



From the Editor

Dail Fields
Regent University

With this issue, we complete the first full year of publication for the *International Journal of Leadership Studies*. We have all been pleased by the quality of the papers we have received over the past year. I hope you have enjoyed the results of our efforts to present a professional research journal in an online format free of charge to readers. Authors should take note that the IJLS is now cataloged by *Cabell's Directory of Publishing Opportunities in Management*. We are interested in receiving new work. So bring it on!

We have a set of interesting regular and special issues of the journal taking shape for the next year. For example, we will publish special issues on values-based leadership and servant leadership in the upcoming year. I am spending the year as a Fulbright scholar in Lithuania and am working on how to cultivate support here for an issue on leadership in Eastern Europe.

I want to thank the members of our editorial board for their continued help and support. I also want to thank our group of ad hoc reviewers for their diligent work. And, of course, a special thanks to Chuck Manz for his help as consulting editor.

Enjoy the variety of this third issue of *IJLS*.

The Impact of Uncertainty and Relationships on a Leader's Decision to Resist the Introduction of Self-Managing Teams

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Although research has indicated that self-managing teams can help organizations improve their performance, middle managers instructed to facilitate the introduction of these teams sometimes resist the change effort. One of the key reasons why these managers resist the introduction of self-managing teams is confusion surrounding the role of the manager after the teams have been empowered. This confusion stems from the fact that the manager has responsibility for a team that is expected, to a large degree, to lead itself. Since resistance by middle managers is one of the main factors resulting in self-managed team failures, it is important to learn more about the reasons why these managers support or resist the team initiative. This paper looks at the impact of uncertainty and intraorganizational relationships on middle managers' decision to support or resist the introduction of self-managing teams. It also suggests ways in which organizations might work with managers to help them develop greater openness and support for this team innovation.

Team empowerment is growing in importance since highly empowered teams have demonstrated the capability of performing better than less empowered teams (Kirkman & Rosen, 1999). Although self-managing teams are widely recognized to be of value to organizations, organizational leaders (particularly middle managers) instructed to facilitate the introduction of these teams sometimes feel threatened and, as a result, resist their creation (Sims & Manz, 1995). Some of the reasons why middle managers tend to resist creating self-managing work teams include uncertainty surrounding job security, anxiety about adopting new roles, mistrust of senior executive intentions, and doubts about the ability of the empowered teams to assume new responsibilities (Vanfleet & Smith, 1993). While a substantial amount of work on empowerment has been done in the management literature (O'Creevy, 1998), relatively little research has focused on resistance by middle managers. Since resistance by managers may result in the failure of efforts to create self-managing teams and lead to poor team performance which, in the long run, can lower firm performance; it is important for researchers and practitioners alike to understand this phenomenon better.

The purpose of this research is to examine two important factors: uncertainty and relationships and how they influence a leader's decision to resist or support the introduction of self-managing teams. The paper focuses on middle managers and looks at the impact of three types of uncertainty (state, effect, and response uncertainty) on a manager's resistance to the introduction of self-managing teams. In addition, the authors examine the effects of the quality of the manager's relationships with both their teams and their senior executives and how these relationships influence a manager's decision regarding whether to resist or support the team effort. Relationship constructs that will be studied include trust (credibility and benevolence), conflict (task and personal), and justice (procedural, interactional, and distributive).

Self-Managed Teams (SMTs)

Considerable attention in the literature has been devoted to the introduction of work teams that are assigned significant responsibilities that previously were part of the role of external managers (Kirkman & Rosen, 1999; Lawler, Mohrman, & Ledford, 1995; Uhl-Bien & Graen, 1998). Frequently labeled self-managed teams (SMTs), these empowered units of workers become a central part of the overall work system design and are typically provided with increased decision-making control and discretion regarding behavioral choices (Manz & Sims, 1986). Hackman has described SMTs as possessing

a relatively whole task; members who each possess a variety of skills relevant to the group task; workers' discretion over such decisions as methods of work, task scheduling, and assignment of workers to different tasks; and compensation and feedback about performance for the group as a whole. (Quoted by Cummings, 1978, p. 625)

By empowering employees within a team based structure, SMTs act to decrease employee dependence on traditional designated leaders within a work system (Cummings, 1978, Manz & Sims, 1987, 1993; Pearce & Conger, 2003; Sims & Manz, 1996). Significant research has found that SMTs often result in higher performance (Cohen & Baily, 1997; Cohen & Ledford, 1994; Guzzo & Dickson, 1996; Kirkman & Rosen, 1999; Trist, Susman, & Brown, 1977; Wall, Kemp, Jackson, & Clegg, 1986). For example, The Lake Superior Paper Company utilized SMTs to create one of their most successful start-ups in the paper industry's history (Sims & Manz, 1995). The introduction of SMTs at Carlisle Tire and Rubber, a manufacturer of industrial tires, also led to a 47% improvement in throughput of a bottleneck operation (Vanfleet & Smith, 1993). Motivated by results like these, many senior executives champion the introduction of SMTs in their organizations. They sometimes become aggressive in their efforts to push the initiative through, put their reputation on the line, and may even take it personally when anyone resists the introduction of these teams.

Importantly, however, the actions of leaders and the type of leadership influence they apply within the team system, appears to play an important role in determining the degree of success of SMTs (Manz & Sims, 1987). In particular, whether leaders embrace the importance of empowering team members and use an empowering style appears to be especially critical for enabling teams to perform effectively (Kirkman & Rosen, 1999; Manz & Sims, 1987; Sims & Manz, 1994). If, on the other hand, leaders within the system do not recognize the importance of employee empowerment and actively resist the development of the teams while trying to maintain possession of high centralized control for themselves, team empowerment can become little more than an illusion (Manz & Angle, 2003). Team members may be vulnerable to other forms of disempowering influences such as concertive control (Barker, 1993), and the SMTs can

be set up for failure. Perhaps the most critical impediment to early SMT success is middle manager resistance (Manz & Sims, 1995), and the quality of the relationships between middle managers and those involved in the implementation of the team initiative is one of the key factors influencing the success of SMTs.

Relationships

A middle manager's decision to support or reject an organizational initiative usually does not only hinge on things that are happening at the time of the initiative but also on the quality of relationships that have been developed in the past. According to O'Creevy (1998), middle management resistance is usually a symptom of larger problems in the organization. This section examines the impact of the quality of the relationship between a manager and their senior executives on a manager's decision to support or resist the introduction of SMTs. In addition, we examine the impact of the quality of the relationship between a manager and the members of the SMT on the manager's support/resist decision regarding the team initiative. The paper focuses on three variables of relationship quality: trust, conflict, and justice.

Trust

Trust is conceptualized as existing when one party has confidence in another party's reliability and integrity (Morgan & Hunt, 1994). Employees who have a trusting relationship with their leaders tend to work together with them towards achieving a common goal (Straiter, 2005). On the other hand, those in relationships characterized by mistrust usually have misgivings about the intention of the initiators of change leading to misunderstandings between those involved in the change process (Honey, 1988). Credibility and benevolence are two of the main dimensions of trust found in the literature (Ganesan, 1994).

Credibility-based trust is based on the extent to which a party believes that others can be relied on to keep their word and also have the required expertise to perform a job effectively (Ganesan, 1994). Credibility includes two dimensions: competence and honesty-based credibility. Competence-based credibility arises from one party's confidence in the other party's ability, knowledge, and skill related to a specific task (Cook & Wall, 1980). Honesty-based credibility, on the other hand, is the belief that the other party fulfils role obligations, is reliable, stands by its word, and is sincere (J. C. Anderson & Narus, 1990; Dwyer, Schurr, & Oh, 1987).

The level of credibility-based trust between middle managers and their senior executives is important since a manager who has been asked to introduce SMTs will likely consider the amount of credibility that their executives have before deciding whether it is in their interest to support or resist the new team-based initiative. Managers whose higher executives have been dishonest in the past are more inclined to distrust those executives (Yukl, 2006). They will question their executives' credibility and treat with suspicion any promises that those executives might make about the security of the manager's job after empowerment. Also, managers whose executives have failed in the past to effectively implement prior innovations, particularly leadership-based innovations, will question their executives' competence and ability to successfully implement this new team-based innovation (Sims & Manz, 1995). Managers who do not consider their senior executives to be honest and question those executives' competence are likely to resist requests to lead the new team initiative.

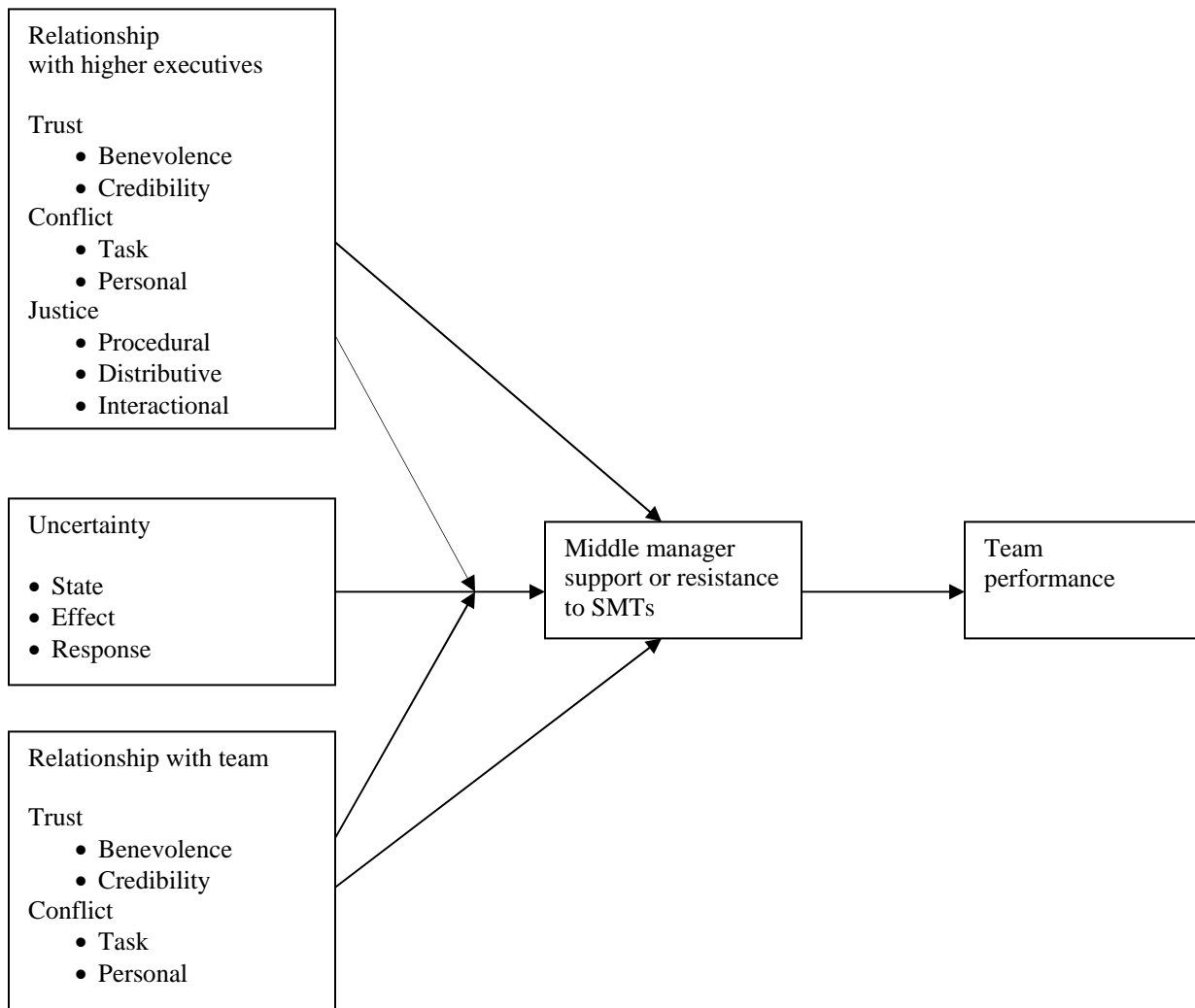


Figure 1. The impact of relationships and uncertainty on a leader's support/resistance to SMTs.

Credibility is also important in the relationship between a manager and the team members. A manager who is experiencing job security uncertainty may try to get assurances from their team members that they are not looking to replace her or him and that they will support the leader as they transition to SMTs. Whether the manager believes these assurances will depend on how credible and honest that he or she believes the team members to be. If he or she believes the team members to be honest, particularly if those members have been honest in the past; he or she is likely going to believe those members and, as a result, support the introduction of teams. If, on the other hand, he or she does not think that those team members are honest, the manager might not believe the assurances from the team members and might decide to resist the team effort.

The middle manager's perception regarding the competence of the team will also affect her decision to support or resist SMTs. Stewart and Manz (1997) found in a qualitative study of

the hotel industry that about half of the middle managers studied had negative attitudes towards empowering their employees. This is because they believed that their employees were not competent enough to accomplish their tasks on their own. In an organization where a middle manager's performance is evaluated based on the performance of the teams that they supervise, the manager will consider the competence of her team before deciding whether to resist or support the team effort (Vanfleet & Smith, 1993). If the manager trusts that the team is competent enough to perform on its own, the manager will be more likely to support efforts to make the team self-managing. This is because the manager knows that if the team is trained to manage itself, its performance will enhance the reputation and performance of the manager. On the other hand, if the manager does not trust that the teams are competent enough, the manager will consider resisting the introduction of these teams for fear that incompetent teams would negatively affect that manager's reputation and performance.

However, note that competence can also potentially work the opposite way. Nonaltruistic managers, who are not supportive of the team empowerment initiative and are looking to derail it, may subtly sabotage the team effort by openly supporting a less competent team for an initial phase-in pilot program. This is because they believe that a less competent team will be unable to effectively self-manage itself and will eventually fail. They hope that the failure of the team will compel the organization to abandon the SMT initiative and, as a result, confirm the place and value of the manager in the organization.

Benevolence-based trust is the belief that one party is genuinely interested in the other party's welfare and, as a result, subordinates immediate self-interest for the long-term benefit of the group (E. Anderson, Lodish, & Weitz, 1987). Benevolence involves showing sensitivity and consideration to the interests and needs of others in a relationship and refraining from exploiting other parties for the benefit of one's own interests (Atuahene-Gima & Li, 2002).

Managers whose executives have made sacrifices for them in the past and gone out on a limb to defend and protect them tend to see those executives as benevolent. On the other hand, executives who are opportunistic and tend to seek only their own self-interest or tend to emphasize the pursuit of profits at the expense of managers' long-term welfare are usually seen to be less trustworthy. If a manager does not trust that an executive is benevolent, it is likely that the manager will be suspicious about requests from the executive to empower teams. He or she will be concerned that their senior executives might exploit them and that the team initiative will lead to consequences that will not be in his or her interest (Yukl, 2006). Because of fears that senior executives might exploit them, the manager may resist the team initiative.

Benevolence also has an effect on the relationship between middle managers and their teams. If a middle manager believes that the teams are benevolent and have the interest of the manager at heart; he or she is less likely to be suspicious of the team and will, as a result, be more supportive of the team initiative. On the other hand, if the manager does not perceive the team members to be benevolent, she or he will be more likely to resist the introduction of SMTs.

Organizational Conflict

Conflict is unavoidable in organizations due to the interdependence and complexity of organizational life (Jehn, 1995). Using Jehn's classification of conflict into task and relationship conflict, we examine the effect of organizational conflict on a manager's viewpoint or attitude towards the introduction of SMTs.

Relationship conflict. Relationship conflict refers to an awareness of interpersonal incompatibilities and involves personal issues such as feelings of annoyance, frustration, and irritation with other members of a group (Jehn & Mannix, 2001). Interpersonal tension associated with relationship conflict may lead to negative outcomes such as lower productivity, lower cohesiveness, lack of trust, and poor performance.

Middle managers in environments where there is a lot of relationship conflict with senior executives are likely to be suspicious of efforts by those executives to introduce SMTs. They may consider these team efforts to be a ploy by the executives to make the manager's role in the organization irrelevant in order to get rid of them. Consequently, these managers may come to resist the team empowerment initiative and do whatever they can to ensure that the initiative fails. On the other hand, managers in more supportive environments with less relationship conflict will be more likely to support the introduction of SMTs.

Task conflict. Task conflict refers to disagreements among individuals or group members about their decisions, ideas, and opinions related to a specific task (Medina, Munduate, Dorado, Martínez, & Guerra, 2005). While high levels of task-related conflict can lead to unhappiness, antagonism, and tension among group members (Jehn, 1995), research has shown that moderate levels of task conflict can be beneficial at times since it can lead to more critical evaluations of assignments and increased innovation (Medina et al., 2005). Low levels of task conflict have also been associated with lower levels of performance, leading Jenn to empirically test and find support for a curvilinear relationship between task conflict and performance.

Researchers (Gladstein, 1984; Van de Ven & Ferry, 1980) have also asserted that the type of task that a group performs has an impact on the relationship between task conflict and performance. According to them, the relationship between conflict and performance is different in groups performing routine tasks than in groups performing nonroutine tasks. Jenn (1995) found that in groups performing routine tasks, task conflict was generally detrimental to group functioning. However, in situations where the group performed nonroutine tasks, task conflict was not usually detrimental and, in some cases, was even beneficial to the group effort.

Along those lines, since the introduction and development of teams is a complex process involving many important decisions, moderate levels of task conflict will be beneficial in the introduction of SMTs in groups that perform nonroutine tasks. High or low levels of task conflict will, however, be detrimental to the introduction of SMTs in nonroutine task environments. Also, task conflict will be detrimental to the team initiative in an environment where the team works on routine or repetitive tasks.

Organizational Justice

Organizational justice refers to the perception of fairness among agents in an organization (Greenberg & Bies, 1992), and the concept is very important when a weaker party is being influenced by a stronger party (Lind & Tyler, 1988). Middle managers frequently see themselves as potential losers when they are asked to introduce SMTs (Sims & Manz, 1995). This perception can result in some managers feeling that requests to empower their teams are unfair. Since an individual who feels like they are being treated unfairly may perform poorly (Brashear, Manolis, & Brooks, 2003) or resist requests to empower their teams, it is important to consider a manager's perception of fairness or justice when trying to encourage him or her to empower their employees. Although there has been extensive research done on organizational justice, the

concept has not been adequately covered in the empowerment literature. This section emphasizes the value of the organizational justice concept in the introduction of SMTs. Three main categories of justice can be found in the literature and include procedural justice (Thibaut & Walker, 1975), distributive justice (Brashear, Brooks, & Boles, 2004), and interactional justice (Bies & Moag, 1986).

Procedural justice. Procedural justice is concerned with the fairness of procedures (Thibaut & Walker, 1975). An important element of procedural justice is the ability of a party to participate or have a voice in a decision (Beugre, 1998). People tend to perceive a procedure to be fair when they are allowed to voice their opinions. A clear indication of procedural justice in an organization is the presence of a mechanism to ensure that workers have a say in things that are happening (Brashear, Manolis, & Brooks, 2003).

Quite often the decision to introduce SMTs is made at the senior executive level, and middle managers are informed after the decision has been made. Since they are often not consulted when the initial decision is made, many of the concerns that middle managers might have about the new team initiatives are usually not addressed. While some companies might give middle managers a voice at the implementation stage, often the executive decision has already been made by the senior executives to introduce the teams. Thus, input that these middle managers are allowed is limited in scope to details regarding how the initiative should be implemented. A program of change imposed from above is likely to create greater resistance than one that is developed with the input and cooperation of both the senior executives and middle managers (Vanfleet & Smith, 1993).

Distributive justice. This refers to the perception of fairness concerning how rewards are distributed in an organization (Beugre, 1998). Three categories of distributive justice have been identified in the literature: equity, equality, and need (Brashear, Brooks, & Boles, 2004). Equity refers to the belief that rewards are distributed in proportion to an individual's contributions (Adams, 1965); equality implies that recipients should receive the same amount regardless of their inputs (Beugre); need implies that the welfare or need of each recipient determines the distribution of rewards (Beugre).

Distributive justice can be very important in the empowerment process since managers who are uncertain about the possible outcome of an empowerment initiative will be inclined to look at past behaviors of senior executives to determine what they think the future will have in store for them. If the managers believe that senior executives have treated them unfairly in the past and that rewards, resources, promotions, and layoffs have been distributed unfairly in the organization; it is more likely that they will conclude that they will be treated unfairly in a team initiative that has the potential to put their job at risk. On the other hand, if managers perceive the past distribution of rewards and resources to be fair, they are more likely to support the new team effort.

Interactional justice. Interactional justice refers to the quality of interpersonal treatment received from a principal (Bies & Moag, 1986). Interactional justice has two components: interpersonal and informational justice (Colquitt, Conlon, Wesson, Porter, & Ng, 2001). Interpersonal justice reflects the degree to which agents are treated with respect, politeness, and dignity; informational justice focuses on the explanations provided to people about decisions, procedures, and outcomes (Greenberg, 1993).

When examining why middle managers resist the introduction of SMTs, it is important to consider how well those in power interact and communicate with the manager. If managers feel like they have not been well treated by executives in the past or during the team empowerment decision, they will be unhappy with the decision which could lead them to resist it. Also, if senior executives do not properly communicate with middle managers regarding their plans to introduce SMTs, managers are likely to have concerns about the initiative. These concerns may cause middle managers to resist the team initiative.

Uncertainty

The concept of uncertainty has been widely studied in the academic literature, and coping with uncertainty is one of the fundamental problems facing organizations (Gerloff, Muir, & Bodensteiner, 1991; Gibbons & Chung, 1995). According to Milliken (1987), uncertainty refers to an individual's perceived inability to accurately predict something. She identified three distinctive components of uncertainty: state, effect, and response uncertainty. These three dimensions of uncertainty have been widely used in the management literature; and, as a result, we will focus on these dimensions.

State Uncertainty

State uncertainty refers to uncertainty about the state of the environment. The concept is synonymous with environmental uncertainty (Gerloff et al., 1991). According to Milliken (1987), administrators experience state uncertainty when they perceive the organizational environment to be unpredictable. This unpredictability can be caused by external factors like an organization's suppliers, customers, competitors, and macro elements such as the economy and global political events. Internal factors like organizational personnel, organizational goals, and intra-unit conflict can also lead to environmental uncertainty (Duncan, 1972).

During periods of high state uncertainty; for example, during a poor global economy or periods of massive layoffs; managers will be more insecure about their place in their organization or their ability to secure a new job if they were to lose their current ones. Since managers who perceive that they could suffer personal financial losses or could lose their job security are more likely to resist change (Yukl, 2006), managers in an environment where there is high state uncertainty are more likely to resist the introduction of SMTs than those in environments where there is a lower level of state uncertainty.

Effect Uncertainty

Effect uncertainty refers to an individual's ability to predict the impact of a change on that individual or their organization (Gibbons & Chung, 1995; Milliken, 1987). During this state of uncertainty, the manager tries to assess the meaning and effect of a change on them and their organization (Gerloff et al., 1991). A key question that a manager seeks to answer during periods of effect uncertainty is: how does this change affect me?

One of the main reasons why organizational leaders resist the introduction of SMTs is uncertainty surrounding the role of middle managers after the teams have been empowered (Manz & Sims, 1987; Sims & Manz, 1994, 1995; Vanfleet & Smith, 1993). This confusion stems from the fact that these leaders have responsibility for a team that is designed to manage itself

(Manz & Sims, 1987). The question arises: if a team can manage itself, why do they need another leader? Also, one may ask: what will happen to the leader once the teams learn how to lead themselves? In fact, there is some reality supporting this fear since one of the typical sources of savings from a SMT system is a layering of middle managers (Sims & Manz, 1995). After the introduction of SMTs, the number of middle managers is typically reduced, and a lot of those who remain are reassigned to other positions. For example, a Texas Instruments plant in Malaysia reassigned most of its former supervisors to other responsibilities after their SMT initiative (Sims & Manz, 1995). Managers who are uncertain about the effect that SMTs might have on their place in the organization are more likely to resist the team initiative than those who feel more secure about their place in the organization.

Response Uncertainty

Response uncertainty refers to the lack of information regarding available response choices and the inability of an individual to predict the likely consequences of their response choices (Milliken, 1987). Managers who are unsure about the options available and the consequences of their actions are likely to be high in response uncertainty (Gerloff et al., 1991). Some of the questions that a manager might ask during periods of response uncertainty are: how do I respond to this change? how will my response be perceived by the organization? and, will I be penalized if I openly show that I do not support the new team initiative?

Response uncertainty can be an issue during the introduction of SMTs particularly when managers who have concerns about the consequences of the team initiative are not sure how to respond. Managers in organizations where honest communications between managers and senior executives are not encouraged may have concerns about how the executives would react if they were to respond negatively to the introduction of SMTs (Vanfleet & Smith, 1993). Because of these concerns, middle managers will likely express their resistance subtly. Managers who are subtly resisting an initiative may show support while senior executives are around but may do other things in the background to sabotage the initiative (O’Creevy, 1998). Others may undermine the process by withholding information, pouncing on any minor error they see as a sign that the teams are failing, and maneuvering behind the scenes to ensure that the teams fail (Vanfleet & Smith). Middle managers who find themselves in situations where there is high response uncertainty are likely to subtly resist the introduction of SMTs.

Relationships and Uncertainty

Although the quality of intraorganizational relationships is important during the introduction of SMTs, it becomes even more important when the team initiative is introduced during periods of uncertainty. This uncertainty could be caused by macro level issues like a poor economy, organizational events like massive layoffs and poor firm performance, and team level issues like concerns about team performance. During these periods of high uncertainty, middle managers asked to facilitate the introduction of SMTs will be more insecure about their place and future in the organization. These leaders will have to rely a lot more on assurances from other people in the organization, and their level of concern and uncertainty will be influenced by the quality of relationships that they have with those people.

If middle managers have strong and positive relationships with their senior executives and other people involved in the team initiative, they will tend to feel more secure about their

fate even during times of high uncertainty. If senior executives whom they trust tell them that there will be no layoffs as a result of the introduction of the teams, the managers will be more likely to believe those assurances and support the team effort. On the other hand, if they have negative relationships with their executives (e.g., if executives have acted in the past in ways counter to the middle managers' best interests), they will be more likely to be suspicious of the intentions of the other participants in the team initiative. Middle managers will consequently be more likely to treat any assurances with suspicion and will be even more active in their efforts to resist the introduction of SMTs. The quality of intraorganizational relationships, therefore, has both a direct and indirect impact on managers' attitudes towards the introduction of SMTs.

Overcoming Managerial Resistance

According to O'Creedy (1998), the most consistently identified barrier to the success of empowerment initiatives is resistance by middle managers. To minimize managerial resistance to SMTs, effective transitions to empowerment should include efforts to constructively influence the perceptions and behavior of the managers (Stewart & Manz, 1997). For example, Lewin's classic three-step model of change from 1958 suggests three procedures that can be applied in efforts to ameliorate the deleterious effects of managerial resistance to SMTs: (a) unfreezing behavior, (b) changing behavior by teaching new actions and beliefs, and (c) refreezing organizational systems to ensure that the new behavior continues (as cited in Stewart & Manz). Building upon this model, we suggest that executive leaders might facilitate a change toward constructive middle manager behavior by fostering supportive attitudes or viewpoints toward the introduction of SMTs.

According to the theory of reasoned action, an individual's attitudes are a strong predictor of their behavioral intention and actual behavior (Ajzen & Fishbein, 1980). Efforts to change the behavior of confused and resistant middle managers can begin with initiatives to address their concerns and to help them develop a supportive attitude towards the team initiative. Facilitation of supportive attitudes toward the initiative should promote a reduction in resistance and an increase in constructive behavior conducive to the success of the SMT.

In addition, rather than only viewing resistance as a problem that needs to be eliminated, senior executives and change agents might more constructively view it as a natural part of the change process and as an indicator of a need for better communication and more leadership development activity. Middle managers who seem reluctant to embrace the changes may be genuinely anxious and concerned about the uncertainties around the introduction of the new team initiative. Frank discussions of the manager's concerns need to be encouraged and open communications maintained (Vanfleet & Smith, 1993).

Stewart and Manz (1997) found empirical evidence that empowerment efforts are more likely to succeed when managers are helped to overcome negative attitudes towards the initiative. According to Vanfleet and Smith (1993), middle managers of Carlisle Tire and Rubber were able to reduce their anxiety and embrace SMTs once they had a clearer idea of what the changes might mean for them. Proper procedures should be developed and communications channels created for all those involved to express any thoughts and concerns that they might have about the initiative. There needs to be transparent planning and clear communication between senior executives and middle managers regarding possible changes to managers' roles and what the organization would do to help managers cope with these changes (O'Creedy, 1998).

Training should not only be about executives telling their subordinates what to do and how to do it; it should create an open environment where issues and concerns can be properly discussed. Refreezing (the third step of Lewin's model) can occur only after constructive attitudes have been developed and those involved are motivated to work towards the success of these team initiatives.

It is important to incorporate, in any effort to introduce SMTs, initiatives to ease concerns and anxieties that middle managers might have about their place in the organization during and after team empowerment. Executives should also be aware that whether the managers believe their assurances will be based on the type of relationship that they have built with them in the past. Senior executives need to learn that it is important to build long-term quality relationships with their middle managers and other employees. Building a strong relationship with employees is usually one of the best investments that a leader can make, particularly in this era when employees face a lot of uncertainty. Indeed, the success of important organizational initiatives could very likely hinge not on things that are happening at the time that the initiative is being implemented; but rather on actions, perceptions, and attitudes that have been developed in the past.

Although middle managers can be negatively affected by the introduction of SMTs, there is evidence to show that there is very often an important role for them to play after SMTs have been introduced. Manz and Sims (1987) found support for the importance of mid-level external leaders of SMTs in addition to the new forms of leadership that emerge within the teams. Typically, this is more of a facilitating role that aims at helping the teams learn how to lead themselves. The type of leader that carries out this kind of role has been referred to as a SuperLeader (Sims & Manz, 1994). Part of middle managers' development efforts can be the provision of information about this new kind of role. Managers can also be reassured that, even after the introduction of SMTs, they will still have an important leadership role to play in the organization.

Conclusion and Future Research

The intention of this paper was to examine two important factors, uncertainty and relationships, and how they influence middle managers' views and potential resistance towards the introduction of SMTs. Specifically, we examined the impact of trust, justice, and conflict on managers' decision regarding whether to support or resist the new team initiative. We also examined the impact of state, effect, and response uncertainty on managers' decision.

We posited that middle managers deserve special attention when introducing SMTs because they have the power and capacity to enhance or seriously interfere with the progress of the initiative and even cause the teams to fail. Therefore, organizations would be well advised to pay particular attention to the concerns that these leaders might have about the initiative and attempt to address these concerns. Efforts to introduce some sense of environmental stability and otherwise help managers deal with the additional levels of uncertainty that they have to face as a result of the new team initiative can be helpful. Preferably, middle managers need to be involved in the making of decisions regarding the introduction of the team initiative, and the consequences of the introduction of these teams should be made clear to them. Senior executives also need to foster strong relationships with their employees because the strength of these relationships could significantly impact the success of the team initiative and future innovations that the organization might decide to introduce.

This work is an initial attempt to examine some of the key reasons why middle managers resist the introduction of SMTs. Future research can be conducted to explore empirically and in more depth the reasons why managers resist the introduction of SMTs. Qualitative research including detailed interviews and direct observation could be especially helpful for uncovering the rich nuances that contribute to managerial resistance and developing more generalizable models and theories.

SMT research could also be conducted across international boundaries to determine if different cultures respond to the phenomenon differently. Some questions that could be examined include: are some cultures more receptive to SMTs than others? are middle managers more likely to be resistant to SMTs in some cultures than others and, if so, why? and, do collective cultures have a better chance of successfully developing SMTs than individualistic cultures, and are middle managers more prone to support them in such cultures? These and several other questions need to be answered in this relatively new and exciting area of research.

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Social Cognition and Corporate Entrepreneurship: A Framework for Enhancing the Role of Middle-Level Managers

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Despite increasing research on corporate entrepreneurship, a review of the literature shows that little has been developed to improve the cognitive processes of middle managers engaged in entrepreneurial activity. One existing framework explains sustained corporate entrepreneurial activity on the basis of whether outcomes of such entrepreneurial behavior either meet or exceed the expectations set by managers before undertaking the activity. However, there is a gap in our understanding of what can be done for managers prior to that critical moment of approving or declining further entrepreneurial projects. The purpose of this paper is to address that gap in the literature by applying social cognitive theory (specifically the self-leadership concept) as a framework for middle managers to enhance their perceptions of the benefits of taking part in further corporate entrepreneurial activity.

Although there are many similarities in the general entrepreneurship process between startups, small businesses, and large corporations; there are also many significant differences, especially regarding the political factors and personal motivations inherent to larger organizations (Morris & Kuratko, 2002). Because of complex organizational policies and structures coupled with complicated information filtering between upper and lower management, the source and determinant for entrepreneurial change on a daily basis in larger organizations tends to be the middle manager.

Middle-level managers interactively synthesize information; disseminate that information to both top- and operating-level managers; and, as appropriate, champion projects that are intended to create newness (e.g., a product, service, or business unit). In other words, once a commitment is made by all managerial parties to pursue a certain set of entrepreneurial actions, middle-level managers tend to facilitate that information flows in ways that support overall project development and implementation efforts. In contrast, the role of operating-level managers is to absorb relevant external information while responding appropriately to middle-level managers' communication of information reflecting top-level managers' decisions (Floyd & Lane, 2000). As facilitators of information flows, middle-level managers play a unique role in shaping the firm's entrepreneurial actions, as determined by top-level executives and executed by first-level managers and their direct reports (Floyd & Lane; Ginsberg & Hay, 1994; Kanter, 1985; Pearce, Kramer, & Robbins, 1997). If middle managers, in particular, have a positive outlook on corporate entrepreneurship, then it is more likely that such activity will be sustained on an ongoing basis within a given company.

As Dess, Lumpkin, and McGee (1999) have observed, "Virtually all organizations—new startups, major corporations, and alliances among global partners—are striving to exploit product-market opportunities through innovative and proactive behavior" (p. 85). In addition, Hamel (2000) noted, "We've reached the end of incrementalism, and only those companies that are capable of creating industry revolutions will prosper in the new economy" (p. xi). And yet, it seems that large organizations in particular often struggle with implementing innovative breakthroughs because middle managers can become too focused on managing what is rather than what can be. In a section called "Why Good Management Can Lead to Failure" from *The Innovator's Dilemma*, Christensen (2000) explained that well run companies can fail when decisions are made that are not aggressive enough in disruptive situations. In our experience and fieldwork, we have observed that organizations of 1,500 employees or more especially struggle with this situation. One key reason for this may be that an expanding layer of middle management may separate top decision makers from frontline operations. Middle managers who are not entrepreneurially minded will have a negative impact on innovative activities in such companies. Despite increasing research on corporate entrepreneurship, a review of the literature shows that little has been written on how to improve the thinking of middle managers engaged in creating new products, ventures, or processes. It is critical that organizations fully develop all available human capital for engaging in entrepreneurial behavior, especially the middle managers who link strategy with operations and serve in part as a filter for which products, services, and processes will be implemented.

Recently, Kuratko, Hornsby, and Goldsby (2004) presented a framework that explains sustained entrepreneurial activity in terms of individual reflections on whether the outcomes of such behavior either meet or exceed the expectations set by management before undertaking the change. Quite simply, if entrepreneurial activity is not seen as worth the effort and risk; then traditional, more conservative management will take place in the future. While this model explains the psychology and decision making that takes place at the critical moment of approving or declining future entrepreneurial projects, it offers little guidance on what could or should be done up to that point.

In this paper, we present self-leadership as a process for enhancing entrepreneurial decision making in established companies. Although Neck, Neck, Manz, and Godwin (1999) offered a framework for improving cognitive strategies relative to traditional entrepreneurial behavior in general; they did not address the role of self-leadership in promoting entrepreneurial

behavior within longstanding, larger firms. Indeed, middle managers in larger firms are often overlooked completely, despite the fact that this class of management tends to be the most involved in innovative and entrepreneurial activities in established companies (Morris & Kuratko, 2002). At a time when innovation and change are seen as the key sources of competitive advantage in today's marketplace, it is imperative that managers make corporate entrepreneurship a natural way of doing business. The purpose of this paper is to address the gap in Kuratko, Hornsby, and Goldsby's (2004) work by applying self-leadership as a tool for middle managers to enhance their perceptions of the benefits of taking part in corporate entrepreneurial activity.

Corporate Entrepreneurship

As the corporate landscape becomes more complex, competitive, and global; established organizations have increasingly embraced corporate entrepreneurship for the purposes of profitability (Zahra, 1991), strategic renewal (Guth & Ginsberg, 1990), fostering innovativeness (Baden-Fuller, 1995), gaining knowledge for future revenue streams (McGrath, Venkataraman, & MacMillan, 1994), and international success (Birkinshaw, 1997). However, the concept of corporate entrepreneurship (also discussed in the literature as corporate venturing or intrapreneurship) has been evolving for at least 30 years (Hanan, 1976; Hill & Hlavacek, 1972; Peterson & Berger, 1971; Quinn, 1979). Sathe (1989), for example, defined it as a process of organizational renewal. Other researchers have conceptualized corporate entrepreneurship as embodying entrepreneurial efforts that require organizational sanctions and resource commitments for the purpose of carrying out innovative activities in the form of product, process, and organizational innovations (Alterowitz, 1988; Burgelman, 1984; Jennings & Young, 1990; Kanter, 1985; Scholhammer, 1982). This view is also consistent with Damanpour (1991) who pointed out that corporate innovation is a very broad concept encompassing "the generation, development, and implementation of new ideas or behaviors. An innovation can be a new product or service, an administrative system, or a new plan or program to organizational members" (p. 556). In this context, corporate entrepreneurship centers on re-energizing and enhancing the ability of a firm to acquire innovative skills and capabilities. Guth and Ginsberg stressed that corporate entrepreneurship encompasses two major phenomena: new venture creation within existing organizations and the transformation of ongoing organizations through strategic renewal. Zahra observed that

corporate entrepreneurship may be formal or informal activities aimed at creating new businesses in established companies through product and process innovations and market developments. These activities may take place at the corporate, division (business), functional, or project levels, with the unifying objective of improving a company's competitive position and financial performance. (p. 262)

After careful study of the term's conceptualizations, Sharma and Chrisman (1999) defined corporate entrepreneurship as "the process whereby an individual or a group of individuals, in association with an existing organization, create a new organization or instigate renewal or innovation within that organization" (p. 18).

While many researchers have continued to tout the importance of corporate entrepreneurship as a growth strategy for established organizations and as an effective means for achieving competitive advantage (Kuratko, 1993; Kuratko, Ireland, & Hornsby, 2001; Lumpkin & Dess, 1996; Pinchott, 1985; Thornhill & Amit, 2001; Zahra, 1991), others have focused

attention on conducting empirical studies examining the various elements of corporate entrepreneurial activities (Lumpkin & Dess; Zahra & Covin, 1995). Many within this general stream of research have emphasized the role of middle managers in developing innovative and entrepreneurial behaviors within an organization (Floyd & Woolridge, 1990, 1992, 1994; Hornsby, Kuratko, & Zahra, 2002; Kuratko, Ireland, Covin, & Hornsby, 2005). Not only can middle managers develop entrepreneurial behaviors resulting in entrepreneurial activities, they can also influence their subordinates' commitment to the activities once they are initiated. The following section more fully explains the role of middle managers in corporate entrepreneurship.

The Role of Middle Managers in Corporate Entrepreneurship

According to Floyd and Lane (2000); senior-, middle-, and first-level managers have distinct responsibilities with respect to each subprocess of corporate entrepreneurship. And, although managers at all organizational levels have critical strategic roles to fulfill for the organization to be successful (Floyd & Lane; Ireland, Hitt, & Vaidyanath, 2002), corporate entrepreneurship research has often highlighted the importance of middle-level managers' entrepreneurial actions in the firm's attempt to create new businesses or reconfigure existing ones (Floyd & Lane; Floyd & Wooldridge, 1990, 1992, 1994; Kuratko, Ireland, Covin, & Hornsby, 2005). This importance manifests itself both in terms of the need for middle-level managers to behave entrepreneurially themselves and the requirement for them to support and nurture others' attempts to do the same. Middle-level managers' work as change agents and promoters of innovation is facilitated by their organizational centrality. In a sense, they are the linchpin for the entrepreneurial strategy.

Research has suggested that middle-level managers are a hub through which most organizational knowledge flows (Floyd & Wooldridge, 1992; King, Fowler, & Zeithaml, 2001). To interact effectively with frontline managers (and their reports) and to gain access to their knowledge; middle-level managers must possess the technical competence required to understand the initial development, subsequent shaping, and continuous applications of the firm's core competencies. Simultaneously, to interact effectively with senior-level executives and to gain access to their knowledge, middle-level managers must understand the firm's strategic intent and goals as well as the political context within which these are chosen and pursued. Through interactions with senior- and first-level managers, those operating in the middle of an organization's leadership structure influence and shape their firms' corporate entrepreneurship strategies.

Entrepreneurial initiatives are inherently experiments that evolve from fundamental business concepts to more fully defined business models (Block & MacMillan, 1993), and middle-level managers have much to do with how these entrepreneurial initiatives take shape. In short, middle-level managers often serve in a refinement capacity. Their refinement behaviors characteristically involve molding the entrepreneurial opportunity into one that makes sense for the organization given the organization's strategy, resources, and political structure. First-level managers often have little sense of what the entrepreneurial opportunity must look like in order to be viable; their attention is more purely focused on the technical merit or market demand for the business concept. Top-level managers, in contrast, often have a very definite sense of the type of entrepreneurial initiatives that fit their organizations. It is characteristically the job of middle-level managers to convert malleable entrepreneurial opportunities into initiatives that fit the organization.

Sustaining Entrepreneurial Activity

As we have pointed out, the use of corporate entrepreneurship as a means for enhancing the innovative abilities of employees while increasing corporate success through the creation of new corporate ventures has expanded substantially over the past 20 years (Hornsby, Naffziger, Kuratko, & Montagno, 1993; Kuratko, Hornsby, & Goldsby, 2004; Kuratko & Montagno, 1989; Miller & Friesen, 1982; Pinchott, 1985). However, the pursuit of corporate entrepreneurial activity is difficult because it creates a newer and potentially more complex set of challenges on both a practical and theoretical level. On a practical level, organizations need guidelines to direct or redirect resources toward establishing entrepreneurial strategies. On a theoretical level, researchers need to continually reassess the components or dimensions that predict, shape, and explain the environment in which corporate entrepreneurship flourishes.

Gartner (1988) suggested that the research questions in entrepreneurial research should focus on the process of entrepreneurship rather than on the entrepreneur. The implication is that entrepreneurship is a multidimensional process with entrepreneurial traits constituting just one component of that process. Gartner called for studies that build on the previous literature and develop theories for the study of the entrepreneurship process. A direct parallel can be drawn to research concerning the corporate entrepreneurial process. Theories and models providing a framework for corporate entrepreneurship research are still fairly new. Of the currently available frameworks, interactive models of corporate entrepreneurship may prove to be the most useful for examining the role of self-leadership in the corporate entrepreneurial process. Interactive models describe the process of corporate entrepreneurship from the precursors of the decision to act entrepreneurially to actual idea implementation.

Hornsby, Naffziger, et al. (1993) have suggested an interactive model of corporate entrepreneurship which proposes a combination of circumstances that lead to internal entrepreneurial behavior by managers. Building on the work of Kuratko, Montagno, and Hornsby (1990); Hornsby, Naffziger, et al. proposed that the organizational factors of management (support, autonomy/work discretion, rewards/reinforcement, time availability, and organizational boundaries) combine with the individual characteristics of the corporate entrepreneurs (risk taking, desire for autonomy, need for achievement, goal orientation, and internal locus of control) to determine whether a precipitating or triggering event would drive entrepreneurial behavior (Schindehutte, Morris, & Kuratko, 2002). The precipitating event provides the impetus to behave entrepreneurially when the organizational and individual characteristics are conducive to such behavior.

Naffziger, Hornsby, and Kuratko (1994) applied the Porter-Lawler (1968) model of motivation directly to individual entrepreneurship in order to develop a more refined interactive model. The Naffziger et al. model suggests that the decision to become an entrepreneur is based on a combination of personal characteristics, the individual's personal environment, the individual's personal goals, and the business environment in which the individual is currently employed. According to the model, once an individual chooses to engage in entrepreneurial behavior, his or her motivation to continue is contingent upon comparisons made between actual rewards and expected rewards.

Kuratko, Hornsby, and Goldsby (2004) extended and modified these previous models to more fully explain the cycle of what sustains or causes a departure from an entrepreneurial strategy. As seen in Figure 1, they proposed that the future of an ongoing entrepreneurial strategic approach is contingent upon individual members continuing to undertake innovative

activities and upon positive perceptions of the strategy by the organization's executive management, which in turn will support further allocations of necessary organizational antecedents. The first part of the model is based on theoretical foundations in previous strategy and entrepreneurship research; while the second part of the model considers the comparisons made at the individual and organizational level on organizational outcomes, both perceived and real, that influence the continuation of the entrepreneurial strategy. The second part of the model is based largely on Porter and Lawler's (1968) integrative model of motivation which incorporates important elements of Adams's (1965) equity theory and Vroom's (1964) expectancy theory. At the present time; the Kuratko, Hornsby, and Goldsby (2004) model is the most comprehensive framework available for explaining the interactive nature of corporate entrepreneurship. Nevertheless, although an extensive focus on organizational factors is necessary for understanding how to successfully manage corporate entrepreneurship, no interactive model to date has presented guidance for middle managers on how to make decisions and handle ambiguity while engaging in entrepreneurial activity. In the following sections, we will further expand on the Kuratko, Hornsby, and Goldsby (2004) framework by suggesting how social cognitive theory in general and self-leadership in particular may be used as a tool to enhance the perceptions of middle managers in performing risky and complex entrepreneurial activities.

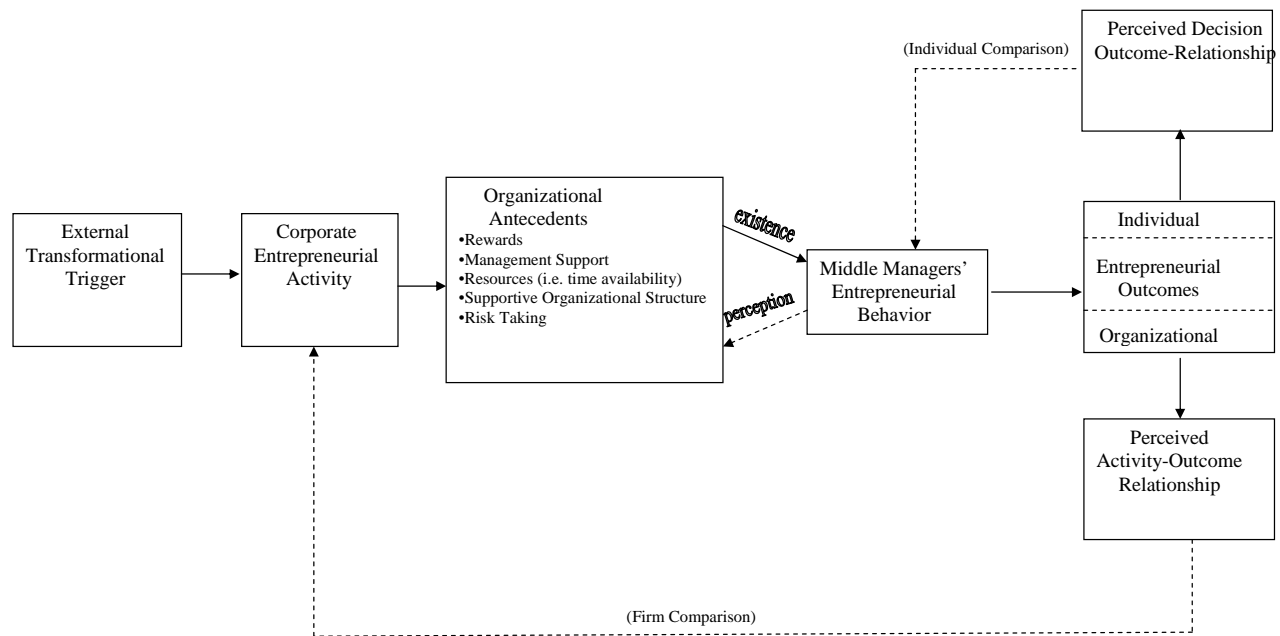


Figure 1. Corporate entrepreneurship strategy and middle-level managers: A model for corporate entrepreneurial activity.

Social Cognitive Theory

Despite growing recognition for the role of middle managers in developing entrepreneurial behaviors, more needs to be known about the specific factors that can influence middle managers to achieve this objective. Social cognitive theory is a recent theory of human behavior that may have significant potential for influencing entrepreneurial activity in today's

business organizations. We believe it provides a framework that helps to facilitate entrepreneurial knowledge within established organizations. The theory recognizes the impact of the environment on human development while also placing responsibility on the individual to grow from within. It incorporates the primary critical categories of variables influencing organizational behavior; that is, cognitive, behavioral, and environmental determinants (Davis & Luthans, 1980). In short, social cognitive theory posits that the environment, the focal behavior, and the person (including internal cognitions) reciprocally interact to explain individual actions. Figure 2 (adapted from Bandura, 1977, 1986) depicts this relationship. Indeed, some theorists have argued that other explanations of human behavior are too limiting and, at best, provide only a partial explanation of the complexities of organizational behavior (Davis & Luthans, 1980).

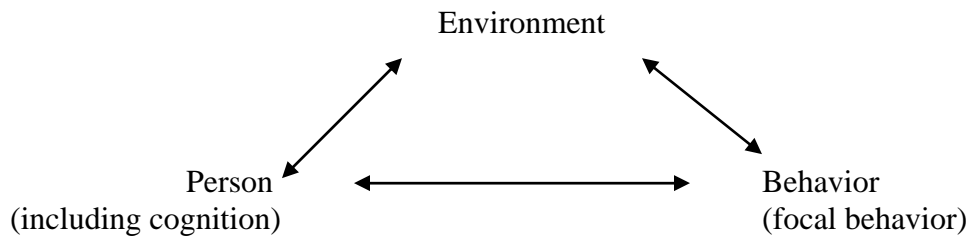


Figure 2. Model of social cognitive theory, adapted from Bandura (1977, 1986).

Social cognitive theory has only recently been introduced within the entrepreneurial setting (R. K. Mitchell, Busenitz, Lant, McDougall, Morse, & Smith, 2002). A social cognitive view of corporate entrepreneurship suggests that each person can transform into an innovative and entrepreneurial individual if given the opportunity and support to develop his or her abilities. In this respect, middle managers are often constrained by lack of resources, senior management support, bureaucratic rules and regulations, and nonmotivating reward systems. As a result, middle managers may not experience or take advantage of opportunities and resources that would allow them to develop their abilities and capabilities to be entrepreneurial and innovative. Furthermore, senior management support of entrepreneurial activity is not sufficient on its own to ensure that middle managers will become more innovative and creative. While the corporate environment plays an important role in personal development, the individual is also responsible and can affect his or her own manner of entrepreneurial thinking. Thus, even though the organization can provide a supportive environment for entrepreneurial activity, the middle manager must also actively manage himself or herself in understanding and taking advantage of these opportunities.

Unlike some traditional views of human behavior, social cognitive theory suggests a mediating role for the effects of cognitive processes between the individual and the environment (Neck & Manz, 1992). Because social cognitive theory recognizes this mediating role, it offers entrepreneurship scholars a way of aiding middle managers in the development of innovation and creativity in their everyday work lives. Much of the entrepreneurship literature has focused on changing environmental factors, but little of it has focused on making changes in entrepreneurial thinking. Even though the entrepreneurial mindset has been recognized, the process for bringing it about has not been fully developed in the literature. Social cognitive

theory offers a useful framework for understanding the entrepreneurial process and provides tools for improving cognitions that affect entrepreneurial thinking and behavior in firms (Chen, Greene, & Crick, 1998).

Successful managing requires preparation and persistence. Entrepreneurial behavior at the middle manager level can be confounded by a lack of confidence to successfully address new market opportunities. People are affected by their surroundings, but they still make behavioral choices that help to shape their lives. Middle managers have the potential to transform themselves into corporate entrepreneurs, influenced but not dominated by their environments. The process of self-leadership, operating within the framework of social cognitive theory, offers specific strategies for assisting these managers in achieving this objective and fulfilling the entrepreneurial goals of the company.

Self-Leadership Applied to Corporate Entrepreneurial Activity

Self-leadership is a process of self-influence that allows people to achieve a level of self-direction and self-motivation needed for optimal performance (Houghton, Neck, & Manz, 2003; Manz & Neck, 1991; Neck & Houghton, 2006; Neck & Manz, 1992, 1996a, 1996b, 2007; Neck, Manz, & Stewart, 1995; Neck & Milliman, 1994). Self-leadership is a normative model of behavior and cognition that operates within a social cognitive theoretical context and prescribes specific behavioral and cognitive strategies designed to increase individual effectiveness (Neck & Houghton; Neck & Manz, 2007). Self-leadership's cognitive strategies place particular importance on a person's ability to establish and maintain constructive thought patterns. Just as we develop both functional and dysfunctional behavioral habits, we also develop functional and dysfunctional patterns of thinking. These mindsets influence our perceptions, the way we process information, and the choices we make in an almost automatic way (Neck & Barnard, 1996).

Two common and contrasting patterns of thinking are *opportunity thinking* and *obstacle thinking* (Neck & Manz, 2007). A manager who engages in opportunity thinking focuses on constructive ways of dealing with challenging situations. By contrast, a person who engages in obstacle thinking focuses on the negative aspects of challenging situations, reasons to give up and retreat from problems or challenges. Research has shown that the opportunity thinker will exert more effort and persist during the course of their work (Neck & Manz, 1992, 1996a; Seligman, 1991, 1994). These thought patterns may correlate strongly with how people behave in entrepreneurial and innovative activities. Even the most entrepreneurial of managers can lose the entrepreneurial edge due to day-to-day pressures, the administrative demands of organizational policies, and the need for more systematic approaches as an innovative concept grows into a large internal enterprise.

Opportunity thinkers tend to fare better in the face of challenging situations because they are more likely to believe in change as a necessary and beneficial goal and will work hard to recognize and develop the capabilities necessary to achieve such changes. In contrast, obstacle thinkers do not want to deal with the hassle of addressing the difficult issues surrounding change. In entrepreneurial terms, this type of person is the classic bureaucrat who believes in the status quo while blocking all initiatives for change. An obstacle thinker would be less likely to examine all possible options available in a time of change, crisis, or opportunity. Managers who understand the power of opportunity thinking and the strategies that help to develop this type of thinking give themselves an important performance edge.

As discussed above, two factors of social cognitive theory—environment (organizational antecedents) and focal behavior (entrepreneurial activity and outcomes)—have been included in earlier interactive models of corporate entrepreneurship. However, these previous interactive models have not examined in depth the third factor of social cognitive theory: the cognition of middle managers in entrepreneurial endeavors. We suggest that managers can learn to engage in opportunity thinking and thus exhibit less dysfunctional, status quo thinking and more entrepreneurial thinking by learning to analyze and manage the three primary cognitive elements of self-leadership: internal dialogue (self-talk), visualization (mental imagery), and beliefs and assumptions.

Research has shown that by controlling these three factors, one can carry out a variety of tasks and activities more successfully. For example, a study of aspiring school counselors demonstrated that the use of mental imagery improved decision making, strategy formulation, and other complex skills (Baker, Johnson, Kopola, & Strout, 1985). In sports psychology, many studies have confirmed the efficacy of purposely managing one's own thinking, especially by using mental imagery. A meta-analysis of 60 different studies revealed that when athletes mentally practice a task; their performance of that task consistently improves, particularly for tasks that are most influenced by athletes' psychological outlook (Feltz & Landers, 1983). Finally, one study suggested that employees who participated in a self-leadership training intervention experienced enhanced mental performance, affective states, job satisfaction, and self-efficacy expectations over those not receiving the training (Neck & Manz, 1996a). We now examine these concepts in greater depth with special attention to their corporate entrepreneurship applications.

Self-talk is what we covertly tell ourselves. Butler (1981) suggested that we engage in “an ever constant dialogue” (p. 1) with ourselves in order to influence our behavior, feelings, self-esteem, and stress level. Individuals can improve their personal effectiveness by analyzing and reshaping their self-dialogues in more positive and constructive ways. For example, self-talk was one treatment component that helped smokers smoke fewer cigarettes each day (Steffy, Meichenbaum, & Best, 1970). Furthermore, in a study of handicapped children, self-talk training improved the children's performance and communication skills (Swanson & Kozleski, 1985). Likewise, positive self-talk may also offer the corporate entrepreneur a tool for enhancing performance. Managers who bring their own verbalization of the myths and misconceptions of innovation and change to a level of awareness before rethinking and positively reverbaling may be able to improve their entrepreneurial behavior. Those managers who maintain negative perspectives on corporate entrepreneurship likely verbalize new products, services, and processes in negative tones. Jackman and Strober (2003) explained how reframing negative emotions and self-statements into more positive, productive thoughts can improve performance. Jackman and Strober's framework is modified and applied to corporate entrepreneurship in Table 1.

An apprehensive corporate entrepreneur engaged in a new project may find addressing negative thoughts and self-dialogues in the fashion demonstrated in Table 1 to be quite useful. For instance, managers could challenge the belief that a situation is too complex and risky by reversing their thoughts and telling themselves something like,

Everyone struggles with change and the unknown, but it's only through taking chances that we give ourselves the opportunity to succeed. After all, rewards are based on the risks we take. Instead of worrying about failure, I'm going to pursue this project with all the creative ability I have and work with others to create new value for our customers and company.

After attempting this type of positive self-talk a number of times, corporate entrepreneurs would likely be able to internalize it, so that they could use it effectively in similar situations in the future.

Table 1

Reframing Negative Thoughts into Positive Entrepreneurial Self-Talk

Positive negative emotion	Maladaptive response	Reframing statement
Anger (“I’m mad at my boss because he won’t talk to me directly.”)	Acting out (stomping around, complaining, being irritable)	“It’s up to me to get the feedback I need.”
Anxiety (“I don’t know what will happen.”)	Brooding (withdrawal)	“Finding out can open up new opportunities for me.”
Fear of failure (“I don’t want to do this.”)	Denial, procrastination, self-sabotage (canceling meetings)	“Taking the initiative puts me in charge and gives me the chance to shine.”
Fear of reprisal (“If I mess up, will I get a pink slip?”)	Denial (“I’m doing okay now and don’t need to take a chance.”)	“I wonder what skills and lessons I can learn from this opportunity?”
Fear of change (“How will I ever learn to do all this?”)	Denial (keep doing things the same way as before)	“I must change to keep myself marketable. Everyone must always be improving in today’s world or else.”
Ambivalence (“Should I get involved or not?”)	Procrastination, passivity (waiting for someone else to take the initiative and solve problems and pursue opportunities)	“What really serves my interests best? Nobody is as interested in these topics as I am. I need to take action now.”
Resignation (“I have to avoid these projects if at all possible.”)	Resistance to change (“It’s hard to do my job as it is now.”)	“I’ll be much happier working on new and interesting projects instead of the same old thing. That’s why I do what I do.”

Note. Adapted and modified from Jackman and Strober (2003) for entrepreneurial self-talk.

Visualization, or mental imagery, refers to imagining successful performance of a task before it is actually completed. Research in management, sports psychology, counseling education, clinical psychology, and other fields has suggested that visualization can serve as a very effective performance enhancement technique (Neck & Manz, 1992). In terms of corporate entrepreneurship, positive visualizations may lead to more new products, services, and processes for the company and to greater innovation, risk taking, and proactive behaviors among the managers. For example, managers considering pursuing a new idea could use positive mental

imagery (or visualization) when making this decision. Corporate entrepreneurs would picture themselves bringing the idea to market and the positive response it would receive. They would also imagine being recognized by their company for taking a risk and seeing it through. They might further envision the workplace becoming more open to creative pursuits with everyone enjoying coming to work. They could picture everyone working together and putting forth full efforts to make the company a world-class operation.

On the other hand, corporate entrepreneurs could use the same technique negatively, picturing themselves as failures in the new endeavor. The resulting lack of confidence could well lead to the very failure they have imagined. Existing entrepreneurship research has provided a further window into how a corporate entrepreneur could better visualize positive outcomes to overcome this danger. In examining the motivational aspects of the entrepreneurial process, the literature has suggested that certain goal orientations are commonly ascribed to entrepreneurs. For example, Stewart, Watson, Carland, and Carland (1998) found that entrepreneurs enjoy the opportunity to seek financial and personal rewards. Likewise, Kuratko and Hodgetts (2004) pointed out 17 psychological characteristics most commonly associated with entrepreneurship including commitment, perseverance, achievement, drive, and opportunity orientation. In addition, Greenberger and Sexton (1988) identified the entrepreneur's vision as a significant guiding force in the development of new ideas.

Managerial problems often stem from dysfunctional thinking that can hinder personal effectiveness and lead to various forms of stress and depression. However, successful corporate entrepreneurs tend to maintain consistent, positive beliefs and assumptions that can be summarized as an entrepreneurial mindset (McGrath & MacMillan, 2000). The first component of the entrepreneurial mindset involves framing the challenge. In other words, there needs to be a clear definition of the specific challenges that everyone involved with an innovative project must understand. It is important to think about and reiterate the challenge regularly. Corporate entrepreneurs also have the responsibility of absorbing the uncertainty that is perceived by other organizational members. Opportunity thinkers make uncertainty less daunting by creating the self-confidence that lets others act on opportunities without seeking managerial permission. Fellow managers and employees must not be overwhelmed by the complexity inherent in many innovative situations. The corporate entrepreneur must also define gravity; that is, what must be accepted and what cannot be accepted. The term *gravity* is used to represent the concept of limiting conditions. For example, there is gravity on earth, but that does not necessarily mean that it must limit our lives. If freed from the psychological cage of believing that gravity makes flying impossible, creativity can permit us to invent an airplane or spaceship. This is what the entrepreneurial mindset and opportunity thinking are all about, seeing opportunities where others see barriers and limits. Opportunity thinkers also are not daunted by the political nature of organizations but instead realize that politics are just a part of the process of getting things done. Corporate entrepreneurs use creative tactics; political skills; and the ability to regroup, reorganize, and attack from another angle when necessary. They believe that solutions can be delivered in any situation, which is especially appropriate in corporate entrepreneurship given the presence of triggering events all companies face in today's marketplace. A final step for attaining an entrepreneurial mindset is for managers to keep their finger on the pulse of the project. This involves constructive monitoring and control of the developing opportunity, along with providing encouragement to fellow managers and employees involved in the project.

In the contemporary organization, all managers must be entrepreneurs. The process described can assist managers in attaining the beliefs and assumptions required to develop an

entrepreneurial mindset. This process becomes a core part of helping managers to define their jobs around opportunity seeking instead of opportunity avoidance. Doing so will help managers to develop into innovation champions and change agents rather than corporate bureaucrats.

One final application of the visualization strategy relates to the process of visualizing outcomes and rewards. The corporate entrepreneurship literature has discussed a number of important motivational factors; and one key element that consistently emerges is the concept of rewards, both extrinsic and intrinsic. Extrinsic rewards generally come in the form of monetary compensation or gaining equity in the firm (Kuratko, Hornsby, & Naffziger, 1997; Shaver & Scott, 1991). Intrinsic rewards, in contrast, accrue to someone through task accomplishment, specifically in the satisfaction of the need for control and the need for achievement (Bird, 1988; Johnson, 1990). Extrinsic rewards include acquiring personal wealth and securing the future for one's family; while intrinsic rewards include controlling one's destiny, public recognition, excitement, personal growth, and self-efficacy. Kuratko, Hornsby, and Naffziger organized entrepreneurial rewards into 16 distinct items. Knowledge of these items could assist corporate entrepreneurs in developing a vision of what they hope to attain by taking on new projects. The vision will vary from person to person, but the rewards in general can easily be imagined and pursued by many within the organization. If managers were to imagine attaining these rewards, they would most likely develop an image of the person they hope to become if they are successful in pursuing entrepreneurial projects in the company. In this manner, corporate entrepreneurs could visualize themselves to be like their business heroes and mentors.

In short, we propose that the cognitive self-leadership strategies discussed will affect a middle managers' entrepreneurial behaviors by creating an opportunistic thinking pattern, which will in turn increase self-efficacy for engaging in such behaviors (Neck, Neck, et al., 1999). Self-efficacy, a primary construct within social cognitive theory, describes a person's self-assessment of the capabilities necessary to perform a specific task (Bandura, 1977, 1986). A major objective of the self-leadership strategies described is the enhancement of self-efficacy perceptions leading to higher performance levels (Neck & Houghton, 2006; Neck & Manz, 2007). Research has suggested that high levels of task specific self-efficacy lead to higher performance standards, greater effort, greater persistence, and greater overall task effectiveness (Harrison, Rainer, Hochwarter, & Thompson, 1997). Empirical evidence has provided some support for the effectiveness of self-leadership strategies in increasing self-efficacy perceptions. For instance, Neck and Manz (1996a) demonstrated significant difference in self-efficacy between a self-leadership training group and a nontraining control group in a training effects field study. Similarly, Prussia, Anderson, and Manz (1998) examined self-efficacy as a mediator of the relationship between self-leadership strategies and performance outcomes and found significant relationships between self-leadership strategies, self-efficacy perceptions, and task performance. Finally, McCormick and Martinko (2004) suggested that an optimistic attributional style, a concept very similar to opportunity thinking, will lead to higher levels of self-efficacy in leaders. Findings such as these suggest that thinking processes and self-efficacy may serve as primary mechanisms through which cognitive self-leadership strategies affect entrepreneurial behaviors and performance outcomes.

Conclusion

We close by providing specific details on how corporate entrepreneurs could use cognitive self-leadership strategies to enhance their entrepreneurial performance (Manz & Neck, 1991; Neck & Barnard, 1996; Neck & Manz, 1996a). It embodies all the models discussed in the paper and consists of only five steps:

1. Observe and record existing beliefs and assumptions, self-talk, and mental imagery patterns regarding change, innovation, and entrepreneurship in the company and within oneself.
2. Analyze how entrepreneurial and creative these thoughts are.
3. Identify and develop more entrepreneurial and creative thoughts to substitute for any negative ones, perhaps writing these down. The manager can now actively apply entrepreneurial thinking and language.
4. Try substituting more creative and entrepreneurial thinking when faced with an opportunity, crisis, or challenge.
5. Continue monitoring beliefs, self-talk, and mental images; while maintaining the new, more entrepreneurial ones.

Research has suggested that effective use of the self-leadership strategies discussed here can give managers the extra tools necessary for optimal performance (Neck & Houghton, 2006). We have argued that these tools will work especially well when used by middle-level managers to improve their thinking patterns and self-efficacy for engaging in corporate entrepreneurship behaviors, thus leading to greater and more effective corporate entrepreneurial activity. We further suggest that as middle-level managers model the usage of these cognitive self-leadership strategies and the resulting corporate entrepreneurship behaviors; they may facilitate the adoption of these strategies and behaviors by others in the organization, especially first-level managers (Manz & Sims, 2001).

It is important to note, however, that the effectiveness of these self-leadership strategies can be limited by certain environmental contingencies. For example, research has suggested that factors relating to job role can affect the leadership behaviors of managers (Herold & Fields, 2004). Indeed, middle managers may find that certain job role effects serve as barriers to the cognitive adjustments necessary to support entrepreneurial activities. Likewise, if not structured properly, an organization's reward system may actually serve to discourage middle managers from engaging in entrepreneurial activities. An organization may communicate a message that encourages risk taking and innovation yet fail to reward managers for such behaviors or, worse yet, impose penalties for the lack of short-term performance. Limiting factors such as these may work to curtail corporate entrepreneurship behaviors among middle managers regardless of their use of the strategies discussed here. Nevertheless, although people are clearly affected by these types of limiting factors, they can still make important choices regarding their work behavior. Social cognitive theory suggests that people need not accept the status quo as a rationalization for corporate bureaucracies and outdated strategies.

Entrepreneurship researchers are beginning to look more deeply into individual factors of performance and opportunity recognition. J. R. Mitchell, Friga, and Mitchell's (2005) work on intuition and Kuratko, Ireland, Covin, and Hornsby's (2005) examination of entrepreneurial behavior highlight some of the most recent work in this area. Future research should test whether corporate entrepreneurs with better social cognitive and self-leadership skills outperform managers who have more of an obstacle mindset. If so, then training could be developed to

utilize self-leadership as a process to enhance entrepreneurship and innovation in the organization. The general effectiveness of cognitive self-leadership strategies has been demonstrated in an earlier training-intervention type field study that showed increased mental performance, positive affect (enthusiasm), job satisfaction, and decreased negative affect (nervousness) for those receiving training in the cognitive self-leadership strategies relative to those who did not (Neck & Manz, 1996a). It is the task of future researchers and practitioners to explore whether or not this type of training intervention could be successful in facilitating corporate entrepreneurship behaviors in middle managers.

To summarize, social cognitive theory states that people are capable of shaping their own behavior and thus are responsible for their actions. Each manager has the potential to transform into a corporate entrepreneur who is influenced but not controlled by organizational antecedents and strategies. We agree that these organizational factors can have an impact on managers, but successful entrepreneurial outcomes are also based on the thinking and behavior of the managers themselves. This paper has offered social cognitive theory and self-leadership as frameworks for addressing the gaps in the previous models of interactive corporate entrepreneurship. At a time when companies are under pressure to adapt and lead in ever-changing markets, maximum entrepreneurial efforts and focus by managers at all levels of the company are required to remain in business.

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Servant versus Self-Sacrificial Leadership: A Behavioral Comparison of Two Follow-Oriented Leadership Theories

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Since Greenleaf (1977), research pertaining to servant leadership has carved a unique place in the leadership literature. The last decade has produced focused theory development including instrument development and empirical studies. Similarly, since Burns (1978), this era witnessed increased theoretical and empirical attention on the role of leader self-sacrifice. Recently, Stone, Russell, and Patterson (2004) and Smith, Montagno, and Kuzmenko (2004) examined the similarities and differences of servant and transformational leadership. This paper employs analogous methods to examine servant and self-sacrificial leadership. The authors suggest that although servant and self-sacrificial leadership share many common characteristics, they differ in several behavioral dimensions.

Research pertaining to leadership has been dominated over the last quarter century by the study of transformational leadership (Bass, 1985; Burns, 1978, 2003). This theory represents an important step toward balancing the needs of both leaders and followers as they work toward fulfilling organizational goals. Meanwhile, this same era has produced several other leadership theories which represent a general movement toward follower-oriented models. Two of these models are servant leadership and self-sacrificial leadership.

As the original architect behind the contemporary study of servant leadership, Robert K. Greenleaf (1977) captured the essence of servant leadership for a modern audience. Posing the question “Who is the servant-leader?” in his writing, Greenleaf answered by stating:

The servant-leader *is* servant first. . . . It begins with the natural feeling that one wants to serve, to serve *first*. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is *leader first*. (p. 27)

Since Greenleaf’s initial insistence that a leader should be a servant first, several theories of servant leadership have gradually taken shape, most over the past 15 years. One of the central features of servant leadership which has been clarified in its recent history is that servant leadership is essentially focused on placing the needs of followers before the personal interests of the leader and intentionally working toward raising additional servants. The development of this

view of leadership has several ramifications for organizations, leaders, and followers; not the least of which are the accompanying characteristics, attributes, practices, and outcomes of this behavior (Farling, Stone, & Winston, 1999; Laub, 1999; Patterson, 2003, 2004; Russell & Stone, 2002; Spears & Lawrence, 2002).

Self-sacrificial leadership occurs when a leader forfeits one or more professional or personal advantages for the sake of followers, the organization, or a mission. One key aim of self-sacrificial leadership is to encourage follower reciprocity (Choi & Mai-Dalton, 1998, 1999). However, this modeling behavior has the added benefit of potentially moving followers toward an organizational goal; modifying their behavior; or simply persuading them to attribute legitimacy to the leader, thus allowing the leader to gain influence (Choi & Mai-Dalton, 1998, 1999; De Cremer, 2002; De Cremer, van Djike, & Bos, 2004; De Cremer & van Knippenberg, 2004; Halverson, Holladay, Kazama, & Quinones, 2004; Javidan & Waldman, 2003; van Knippenberg & van Knippenberg, 2005; Yorges, Weiss, & Strickland, 1999).

In general, leadership theories such as these provide a description of a set of behaviors exhibited by leaders a majority of the time. For example, transformational leaders may still engage in transactional leadership activities in their daily routines. Given this reality, there is often a theoretical overlap of propositions associated with certain leadership models. Additionally, the average experience of organizational followers as they interact with a particular leadership type may vary due to their unique perspective on organizational life. The authors suggest that there is likely a theoretical overlap between servant and self-sacrificial leadership but that a close examination of these theories will reveal several distinct qualities. To date, no theoretical or empirical study has compared these two theories. Therefore, a study is needed that will crystallize our understanding of convergent and divergent aspects of servant and self-sacrificial leadership. Ultimately, this may afford future researchers the opportunity to share a common language of servant and self-sacrificial leadership and lead to useful empirical testing.

The purpose of this paper is to describe the chief components of servant and self-sacrificial leadership and to examine the commonalities and distinctions of the two conceptualizations. This study begins by suggesting an integrated model of servant leadership. Subsequent to the delineation of the associated frameworks, the characteristics and attributes of each theory will be laid side by side in an effort to compare the concepts. It is proposed that these two follower-oriented theories share some common characteristics and attributes but differ in significant areas. As a result, a scaffold will be proposed to provide the structure for highlighting the theoretical distinctives of servant and self-sacrificial leadership.

Servant Leadership

Greenleaf's (1977) seminal work on servant leadership—the work attributed with bringing the concept of servant leadership to public discourse in the mid 1970s—has led to a growing body of literature surrounding the construct since the early 1990s. The literature surrounding servant leadership can generally be categorized into two main areas: theoretical and empirical. A majority of the works are theoretical in nature: Blanchard (1998); Buchen (1998); Cerff (2004); Farling et al. (1999); Graham (1991); Hale (2004); Irving and McIntosh (2006); Jennings and Stahl-Wert (2003); Laub (2004); Ndoria (2004); Page (2004); Parolini (2004); Patterson (2003); Patterson and Stone (2004); Quay (1997); Rude (2003); Russell (2001, 2003); Russell and Stone (2002); Sendjaya and Sarros (2002); Smith et al. (2004); Spears (1995, 1998); Spears and Lawrence (2002); Stone, Russell, and Patterson (2003, 2004); Wolford-Ulrich

(2004); Winston (2003); Winston and Hartsfield (2004); and Wong and Page (2003). An increasing number of empirical studies such as Dennis (2004), Dennis and Winston (2003), Drury (2004), Hebert (2003, 2004), Helland (2004), Irving (2004, 2005a, 2005b), Irving and Longbotham (2006), Laub (1999, 2003), Ledbetter (2003), Sendjaya (2003), and Winston (2004) have emerged as well.

As the construct of servant leadership has developed over the last 15 years, it has been operationalized in several different forms. For instance, discussion has focused on the inspirational and moral dimensions of servant leadership (Graham, 1991); the dimensions of self-identity, capacity for reciprocity, relationship building, and a preoccupation with the future (Buchen, 1998); vision, influence, credibility, trust, and service (Farling et al., 1999); along with Russell's (2001) discussion which focused on vision, credibility, trust, service, modeling, pioneering, appreciation of others, and empowerment. Of the theoretical discussions of servant leadership that have become dominant in the field, Spears (1998), Laub (1999), and Patterson (2003) have been frequently cited. The model of servant leadership that is advanced in this paper is constructed largely as a composite of these three theoretical approaches and is aimed at providing framework for further research in servant leadership studies.

Because the model of servant leadership advanced in this paper fuses the Spears (1998), Laub (1999), and Patterson (2003) conceptualizations of servant leadership; it is important to begin our examination of servant leadership by briefly highlighting each at this time. Spears' (1998) 10 characteristics of servant leadership have been identified as an outgrowth of Greenleaf's (1977) discussion of servant leadership. Spears' (1998) 10 characteristics of servant leadership are (a) listening, (b) empathy, (c) healing, (d) awareness, (e) persuasion, (f) conceptualization, (g) foresight, (h) stewardship, (i) commitment, and (j) community building. Spears (1998) argued that servant leadership is tied to the character exhibited by leaders in their essential traits. Spears' (1998) focus on the character of the leader will be an important consideration as we consider an integrated model of servant leadership. Essential to the formation of servant leaders, Spears' (1998) 10 characteristics provide a practical starting point for leaders interested in developing as servant leaders.

Laub (1999) provided the second core conceptualization of servant leadership that will be utilized in this paper. Laub (1999) defined the essence of servant leadership in this manner: "Servant leadership is an understanding and practice of leadership that places the good of those led over the self-interest of the leader" (p. 81). But, in what manner do servant leaders place "the good of those led over" themselves? For Laub (1999), this is answered by the results of his Delphi study. In the Delphi process, 60 characteristics of servant leaders were identified and eventually clustered into six key areas: (a) valuing people, (b) developing people, (c) building community, (d) displaying authenticity, (e) providing leadership, and (f) sharing leadership. For Laub (1999), these are the essential behaviors that characterize what servant leaders do and are the answer to *how* servant leaders place the good of those led over their own self-interest.

The final base conceptualization of servant leadership is offered by Patterson (2003). As a theory-building dissertation, Patterson (2003) presented servant leadership theory as an extension of transformational leadership theory. This extension was based primarily on Patterson's (2003) observation that transformational theory was not addressing the phenomena of love, humility, altruism, and casting vision for followers. Because of this, Patterson's (2003) model of servant leadership includes the following dimensions as the essential characteristics of servant leadership: (a) *agapáo* love, (b) humility, (c) altruism, (d) vision, (e) trust, (f) empowerment, and (g) service. While Spears' (1998) model of servant leadership focuses

primarily on the character exhibited by servant leaders and Laub's (1999) model focuses primarily on the behaviors of servant leaders, Patterson's (2003) model provides a bridge between the dimensions of character and behavior.

Though each of these models provides significant insight into servant leadership, the divergent emphases in each of these models point to the need to consider an integrative model. Toward this end, we propose the following three-fold framework for conceptualizing an integrative model that is inclusive of the wide range of theoretical factors contained in the Spears (1998), Laub (1999), and Patterson (2003) models: (a) being—the servant leader's ontological character traits; (b) thinking—the servant leader's attitudinal mindset; and (c) doing—the servant leader's behavioral actions. Table 1 provides an overview of these three dimensions of servant leadership and the associated factors in the integrative model. This proposed three-fold framework provides a logical approach to assimilating the range of factors in the Spears (1998), Laub (1999), and Patterson (2003) models as well both a linear and circular approach to conceptualizing servant leadership.

In the linear approach, we argue that one's ontological character provides the basis for the attitudinal mindset with which a leader approaches leadership scenarios out of their cognitive-affective framework. Furthermore, we argue that one's attitudinal mindset provides the basis for servant leadership behaviors (see Figure 1). Thus, this three-fold model may be conceptualized as a linear progression from leader being, to leader thinking, to leader doing; or, to put it in other terms, it is a progression from the ontological, to the attitudinal, to the behavioral.

Understood as a circular approach, leader ontology, attitude, and behavior may be seen as regularly reinforcing one another in a circular or spiraling process in which a servant leader's being (ontological) reinforces servant-oriented thinking (attitudinal) which reinforces servant leadership doing (behavioral) which reinforces servant leader being (ontological); and, the circular reinforcement continues (see Figure 2). Though the notion of circular or spiraling models in servant leadership studies is not new (i.e., Farling et al., 1999), understanding this circular process in light of servant leader ontology, attitude, and behavior is an important addition to the literature.

Self-Sacrificial Leadership

The contemporary origins of the study of self-sacrificial leadership are found in the writings of Burns (1978) and Bass (1985). These transformational leadership theorists suggested that leader self-sacrifice is a tool which great leaders use to motivate followers. Following their lead, current charismatic leadership theorists have perceived self-sacrifice in leadership to be a tactic which a leader could employ to influence follower attributions of charisma (Conger & Kanungo, 1987; House & Shamir, 1993; Shamir, House, & Arthur, 1993). Out of this movement, Choi and Mai-Dalton (1998) proposed a model of follower responses to self-sacrificial leadership. From these theoretical underpinnings, empirical studies have been undertaken to test the validity of this model along with a variety of additional variables which may be associated with self-sacrificial leadership.

Table 1

The Three Dimensions of Servant Leadership

Dimensions	Servant Leadership Factors
<i>Ontological Dimensions of Servant Leadership</i>	Love Humility Authenticity Self-Awareness Self-Differentiation
<i>Attitudinal Dimensions of Servant Leadership</i>	Love Other-Centeredness Oriented toward altruism Valuing people Commitment to the growth of people Visionary Orientation toward trust Orientation toward listening Orientation toward empathy Leadership mindset Orientation toward persuasion Capacity for conceptualization Foresight
<i>Behavioral Dimensions of Servant Leadership</i>	Love Listening Empathy Healing Stewardship Developing people Building community Providing leadership Sharing leadership Empowering followers Serving followers

Note. As the foundation of servant leadership (Patterson, 2003), love may be categorized in each of the dimensions of servant leadership.

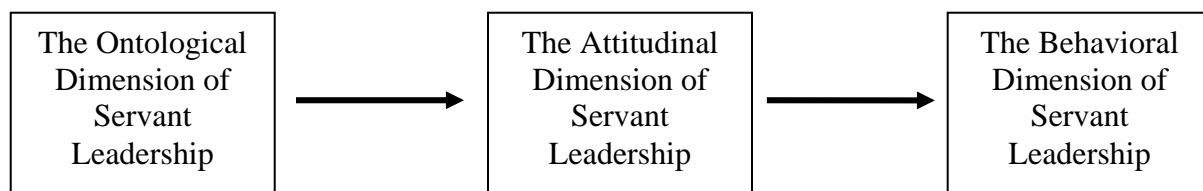


Figure 1. The three dimensions of servant leadership, a linear model.

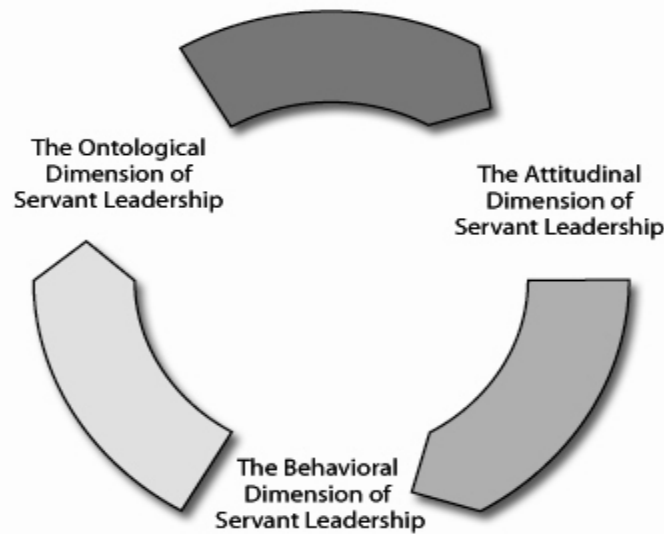


Figure 2. The three dimensions of servant leadership, a circular model.

The empirical studies associated with self-sacrificial leadership have focused primarily on the outcomes of the sacrificial behavior on the perceptions of followers. Several of these studies found that self-sacrificing leaders were attributed charisma by followers and were perceived to be more influential, legitimate, and effective (Choi & Mai-Dalton, 1999; De Cremer, 2002; De Cremer et al., 2004; van Knippenberg & van Knippenberg, 2005; Yorges et al., 1999). Follower attributions of charisma were particularly pronounced during a period of organizational crisis or when the organization faced a social dilemma which required cooperation (De Cremer, 2002; Halverson et al., 2004).

Self-sacrificial leadership has produced additional responses from followers beyond cooperative effort. Followers of self-sacrificial leaders intended to reciprocate the self-sacrificing behaviors (Choi & Mai-Dalton, 1999), were more committed to their organization (De Cremer et al., 2004), and performed at a higher level (van Knippenberg & van Knippenberg, 2005). The main effects of self-sacrificial leadership have been found to be moderated by leader self-confidence, the leader's group-orientedness, distributive justice, and when leaders were not pushing their opinions on subordinates (De Cremer, 2006; De Cremer et al., 2004; De Cremer & van Knippenberg, 2004; van Knippenberg & van Knippenberg, 2005). The results of these initial empirical tests hint at a phenomenon, which encompasses a much larger portion of leadership theory than initially proposed. In fact, Choi and Mai-Dalton (1999) suggested that self-sacrificial leadership plays a role in all three organizational processes of production, distribution, and consumption.

The proposition of a broad influence of leader self-sacrifice led Choi and Mai-Dalton (1999) to define self-sacrificial leadership as "the total/partial abandonment, and/or permanent/temporary postponement of personal interests, privileges, and welfare in the (a) division of labor, (b) distribution of rewards, and/or (c) exercise of power" (p. 399). The authors explained that self-sacrifice in the division of labor "involves volunteering for more risky and/or arduous actions, tasks, turns, or segments of work" (p. 399). They proffer that self-sacrifice in

the distribution of rewards “involves giving up or postponing one’s fair and legitimate share of organizational rewards” (p. 399). Self-sacrifice in the exercise of power is described in their research as “voluntarily giving up or refraining from exercising or using the position power, privileges, and/or personal resources one already has in his/her hand” (p. 399). Choi and Mai-Dalton (1999) drew a distinction between self-sacrifice in the distribution of rewards and in the exercise of power by noting that the former involves giving up claiming privileges and the latter involves consuming the privileges.

The economic aspects of leader self-sacrifice, while supported both theoretically and empirically, should not be considered the final boundaries of the self-sacrificial leadership construct. Other theorists have noted that leader self-sacrifice includes the loss of status, credibility, and promotion (Conger & Kanungo, 1987; Javidan & Waldman, 2003). This is a small glimpse at the motivational aspects that lay the foundation of self-sacrificial behavior, which may have origins beyond the simple desire to influence followers. After all, if a leader loses his or her status or credibility or is demoted rather than promoted, it would be difficult to impossible to influence followers. Alternatively, leaders may sacrifice to demonstrate courage and conviction in the mission while serving as a role model (Shamir et al., 1993); maintain personal beliefs and values (Yorges et al., 1999); and exhibit commitment to the cause (Avolio & Locke, 2002) or, simply, for the good of the company (Halverson et al., 2004). Therefore, it can be stated that the motivational foundation for self-sacrificial leadership may be directly related to the outcome of the behavior.

To date, the published theoretical models of self-sacrificial leadership do not address all three dimensions of leader ontology, attitude, and behavior. Instead, current models present the impact of sacrificing behavior on followers along with various moderating variables (Choi & Mai-Dalton, 1999; De Cremer, 2006; Yorges et al., 1999). While a gap in the literature regarding self-sacrificial leader ontology and attitude exists, enough research exists to present behaviors associated with self-sacrificial leaders. Table 2 offers a preliminary look at these self-sacrificial leadership behaviors.

Table 2

The Behavioral Dimensions of Self-Sacrificial Leadership

Dimension	Self-Sacrificial Leadership Factors
<i>Behavioral Dimensions of Self-Sacrificial Leadership</i>	Altruism
	Takes initiative
	Empathy
	Role modeling
	Provides justice
	Developing people
	Building community
	Providing leadership
	Links followers to shared vision
	Empowering followers
	Serving followers
Yields status, privileges, power	

Theoretical Comparison

While we propose the three-fold circular model of ontology, attitude, and behavior as an integrative answer to the divergent approaches to conceptualizing servant leadership, for the purpose of our comparison with self-sacrificial leadership, we will limit our analysis to the behavioral level. As identified in the literature review surrounding self-sacrificial leadership, the rationale for this is largely due to the relatively focused literature surrounding self-sacrificial leadership on the consequence of the behavior rather than its motivational origins. Certain attitudinal aspects of self-sacrificial leadership can be inferred from the research, but the authors do not support drawing conclusions from these secondary assumptions. While we recommend future explorations into the ontological and attitudinal dimensions of self-sacrificial leadership, the current agenda solely offers self-sacrificial research focused on the behavioral dimension.

This section of the paper highlights the similarities and differences of servant and self-sacrificial leadership. In keeping with two previous attempts to compare servant leadership with another leadership theory, the authors have created a matrix to compare the two theories. Stone et al. (2004) and Smith et al. (2004) previously compared servant and transformational leadership, and their graphic representations informed this current effort. In addition to Spears' (1998) and Laub's (1999) lists of characteristics which were included in these prior analyses, this paper extends the servant leadership portion by including Patterson's (2003) attributes in the comparison with self-sacrificial leadership. Recall that in this study, these three theories are presented as an integrated model of servant leadership.

In Table 3, the integrated servant leadership behavioral characteristics of Spears (1998), Laub (1999), and Patterson (2003) are listed next to the self-sacrificial leadership factors. The three dimensions of leader ontology, attitude, and behavioral characteristics are listed for servant leadership in an effort to comprehensively present the integrated model. Self-sacrificial leadership attitudinal factors are listed in gray to signify their role as inferred characteristics which will not be used for drawing conclusions. The behavioral factors associated with self-sacrificial leaders as they compare to servant leadership are the primary focus of this study.

It is immediately evident that servant and self-sacrificial leadership share several characteristics. The characteristics of empathy, developing people, building community, providing leadership, empowering followers, and serving followers represent overlapping categories. Empathy appears in the self-sacrificial leadership literature through its connection with altruism (De Cremer, 2002). The assumption of an empathy-altruism link, and its support in 25 empirical studies (Batson, Ahmad, Lishner, & Tsang, 2002), sustains this correlation between servant and self-sacrificial leadership. The modeling behaviors found in the self-sacrificial leadership literature shore up the additional characteristics found in both leadership theories. By sacrificing their power, self-sacrificial leaders empower followers. However, this empowerment is likely a product of sacrificing behavior. The shared commitment to service may be explained when self-sacrifice is understood as an extreme act of service. This comparison would evidently indicate that servant and self-sacrificial leaders may view followers in a similar fashion but may choose to interact with them in a slightly different manner.

In general terms, it may be stated that both servant and self-sacrificial leaders hold followers in very high esteem but deviate in several core behaviors. First, there is little concrete theoretical or empirical research pertaining to leader self-sacrifice which supports the thought that self-sacrificial leaders share power. Second, it could be argued that the role modeling and altruistic behaviors of self-sacrificial leaders are loving acts and, thus, would compare favorably

with servant leadership. However, there are other motivations associated with role modeling and altruistic activities which may have very little to do with love (Avolio & Locke, 2002).

Table 3

The Three Dimensional Comparisons of Servant and Self-Sacrificial Leadership

Dimensions	Servant Leadership Factors	Self-Sacrificial Leadership Factors
<i>Ontological Dimensions</i>	Love Humility Authenticity Self-Awareness Self-Differentiation	
<i>Attitudinal Dimensions</i>	Love Other-Centeredness Oriented toward altruism Valuing people Commitment to the growth of people Visionary Orientation toward trust Orientation toward listening Orientation toward empathy Leadership mindset Orientation toward persuasion Capacity for conceptualization Foresight	Other-Centeredness Orientation toward altruism Valuing people Commitment to the growth of people Visionary Orientation toward empathy Self-Confident Nonautocratic Foresight
<i>Behavioral Dimensions</i>	Love Listening Empathy Healing Stewardship Developing people Building community Providing leadership Sharing leadership Empowering followers Serving followers	Altruism Takes initiative Empathy Role modeling Provides justice Developing people Building community Providing leadership Links followers to shared vision Empowering followers Serving followers Yields status, privileges, power

Listening, healing, and stewardship are currently missing from the self-sacrificial leadership literature. The case can be made that listening is a necessary feature of empathy and that healing is closely aligned with providing justice. Yet, these are unsupported assumptions.

Stewardship is a different matter. In a sense, some self-sacrificial leaders are poor stewards of resources; since by definition, this type of leader may intentionally dispose of resources in order to achieve an overall goal. Since self-sacrificial leadership theory development is still in relative infancy, the authors feel much more confident in the shared characteristic list and remain cautious in drawing firm conclusions on all of the dissimilar factors. That being said, viewing these follower-oriented theories through the three dimensions of leader ontology, attitude, and behavior can further delineate both phenomena.

Although these two leadership theories share several characteristics, the provisional conclusions stated lead to the understanding that servant and self-sacrificial leadership are similar but distinct theories. Since the examination of the behavioral characteristics of these two theories is not capable of revealing a comprehensive understanding of this difference, the authors propose a broader look at servant and self-sacrificial leadership. This effort may bring further clarity to this evaluation. An opportunity for an expanded investigation may originate in the previously mentioned work of Stone et al. (2004) and Smith et al. (2004) who offered details regarding the focus, motivation, context, and outcomes of servant and transformational leadership. These four overarching categories can be employed to scrutinize servant and self-sacrificial leadership with the goal of founding an additional baseline for future scholarly discussion. The authors present this brief theoretical comparison in an attempt to launch such a conversation. Table 4 places servant and self-sacrificial leadership in the four categories discussed in the previous leadership theory comparison. The determination of the focus, motivation, context, and outcome of self-sacrificial leadership is drawn from published research pertaining to this phenomenon. The authors have consulted existing research and selected general terms to describe each category as succinctly as possible. In other words, an attempt was made to get at the heart or direction of the research to date. For example, since earlier research has noted that self-sacrificial leaders may demonstrate courage and conviction in the mission while serving as a role model (Shamir et al., 1993), maintain personal beliefs and values (Yorges et al., 1999), or exhibit commitment to the cause (Avolio & Locke, 2002); the authors have placed these activities under the umbrella of ethical self-transcendence in the broad category of focus. Additionally, since self-sacrificial leaders may be motivated by the greater good of the organization (Halverson et al., 2004), the ethical focus underpinning this motivation led the authors to conclude that self-sacrificial leaders are provoked to serve the greater good.

Table 4

The Focus, Motivation, Context, and Outcome of Servant and Self-Sacrificial Leadership

	Focus	Motivation	Context	Outcome
Self-sacrificial leadership	Ethical self-transcendence	Serving the greater good: doing what is morally and ethically right, no matter the sacrifice	Organizational or environmental crisis	Dynamic spiritual generative culture
Servant leadership	Followers	Serving the good of the follower: doing what is best for the followers	Stable environment	Spiritual generative culture

The contextual question as it pertains to self-sacrificial leadership has been considered in several studies (Choi & Mai-Dalton, 1999; Halverson et al., 2004; van Knippenberg & van Knippenberg, 2005). The research findings suggest that organizational or environmental crisis appears to be the primary context for leader self-sacrifice. Since this sacrifice comes during a time of change necessitated by these pressures and is likely intended to encourage follower reciprocity, the outcome descriptor selected by the authors intentionally builds on the outcome of servant leadership as proposed by Smith et al. (2004).

Recall that these categories, anchored in prior research, are intended to open a dialogue. It is the hope of the authors to enhance the research agenda of both servant and self-sacrificial leadership by offering frameworks which can be used to classify their espoused components. The proposed descriptors of focus, motivation, context, and outcome are offered as a foundation for scholarly exchange.

Summary

This preliminary study has described the theoretical overlap and the behavioral variations which exist between servant and self-sacrificial leadership. Yet, this undertaking necessitates an effort to confirm the theoretical conclusions with empirical testing. A concern the authors have with this present effort is that this comparison was made between two theories at different stages of development. This was evident when the researchers sought detailed information on the leadership ontology of self-sacrificial leadership and found very little assistance. A second caution comes from the realization that when the behaviors associated with these theories are exhibited in organizational life, an alternative picture has the potential to emerge. It is possible that this situation may add to or modify the findings of this present offering.

Given the suggested limitations, the authors advocate several future research directions. First, we recommend that future researchers consider the ontological and motivational aspects of the self-sacrificial leadership construct. The current agenda appears to constantly measure the effects of self-sacrificing behavior without proper attention to its origins. Second, we advocate a comprehensive research undertaking to solidify the integrated model of servant leadership delineated in our literature review. Finally, we propose an empirical study which compares the focus, motivation, context, and outcome of servant and self-sacrificial leadership.

Follower-oriented leadership theories are likely to continue to be refined as leadership research progresses in the 21st century. Although transformational leadership has dominated the research agenda, servant and self-sacrificial leadership theories have staked a claim on a portion of contemporary scholarly efforts. Building upon prior comparisons of servant and transformational leadership, the present study has briefly examined the commonalities and distinctions of servant and self-sacrificial leadership. The findings of this study, while preliminary, suggest that while these two leadership theories share several characteristics, they are likely distinct phenomena.

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The Journey of a Charismatic Leader: From Principal to Principal Change Agent

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The purpose of this study was to describe the journey of an educational leader in several different contexts. An intrinsic case study was used to examine the development and evolution of this leader as he moved from school principal to deputy superintendent for Bronx small schools to deputy superintendent for one of 10 New York City restructured school regions. Theories of charismatic and constructivist leadership proved effective in describing the style of this particular leader. It was suggested that the effects of context change on leadership practices need to be incorporated into current leadership theory.

This study describes the journey of Mr. N, whom we first met as a school principal and who assumed the position of Chief Executive Officer of School Reform for the New York City Department of Education in 2004, the principal change agent for over 1,200 schools and over 1,000,000 children. Our original study of leader-school relations had its origin in interviews and visits with the principal of a unique alternative school. When the principal took on the position of deputy superintendent for Bronx small schools, we wanted to see how he transposed his site-based learning community beliefs to a larger context and how the new small schools functioned with this leadership. Within a year of Mr. N's promotion, Chancellor Klein of the newly formed Department of Education turned the system upside down. The principal landed right side up as the deputy superintendent for a region of 112 schools, many of them failing. Less than 9 months later, this educator's reform initiatives in the Bronx propelled him to an appointment on the central leadership team of the New York City Department of Education.

Rather than continuing to focus primarily on the relations between the deputy superintendent and the small school reform, our original intention, we decided to examine and analyze the journey of this leader from principal to principle change agent.

Research Method

We conceptualized this project as an intrinsic case study (Denzin & Lincoln, 1988), where the primary goal is a better understanding of the particular case. We sought to examine the

development and evolution of Mr. N's approach to leadership as the contexts changed from principal to deputy superintendent for Bronx small schools and then to deputy superintendent for a region of 112 schools. Yin and Campbell (2002) distinguished the case study from other research strategies as optimal when one investigates a contemporary phenomenon within its real-life context and when the boundaries between phenomenon and context are not clearly evident and one in which multiple sources of evidence are used.

The mode of inquiry in our study was qualitative, as described by Denzin and Lincoln (1988). We were intent on capturing the individual's point of view through detailed interviewing and observation. We wanted a case-based position that examined the constraints of the particular contexts, and we sought to secure rich description. Kvale's (1996) conception of life world interviews fit with our view that conversations with Mr. N and with key district and school personnel would provide an understanding of the beliefs and chosen strategies that underscored his leadership. We used semistructured interviews (Kvale) to interview all participants; including district personnel, principals, assistant principals, and teachers. To maintain anonymity, we identified participants only by whether they were district personnel, principals, or teachers. The exception to this was Mr. N who chose to have his identity revealed. The authors' professional relationship with the schools permitted additional interviews, numerous site visits, and the collection of written information about the programs.

The methodology we employed was characteristic of qualitative research as described by Merriam (1997) and others: we were observers and/or participant observers, we used a small sample of interviewees, our data were not described numerically, and we used multiple examples and quotations in reporting our findings. As our study proceeded, we interwove data collection and analysis using constant comparative analysis (Strauss & Corbin, 1998) that allowed us to clarify where the data fit with and departed from current theoretical constructs about leadership.

Typically, we carried out individual, one-on-one interviews with participants; transcribed the interviews verbatim; and checked them for accuracy. The texts were read and reread a minimum of three times by each researcher with the goal of identifying categories and recurring themes. Unstructured questions, which arose during the interviews and from the constant comparative analysis of other interviews, clarified the basis for the patterns that emerged.

We employed triangulation procedures to reduce the likelihood of misinterpretation of data and to clarify the meaning of our interviews and observations. While multiple data sources (including interviews, observations, and data documents) were used for triangulation (Merriam, 2001; Strauss & Corbin, 1994), findings reported are primarily from interviews. Documents provided supplemental information and included district strategic plans, policies, descriptions of district and site initiatives, and curriculum information. The depth and variety of the data collection procedures that we adopted support the validity of the findings and conclusions.

The Case

The First Leg of the Journey: International High School

Mr. N, a teacher and then English as a Second Language (ESL) specialist at the New York City Board of Education, was the founding principal of the International High School (IHS) at LaGuardia Community College in 1985. His goal was to create a school environment where newly arrived high-school age immigrants could succeed and flourish in high school, college, and beyond. The road that Mr. N and his colleagues traveled on the first leg of their

journey was paved with professional development built into every facet of the school's work. The central belief that emerged was student empowerment through the professional development of teachers (Nadelstern, Price, & Listhaus, 2000).

Located on the basement floor of LaGuardia Community College in Long Island City, Queens, New York, IHS was a joint venture of the then New York City Board of Education and the Board of Higher Education of the City of New York. An alternative high school created to serve the needs of students with limited English proficiency, it describes itself as "alternative in its admissions policy, population served, school governance, teaching methodology, setting, and opportunities for both students and staff" (Sullivan & Glanz, 2000, p. 138).

In an interview with Mr. N (January 17, 1999), he reflected back on the first years of the school:

It was less about trying to figure out how to structure a school than trying to figure out how kids learn best and, through our discoveries, figuring out what a school would need to look like if it were built around our understanding about how kids learn best and in a way that allowed us to continue that level of inquiry, and then designing the school based on new learning.

Given that, it's not surprising that the first year we opened our school looked not too dissimilar from a traditional New York City public high school. We divided all knowledge into the same six arbitrary disciplines everyone else has been confined to for centuries. Periods were exactly 40 minutes long; we had eight of them a day. We made the mistake of thinking that if eight periods were good, nine must be better. So, going into the second year, we shaved 5 minutes off each instructional period and that gave an additional class. The staff did meet together for 2 hours a week. Back then, it was as a paid-per-session after school activity. Since it was part and parcel of working here, it wasn't necessarily voluntary, although no one was forced to be here. We shared our insights on this common exploration about learning. And, on the basis of those insights, we continued to rethink the way the school needed to be structured.

Mr. N noted that the "Student for a Day" project was a turning point in the school's development. He described this venture as follows:

Everyone on staff was given the opportunity to be relieved of responsibilities, teaching and otherwise, for an entire school day, to spend a day with a kid. The staff member was to travel through the school as that kid did and attempt to see the school from the student's perspective.

Over a 3 month period, everyone on staff volunteered for this exercise. We facilitated the shadowing opportunity by covering their classes. At the end of the experiment, we got together and shared our findings. In discussion, comments surfaced like, "The most interesting thing that happens in this school happens in the hallway in-between classes," or, "35-minute periods a day are insane. You can't do anything meaningful in 35 minutes, and to have to shift your focus every half hour is a crazy way of learning something."

The ensuing discussions led to a restructuring of the school based on the 70 minute periods of LaGuardia Community College. Mr. N created a 2 hour block on Wednesday afternoons for the staff to meet. During that time, students had the option of staying at the school; the computer room was open, athletic and club activities were offered, and students could participate in college activities. In describing this restructuring, Mr. N related that:

The key is that the staff meets together to identify their successes, failures, and kids' problems. As the staff learns what it isn't doing, the students learn from the staff's experience of trying to meet the kids' needs through inquiry. A principle emerged: Teachers best offer learning experiences for students that they experience first themselves. Therefore, peer assessment for children developed only after the teachers did it themselves.

Mr. N described how the peer assessment itself grew out of a small school necessity: I realized that because of my small administrative staff, I needed to share responsibility. I was working a 70 hour week, 7 days a week. So, I started with personnel. I asked teachers if they wanted to participate in hiring. Prior to opening the school, I had interviewed 60 people for seven positions with each interview lasting 2 hours. In our first year, all seven staff members agreed to join the personnel committee and decided on a chair.

He went on to describe the organic development of the personnel committee and peer review:

Having hired most of the staff, they had a vested interest in their hires becoming successful. The underlying assumption is that when staffing is a shared activity, the entire faculty accepts responsibility for orienting and supporting new members. Thus, the third year, the staff initiated peer support during the Wednesday afternoon meetings. Initially, peer support took place on Wednesdays without involving evaluation. Once the faculty became accustomed to providing support, they began visiting each other's classes. As the observations increased, some written feedback began. Trust had to be built, and it took time. Providing written feedback to each other did not become widespread until the fourth year. And, it wasn't until the fifth year that the personnel committee wrote and codified the schema for evaluation. Based on research showing that ideas from colleagues carry more weight than traditional evaluation procedures, the committee members concluded that a combination of self-evaluation and peer evaluation would be the most effective means to promote professional growth. By that time, my role was to meet weekly with the chair of the committee. The message to the faculty is that they are autonomous professionals who are trusted. The key to consensus in the school is that it is the faculty that shapes policy.

Over the last few years, the staff has evolved into instructional teams that have become increasingly autonomous and have taken on more and more responsibilities. They schedule themselves for free periods, and they do their own hiring. These instructional groups have replaced the peer groups. The personnel committee has taken on more of a coordinating function. A coordinating committee oversees governance. I am a member of the coordinating committee and create my own portfolio that my peer group evaluates.

At the time of the interview, Mr. N (personal communication, January 17, 1999) saw his own leadership role as threefold. First, he felt that his job was to model professional development, as in the portfolio that he created for his own assessment. Second, he considered that training his staff to be leaders was one of his central roles. And third, a major piece of his responsibility was an external one to protect and advocate for his school. In that role of advocate and liaison to the outside, he promoted the creation of an in-house, unpublished handbook titled *Personnel Procedures for Peer Selection, Support, and Evaluation* (Sullivan & Glanz, 2000).

The seeds for the model of systemic change through professional development that Mr. N had developed are found in IHS' professional development structure. The interdisciplinary team

is the basic unit for professional development. The faculty and student body are organized into six interdisciplinary teams composed of a math, science, English, and social studies teacher and a support services coordinator. For a full year, the team is jointly responsible for a heterogeneous group of about 75 9th through 12th grade students who share a theme-based academic program as well as affective and academic counseling.

The Coordinating Council; that includes administrators, student government and parent association representatives, the union chapter chair leader, and a representative from each interdisciplinary team; is the policy-setting body for the school. Day-to-day school management and Coordinating Council meeting agendas are the responsibility of a steering committee comprised of the principal, assistant principals, and two elected teacher representatives. Other school-wide committees have specific charges: the Curriculum and Assessment Committee oversees the performance-based assessment practices and aligns curriculum and assessment standards across instructional teams. The Personnel Committee determines faculty hiring and evaluation procedures. These committees contribute the topics for the professional development at the monthly faculty meetings.

The school's peer review policy sums up best the school-wide philosophy:
Shared leadership in a high school can foster the professional growth and development of teachers, leading to the empowerment of students as successful learners. . . . If we view ourselves as true educators, we must also view ourselves as learners. . . . If we model self-improvement in an atmosphere of sharing that is what our students will learn. (IHS, 2000, p. 6)

The Second Leg of the Journey: The Bronx Small Schools Initiative

After 10 years at IHS, Mr. N determined that the school could continue functioning effectively without his personal leadership. He decided to accept an offer from New Visions for Public Schools, a not-for-profit intermediary that manages funds and professional development support to New York City Schools. He was to oversee the creation and support of new small schools for which New Visions managed the funding. When the New York City Board of Education policy environment changed under a new chancellor, Mr. N felt unable to support and effectively protect the schools for which he was responsible. Consequently, he returned to IHS which became, albeit briefly, one of the first New York City charter schools.

Under the New York State standards movement that required all students to receive a regents diploma, IHS faced a new challenge. Mr. N fostered the creation of a unique environment in which student achievement was very high. Annually, 92%-95% of graduates apply and are accepted to college, 67% to 4-year colleges. In another analysis, 20.0% of students graduate as a factor of total enrollment, as compared with 20.4% at Bronx High School of Science (an entrance exam high school). In 1996, 72% of students who entered in 1992 graduated in 4 years; in New York City, typically 42% of Limited English Proficiency (LEP) students graduate after 4 years (Nadelstern et al., 2000).

High student achievement had previously reduced the overt city and state challenges to many of the alternative practices. But this time, New York State Commissioner Mills would not budge on the regents exams. A group of high performing alternative high schools brought two lawsuits against the commissioner that were resoundingly defeated. Mr. N recounted that, at one point, the school was within a hair's breadth of being disbanded. When these pressures lessened

and the school “was back to a place where I felt I had fulfilled my obligations” (personal communication, February 18, 2004), Mr. N decided to take his vision to a larger context.

During the 1990s, two successful spin-offs of IHS had been created in New York City, one in Manhattan and one in Brooklyn. In 2000, the head of a not-for-profit group called Replications approached Mr. N about starting an IHS in the Bronx. Mr. N agreed, as long as he could hire the staff. After unsuccessfully trying to connect with various possible sponsors, he decided to meet with the struggling Bronx High School office that at the least possessed the potential real estate. At that juncture, barely 4 out of 10 students were graduating from the Bronx High Schools. The Central Board had just taken over two high schools. Others had previously been put under Central control. The superintendent of Bronx High Schools did not have a well developed strategy or plan for improvement. As conversations proceeded, Mr. N was simultaneously talking with the head of New Visions for Public Schools. During a meeting with the embattled Bronx High School Superintendent, Mr. N and the Director of New Visions for Public Schools discussed their idea of creating more and more small schools within the poorly functioning large high schools as a strategy for school reform. They felt that the future of Bronx high schools depended on the superintendent’s ability to embrace this idea, and he did.

Appointed as member of an advisory committee for this small schools project, Mr. N served on a consultant basis and, at the same time, worked towards the opening of the Bronx IHS in 2002. In late August 2001, the Bronx High Schools Deputy Superintendent for Operations retired, and the superintendent asked Mr. N to become Deputy Superintendent for New and Small Schools. What intrigued Mr. N was the superintendent’s decision to relegate operations to a lower level in the hierarchy and raise to a higher level the instructional deputy for new and small schools. Most important was the realization that “here was an opportunity to get at the most intractable issue facing urban public education, that is, how do you restructure a district office so that it not only can create new small schools but support and nurture them?” (Mr. N, personal communication, August 12, 2002).

In September 2001, two orientation sessions in a Bronx high school auditorium attracted 400 interested people. The invitation was to reimagine high school for themselves and the students of the borough. The participants formed dozens of planning teams. By January 15, 2002, 30 full-blown school proposals had been submitted. New Visions for Public Schools decided to provide \$7,000,000 to support 19 small schools to open in September 2002 and 2003.

Mr. N then recounted that during a weekly series of seminars in a high school auditorium, the teams found each other. The only requirements were that the teams had to include school people, parents, and students and be affiliated with a community organization. He told the participants:

Beyond that, form any kind of team you want, and give us your best ideas. And, week after week, we helped them work through some of the ideas. So, if you look through the agenda items, it started with creating a school mission and philosophy; it moved to curriculum and instruction, to assessment, to recruitment, putting together a faculty. (personal communication, August 12, 2002)

At that point in the interview, the conversation turned to a new agenda: restructuring the whole district. He explained:

This office is structured exactly to have the schools we currently have in the Bronx: large departments that are responsible [for a] small piece of each school but accountable for nothing. So, if you say there are 100 people who work in Bronx high schools in this building and if you say to any one of them, “how many schools are you responsible for?”

they say, “all of them.” Then you say, “What are you really accountable for?” And, you get quizzical looks back, because the truth is that there is no accountability. (personal communication, August 12, 2002)

Mr. N proposed to the then superintendent to use the small school model for the district organization: small interdisciplinary teams responsible for a small number of schools.

Instead of an office of instruction, an office of operations, an office of guidance, an office of special ed., an office of technology; you’ve got cross-departmental teams responsible not for a small part of 21 schools, but for the entirety of 4 or 5 schools. The trick over time is to turn staff meetings into a professional development opportunity for people who work in the district office so that the work is not, doesn’t start with us and move toward the schools. It’s creating opportunities for schools to learn from each other within each school and across schools. And, our job is really to facilitate that process. . . . In an ideal world, there would be no superintendent’s office; there would just be schools. And, what this would be, would be whatever the school [they] couldn’t do for themselves. . . . It’s actually not dissimilar to what we did at IHS. (personal communication, August 12, 2002)

The conversation had come full circle. The philosophy underlying IHS was to be the basis for the redesign of the Bronx high schools. Mr. N returned to the idea that

Education ought to be about empowering kids, and you can’t empower kids until first you empower the people who work with them. . . . The governing structure of a school needs to be identical to the instructional program that teachers implement with kids. In a school where you have a principal in a front office making policy by memorandum, then there is a kind of cognitive symmetry to having a teacher in front of every classroom telling kids what they need to learn. If you want to change that dynamic, then you have to change the dynamic of having the adults interact first. And, until you do, you can’t really change the classroom relationships. (personal communication, August 12, 2002)

In his role as Deputy Superintendent for Small Schools, Mr. N had the opportunity to broaden this deep belief about the essential role of modeling to the larger educational context. The vision remained the same. He wondered himself how far it could be stretched out.

I’ve actually got a suspicion that if the chancellor were a good kindergarten teacher and, once a month, worked with 40 superintendents in a way that only a good kindergarten teacher could, that the system would be very different. (personal communication, August 12, 2002)

Mr. N sees the role of the leader as creating the opportunity for conversations to take place, intervening in ways that prevent the organizational structure from impeding those conversations, and then changing the nature of the organization so that those interventions are no longer necessary.

We observed clear examples of this type of modeling in their attendance at small school district meetings. On August 20, 2002, as the new small schools within the large high schools approached opening day, Mr. N mentioned that the building principals in whose buildings the small schools would be housed would introduce the small school principals. One principal, in particular, objected. She felt that the new principals were not under these principals and wanted separate introductions. Mr. N listened. One other leader agreed with her, and at least one dissented. No decision was made. One of the researchers was curious about the outcome. It was clear that Mr. N’s purpose was the acceptance of the new leaders by building and district principals, no mean feat given the goal of eventually developing multiple small schools in each

building to replace the larger school. The resolution incorporated the two principals' objections; the large school principals first introduced the new principals and then each small school principal introduced himself or herself. At another small school principals' meeting in Fall 2002, Mr. N asked the principals to identify what they would like to share with him or to observe on his visits to their fledgling schools. He made it clear that his goal was to support their growth and that they were to define the areas of success and need.

The Third Leg of the Journey: Deputy Superintendent for Region 2

By the 2002-2003 academic year, a new chancellor and regime were in place and the whole New York City public school system was reorganized. One constant remained: the commitment of the new regime and Bill Gates to new small schools. The relatively smooth running of the first year of the new Bronx small schools had the usual consequence for its leader: Mr. N, deputy superintendent for small schools for less than 2 years, was appointed deputy superintendent for 1 of 10 New York City school regions. The newly formed Region 2 comprised three former Bronx community school districts. The restructuring enabled the new deputy superintendent to try to implement the district office vision that had been percolating for at least 2 years.

The new New York City system wide structure consisted of 10 K-12 regions; each headed by a regional superintendent, a deputy superintendent, and 10-12 local instructional superintendents assigned to 10-12 schools. This structure facilitated the realization of Mr. N's vision, allowing Region 2 to create what they call a three-tiered model that mirrors the IHS structure. As previously mentioned, the IHS organization consisted of small interdisciplinary instructional teams in charge of all facets of a group of students' school lives over a period of a year. The Coordinating Council, the second tier, acted as the policy-setting body for the school. The third tier was a steering committee comprised of the principal, assistant principals, and two elected teacher representatives whose responsibility was day-to-day school management.

The Region 2 three-tiered model, similar to that of IHS, was a vertical structure as contrasted with the traditional horizontal structure. As Mr. N said, district specialists had been responsible for all and accountable to no one. Tier III were the School Professional Network Leadership Teams comprised of the principal, assistant principals, instructional coaches, the teacher who runs the union (UFT) teachers' center, teachers, parents, and students. The primary charge of Tier III teams was to build learning communities through professional development. Tier II was the Region's Network Professional Development Group that included a representative from each school in the network. These groups of 10 or 11 included two or three principals, assistant principals, coaches or UFT members, professional development providers, and teachers. The primary goal of these groups was to focus and guide the professional development work of the Tier III teams. The Tier I teams for each network was composed of the local instructional superintendent, the regional instructional supervisor, two instructional support specialists, an English language learner specialist, and other technology or arts specialists. These teams helped form Tier II and Tier III teams and support, collaborate with, and oversee their work. Mr. N noted that the intent was to form instructional teams that worked with groups of schools so that regional instructional specialists and principals were not talking to each other.

This model was his response to the question: how do you organize a region around principles who you know are effective in schools? When asked how he translated this into reality, he responded, "I am creating opportunities: adult education" (personal communication,

January 19, 2004). He noted that “last year, my ‘class’ was the principals; and this year, it’s the superintendents” (personal communication, January 19, 2004). The question remained, he admitted, whether it could have an impact on what goes on in school classrooms. It remains a theoretical construct that he believed could work but lacked proof thereof.

When asked how the new structure was working, Mr. N said that they had created the best possible framework given the limits of resources. One big limitation of the citywide reform was that it separated resources and authority from responsibility and accountability. The previous year, the small schools in the district had resources, authority, accountability, and responsibility. That year, he had neither the resources nor authority to order a cell phone. “The regions have no money; it goes straight to the schools. The advantage is that they didn’t cut money from the schools when they reorganized” (personal communication, January 19, 2004).

The new Region 2 deputy superintendent expressed two sources of frustration: (a) the separation of resources and authority from responsibility and accountability and (b) working with some staff not used to having a voice. He found getting them to talk a biweekly battle. Presently, he identified only four local instructional superintendents as instructional leaders.

An administrator we interviewed spoke candidly about ramifications of this clash of cultures:

[He has] enormous responsibility, not just in this region; because he has enormous understanding, New Visions and others rely on him for advice. He is opposed to a bureaucracy that doesn’t want to change, and it takes a toll. There are a number of people now who see him as their enemy because he has the knowledge and commitment to make it happen; and, if they block him, they can block the movement. (Regional administrator, personal communication, January 19, 2004)

We had heard second hand that Mr. N’s leadership style seemed different in the new position. We asked an interviewee his or her perceptions:

I’ve never met with a quicker or more creative mind. He is completely knowledgeable. He is the person to go to when you need a creative solution. He is demanding, intolerant of mistakes, and people hear that and react to that as well. He was demanding at International but allowed a decentralization of responsibilities – gave and evolved power for teams even though he was demanding. He allowed people to exercise authority and held them accountable. He has tried to do that here, but it’s been more difficult. He has had to exercise greater authority, and more people have experienced that here. (Regional administrator, personal communication, January 19, 2004)

This administrator explained that this intolerance emanated in part from Mr. N having taken on the responsibility of holding people accountable. In the new regional structure, the superintendent and the deputy are accountable for turning around 116 of the lowest performing schools in New York City.

The theme of accountability repeated itself frequently in all the interviews. One of the interviewers commented to an interviewee that, until recently, the term *accountability* did not seem to be a part of the alternative school vocabulary and was not mentioned at IHS. The response was, “That’s why often kids did not succeed academically [in the alternative schools]. . . [At IHS,] you had leadership that demanded accountability without calling it that” (Regional administrator, personal communication, January 19, 2004). We also asked this administrator if it was possible to maintain an empowering leadership style in a larger context. The response was:

Probably not entirely. Ultimately, it will become possible when people accept their own responsibilities and accept accountability. Then you don’t need to be as directive (nor

should you); and, at that point, people can be held accountable. . . . Mr. N tries all the time to have a different approach. He tries and says, “You have the opportunity to do this, and I’m holding you accountable.” People generally want direction, and this is a longer educative process than he would like, but it’s necessary. (Regional administrator, personal communication, January 19, 2004)

Mr. N talked very frequently about accountability. He felt that the structure of the Department of Education remained in divisions. Everyone was responsible for a small piece of everything, preventing accountability. Also, in the past, only kids were accountable. He hoped that useful accountability (i.e., adults losing jobs) would result from whether kids were succeeding or not. In a recent phone interview (February 12, 2004), he reiterated his belief that adults, not kids, should be held accountable. Schools should be opened and closed with greater frequency. Energy belonged in the creation of school cultures that do not tolerate kids not achieving. The three-tiered system created in Region 2 focused accountability on the network, not the individual school.

At the end of our January 19, 2004 interview with Mr. N, he shared the news that he had been promoted to the position of CEO of the Office for School Reform for the New York City Department of Education. He was to leave Region 2 in the spring. One of the researchers asked him what would be the effect of being even further removed from what goes on in schools and in the classroom. He responded that the only thing that changed for him was the class level; regional superintendents would be the learners in his new classroom. He concluded the interview with the following comment: “So far, vision has driven me, and reality has driven me from places where I couldn’t realize the vision.”

Discussion

In the course of studying another school district (Sullivan & Shulman, 2005), we found that the organizational change literature only partially represented what was going on in that district. The leadership literature helped us describe the characteristics of the district’s superintendent whose personality appeared to dominate above all else. In our current study, we used theoretical views on charismatic and constructivist leadership to focus on the role of Mr. N in three different contexts and were better able to illustrate his relationships with district and school personnel.

Mr. N as a Charismatic Leader

To help explain some of the salient aspects of Mr. N’s leadership, we used Conger and Kanungo’s (1998) attribution model of charismatic leadership with its focus on the behavioral characteristics attributed by members of an organization to those in a leadership position. In explaining their model, Conger and Kanungo distinguished charismatic from transformational leadership in terms of the perspective of leadership that is used. Transformational theories typically concern themselves with follower and/or organizational outcomes (e.g. Chemers & Ayman, 1993), while charismatic theories look at leadership from the standpoint of perceived leader behavior. Our primary goal in this intrinsic case study was to better understand the progression and evolution of Mr. N’s approach to leadership as the contexts changed. Charismatic leadership theory, with its focus on leader behavior, provided a conceptual framework to understand the behaviors observed and ascribed to this particular leader in the

three different contexts described. The Conger-Kanungo model conceptualizes a charismatic leader as being predominantly concerned with influencing organizational members to accept and own a vision and to work together towards its attainment. This process is broadly conceptualized as a three stage model that includes (a) an initial stage (stage 1) where the leader critically evaluates the existing context, noting deficiencies; (b) stage 2, where goals are formulated and articulated; and (c) stage 3, where the vision is implemented through innovative and unconventional means, where the leader influences and empowers organizational members.

Stage 1: Evaluating context. In the initial stage, in order to be successful, charismatic leaders need to have the knowledge, experience, and expertise to correctly assess the environment in terms of resources and constraints. According to Conger and Kanungo (1998), what distinguishes charismatic from noncharismatic leaders in this initial stage is the ability to recognize deficiencies in the present context. Reform efforts in the three contexts where Mr. N had a major leadership role reflected Mr. N's ongoing analysis and assessment of each context. As principal of IHS, and later as deputy superintendent of the Bronx small schools, experimentation and evaluation of innovations were built into the system so that changes, where needed, could be implemented. Lengthening the school periods from 35 to 70 minutes at IHS after faculty immersed themselves in students' schedules exemplified this dynamic change process. In a larger context, Mr. N's ability to recognize the need for systematic school reform in the Bronx and his successful approach in promoting the small schools initiative embodied a key behavioral component of a charismatic leader: the ability to recognize and take advantage of opportunity.

When questioned about curriculum reforms in the Bronx region, Mr. N attributed the lack of a regional vision as the impetus for his point of entry curricular model:

I was perplexed and annoyed at the start. No one explained the underlying theory. . . . I was forced to focus on underlying theory, and [this] resulted in the point of entry format. . . . It did cause me to think about how kids learn and plan for that learning. (personal communication, January 19, 2004)

Stage 2: The future vision. This emphasis on future vision, or the demonstration of a strategic vision or an idealized future goal, is often used to differentiate charismatic leaders from others (Bass & Avolio, 1993; Conger, 1988; House, 1995). Bolman and Deal (1991) described an approach to leadership that they called symbolic, similar to conceptions of visionary and transformational leadership described by others (Burns, 1978; Leithwood, 1994) in its emphasis on future challenges. A symbolic leader is a "creator of possibilities" (Bolman & Heller, 1995, p. 317). Instead of being concerned with only immediate tasks, a symbolic leader represents a distant improved future and provides followers with a rationale for their work. While a vision of the future may be drawn up collaboratively, the symbolic leader has the task of articulating the vision in a compelling way. Finally, symbolism gives meaning to the task and provides a way of demonstrating the new approach and inspiring and giving confidence to organization members.

In describing his vision of leadership, his role as leader, and his ideas about sound teaching and learning; Mr. N was knowledgeable and highly articulate. Central to his philosophy was the notion that at each level of leadership, organizational members modeled the learning process for the level below. This philosophy is an application of Vygotsky's (1978) social learning theory which uses modeling as a key factor in the ability of learners to reach their zone of proximal development. A principal, for example, models in his interactions with teachers the

relationships that they, in turn, should develop with their students (Nadelstern et al., 2000). Building a community of learners who share leadership is one of the key steps in fostering professional growth. An example of this was evident in IHS' teacher-created peer review policy that states: "If we model self-improvement in an atmosphere of sharing, that is what our students will learn" (IHS, 2000, p. 6).

Stage 3: Implementing the vision. When implementing change, charismatic leaders empower their followers with the use of three kinds of behavioral strategies: a visioning strategy that strengthens the group's commitment, a context-changing strategy that involves changing those contextual conditions that make followers feel powerless, and a self-efficacy information strategy where the leader is engaged in practices that strengthen followers' beliefs in their own capabilities (Conger & Kanungo, 1998).

Conger and Kanungo's (1998) empowerment strategies can be applied to the beliefs described by Mr. N and attributed to him by interviewees. Mr. N's visioning strategy had as its goal empowering students through the professional development and support of teachers. Glanz and Behar-Horenstein (2000) described the strategies Mr. N used in his role as principal of IHS: he focused on teaching and learning, built a powerful community of leaders and learners, modeled in interactions with teachers the kind of relationships they should build with students, developed a collegial vision and purpose, served as a resource for solving problems and implementing new programs, focused faculty on their growth and development as well as that of their students, evaluated new initiatives in relation to student learning outcomes, communicated the mission and philosophy of the school to internal and external audiences, and enlisted a broad base of political and financial support for ongoing experimentation and innovation.

As high school principal and deputy superintendent of small schools and, where possible, as deputy superintendent of a Bronx region, Mr. N encouraged school and district staff to develop their own goals and strategies. In the first two contexts, new schools were created by empowered group members working together to develop their own unique approaches. These contexts contrasted with the Bronx regional staff who were working within a citywide reform movement that had been imposed upon them with no available resources to support their efforts. Implementing a model they did not create, working in teams where collaboration was imposed, rendered the reorganization effort more difficult.

Mr. N's context-changing strategy, the three-tiered model, supports research findings indicating that charismatic leaders show an expertise in devising effective but unconventional strategies and plans of action. This model was based on a vertical structure developed at IHS. The key purpose of each tier team was to build a learning community that could support and model behavior for the tier below. This kind of vertical structure was also implemented with the three-tiered model introduced as part of the development of the Bronx small schools. Mr. N used the same idea again in his proposal for restructuring the Bronx region, where he dramatically reduced the number of schools that were the responsibility of cross-departmental teams and made the teams responsible for everything about their schools. This strategy created opportunities for adult collaboration and learning and supported learners who were teachers, principals, or regional staff. The principal difference between IHS, the Bronx small schools, and regional initiatives was that in the first two contexts, staff was hired who had bought into the initiatives. In the region, some of the staff were inherited from the former districts and were resistant to the reforms.

In highlighting the importance of context-changing attributed to charismatic leaders, Conger and Kanungo (1988) discussed organizational, supervisory, reward system, and job design context factors that create feelings of powerlessness among members. These organizations are characterized as impersonal and bureaucratic, having authoritarian supervisors. Often the allocation of resources and awards in these organizations seems arbitrary, and jobs provide little challenge and meaning for members. In contrast, charismatic leaders are skillful at sensing organizational conditions that contribute to a sense of powerlessness and understand how to change the context to empower group members. As the organizational leader, Mr. N clearly empowered IHS members and Bronx small school staff. In both these contexts, members had substantial control over their environment; creating a culture that valued shared information, participation, and feedback. At small school district meetings, Mr. N often modeled the kind of collaborative learning he wanted to foster in group members. Typically, he would introduce an issue and then step back and have the group communicate and find their own solutions. Creating a similarly empowering context in the Bronx region proved more difficult due to a lack of necessary resources and regional staff who resisted the new structure and did not effectively communicate.

A self-efficacy information strategy is one that involves the leader in practices that strengthen members' beliefs in their own capabilities. For Mr. N, this was accomplished by modeling professional development, training his staff to be leaders in their own right, and advocating for staff members. Bandura (1986) and Conger and Kanungo (1998) discussed the impact of modeling behavior on the efficacy expectations of the observer. In each context, Mr. N's initiative, unconventional tactics, risk-taking behavior, and demonstrated dedication to the cause provided vicarious empowering experiences for group members. Examples of this include the unconventional structure that characterized IHS, its principal's efforts to keep bureaucracy from interfering with learning (e.g., his support in the lawsuits against the commissioner's regents exams requirement), and his portfolio for his personal self-assessment. His dedication to his vision of learning, which remained constant in different contexts, also served as a model of self-efficacy.

The literature on charismatic leadership has differentiated positive characteristics of charisma from negative aspects (Conger & Kanungo, 1998; House & Howell, 1992; Kanungo & Mendonca, 1996). Often, charismatic leaders are more adept at innovation than administration. Associated with a charismatic personality are certain character flaws including narcissism and self-importance. House and Howell proposed the terms *socialized* and *personalized* charismatics to distinguish between positive and negative forms of charisma. Personalized charisma is associated with a high need for power, high authoritarianism, narcissism, an external locus of control, and low self-esteem. In contrast, socialized charismatics are characterized as having an internal locus of control, high self-esteem, low authoritarianism, and the tendency to govern others through egalitarian means. Mr. N is conspicuously and consistently high on the characteristics associated with socialized charisma. In his dealings with staff, he consistently used strategies to empower rather than control. The only area where a growing need for power emerged was in his unflagging belief in the need to disseminate his vision.

Mr. N as a Constructivist Leader

Constructivist beliefs about learning are at the core of Mr. N's vision of leadership. Walker (2003) outlined principles of constructivism including that knowledge and beliefs are

actively formed within the learner, meaning is constructed by the learner, learning is a social activity enhanced by shared inquiry, and reflection and metacognition are essential aspects of constructing knowledge. A constructivist leader models these principles.

For M. D. Lambert and Gartner (2003), a constructivist school district can be viewed as an “interdependent learning community, characterized by collaborative group interactions” (p. 172). A constructivist leader in a district whose members are interconnected can be described as a steward of the vision, values, and purpose of the district; a designer of the enabling structures and processes that support dialogic, inquiring, sustaining, and partnering conversations; a teacher of the board, community, district staff, principals, and leadership teams about teaching, learning, and dimensions of community; a learner with the board, community, district, and schools’ staff and students; and a participant in the reciprocal processes that “give texture to the culture of collaborative inquiry that is growing in the school, district and community” (p. 169). A constructivist leader recognizes that roles such as steward, designer, and teacher are multidimensional and are shared by many coleaders.

A constructivist organization, characterized as an interdependent community, supports the needs of its schools and forms connections among the schools and the community. Mr. N’s vertical model, implemented through the various shared leadership teams at IHS (the Coordinating Council, the interdisciplinary instructional teams that were in charge of all facets of a particular group of students) and applied using the three-tiered model in the Bronx regional office, created opportunities for collaboration among staff. In a constructivist paradigm like this, teams require time to evolve and are often designed around cycles of inquiry (Shawn, 1994), evident in Mr. N’s description of the evolution of the school structure at IHS (Nadelstern et al., 2000). Mr. N described how school staff shadowed students for several months, collaborated about their findings, and subsequently instituted a new school structure based on longer periods. However, making the role changes necessary for collaborative inquiry can occur slowly and encounter resistance (L. Lambert et al., 2003), evident in Mr. N’s frustration with implementing his program with regional staff who were used to a bureaucratic structure.

In considering the school district as a constructivist, interdependent learning community; M. D. Lambert and Gardner (2003) underscored the significance of building an authentic accountability system. They viewed the role of a constructivist district as being one that expands both what is assessed and the strategies used to document learning and achievement. This is accomplished by building interdependent learning communities that can resist bureaucratic pressure to dictate assessment and accountability policy and make meaning of federal mandates. District and school staff members become empowered to “fight to keep the curriculum rich and the assessment system authentic” (M. D. Lambert & Gardner, p. 172).

In interviews with Mr. N and with Bronx district and regional staff, the subject of accountability repeatedly recurred. Accountability at IHS was integrated into everything and, therefore, was not a separate focus. Programs were developed and implemented collaboratively, and professional development was centered on cycles of inquiry where the primary focus was on learner outcomes. Accountability, then, was built into the system by school staff. The peer assessment model the staff created exemplified the highest form of professionalism in which staff members, including the leaders, were accountable to each other. Mr. N, in his description of IHS, reported: “Our current overall organization, including our professional development program, is based on our ongoing evaluation of student performance and faculty effectiveness and reflects an evolution over time” (Nadelstern et al., 2000, p. 265-266).

Accountability in the Bronx region was a primary concern for Mr. N and his staff. He felt that the lack of accountability was due to the structure of the Department of Education where everyone was responsible for a small piece of everything but was accountable to no one. In a phone interview (February 4, 2004), he reiterated his belief that adults rather than kids should be held accountable:

There is the threat of accountability; but, thus far, I don't see any accountability. In the past, only kids were accountable. No one else is accountable. So, I don't see it. People make mistakes, and I don't see anyone losing their jobs. . . yet. Maybe it'll happen as a result of whether kids are succeeding or not, and that's useful accountability.

In Mr. N's two previous contexts (IHS and the Bronx small schools), authority and accountability were the responsibility of an empowered staff given resources, authority, and responsibility to create, implement, and assess their vision. The Central Department of Education, in contrast with Region 2's reform effort, separated resources and authority from responsibility and accountability. Forced to dismantle bureaucracy by centralizing authority, viewed by Mr. N as an inherent contradiction, he was obliged to take on the responsibility of holding staff accountable to policy that they had not created. The kind of organic accountability that characterized IHS, and more recently the Bronx small schools, was difficult to realize in the Bronx region where policy was imposed and staff, used to a more traditional structure, found themselves overloaded trying to implement a new system with very limited time and resources.

M. D. Lambert and Gardner (2003) proposed the following 13 guiding principles for constructivist school districts:

1. Promote and model the behavior and informed decision-making processes that contribute to students and adults participating effectively in an equitable democracy,
2. Provide resources and collaborate with schools and the community to identify shared values and create compelling visions, mission statements and unifying purposes,
3. Engage in equitable large-scale devolution of authority, resources and responsibilities—all within a coherent district context,
4. Buffer, navigate and mediate between state and national mandates and constructivist principles of learning and leading—advocating for policy change and waivers when needed,
5. Design policies, procedures, and structures that pass the “enabler test” (being congruent with shared values and consistently supportive of teaching and learning),
6. Create personnel policies and practices that nurture the continuous development of all personnel, from recruitment and induction through engagement in varied leadership roles,
7. Collaborate with schools in creating and protecting prime time for professional development and other forms of collaborative and collegial interaction,
8. Develop information and technology systems that support administrative and accountability functions but are designed primarily to facilitate instruction, communication and decision-making,
9. Model and support the collaborative strategies of a learning organization at all levels (classroom, school, district, school board, community),
10. Move beyond condescension and confrontation toward interest-based collaboration in relationships with unions and associations,

11. Establish a comprehensive guidance system that attends to the “protective factors” needed to build resiliency as well as the academic needs of all students,
12. Use assessment and accountability tools and approaches that are congruent with constructivist learning,
13. Encourage well-designed classroom and school-level innovation, collaborate in program assessment and systematically facilitate the scaling-up of promising practices. (p. 188)

The two researchers observed most of these principles in the structures Mr. N set up in the three contexts that were studied. They served to empower all levels of constituents. In each of these contexts, reform efforts created interdependent learning communities where small teams of teachers or administrators were responsible and accountable for manageable numbers of students (teachers or administrators). The focus was on the development of instructional strategies that strengthened student language and literacy. At IHS, staff determined their own course of action that led to student development and empowerment. In the larger reform efforts of Region 2; external influences pressed Mr. N to assume more authority, and the instructional strategies used to promote student development were more defined. In this context, the point of entry instructional model developed by Mr. N delineated the components of a balanced approach to learning. With the need to transform a series of low-performing high schools, middle schools, and elementary schools into successful learning communities; accountability became a major focus, at times subsuming empowerment.

Conclusion

It is clear that the charismatic, constructivist leadership of Mr. N proved effective at IHS and in the Bronx small schools. In both of these contexts, Mr. N was able to attract and recruit staff who either already had a similar educational philosophy or who were willing to develop a shared vision. Thus, learning communities involving all levels developed were supported and protected. As deputy superintendent in the Bronx, Mr. N was obliged to work primarily with inherited staff and was dependent in part on the resource allocations from the central Department of Education. Staff buy-in of initiatives was more difficult, and lack of control over resources limited empowerment. These factors affected Mr. N’s leadership.

While theories of charismatic, transformational, and constructivist leadership proved effective in describing Mr. N’s leadership style in the first two legs of his journey; they do not address the effects of context change, such as that encountered by Mr. N on the third leg of his journey, on subsequent leadership practices. The theories described in this paper do not directly address the dilemma that Mr. N faced in the Bronx Region, a situation where the leader’s vision clashed often overtly with the context.

The perspective of situational leadership theory can be employed to understand leadership practices in different contexts. Situational leadership behavior is conceptualized as an interaction between style and various situational factors (Hersey & Blanchard, 1987; Korten, 1968). In the Hersey and Blanchard model, task and relationship dimensions of leadership behavior are used to describe leadership in different situations, where the situational variable relates to the maturity or developmental level of group members. Ideally, as the members of the group become more knowledgeable and experienced; a leader gradually relinquishes control, becoming less directing and more delegating. The situational approach, then, views leadership as a dynamic process that ideally adapts to context changes. Perhaps Mr. N’s frustration with the

Bronx regional staff can be attributed to his inability to effectively adapt his democratic, delegating leadership style (that had proved so successful in IHS) to a different context.

Yet, situational leadership theory alone does not leave room for the current focus in the leadership literature on the visionary leader. Vision is the first standard of the National Policy Board for Educational Administration's (2002) *Standards for Advanced Programs in Educational Leadership*. The conceptualizations of leadership and leadership programs need to address what occurs and what needs to occur when vision clashes with the context. No amount of training can prepare a leader for the unexpected. Thus, leadership programs independent from the school system need to provide a critical reflective support group as new leaders are appointed to administrative positions. In the case of Mr. N, his subsequent promotion impedes us from determining how he would have addressed the challenge over the long term.

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Public Library Leaders' Perspectives on Followership: A Transnational Study

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This paper presents new findings on public library leadership from interviews with library leaders in Ireland, Britain, and the United States. The study takes as its unique focus the perceptions of currently serving library leaders on the topic of leadership and followership in public librarianship. The findings illustrate the importance of the library leaders' role to followers in their organizations. This paper highlights aspects of the leader-follower relationship including team leadership, leader as teacher/mentor, leader as emotional/psychological supporter, leader as role model, leader attitudes to in-house challenges, and the nurturing of new leaders. Varying leadership styles have been practiced by leaders, with no universal or common traits even within national boundaries, for developing successful leader-follower relationships.

This paper presents new findings on public library leadership based on empirical data from in-depth interviews with 30 senior library leaders in Ireland, Britain, and the United States. In particular, the paper focuses on these library leaders' perspectives of their followers and the impact they have both on their followers and on the broader society they serve. This study is exploratory because of the paucity of previous research specifically addressing the issue of leadership in the public library.

Library leaders have a wide ranging impact on society but have been largely overlooked as the subject of serious study. Prior to this study, only one small interview-based study and five survey-based studies have been undertaken on public library leaders/leadership, all in North America. No such study on the topic has been researched and published outside of North America.

Within the limited body of literature on leadership in librarianship, many scholars and practitioners have emphasized the centrality of leadership to librarianship. Knott (1997) suggested, "the practice of librarianship is fundamentally a process of leadership" (p. 30). Susan Goldberg Kent (1996), an American public library director, contended that one of the requisites for public libraries to "survive and prosper" is "solid and sound leadership" (p. 213). She

believes that the public library needs reasoned, outspoken, and well articulated leadership if it is to flourish in a digital future. Goldberg Kent, however, believes that true leadership is difficult “in an institutional culture that abhors change, which is not an uncommon situation in many public libraries today” (p. 213).

Spitzberg (as cited in Bass, 1990) observed that the meaning of leadership may depend on the kinds of institutions or services in which it is practiced. Bryson (1999) contended that leadership effectiveness in information services, for example, can be measured by the extent to which the work units and the information service can achieve their objectives. She perceives that effective leadership skills are needed to reconcile the goals of management and individuals with those of the information service and its parent organization. The public library service, the context of this study, is much broader than just an information service, however. As a public library leader, Goldberg Kent (1996) asserted that public libraries assist the transformation of society.

Wedgeworth (1989) similarly found that library leaders endeavor to make a difference rather than just be the head of something. Bechtel (1993) suggested that librarians tend to serve the professional needs of others rather than their own work-related needs. Berry (2002) asserted that what distinguishes true leaders among librarians is that not only do they have strong convictions, they pursue them on the job. “They hold passionately strong beliefs about libraries and library service. They are driven by their professional concern that no one should be denied information because of his or her point of view, age, or nature of the information” (Berry, p. 8). Illustrating such a commitment, the director of another American public library, Liz Stroup (as cited in Sheldon, 1991), for example, stated: “Client-centred service is my passion I want every client treated as if she were my mother” (p. 20). Sheldon suggested that librarians, along with other not-for-profit professionals, share an advantage over leaders of commercial organizations whose bottom line is commercial profit; “library leaders have a deep and intense belief that what they are doing is not only satisfying, but deeply significant” (p. 11).

Glogoff (2001) surmised that the path of librarianship over the first 2 decades of the 21st century does not guarantee that libraries will retain the esteem traditionally held for them by the public. He argued that it requires skillful leadership to pilot a course through the enormous challenges looming ahead. Similarly, Schreiber and Shannon (2001) suggested that libraries now require leadership which moves away from the bureaucratic paternal/maternal model of the past to a more fluid, engaging, and collaborative one. Needham (2001), likewise, contended that libraries need to engage in institutional change because they “need to make the leap into this new world, to continue to contribute to the intellectual growth of our communities” (p. 134).

This study of the perceptions of senior public library leaders, across national boundaries, makes a theoretical contribution not just to leadership in librarianship but also to the broader theory of library and information science and, in a limited way, to the broad corpus of literature on organizational leadership. The main aim of this work is to contribute to the existing body of literature on the topic of senior library leadership, addressing the acknowledged gap in that field, as the literature on librarianship traditionally has given very little attention to leadership within librarianship (Riggs, 2001; Winston & Neely, 2001).

Methodology

The key research question in this study focuses on senior-level public library leaders in Ireland, Britain, and the east coast of the United States. Thirty top-level public librarians were

selected for inclusion in this study. Initially, the idea of investigating the perceptions of most (30) Irish city/county chief librarians was considered. In order to broaden the scope of the study, however, it was subsequently decided to include an investigation of library leaders outside Ireland. A decision was then taken to keep the same original total target number (30), but to broaden the geographic context by selecting 50% of the interviewees from outside Ireland. While the interviews were subsequently spread over three countries; half of them, rather than one third, were conducted in Ireland for the sake of convenience. The rationale for choosing leaders in Ireland, Britain, and the United States was threefold: (a) their institutions have a long established and historical culture of providing public libraries funded by public money; (b) they, along with their peer institutions in other countries, constitute an under-researched group; and (c) there was convenient access for the authors. The choice of librarians was influenced by factors such as (a) their relatively high profile nationally as reflected by their career experience, seniority, public networking profile, and organizational role; (b) geographic convenience to research itineraries undertaken by the authors; and (c) availability and cooperation of the library leaders.

Initial contacts for inclusion in the study were made via e-mail. A criterion of qualifying as a research interviewee was that the librarian had to be the top leader, or at least the equivalent of a deputy leader, serving in a public library service. The 30 interviews were conducted in the countries where the participating library leaders worked. Thirty structured questions, based on a review of the relevant research literature, were asked of each of the 30 participating leaders (Appendix A). Most interviews for this study approximated 1 hour; the shortest was 40 minutes and the longest 90 minutes. The 30 interviews were recorded on tape and transcribed to a word processor for subsequent analysis. For analyzing the responses, a grounded theory approach to categorizing the data was used (Easterby-Smith, Thorpe, & Lowe, 1991; Glaser & Strauss, 1967). Coding in the current study included indexing the interview transcripts; reducing the data to taxonomic classes and categories; and, in some cases, expanding and teasing out the data in order to formulate new questions and levels of interpretation. Segmenting and coding the data enabled the authors to think about the data, to break the data apart in analytically relevant ways in order to further scrutinize the data. This coding procedure assisted the authors to think creatively when using the data and generating theories and frameworks. The use of rubrics and color codes facilitated the subsequent task of data reduction. From this process, nine broad thematic areas emerged from the findings (Appendix B). This paper, in particular, focuses on one of these themes: the perspectives of the interviewed library leaders on followers.

Results

Leadership and Followership

Arguments underlining what are effectively symbiotic relationships between library leaders and their followers are at the core of the views expressed by the interviewees of the current study:

People lead only because other people are willing to be led. (British librarian)

Leadership is a very broad responsibility. Successful leadership is partly the achievements of the organization, generally, because people just saying, "I am your leader" does not motivate others to action. People down the line do not change behavior because you tell them to; they change because they want to. Followers, however, need the

support of a leader to engage their enthusiasm. You do not achieve a service by telling people to do things; you achieve it by getting people to want to do it. (British librarian)

The respondents typically reported that leading by example was a core function of a leader, with one respondent asserting that “leadership *is* example.” The interviewees emphasized the importance of good leader-follower relationships and believed that followers increasingly put aside their self-concerns for the greater goals of the organization.

As well as the leader, followers too have a responsibility to the organization. It is not only the leader’s relationship with staff that matters; all staff must also cultivate positive working relationships with colleagues at all levels. Followers also need to use their initiative and understand that leaders too can have a bad day. (British librarian)

The empowering of followers was understood to bring many organizational advantages such as promoting a culture of self-leadership, effective self-regulation, and the establishing of learning oriented cultures. Respondents also suggested that leaders who are selfless towards followers should stand out as leaders:

Leaders will be good leaders if they don’t care who else gets the credit. If good leaders are not concerned about gathering personal plaudits, they should excel in leadership. (American librarian)

Another librarian suggested that followers are influenced by how they interpret their leader’s commitment and emphasized the importance of front-line followers/staff:

The service is front-line staff. When people walk into a service, the most important person they meet can be the caretaker, the floorwalker, or the library assistant on the front desk. It is important to realize that these are the people who deliver the service and, thus, the bread and butter of the service. (Irish librarian)

Another interviewee pithily expressed the same emphasis on front-line staff:

Our front-line people are our service. (Irish librarian)

While no specific question on the term *followers* was included in the interview guide, deliberately allowing respondents to introduce this axiomatic corollary to leadership whenever they felt it appropriate in their responses, all respondents spoke of leadership in the context of followership. Overall, the librarian leaders acknowledged that followers acquiesce or cooperate only because they want to and are thus willing to change behavior, but they emphasized that this drive has to come from the leader in order for people to want to do it.

Team Leadership: Sharing Authority with Followers

Eight of the participants in this study proffered ideas on devolving authority to their more senior and qualified staff. This formed an integral part of their leadership philosophy:

I don’t think I get paid for my opinions. I get paid to ensure that I get the maximum contribution from the team, so it is not just I who is providing the library service. I have a team to do that, and the service is enhanced because I get them to contribute to the ongoing delivery of service. (British librarian)

I believe in teamwork, and I believe that the staff is the best resource an organization can have. (Irish librarian)

The leader and the leader’s team are important. If a good leader does not have the team working with him or her, the leadership will fail. Both leader and team complement each other. A good leader is essential for any successful organization. Good leadership depends on motivation too; and, of course, if you are a good leader, you are a good

motivator as well. It is a two-pronged operation. A good leader has to work the organization well but needs to have good staff as well. (Irish librarian)

The librarians insisted that leadership is more than just one person at the top, since organizational culture is not so much determined by the leader as much as by the leadership. The theme of leadership as layered throughout the organization was espoused by the respondents; as they believed that unless leadership applies in other areas of the organization, it is not going to work. A leader of a section can determine the success of that section. This strong emphasis on the team approach ensures maximum contribution from the team so that it is not just the single apex who is providing the library service.

While the librarians believed it was important for them to set the tone and set the style, it was also seen as important that there was a team-based approach to leadership throughout the organization and at all levels. This meant devolving authority to the appropriate level which in turn requires people to actively manage and apply leadership to their own teams. As pragmatists, the interviewees acknowledged that the leader cannot be everything and that it is very important that there are different people in the organization contributing their own specialities. The respondents also argued that excellence on each side depends on persons on both sides, and they added that a good team without a good leader will not succeed.

Sometimes, the team approach can be overlooked, however, due to situational circumstances:

I do admit that, due to time pressure, sometimes, it is easy to overlook the inclusion of input from departmental heads when drawing up policy. The time has long passed when you can draft the policy and circulate it as the policy for everyone to implement. That will not work. (Irish librarian)

As the public library service has a layer of professionally qualified staff, respondents articulated that it is important for all professionally qualified people in the organization to have their contributions respected and taken on board and to have a say in the running of the organization. The following quotation does not refer to formal teams but suggests that, to be effective, a collegial approach has to be founded on genuine devolution of power, particularly to professional library staff:

Collegiality is the most important aspect of organizational culture. Whether we like it or not, there is a two-tier structure in libraries between professionally qualified people and the rest. But, if you make it a necessity that people in positions of authority within the library have to have a professional qualification, they in turn have to be respected for their professionalism, and they have to have a say in running the organization. (Irish librarian)

The Leader as Teacher/Mentor for Followers

All 30 respondents concurred that teaching was one of their leadership functions. While 7 respondents who interpreted teaching as a formalized process said they did not teach; on closer examination of their replies, however, a difference in semantics was evident rather than a difference in views when compared with the views of the other 23 interviewees. The 7 librarians qualified their initial "no" responses when they indicated that they were all involved in informal teaching such as providing support for staff learning and training, delegating training to another party, motivating, encouraging, establishing learning centers, or simply leading by example.

The 23 leaders who affirmed that they have a teaching role; whether through example, mentoring, guiding, informing, coaching, or motivating; described their teaching methods as informal. Their views on their teaching role ranged from vital to quite laissez-faire approaches such as facilitating learning through conversation, allowing individuals to make mistakes, providing resources for apprenticeship, passing on experience, or allowing space for personal development.

Of course, of course, leaders must teach. Leaders must teach everyday, every minute; that is what training is about. I am using teaching in the broadest context; that is, creating an environment where people exercise good judgement and exercising good judgement relies on a good knowledge base. It is important for us as leaders to know when we do not have the capacity or knowledge base and to know when we have to look for expertise somewhere else. Formal teaching is appropriate if the leader is good at it, but not every leader is. Where they are not good at teaching, leaders should not do it but should delegate it. (American librarian)

A leader is a teacher; that is what makes a leader good. That's why I believe that telling stories is important. My stories tend to entertain, but they also endeavour to teach. (American librarian)

We have teaching on the job, definitely. We have that and need that. The day a leader stops being a teacher is the day he or she better get out of the business. (American librarian)

Another cohort of 7 participants specifically referred to mentoring as part of a leader's teaching role. All participants affirmed that, at the minimum, they are all engaged in informal teaching of staff. The following quotation is a sample view from those who saw mentoring as an aspect of their teaching:

The role that I have is a mentoring role, wherein I provide support and encouragement. I know mentoring is a formal process often done externally to the organization; but I do try to use that mentoring approach for senior staff, particularly with management skills where it is about helping them to develop their expertise as managers. (British librarian)

Leaders as Emotional/Psychological Support for Followers

Among the 30 leaders interviewed for this study, 20 gave an unqualified reply that leaders should act as emotional/psychological supporters of followers. Another 6 articulated qualified approval for such support, while 4 believed that leaders should not become involved in providing emotional/psychological support to followers. These 4 librarians focused on the negative side of the emotional health of staff and indicated that they would refer any staff experiencing emotional or psychological difficulties to external counselors.

The two-thirds majority who believe that leaders should support the emotional/psychological needs of staff argued that such support is also in the interest of the organization.

In order to inspire, one needs to take into account both emotional and psychological factors. Everyday issues, like how people relate to an organization, are very much based on emotions. (British librarian)

If you do not nurture the emotional well-being of followers, you cannot expect staff to work well. (American librarian)

Yes, leaders certainly should provide emotional or psychological support to staff. I have no doubt about that. If you are going to give people support psychologically, you are primarily doing it from the humane point of view. Secondly, however, you are doing it for the good of the organization also. (Irish librarian)

Yes, I have given emotional and psychological support at times, and it is part of having an open relationship and a participative style of management. I don't think leaders have much choice at times. Staff support goes with leadership. I believe that if a member of staff has any problem, they should be able to come in and talk about it without in any way feeling that it can have negative repercussions for them. (Irish librarian)

The Leader as Role Model to Followers

Twenty-seven of the interviewed leaders believe they are role models for their followers. Most of those were confident that their own behavior influences the behavior of staff.

As a leader, one does need to be a role model. People will observe and then justify their actions by the way you behave. You have to be honest with staff. You need to be consistent and fair. If you are being fair to people, that means that rules apply to senior staff as much as to anybody else. People justify their own actions by emulating the behavior of senior staff. (American librarian)

I am a role model. There are aspects of a person's personality, not necessarily the total personality, that can be modelled by others. I hope that what I consider to be the most important qualities for a leader are the qualities that someone might follow from me as a role model. (American librarian)

An interesting twist on role modelling is where associated pressures on library leaders, such as working and attending functions after normal working hours, can act as disincentives to potential library leaders. One of the interviewed leaders spoke of a talented member of her staff who enjoys a better work-life balance than she does and who, like other followers, can "see the toll pressure takes on their leader" such as stress and other health problems. That participant concluded that such followers are "too smart to want a leader's job."

Role Modeling Modifying the Leader's Own Behavior

Twenty-six of the respondents believed that their role-modeling function had an effect on their own behavior. Typical responses referred to the leader being aware of his or her own behavior and speech, being more considerate of the effect of one's own behavior, being conscious of giving example, curbing one's own negative behavior (i.e., impatience or frustration), being aware of influence on followers, and exercising openness.

Yes, role modeling does change a role model's behavior to the extent that one always tries to lead by example. I should not expect people to do what I would not do myself. (British librarian)

If you are aware that you are a role model, you have to set your own standards higher and consistently live by them. Otherwise, you are trying to get away with things that you don't think are appropriate for other people to do. Because people are all the time observing you as a role model, you should always be aware of the role you are playing. (British librarian)

Because of work, you can't be yourself. You are not entirely free. You have to be conscious that what you do and say impacts on other people. You are playing a role. You are not self-employed or a farmer in his own field. You have responsibilities. (Irish librarian)

Overall, the study findings show that most leaders consider themselves to be role models, and they generally acknowledge that their own behavior is influenced by playing the part of a role model to their followers. In summary, because of heightened consideration for and awareness of their followers and their perceived influence on their followers, leaders generally modify their behaviors to act as role models within their organizations.

Leaders' Attitudes to Challenges from Followers

While 28 of the 30 interviewed librarians said they tolerate in-house dissent, most respondents qualified their answers. Some emphasized the difference in connotations of the word *dissent*, ranging from ongoing negative behavior to the mere expression of a different point of view. While the latter behavior among followers was generally seen as positive, more negative behavior might require asking a member of staff to seek employment elsewhere.

We encourage independent thinking, we encourage negotiation, but I don't believe we tolerate dissent. If there is dissent that gets in the way, we resolve the dissent. The organization does what is in the best interest of the organization. If an individual is dissenting from that, we invite the individual to either buy into what the organization is doing or to find another job. (American librarian)

Overall, the interviewed librarians expressed that while they tolerated dissent, they might not encourage it. Some suggested that dissent cannot be avoided but can be useful in moving to new positions.

I do tolerate dissent. . . . There are people who can and do change my mind. (British librarian)

You have to have a healthy dose of disagreement and dissent in an organization. If dissent was stifled, the organization would be less creative. (British librarian)

I have no problem with people venting opinions that are different to mine. People are human beings and, therefore, react differently at different times. You must allow for contradictory views, even if held by the same person at different times. An organization is healthier if opposing views are aired. (Irish librarian)

Dissent and challenges to one's views are important. You can expect to have to argue your case, and you can expect to be challenged, and that is a good thing. In a humbling way, one can start off with very fixed ideas; and it is only with experience that you find there are solutions out there that possibly were better than the ones you thought initially. Good management practice and experience show that it is better to encourage challenges. (Irish librarian)

Nurturing New Leaders among Followers

In the current study, only 2 interviewees did not believe in nurturing new leaders. The majority expressed views in support of training potential leaders. Eighteen said that elements of training and related opportunities were required for nurturing leaders. Such factors would include formal leadership training programmes, mentoring and shadowing, providing experiential

opportunities in leadership roles, providing space for experimentation, advising, facilitating job mobility, delegating within parameters, and placement in project teams.

In everybody there is ambition. If somebody is committed to what they are doing, I would see the leader's role to encourage them and to facilitate them and to broaden their experience in all aspects of service. Potential library leaders need to have experience in dealing with personnel, finance, and people services as well as spending a while in library administrative headquarters, because that is where a lot of those services are coordinated. (Irish librarian)

We have done interesting things in the area of nurturing new leadership. A few years after I arrived here, we started to build our change process; and the change process was designed to change the organization, to turn it on its head, and to rearticulate what the library was about; and, with that, to impose a better understanding of what interactive leadership was and how people could get involved. We created what we call the change team. The team had 18 people on it selected from all parts of the organization; and, for the most part, people were selected because we believed they had leadership potential. That has become an interesting nurturing exercise, as many of those people have gone on and have been promoted. And so, the process of nurturing the next generation is ongoing. (American librarian)

Five leaders mentioned the importance of tolerating mistakes by followers:

Quite often in organizations, people are afraid to take risks because they work in a blame culture. If you can get rid of that and say, "Come on, we will give it a go," and if it goes wrong, nobody is roasted over the coals, because they did their best. And, if 90% of it goes wrong, but 10% of it is right, that is a result. It is about having that entrepreneurial spirit in the organization, especially when it is not for profit. (British librarian)

You make opportunities available for people to develop and that means that you allow people to make mistakes. Making mistakes is not a hanging offense around here. If people are not given room to develop and try things out, they will never develop. (British librarian)

Interestingly, another library leader emphasized that the driving force for an individual's leadership must come from the potential leader rather than from the existing leader, even in an environment that encourages new leaders:

There is no need to spoon-feed future leaders, as it is essential that leaders should be self-driven. It is their responsibility to develop and push themselves if they are to be worthy leaders. Yet, for future leaders, bringing people along is a leader's responsibility. Professional training and facilitating participation in workgroups and in research should form part of this. (Irish librarian)

The encouragement of potential leaders was also articulated by another leader: "When you have a staff member whom you believe has potential to move on; and, if you don't nurture them or steer them in a better direction, then you are a bad leader" (Irish librarian)

One librarian cautioned that leaders must guard against nurturing only clones of themselves:

It is important to ensure that you are not just encouraging people who are like you, deciding you want that person in order to replicate yourself. It is also important to have people who are not like yourself as well and to be aware of that. You have to stop and ask yourself, "Why am I promoting this person?" You need to be careful as a leader that you are not excluding people because they are different to you. (British librarian)

Two respondents, however, admitted that they would not encourage talented staff to progress their careers if it meant losing them from their current organization.

Discussion

In the late 20th century, many researchers viewed leadership as an act or behavior executed by leaders in order to effect change in a group. Such behavior may involve praising or criticizing group members and showing consideration for their welfare and feelings. Other researchers (Burns, 1978; Stark, 1970) conceptualized leadership from a personality perspective, contending that leadership is a combination of special traits or characteristics possessed by individuals which enable them to influence followers to accomplish tasks. Scholtes (1998) suggested a broader view: "There is no formula for leadership. Leadership consists of more than the approaches, capabilities, and attributes talked about in books" (p. 372). He added, "Leadership is an art, an inner journal, a network of relationships, a mastery of methods, and much, much more" (p. 372).

The respondents in the current study saw no universal traits or absolutes in the skill or talent of leadership. They shared the view that leadership is about influence and typically described leadership as "bringing people with you." They equated leadership (phenomenon) with motivation, just as they described the leader (agent) as a motivator. The interviewees also suggested that leadership can be viewed as an instrument of goal achievement in helping colleagues to achieve shared goals. They proposed that leadership is about transforming followers, creating visions for targeting collective energies, and articulating for followers the methods for achieving goals. The librarians asserted that an essential element in getting people to change is to offer them attractive goals or missions. Leaders who are successful in motivating employees provide an organizational environment in which appropriate goals or incentives are available to satisfy many personal needs such as desire of appreciation or desire to make a useful contribution which coincide with organizational needs.

In the current study, leadership was also seen to involve influence, as leadership is concerned with how leaders affect followers. The librarians saw leadership as the exercise of noncoercive influence to coordinate the members of an organized group to accomplish group objectives. They proposed that leadership occurs in groups or a social context where individuals are moving towards a shared goal. Leaders provide direction, guidance, and activity structuring for a collective; in turn, members of a collective grant permission to the leader to influence them, thus conferring legitimacy on the leader. They presented that leaders are not above followers or better than followers. Similarly, Kouzes and Posner (1993) argued that leadership is a reciprocal relationship and that being a leader means being a part of, not apart from, followers. Olsson (1996) also declared, "The good leader has an absolute recognition of his dependence on his staff and vice versa" (p. 32).

In relation to team leadership, the librarians argued that a leader alone cannot create and communicate an organizational vision. They asserted that visions emerge from interactions between the leader and the top management team. Ireland and Hitt (1999) also contended that members of an organization's top management team must be empowered to formulate and put into effect strategies and courses of action to accomplish organizational purpose and goals. These sentiments reflect many views promoted in recent literature, for example, on distributed leadership (Euster, 1990), on participative and consensus-building leadership (Broughton, 1993), in particular where teamwork and partnerships (May & Kruger, 1990) are emphasized.

Interestingly, the leaders' views on involving followers in shared management were espoused by all 30 participants.

When discussing the provision of emotional/psychological support, 26 among 30 respondents espoused a holistic approach to supporting followers, in varying degrees, including personal support, since "People do not leave their private lives outside the door when they come to work, they bring them with them." They advocated that leaders should offer psychological support to followers. This reflects Olsson's (1996) research which contended that rich psychological support competencies in a leader are required to nurture full commitment from followers to organizational vision. Strebel (1996) also emphasized senior management's obligations to psychological and other personal support for followers. He suggested that the lack of proactive personal compacts, starting from the top of organizations, is sufficient to prevent the implementation of any strategic initiative. Strebel described a psychological dimension of implicit relationships and mutual expectation and reciprocal commitment that arise from feelings like trust and dependence between junior and senior. He suggested that an unwritten psychological dimension underpins an employee's personal commitment to individual and company objectives. While Strebel underscored that managers expect employees to be loyal and willing, employees determine their commitment to the organization along psychological dimensions of their personal compact and through their perceptions of what recognition, financial reward, or other personal satisfaction they will receive for their efforts.

The librarians also saw openness as part of people-centered leadership, and being receptive to challenge was seen as part of this openness. This has parallels in double-loop learning which accepts and reacts positively to conflicting requirements (Argyris & Schön, 1996). Schreiber and Shannon (2001) reported that in the field of librarianship, interpersonal confrontation is often experienced as an opportunity for courageous action but that learning confrontive diplomacy is a challenge many want to avoid. They suggested that library administrators can support leadership in their libraries by taking a personal stand based on principle, encouraging others to do the same, then listening well and working toward resolution.

Despite varying views on attitudes towards organizational dissent, all 30 librarians confirmed the existence of follower dissent as part of organizational behavior. The findings in the study largely reflect the literature, supporting the organizational practice of accommodating productive dissent. Useem (2001) attributed much of leadership and organizational failure to situations where staff are too intimidated or otherwise reluctant to challenge their leader. Bennis (2000) also surmised that "in the 21st century, the laurel will go to the leader who encourages healthy dissent and values those followers courageous enough to say no" (p. 175).

Implications for Practice

From the current study, a number of findings highlight the need for better practice in the field of library leadership and management:

1. Nurturing new leaders should begin at the recruitment stage.
2. Risks should be taken to appoint applicants who show flair, vision, and dynamism rather than those who continue the status quo.
3. Career paths of middle-management followers who show aptitude for leadership should be supported and allowed to flourish and develop.
4. Followers should be developed who are original, innovative, people-focused, and not centred in maintaining the status quo.

5. Leadership apprenticeship opportunities lessen the need for new leaders to engage in gratuitously steep learning curves.
6. A transformational approach to leadership should be adopted rather than a transactional approach.
7. People-centred leadership should be participative, encouraging, supportive, empowering, democratic, consultative, proactive, approachable, and communicative.

Ideally, career paths of middle-management followers, who show aptitudes for leadership, should be supported and allowed to flourish and develop. For staff and organizational development purposes, chief librarians should ensure that sufficient attention is given to developing followers who are original, innovative, and people-focused and who are not centered on maintaining the status quo among other leadership attributes. Potential leaders should also be involved in ongoing strategic discussions and decision making to counteract the frequency of cases where new leaders are thrown in at the deep end without adequate training. Lack of apprenticeship opportunities was reported by a number of respondents, forcing them to face gratuitously steep learning curves after their appointment, which also undermined their self-belief as leaders especially in their first year after appointment.

Nurturing new leaders should begin at the recruitment stage. Selection panels should take risks to appoint applicants at the management level who show flair, vision, and dynamism rather than those who proclaim status quo approaches. Public libraries should not be seen as refuges for the promotion of followers who are merely tried and trusted or because they have spent a lot of time on the library payroll. Recruitment should allow for views that are at variance with prevailing views. Nurturing leaders also requires sharing public events with potential leaders. Other management or qualified staff should also be involved with external contacts as part of ongoing training.

Finally, library leaders might usefully adopt a transformational leadership approach, thus supporting and developing staff through genuine consideration of individuals' needs then aligning individual and organizational needs as followers are inspired to transcend self-interest motives to achieve high standards in all activities. As transformational methods challenge leader-centric traditions, modern-day educated professionals, who now see themselves as colleagues rather than subordinates, should thus be encouraged to become more autonomous to manage growing organizational uncertainties resulting from the accelerating pace of environmental change to produce a new generation of effective library leaders.

Conclusions

Interestingly, the interviewed Irish librarians appeared to share more leadership traits with their American counterparts than with their British counterparts. One example of this was where all the Irish and American respondents reported that they allowed their followers to communicate directly with news media about niche library activities. Contrasting with this, the British respondents reported that they would not allow their followers to communicate directly with the media.

A contrast between the three nationalities was also evident in relation to the input of followers in determining the prevailing cultures in their libraries. American respondents said that the head librarian and followers collectively determined the culture of their libraries. The Irish librarians expressed that it was the chief librarian and not the followers that determined the

culture. In contrast, British librarians reported that local authority officials determined library culture, rather than the head librarian or his or her followers.

Another distinction based on nationalities was the articulation or nonarticulation of humor as a catalyst of optimum leader-follower relationships. One in three of the Irish respondents, all male, spoke of the benefits of having humor and happiness as part of the culture of their organizations. Contrasting with the Irish examples, none among the 15 American or British respondents raised the issue of humor.

All leaders acknowledged the importance of followers. The participants discussed leader-follower interdependence, admitting that leaders exist only because other people are willing to be led and that their own effectiveness is only as good as the support they receive. The library service was seen by the respondents as dependent on front-line followers, making a partnership with staff central to library leadership since it is followers who deliver the service. More than one quarter of the respondents said they deliberately shared leadership functions with their experienced staff, insisting that leadership is more than just one person at the top, since organizational culture is not so much determined by the leader as much as by the leadership which is layered throughout the organization. They also believe that unless leadership applies in other areas of the organization, it is not going to work, as a leader of a particular section can determine the success of that section. This did not mean that they did not set the tone and set the style but wanted a team-based approach to leadership throughout the organization and at all levels since the leader cannot do everything, and it was very important to have different people in the organization contributing their own specialities.

Finally, all 30 respondents espoused people-centered leadership for dealing with followers. Describing this style, interviewees used terms such as participative, encouraging, supportive, empowering, democratic, consultative, proactively approachable, communicative, open, collegiate, or team-leader. Almost all believed that integrity was an essential part of people-centered leadership; some because it was good in itself, others because it produced results by motivating staff, because "people are not going to follow somebody they question." In summary, all interviewees underscored the centrality of effective followership for effective organizational leadership.

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Appendix A

Interview Guide

1. “Leadership takes precedence over all other factors in determining organizational success” (Tichy & Cohen, 1997). Do you agree?
2. Do you believe that the organizational *culture* of your overall library service is largely determined by the leader?
3. What aspects of the organizational culture of your organization do you regard as most important?
4. What contribution are *you* most proud to have made to your organization?
5. How would you describe your style of leadership?
6. What qualities are most required by leaders in the field of public librarianship in general?
7. In your opinion, what are the worst traits/practices of a bad leader in public librarianship?
8. (i) Do you consider yourself to be a role model for your staff?
(ii) If yes, how does playing a role model influence your own behaviour?
9. Do you think a leader’s *personal* integrity (as a role model) is important for leading staff?
10. What links do you see between leadership and trust?
11. Should leaders act as emotional/psychological supporters of staff? If yes, why?
12. Do you regard Teaching as one of the responsibilities of a leader? If yes, to what extent?
13. Do you tolerate/encourage dissent?
14. Do you hold formal meetings with staff? If yes, how frequently?
15. Does a leader’s power, isolationism, and autonomy prevent him/her from receiving direct feedback or positive criticism from staff? (Kaplan et al.)
16. What are the major constraints on your ambitions to develop the service?

17. How might future public library leaders be nurtured in the organization?
18. What are your general views on communication within an organization?
Should a leader involve himself/herself with direct communication with frontline staff?
19. Do you think chief librarians should have a high profile in news media?
20. Would you authorize heads of departments to speak to the news media?
21. Do you encourage all heads of departments to participate in the formulation of policy?
22. What major effect has automation made on leadership?
23. Do you believe leaders should endeavour to occasionally meet staff on *social* occasions?
If yes, what hierarchical levels should leaders socialize with?
24. In your view, what influence (if any) has a leader's gender on role of leadership?
25. Did you have a mentor in your earlier career? If yes, what was the gender of the mentor, and what influence had the mentor on you?
26. Briefly, what is your vision for improving public library services within the next five years?
27. What prompted you to take up a career in librarianship?
28. Why do you remain in the career of librarianship?
29. Have you any additional comments on leadership that you would like to add?
30. Finally, stepping into the area of informed speculation, to the mid-21st century: How would you speculate that library services might best be made available to citizens in 2050?

Appendix B

Thematic Summary of Interview Findings

Themes	Illustrative finding
Followership is an axiomatic element of leadership	<ul style="list-style-type: none"> • “A good team without a good leader will not succeed”
Leading by example	<ul style="list-style-type: none"> • “Leadership is example”
Team leadership	<ul style="list-style-type: none"> • “The leader cannot be everything”
The leader as teacher/mentor for followers	<ul style="list-style-type: none"> • Teaching seen as a leadership function by all interviewees
Leaders as emotional/psychological support for followers	<ul style="list-style-type: none"> • “Staff support goes with leadership”
Leader as role model to followers	<ul style="list-style-type: none"> • Most believe leaders are role models
Role modelling modifying the leader’s own behavior	<ul style="list-style-type: none"> • “You are playing a role”
Leaders’ attitudes to challenges from followers	<ul style="list-style-type: none"> • “We encourage independent thinking”
Nurturing new leaders among followers	<ul style="list-style-type: none"> • “Leaders must not nurture only clones of themselves”

Practitioner's Corner

Uncertainty – A Fruitful Place to Be

Bonnie J. Straight

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Are you striving to minimize uncertainty in your organization? If so, you may not be fully utilizing the creativity of your people and may be missing out on significant opportunities. Uncertainty can be a fruitful place to be if you understand how to take advantage of it. This research note reviews some studies of uncertainty, transition, and not knowing and then examines some examples from Lithuania's transition from the Soviet Union to the European Union. These examples are from a case study of the development of organizational trust in a multicultural university in Lithuania (Straight, 2004).

Leadership in a Context of Uncertainty and Transition

Leaders of organizations often operate within a context of transition and uncertainty; the leaders are influenced by the context and, in turn, influence the context. Proponents of charismatic/transformational approaches to leadership have suggested that this approach is particularly suited to an environment of uncertainty and transition. Waldman, Ramirez, House, and Puranam's (2001) study identified the widely recognized behaviors of a charismatic leader including (a) articulating a vision and sense of purpose, (b) showing persistence and enthusiasm over the long haul, and (c) communicating high performance expectations. This study of financial performance, environmental context, and level of charismatic leadership found that "charisma predicted performance under conditions of uncertainty but not under conditions of certainty" (p. 134). Transformational leadership is composed of similar attributes and behaviors of charismatic leadership: (a) inspirational motivation, (b) idealized influence, (c) individualized consideration, and (d) intellectual stimulation (Arnold, Barling, & Kelloway, 2001; Bass, 1990, 1997). Den Hartog and colleagues (1999) suggested that, while the attributes and behaviors need to be enacted in ways appropriate to culture(s) in question, there is a common preference across cultures for charismatic/transformational leadership.

Hodgson and White (2003) claimed that a leader's role is not to reduce uncertainty but to increase the ability of organization members to work more effectively within it. Based on 10 years of study, they identified the following "broad strands of behavior that seem to help people cope with ambiguity and uncertainty" (Hodgson & White, p. 4). Some of the types of behaviors

were identified from observing children. Who are better mystery seekers than children? The authors suggested the following:

1. *Mystery seekers* are curious people who are attracted to areas that are unknown and to problems that appear to have no obvious solution.
2. *Risk tolerators* can make decisions when necessary despite incomplete information and will tolerate the risk of failure. They are not hampered by insufficient or ambiguous data.
3. *Future scanners* have the ability to question deeply and make links between apparently different pieces of information, while being constantly on the lookout for even the faintest signals of what the future might hold.
4. *Tenacious challengers* resolutely pursue difficult and challenging issues and problems. This skill is most often seen in inventors and start-up artists and is sometimes seen as the entrepreneurial part of entrepreneurs. They are at home with conflict.
5. *Exciters* create excitement and energy at work not just for themselves but enthuse others around them also.
6. *Flexible adjusters* have the ability to make adjustments in the face of problems and to be able to sell those adjustments to others.
7. *Simplifiers* are able to get to the essence of something and be able to communicate it to others in such a way that they not only understand it but become enthused and committed to it.
8. *Focusers* know what are the few most important things to do or keep a watchful eye on, no matter what else may be going on and however many options beckon. (Hodgson & White, p. 4, based on Figure 3)

In a case study that blended academic research and a real world organization, Simpson and Burnard (2000) proposed that effective leaders “must act believing the action to be correct not knowing (for certain) that it is” (p. 235). Such leaders need to be able to stay in the place of not knowing, a place of uncertainty and disagreement, and either enable others to work there as well or lead them to a place of knowing. These researchers made several helpful suggestions for “working in the place of not knowing” (Simpson & Burnard, p. 238): (a) emotions are important data, (b) boundary issues are important, (c) effects may be distant from their cause both in terms of time and space, and (d) learning never ends.

In an article summarizing key thoughts from speeches at The Strategic Leadership Forum in 1999, Grant (1999) described this knowing and not knowing in terms of jazz:

The essence of jazz is the combination of discipline and spontaneity: loose enough to permit innovation and individual variation but organized enough to permit integration and coordination. . . . The jazz band . . . points to the kinds of mechanisms needed to avoid disharmony and chaos. (pp. 32-33)

These include: (a) shared purpose, (b) a common language, (c) consensus of the ground rules that constrain individual initiatives, and (d) familiarity and trust between individuals.

Uncertainty in the Post-Soviet World

A recent example of extreme uncertainty was the environment present in the former USSR-controlled countries in the early 1990s. Independence for Lithuania, one of the Baltic countries, seemed quite possible; but the Russian Bear was far from asleep. “Determined and

effective leadership became a crucially important lever of transformational change” (Tucker, 1995, p. 10) among the former soviet republics; only a few of the successor states had such leadership. Senn (2002) recorded his personal observations in Lithuania from August 1988 to early April 1990 in *Lithuania Awakening*. He described the transformation of the leaders among those advocating independence:

The outstanding feature of the spiritual revolution that took place in Lithuania was the way in which the Lithuanians’ self-consciousness and self-confidence grew. In the past, people had tended to think in terms of what was permitted. . . . After the [August 23, 1989] meeting, the Lithuanians gradually took over the initiative in their relations with Moscow; they thought more about what they wanted to do and physically could do than they did about Moscow’s possible reaction. Using the principles of Gorbechev’s perestroika, they began to take control of their own agenda. (Senn, p. 35)

For example, in an interview with me, L. Kaminskiene reported that, as a staff member of the Ministry, she delivered the annual education report to Moscow in the fall of 1990. Included in the report was an official document stating that the Lithuanian Ministry of Culture and Education would no longer report to Moscow; “We decently finished the fiscal year, and we stopped” (personal communication, November 30, 2000).

During soviet times, Lithuanian leaders often responded with “purely political realism,” choosing to “remain a living nation organism until better times” (Senn, 1995, p. 125). Even the party leaders, though speaking in self-interest, saw their work as a quiet resistance, doing what was possible to help Lithuania. Lithuanians often speak of doing things *step by step*, patiently working toward a long-term goal. Lithuanian politics were and are highly personal, focused on individuals. The transformation from *perestroika* to independence was lead by the intelligentsia, artists, historians, dissidents, the underground, and former prisoners of the gulags who found that they could work together toward a common purpose.

As the map of Central and Eastern Europe was redrawn one more time, Lithuania both influenced and was influenced by the dissolution of the former Soviet Union. One of the gestures of independence, and an attempt to prepare for and build the skills needed for independence, was the establishment of Lithuania Christian College (LCC), the first Christian liberal arts college in the former Soviet Bloc countries. Many key decisions in the LCC story were made based on the vision and purpose, without knowing for certain that the action was correct. The Ministry of Education signed a protocol of intent to establish LCC without knowing exactly what the school would be and before there was a niche in the system for it (Kaminskiene, 2001). Persistence and enthusiasm kept the vision alive. When Ernie Reimer came as interim president in the fall of 1992, there were no long-term faculty, no home base, and only an incomplete curriculum. E. Reimer (2001) continued with a description of the early leaders:

When the troika of DeFehr, J. Reimer, and Balciunas get together, concept becomes reality in a hurry; procrastination is not in their vocabulary. The initial concept, conceived a few months earlier, was quickly put into action. Faculty, students, financing, facilities and academic programs had come together quickly. (p. 81)

“You can’t run a college with volunteers!” (R. Neumann, 2001, p. 153). But, in the early 1990s, serving at LCC provided a way for volunteers with Mennonite backgrounds in this region of the world to “repay evil for good” (p. 155). Others valued the “opportunity to establish relationships with Lithuanians, sharing values and faith on a personal level” (p. 155). Retirees came; professors on sabbatical leaves came. Word of mouth spread the invitation. “Occasionally

volunteers have just arrived on the doorstep at LCC” (R. Neumann, pp. 157-158). Others came after a long conversation. As of 2001,

Five hundred and twenty volunteers [had] filled approximately 790 positions at LCC since that first summer in 1991. Close to 65% of these volunteers have returned to LCC at least once, with a significant number coming three, four and five times. (R. Neumann, p. 158)

People looked at the condition of the newly leased dormitory building and the budget for renovating it and said it could not be done (D. Neumann, 2001, p. 192). Valuable local contacts helped find needed materials. Eleven skilled craftsmen from Canada arrived to spend 3 months renovating the building; others followed. The workers had to learn new construction methods and how to use new materials. The process repeated itself with the completion of the new campus. However, the newest building completed in the fall of 2003 was built primarily with local craftsmen and only a handful of volunteers. The general contractor is recognized in Klaipeda for LCC’s construction. The leaders and many of those who worked on the Michealsen centras participated in the building’s dedication in October 2004.

An early LCC board meeting seemed totally “ad hoc-ish,” a family-type meeting of friends and colleagues of DeFehr together with faculty and administrators (D. Shenk, personal communication, November 22, 2000). The ownership and governance of LCC was restructured in 1999 (Universalia, 2000, p. 14). The CIDA Report concluded that “beyond the triumph of continued existence, the college is exemplary because it keeps renewing its energies to address its problems. LCC has boundless energy – sponsors, volunteers, Lithuanian faculty and staff, students, alumni and community supporters to name a few” (Universalia, p. 28).

An Uncertain Environment Can Be a Fruitful Place to Be

The coping behaviors suggested by Hodgson and White (2003) can be observed in LCC leadership. The founders explored, talked, and thought about what kind of education would be useful for the new Lithuania. They learned about each other’s cultures, values, and dreams. The founders and Ministry officials clearly made important decisions, taking great risks, without knowing all the information they needed. If they had waited until all the information was available, it would have been too late. They risked failure. In an interview, Kaminskiene looked back on the pressure for LCC to leave the city where it began and said “no matter that we failed at that time, we succeeded” (personal communication, November 30, 2000). The founders and Ministry officials kept thinking, talking, working, and not accepting failure as the end. This mindset has continued through volunteers, Lithuanian staff and faculty, Lithuanian boundary spanners, and students.

What about your organization? Can you stay in a place of not knowing and flourish there? Can you relax and learn like a curious child in the midst of uncertainty? Can you shake off the fear of failure and make a strong decision without waiting to get all the details?

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