग क्षमता के महत्व पर भी प्रकाश डालते हैं।

अंत में, चरण चार में अध्ययन के अनुभवजन्य निष्कर्षों को मान्य और त्रिकोणित करने के लिए क्रॉस-केस विश्लेषण शामिल है। त्रिकोणासन विभिन्न मामले संदर्भों में महत्वपूर्ण पूर्ववृत्तों की विस्तृत व्याख्या प्रदान करके निष्कर्षों की विश्वसनीयता और वैधता स्थापित करने की अनुमति देता है। प्रत्येक खंड के तहत सामान्यीकरण की अनुमति देने के लिए सूक्ष्म, लघु और मध्यम उद्यमों से तीन केस अध्ययनों पर विचार किया गया है। प्रत्येक खंड से मामलों का चयन करने के लिए एमएसएमई मंत्रालय द्वारा प्रदान किए गए एमएसएमई वर्गीकरण का पालन किया गया है। जो कारक सभी मामले परिदृश्यों के लिए महत्वपूर्ण पाए गए वे उद्यमशीलता अभिविन्यास, बाजार अभिविन्यास, तकनीकी क्षमता और नेटवर्किंग क्षमता हैं जो वास्तविक मामले स्थितियों में इन कारकों की व्यावहारिकता को भी प्रदर्शित करते हैं। इसके अतिरिक्त, थीसिस के अंतिम अध्याय में अध्ययन के व्यावहारिक, सैद्धांतिक और नीतिगत निहितार्थों पर चर्चा की गई है

TABLE OF CONTENTS

CERTIFICATE.....	i
ACKNOWLEDGEMENTS.....	ii
ABSTRACT.....	iv
सार	vii
LIST OF FIGURES	xvi
LIST OF TABLES.....	xvii
LIST OF ABBREVIATIONS	xix
CHAPTER 1: INTRODUCTION.....	1
1.1 BACKGROUND	2
1.2 CONTEXT AND MOTIVATION OF THE STUDY	4
1.3 RESEARCH GAPS.....	6
1.4 RESEARCH QUESTIONS AND OBJECTIVES	8
1.5 SCOPE OF THE STUDY	10
1.6 STRUCTURE OF THE THESIS.....	12
Chapter 1: Introduction	12
Chapter 2: Bibliometric Review and TCCM Analysis	12
Chapter 3: Meta-analytical Review of Critical Antecedents	13
Chapter 4: Organizational Ambidexterity, its Critical Factors, and Applicable Theoretical Lenses	13
Chapter 5: Conceptual Research Framework and Formulation of Hypothesis	13
Chapter 6: Research Methodology.....	14
Chapter 7: Empirical Examination of the Conceptual Research Model.....	14
Chapter 8: Modeling of Antecedents, Ambidexterity, and Innovation Performance	14
Chapter 9: Research Synthesis and Triangulation	14
Chapter 10: Discussion, Research Implications, and Conclusion	15

CHAPTER 2: BIBLIOMETRIC REVIEW AND TCCM ANALYSIS	16
2.1 INTRODUCTION.....	17
2.2 METHOD.....	20
2.3 FINDINGS OF BIBLIOMETRIC REVIEW	20
2.3.1 Frequency of Research Output.....	21
2.3.2 Most Influential Publications.....	21
2.3.3 Most Prominent Journals.....	23
2.3.4 Most Influential Countries.....	24
2.3.5 Analysis of Keywords Co-occurrence	25
2.3.6 Co-citation Analysis of Cited References.....	27
2.4 RESULTS OF TCCM ANALYSIS.....	28
2.4.1 Theory Development.....	28
2.4.2 Contexts	29
2.4.3 Characteristics	30
2.4.4 Methodology	31
2.5 DISCUSSION	33
2.6 CHAPTER SUMMARY	35
CHAPTER 3: META-ANALYSIS.....	36
3.1 INTRODUCTION.....	37
3.2 METHOD.....	38
3.2.1 Survey of Literature	38
3.2.2 Inclusion and Exclusion Strategy	39
3.2.3 Meta-analytical Procedure	40
3.3 RESULTS OF THE META-ANALYTICAL REVIEW.....	41
3.3.1 Environmental Dynamism and Ambidexterity	41
3.3.2 Networking Capability and Ambidexterity	42
3.3.3 Enabling Formalization and Ambidexterity	42

3.3.4 Entrepreneurial Orientation and Ambidexterity.....	42
3.3.5 Market Orientation and Ambidexterity	42
3.3.6 Knowledge Management and Ambidexterity.....	43
3.3.7 Technological Capability and Ambidexterity.....	43
3.4 DISCUSSION	43
3.5 CHAPTER SUMMARY	47
CHAPTER 4: ORGANIZATIONAL AMBIDEXTERITY, ITS CRITICAL FACTORS, AND APPLICABLE THEORETICAL LENSES	49
4.1 INTRODUCTION.....	50
4.1.1 Enabling Formalization.....	51
4.1.2 Entrepreneurial Orientation.....	52
4.1.3 Environmental Dynamism	53
4.1.4 Knowledge Management.....	53
4.1.5 Market Orientation	54
4.1.6 Networking Capability	55
4.1.7 Technological Capability	56
4.2 THEORETICAL UNDERPINNINGS	56
4.2.1 Dynamic Capability Theory.....	57
4.2.2 Resource-based Perspective	57
4.2.3 Knowledge-based View.....	58
4.3 CHAPTER SUMMARY	59
CHAPTER 5: DEVELOPMENT OF THE CONCEPTUAL RESEARCH FRAMEWORK	60
5.1 FINDINGS FROM THE LITERATURE AND HYPOTHESIS DEVELOPMENT .	61
5.1.1 Enabling Formalization, Ambidexterity, and Innovation Performance.....	61
5.1.2 Entrepreneurial Orientation, Ambidexterity, and Innovation Performance.	62
5.1.3 Knowledge Management, Ambidexterity, and Innovation Performance	64
5.1.4 Market Orientation, Ambidexterity, and Innovation Performance.....	65

5.1.5 Networking Capability, Ambidexterity, and Innovation Performance.....	66
5.1.6 Technological Capability, Ambidexterity, and Innovation Performance	67
5.1.7 Ambidexterity and Innovation Performance	68
5.1.8 Moderating Influence of Environmental Dynamism.....	69
5.2 CONCEPTUAL FRAMEWORK.....	70
CHAPTER 6: RESEARCH METHODOLOGY	72
6.1 INTRODUCTION.....	73
6.2 RESEARCH OBJECTIVES AND THEIR CORRESPONDING METHODS.....	73
6.3 RESEARCH DESIGN	75
6.4 ANALYZING THE IMPACT OF ANTECEDENTS ON AMBIDEXTERITY AND INNOVATION PERFORMANCE.....	76
6.4.1 Method	76
6.4.2 Sample Population.....	77
6.4.3 Measurement of the Constructs.....	78
6.4.4 Control Variables	79
6.5 M-TISM OF ANTECEDENTS, AMBIDEXTERITY, AND INNOVATION PERFORMANCE	79
6.5.1 Method	79
6.5.2 Database.....	81
6.6 CHAPTER SUMMARY	81
CHAPTER 7: EMPIRICAL ANALYSIS OF THE CONCEPTUAL FRAMEWORK.....	82
7.1 INTRODUCTION.....	83
7.2 METHOD.....	84
7.2.1 Designing of Survey Questionnaire	85
7.2.2 Pretesting the Questionnaire.....	85

7.2.3 Sampling and Data Collection	86
7.2.4 Preliminary Analysis of Data	87
7.2.5 Descriptive Statistics.....	89
7.2.6 Exploratory Factor Analysis	90
7.2.7 Confirmatory Factor Analysis	96
7.3 ASSESSMENT OF THE PATHS ANALYSIS.....	99
7.3.1 Testing of Hypothesis (Direct and Total Effects).....	100
7.3.2 Testing of Hypothesis (Indirect Effect)	103
7.3.3 Testing of Hypothesis (Moderation Effect).....	104
7.3.4 Control Variables	106
7.3.5 Testing of the Overall Model (R Square and Q Square)	107
7.4 CHAPTER SUMMARY	109
CHAPTER 8: MODELING OF ANTECEDENTS, AMBIDEXTERITY, AND INNOVATION PERFORMANCE	110
8.1 INTRODUCTION.....	111
8.2 STEPS OF MODIFIED TISM.....	112
8.3 RESULTS AND DISCUSSION	116
8.4 MICMAC ANALYSIS.....	120
8.5 CHAPTER SUMMARY	122
CHAPTER 9: TRIANGULATION OF FINDINGS USING CASE STUDIES.....	125
9.1 INTRODUCTION.....	126
9.1.1 Case Evidence 1: D2 International Private Limited.....	128
9.1.2 Case Evidence 2: ImageKit Private Limited	131
9.1.3 Case Evidence 3: Keebee Organics Private Limited	133
9.2 RESULTS OF CROSS-CASE ANALYSIS	135
9.3 CHAPTER SUMMARY	136

CHAPTER 10: IMPLICATIONS AND CONCLUSION OF THE STUDY	138
10.1 INTRODUCTION.....	139
10.1.1 Findings of Research Phase 1	140
10.1.2 Findings of Research Phase 2	142
10.1.3 Findings of Research Phase 3	145
10.1.4 Findings of Research Phase 4	146
10.2 IMPLICATIONS OF THE STUDY	147
10.2.1 Academic and Research Implications	147
10.2.2 Managerial and Practical Implications	150
10.2.3 Implications for the Policymakers.....	151
10.3 CONCLUSION.....	153
10.4 LIMITATIONS AND SCOPE FOR FUTURE RESEARCH	155
10.5 CHAPTER SUMMARY	156
REFERENCES.....	158
APPENDICES	174
APPENDIX A	174
APPENDIX B	177
APPENDIX C	183
APPENDIX D	186
BIO-DATA	187

LIST OF FIGURES

Figure 2.1: Steps followed in Bibliometric Analysis.....	20
Figure 2.2: Evolution of Ambidexterity Research.....	22
Figure 2.3: Density Distribution of Keyword Co-occurrences.....	26
Figure 2.4: Density Visualization Map of Top Co-cited References	27
Figure 3.1: Data Retrieval Process with PRISMA Approach.....	39
Figure 5.1: Conceptual Framework.....	71
Figure 6.1: Diagram of Research Flow.....	77
Figure 6.2: Steps in M-TISM.....	80
Figure 7.1: The process of Empirical Data Analysis.....	84
Figure 7.2: Demographic Distribution of Respondents.....	88
Figure 7.3: Sample Profile of the Enterprises.....	89
Figure 7.4: Educational Qualification of the Respondents.....	90
Figure 7.5: Gender Distribution of the Respondents.....	90
Figure 7.6: Scree Plot.....	95
Figure 7.7: PLS Structural model with t values in brackets.....	102
Figure 7.8: Moderating the Impact of Environmental Dynamism.....	108
Figure 8.1: Diagraph with Transitive Links.....	115
Figure 8.2: Final M-TISM Hierarchy.....	120
Figure 8.3: MICMAC Analysis.....	123
Figure 9.1: Steps Adopted to Cross-validate the Findings.....	135

LIST OF TABLES

Table 2.1: Top Cited Publications of Ambidexterity Research.....	23
Table 2.2: Top 10 Journals by the Frequency of Published Articles.....	24
Table 2.3: Most Influential Countries by the Frequency of Citation.....	25
Table 2.4: TCCM Analysis of Top Five Cited Publications.....	32
Table 2.5: Development of Research Agenda using TCCM Framework.....	34
Table 3.1: Constructs with their Supporting Publications.....	40
Table 3.2: Meta-analysis Results	46
Table 3.3: Constructs and their Possible Explanations of Heterogeneity.....	47
Table 6.1: An Overview of Research Objectives and their Corresponding Methods/Software.....	74
Table 7.1: Descriptive Statistics of Statements/Items.....	90
Table 7.2: KMO and Bartlett's Test.....	91
Table 7.3. Final EFA output	95
Table 7.4: Reliability and Validity Assessment.....	97
Table 7.5: FLC measure of Discriminant Validity.....	98
Table 7.6: HTMT measure of Discriminant validity.....	99
Table 7.7: VIF of Indicators.....	100
Table 7.8: Direct and Total Effects.....	101
Table 7.9: Mediation Impact of Ambidexterity.....	104
Table 7.10: Moderation Impact of Environmental Dynamism	105
Table 7.11: Summary Results of Hypotheses Testing.....	105

Table 7.12 Control Variables.....	106
Table 7.13: R Square and Q square values of the Dependent Constructs.....	108
Table 7.14: Model Fitness.....	108
Table 8.1: Emergent Constructs and their Corresponding Codes.....	112
Table 8.2: Reachability Matrix.....	113
Table 8.3: Reachability Matrix with Transitive Linkages.....	114
Table 8.4: Hierarchical Partitioning	117
Table 8.5: Constructs and their Levels in the Hierarchy.....	118
Table 8.6: Driving-dependence Power of Elements.....	121
Table 9.1: Characteristics of Case Studies.....	128
Table 9.2: Cross-case Analysis.....	136

LIST OF ABBREVIATIONS

Acronyms	Expanded Form
TCCM	Theory, Context, Characteristics, and Methodology
CSV	Comma Separated Values
TC	Total Citations
ACPY	Average Citations Per Year
USA	United States of America
UK	United Kingdom
TMT	Top Management Team
GDP	Gross Domestic Product
WOS	Web of Science
JMS	Journal of Management Studies
SMJ	Strategic Management Journal
PRISMA	<i>Preferred Reporting Items for Systematic Reviews and Meta-Analyses</i>
RE	Random Effects
FE	Fixed Effects
DF	Degrees of Freedom
CI	Confidence Interval
MSME	Micro Small and Medium Enterprise
MSMEs	Micro Small and Medium Enterprises
SMEs	Small and Medium Enterprises
RO	Research Objectives
RQ	Research Questions
IBM-SPSS	International Business Machines Statistical Package for the Social Sciences
SEM	Structural Equation Modelling
CB-SEM	Covariance-Based SEM
PLS-SEM	Partial Least Square Structural Equation Modelling
ISM	Interpretive Structural Modelling
TISM	Total Interpretive Structural Modelling

M-TISM	Modified Total Structural Equation Modelling
CEOs	Chief Executive Officers
MSME	Micro Small and Medium Enterprises
CFA	Confirmatory Factor Analysis
EFA	Exploratory Factor Analysis
PCA	Principle Component Analysis
PAF	Principle Axis Factoring
EV	Eigen Value
FLC	Fornell and Larcker Criterion
HTMT	Heterotrait-Monotrait Ratio
EP	Exploitation
ER	Exploration
ED	Environmental Dynamism
FOR	Formalization
KM	Knowledge Management
TC	Technological Capability
NC	Networking Capability
EO	Entrepreneurial Orientation
MO	Market Orientation
IP	Innovation Performance
VIF	Variance Inflation Factor
SRMR	Square Root Mean Residual
MICMAC	Matrice D' Impacts Croises Multiplication Applique an Classment