The International Journal of Leadership Studies (IJLS) is a refereed scholarly journal that exists to provide a forum for leadership scholars within the U.S. and around the world. To stimulate scholarly debate and a free flow of ideas, the IJLS is published in electronic format and provides access to all issues free of charge.

Editorial Staff

<table>
<thead>
<tr>
<th>Dr. William O. Welsh, III</th>
<th>Mrs. Julia Mattera</th>
</tr>
</thead>
<tbody>
<tr>
<td>Editor</td>
<td>Managing and Production Editor</td>
</tr>
<tr>
<td>Regent University</td>
<td>Regent University</td>
</tr>
</tbody>
</table>

Members

<p>| Dr. Syed Akhtar           | Dr. Sam Aryee            | Dr. William Brown     |</p>
<table>
<thead>
<tr>
<th>City University of Hong Kong</th>
<th>Aston University, U.K.</th>
<th>Regent University</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. Diane Chandler</td>
<td>Dr. Walter Davis</td>
<td>Dr. Linda Grooms</td>
</tr>
<tr>
<td>Regent University</td>
<td>University of Mississippi</td>
<td>Regent University</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Dr. Vipin Gupta</td>
<td>Dr. Jeff Hale</td>
<td>Dr. Brenda Johnson</td>
</tr>
<tr>
<td>Simmons College</td>
<td>Bible League International</td>
<td>Gordon College</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Dr. Hayat Kabasakal</td>
<td>Dr. Gilbert Jacobs</td>
<td>Dr. Frank Markow</td>
</tr>
<tr>
<td>Bogazici University</td>
<td>Mercyhurst College</td>
<td>Life Pacific College</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Dr. Diane Norbutus</td>
<td>Dr. Jeanine Parolini</td>
<td>Dr. Kathaleen Reid-Martinez</td>
</tr>
<tr>
<td>Emergent Leadership Group</td>
<td>Jeanine Parolini Consulting</td>
<td>Mid-America Christian Univ.</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Dr. Victoria L. Sitter</td>
<td>Dr. Keith Sorbo</td>
<td>Dr. Bonnie Straight</td>
</tr>
<tr>
<td>Milligan College</td>
<td>Assembly of God World Missions</td>
<td>LCC International University</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Dr. Jane Waddell</td>
<td>Dr. William O. Welsh, III</td>
<td>Dr. Marshal Wright</td>
</tr>
<tr>
<td>Mercyhurst College</td>
<td>Regent University</td>
<td>Oral Roberts University</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------------------</td>
<td>----------------------</td>
</tr>
</tbody>
</table>

Production Staff

<table>
<thead>
<tr>
<th>Mrs. Julia Mattera</th>
<th>Mrs. Sarah Stanfield</th>
<th>Dr. Doris Gomez</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communications Specialist</td>
<td>Website Production</td>
<td>Website Design</td>
</tr>
<tr>
<td>Regent University</td>
<td>Regent University</td>
<td>Regent University</td>
</tr>
<tr>
<td>Title</td>
<td>Page</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>------</td>
<td></td>
</tr>
<tr>
<td>A SEVEN-SCALE INSTRUMENT TO MEASURE THE ROMANS 12 MOTIVATIONAL GIFTS AND A PROPOSITION THAT THE ROMANS 12 GIFT PROFILES MIGHT APPLY TO PERSON-JOB FIT ANALYSIS</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Dorena DellaVecchio &amp; Bruce Winston</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MODELLING OF LENIENCY IN LEADERSHIP IN THE FACE OF HARDSHIPS</td>
<td>24</td>
<td></td>
</tr>
<tr>
<td>Krista Kohtakangas, Juha Perttula &amp; Antti Syväjärvi</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IDENTIFYING PRIMARY CHARACTERISTICS OF SERVANT LEADERSHIP: DELPHI STUDY</td>
<td>44</td>
<td></td>
</tr>
<tr>
<td>Adam Focht &amp; Michael Ponton</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ASSESSING THE EFFECTIVENESS OF AUTHENTIC LEADERSHIP</td>
<td>62</td>
<td></td>
</tr>
<tr>
<td>Biplab Datta</td>
<td></td>
<td></td>
</tr>
<tr>
<td>WHO’S CONTROLLING LOCUS OF CONTROL? CROSS-CULTURAL LOC USAGE</td>
<td>76</td>
<td></td>
</tr>
<tr>
<td>Russell L. Huizing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EFFECTS OF MULTI-TEAM LEADERSHIP ON COLLABORATION AND INTEGRATION IN SUBSEA OPERATIONS</td>
<td>89</td>
<td></td>
</tr>
<tr>
<td>Jan R. Jonassen</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
INVESTIGATION OF MOTIVE BETWEEN TRANSFORMATIONAL LEADERSHIP AND PRO-SOCIAL VOICE: AN EMPIRICAL STUDY IN CHINA
Chenwei Li & Keke Wu

LEADERSHIP FOR SUSTAINABILITY: THEORETICAL FOUNDATIONS AND PEDAGOGICAL PRACTICES THAT FOSTER CHANGE
Heather Burns, Heather Diamond Vaught & Corin Bauman
Greetings, Fellow Travelers.

It is with a combination of sadness and hope for the future that Regent University is suspending production of the *International Journal of Leadership Studies* until further notice. This issue offers a broad variety of international leadership research and theory inquiries continuing to challenge the dominant leadership understanding discourse.

This issue opens with a detailed Delphi study offering an amplification of twelve servant leadership primary characteristics. This is followed by an Indian perspective study of authentic leadership that simultaneously reinforces the critical distinction between management and leadership while concluding that authentic leadership leads to both effective management and leadership performance. Next on offer is a critical research methodology validity and reliability challenge through the lens of cross-cultural transitioning of Rotter’s Internal-External Locus of Control scale. This is followed, in turn, by a Norwegian study of multi-team leadership effects on collaboration and integration during inspection, maintenance, and repair operations in the North Sea. Our next article presents two separate models for the moderating effects of perceived leader motive (altruistic vs. instrumental) on the relationship between transformational leadership and prosocial voice in the Chinese workplace followed by a study employing a tautological approach to develop a seven-scale instrument investigating if Romans 12 gift profiles might be useful in person-job fit analysis. Our final study theorizes leniency in leadership as the interface of self-leadership strategies and self-compassion as a special form of self-directive behavior.

The Practitioner’s Corner in this final issue once again broadens the scope of education leadership understanding professionals challenging traditional leadership understanding in the presentation of Leadership for Sustainability. The authors argue leadership for sustainability denotes a new and expanded understanding of leadership that signifies taking action based on sustainability values, leading from a living processes paradigm, and creating an inclusive, collaborative and reflective leadership process.
Out final IJLS Book Review provides a well-calculated consideration of Chandler and Chandler’s (2013) *On Effective Leadership: Across Domains, Cultures, and Eras*. The reviewers note that leadership is not about taking charge of people in considering the authors’ questions regarding why some leaders are effective, ineffective, and only a few are exceptional.

Please accept our editorial and production staffs’ blessings for continued scholarly success in the international pursuit of coherent positivity-based leadership understanding.
The purpose of this study was to more clearly define servant leadership by identifying primary characteristics of the phenomenon through a Delphi study. Greenleaf (1977) stated that servant leadership “begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead” (p. 13). Greenleaf clearly stated that in servant leadership, service comes before leadership. Because a servant leader serves first, we designated those characteristics of a servant as the primary characteristics of servant leadership. In order to serve first, a servant leader must first exhibit the primary characteristics and then aspire to lead. Over 100 characteristics of servant leadership have been identified in the literature (Sendjaya, 2003, p. 4). We conducted a Delphi study with scholars in the field of servant leadership and, after three rounds, 12 characteristics were identified as primary characteristics of servant leadership. These characteristics include valuing people, humility, listening, trust, caring, integrity, service, empowering, serving others’ needs before their own, collaboration, love/unconditional love, and learning.
ASSESSING THE EFFECTIVENESS OF AUTHENTIC LEADERSHIP

Biplab Datta
Vinod Gupta School of Management, Indian Institute of Technology, Kharagpur, India

The effectiveness of authentic leadership (AL) has been empirically evaluated in this paper. It has been found that authentic leadership has been understood as a three dimensional, second order construct by Indian respondents. The study indicates that AL, as measured by the 16 items of the Authentic Leadership Questionnaire (ALQ), leads to seven different dimensions of effective management and five different dimensions of effective leadership as measured by 42 variables. The paper concludes that AL leads to effective management and leadership performance.

WHO’S CONTROLLING LOCUS OF CONTROL? CROSS-CULTURAL LOC USAGE

Russell L. Huizing
Toccoa Falls College, USA

Rotter’s Internal-External Locus of Control scale has been broadly used in both American contexts as well as in other cultures around the world. A review of the research that first transitioned this scale into other cultures shows a number of significant validity and reliability threats. Given that many more recent studies have based their validity and reliability on these earlier studies, it is important to understand the threats that existed so current research can strengthen the validity and reliability of this important scale across other cultures. Recommendations for various forms of validity and reliability are provided.

EFFECTS OF MULTI-TEAM LEADERSHIP ON COLLABORATION AND INTEGRATION IN SUBSEA OPERATIONS

Jan R. Jonassen
Stord/Haugesund University College, Norway

Inspection, maintenance, and repair (IMR) operations in the North Sea are performed from specialized vessels. The article contributes to the understanding of leadership as being too complex to be described as the strategies and behaviors of only one person. These leaders work in concert to be facilitating and contributing to flexibility and adaptation thus initiating collaboration between teams and individuals through interaction processes. This unique leadership model allows for and generates openness, transparency and the practice of basic values like respect and helpfulness. The challenge for the leaders in subsea operations, however, is to create or contribute to the creation of an overarching collective identity to facilitate the transformation of the organization from a diversified and more fragmented organization consisting of several individual sub teams to an executive force of one overarching team supervised by one leader. A “sharedness” of mindset is developed through a set of collective
communication. With shared mental models, there is a better chance of creating a collective flow of work. Openness and a short distance between leaders and subordinates also affect the ability of the organization to discover mistakes and rectify them earlier than otherwise possible. The challenge is as ever both individual and organizational: The ability to work together towards goal achievement. The paper introduces elements building a foundation for successful leading of complex multi-team operations.

INVESTIGATION OF MOTIVE BETWEEN TRANSFORMATIONAL LEADERSHIP AND PRO-SOCIAL VOICE: AN EMPIRICAL STUDY IN CHINA

Chenwei Li  
*Indiana University-Purdue University Fort Wayne, USA*

Keke Wu  
*Central Washington University, USA*

Prosocial voice, as a form of citizenship behavior with a purpose of expressing constructive changes and improving the status quo, is desirable in both teams and organizations. Also, transformational leadership (TL) has been documented as a leadership style that prompts employees to engage in prosocial voice. Recently, whether or not the effects of transformational leadership on prosocial voice have boundaries becomes a topic of interest to organizational researchers. We presented two separate models for the moderating effects of perceived leader motive (altruistic vs. instrumental) on the relationship between transformational leadership and prosocial voice in the workplace. From an employee perspective, this study documents that one’s perception towards his/her leader’s motive (altruistic vs. instrumental) underpinning leadership behaviors is related to the boundaries of TL’s effect on prosocial voice. Data with 167 employees at an auto maker in China were used and the analysis results provided support for the models.

LEADERSHIP FOR SUSTAINABILITY: THEORETICAL FOUNDATIONS AND PEDAGOGICAL PRACTICES THAT FOSTER CHANGE

Heather Burns  
*Portland State University, USA*

Heather Diamond Vaught  
*Portland State University, USA*

Corin Bauman  
*Portland State University, USA*

Sustainability education has a significant role to play in changing the leadership paradigm and fostering leaders who are capable of working collaboratively to address complex sustainability challenges. Leadership for sustainability denotes a new and expanded understanding of leadership that signifies taking action based on sustainability values, leading from a living
processes paradigm, and creating an inclusive, collaborative and reflective leadership process. This paper examines and weaves together literature on leadership, leadership development, and sustainability education to suggest best practices in leadership development. A variety of suggested pedagogical practices that foster the development of leaders include: observation and self-awareness, reflection, the exploration of ecological and diverse perspectives, and learning experientially and in community.
A SEVEN-SCALE INSTRUMENT TO MEASURE THE ROMANS 12 MOTIVATIONAL GIFTS AND A PROPOSITION THAT THE ROMANS 12 GIFT PROFILES MIGHT APPLY TO PERSON-JOB FIT ANALYSIS

Dorena DellaVecchio, Ph.D.
Regent University, USA

Bruce E. Winston, Ph.D.
Regent University, USA

This study used a tautological approach to develop a seven-scale instrument that measures the Romans 12 motivational gifts and after collecting data from 4177 participants compared the scores on the seven scales between males and females revealing that females scored significantly higher on the (a) Giving, (b) Serving, and (c) Mercy scales while males scored significantly higher on the (a) Ruling, (b) Teaching, (c) and Perceiving scales. The study conducted a cluster analysis on the 4,177 participant scores of the seven scales and built 50 profiles with all seven ANOVA tests (one per gift) showing significance at the .000 level. The study proposes that the Romans 12 gift profiles might be useful in person-job fit analysis and suggests that future research be conducted to test the validity of this proposition. This study includes definitions of each of the seven Romans 12 gifts and includes a literature review of the gifts.

Despite the increased interest in spiritual gift inventories in the 1990s, there still remains a need for a valid and reliable instrument as defined by the Standards for Educational and Psychological Testing (American Psychological Association, 1999). A literature review revealed no existing instruments that have undergone validity and reliability testing, and compilation of norms. The popular press, however, has many books on motivational gifts from different dimensions including church growth, awareness, discovery, use, self-assessment, and personal growth (Bryant, 1991; Flynn, 1974; Fortune & Fortune, 1987; Gangel, 1983; Gothard, 1986; Hocking, 1992; Kinghorn, 1976; Lim, 1991; McRae, 1976; Wagner, 1979; Yohn, 1974).
One of the reasons for a dearth of statistically reliable and valid instruments is caused by the nature of socio-psychometric research and instrument development in that the accepted approach to building a multiple factor instrument is to (a) define the main construct, (b) seek a pool of items from the literature that are content valid, (c) refine the items through a jury of experts, (d) develop an appropriate response measure for the items, (e) collect data from a sufficient-sized sample, (f) run exploratory factor analysis on the data to reduce the data to factors, (g) use scale reliability tests to determine scale reliability, (h) remove items that decrease the reliability measure, (i) continue the testing for test-retest reliability, etc. This process of defining a main construct makes sense when the factors are not considered to have an a-priori base of accepted truth. However, one of the tenants of evangelical Christianity is the acceptance of scripture as inerrant and as such if scripture presents seven motivational gifts then seven, and only seven factors should exist in the instrument. Since the authors are both evangelical Christians, this study approached this research from the position that if the Romans 12 passage identifies seven motivational gifts then there must be seven factors in the final instrument. This tautological approach to scale development is treated in this study as an effective and appropriate manner for scale development that results in an instrument that measures the seven a-priori factors. By tautology, the authors use the definition provided by Siminitiras (2000):

The validity of a statement pattern can be merely proved by showing that every statement that is obtained from it is true, regardless of the truth-value of its premises. To state this differently, if one determines that a statement pattern is a tautology, s/he knows, by definition, that the statement is true (tautologies or logically valid sentential patterns are often referred to as “laws of logic”). (p. 13)

The authors recognized the unconventional nature of the tautological approach to scale development and contend that for a set of a-priori factors the approach is a logical choice. Since the seven motivational gifts are defined in the Romans 12 passage, it is best to build an instrument that measures the seven motivational gifts. This acceptance of a tautological approach was supported by Gray, Kouhy, and Lavers (1995) in their use of tautology to define the concept of their study, which was Corporate Social Responsibility (CSR):

A prerequisite for any research is some definition of the thing to be researched. For content analysis this definition has to be precise and unique. That is, the “objectivity” criterion requires that independent judges would be able to identify similarly what was and was not CSR, while the systematic criterion requires a set of exhaustive rules which will determine the category “CSR” and the subcategories (if any) in a mutually exclusive and all-embracing manner. Inevitably one is dealing with the usual tautology of definition but in a more than usually precise manner. (p. 81)

Although Gray, Kouhy, and Lavers (1995) did focus on scale development the acceptance of a tautological approach was used to define the concept that they studied.
Motivational Gifts

Bryant (1991), Bugbee, Cousins and Hybels (1994), Flynn (1974), Fortune and Fortune (1987), as well as Gothard (1986) imply in their writings that motivational gifts are indicators of life purpose, thus there may be application of motivational gifts to the study of job satisfaction and performance in organizations. We know that there is a relationship between a lack of motivation and an increase in apathy with regard to burnout (Maslach & Jackson, 1984) and in support of the relationship between motivational gifts and burnout, Bryant (1991) concluded that people, when using their motivational gifts may wear out, but they won't burn out. Thus, there may be a useful application of the Romans 12 gifts to the person-job fit field of study.

Motivational Gifts are Different than Psychometric Measures

Phoon (1986) and Lewis (1986) sought to correlate motivational gift tests with the Myers-Briggs Type Indicator but offered no conclusive results, and, in fact, Lewis' study contradicts Phoon's work. Choi (1993) also attempted a correlation between temperaments, psychological types, and spiritual gifts but achieved few significant correlations. Joachim’s (1984) suggested a correlation between the four temperament types and various motivational gifts from Romans 12 and spiritual gifts from 1 Corinthians 12, however, in Joachim’s study not all motivational gifts appeared to correlate with the temperaments. Thus, the literature does not lead us to see that motivational gifts are psychometric measures.

The motivational gift tests commercially available today (Bryant, 1991; Bugbee et al., 1994; Fortune & Fortune, 1987; Gilbert, 1986; Kinghorn, 1976; Wagner, 1979) are worded to apply to Christians or for use in the church. Wording such as “God has given me a unique ability to acquire wealth” and “I enjoy teaching and guiding a group of Christians” make the instrument difficult to use in secular organizations. Further, the commercially available gift tests are attitude focused asking the test-taker to indicate values toward the gift use rather than measuring behavior, which makes the commercially available tests subject to participants reporting higher scores based on belief rather than performance. This present study developed a gift test that measures frequency of behavior rather than attitude towards each gift and uses non-religious language rather than religious language; thus, the instrument is suitable for a secular audience. Following the literature review on the motivational gifts, this article presents the method, data, and results of the scale development and the cluster analysis.

Literature review

To provide a background for this study and the development of this instrument, the following review of the literature (a) examines the basis for motivational gifts of Romans 12, (b) defines each gift, (c) discusses the idea of one’s gift mix or profile, and (d) review what literature exists concerning statistical validation of gift tests.

The Basis for the Motivational Gifts of Romans 12

Romans 12:3-8 describes gifts given by God to each human being, stating “...according as God hath dealt to every man the measure of faith” (KJV). According to Walker (1991), “They seem to characterize basic ‘motivations,’ that is, inherent tendencies that characterize each
different person by reason of the Creator’s unique workmanship in their initial gifting...these
gifts of our place in God’s created order are foundational” (p. 2023). Fortune and Fortune (1987)
state that these gifts “are the gifts that God has built into us...since they provide the motivating
force for our lives, they have been called motivational gifts” (p. 17). In Romans 12:6, the Greek
word for gift is “charismata,” which comes from the Greek word “charis” meaning grace.
According to Wagner (1979), there is a close relationship between the motivational gifts and the
grace of God.

This study examines the seven motivational gifts from Romans 12. All other gift tests in
the literature have some combination of gifts from the three areas of scripture (Romans 12:6-8; 1
Corinthians 12:8-10, 28; and Ephesians 4:11) with the exception of Fortune and Fortune’s (1987)
gift test. The following sections list the gifts in the Romans 12 passage, defining each gift and
presents the scale items used in the study.

**Perceiving.** The gift of perceiving in Romans 12 is the most misrepresented of the seven
motivational gifts. Many authors (Bugbee et al., 1994; Kinghorn, 1976; McRae 1976; Wagner,
1979) believe the gift of perceiving in Romans 12 is the same gift of prophecy mentioned in 1
Corinthians 12. This current study defines the motivational gift of perceiving in Romans 12
differently, as does Gothard, 1986; Flynn, 1974; and Fortune and Fortune (1987). Fortune and
Fortune (1987) label this the “Perceiver” gift and we have used this term so as to avoid confusion
with the 1 Corinthians 12 passage.

Flynn (1974) defines perceiving as used in Romans 12 as “the Spirit-given ability to
proclaim the written word of God with clarity and to apply it to a particular situation with a view
toward correction or edification” (p.61). The Greek word for perceiving is “propheteia.” It means
revealing, manifesting, showing forth, making known, divulging vital information necessary for
spiritual living and development (Bryant, 1991). The motivational gift of perceiving in Romans
12 is the extraordinary ability to discern and proclaim truth. The secularized definition of
perceiving used in this study is the ability to quickly and accurately discern good and evil and the
ability to reveal truth for understanding, correction, or edification.

The items used to measure this scale are (the numbers refer to the final item numbers in
Table 1):

8  I am candid and open in expressing what I think and feel.
15 I am a bold person.
20 I always speak the truth, even at the risk of confronting my superiors.
28 I always speak the truth, even if it causes pain or hurt feelings.

**Serving.** The gift of serving is the God-given ability to identify the unmet needs involved
in a task and to make use of available resources to meet those needs and help accomplish the
desired goals. This is not one-on-one or person-centered but task-oriented (Wagner, 1979). The
Greek word for serving is “diakonia,” meaning to aid. The secularized definition of serving used
in this study is the ability to elevate any need for another (without concern or desire for rank or
recognition) that will help or free that person to work more effectively.

The items used to measure this scale are (the numbers refer to the final item numbers in
Table 1):

5  I do useful, helpful things for people.
10 I show my feelings by what I do for others more than what I say to them.
14 I prefer doing a job instead of delegating it to someone else to complete.
21 I often offer to assist people in practical ways.
Teaching. The gift of teaching is the God-given ability to clearly communicate the truths and applications of the Word in such a way that others will learn (Wagner, 1979; Flynn 1974; Kinghorn, 1976; Bugbee et al., 1994; McRae, 1976; Bryant, 1991). The Greek word for teaching is didaskalia, which means to instruct, clarify, elucidate, illuminate, simplify, and to illustrate for the sake of communication and understanding (Bryant, 1991). The secularized definition of teaching used in this study is the extraordinary ability to discern, analyze, and deliver information and truth so that others will learn.

The items used to measure this scale are (the numbers refer to the final item numbers in Table 1):

- 6 I enjoy research projects.
- 11 I tend to analyze everything.
- 19 I love to study.
- 25 I enjoy helping others to learn.

Encouraging. The gift of encouraging is a God-given ability to minister words of comfort, consolation, encouragement, and counsel in such a way that others feel helped and healed (Wagner, 1979). Encouraging comes from the Greek word “parakaleo” or “paraklesis.” The word has two parts: one is “a call,” and the other is “companionship.” Together they mean to be with and for another (Bryant, 1991). The secularized definition of exhortation used in this study is the ability to call forth the best in others through encouragement and motivation.

The items used to measure this scale are (the numbers refer to the final item numbers in Table 1):

- 16 I make people feel joyful.
- 18 I am a talkative person.
- 23 I am a very social person.
- 29 I am energized by enlivening people.

Giving. The gift of giving is the God-given ability to understand the material needs of others and then meet those needs generously. The Greek word for giving is “metadidomi,” meaning to turn over or to give over, share, or transfer. The definition of giving used in this study is the ability to manage one’s resources of income, time, energy, and skills to exceed what is considered to be a reasonable standard for giving (Bryant, 1991).

The items used to measure this scale are (the numbers refer to the final item numbers in Table 1):

- 1 I give generously and joyfully to people in need.
- 4 I actively support organizations that help the less fortunate.
- 9 What approximate percent of your income do you donate?
- 24 I am frugal in my personal spending so I have extra to give to others.

Ruling. The gift of ruling is the God-given ability to set goals in accordance with God's purpose for the future and to communicate these goals to others in a way that they harmoniously work together for the glory of God. The Greek word for ruling is “proistemi,” which means to stand over, place over, and is translated “rule.” Many authors (Bryant, 1991; Fortune & Fortune, 1987; Flynn, 1974; Gothard, 1986; Kinghorn, 1976; McRae, 1976) confuse the gift of ruling with the gift of administration in 1 Corinthians 12. Gangel (1983) suggests that administration and management are synonymous. The secularized definition of ruling used in this study is the ability to set future long-term goals and communicate those goals in such a way that others will listen and work to achieve them.
The items used to measure this scale are (the numbers refer to the final item numbers in Table 1):

2  I can create order out of chaos.
3  I coordinate people and resources to get things done.
17 I enjoy the challenge of establishing new procedures for others to use.
27 I make decisions and make things happen quickly.

Mercy. The gift of mercy is the God-given ability to feel genuine empathy and compassion for individuals who suffer distressing physical, mental, or emotional problems and to translate that compassion into cheerfully done deeds (Wagner, 1979). The Greek word for mercy is “eleeo,” which means “have compassion on.” The definition of mercy used in this study is the extraordinary ability to feel and to act upon genuine empathy for others who suffer distressing physical, mental, emotional, social, and spiritual pain (Bryant, 1991).

The items used to measure this scale are (the numbers refer to the final item numbers in Table 1):

7  I have an extraordinary ability to sympathize with those who are suffering.
12 Crying with others and sharing their pain is a valuable use of my time.
13 I have an extraordinary ability to be around people who are in pain.
22 When I see people in pain, my heart forces me to help them find relief.
26 Compared to other people I know, I spend a larger amount of time consoling those who are hurting.

This study not only restricts its scope to the gifts of Romans 12, we propose that the Romans 12 gifts exist as a mix of all seven gifts as do Bryant (1991), Bugbee et al. (1994), Fortune and Fortune (1987), Gangel (1983), and Wagner (1979). Thus, the instrument developed in this study seeks to produce a profile of the person rather than to identify one or two main gifts.

Text continues. Please continue text in single-spaced lines with 0.5 inch indent at each paragraph. Please continue text in single-spaced lines with 0.5 inch indent at each paragraph. Please continue text in single-spaced lines with 0.5 inch indent at each paragraph. Please continue text in single-spaced lines with 0.5 inch indent at each paragraph. Please continue text in single-spaced lines with 0.5 inch indent at each paragraph.

The Idea of One’s Gift Mix or Profile

Clinton (1985) combines the results of a personality test, an inward conviction questionnaire, and personal experiences to confirm the existence of motivational gifts. The results of all three combined reveal one’s unique gift combination. Bugbee’s et al. (1994) Network materials developed for Willow Creek Community Church separate passions, spiritual gifts, and personal styles to form a ‘Servant Profile.’ “Passion is the God-given desire that compels us to make a difference in a particular ministry” (p. 46). This is similar to Clinton’s (1985) inward conviction questionnaire. However, Bryant (1991); Fortune and Fortune, (1987), Gangel (1983), Hayford (1991), Naden (1990) and Wagner (1979) consider a gift mix independent of such assessments.

Naden’s (1988) research found that each of the functional gifts fall into one of the five clusters: (a) teacher, (b) shepherd, (c) helper, (d) counselor and (e) leadership. Naden (1990) writes regarding his factor analysis:

These and other findings suggested that an instrument might be more useful if it identified one’s cluster of giftedness rather than specific gifts. As a result
came the publication of the New Spiritual Gifts Inventory (NSGI, 1988). After establishing the main area of giftedness, individuals are enabled to experiment and establish the contemporary setting in which they can bring nurture and growth within their communities. (p. 5)

Wagner (1979) concurs, “I would suspect that probably the majority or perhaps all Christians have what we would call a Gift Mix, instead of a single gift” (p. 40). Fortune and Fortune (1987) provide a profile sheet illustrating the final tally of test results that identify one’s first, second, and third highest scoring gifts. Evaluation of this profile helps to explain the different ways people respond to situations and job opportunities. Bryant’s (1991) view is similar in that Bryant refers to 1 Corinthians 12:8-10 where Paul uses the Greek word “diairesis” three times. The translation means “many,” “varied,” or “multiple.” Bryant states, “I take it that Paul is trying to convince us that the ways to apply the gifts are limitless” (p. 55).

The Greek word “diairesis” means a distinction arising from a different distribution to different persons. Paul states that the difference is in the kind of gifts, ministries, and workings. The Greek word for workings is “energematon,” which means “the effect or operation of.” In this scripture, Paul refers to the different effects or operations of the gifts or ministries. Hayford (1991) explains that “uniqueness is manifested in individuals according to the varied gifts God the Father has given them (Romans 12:3-8) and joined with whatever gifts the Holy Spirit distributes to or through them (1 Corinthians 12:4-11)” (p. 1792). Gangel (1983) states, “it would seem that every Christian has at least one spiritual gift, and some have more. Perhaps multi-gifted persons are placed by the Lord of the church into positions of leadership as pastors, evangelist, or teachers, and in other roles where such “clusters” of gifts are necessary” (p. 9).

This is the impetus for future research concerning the gift mix or profile of an individual. In order to propose a future research stream, it is necessary to examine the current spiritual gift tests available.

**Literature Concerning Statistical Validation of Existing Gift Tests**

There is a paucity of literature in refereed journals documenting any validation of gift tests. Fortune and Fortune’s (1987) instrument is one of the most well-known, published and copyrighted of the motivational gift tests. Fortune and Fortune’s test contains 25 questions per Roman’s 12 gift. Of concern is that this test examines the gift of administration from 1 Corinthians 12:28 instead of the gift of ruling in Romans 12. Katie Fortune (personal communication February, 1999) explained that while they administered their motivational test to thousands of people in 32 countries over 24 years they have not personally published any statistical validation studies. However, Cooper and Blakeman (1994) did examine the Fortune’s Motivational Gift Inventory (1987) and found that despite the apparent strength of the motivational gifts subscales’ content validity, reliability fell in the poor and moderate range and construct validity was also tenuous. A factor analysis using an oblique rotation supported a three-factor versus a seven-factor solution. In addition. Cooper and Blakeman found only a three-factor solution rather than a seven-factor solution with 37% of the items correlating more highly with a subscale other than the scale intended by Fortune and Fortune.

The Wagner-modified Houts questionnaire, originally suggested by Dr. Richard Houts in 1976, was modified by Dr. Peter Wagner from Fuller Theological Seminary and last updated in 1995, but the literature did not provide any rigorous statistical testing on the questionnaire.
Wagner-modified Houts questionnaire contains five questions per gift, testing a total of 25 gifts. Seven of those 25 gifts are from Romans 12. A search of unpublished papers and dissertations provided a dissertation from Saint Louis University by Marshall (1986) that attempted to validate the questionnaire using a factor analysis. The results were inconclusive.

The Naden Spiritual Gifts Inventory, revised in 1988 from its original 1981 form, measures 19 spiritual gifts including the seven motivational gifts. Naden's subsequent research on his inventory led him to find factors showing clusters of gifts. Each of the functional gifts fall into one of the five clusters: (a) teacher, (b) shepherd, (c) helper, (d) counselor and (e) leadership. Naden's inventory has test-retest reliability coefficients ranging from .82 to .97 for the five groups. Agreement of experts coefficients range from .87 to 1.00 for the 20 statements in the inventory. Naden administered this inventory to "thousands of Christians in both the United States and overseas" (1990, p. 4).

Several authors (Bryant, 1991; Bugbee, et al., 1994; Clinton, 1985; Gilbert, 1986; Hocking, 1992; Kinghorn, 1976) offer their own versions of gift tests. However, the literature showed no evidence of any statistical validation of these tests. The tests cluster into similar groupings.

Kinghorn’s (1981) gift test examines 20 gifts in the three scripture passages. He includes the seven motivational gifts from Romans 12. However, he refers to the gift of leadership as “giving aid” and the gift of mercy as “compassion.” The gifts from 1 Corinthians 12:8-10 and 1 Corinthians 12:28 are included. These are: the gift of wisdom, knowledge, faith, discernment of spirits, healings, miracles, tongues, and interpretation of tongues, administration, and helps. The gifts from Ephesians 4 include apostleship, evangelism, and shepherding (pastor). There is a total of 200 questions, this is 10 questions per gift.

Bryant’s (1991) gift test examines 32 gifts that include the gifts from Romans 12, 1 Corinthians 12, Ephesians 4 and includes 12 additional gifts including missionary, hospitality, sufferings, singleness, intercessory prayer, martyrdom, spirit-music, craftsmanship, exorcism, battle, humor, and poverty. Bryant does not report any attempts to statistically validate the test.

Hocking’s (1992) gift test examines 14 gifts. The seven motivational gifts from Romans 12 and the word of wisdom, knowledge, gift of faith, and discerning of spirits from 1 Corinthians 12:8-10. Hocking includes the gift of administration and helps from 1 Corinthians 12:28 and includes an additional gift – the gift of hospitality.

Gilbert (1986) examines the six motivational gifts from Romans 12, omitting the gift of rulership but substitutes the gift of administration attributed to 1 Corinthians 12:28 and the gifts of evangelism and pastor/shepherd from Ephesians 4.

Conclusion of the Literature Review

The authors of this present study conclude that while there has been significant work done on the Romans 12 motivational gifts, little work has been done to produce an instrument that measures the seven Romans 12 gifts and is statistically valid and reliable. Thus, there is need for this study.

Method

We conducted a word study of the New Testament’s words used to describe each gift in Romans 12 in order to create a pool of items for later factor analysis. We used a jury of experts...
from the Schools of Divinity and Business at a private Mid-Atlantic U.S. university to evaluate and modify the items. Next, we developed a pool of 120 items and pre-tested the items with 150 graduate students in the Schools of Business and Leadership at the same Mid-Atlantic U.S. university; only four factors were clearly shown. Following a tautological process, we modified the items five more times in an effort to clearly show the seven factors. By the sixth time, it became apparent to us that the gifts were more difficult to describe than originally thought since many of the gifts seemed to work together in the lives of the original jury of experts interviewed in the earlier rounds of item development. Realizing this, we sought people who tested high in specific gift mixes using the sixth version and then examined the differences between those gift mixes. Using in-depth interviews of 24 individuals, we modified the individual gift items to more closely represent the specific gift. For example, we interviewed a participant who measured high in ruling and encouraging and then a respondent who scored high in ruling and giving. By interviewing both respondents and listening for the similarities in ruling behavior, we were able to isolate the ruling gift. This process was repeated for each gift by interviewing respondents with overlapping gifts and seeking to find the common behaviors.

Data Collection

Following the pre-tests and the seventh version, we created a self-scoring WWW form (www.gifttest.org) that allowed people to access and complete the form, then receive their results along with a description of the gifts. The data was automatically saved in a database for later analysis. No identifying codes were included with the data in order to insure anonymity. 4,177 participants completed the self-scoring WWW form between March 1, 2002 and October 25, 2002. We used word of mouth advertising among graduate students in the Schools of Business and Leadership at the Mid-Atlantic U.S. university and the website was mentioned in: (a) Zigarelli’s (2000) book Faith at Work; (b) Zigarelli’s article in Christianity Today that promoted the book; and (c) Zigarelli’s website http://www.assess-yourself.org/.

Analysis

The items are scored on a scale of 0 to 5, with 0 meaning that no behavior occurs and 5 meaning that the behavior occurs all the time. The web form returned scores to the participant in the form of percentage of possible points for each gift. In addition to using the raw scores from the participants for the factor analysis, we calculated the participant’s percentage score for each of the seven gifts rather than total scores for each gift. Since the factor for mercy had five items and the other six factors had four items, we were able to produce histograms from the percentage scores.

A correlation of the 29 items showed a high level of correlation thus an oblimin rotation was used in the factor analysis of the 4,177 entries. The factor analysis returned seven factors: (a) Encouraging, (b) Mercy, (c) Serving, (d) Teaching, (e) Perceiving, (f) Giving, and (g) Ruling with Chronbach alpha scores of (a) .817, (b) .888, (c) .684, (d) .697, (e) .798, (f) .674, and (g) .816 respectively. The structure matrix is shown in Table 1 and Figures 1 through 7 show the histograms for each of the seven factors revealing that the data is normally distributed within each factor.
### Table 1: Factor Analysis Structure Matrix

<table>
<thead>
<tr>
<th>Component</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1G</td>
<td></td>
<td>-0.626</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q2R</td>
<td></td>
<td></td>
<td>-0.819</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q3R</td>
<td></td>
<td></td>
<td></td>
<td>-0.877</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q4G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.691</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q5S</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.641</td>
<td></td>
</tr>
<tr>
<td>Q6T</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.790</td>
</tr>
<tr>
<td>Q7M</td>
<td></td>
<td>-0.822</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q8P</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.695</td>
</tr>
<tr>
<td>Q9G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.736</td>
</tr>
<tr>
<td>Q10S</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.720</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q11T</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.535</td>
</tr>
<tr>
<td>Q12M</td>
<td></td>
<td>-0.817</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q13M</td>
<td></td>
<td>-0.864</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q14S</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.698</td>
<td></td>
</tr>
<tr>
<td>Q15P</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.626</td>
</tr>
<tr>
<td>Q16E</td>
<td>0.760</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q17R</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.685</td>
</tr>
<tr>
<td>Q18E</td>
<td>0.820</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q19T</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.837</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q20P</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.848</td>
<td></td>
</tr>
<tr>
<td>Q21S</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.681</td>
<td></td>
</tr>
<tr>
<td>Q22M</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.814</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q23E</td>
<td>0.858</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q24G</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.706</td>
</tr>
<tr>
<td>Q25T</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.613</td>
<td></td>
</tr>
<tr>
<td>Q26M</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.814</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q27R</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>-0.746</td>
</tr>
<tr>
<td>Q28P</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.862</td>
<td></td>
</tr>
<tr>
<td>Q29E</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.697</td>
</tr>
</tbody>
</table>

Figure 1 Histogram for Giving Gift Percentage Scores
Figure 2 Histogram for Ruling Gift Percentage Scores

Figure 3 Histogram for Serving Gift Percentage Scores
Figure 4 Histogram for Teaching Gift Percentage Scores

Figure 5 Histogram for Mercy Gift Percentage Scores
The web form asked the participant to report gender, type of professional work currently engaged in, type of professional work desired, and what abilities the participant believed that he/she possessed. The open-ended results for current professional work, desired professional work, and abilities will require more qualitative analysis than the scope of this present study allows and is not reported here. We examined the differences in percentage scores by gender and found some noteworthy differences. Table 2 reports the t-tests of each of the seven factors by
gender and shows that females scored significantly higher in (a) Giving, (b) Serving, and (c) Mercy while males scored significantly higher in (a) Ruling, (b) Teaching, and (c) Perceiving. This study used a p-value of .10 for significance.

Table 2: T-Test for each Motivational Gift by Gender

<table>
<thead>
<tr>
<th>GENDER</th>
<th></th>
<th>Mean</th>
<th>S.D.</th>
<th>T-test</th>
<th>Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>GIVER</td>
<td>male</td>
<td>49.8</td>
<td>18.48</td>
<td>-1.76</td>
<td>0.077</td>
</tr>
<tr>
<td></td>
<td>female</td>
<td>50.8</td>
<td>18.38</td>
<td>1.76</td>
<td></td>
</tr>
<tr>
<td>RULER</td>
<td>male</td>
<td>62.2</td>
<td>20.71</td>
<td>-7.60</td>
<td>0.000</td>
</tr>
<tr>
<td></td>
<td>female</td>
<td>57.1</td>
<td>21.33</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SERVER</td>
<td>male</td>
<td>60.3</td>
<td>16.18</td>
<td>7.53</td>
<td>0.000</td>
</tr>
<tr>
<td></td>
<td>female</td>
<td>64.2</td>
<td>16.48</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TEACHER</td>
<td>Male</td>
<td>63.7</td>
<td>19.58</td>
<td>-5.44</td>
<td>0.000</td>
</tr>
<tr>
<td></td>
<td>female</td>
<td>60.3</td>
<td>19.95</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MERCY</td>
<td>Male</td>
<td>61.8</td>
<td>19.89</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Female</td>
<td>58.2</td>
<td>22.95</td>
<td>14.88</td>
<td>0.000</td>
</tr>
<tr>
<td>Perceiver</td>
<td>Male</td>
<td>61.8</td>
<td>19.89</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Female</td>
<td>57.5</td>
<td>21.01</td>
<td>-6.64</td>
<td>0.000</td>
</tr>
<tr>
<td>Encourager</td>
<td>Male</td>
<td>61.4</td>
<td>20.74</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Female</td>
<td>61.5</td>
<td>21.41</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Cluster Analysis of the Gifts

The authors used SPSS Release 11 to perform a cluster analysis of the 4,177 participants with an arbitrary cluster count setting of 50. The resultant cluster analysis shown in Table 3 shows 50 discrete clusters with ANOVA significance at the 0.000 level as shown in Table 5. The authors converted the percentage data in Table 3 to three categories of (a) high (labeled as ‘3’) for those cluster centers above 67%, medium; (b) medium (labeled as ‘2’) for those cluster centers above 33% but less than 67%; and (c) low (labeled as ‘1’) for those cluster centers less than 33% as shown in Table 4. Table 6 presents the counts for each cluster and with the exception of cluster numbers 14 and 48, which only have one count each, the remaining 48 clusters warrant exploration.

Table 3: Initial Cluster Centers (in % of total possible score)

| Gift/Cluster | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 |
|--------------|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|
| GIVER       | 75| 85| 60| 15| 35| 25| 45| 40| 15| 60| 75| 70| 20| 100| 5 | 50 | 20| 75| 70| 50 | 5 | 80 | 90 | 15| 55 |
| RULER       | 10| 25| 45| 95| 85| 0 | 85| 70| 10| 100| 40| 95| 70| 10 | 55| 15 | 40| 60| 70| 15 | 0 | 40 | 80 | 30| 70 |
| SERVER      | 80| 95| 85| 85| 60| 0 | 70| 35| 95| 45| 70| 90| 60| 0  | 50| 50 | 40| 75| 70| 45 | 10| 65| 100| 25| 20 |
| TEACHER     | 25| 70| 75| 100|90| 0 | 45| 35| 5 | 60| 15| 25| 25| 0  | 75| 15 | 5 | 85| 15| 70| 65| 40 | 60| 45| 35 |
| MERCY       | 12| 92| 100|36| 100|0 | 68| 32| 44| 0 | 40| 24| 84| 0  | 16| 72 | 16| 64| 80| 36 | 8 | 48| 100| 56| 72 |
| Perceiver   | 25| 45| 100| 85| 75| 0 | 90| 45| 15| 40| 5 | 40| 75| 0  | 100| 15 | 80| 15| 35| 25| 20 | 65 | 35| 95| 95 |
| Encourager  | 20| 50| 95| 65| 60| 0 | 25| 65| 50| 5 | 95| 30| 95| 0  | 85| 25 | 35| 70| 60| 45| 35| 35 | 100| 100| 70 |
Table 4
Cluster Centers Using High (3), Medium (2), and Low (1)

| Gift/Cluster | 1    | 2    | 3    | 4    | 5    | 6    | 7    | 8    | 9    | 10   | 11   | 12   | 13   | 14   | 15   | 16   | 17   | 18   | 19   | 20   | 21   | 22   | 23   | 24   | 25   |
|--------------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| GIVER        | 3    | 3    | 2    | 1    | 2    | 1    | 2    | 1    | 2    | 1    | 3    | 1    | 3    | 1    | 2    | 1    | 3    | 3    | 2    | 1    | 3    | 3    | 1    | 2    |      |
| RULER        | 1    | 1    | 2    | 3    | 3    | 1    | 3    | 1    | 3    | 1    | 3    | 1    | 2    | 1    | 2    | 2    | 3    | 3    | 1    | 2    | 3    | 1    | 3    |      |
| SERVER       | 3    | 3    | 3    | 2    | 1    | 3    | 2    | 3    | 2    | 3    | 2    | 1    | 2    | 2    | 2    | 3    | 3    | 2    | 1    | 2    | 3    | 1    | 1    |      |
| TEACHER      | 1    | 3    | 3    | 3    | 3    | 1    | 2    | 2    | 1    | 2    | 1    | 1    | 1    | 1    | 1    | 3    | 1    | 1    | 3    | 1    | 3    | 2    | 2    | 2    |      |
| MERCY        | 1    | 3    | 3    | 2    | 3    | 1    | 3    | 1    | 2    | 1    | 2    | 1    | 3    | 1    | 1    | 3    | 1    | 3    | 1    | 3    | 2    | 2    | 2    | 2    |      |
| PERCEIVER    | 1    | 2    | 3    | 3    | 3    | 1    | 3    | 2    | 1    | 2    | 1    | 2    | 3    | 1    | 1    | 3    | 1    | 3    | 1    | 2    | 1    | 1    | 2    | 2    | 3    | 3    |
| ENOURAGER    | 1    | 2    | 3    | 2    | 2    | 1    | 1    | 2    | 1    | 2    | 1    | 3    | 1    | 3    | 1    | 3    | 1    | 2    | 3    | 2    | 2    | 2    | 2    | 2    | 3    | 3    |

Table 5:
Cluster Analysis ANOVA

<table>
<thead>
<tr>
<th>Cluster</th>
<th>Mean Square</th>
<th>df</th>
<th>Error Mean Square</th>
<th>df</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>GIVER</td>
<td>18756.30</td>
<td>49</td>
<td>120.76</td>
<td>4127</td>
<td>155.31</td>
<td>0.000</td>
</tr>
<tr>
<td>RULER</td>
<td>28750.63</td>
<td>49</td>
<td>115.11</td>
<td>4127</td>
<td>249.76</td>
<td>0.000</td>
</tr>
<tr>
<td>SERVER</td>
<td>12855.59</td>
<td>49</td>
<td>122.07</td>
<td>4127</td>
<td>105.31</td>
<td>0.000</td>
</tr>
<tr>
<td>TEACHER</td>
<td>23451.16</td>
<td>49</td>
<td>121.32</td>
<td>4127</td>
<td>193.29</td>
<td>0.000</td>
</tr>
<tr>
<td>MERCY</td>
<td>36560.13</td>
<td>49</td>
<td>115.22</td>
<td>4127</td>
<td>317.28</td>
<td>0.000</td>
</tr>
<tr>
<td>PERCEIVER</td>
<td>26392.41</td>
<td>49</td>
<td>120.03</td>
<td>4127</td>
<td>219.86</td>
<td>0.000</td>
</tr>
</tbody>
</table>
Table 6: 
Number of Cases in Each Cluster

<table>
<thead>
<tr>
<th>Cluster</th>
<th>Cases</th>
<th>Cluster</th>
<th>Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>58</td>
<td>26</td>
<td>61</td>
</tr>
<tr>
<td>2</td>
<td>93</td>
<td>27</td>
<td>120</td>
</tr>
<tr>
<td>3</td>
<td>136</td>
<td>28</td>
<td>82</td>
</tr>
<tr>
<td>4</td>
<td>94</td>
<td>29</td>
<td>106</td>
</tr>
<tr>
<td>5</td>
<td>97</td>
<td>30</td>
<td>104</td>
</tr>
<tr>
<td>6</td>
<td>13</td>
<td>31</td>
<td>81</td>
</tr>
<tr>
<td>7</td>
<td>87</td>
<td>32</td>
<td>67</td>
</tr>
<tr>
<td>8</td>
<td>109</td>
<td>33</td>
<td>107</td>
</tr>
<tr>
<td>9</td>
<td>50</td>
<td>34</td>
<td>92</td>
</tr>
<tr>
<td>10</td>
<td>70</td>
<td>35</td>
<td>47</td>
</tr>
<tr>
<td>11</td>
<td>85</td>
<td>36</td>
<td>110</td>
</tr>
<tr>
<td>12</td>
<td>84</td>
<td>37</td>
<td>103</td>
</tr>
<tr>
<td>13</td>
<td>84</td>
<td>38</td>
<td>62</td>
</tr>
<tr>
<td>14</td>
<td>1</td>
<td>39</td>
<td>100</td>
</tr>
<tr>
<td>15</td>
<td>69</td>
<td>40</td>
<td>69</td>
</tr>
<tr>
<td>16</td>
<td>81</td>
<td>41</td>
<td>101</td>
</tr>
<tr>
<td>17</td>
<td>85</td>
<td>42</td>
<td>88</td>
</tr>
<tr>
<td>18</td>
<td>134</td>
<td>43</td>
<td>111</td>
</tr>
<tr>
<td>19</td>
<td>104</td>
<td>44</td>
<td>38</td>
</tr>
<tr>
<td>20</td>
<td>103</td>
<td>45</td>
<td>123</td>
</tr>
<tr>
<td>21</td>
<td>45</td>
<td>46</td>
<td>93</td>
</tr>
<tr>
<td>22</td>
<td>111</td>
<td>47</td>
<td>106</td>
</tr>
<tr>
<td>23</td>
<td>86</td>
<td>48</td>
<td>1</td>
</tr>
<tr>
<td>24</td>
<td>87</td>
<td>49</td>
<td>91</td>
</tr>
</tbody>
</table>

Since no research has been done yet on the relationship of these clusters to person-job fit, any application at this point would be mere speculation. However, speculation is what drives the desire to research and investigate useable patterns that can help us predict success and satisfaction in job placement. The authors wonder if a profile such as cluster number 3 would be a good fit for a Human Resource administrator. Or, if a profile such as cluster 38 would be a good fit for a college professor. Perhaps a profile such as cluster 13 would be a good fit for an auditor or investigator. The authors believe that the presence of 48 discrete clusters of the seven gifts offers supporting evidence of the relationship between gift profiles and person-job fit.

**Person-Job Fit Studies That Used this Gift Test**

We have pointed out the value of the seven motivational gifts to predict person-job fit. Since the creation of the instrument, four studies have used the instrument to show profiles for nurses, Air Force personnel, college professors, and police officers.
Tomlinson (2012) used the Motivational Gift Test in a study of 54 nurses and found two significant clusters as shown in table 7. Tomlinson found no significant differences in job satisfaction between the two clusters/profiles.

Earnhardt (2012) used the Motivational Gift Test in a study of 72 Air Force Personnel and found two distinct clusters/profiles with no significant differences in job satisfaction between the two clusters/profiles (table 7).

Table 7:
Independent Sample t test Cluster 1 versus Cluster 2 for Seven Motivational Gifts

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Cluster 1 M</th>
<th>Cluster 1 SD</th>
<th>Cluster 2 M</th>
<th>Cluster 2 SD</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Giving</td>
<td>28.82</td>
<td>11.68</td>
<td>48.02</td>
<td>15.53</td>
<td>-5.87</td>
<td>.000</td>
</tr>
<tr>
<td>Ruling</td>
<td>48.23</td>
<td>12.42</td>
<td>74.86</td>
<td>9.11</td>
<td>-10.44</td>
<td>.000</td>
</tr>
<tr>
<td>Serving</td>
<td>56.91</td>
<td>10.80</td>
<td>71.84</td>
<td>9.11</td>
<td>-6.36</td>
<td>.000</td>
</tr>
<tr>
<td>Teaching</td>
<td>45.58</td>
<td>14.96</td>
<td>68.15</td>
<td>13.01</td>
<td>-6.84</td>
<td>.000</td>
</tr>
<tr>
<td>Mercy</td>
<td>33.29</td>
<td>15.11</td>
<td>44.84</td>
<td>17.15</td>
<td>-3.01</td>
<td>.004</td>
</tr>
<tr>
<td>Perceiving</td>
<td>48.97</td>
<td>12.53</td>
<td>71.84</td>
<td>13.32</td>
<td>-7.48</td>
<td>.000</td>
</tr>
<tr>
<td>Encouraging</td>
<td>45.88</td>
<td>18.23</td>
<td>65.92</td>
<td>14.65</td>
<td>-5.16</td>
<td>.000</td>
</tr>
</tbody>
</table>

Tomlinson and Winston (2011) used the Motivational Gift Test in a study of 87 college professors and found two distinct profiles, shown in table 8. The two groups showed no significant difference in job satisfaction scores. Further research using case studies might add to the insight of the profiles and person-job fit. We propose the two profiles show academic administrators (group 1) and academic instructors (group 2).

Table 8:
Final Cluster Centers (as % of Maximum score) and Significance per Gift

<table>
<thead>
<tr>
<th>Cluster 1 (N = 23)</th>
<th>Cluster 2 (N = 31)</th>
<th>M</th>
<th>SD</th>
<th>M</th>
<th>SD</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perceiving</td>
<td></td>
<td>49.4</td>
<td>15.4</td>
<td>61.6</td>
<td>15.9</td>
<td>0.006</td>
</tr>
<tr>
<td>Serving</td>
<td></td>
<td>65.2</td>
<td>7.1</td>
<td>77.6</td>
<td>9.6</td>
<td>0.000</td>
</tr>
<tr>
<td>Teaching</td>
<td></td>
<td>45.2</td>
<td>12.2</td>
<td>64.4</td>
<td>11.4</td>
<td>0.000</td>
</tr>
<tr>
<td>Encouraging</td>
<td></td>
<td>55.2</td>
<td>9.9</td>
<td>69.4</td>
<td>14.7</td>
<td>0.000</td>
</tr>
<tr>
<td>Giving</td>
<td></td>
<td>46.3</td>
<td>11.0</td>
<td>57.7</td>
<td>14.0</td>
<td>0.002</td>
</tr>
<tr>
<td>Ruling</td>
<td></td>
<td>42.6</td>
<td>11.6</td>
<td>64.0</td>
<td>9.5</td>
<td>0.000</td>
</tr>
<tr>
<td>Mercy</td>
<td></td>
<td>49.6</td>
<td>9.6</td>
<td>71.7</td>
<td>11.3</td>
<td>0.000</td>
</tr>
</tbody>
</table>
McPherson (2008) used the Motivational Gift Test in a study of 197 police officers and found three clusters/profiles (Table 9) with two of the clusters reporting higher levels of job satisfaction and person-job fit compared to the third group. McPherson followed the high/medium/low categorization of gift scores described in this current study and described the three cluster/profiles this way:

Cluster 1 showed a profile of high level on the ruler scale and medium level for the rest of the six scales of motivational gifts. Subsequently this cluster was labeled as the “ruler” cluster. Cluster 2 showed a profile of medium level gifts on five (Encourager, Perceiver, Ruler, Server, and Teacher) scales and low level on the rest of the two (Mercy and Giver) scales. This cluster was therefore labeled as “playing by the book” cluster to reflect their lower level gift profile in mercy and giving. The final cluster, Cluster 3, showed a profile of high level on four (Encourager, Perceiver, Ruler, and Server) of the seven scales and medium level for the rest of the three (Mercy, Giver, and Teacher) scales of motivational gifts. Subsequently this cluster was labeled as the “enabler” cluster to reflect their high level gift profile in encouraging, perceiving, ruling, and serving. (p. 45)

McPherson may have found three types of police officers that describe different police officer roles of officer, detective, and interrogation. Further research using case study may be needed to see the usefulness of this in person-job selection.

Table Nine:
Cluster Centers

<table>
<thead>
<tr>
<th>Motivational Gift</th>
<th>Cluster 1</th>
<th>Cluster 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perceiving</td>
<td>72.8</td>
<td>56.3</td>
</tr>
<tr>
<td>Serving</td>
<td>73.0</td>
<td>65.3</td>
</tr>
<tr>
<td>Teaching</td>
<td>76.9</td>
<td>67.4</td>
</tr>
<tr>
<td>Encouraging</td>
<td>76.3</td>
<td>58.4</td>
</tr>
<tr>
<td>Giving</td>
<td>67.0</td>
<td>53.0</td>
</tr>
<tr>
<td>Ruling</td>
<td>74.8</td>
<td>59.3</td>
</tr>
<tr>
<td>Mercy</td>
<td>64.0</td>
<td>50.9</td>
</tr>
</tbody>
</table>

The results of the four studies reported here do not provide conclusive evidence of unique profiles for specific jobs but do indicate that different profiles exist for the different jobs of the participants in these studies. The common finding that job satisfaction did not show significant differences indicates that there are similarities between the clusters/profiles for each job category – nursing, police, professors, and Air Force Personnel meaning that for each population sample each of the profiles would be appropriate, regarding job satisfaction. More work should be done on the relationship between the Motivation Gift clusters/profiles and person-job fit.
Conclusion

This study presents the findings of a tautologically built instrument to measure the Romans 12 motivational gifts using behavioral response measures. This instrument differs from other instruments in that it is statistically tested and shown to have a normally distributed data for a population of 4,177 people who completed the web form instrument.

Future research should include test-retest reliability studies and a comparison of people who fit a specific cluster/profile and people who do not fit the specific profile to determine differences in person-job fit or job satisfaction. It is not clear why females and males score differently on the scales, which also presents potential future research. Perhaps the most useful application of the Romans 12 gifts to the corporate environment can be seen in the four studies completed since the instrument was developed. These studies offer strong support for using Romans 12 gift profiles in person-job fit analysis.

About the Author

Dorena DellaVecchio, Ph.D. is founder of www.gifttest.org. Her experience includes teaching in undergraduate and graduate programs in business, leadership, organizational development, and serving as former program director of the Master of Arts in Organizational Leadership program at Regent University. Dr. DellaVecchio’s research interests include leadership, organizational development, personality, and spiritual gifts. Email: dorena.dellavecchio@gmail.com

Bruce E. Winston, Ph.D. serves as professor of business and leadership at Regent University’s School of Business & Leadership in Virginia Beach, Virginia. Dr. Winston teaches, trains, and consults in the areas of leadership, organizational development, communication, quality improvement, and marketing. He has 13 years of experience leading organizations in the commercial printing industry and 21 years of experience leading academic units at Regent University. Dr. Winston has lectured and consulted in the United States as well as Canada, Europe, and South Africa. Email: bwinston@regent.edu

References


Winston, B., & DellaVecchio, D. Do leaders possess high levels of all seven Romans 12 gifts? Regent University, Working Paper.


MODELLING OF LENIENCY IN LEADERSHIP IN THE FACE OF HARDSHIPS

Krista Kohtakangas
University of Lapland, Finland

Juha Perttula
University of Lapland, Finland

Antti Syväjärvi
University of Lapland, Finland

This study evaluates the hardships that are experienced when engaging in leadership activities. It explores how especially middle managers employ self-leadership and express self-compassion when facing work-related hardship events. The empirical data consists of seven interviews of middle managers, which were analyzed using the grounded theory method. The study shows how middle managers generate leniency in leadership by beginning with emotional distress and ending with restored peace of mind. The results identify the self-leadership strategies employed to endure the experienced hardships. Work context and principles of acting regulate the formation of leniency in leadership. The outcome is featured by putting one’s mind to rest and learning from the experience. The means to lead oneself and to be kind to oneself interconnect in leniency in leadership, which is theorized as the interface of self-leadership strategies and self-compassion as a special form of self-directive behavior.

Insecurity has increased in the labor market due to factors such as global competition, economic crisis, downsizing, and changes in work. For example Caughrón and Mumford (2012) observe that those remaining at work must take on a greater burden. Moreover, the nature of work is becoming more intensive and temporary, creating a “survival game” atmosphere. Any successful phenomenon in work life, contrasted to the overall challenges, seems especially interesting in this situation. For example, research in the fields of positive psychology and positive
organizational behavior (POB) has revealed the sources of employee well-being at work and successful work processes. According to Froman (2010), applying the principles of positive scholarships to work life helps employees to adapt to insecurity and retain self-confidence by promoting joy, gratitude, hope and interest. The organizational research in the fields of leadership, change and psychology highlights the importance of focusing on affirmative aspects such as improvements, strengths, resources, optimism and capabilities—essentially, the need for people to hold both positive and possibility-based outlooks (Spreitzer, 2006; Youssef & Luthans, 2007). However, the majority of the research concerning organizations still concentrates on eliminating the problems (Roberts, 2006), rather than on recognizing the potential of strengths and capacities to enhance work life (Luthans, 2002; Luthans, Youssef, & Avolio, 2007).

Most people assume that any person in the midst of pressures in life, including work, develops the positive means of leading himself or herself through the hardships. This study explores the constructive methods of middle managers' leading acts, which we consider as formulating and communicating change ideas. We believe producing and communicating change ideas is available for anyone who possesses relevant proficiency, although it is the managers’ responsibility to implement these change ideas. We are interested in how middle managers, in the face of hardships, perceive self-leadership and self-compassion in their works as managers when engaging in leading acts, and how they encourage their subordinates to use their proficiency to create change ideas.

Middle managers represent an important group in organizations and work societies, because they occupy a critical role between strategic and front-line management. For example, as organizations compete, change or learn, they tend to delegate broader sets of responsibilities down to middle managers (Currie & Procter, 2001). In addition, these managers are exposed to situations that are complex in nature, yet very little is known about how these issues are dealt with. DeChurch, Hiller, Murase, Doty and Salas (2010) found that only a minority of organizational research over the previous decades has focused on middle managers. As organizations become more flattened and geographically dispersed, the role of middle managers’ is elevating as they are in charge of connecting the strategic and operational levels of the organization (Balogun & Johnson, 2004; Kanter, 1982). However, it seems that whatever causes the change or challenge setting the conditions for leading acts, middle managers are challenged to formulate and communicate change ideas.

Quy (2001) identifies four unique characteristics of middle managers: entrepreneur, communicator, therapist, and tightrope artist. As entrepreneurs, middle managers envisage and communicate change using their insight of the operative surface, as well as encourage employees to produce change ideas. As communicators, middle managers customize the top management messages to audiences utilizing their large networks when information and action is needed. As therapists, leaders offer support and sincere caring to their staff and communicate with them in a straightforward manner. As tightrope artists, middle managers balance between change and continuity by being aware of the consequences of change that is either too rapid or too slow (Quy, 2001).

This study explores middle managers' work through the theoretical lenses of self-leadership and self-compassion as the compounded experiential phenomena. Following a phenomenological formulation, a phenomenon is considered experiential if it is structured by a personal conscious way of giving meaning to a life situation to which a person is related (Perttula, 2008). Hence, in the authors’ view, being experiential phenomena, self-leadership and self-compassion have a conscious subject, the middle manager, who is intentionally directed to
himself or herself and to the actual leadership settings as intentional objects. In those experiential relations, the intentional objects are understood by a middle manager as a conscious subject (Perttula, 2008). Consequently, through the concepts of self-leadership and self-compassion, it is possible to gain both self- and situation-related knowledge about middle managers leading acts in experienced hardships. Empirically, the study is open to discovering all self- and situation-related hardships that middle managers face at work, if those hardships appear experientially significant to them. The term “leniency in leadership” is used to reflect the totality of successful living through the hardships.

**Self-leadership and Self-compassion Compounded**

Self-leadership refers to personal strategies that anyone can apply. These strategies are often divided into three groups: behavior-focused, natural reward, and constructive thought (Manz & Sims, 2001; Neck & Houghton, 2006). First, as behavior-focused strategies, self-leadership guides the processes in which individuals affect themselves to be motivated and oriented to perform, while constantly giving themselves feedback on their performance; these processes include self-observation, self-goal setting, self-reward, self-punishment, and self-cueing (Houghton, Dowley & DiLielo, 2012; Neck & Houghton, 2006). Behavior-focused strategies orient their consciousness to control the direction of their acts. Furthermore, they set goals for their action and consider the possibility of rewards or sanctions while trying to reduce ineffective behavior (Neck & Manz, 2010). Second, as natural reward strategies, self-leadership helps people to find the task more enjoyable, either by building more pleasant aspects into the task or by focusing on the pleasant features of the task (Houghton et al., 2012). Third, as constructive thought strategies, self-leadership includes reshaping mental images to have a positive impact on performance by removing dysfunctional beliefs and engaging in positive self-talk (Manz & Sims, 2001; Neck & Houghton, 2006).

Froman (2010) differentiates self-leadership as a personal trait and as an organizational resource to create self-directive, productive and creative employees. The core of self-leadership is often seen as self-directive emotional intelligence and consciously directing oneself to strive for meaningful goals (D’Intino et al., 2007). At the organizational level, self-leadership stresses the vitality to create settings in which the employee’s abilities are noticed and development is encouraged (Carson & King, 2005, as cited in Wilson, 2011). Either way, self-leadership capitalizes on self-awareness and self-reflection. According to Avolio, Griffith, Wernsing and Walumbwa (2010), being self-reflective is a state of awareness of what is going on, interpreting it, and considering the lessons learned. Self-reflection is a tool for finding meaningfulness at work and making improvements to the work climate (Avolio et al., 2010). It implies curiosity and honesty toward oneself, as well as an urge to learn from oneself without any initial judgment. Self-reflection is adaptive if it enhances personal success and helps others to succeed. On the contrary, high self-awareness in lack of authenticity may lead to harmful anxiety (Avolio et al., 2010).

Neck and Houghton (2006) regard self-leadership as a normative model instead of a descriptive model. The presented models of self-leadership as strategies depict what are understood as self-based intentional acts, i.e. the experientially grounded strategies to lead people including oneself as a leader. In this research, self-leadership refers to the experiential strategies utilized in leadership dilemmas. The concept of self-leadership covers a person’s
awareness that all the strategic means to cope with the hardships in work settings are bound to intentional relations of “the experiencing self” and “the leadership situation to be experienced.”

The concept that is fruitfully associated with self-leadership is self-compassion; a healthy way of relating to one's suffering (Neff, 2003a). Self-compassion originates in Eastern philosophy and Buddha psychology, where being imperfect is part of a spiritual living (Neff, 2003a; Gilbert, 2010). This study’s authors agree with Neff (2003b) that many psychological theories display individuals as self-centered in an egoistic manner, but in reality, people tend to be more critical toward themselves than toward other people. Similarly, Gilbert (2010) observes that people are apt to think more about how they treat the people around them than about themselves. Neff (2003a) points out that the same way people relate to other people’s misery with understanding, being self-compassionate implies being tuned into one’s own suffering and responding to it with kindness.

Self-compassion has three dimensions: (1) treating oneself kindly in the face of distress by engaging in soothing and comforting oneself; (2) recognizing that suffering is a natural part of life, which builds up a sense of belonging; and (3) mindfully confronting one’s painful emotions (Neely, Schallert, Mohammed, Roberts & Chen, 2009; Neff, 2003a). These dimensions form three dichotomies: self-kindness vs. self-criticism, common humanity vs. isolation, and mindfulness vs. over-identification (Neff, 2003a). Self-kindness refers to an open-heartedness toward one’s own suffering while reducing self-criticism and judgment of one’s mistakes (Neff, Kirkpatrick & Rude, 2007a). Common humanity signifies the human life as imperfect and helps to mindfully confront unpleasant emotions instead of pushing them away or being melodramatic in one’s suffering. Mindfulness promotes finding distance from the personal emotions and thus controlling them (Neff, 2003a; Neff et al., 2007a).

Self-compassion is not bound to a personality structure, even though it appears evident that some people are more resilient than others in dealing with hardships (Bonanno, 2004). Self-compassion is the capability to find meaningfulness, sense of belonging, hope and calmness during hard times (Neff et al., 2007b). It is about not continuing to live in the shadows of one’s misfortunes and failures, but being productive and satisfied with life (Birnie et al., 2010; Leary et al., 2007).

Unlike in self-leadership, the focus of self-compassion is on the negative life occasions, e.g. hardships, difficulties, sufferings and losses. Hence, self-compassion is featured by the distinctive, positive ways to be directed to oneself in or after the harmful life situations. By considering the concepts of self-leadership and self-compassion simultaneously, the focus is set on the constructive experiential strategies used when engaging in leading acts, in order to manage hurtful situations in such a way that people learn to appreciate themselves in a more positive or “life-sustainable” fashion. Therefore, “leniency in leadership” is the process in which self-leadership and self-compassion are compounded.

Methods

Research Strategy

Since the research for this study involved the real-life experiences of self-leadership and self-compassion, it followed the strategy of inductive-deductive grounded theory. Much of the self-leadership research (see Houghton & Neck, 2002) and self-compassion research (e.g. Neff, 2003ab) has been built on the tradition of measuring attributes. As Suddaby (2006) states,
grounded theory is not meant to ignore the existing research, but to be aware of its influence in generating new knowledge. Our aim is to explore, according to qualitative research logic, how middle managers' experiences manifest the phenomena of self-leadership and self-compassion when they were called upon to formulate and successfully communicate their own situationally determined change ideas. This study associates the real-life experiences of self-compassion with the self-leadership strategies to interpret the leading acts in these challenging situations.

**Sample**

The study participants were required to have at least one year of work experience as a middle manager and at least two subordinates. The middle managers operated within the organizational structure at least one hierarchical level up from the employees and one level down from the top management (e.g. CEO, executives). The abbreviation “MM” is used for middle managers throughout this paper. Interviewees were sought using snowball sampling and a motivation letter. The interviewees worked in public-sector, private-sector and non-profit organizations. The seven interviewees, managers engaged in leading acts, had at least two years’ experience; the number of direct reports ranged from 4 to 300. All participants had responsibilities upward in the organizational hierarchy. Four of them had previously performed tasks belonging to a lower position within the same organization; one still did so alongside the present position. Two participants had recently resigned from their middle manager tasks; therefore, their interviews focused on their former employment.

Data was collected using semi-structured interviews (Patton, 1990) that contained two main themes: (1) self-leadership strategies the MMs use in their work and expressing self-kindness in work settings, and (2) everyday work situations that had been experienced as difficulties, failures or hardships. The interviewees were asked to describe the work situations in detail, tell about the emotions and thoughts awakened by the situations, and describe how they set their minds to rest after these situations. To obtain the optimal data variation needed in grounded theory research, positive incidents in everyday work situations were also solicited using the same three-step logic. These incidents were the key elements that connected the MMs’ thoughts, emotions, reactions and perceptions covering the whole time sphere of the perceived hardships or failures to the antecedents of experiential self-leadership and self-compassionate behavior. The interviews were flexible in order to focus on the areas that were significant to each interviewee.

**Procedures**

The grounded theory method formulated by Strauss and Corbin (1990) was followed in the analysis, with certain deviations. Selective sampling was applied in lieu of theoretical sampling, due to geographical distances and time limits. In selective sampling, data collection is limited to a certain time period, and subjects are decided beforehand (Backmann & Kyngäs, 1999; Sandelowski, 1995). On that account, data analysis and data collection were not simultaneous. While the selectivity challenges the saturation and theoretical form of the research, this method fits the exploratory goals of this research. Moreover, the snowball sampling method offered the needed variety in the sample. Furthermore, the interviewees themselves may contribute to completing the emerging theory (Strauss, 1987). For example, during data
collection the first interviewee brought up the importance of leisure-time activities; hence, the theme of the leisure time was added to the interview guide.

The analysis progressed by the level of abstractness from open coding to selective coding. In the first stage, the data was examined chapter by chapter and a headline was assigned to each of the contents. Open coding proceeded by asking questions from the data, and searching for different occasions, actions, relations, contexts, effects and consequences (Strauss & Corbin, 1990). Theoretical memo writing supports the emergence of categories by widening the perspective for interpreting the data, as well as supporting the constant comparative analysis where the findings are continuously compared by identifying the commonalities and causality chains. An example of the open coding memo includes descriptive concepts as “self-soothing effects,” “communicative practices,” and “defensive attitude,” that depict MMs' experiences when engaged in leading acts.

The axial coding proceeded by listing emerging concepts and forming the first categories. According to Strauss and Corbin (1990), axial coding involves rearranging data by interconnections uncovered in open coding. Discovered occasions, actions, contexts, relations, effects and consequences guide the categorizing process. In this stage, the data was approached by looking how the formulation and successful communication of change ideas was related to the hardship situations, and the experience of the middle manager. It was becoming evident that the data reflected the ways MMs act in highly different work situations.

As Strauss and Corbin (1990) and Suddaby (2006) note, selective coding and axial coding often interact, as the analysis is nonlinear. While reorganizing the categories and reviewing the data, it appeared that the MMs interpret their work through the work context and their personal principles. However, these categories alone did not sufficiently explain the relationship between interpreting the hardships and acting in them. As selective coding continued to identify the salient points of the entire data to become the core category, the analysis continued to focus on encountering hardships in a more specific illustration of living through the hardships. It became evident that MMs, as our example, manage these troublesome situations by using the strategies figured out in action, which help them to get through the hard times and reach peace of mind. This discovery contributed to form a model of leniency in leadership, which bridges together the hardships in work situations and the related experiential orientation to themselves.

Results

Following the grounded theory (GT) procedure, the results of this study are conceptualized and presented in the hierarchy of two supportive categories and the core category. First, the theoretical concepts that emerged from the data are presented, as the GT procedure implies (Glaser & Strauss, 1967; Strauss & Corbin, 1990); second, these concepts are narrowed down to the discussion of the existing concepts of self-leadership and self-compassion. The results presentation begins with the supportive categories of managers work context, and principles of acting in which we introduce the two different threads; of how MMs themselves engage in leading acts and how they encourage their followers to produce change ideas. The results section concludes with the core category of leniency in leadership, in which the hardship process and generation of leniency is examined. Figure 1 presents the findings of the grounded theory analysis as the core category, two supporting categories and the specified themes they covered.
Supporting Category 1: Work Context
Managers Work Scope
Engaging in leading acts

Supporting Category 2: Principles of Acting
The idea of humanity
The portrayal of a good leader
Self-leadership

Core Category: Leniency in Leadership
Hardships and their influences
MM's self-leadership strategies
Restoring peace of mind: Leniency principle
Learning & the category of experiences

Figure 1: Hierarchy of the resulting categories

Supporting category 1: Work Context

Managers Work Scope defines what management and leading acts MMs are expected to perform, and what the MM's included in their role as middle managers. The targeted MMs had limited authority, but vast responsibilities, ranging from supporting the implementation of basic work tasks to being accountable for the productivity of a particular group of employees. All supervisors are accountable for helping and guiding leaders defined in advance or anyone who is or may become engaged in leading acts. The MMs' task is to supervise the personnel in the organizational unit by the means of human resource management, which in their perspective creates a dichotomy of personnel management and other administration. The results maintain that, without exception, the work-related needs of the staff are the priority for the MMs. They perceive themselves as team players who act in a certain position for the team. In their experience, they have a double duty concerning their staff: to motivate them and to protect them from organizational conflict.

To be conscious about one's power and responsibilities, that I have this kind of job, that I have to behave in certain way. And also, that to be capable of doing the work I have to stick to my own position, which is the job as the supervisor.... So I have to concretize my role and responsibilities and power. (MM 6)

Due to their role, MMs are also required to take part in executive meetings. Caughron and Mumford (2012) observe that executives can have a substantial impact of MM's management style, e.g. they feel threatened if their superiors practise a management style that is more coercive than supportive. At best, MMs are equal members of the executive boards and their concerns are heard. According to data, MMs experience that the organizational culture is
being formed by the decisions and actions the executive board makes and takes. A bureaucratic and authoritarian culture is perceived to be a difficult operational environment to support staff’s self-direction, which is the major issue in MM's work.

One of the worst scenarios in the MMs' work is the lack of resources, which may lead to subordinates' exhaustion and frustration. MMs feel that the executives lack understanding and interest, and issue more demands on them to do more with less. This study reveals that MMs tend to reflect their expectations and behavior in relation to their supervisor. They describe a good relationship with their supervisor as having a mentor. In the majority of cases there appeared harmful relations, where the MMs' supervisor behaves arrogantly or immorally, avoids taking responsibility, delegates his or her own work to the MM, or is dishonest and untrustworthy. In the extreme case, it may become the experiential reason for the MM to resign. The relationship between the MMs and their superiors appears highly significant.

MMs describe colleagues as those who share the same fate. When MMs determine their sphere of responsibilities and freedom, cooperative activities must be included. Cooperation is to some extent tied to work context, but supportive interaction and sharing information are common between the managers with similar responsibilities. Colleagues understand what the others are going through because they feel equal. In colleague relations, MMs can speak freely without sensing the need to protect the staff from hearing the most difficult issues of executive policies.

**Engaging in Leading Acts.** This dimension of work context shows that, on the operative surface, MMs are willing to formulate change ideas and to promote their employees to do so, too. However, the leading acts are tied to their experienced role as MMs. According to the MMs' experience, they find themselves influential in constructing the work culture. The "rules of behavior" belonging to work culture are often implicit guidelines that are shaped by management actions. MMs believe that their staff must be able to trust that they are willing to act in their best interest. Trust includes evaluating whether the MM is capable, fair and loyal to the staff. However, when engaging in leading acts such as formulating change ideas and communicating them, the evaluation concerns the MMs' proficiency. A great example of this is the managers' duty of making decisions, just like Quy (2001) notes that the operative surface manager translates the administrative language to employees by shaping the organizational policies into concrete work actions. When these policies are planned in the executive levels, MMs must now take them into action by shaping and communicating them to the employees. It is also possible that MMs engage in formulating these change ideas in the executive meetings, depending on their status. It seems that in the MMs work scope it is unavoidable to formulate and communicate change ideas to make idea implementations possible.

Another dimension in decision making is how MMs claim to ground their decision-making and change idea implementing in both the formal authority of their position and the self-control of their work. They often brought up using and reinforcing employee self-direction as a tactic to control their own work amount and to support the emergence of change ideas. Naturally, MMs in their manager role feel obligated to draw the lines between possible and impossible solutions when encouraging their employees to formulate change ideas. When decision-making is related to plain implementation activities, MMs experience it as problematic as they do not always feel that they have the best knowledge and information to make decisions, or know the resulting effects of each decision. Yet the MMs' major interest in decision-making is how it will affect their staff’s work. However, after they make a decision, they are prepared and willing to keep it.
By supporting employee self-direction, MMs enable the idea formulation and communication to emerge among employees. A major issue for MMs is to sustain the interaction in face-to-face communication with employees, enabling cooperation between staff and colleagues, and establishing the policies for interaction. These actions pave the way for information flow throughout the department and the entire organization, so that the MMs may have better knowledge of the needs of their employees, and be armed with the best available information to decide whether to implement the change or not.

One interesting aspect of managers engaging in leading acts is the division of the roles. According to our data, when it comes to implement changes, MMs consider it their duty to support the staff when they are confronting personal emotions - especially anger, disappointment and frustration - so that issues can be handled in a more constructive manner. One possible explanation for this emergence of non-constructive reactions is that the employees have not participated in the change idea formulation or communication has not been successful. As managers, MMs are responsible for change implementation, whether the employees are prepared or not. So interestingly it seems that rather than engaging in re-formulating and re-communicating the change idea, MMs may hide behind the supervisory nature of their work by explaining the management actions by maintaining one’s professionalism:

There are situations in which you have to be able to hold on to your professional status and your strengths and your position as a supervisor.... You can’t be like those who... start to raise hell with the crowd, rather, in my opinion, as a supervisor you need to stand above it and be able to...somehow to cut off the situation.... (MM3)

Supporting Category 2: Principles of Acting

Principles of acting emerged from the data as work-contextual ideas. They are not bound to certain management or leading acts, rather being simple ideas of treating people including oneself and appearing as guidelines when adjusting to one's work role. Simultaneously, these principles emerged from MMs' insights about treating people with dignity, respect, compassion and caring.

The Idea of Humanity. This dimension of the principles of acting depicts that MMs are after all persons adjusted to their manager role. They emphasize optimism and hopefulness, holistic perceiving, being humane and trustworthy toward people, and the importance of continuous learning and self-development. For these MMs, the staff are personalities whom they want to know better rather than just "objects for better productivity of the organization".

The study reveals that MMs use self-directive methods also for managing their own workload and to be one step ahead of possible troubles. According to the data, MMs are willing to engage in leading acts by using shared leadership and dialogic decision-making to encourage their staff to anticipate problems and to solve them independently; in doing so, they signal that every employee matters and every voice is heard. This way, the MMs reduce complaints and rarely oversee how the work is done—there are no resources or need for that. By acting in a humane way, MMs think they instil trustworthiness and demonstrate how they themselves wish to be treated.
The Portrayal of a Good Leader. This dimension of the principles of acting displays the MMs' perceived importance of self-awareness and its role in identifying one’s strengths and weaknesses. By knowing themselves, MMs admit their mistakes and are honest in their imperfection. MMs may use self-reflection non-purposely, whereas some of them use it as a determined tool in minimizing the burden caused by work. While it appears important to stand behind one’s words, reflection is a tool to explore their own emotions, thoughts and resources. Especially when they disagree with the executive decisions, MMs need to take time to form their own conception before acting. Avolio et al. (2010) refer to these moments as trigger events, when something induces a state of self-focused attention and may prepare the ground for self-development.

How easy it is when you admit your mistakes, it is easy to get approval, as, you’re appreciated more as a leader when you know your good and bad sides and what you can’t do, and so you utilize your followers’ skills.... But if you pretend to be omniscient, you will be despised by your personnel, as you get into stupid situations when you can’t admit that you’re wrong, but rather make excuses and lies to keep pretending you are omniscient. (MM5)

MMs perceive that a good supervisor is trustworthy, fair and easy to approach. Staff will provide feedback only if they do not fear being punished for it. MMs consider their own behavior sets an example for employees to follow. Learning never ends; therefore, MMs develop themselves by reading, studying and networking. Through continuous learning they handle insecurity, and combined with feedback, they get to know what they need to learn more.

Self-leadership. This dimension of the principles of acting refers to the MMs' perception of self-leadership as a precious, learned way of taking care of themselves. In their experience, leading oneself is related to well-being, emotions, self-knowledge, doing one’s work well, and dissection of one’s actions. Together with general attitudes toward life, these aspects situate the MM to the work role where a hopeful life attitude helps to prioritize work tasks and diminish the stress about issues one cannot control. By expressing optimism, the MMs are constructing a work culture where challenges are anticipated and instruments for solving problems are provided to the employees. In MMs' opinion, personality factors of integrity, openness and extraversion help to build up trust.

MMs brought up that taking care of oneself includes enjoyable social and physical activities outside the work. Interacting with friends, family and social networks outside the work context are a source for respiration, thus saying things out loud helps to analyse problems and recognize that hardships are common to everyone. Sports and exercise help to “inhale” as well: yoga, meditation and therapy develop self-leadership abilities such as self-understanding, needs recognition, and attention directing. Self-awareness aids noticing the alarm signals of too much work, for example, waking in the middle of night and ruminating.

According to the data, MMs’ self-leadership is illustrated in two ways: organizing one’s work, and leading one’s intellectual world. The former means taking care of schedules, being systematic and able to prioritize and anticipate; the latter means being in control of one’s emotions and roles, and maintaining sufficient self-awareness to act in accordance with one’s values and ideals. Self-leadership is about finding the balance between experiential sincerity and organizational obligations while accepting what one can and cannot do. When MMs succeed in
maintaining a balance between experiential and organizational needs without splitting the motivation, they perceive their work as worthwhile and satisfactory.

[T]o what kind of a supervisor I want to be, that question I have given a lot of thoughts, and that’s what self-leadership is about—its core, as how I like to be and is it realistic, and if one day I couldn't be like that, you have to learn to think that am I good enough. (MM 6)

The Core Category: Leniency in Leadership

In the final analysis, we focused on interpreting how MMs live through hardship events. As the supporting categories depict, MMs engage in leading acts that are bound to their experienced role. Our interest lies in how self-leadership and self-compassion emerge in the MMs' hardship experiences that are related to the experienced manager role, including engaging in leading acts. First we present a short description of this abstracted process of living through the hardship event. We perceived that the MMs' hardship experiences emerge in two levels, depending on whether they are experienced only individually (Figure 2) or shared by a work community (Figure 3).

An individual process of leniency in leadership begins when the MMs confront work-related events that awaken (negative) emotions that disturbingly insist on conscious attention. Then the MMs reflect on the expectations (work scope) they feel they are being measured against, and consider where they can find support. They are responsible for the fluency of the operative actions, and therefore there are organizational rules to follow—but how? The bottom line in the abstracted individual process of generating leniency in leadership implies finding the space in which the MMs can employ their self-leadership strategies to end the rumination. As the result, the MMs’ peace of mind is restored and the event is transformed into a learning experience that enriches their experiential world.

When the MMs interpret that the hardship affects their subordinates, generating leniency in leadership takes place in two differentiated levels (Figure 3). MMs evaluate that the event is then more severe because they reflect on their ability to fulfil the expectations aimed at them as managers. In their experience, community-level hardships cause a widespread emotional flush among the staff that can be imminent to their well-being and disturb the operative actions. In the sequel to the incident, MMs often perceive that the emotions of the staff are muddled up with their own ones. For the MMs, it is vital to handle the event alone at first. After they have restored their personal peace of mind, they are able to bring the event back to the community, where it is then accepted more easily by the MMs' example. The resulting learning experience is shared, thus reinforcing the self-perceptions of the MM as capable and trustworthy.
Constituents of the Leniency in Leadership

**Hardships and Their Influences.** This dimension of generating leniency in leadership implies three kinds of hardship events: (1) having problems with staff; (2) having difficulties in cooperative activities; and (3) representing organizational demands.

Staff hardships that trigger negative emotions for the MMs are about unpleasant confrontations with an employee, leading change, and conflicts of interest. Unpleasant confrontations with employees include events such as firing an employee, giving reprimands and taking disciplinary actions. The other two aspects, leading change and conflicts of interest, depict how MMs experience being called to lead. With leading change, problems occur when the MMs
think they have prepared the ground for change through discussions and information sharing, but the staff’s emotional turmoil has not yet settled down. This leads to MMs' frustration since they feel incompetent when things are not progressing. If the executives instruct them to carry on despite the discomfort, they may lack the courage to stand up for their staff.

Some employee hardships affect guilt and upset for the work community, such as an employee’s substance abuse or severe illness that remained unnoticed among colleagues, an employee who has been mistreated, conflicts between employees, and negative feedback from the executive level. Here too, the MMs must catch hold of change idea formulation, even not knowing what to do or how to improve the situation. Besides personal upset and the concern over the employee in question, the MMs must cope with the other employees’ (work community) emotions. The MMs, according to the data, beware of showing their personal, negative emotional states at work, even though the event bothers their minds.

Besides direct employee-related hardships, the MMs’ individual process of generating leniency in leadership is also triggered by cooperative and organizational hardships, due to their management role. Co-operative hardships comprise prolonged network projects and betrayal by colleagues who avoid taking responsibility. The former causes anger, lack of confidence and cynicism; the latter complicates cooperation and arouses frustration, disappointment and guilt. Organizational difficulties entail the MMs being harassed, being urged to defend the staff from immoral behavior, and disagreeing with the executives. As organizational representatives, they may become targets of violent behavior by outsiders, which generates fears and frustration if the organization takes no corrective actions. These MMs brought up to have a strong urge to serve as the guardians of the staff. When employees are mistreated, it contradicts the MMs’ principles of humanity and equity, and thereby causes anger and bitterness. Disagreements with executives are critical: MMs are either heroes to the staff and "disloyal nuisances" to the executives, or they allow the mistreatment to continue, which affects to subordinates' evaluation of the MM and the fluency of the work. MMs are pondering which one counts more, and then decide either to act in accordance with their own principles or to succumb to organizational pressure.

**MMs' Self-leadership Strategies.** This dimension of generating leniency in leadership shows that the MMs do not have time to worry about hardships during the work time, but off-work they find it difficult to avoid rumination, especially when the negative emotions are often strengthening. Entering the stage of “finding the space” in the process of generating leniency in leadership implies making the decision to end the rumination and activate the self-leadership strategies. As we stated in the supportive category of principles of acting, MMs' self-leadership is being illustrated by forming systematic work routines and by leading one's intellectual world. At this point, MMs focus on their intellectual world and emotional experience.

Finding the actual solution begins by rationalizing the hardship as the actual fact. MMs are reflecting on whether their emotions are private or absorbed from the staff. Basically, at this point they are asking themselves, “Did I do the right thing?” Then, the MMs have an urge to seek support for themselves by sharing the experienced hardship with someone inside or outside the organization; with someone whom they feel able to show themselves as vulnerable. Making the experience explicit by sharing it is especially vital in the process and advances recovery from rumination, as the MMs enrich their perspectives of the hardship. They may also conclude that they lack the resources to overcome the hardship, so they outsource it. It is peculiar to MMs to close the problematic case rationally by transferring responsibility to their supervisor:
I have been learning this attitude, that what I can’t change, it is. And what I can, and everything I could change, I don’t have enough energy. (MM4)

MMs also try to perceive the big picture of hardships related to the staff if they feel the hardships was caused of the lack of information. Making excuses belongs to the holistic view, since one cannot know other people’s motives. As a self-leadership strategy, MMs invent all sorts of reasons why the hardship occurred. Acknowledging that they have done their best soothes their feelings of anxiety and guilt. In addition to making excuses, the image of professionalism provides a cognitive protection to MMs for making decisions when the real picture of the whole is fragile.

**Restoring Peace of Mind: The Leniency Principle.** This dimension of generating leniency in leadership implies that, by considering their own actions, the MMs reflect on their behavior during the process and estimate how much they acted in accordance with their principles of acting, and how these principles affected the onset and the consequences of the hardship. For the MMs, it is important to have faith in one’s principles of acting, since they use them to prioritize their work. The high demands and fear of mistakes are common. By deepening their self-awareness, MMs learn to regulate their standards and turn their compassion inward. The leniency principle depicts how they gradually recognize that to be humane to others requires being humane to themselves:

*If you’re too harsh towards yourself, and you don’t admit your mistakes at least out loud... you can’t accept other people as they are, you stretch other people and you’re not accepting humanity.* (MM5)

The result of successfully generating leniency in leadership is putting one’s “mind in rest” by silencing the feelings of concern, guilt and helplessness. MMs are also able to help their staff to rationalize the hardships, thus communicating the occurred change. According to the study, all the MMs are able to restore their peace of mind. They find it difficult to break down the realistic view of themselves, despite their commitment to continuous learning. However, the hardship may leave a mark, when the MMs feel mistreated or betrayed either by other people or by their presumed strengths that are later knocked down by their unrealistic self-concept.

**Learning and the Category of Experiences.** This dimension of leniency in leadership depicts how hardships are perceived optimistically as they enable learning. It is impossible to predict the future, no matter how highly developed the work practices are. In the face of hardship, MMs automatically hark back to their category of experiences and search for resemblances between the present and the past. When experiences accumulate, MMs develop their self-leadership strategies by adapting the new patterns of behavior and to confirm the existing ones. By perceiving the hardship as a lesson that is situated in time, the MMs realize that hardships do not last forever and are not their entire life:

*I feel that I am stronger, I feel that I’m more lenient...These experiences, these last two years have all learning, so that it helps me to know how things don’t have to be like.* (MM3)
The activating events as positive challenges play a role in deepening the MMs' self-awareness and professionalism. Positive challenges include organizing the work and being active in finishing issues. Organizing work is about controlling the staff’s workload and helping them to choose another, more suitable job. The category of experiences guides the MMs to use effective self-leadership strategies, which are then reinforced and completed time after time. Thus, their work experiences enhance their ability to cope. The study suggests that the MMs spend their first year in the position adjusting to the job description, learning how to balance between the management role and the leading acts, and shaping their own principles of acting. Accumulating experiences educates the MMs to recognize the vitality of finding compassion toward themselves, too, and to avoid becoming exhausted. Hardships are the work events that help them to become more conscious of their actions, thoughts and emotions. By developing sufficient self-leadership capabilities, the MMs can adjust to their work without sacrificing their well-being. Leading self while turning compassion inward is the core of leniency in leadership.

Discussion

The aim of this study was to explore how MMs experientially master their work tasks in the multi-level network of human relations. In addition to their management role, the MMs also engage in leading acts, when formulating and communicating change ideas and supporting the employees to independently produce and communicate change ideas. This study focused on MMs' experience of hardships in order to identify the approaches of acting and relating to themselves, thus their use of self-leadership and self-compassion in everyday work and inevitable hardship events.

To start with, the MMs manifested the urge to engage in leading acts in addition to their managerial duties, since, in the operative surface, they are responsible for the fluency of employee performance. MMs are willing to formulate change ideas and to promote their employees to do so in order to enhance overall performance and to declare that the employees are important experts of their work who often hold a better proficiency about the matter in hand than the MM him- or herself. For example, MMs are called upon to lead when new policies are to be taken into action. It seems that to be successful, change implementation as a management duty includes MMs' willingness to interact about the change idea. MMs prepare the ground for change by first trying to make sense of the policies themselves, and then giving the subordinates opportunities for participation in decision making as formulating the change idea to fit the units' performance goals.

The data also showed that the MMs encourage their employees to be self-directive and to solve operative problems with their own expertise. This leading act is done in order to ease the MMs' work load and enhancing the atmosphere of trust and sense of value of the subordinates. The data depicts that the MMs are greatly interested in the employees' well-being and sense of worthiness, and so forth the MMs to develop an inner guidebook of principles of acting; a sort of identity expression they use when engaging in management and leading acts. These principles included continuous learning, self-leadership, supporting employee self-direction, as well as ideas about treating others and behaving as a manager. In addition, these principles guide the everyday work actions and become especially significant when MMs confront hardship situations.

Focusing on our main research interest of MM's living through the hardships, we concluded that self-leadership and self-compassion in MMs' hardship experiences constitute
"leniency in leadership", which is about MMs leading themselves through the hardships while addressing their emotions, thoughts and expectations, employing different strategies to ease one's burden, and striving to put their minds at rest. Emerging from the data, MMs' self-leadership strategies in the face of hardships consist of sharing the experience and rationalizing it by searching for support for analysing their own behavior. Manager role is developed to be consistent, while adjusting to both the predetermined work scope and to the MMs’ own principles of acting. Self-leadership is also an essential tool in their work for organizing tasks and schedules and foreseeing possible blind spots.

When it comes to self-leadership theory, the behavioral perspective of self-leadership strategies highlights self-observation. Manz and Sims (2001) emphasize the ability to find natural rewards from one’s surroundings and use different strategies for learning to behave in a more satisfactory manner. D’Intino et al. (2007) emphasize thinking rather than controlling emotions, while Sydänmaanlakka (2006) stresses learning and reflecting to gain better self-knowledge and realistic self-confidence. The results of this study contribute to each of these perspectives. MMs lead themselves to develop their work and adapt their way of thinking and behaving to their work role, which is a collection of self-leadership strategies helping to maintain the fluency of everyday operative work. In addition, the work role is a comprehensive manner of self-reflecting, evaluating one’s principles, and finding a balance between personal strengths and weaknesses. Self-leadership is not merely bound to transient situations; rather, it is continuously balancing with one’s needs and will. On the other hand, self-compassion is emphasized in negative events the MMs encounter, as was theoretically assumed, but also later while approaching a new hardship—harking back to learned experiences and applying a caring attitude towards oneself.

Self-leadership manifests itself as regulating one’s emotions, and strengthens the ability to understand and know the emotions of others and self. Thus, it is also important to pay attention to aspects that might offer either limitations or potentials to self-knowledge (Wilson & Dunn, 2004). It is the strategic means both to act efficiently by being aware of personal needs, expectations and fears, and to utilize this knowledge. The data shows that the MMs interpret and evaluate their work input through their principles of acting, while being sensitive to feedback that either reinforces their self-leadership strategies or changes them. Compassion toward oneself means keeping emotions at arm’s length, which enhances the conscious appraisal of successes or failures. According to Neff et al. (2007b), this psychological distance promotes life satisfaction. The MMs express overall life satisfaction through their optimistic attitudes and will to prioritize things. In the abstracted model of leniency in leadership, the psychological distance is visualized in the stage of finding the space; when differentiating the source of disturbing emotions and confronting them. This space becomes a place for leniency to be generated; where puzzles are solved, humanity and caring are turned inwards and peace of mind is ultimately restored.

In self-leadership research, negative emotions such as depression and unhappiness are caused by dysfunctional beliefs and unrealistic expectations (Houghton, Wu, Godwin, Neck & Manz, 2011). People tend to compare themselves constantly to other people and to linger on bygone negative experiences and guilt. Not much focus has been placed on how to guide self-awareness in order to prevent these effects, although it is often repeated that too much self-awareness, especially when negatively biased, leads to harmful consequences (Manz & Sims, 2001; Neck & Houghton, 2006). According to this, negative emotions should be confronted authentically and uncritically, opening one’s mind to the emotions to be able to handle them, analyse them, and finally let them go. What is named in this study as leniency, expressed as
compassion toward self in self-leadership means, is emphasized in experienced hardships, since one must turn the principle of humanity inward and accept one’s sufficiency. Germer and Neff (2013) refer to this as a "Self-compassion Break". Our study confirms that self-compassionate behavior includes taking time to think and feel, reaching out for support instead of isolation, and reflecting on one’s life goals and principles of living a good life instead of getting stuck with misfortunes and hardships. This is exactly what self-compassion is about, and what the MMs live through when they generate leniency in leadership. The data analysis reveals that a moment of mindfulness is indeed reflection, when the MMs try to attain causality chains.

When generating leniency in leadership, MMs try to strip off unrealistic expectations as they use constructive thought pattern strategies of self-leadership. Emotional over-identification is restrained by attaching emotions to the context, thus making self-reflection vital for the learning experience. This sheds some light on how the MMs reinforce positively framed, self-correcting feedback after hardships to avoid excessive self-punishment (Manz & Sims, 2001; Neck & Houghton, 2006). These hardships as lessons learned are later recalled from the category of experiences, and the constructive self-leadership strategies are repeatedly reinforced and employed.

Self-compassion also promotes understanding that one is responsible for his or her actions, instead of outsourcing the causes to enhance one’s self-image (Leary et al., 2007). As Neff (2003a) claims, self-compassion promotes calmness during hardships and fairness toward oneself when analysing one’s actions. This occurs when the MMs try to rationalize the hardship more objectively (seeking perspectives, differentiating emotions and causality chains) during the process. Even though the MMs used excuses as a self-leadership strategy, they did not underestimate their responsibility in the hardships; rather, they compared their existing resources to the perceived need of resources for handling the hardship. The MMs continuously learn from their work, their roles in it, and the hardships they confront as part of their duty. They adjust themselves to the organizational duties without losing their authentic voice, comprising individual dispositions, their view of life, ideals and values. In the context of academic failure, self-compassion and emotion-focused processes such as acceptance and personal growth, were positively associated. The studies suggest that failures offer grounds for growth and development (Breines & Chen, 2012; Neff, Hsieh, & Dejitterat, 2005) In the MMs case, the aspect of personal growth was emphasized in finding positivity in hardships as a way to develop the leaders’ professional identities and principles of action.

**Conclusion**

This research grasped the specific means of leniency in leadership, and interpreted these means through the concepts of self-leadership and self-compassion. The resulting model of leniency in leadership is the grounded theory-type simplified representation from a rich experience of the MMs. The contribution of this research is to offer the inductive-deductive conceptual abstraction of the lived experiences related to managing challenging work situations. To some degree, we grasped insights of the MMs' experienced work role, in which they are willing to be both manage and lead, while adjusting to their work role with the help of their principles of acting. As the MMs described, the "leniency principle" emerges and develops through experience, thus it can be considered as a skill of thinking and acting in the supervisory role. The MMs seem to derive their leniency principle from the idea of treating subordinates
humanely and with dignity, and by adjusting to their role and learning from hardships and their own suffering, they turn the leniency principle inwards.

At the same time, the MMs aspire towards authentic leadership. Authentic leaders are "those who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others’ values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character" (Avolio, Luthans & Walumbwa, 2004; cited in Avolio & Gardner, 2005). Combined with this perspective, self-leadership with the ability to be self-compassionate buffers MMs from depleting their personal resources and helps to bounce back to their manager role, while holding on of their self-awareness and personal principles of acting. Also, the "leniency principle" could work further in developing and examining the forgiveness in work (Grant, 2008) and development of forgiving and caring organizations (Fehr & Gelfand, 2012; Syväjärvi, Uusiautti, Perttula, Stenvall & Määttä 2014). Conflicts and mistakes are an inevitable part of organizational reality. However, by increasing understanding about restoring personal resources and the insights of being and working as a middle manager, it is possible to support the positive means of leadership, compassion and justice.

The limitations of this research are that in real work situations, emotions, expectations and actions are not as distinct and linear as visualized here. Moreover, the individual-level leniency in leadership is open to other motives than those related to the work role. At this point, the leniency in leadership is merely a perspective that needs to further developed. For future research, the model of leniency in leadership could be completed by richer theoretical sampling, more precisely in timespan and related to the particular self-leadership strategies. In addition, the concept of leniency in leadership needs conceptual analysis compared to the concept of coping or coping styles widely used in psychological research. These concepts were excluded because of the exploratory research design of the study. For the same reason, the theoretical understanding of self-leadership and self-compassion was not based on the standardized scales largely applied. In addition, the leniency as a leadership construct is waiting to be conceptually elaborated.

About the Authors

Krista Kohtakangas is a Ph.D. candidate at the University of Lapland, Faculty of Social Sciences, majoring in administrative science, especially in leadership psychology. Her research interests are leadership psychology, entrepreneurship, and self-compassion. Email: krista.kohtakangas@outlook.com

Juha Perttula is a professor in psychology at the University of Lapland, Finland. His research interests are humanistic psychology, positive psychology, phenomenological methodology, and leadership psychology, especially self-leadership. Perttula took his Ph.D. in psychology at the University of Jyväskylä in 1998. Email: juha.perttula@ulapland.fi

Antti Syväjärvi is a professor in administrative science at the University of Lapland, Finland. His academic work is concentrated especially to the fields like public information management, leadership, human resource management, and change in organizations. Syväjärvi took his Ph.D. in Psychology at the Cardiff University in 1998 and in Administrative Science at the University of Lapland in 2005. Email: antti.sylvajarvi@ulapland.fi
References


IDENTIFYING PRIMARY CHARACTERISTICS OF SERVANT LEADERSHIP: DELPHI STUDY

Adam Focht
Precept Ministries International, Israel

Michael Ponton
Regent University

The purpose of this study was to more clearly define servant leadership by identifying primary characteristics of the phenomenon through a Delphi study. Greenleaf (1977) stated that servant leadership “begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead” (p. 13). Greenleaf clearly stated that in servant leadership, service comes before leadership. Because a servant leader serves first, we designated those characteristics of a servant as the primary characteristics of servant leadership. In order to serve first, a servant leader must first exhibit the primary characteristics and then aspire to lead. Over 100 characteristics of servant leadership have been identified in the literature (Sendjaya, 2003, p. 4). We conducted a Delphi study with scholars in the field of servant leadership and, after three rounds, 12 characteristics were identified as primary characteristics of servant leadership. These characteristics include valuing people, humility, listening, trust, caring, integrity, service, empowering, serving others’ needs before their own, collaboration, love/unconditional love, and learning.

Many find it hard to accept the phenomenon of servant leadership because they do not understand how a servant can be a leader and how a leader can be a servant; that is, it seems to be an oxymoron (Russell & Stone, 2002, p. 145; Sendjaya & Sarros, 2002, p. 57; Wong & Page, 2003, p. 2). However, Kiechel (1995) suggested that the two words should not be thought of as an oxymoron “but rather as a sort of Zen koan, a juxtaposition of apparent opposites meant to startle the seeker after wisdom into new insight” (p. 122). This new insight is that the leader exists to serve those whom he or she leads (Kiechel, 1995, p. 122). Some servant leaders take Kiechel’s idea further, understanding leading and serving as synonymous. Max De Pree (1992) stated, “above all, leadership is a position of servanthood. Leadership is also a position of debt; it is a forfeiture of rights” (p. 220).
Defining Servant Leadership

In 2002, Sendjaya and Sarros stated that only anecdotal evidence exists “to support a commitment to an understanding of servant leadership. . . . One reason for the scarcity of research on servant leadership is that the very notion of ‘servant as leader’ is an oxymoron” (p. 57). In 2010, Winston stated that we still “lack a unified accepted theory of servant leadership” (p. 186). In the same year, Van Dierendonck observed, “despite its introduction four decades ago and empirical studies that started more than 10 years ago (Laub, 1999), there is still no consensus about a definition and theoretical framework of servant leadership” (p. 2).

In the same article that Greenleaf (1977) coined the term servant leadership, he gave a broad definition and stated how to best measure the phenomenon:

The difference manifests itself in the care taken by the servant—first to make sure that other people’s highest priority needs are being served. The best test, and difficult to administer, is: Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged in society; will they benefit, or, at least, not be further deprived? (Greenleaf, 1977, p. 13)

Since Greenleaf defined servant leadership in somewhat vague terms, scholars have been trying to find a more precise definition. Farling, Stone, and Winston (1999) stated, “if anecdotal evidence exists, then the next step in advancing the research stream is to define the major variables” (p. 51). The first to publish his attempt to more precisely define servant leadership by identifying characteristics of the phenomenon was J. W. Graham. In 1991, Graham identified humility, relational power, autonomy, moral development of followers, and emulation of leaders’ service orientation as characteristics of servant leadership. In 1992, De Pree listed 12 characteristics of leadership in which he included integrity; vulnerability; discernment; awareness of the human spirit; courage in relationships; sense of humor; intellectual energy and curiosity; respect of the future, regard for the present, understanding of the past; predictability; breadth; comfort with ambiguity; and presence. Although De Pree did not specifically state that he was listing characteristics of servant leadership, he understood leadership to be a position of servanthood (p. 220).

In 1995, Spears published a list of 10 critical characteristics of servant leadership based on Greenleaf’s writings with the disclaimer that they were “by no means exhaustive. However, these characteristics communicate the power and promise this concept offers to those who are open to its invitation and challenge” (p. 7). Spears’ 10 characteristics included listening, empathy, healing, persuasion, awareness, foresight, conceptualizing, commitment to growth, stewardship, and community. Spears’ list remains to this day the most respected and referred to list of servant leadership characteristics. According to Barbuto and Wheeler (2006), Spears’ work provided “the closest representation of an articulated framework for what characterizes servant leadership” (p. 302).

In 1999, Spears stated that servant leadership is “open to considerable interpretation and values judgment” and therefore attempts should not be made “to define servant leadership as a ‘fixed or complicated set of requirements’” (Spears as cited in Polleys, 2002, p. 124). He argued that “the danger . . . is that it could become so narrowly defined as to close the door on a wider
audience of people who do embrace the broadest definition of servant leadership—namely, Greenleaf’s “test” (Spears as cited in Polleys, 2002, p. 124).

Many other scholars have identified additional attributes of servant leadership. In 1998, Buchen associated four characteristics with servant leadership: capacity for reciprocity, preoccupation with future, relationship building, and self-identity. In 1999, Farling et al. identified five components from the literature on servant leadership. They referred to vision and service as behavioral components and influence, credibility, and trust as relational components. Barbuto and Wheeler (2006) stated that the work of Farling et al. was unclear how it differentiated from “better-understood leadership theories such as transformational leadership” (p. 302). Also in 1999, Laub listed six characteristics of servant leadership: building community, developing people, displaying authenticity, providing leadership, sharing leadership, and valuing people (p. 3).

In 2000, Russell identified “at least 20 distinguishable attributes of servant leadership” (p. 12) in the literature of which he classified nine as functional. He claimed that there was not enough literature on servant leadership at the time to “identify with specificity the attributes of servant leaders” but there was “enough consistency in the literature to make it possible to discern characteristics that should exist among servant leaders” (Russell, 2000, p. 12). Russell’s (2000) functional attributes consisted of vision, honesty, integrity, trust, service, modeling, pioneering, appreciation of others, and empowerment. Russell (2000) stated, “the functional attributes are the operative characteristics of servant leadership. They are identifiable characteristics that actuate leadership responsibilities” (p. 12). Russell and Stone (2002) stated that the functional attributes “determine the form and effectiveness of servant leadership” (p. 153).

Russell (2000) also identified an additional 11 characteristics that he called accompanying attributes. He defined accompanying attributes as “companion or supplemental characteristics of servant leaders” (p. 6). “The accompanying attributes supplement and augment functional attributes. They are not secondary in nature; rather, they are complementary and in some areas, prerequisites to effective servant leadership” (Russell, 2000, p. 7). Russell and Stone (2002) stated that accompanying attributes “affect the level and intensity of the functional attributes” (p. 153). These consist of communication, credibility, competence, stewardship, visibility, influence, persuasion, listening, encouragement, teaching, and delegation (Russell & Stone, 2002, p. 147).

In 2002, Barbuto and Wheeler identified 11 potential dimensions of servant leadership adding “calling” (p. 303) to Spears’ (1995) original 10. In her 2003 dissertation, Kathleen Patterson identified seven constructs of servant leadership that included love, humility, altruism, vision, trust, empowerment, and service. In the same year, Sendjaya (2003) classified 101 characteristics into six dimensions and 22 subdimensions (p. 4).

In 2006, Barbuto and Wheeler declared that “a more precise clarification of the servant leadership construct is necessary” (p. 301). Their research produced five servant leadership “factors” (p. 300): altruistic calling, emotional healing, persuasive mapping, wisdom, and organizational stewardship. In 2007, Irving and Longbotham listed four characteristics of servant leadership that included engaging in honest self-evaluation, fostering collaboration, providing accountability, and supporting and resourcing (p. 105).
Primary Characteristics

Contrary to efforts of other researchers to better define servant leadership by listing additional characteristics, we identified characteristics already existing in the literature as primary to servant leadership. Many aspects of servant leadership identified in the literature are not exclusive to servant leadership but rather are essential to all forms of effective leadership. However, a number of characteristics are only applicable to servant leadership. Greenleaf (1977) stated that servant leadership “begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead” (p. 13). Greenleaf clearly stated that in servant leadership, service comes before leadership. This aspect is exclusive to servant leadership. Servant leadership is the only form of leadership that places service as its first priority. Because a servant leader serves first, we designated those characteristics of a servant as primary characteristics of servant leadership. In other words, servant leaders must first meet the criteria of a servant before they can meet the criteria of a servant leader, which is consistent with Greenleaf's writing that put service before leadership (Sendjaya & Sarros, 2002, p. 60).

Greenleaf (1997) wrote that a servant leader is to serve first and then by “conscious choice” (p. 13) aspire to lead.

The motivational element of servant leadership (i.e., to serve first) portrays a fundamental presupposition which distinguishes the concept from other leadership thoughts. This presupposition forms the mental model of the servant leader, that is the “I serve” as opposed to “I lead” mentality. The primary reason why leaders exist is to serve first, not to lead first. (Sendjaya & Sarros, 2002, p. 60)

Sendjaya and Sarros (2002) went on to claim that “the servant leader operates on the assumption that ‘I am the leader, therefore I serve’ rather than ‘I am the leader, therefore I lead’” (p. 60); however, Sendjaya and Sarros missed the point that the servant leader must serve before leading. Their explanation is much more suitable for what Greenleaf called the leader first rather than the servant first who is a natural servant. For the servant first, it is not his or her leadership that leads him or her to serve but rather he or she serves and then makes a conscious decision to lead. De Pree (1992), former CEO of Herman Miller, gave the following example of service preceding leadership:

I arrived at the local tennis club just after the high school students had vacated the locker room. Like chickens, they had not bothered to pick up after themselves. Without thinking too much about it, I gathered up all their towels and put them in the hamper. A friend of mine quietly watched me do this and then asked me a question that I’ve pondered many times over the years. “Do you pick up towels because you’re the president of the company? Or are you the president because you pick up the towels?” (p. 218)

The servant leader’s answer should be, “I am the president because I pick up the towels.” De Pree responded by stating that picking up the towels (i.e., service) qualifies him to accept leadership (p. 219). Sendjaya and Sarros (2002) dissected De Pree’s example.
While both premises imply a linear relationship between the act of service and the position of the leader, they stand squarely opposite to each other in terms of cause and effect. The first premise “I serve because I am the leader” signifies the act of altruism. Both Jesus’ [sic] and Greenleaf’s delineation of servant leadership put the emphasis on the acts of service, as opposed to the act of leading. As the leader-teacher of his followers and disciples, Jesus deliberately declares to them, “I am among you as one who serves” (NIV Bible, Luke 22:27). Greenleaf (1977) posits that the servant leader “begins with the natural feeling that one wants to serve, to serve first” (p. 13). At its core, the nature of the servant leadership is serving, not leading (De Pree, 1989). It is through the act of serving that the leaders lead other people to be what they are capable of becoming. (p. 60)

Primary characteristics of servant leadership are characteristics of being a servant. Some characteristics of servant leadership that could be identified as primary include altruism, empathy, humility, service, spirituality, and stewardship.

**Purpose and Significance**

There is a lack of a clear definition of servant leadership. The purpose of this study was to more clearly define servant leadership by identifying primary characteristics. This study is unlike previous studies on the characteristics of servant leadership because the purpose was not to define new characteristics but to identify characteristics pertaining to service from the already existing list of characteristics identified in the literature. Greenleaf (1977) stated that servant leadership “begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead” (p. 13). Greenleaf clearly stated that in servant leadership, service comes before leadership. Because a servant leader serves first, those characteristics pertaining to service are designated as the primary characteristics of a servant leader. In other words, servant leaders must first meet the criteria of a servant before they can meet the criteria of a servant leader.

**Methodology**

The efforts made to more narrowly define Greenleaf’s (1977) definition of servant leadership have resulted in an even vaguer definition than the original. In this section, we explain how we identified primary characteristics of servant leadership through a Delphi study.

A Delphi study is a series of questionnaires distributed to a preselected group of experts in multiple iterations or rounds to collect data (Adler & Ziglio, 1996, p. 9; Hsu & Sandford, 2007, p. 1). Participants for this study were identified based on their scholarship in identifying characteristics of servant leadership as seen in their publication record (cf. Gordon, 1994, p. 6). The questionnaires sent to the participants were designed to elicit individual responses and to enable the scholars to refine their views in subsequent rounds as they compared their responses with the responses of the group coupled with controlled feedback (Adler & Ziglio, 1996, p. 9). In each round the participants anonymously completed the questionnaire provided. Once the questionnaires were returned, they were analyzed and the information used to prepare the next questionnaire. The new questionnaire coupled with controlled feedback was then sent to the participants (Gordon, 1994, p. 3; Ludwig, 1994, p. 55). This process continued until consensus was achieved.
was reached (Skulmoski, Hartman, & Krahn, 2007, p. 2). Consensus for this study was defined as at least 70% of all participants rating individual characteristics with a 3 or higher on a 4-point Likert-type scale and with the median at 3.25 or higher (cf. Hsu & Sandford, 2007, p. 4). The philosophy of consensus building in the Delphi technique is that expert consensus is believed to more likely be accurate than an individual forecast (Gordon, 1994, p. 10).

Winston (2010) stated, “in-depth interviews and focus groups of critical incidents and phenomena might be helpful” (p. 183) in researching servant leadership. The risk of using focus groups is that the conversation may result in group think or be dominated by a limited number of people thereby not allowing everyone to participate (Winston, 2010, p. 185). The Delphi method is a good solution to these problems because participants acknowledge their peers’ opinions and must appreciate their peers’ responses in order to achieve consensus. Through anonymity, the Delphi technique encourages participants to express their opinion without fear of what others might think. All participants’ opinions are considered equal, and participants influence each other through their responses. The Delphi technique is the best way to identify primary characteristics of servant leadership because it can produce an expert consensus, which is appropriate for the current stage of the phenomenon.

Results

In the first round of the Delphi study, 60 characteristics were identified by 10 participants. The number of characteristics was reduced to 27 by eliminating those characteristics that were only identified by one participant. During the second and third rounds, participants rated the 27 characteristics on a 4-point Likert scale. The Delphi study was concluded after the third round after consensus was reached on 12 items identified as primary characteristics of servant leadership. Kendall’s coefficient of concordance (W) was found to be significant for the second, \( p < .05, \) at .249, and third rounds, \( p < .01, \) at .361. This shows that participants moved closer to consensus between rounds two and three. All 12 characteristics have means of at least 3.14 or higher, and all have modes of 4 (see Table 1). These items are listed in Table 1.

Table 1: Primary Characteristics

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Mean rank</th>
<th>Percentage rated 3 or 4</th>
<th>Mean</th>
<th>Median</th>
<th>Mode</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Value people</td>
<td>21.07</td>
<td>100</td>
<td>4.00</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>2 Humility</td>
<td>20.07</td>
<td>100</td>
<td>3.86</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>3 Listening</td>
<td>19.93</td>
<td>100</td>
<td>3.86</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>4 Trust</td>
<td>18.93</td>
<td>100</td>
<td>3.71</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>5 Caring</td>
<td>18.29</td>
<td>100</td>
<td>3.71</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>6 Integrity</td>
<td>17.86</td>
<td>86</td>
<td>3.57</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>7 Service</td>
<td>17.07</td>
<td>71</td>
<td>3.43</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>8 Empowering</td>
<td>16.71</td>
<td>86</td>
<td>3.14</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>9 Serve others’ needs before</td>
<td>16.14</td>
<td>71</td>
<td>3.14</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>their own</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Collaboration</td>
<td>16.00</td>
<td>86</td>
<td>3.43</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>
The definitions provided for these characteristics by the participants of the study are listed in Table 2.

Table 2: *Primary Characteristics and Definitions*

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Value people</td>
<td>Servant leaders truly value people for who they are, not just for what they give to the organization. Servant leaders are first and foremost committed to people, particularly their followers.</td>
</tr>
<tr>
<td>2 Humility</td>
<td>Servant leaders do not promote themselves, they promote others . . . putting others first. They are truly humble, not humble as an act. Servant leaders understand it is not about them—things happen through others; exemplary servant leaders know they cannot do it alone.</td>
</tr>
<tr>
<td>3 Listening</td>
<td>Listens receptively—nonjudgmentally. Are willing to listen because they truly want to learn from others; to understand follower/associates, they have to listen deeply. Seek first to understand. Like discernment enables one to know when or where service is needed.</td>
</tr>
<tr>
<td>4 Trust</td>
<td>Servant leaders give trust to others. They are willing to take risks to serve others well. Servant leaders are trusted because they are authentic and dependable.</td>
</tr>
<tr>
<td>5 Caring</td>
<td>Servant leaders truly have the people and the purpose in their heart in the people and the purpose. They display a kindness toward others and a concern for others. As the term implies, they are there to serve others and not to be served by others. Servant leaders care more for the people than for the organization.</td>
</tr>
<tr>
<td>6 Integrity</td>
<td>Servant leaders are honest, credible, and can be trusted. They don’t cut corners, they allow dependability and trust—something you can count on. Integrity is knowing what your values are, developing a set of shared values with the people you serve, and then remaining true to those values. This provides clarity and drives commitment. Servant leaders need to be first in ensuring that their behaviors are consistent with their values and with the shared values they develop with others. This includes the categories of engaging in honest self-evaluation, inner consciousness, and spirituality.</td>
</tr>
<tr>
<td>7 Service</td>
<td>The servant leader is servant first.</td>
</tr>
<tr>
<td>8 Empowering</td>
<td>Servant leaders empower others and expect accountability.</td>
</tr>
<tr>
<td>9 Serve others’ needs before their own</td>
<td>Servant leaders serve others before self. This is foundational to what it means to be a servant leader. Put others’ interests before our own.</td>
</tr>
</tbody>
</table>
Collaboration
Servant leaders reject the need for competition and pitting people against each other. They bring people together. Because servant leadership is about pursuing a higher purpose for the good of the whole and because leadership is by definition a collaborative process (it requires collaboration between leaders and followers), skilled collaboration is an essential characteristic of a servant leader. This includes categories of accountability, awareness, building community, courage in relationships, empathy, and listening. Servant leaders do not go it alone; they work together with others in collaborative endeavors that serve the needs of followers and their organization.

Love, unconditional love
Unconditional love is a strong phrase with Christian overtones, so it might be better to call it something else, such as acceptance or appreciation, but it is a radical and powerful starting point for servant leadership because it becomes the primary motivator for the way you treat other people. If you start with a posture of unconditional love (believing that every person is as worthy and valuable as you are and committing to dealing with them in the most loving way possible in every circumstance), it transforms how you treat them and how you understand your higher purpose. This category includes acceptance, acknowledging, appreciation of others, equality, trust, and vulnerability. The ultimate motive to serve.

Learning
This includes learning from those below them in the organization. Servant leaders are learners. They truly want to learn from others. They know that they do not know it all so they are willing to learn from all directions in the organization. Great leaders never rest when it comes to learning about future trends and opportunities, the perspectives of their multiple internal and external stakeholders, the emergence of new ideas and technologies related to their business, and the art and science of leadership itself. Learning is the master skill that leads to growth, personally, relationally, organizationally, and in broader society. This includes comfort with ambiguity and intellectual energy and curiosity.

Valuing People

Valuing people was the only characteristic that all of the participants strongly agreed is a primary characteristic. In the first round, valuing people was only identified by two participants, but reached the highest level of consensus among the other characteristics by the end of the third round. Laub (1999), who also conducted a Delphi study, listed valuing people as the first of six characteristics defining servant leadership. He stated that valuing people means believing in them, serving others’ needs before one’s own, and listening (p. 83). Valuing people is also very similar to love and caring. One participant defined love as “the primary motivator for the way you treat other people,” which is a definition that could very easily apply to valuing people or caring. Both valuing people and caring were defined by participants of the study as putting people before the organization. Despite the similarities between these characteristics as observed
by the participants, the participants rated them differently. As evident by the high level of consensus reached for this item in this study and its prominence in previous studies, valuing people is clearly a primary characteristic of servant leadership.

**Humility**

This study identified humility as a primary characteristic of servant leadership with all of the participants either agreeing or strongly agreeing. In fact, all the participants strongly agreed except for one who merely agreed that humility was a primary characteristic. After the first round, humility was identified as a primary characteristic by 7 out of 10 participants, more than any other characteristic. By the end of the third round, humility achieved the second highest rating of consensus among the characteristics. One participant in this study stated that humility is “about serving others and gaining satisfaction from the service.” Likewise, Sendjaya (2008) stated that humility drives servant leaders (p. 410). Another participant in this study maintained that humility is "a prerequisite for serving others.”

In the literature, humility has been identified as critical to leadership styles other than servant leadership such as Collin’s (2001) Level Five Leadership (p. 36). Irving and Longbotham (2007) found humility to be a foundational dimension of servant leadership (p. 107). Sandage and Wiens (2001) argued that humility leads servant leaders to consider the needs of others above their own (p. 206). The high level of consensus in this study along with the overwhelming evidence in the literature clearly distinguishes humility as a primary aspect of servant leadership and applies to the service aspect of servant leadership.

**Listening**

One hundred percent of the participants agreed or strongly agreed that listening is a primary characteristic. All the participants strongly agreed except for one who agreed. Listening was identified by five participants after the first round—the second highest behind humility. After the third round, it had the third highest level of consensus. The participants in this study stated, “to serve requires understanding others which needs listening.” In servant leadership, listening is a vital part of serving others.

Barbuto and Wheeler (2006) stated that listening helps all styles of effective leadership (p. 319). Larry Spears was quoted as saying that if leaders will listen first, this would be the “ultimate accomplishment in the discipline of servant leadership” (as cited in Senge, 1995, p. 229). Spears (1995) listed listening as the first of 10 critical characteristics of servant leadership (p. 4).

**Trust**

One hundred percent of the participants agreed or strongly agreed that trust is a primary characteristic. All the participants strongly agreed except for two who agreed. Trust was identified by three participants in the first round. After the second round, trust and integrity were found to be very similar; however, they were not combined because they did not receive the same rating by all the participants. The two characteristics are identified separately in the literature. Russell and Stone (2002) differentiated between trust and integrity, stating that
“integrity reflects adherence to an overall moral code” (p. 148). Northouse (2007) stated that integrity inspires trust (p. 20).

In the literature, trust is essential to all forms of leadership (Covey, 1991, p. 170; Martin, 1998, p. 41; Maxwell, 1998, p. 58; Melrose, 1995) and especially to servant leadership (Farling et al., 1999, p. 60; Greenleaf, 1977, p. 25; Russell, 2000, p. 83; Russell & Stone, 2002, p. 148; Story, 2002). Patterson (2003) defined trust for servant leaders as “a belief in the unseen potential of the followers, believing they can accomplish goals” (p. 22). Such a definition highlights the service aspect of trust. One participant in this study stated, “without trust service will not happen.”

Caring

One hundred percent of the participants agreed or strongly agreed that caring is a primary characteristic. In fact, all the participants strongly agreed except for two who agreed. Caring was identified by only two participants in the first round. One participant in this study defined caring as displaying “a kindness toward others and a concern for others.” Another participant stated, “servant leaders care more for the people than for the organization.” Dennis (2004) and Lopez (1995) both argued that servant leaders genuinely care for their followers. Crom (1998) stated that servant leaders should truly care about their team members as people, make them feel important, and show genuine interest in their lives (p. 6). Irving and Longbotham (2007) referred to this type of care as love. Although love and caring have been found to be very similar in the literature, they were not combined because participants in this study scored them differently. In order for servant leaders to serve others’ highest priority needs, they first need to care for them.

Integrity

Eighty-six percent of the participants agreed or strongly agreed that integrity is a primary characteristic. Integrity was identified by three participants during the first round and was ranked sixth out of 27 according to mean rank after the second and third rounds. Integrity has been called an integral part of good leadership and considered to be one of the best qualities for “real leaders” (Russell & Stone, 2002, p. 148). It has been called the underlining principle of servant leadership (Hennessy et al., 1995, p. 167). De Pree (1992) referred to integrity as the “linchpin of leadership . . . lose integrity and a leader will suddenly find herself [sic] in a directionless organization going nowhere” (p. 220). In addition, De Pree listed integrity first on his list of 12 characteristics for becoming a successful servant leader (p. 220). In this study, one participant defined integrity as “knowing what your values are, developing a set of shared values with the people you serve, and then remaining true to those values.” Another participant in this study commented that “without integrity service means nothing.” In the literature, integrity is essential to leadership. The participants in this study took that definition a step further, stating that in servant leadership service is meaningless without integrity.

Service

Seventy-one percent of the participants agreed or strongly agreed that service is a primary characteristic. Service was identified by three participants during the first round. It was rated second according to mean rank after the second round, but after the third round it was rated
seventh. It is not surprising that consensus was reached for service in a study whose purpose was to identify characteristics of servant leadership that apply to service. The only definition provided by the participants for service during this study was that “the servant-leader is servant first.” The definition for service in the literature is also lacking. Many observe that for the servant leader, serving comes first (De Pree, 1997; Farling et al., 1999, p. 64; Greenleaf, 1977; Patterson, 2003, p. 25; Russell & Stone, 2002, p. 149; Sendjaya, 2003, p. 4), but few attempt to actually explain or define the characteristic. The characteristic of service needs to be defined so that it can be differentiated from the more global construct of service represented by all 12 characteristics.

**Empowering**

Eighty-six percent of the participants agreed or strongly agreed that empowering is a primary characteristic. Empowerment has been called the “central element in excellent leadership” (Russell, 2000, pp. 21, 84; Russell & Stone, 2002, p. 152). Others have called empowerment the most important characteristic of servant leadership (Patterson, 2003, p. 23). Greenleaf has even been referred to as the father of the empowerment movement (Buchen, 1998, p. 129). Without the sharing of power, there cannot be servant leadership. Patterson (2003) stated, “empowering people, with the best interest of those served in mind, is at the heart of servant leadership” (p. 23). Empowerment for the servant leader involves effective listening, making people feel significant, putting an emphasis on teamwork, valuing love and equality, entrusting workers with authority and responsibility, and allowing them to experiment and be creative without fear (Russell, 2000, p. 7; Russell & Stone, 2002, p. 7; Sendjaya, 2003, p. 4). Servant leaders empower their followers by serving them.

**Serving Others’ Needs Before Their Own**

Seventy-one percent of the participants agreed or strongly agreed that serving others’ needs before their own is a primary characteristic. This is one of the most relevant characteristics to the service aspect of servant leadership. Laub (1999) argued that servant leaders value their people by serving other’s needs before their own. Although this characteristic shares similarities with service and valuing people, the participants in this study ranked them differently. Evident by the results of this study and previous studies, serving others’ needs before their own is clearly a primary characteristic of servant leadership.

**Collaboration**

Eighty-six percent of the participants agreed or strongly agreed that collaboration is a primary characteristic. Collaboration was identified by three participants in the first round. Sendjaya (2003) maintained that collaboration means involving others in planning the actions that need to be taken (p. 4). Irving and Longbotham (2007) stated that the servant leader’s role of nurturing “a collaborative work environment is essential in effective team leadership” (p. 108). One participant in this study commented that collaboration in servant leadership is not concerned with “the good of the whole but the good of the follower(s).” Such a definition of collaboration clearly applies to the service aspect of servant leadership and therefore is considered to be a
primary characteristic as serving the highest priority needs of the followers is essential to Greenleaf’s (1977) original definition.

**Love/Unconditional Love**

Eighty-six percent of the participants agreed or strongly agreed that love is a primary characteristic. In the first round, two participants identified love as a primary characteristic and one listed unconditional love. These two characteristics were combined for the purposes of this study. Participants stated that “focusing on, valuing, and serving followers flows from love” and “love is at the peak of wanting to serve,” affirming the results of this study that love/unconditional love is a primary characteristic to servant leadership. “Swindoll (1981) stated that servanthood and true love work hand in hand” (as cited in Dennis, 2004, p. 3). The results from this study and the literature agree that love and service are closely related.

**Learning**

Seventy-one percent of the participants agreed or strongly agreed that learning is a primary characteristic. One of the participants commented that “great leaders never rest when it comes to learning.” The participants in this study understood learning to require humility. They defined learning to include “learning from those below them in the organization.” They wrote that servant leaders “know that they don’t know it all so they are willing to learn from all directions in the organization.” One participant stated that learning is “related to growth and modeling the way for others to grow and maximize potential.” Therefore, by learning, the leader is serving his or her followers by showing them a way in which they can grow. Perhaps this is the idea that one participant had in mind when he defined learning as “an important goal for all involved in service.”

Of the 12 primary characteristics identified by the group of servant leadership scholars that participated in this study, some may not seem to apply to service; however, after a closer examination of how these characteristics are defined and applied within the field of servant leadership, it is clear through the results of this study and the literature that they are primary characteristics of servant leadership.

**Limitations**

The Delphi method is not without its limitations. Limitations that occurred during this study include the number of characteristics included in the study, combining similar characteristics, response rate, lack of clarity about the use of the term primary, and completeness.

**Number of characteristics included in the study.** It was decided to limit the number of characteristics identified in Round 1 by only including characteristics that were identified by more than one participant. This narrowed the number of characteristics to be used in the Round 2 questionnaire from 60 to 27. It is unlikely that participants would achieve consensus on 60 characteristics. Schmidt (1997) mentioned that researchers may make efforts to reduce the number of items if there are much more than 20 items (p. 769). It is possible that higher consensus and a higher response rate could have been achieved if fewer than 20 characteristics were listed in the study. We considered limiting the number of characteristics further by only...
including those characteristics identified by more than two participants. This would have resulted with a list of only nine characteristics and would have not included important characteristics such as valuing people, which after Round 3 had the highest rating of consensus for being a primary characteristic as well as other characteristics that after three rounds were identified as primary characteristics: caring, empowering, learning and serving others’ needs before their own.

**Combining similar characteristics.** One of the responsibilities of the researcher conducting a Delphi study is to combine similar characteristics after the first round (cf. Schmidt, 1997, p. 769). In this study, there were several characteristics that were similar such as valuing people, caring and love, and integrity and trust. However, it was difficult to combine these characteristics even when participants commented about their similarity because these same participants ranked these characteristics differently.

**Response rate.** The response rates for the three rounds of this study are listed in Table 3.

<table>
<thead>
<tr>
<th>Round</th>
<th>Number sent</th>
<th>Number returned</th>
<th>Response rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Round 1</td>
<td>36</td>
<td>10</td>
<td>28%</td>
</tr>
<tr>
<td>Round 2</td>
<td>11</td>
<td>8</td>
<td>73%</td>
</tr>
<tr>
<td>Round 3</td>
<td>8</td>
<td>7</td>
<td>88%</td>
</tr>
</tbody>
</table>

The Round 1 questionnaire was sent to 36 scholars, and only 10 returned the questionnaire thereby agreeing to participate in the study. There is no way of knowing what percentage of the identified scholars received the invitation and chose not to participate and what percentage, if any, did not receive the invitation at all. Only five identified scholars responded that they would not be able to participate in the study. Schmidt (1997) stated that a low response rate for the initial call for participants “might indicate that potential participants do not consider the ranking exercise relevant or important” (p. 772). Only one of the five participants who responded stated that he would not participate in the study because he does not “believe that there is any definitive list of servant-leadership characteristics” (personal communication, April 15, 2011). The other four explained that they would not be able to participate in the study because of busy schedules. The response rate for Rounds 2 and 3 was relatively high at 73% and 88%, respectively. Participants in these rounds indicated their interest in the study.

**Lack of clarity about the use of the term primary.** At the beginning of this study, some of the participants in this study seemed to misunderstand the use of the term “primary.” Primary, as used in this study, was clearly defined to refer to those characteristics that apply to service. It seems that some participants either did not understand this definition or chose to ignore it. One participant explained that he did not agree with the definition of primary used for this study to refer to characteristics of servant leadership applying to service and stated that he would identify characteristics according to his definition of primary. This participant did not continue after Round 1 as the definition of primary characteristics was made clearer in Rounds 2 and 3.

**Completeness.** Participants should be encouraged to fully complete the questionnaire by scoring every item. In this study, two participants failed to score all the items in both Round 2
and 3 questionnaires. Complete questionnaires are needed to calculate Kendall’s W; therefore, the mode of the group’s responses for the items not marked was used to fill in the blanks (cf. Dalkey & Helmer, 1963, p. 459).

Because participant selection is so critical to the results of a Delphi study, the first suggestion is that this study be repeated with a different group of scholars. Selecting scholars in servant leadership with a background or publishing record in service is suggested.

Participants in this study commented on the importance of identifying characteristics that are unique to servant leadership. If there are characteristics unique to servant leadership, they should be found within this list of primary characteristics. It is the service aspects of servant leadership that distinguish it from other leadership styles. Therefore, should a researcher want to continue with this line of study, he or she should ask participants with scholarship in service to identify characteristics unique to servant leadership from the 12 primary characteristics identified in this study.

**Conclusion**

Over 100 characteristics of servant leadership have been identified in the literature (Sendjaya, 2003, p. 4). Efforts have been made to keep the definition of servant leadership ambiguous and therefore applicable to a wide audience (Polleys, 2002, p. 124). In his 2005 keynote address at the International Servant Leadership Conference, Peter Block addressed the conference attendees: “You’ve held on to the spirit of servant-leadership, you’ve kept it vague and undefinable. . . . People can come back every year to figure out what the hell it is” (p. 55).

This study has taken an important step to better define the concept of servant leadership. This was achieved not by adding new characteristics to the already vast list of characteristics of servant leadership but by identifying characteristics within that list that are primary to servant leadership—characteristics that are not merely more important, but characteristics that must manifest themselves before the other characteristics. Greenleaf (1977) stated that a servant leader must serve first and then make a conscious choice to aspire to lead. The characteristics that have been labeled as primary are characteristics that pertain to the service aspect of servant leadership.

Through this study, a group of scholars in servant leadership, who were selected based on their publication record of identifying characteristics of servant leadership, identified 12 primary characteristics. These characteristics include valuing people, humility, listening, trust, caring, integrity, service, empowering, serving others’ needs before their own, collaboration, love/unconditional love, and learning. These characteristics must manifest themselves before any other characteristics because in order to serve first a servant leader must first exhibit these characteristics and then aspire to lead.

In addition, the identification of these 12 characteristics has practical applications for aspiring and established servant leaders. These characteristics can be used by potential servant leaders to make sure that they are serving first by fulfilling the primary characteristics of servant leadership before they aspire to lead. Established servant leaders can also use these characteristics to ensure that they are serving those whom they lead.

Identifying the primary characteristics of servant leadership will also help the academic community focus on the more important characteristics of servant leadership; that is, those characteristics that distinguish servant leadership from other leadership theories by describing the service aspect of servant leadership. Of the more than 100 characteristics of servant leadership identified in the literature, most relate to the leadership aspect of the phenomenon.
There is nothing wrong with characteristics of servant leadership that describe leadership aspects of the phenomenon as it is these characteristics that put the leadership in servant leadership; however, these characteristics do not differentiate servant leadership from other leadership theories. Only the primary characteristics of servant leadership—that is, those that apply to service—can distinguish servant leadership from other leadership theories.

About the Authors

Adam Focht is the national director of Precept Ministries International in Israel. He holds an Ed.D. in Higher Education Administration from Regent University.

Email: adampfocht@gmail.com

Michael K. Ponton is a professor of education at Regent University. Professor Ponton holds the Ed.D. in Higher Education Administration from The George Washington University. His research interests include adult learning, autonomous learning, human agency, and social cognitive theory.

Email: michpon@regent.edu

References


Barbuto, J. E., & Wheeler, D. W. (2002). Becoming a servant leader: Do you have what it takes? Lincoln, NE: University of Nebraska, Nebraska Cooperative Extension. (NebGuide G02-1481-A)


International Journal of Leadership Studies, Vol. 9 Iss. 1, 2015
© 2015 School of Business & Leadership, Regent University
ISSN 1554-3145


ASSESSING THE EFFECTIVENESS OF AUTHENTIC LEADERSHIP

Biplab Datta
Vinod Gupta School of Management, Indian Institute of Technology, Kharagpur, India

The effectiveness of authentic leadership (AL) has been empirically evaluated in this paper. It has been found that authentic leadership has been understood as a three dimensional, second order construct by Indian respondents. The study indicates that AL, as measured by the 16 items of the Authentic Leadership Questionnaire (ALQ), leads to seven different dimensions of effective management and five different dimensions of effective leadership as measured by 42 variables. The paper concludes that AL leads to effective management and leadership performance.

Leadership is the process of influencing a group of individuals to achieve shared objectives (Northouse, 2013; Yukl, 2011). The primary function of leadership is to produce change and movement, while the primary function of management is to provide order and consistency to organisations (Northouse, 2013). As both leadership and management are processes, anybody can execute leadership or managerial functions at different times. Leaders cannot be called as leaders simply by virtue of the position they hold in organizations (Kellerman, 2012). The execution of management and leadership functions by leaders situated in organizations has been examined in this paper.

Driven by concerns of ethical conduct of today’s leaders, several authors have studied one form of ethical leadership, called authentic leadership (AL) (Gardner et al., 2011) with diverse results. In their study, Clapp-Smith, Vogelgesang & Avey (2009) found that AL leads to trust in management and positively affects group performance measured by unit sales growth. Hassan & Ahmed (2011) found that AL promotes subordinates’ trust in the leader and contributed to work engagement. Jensen & Luthans (2006) found that employee’s perception of leaders’ authentic behaviour served as the strongest single predictor of employee job satisfaction, organizational commitment and work happiness. Laschinger, Wong & Grau (2012) found that AL has negative direct effect on workplace bullying and emotional exhaustion and a positive effect on job satisfaction. Peterson et al. (2012) find that authentic leadership behaviour exhibited by leaders is positively related to follower job performance. Peus et al. (2012) found
that followers’ satisfaction with supervisor, organisational commitment and extra effort, and perceived team effectiveness were outcomes of AL. Hmieleski, Cole, & Baron (2012) found that shared AL has a positive indirect effect on firm performance. Leroy, Palanski & Simons (2012) found that AL is related to follower affective commitment and work role performance. Rego et al. (2012b) find that AL predicts employees’ creativity. Rego et al. (2012c) found that AL predicts team affective commitment and team potency. Walumbwa et al. (2008) found a positive relationship between AL and supervisor-rated performance. Walumbwa et al. (2010) found that AL was positively related to supervisor rated organizational citizenship behaviour and work engagement. Woolley, Casa, & Levy (2011) reported a positive relationship between AL and followers’ psychological capital, partially mediated by positive work climate and a significant moderating effect from gender. Walumbwa et al. (2011) found AL to positively affect desired group outcomes like group level performance and citizenship behaviour. Accordingly, Gardner et al. (2011) have encouraged research on the positive effects of AL on these and related outcomes (e.g., job satisfaction, organizational commitment, and employee and organizational performance). This study has been undertaken to find whether AL can lead to effective management and leadership performance in the Indian context.

**Authentic Leadership**

According to Harter (2002), authenticity can be defined as “owning one’s personal experiences, be they thoughts, emotions, needs, preferences, or beliefs, processes captured by the injunction to know oneself” and behaving in accordance with the true self. Based on the initial definition of AL by Luthans and Avolio (2003), and the underlying dimension of the construct posited by Gardner et al. (2005) and Illies, Morgenson, & Nahrgang (2005), Walumbwa et al. (2008) have defined AL as a pattern of leader behaviour that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalized moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development. In this definition, self-awareness refers to demonstrating an understanding of how one derives and makes meaning of the world and how that meaning making process impacts the way one views himself or herself over time. It also refers to showing an understanding of one’s strengths and weaknesses and the multifaceted nature of the self, which includes gaining insight into the self through exposure to others, and being cognisant of one’s impact on other people (Kernis, 2003). Relational transparency refers to presenting one’s authentic self (as opposed to a fake or distorted self) to others. Such behaviour promotes trust through disclosures that involve openly sharing information and expressions of one’s true thoughts and feelings while trying to minimize displays of inappropriate emotions (Kernis, 2003). Balanced processing refers to leaders who show that they objectively analyze all relevant data before coming to a decision. Such leaders
also solicit views that challenge their deeply held positions (Gardner et al., 2005). Internalized moral perspective refers to an internalized and integrated form of self-regulation (Ryan & Deci, 2003). This sort of self-regulation is guided by internal moral standards and values versus group, organizational, and societal pressures, and it results in expressed decision making and behaviour that is consistent with these internalized values (Avolio & Gardner, 2005; Gardner et al., 2005; Walumbwa et al., 2008).

Measurement of AL

Based on the above conception of AL, a 16-item Authentic Leadership Questionnaire (ALQ) by Avolio, Gardner, & Walumbwa (2007) is available from www.mindgarden.com. The ALQ consists of four components: Relational Transparency (5 items), Internalized Moral Perspective (4 items), Balanced Processing (3 items) and Self Awareness (4 items). The ALQ, operationalized and validated by Walumbwa, et al. (2008) and derived from Kernis and Goldman’s (2006) multi-component conception of authenticity, was found to be the most frequently used measure of AL by Gardner et al. (2011) in their review of AL literature from 1980 till 2010. Neider & Schriesheim (2011) developed an 8-item Authentic Leadership Inventory (ALI) and inferred that it is devoid of some concerns with the ALQ, while urging future researchers to test the ALI further. However, the ALQ has been used by many other researchers as a measure of AL after 2010 including Hassan & Ahmed (2011); Peterson et al. (2012); Walumbwa et al. (2011); Wooley, Caza & Levy (2011); Hmieleski, Cole & Baron (2012); Laschinger, Wong & Grau (2012); Leroy, Palanski & Simons (2012); Peus et al. (2012); Rego et al. (2012 a, b & c). The ALQ has been used in this study to measure AL after testing the psychometric properties of the scale (whose construct validity requires further assessment according to Gardner et al., 2011).

Although Walumbwa et al. (2008) have confirmed a 4-factor second order structure of the ALQ, Neider & Schriesheim (2011) have raised some concerns with the same. While the ALQ has been used and tested in USA, China, Kenya (Walumbwa, Avolio, Gardner, et al., 2008), Portugal (Rego et al., 2012 a & b), Belgium (Leroy, Palanski, & Simons, 2012), Canada (Laschinger, Wong, & Grau, 2012), New Zealand (Caza, Bagozzi, & Caza, 2010) and Germany (Peus et al., 2012), the survey of literature revealed that no study involving the ALQ has been carried out in India so far.

Managerial effectiveness

According to Yukl (2011), conceptions of leader effectiveness differ from one writer to another like the definitions of leadership. The criteria selected to evaluate leadership effectiveness reflect a researcher’s explicit or implicit conception of leadership. Most researchers evaluate leadership effectiveness in terms of the consequences of influence on a single individual, a team or group, or an organization.

According to Yukl (2011), the most commonly used measure of leader effectiveness is the extent to which the performance of the team or organizational unit is enhanced and the attainment of goals is facilitated. Examples of objective measures of performance include sales, net profits, profit margin, market share, return on investment, return on assets, productivity, cost per unit of output, costs in relation to budgeted expenditures, and change in the value of corporate stock. Subjective measures of effectiveness include ratings obtained from leader’s...
superiors, peers and subordinates. As mentioned earlier, the primary function of leadership would be to produce change and movement, while the primary function of management would be to provide order and consistency to organisations (Northouse, 2013). Accordingly, the above would be measures of managerial effectiveness rather than leadership effectiveness.

Followers’ attitude and behaviour provide an indirect indicator of dissatisfaction and hostility toward the manager. Examples of such indicators include absenteeism, voluntary vacancies, grievances, complaints to higher management, requests for transfer, work slowdowns, and deliberate sabotage of equipment and facilities.

A final type of criterion for managerial effectiveness is the extent to which a person has a successful career as a manager. Is the person promoted rapidly to positions of higher authority? Does the person serve a full term in a managerial position, or is he or she removed or forced to resign? For elected positions in organizations, is a manager who seeks re-election successful?

Leadership effectiveness

Follower attitudes and perceptions of the leader are common indicators of leader effectiveness (Yukl, 2011). How well does the leader satisfy their needs and expectations? Do followers like, respect, and admire the leader? Do followers trust the leader and perceive him or her to have high integrity? Are followers strongly committed to carrying out the leader’s requests, or will they resist, ignore and subvert them? Does the leader improve the quality of work life, build the self-confidence of followers, increase their skills, and contribute to their psychological growth and development?

Leader effectiveness is occasionally measured in terms of the leader’s contribution to the quality of group processes, as perceived by followers or by outside observers. Does the leader enhance group cohesiveness, member cooperation, member commitment, and member confidence that the group can achieve its objectives? Does the leader enhance problem solving and decision making by the group, and help to resolve disagreements and conflicts in a constructive way? Does the leader contribute to the efficiency of role specialization, the organization of activities, the accumulation of resources, and the readiness of the group to deal with change and crises?

Measurement of managerial and leadership effectiveness

In this study 42 items were used to measure 7 dimensions of managerial effectiveness including A. Organisational performance, B. Satisfaction of followers’ needs and expectations, C. Improvement of the quality of work life, and development of the followers, D. Manager’s contribution to absenteeism of followers, E. Manager’s contribution to dissatisfaction and hostility of the followers, F. Manager’s contribution to quality of group processes of his/her unit or organisation, and G. The extent to which the manager had a successful career, and 5 dimensions of leadership effectiveness including H. Respect for the leader, I. Commitment to carry our leader’s requests, J. Leader’s contribution to enhancement of problem solving, decision making and conflict resolution skills of his/her unit, K. Leader’s contribution to group ability to deal with change, and, L. Leader’s contribution to group ability to deal with crises. The detailed questionnaire for measuring managerial and leadership effectiveness is given in the Appendix.
Method

In this study, 324 working executives, mainly from Eastern India, were requested to fill in the ALQ along with 42 questions related to 12 dimensions of managerial and leadership effectiveness of the person whom they considered as their leader in their organisations. Respondents were required to rate each item on a Likert scale anchored at Not at all = 0, Once in a while = 1, Sometimes = 2, Fairly often = 3 and Frequently, if not always = 4. A total of 280 valid responses were used for empirical analysis after eliminating obvious cases of ‘ya saying’ and removing outliers with the help of SPSS 16 boxplots.

Results

Sixteen items of the ALQ were subjected to Principal Axis Factoring suitable for exploring the underlying factors (Hair et al. 2006) and also subjected to rotation by direct oblimin method with Kaiser normalisation using SPSS 16. The pattern matrix is laid out as Table 1.

<table>
<thead>
<tr>
<th>Variable</th>
<th>Factor 1</th>
<th>Factor 2</th>
<th>Factor 3</th>
<th>Factor 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. says_means</td>
<td>0.529</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. admits_mistakes</td>
<td>0.581</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. speak_mind</td>
<td>0.575</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. tell_truth</td>
<td>0.439</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. emotions_feelings</td>
<td>0.399</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. beliefs_actions</td>
<td>0.741</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. decisions_values</td>
<td>0.476</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. positions_values</td>
<td>0.325</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. ethical_decisions</td>
<td></td>
<td>-0.874</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. challenge_position</td>
<td></td>
<td>-0.466</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. analyses_data</td>
<td></td>
<td>-0.469</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. listens_viewpoints</td>
<td></td>
<td>-0.659</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. feedback_improve</td>
<td>0.405</td>
<td>-0.462</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. others_capabilities</td>
<td>0.668</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. reevaluate_positions</td>
<td>0.499</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. actions_impact</td>
<td>0.353</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

It was evident from the pattern matrix that the first 5 variables supposed to measure the Relational Transparency construct got merged with the first 3 variables that are supposed to measure the Internalised Moral Perspective construct. It was concluded that respondents could not differentiate the above two constructs as separate ones. The merged factors were renamed as Transparent and Moral Perspective (TMP). The ALQ was then subjected to confirmatory factor analysis using AMOS 18. Although variable no. 9 and variable no. 10 loaded on a fourth factor, variable no. 9 was clubbed with TMP and variable no. 10 was clubbed with the Balanced Processing (BP) construct as per the loading of the original ALQ. Similarly, although variable
no. 13 cross loaded on 2 factors, it was clubbed with BP as per the original ALQ. Following Walumbwa et al. (2008) the second order conceptual model was tested with the first 9 variables loading onto the first factor, i.e. Transparent and Moral Perspective (TMP), the next three variables loading onto the second factor i.e. Balanced Processing (BP) and the remaining four variables loading onto the third factor i.e. Self Awareness (SA). The result of the confirmatory factor analysis of the second order 3-factor model using Maximum Likelihood method indicated reasonable fit of the data with the conceptual model with CMIN/DF = 2.183, CFI = .889 and RMSEA = .065, laid out as Table 2. Acceptable model fit values are CMIN/DF <= 2 (Byrne, 1989), CFI close to 1 (Bentler, 1990) and RMSEA <= .05 (Browne and Cudeck, 1993). In contrast, the second order, 4-factor model of the original ALQ indicated worse fit with CMIN/DF = 2.256, CFI = .883 and RMSEA = .067. The difference between the chi square values of the three and four factor models was 5.146 and the difference in degrees of freedom was 1, thereby indicating that the difference between the 3-factor and 4-factor models was significant at P = .05. The results confirmed the construct validity of the three dimensions of the ALQ scale in the Indian context. The Cronbach’s Alpha values for the three dimensions ranged from .634 to .807. According to Hair et al. (2006), reliability between .6 and .7 may be acceptable provided that other indicators of a model’s construct validity are good. Since the standardised regression weights of the three dimensions of the ALQ were high and significant and these have been reported to be internally consistent by Walumbwa et al. (2008), all the items making up the 3 dimensions were retained for further analysis.

### Table 2: Confirmatory factor analysis of the ALQ

<table>
<thead>
<tr>
<th>Path</th>
<th>SRW</th>
<th>Path</th>
<th>SRW</th>
</tr>
</thead>
<tbody>
<tr>
<td>AL -&gt; Transparent and Moral Perspective (TMP)</td>
<td>.839</td>
<td>TMP -&gt; says_means</td>
<td>.610</td>
</tr>
<tr>
<td>Cronbach’s Alpha = .807</td>
<td></td>
<td>TMP -&gt; admits_mistakes</td>
<td>.588</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; speak_mind</td>
<td>.592</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; tells_truth</td>
<td>.589</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; emotions_feelings</td>
<td>.316</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; beliefs_actions</td>
<td>.590</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; decisions_values</td>
<td>.572</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; positions_values</td>
<td>.595</td>
</tr>
<tr>
<td></td>
<td></td>
<td>TMP -&gt; ethical_decisions</td>
<td>.629</td>
</tr>
<tr>
<td>AL -&gt; Balanced Processing (BP)</td>
<td>.959</td>
<td>BP -&gt; challenge_position</td>
<td>.491</td>
</tr>
<tr>
<td>Cronbach’s Alpha = .653</td>
<td></td>
<td>BP -&gt; analyses_data</td>
<td>.711</td>
</tr>
<tr>
<td></td>
<td></td>
<td>BP -&gt; listens_viewpoints</td>
<td>.727</td>
</tr>
<tr>
<td>AL -&gt; Self Awareness (SA)</td>
<td>.777</td>
<td>SA -&gt; feedback_improve</td>
<td>.630</td>
</tr>
<tr>
<td>Cronbach’s Alpha = .634</td>
<td></td>
<td>SA -&gt; others_capabilities</td>
<td>.503</td>
</tr>
<tr>
<td></td>
<td></td>
<td>SA -&gt; reevaluate_positions</td>
<td>.469</td>
</tr>
<tr>
<td></td>
<td></td>
<td>SA -&gt; actions_impact</td>
<td>.550</td>
</tr>
</tbody>
</table>

SRW = Standardized Regression Weights, P = .001.

Seven structural equation models (A through G) were tested for relationship between managerial effectiveness and the three-factor, second order ALQ. Similarly, four structural equation models (H through L) were tested for relationship between leadership effectiveness and the ALQ. The model fit measures and the standardized regression weights of the paths are laid out as Tables 3 and 4. All the models indicated reasonable fit with the data as indicated by the
CMIN/DF, CFI and RMSEA values. The results indicated the construct validity of the 12 dimensions of effective management and leadership performance tested in this study. The Cronbach’s Alpha values of the 12 dimensions of effective management and leadership ranged from .641 to .895. These were within the acceptable range as suggested by Hair et al. (2006) and were indicative of the internal consistency of the 12 latent constructs.

Table 3: Fit of 8 structural equation models indicating relationship between AL and managerial effectiveness

<table>
<thead>
<tr>
<th>Model</th>
<th>CMIN/DF</th>
<th>CFI</th>
<th>RMSEA</th>
<th>Path</th>
<th>SRW</th>
<th>Path</th>
<th>SRW</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>1.928</td>
<td>.904</td>
<td>.058</td>
<td>AL -&gt; Organizational Performance (OP) Cronbach’s Alpha = .864</td>
<td>.565</td>
<td>OP -&gt; Sales</td>
<td>.793</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>OP -&gt; Profit</td>
<td>.846</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>OP -&gt; Market Share</td>
<td>.813</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>OP -&gt; ROI</td>
<td>.547</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>OP -&gt; Stock Value</td>
<td>.487</td>
</tr>
<tr>
<td>B.</td>
<td>2.007</td>
<td>.905</td>
<td>.060</td>
<td>AL -&gt; Satisfaction of Follower Needs (SFN) Cronbach’s Alpha = .807</td>
<td>.738</td>
<td>SFN -&gt; Follower Needs</td>
<td>.815</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SFN -&gt; Follower Expectations</td>
<td>.861</td>
</tr>
<tr>
<td>C.</td>
<td>1.965</td>
<td>.916</td>
<td>.059</td>
<td>AL -&gt; Improved Quality of Work Life (IQWL) Cronbach’s Alpha = .859</td>
<td>.773</td>
<td>IQWL -&gt; Improved QWL</td>
<td>.779</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>IQWL -&gt; Builds Self-Confidence</td>
<td>.890</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>IQWL -&gt; Enhances Skills</td>
<td>.766</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>IQWL -&gt; Helps Psychological Growth</td>
<td>.690</td>
</tr>
<tr>
<td>D</td>
<td>2.039</td>
<td>.902</td>
<td>.061</td>
<td>AL -&gt; Contribution to Absenteeism (CA) Cronbach’s Alpha = .895</td>
<td>-.666</td>
<td>CA -&gt; Absenteeism of Self</td>
<td>.878</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CA -&gt; Absenteeism of Others</td>
<td>.924</td>
</tr>
<tr>
<td>E.</td>
<td>2.171</td>
<td>.897</td>
<td>.065</td>
<td>AL -&gt; Contribution to Follower Dissatisfaction &amp; Hostility (CFDH) Cronbach’s Alpha = .889</td>
<td>-.445</td>
<td>CFDH -&gt; Complained against the Manager</td>
<td>.797</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CFDH -&gt; Requested Transfer</td>
<td>.833</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CFDH -&gt; Slowed Work</td>
<td>.811</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CFDH -&gt; Sabotaged</td>
<td>.803</td>
</tr>
</tbody>
</table>
### Table 4: Fit of 4 structural equation models indicating relationship between AL and leadership effectiveness

<table>
<thead>
<tr>
<th>Model</th>
<th>CMIN/DF</th>
<th>CFI</th>
<th>RMSEA</th>
<th>Path</th>
<th>SRW</th>
<th>Path</th>
<th>SRW</th>
</tr>
</thead>
<tbody>
<tr>
<td>H.</td>
<td>2.096</td>
<td>.914</td>
<td>.063</td>
<td>AL -&gt; Respect for the Leader (RM) Cronbach’s Alpha = .826</td>
<td>.841</td>
<td>RM -&gt; Like Leader</td>
<td>.796</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>AL -&gt; Uncommitted to Leader’s Requests (ULR) Cronbach’s Alpha = .741</td>
<td>-.156*</td>
<td>ULR -&gt; Resist requests</td>
<td>.390</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>AL -&gt; Problem Solving Skill Enhancement (PSSE) Cronbach’s Alpha = .782</td>
<td>.512</td>
<td>PSSE -&gt; Problem Solving Skills</td>
<td>.734</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G.</td>
<td>1.993</td>
<td>.884</td>
<td>.060</td>
<td>AL -&gt; Successful Career of Manager (SCM) Cronbach’s Alpha = .641</td>
<td>.679</td>
<td>SCM -&gt; Successful Career</td>
<td>.721</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SCM -&gt; Promoted Higher</td>
<td>.640</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>SCM -&gt; Reelected</td>
<td>.439</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| SRW = Standardized Regression Weights, P = .001.
## Disagreements

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>K</td>
<td>1.867</td>
<td>.905</td>
<td>.056</td>
<td>AL -&gt; Helps Deal with Change (HDCH) Cronbach’s Alpha = .820</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDCH -&gt; Enhancing Role Specialization</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDCH -&gt; Enhancing Organization of Activities</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDCH -&gt; Accumulation of Resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDCH -&gt; Group Readiness</td>
</tr>
<tr>
<td>L</td>
<td>1.935</td>
<td>.903</td>
<td>.058</td>
<td>AL -&gt; Helps Deal with Crises (HDC) Cronbach’s Alpha = .832</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDC -&gt; Enhancing Role Specialization</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDC -&gt; Enhancing Organization of Activities</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDC -&gt; Accumulation of Resources</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>HDC -&gt; Group Readiness</td>
</tr>
</tbody>
</table>

SRW = Standardized Regression Weights, P = .001. *P = .047

## Conclusion

The results indicate that AL leads to various dimensions of managerial effectiveness including organisational performance, satisfaction of follower needs, and improvement in the quality of work life. AL leads to decrease in negative attitudes and behaviour of followers like absenteeism, dissatisfaction and hostility. AL leads to enhancement in positive group attitudes and behaviour. Finally, managers practising AL achieve personal success as perceived by their followers.

AL leads to various dimensions of leadership effectiveness including respect for the leader, commitment to leader’s requests, enhancement of problem solving skills and group ability to deal with change and crises.

## Discussion

This study indicates that AL is a three-factor second order construct according to Indian respondents. The Relational Transparency and Internalized Moral Perspective factors of the original ALQ get merged into a new factor which may be called Transparent and Moral Perspective. The results of the study indicate that AL improves both managerial and leadership performance.
An important limitation of this paper is that the study might be suffering from common method bias as data has been collected from a single source of respondents. Common method bias includes factors such as item ambiguity, the measurement context, transient mood states, social desirability, consistency motif, implicit theories, demand effects, scale anchors and formats, leniency bias and demand characteristics (Williams, Hartman, & Cavazotte, 2010). Future research studies should consider collecting data about followers from the leader and vice versa as one of the ex ante measures of avoiding common method bias (Chang, van Witteloostuijn, & Eden, 2010). Alternatively, ex post methods (Williams, Hartman, & Cavazotte, 2010) may be used as remedy for common method bias.

It might appear that, it has been assumed that a person in a position is a leader. It must be reiterated that the AL behaviour of leaders situated in organisations have been examined in this paper. Such leaders can execute managerial functions at certain times and leadership functions at other and could be perceived as either leaders or managers by their followers.

About the Author
Biplab Datta is associate professor at Vinod Gupta School of Management, Indian Institute of Technology, Kharagpur, India. He received his Ph.D. degree in Service Quality Management from Indian Institute of Technology Delhi in 2004. His current teaching and research interests include organizational leadership, service quality management and customer relationship management. He has published several papers in Indian and international journals. He has organized and taught a number of management development programmes on leadership and teamwork for executives and faculty members of other management institutes.

Email: bd@vgsom.iitkgp.ernet.in

References


Appendix

Questionnaire for Measuring Leader’s Managerial and Leadership Effectiveness

A. Organisational performance
   1. To what extent have the sales or output of your unit or organization increased due to the activities of your leader?
   2. To what extent has the profit of your unit or organization increased due to the activities of your leader?
   3. To what extent has the market share of the products of your organization or unit increased due to the activities of your leader?
   4. To what extent has the return on investment of your organization or unit increased due to the activities of your leader?
   5. To what extent has the value of your corporate stock increased due to the activities of your leader?

B. Satisfaction of followers’ needs and expectations
   1. To what extent does your leader satisfy your needs?
   2. To what extent does your leader satisfy your expectations?

C. Improvement of the quality of work life and development of the followers
   1. To what extent has your leader improved the quality of your work life?
   2. To what extent has your leader been instrumental in building your self-confidence?
   3. To what extent has your leader been instrumental in increasing your skills?
   4. To what extent has your leader contributed to your psychological growth and development?

D. Leader’s contribution to absenteeism of followers
   1. To what extent has your leader been responsible for your absenteeism?
   2. To what extent has your leader been responsible for the absenteeism of other followers?

E. Leader’s contribution to dissatisfaction and hostility of the followers (negatively coded)
   1. To what extent have you complained against your leader to his supervisor or higher management?
   2. To what extent have you requested for transfer to another unit in the past?
   3. To what extent have you ever slowed down the work in reaction to your leader’s behaviour towards you?
   4. To what extent have you ever deliberately sabotaged equipment and facilities in reaction to your leader’s behaviour towards you?

F. Leader’s contribution to quality of group processes of his/her unit or organisation
   1. To what extent has the cohesiveness of the members of your unit or organization increased due to the activities of your leader?
   2. To what extent has the cooperation among the members of your unit or organization increased due to the activities of your leader?
   3. To what extent has the commitment of the members of your unit or organization towards your unit or organization increased as a result of the activities of your leader?
   4. To what extent has the confidence of the members of your unit or organization increased as a result of the activities of your leader?

G. The extent to which the leader had a successful career
1. To what extent does your leader have a successful career?
2. How rapidly has your leader been promoted to positions of higher authority?
3. Has your leader been re-elected for the position in which he is in, if the position is filled by election?

H. Respect for the leader
1. To what extent do you like your leader?
2. To what extent do you respect your leader?
3. To what extent do you admire your leader?
4. To what extent do you trust your leader?
5. To what extent do you perceive your leader to be having high integrity?

I. Leader’s contribution to enhancement of problem solving, decision making and conflict resolution skills of his/her unit
1. To what extent is your leader instrumental in enhancing the problem solving skills of your unit or organization?
2. To what extent is your leader instrumental in enhancing decision making skills of your unit or organization?
3. To what extent is your leader instrumental in resolving disagreements and conflicts in your unit or organization?

J. Commitment to carry our leader’s requests (negatively coded)
1. To what extent do other followers try to resist your leader’s requests?
2. To what extent do other followers try to ignore your leader’s requests?
3. To what extent do other followers try to subvert your leader’s requests?

K. Leader’s contribution to group ability to deal with change
1. To what extent does your leader contribute to enhancing the efficiency of role specialization to deal with change?
2. To what extent does your leader contribute to the organization of activities to deal with change?
3. To what extent does your leader contribute to the accumulation of resources to deal with change?
4. To what extent does your leader contribute to the readiness of your group to deal with change?

L. Leader’s contribution to group ability to deal with crises
1. To what extent does your leader contribute to enhancing the efficiency of role specialization to deal with crises?
2. To what extent does your leader contribute to the organization of activities to deal with crises?
3. To what extent does your leader contribute to the accumulation of resources to deal with crises?
4. To what extent does your leader contribute to the readiness of your group to deal with crises?
WHO’S CONTROLLING LOCUS OF CONTROL?
CROSS-CULTURAL LOC USAGE

Russell L. Huizing
Toccoa Falls College, USA

Rotter’s Internal-External Locus of Control scale has been broadly used in both American contexts as well as in other cultures around the world. A review of the research that first transitioned this scale into other cultures shows a number of significant validity and reliability threats. Given that many more recent studies have based their validity and reliability on these earlier studies, it is important to understand the threats that existed so current research can strengthen the validity and reliability of this important scale across other cultures. Recommendations for various forms of validity and reliability are provided.

When one compares the accumulation of leadership research developed in a Euro-American context with the burgeoning global consciousness, the need for cross-cultural research quickly becomes apparent (Dyal, 1984). Not only does a greater influence of cross-cultural research assist in understanding the similarities and differences between cultures but also, perhaps more importantly, it bases application of leadership theory in culturally sensitive research (Dyal, 1984). However, simply translating an established instrument for use in another culture is insufficient if validity and reliability of the instrument within that culture has not been established. For instance, Rotter’s Internal-External Locus of Control (I-E LOC) scale has shown strong validity and reliability (e.g. Goodman & Waters, 1987; Hersch & Scheibe, 1967; Zerega, Tseng, & Greever, 1976) in Euro-American contexts and researchers have extensively used it in cross-cultural research (Dyal, 1984). Unfortunately, as will be shown, too many of the initial studies presumed various degrees of validity and reliability of the scale as it had been used in its original context rather than going through the harder work of re-establishing validity and reliability in the cultural context researched. Therefore, an important step in understanding the current research validity and reliability is to go back to this earlier research and confirm its validity and reliability.

This work will identify early locus of control (LOC) studies in cross-cultural settings that contributed to an understanding of the instrument’s validity and reliability in those contexts. The author identified articles through an EBSCO search using a combination of the terms Rotter, Locus of Control, reliability, validity, cross-cultural, and translation, focusing on articles up until 1999 that became foundational to later research. This search resulted in 24 articles. Four of the
articles did not provide sufficient validity or reliability information and were removed. The remaining 20 articles represented Rotter’s I-E LOC scale and its use in 49 countries representing 54 distinct cultural groups.

Why should articles nearly 15 years or older be of concern for contemporary cross-cultural research on locus of control? Many studies since 2000 have often presumed the validity and reliability of this earlier research (Arslan, 2001; Beretvas, Suizzo, Durham, & Yarnell, 2008; Brice, 2012; Cannon, Doney, Mullen, & Petersen, 2010; Chan, Makino, & Isobe, 2010; Church, 2000; Gençöz, Vatan, Walker, & Lester, 2007; Goodwin, 2000; Huhmann & McQuitty, 2009; Johnson & Fullwood, 2006; Judge, Erez, Thoresen, & Bono, 2002; Judge, Van Vianen, & De Pater, 2004; Junttila & Vauras, 2009; Kung, 2003; Li-Jane & Shi-Kai, 2007; McKeever, McWhirter, & Huff, 2006; Mittal & Wieling, 2006; Montoya & Horton, 2004; Neiss, Stevenson, Legrand, Iacono, & Sedikides, 2009; Ng, Sorensen, & Eby, 2006; Palmer, Rysiew, & Koob, 2003; Pornpitakpan, 2004; Schippers & Van Lange, 2006; Sidani & Gardner, 2000; Soh, Surgenor, Touyz, & Walter, 2007; Takao, Takahashi, & Kitamura, 2009; Tsai, Miao, Seppala, Fung, & Yeung, 2007; Twenge, Liqing, & Im, 2004; Varnum, 2008; Wong, 2000; Zeyrek, Gençöz, Bergman, & Lester, 2009). To be clear, these references only indicate research published after 2000 that directly cites one of the 20 identified articles. It only includes articles from within EBSCO. This does not include research published prior to 2000 that cites these articles. It does not include third generation articles developed off of this research. All the articles, except Tyler, Dhawan, and Sinha (1988), were cited in other research. Simply put, any article that presumes the validity and reliability of the earlier cross-cultural locus of control research at any point in its theoretical foundation places its own validity and reliability at risk if that earlier research is shown to have weaknesses in its validity and reliability analysis.

Rotter developed the concept of LOC in 1966. This concept predicts the degree to which an individual believes that any possible behavior on their part determines outcomes (Furnham & Steele, 1993; Ivancevich, Konopaske, & Matteson, 2008). The theory predicts that a person with an internal locus of control (I-LOC) perceives outcomes are dependent on personal behavior or characteristics (Yukl, 2006). On the other hand, individuals with external locus of control (E-LOC) perceive outcomes are dependent on forces outside the individual (Yukl, 2006). Rotter developed a 29 item self-reported Internal-External Control scale to measure LOC (Furnham & Steele, 1993). I-LOC has been linked with many favorable psychosocial benefits (among many others, motivation, responsibility, learning – for more detail see Ivancevich et al., 2008; Spector, 1982; Welton, Adkins, Ingle, & Dixon, 1996; Yukl, 2006). E-LOC, on the other hand, has been associated with much less desirable characteristics (for instance, conformity to authority, lower emotional stability, counterproductive behavior – for more, see Ivancevich et al., 2008; Key, 2002; Trevino & Youngblood, 1990). Despite these differences, I-LOC does not necessarily lead to better performance. In tasks requiring initiative, I-LOCs are likely to perform better (Ivancevich et al., 2008). However, in tasks requiring high structure and routine, E-LOCs are likely to perform better since the structure and routine act as an external source of control over the individual (Ivancevich et al., 2008).

Validity of I-E LOC Scale in Cross-Cultural Research

The validity of an instrument in any cultural context is critical to research (Kerlinger & Lee, 2000). Without validity, neither researchers nor those seeking to learn from their research can be certain that what they measured was in fact what they believed they were measuring.
Often, validity can be broken down into three primary forms: (a) content and face validity, (b) criterion-related validity, and (c) construct validity. The latter form, construct validity, can be broken down into several other forms of validity including conceptual, factorial, convergent, discriminant, and nomological. Dyal (1984) noted two primary problems in cross-cultural methodology. First is that of construct validity. Simply put, researchers must reestablish in the new culture the same degree of construct validity established in the culture of origin. Just because an instrument has shown construct validity in one culture, researchers cannot presume it has construct validity in another. The reason for this leads to the second problem in cross-cultural methodology – conceptual differences. The researcher seeking to use instruments in a culture other than the one that the validity was established in, must go through the whole process again of showing validity in the new culture in order to establish that the concept and function of the constructs being measured have not changed. This reassessment of the validity of the I-E LOC scale becomes the benchmark by which cross-cultural research using this scale can be measured.

Content and Face Validity

Content validity is the informed judgment of competent reviewers on whether items within an instrument are representative of what they are purportedly measuring (Kerlinger & Lee, 2000). Face validity, though similar, differs slightly in that it obtains feedback on whether the instrument appears to measure what it intends to measure (Kerlinger & Lee, 2000). In the cross-cultural LOC research in this study, rarely do authors provide any information regarding either face or content validity. The lone exception to this is Hojat (1982) who asked twelve Iranian specialists in the fields of psychology and measurement and ten American specialists in the fields of education and psychology to provide feedback for face and content validity, especially as it pertained to cultural bias.

Criterion-Related Validity

This form of validity seeks to compare the results of external variable data that is believed to measure or predict the variable under study (Kerlinger & Lee, 2000). The two forms of criterion-related validity are predictive and concurrent. Predictive validity, which seeks to identify predictive correlations among variables, is the most common form of criterion-related validity in leadership research (Kerlinger & Lee, 2000). Concurrent validity measures the correlation between the variable studied and other existing instruments that measure the same variable (Kerlinger & Lee, 2000).

Predictive validity was the exclusive form of criterion-related validity in the cross-cultural LOC research studied. Table 1 provides a listing of the variables shown to be significantly predictive by LOC. This listing only includes variables that were significant for all the cultures included in the particular studies. As one might expect, there are many other variables that LOC predicts either within subsets of participants or within a portion of the cultures represented in a particular study (Kanungo & Bhatnagar, 1978; Khanna & Khanna, 1979; Lester, Castromayor, & Icli, 1991; McGinnies & Ward, 1974; Parsons & Schneider, 1978; Reimanis, 1977; Reitz & Jewell, 1979).
Table 1: Predictive Variables in Cross-Cultural LOC Research

<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Country(ies) Represented</th>
<th>Predictive Variable(s)</th>
<th>Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chan (1989)</td>
<td>China (Hong Kong)</td>
<td>Depression</td>
<td>$r = .36^{***}$</td>
</tr>
<tr>
<td>Hojat (1982)</td>
<td>American Iranians and Iranians</td>
<td>Loneliness</td>
<td>$R^2 = .69, \beta = .10^*$</td>
</tr>
<tr>
<td>Smith, Trompenaars, &amp; Dugan (1995)</td>
<td>43 Countries</td>
<td>Power Distance</td>
<td>$r = .53^*$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Individualism</td>
<td>$r = .70^{****}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Income</td>
<td>$r = .53^{**}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Literacy</td>
<td>$r = .59^{**}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Christianity</td>
<td>$r = .71^{****}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Externality</td>
<td>$r = .43^*$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Gender</td>
<td>$r = .51^{**}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Age</td>
<td>$r = .51^{**}$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conservatism</td>
<td>$r = .74^*$</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Harmony</td>
<td>$r = .73^*$</td>
</tr>
</tbody>
</table>

*Note* Predictive variables only listed when significance was obtained across all cultures studied.

* $p < .05$

** $p < .01$

*** $p < .001$

**** $p < .0001$

**Conceptual and Functional Validity**

Though researchers do not often list conceptual and functional validity as forms of construct validity, Scroggins, Rozell, Guo, Sebestova, and Velo (2010) noted that simply translating an instrument into another language is not sufficient to maintain construct validity. The first problem that arises is conceptualization, which they illustrated with a bicycle. Across many cultures, the conceptualization of a bicycle has near perfect alignment. A bicycle in America is the same as a bicycle in China. For items in an instrument that bridge cultures so simply, conceptualization is not a problem. However, as Scroggins et al. noted, concepts, such as leadership, have been shown to have significant differences across different cultures. Thus, researchers should test conceptual validity in any cross-cultural work. Secondly, Scroggins et al. pointed out that there is a functional validity, which can again be illustrated with bicycles. In America, bicycles are primarily seen as either recreational or as exercise equipment. However, in China, for many people, the bicycle remains a primary means of transportation. Thus, although conceptually there is validity for an instrument “measuring” bicycles between the cultures, functionally there is a lack of validity for an instrument “measuring” bicycles since the use of
bicycles is different and thus would change the perception of the variable. As they pointed out, the participant must have both a conceptual and a functional understanding of the construct being measured in order for it to have construct validity.

Only Smith, Trompenaars, and Dugan (1995) and Tyler et al. (1988) translated the instrument into other languages without a back-translation process. However, for most studies, the typical back-translation process was used (Chan, 1989; Cole, Rodriguez, & Cole, 1978; Hojat, 1982; Kanungo & Bhatnagar, 1978; McGinnies, Nordholm, Ward, & Bhanthumnavin, 1974; McGinnies & Ward, 1974; Parsons & Schneider, 1974, 1978; Reitz & Jewell, 1979; Tobacyk, 1978; Tobacyk, 1992; Zea & Tyler, 1994). This process involves translating the instrument from the language of origin to the language of research by someone whose primary language is the language of origin. Then, multiple translators whose primary language is the language of research translate the instrument back into the language of origin. Researchers discuss discrepancies between the original and the back-translated version and changes are made to the instrument in the language of research. This process in most cases will provide for conceptual validity. However, there is no research on whether there are functional validity issues that could arise from a translation of Rotter’s I-E LOC scale. The only researchers to indicate that they were aware of functional validity issues were Santelli, Bernstein, Zborowski, and Bernstein (1990). They screened all their items to remove idiomatically expressed phrases and references to activities not common in the country of research. Although this did not result in the removal of any of the I-E LOC items, the process still establishes the functional validity of the I-E LOC for this study. Those researchers who did not use back-translation (Smith et al., 1995; Tyler et al., 1988) used participants fluent in English. However, even though an individual may fluently speak English, conceptual and functional discrepancies of the language may exist and thus undermine the conceptual and functional validity of the study.

Convergent and Discriminant Validity

In this form of validation, the researcher seeks to include measures that theoretically should have a high correlation with the construct (convergent) and measures that theoretically should have a low correlation with the construct (discriminant) (Kerlinger & Lee, 2000). The primary means used to measure these forms of validation is multitrait/multimethod. This method of validation requires the researcher to make sure that there is more than one trait being measured using more than one method of measurement. The theory of locus of control has developed from Rotter’s original claim of unidimensionality to near total acceptance of multidimensionality (Yukl, 2006) and thus inherently has multiple traits that are being measured. Chan (1989) provided a good example of convergent validity. In addition to testing the I-E LOC scale, Chan included items from the General Health Questionnaire that included somatic symptoms, anxiety/insomnia, social dysfunction, and depression. Chan anticipated that all these measures would have a high positive correlation (meaning they correlated with E-LOC). Chan also administered the Vaillant Assessing Coping Styles Questionnaire anticipating that these measures would have a high negative correlation (meaning they correlated with the I-LOC). Due to the past behavioral research in LOC, Chan believed these measures would converge on the LOC measures adding to its validity. Unfortunately, only the Depression measures (r = .36, p <.001) correlated the way that Chan anticipated. However, this result was similar to the results found by Lester et al. (1991) who used the Zung Self-rating Depression Scale to support the correlation between E-LOC and depression. In American and Turkish students, this correlation
was found ($r=.32$ and $.38$, respectively, $p<.001$). Still, the researchers did not find this same correlation to be significant among Phillipino students. Kanungo and Bhatnagar (1978) theorized in their research that LOC would be correlated with achievement oriented behavior and found correlations with emphasizing planning ($r=-.12$, $p<.05$), personal responsibility ($r=-.14$, $p<.05$), and future orientation ($r=-.10$, $p<.05$). None of the articles analyzed used a discriminant variable to validate the study. The I-E LOC scale is forced choice while most of the other measures used in these studies were Likert scaled and so the researchers used multi-method process in these studies.

**Factorial Validity**

Factor analysis seeks to identify the underlying dimensions that may be within a particular construct (Kerlinger & Lee, 2000) and thus is related to convergent and discriminant validity (Brahma, 2009). Though Rotter originally designed the I-E LOC scale as a unidimensional instrument, most other research has suggested a multi-dimensional measurement (Yukl, 2006). Unfortunately, there is little agreement on what and how many those dimensions should be in the original Euro-American context that the I-E LOC scale was developed in, let alone in the cross-cultural contexts of the research within this work. Table 2 summarizes the findings of factor analysis in the articles studied. However, underscoring the importance of determining factorial validity, Parsons and Schneider (1974) found significant differences in subscale scores between countries while within-country scores showed much greater correlation. Their recommendation was to expand the dimensionality of the LOC concept so that as different cultures used the instrument there would be culture-contextual factors already validated for usage.

<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Country(ies)</th>
<th>Factors Identified</th>
<th>% Variance Accounted For</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chan (1989)</td>
<td>China (Hong Kong)</td>
<td>Personal Powerlessness, General vs. Specific, Powerlessness, Political Powerlessness</td>
<td>No Variance information provided though correlation data supplied in tables</td>
</tr>
<tr>
<td>Garza &amp; Widlak (1977)</td>
<td>American/Chicano</td>
<td>Luck/Fate, Leadership/Success, Academics, Politics, Respect</td>
<td>12.5% in Chicanos, 17.6% in Anglos, 7.2% in Chicanos, 6.0% in Anglos, 6.7% in Chicanos, 7.1% in Anglos, 6.0% in Chicanos, 6.6% in Anglos, 5.4% in Chicanos, 5.5% in Anglos</td>
</tr>
</tbody>
</table>
Nomological Validity

This form of validation is the process whereby the researcher analyzes the hypothesized relationships between the constructs being studied for statistical significance. The simpler forms of statistical analysis include a correlation measurement of variables (Kanungo & Bhatnagar, 1978; Lester et al., 1991; Reimanis & Posen, 1980; Reitz & Jewell, 1979; Santelli et al., 1990) and a difference in means of variables (Cole et al., 1978; Parsons & Schneider, 1974; Reimanis, 1977; Tobacyk, 1992; Zea & Tyler, 1994). Analysis of variance provides a more comprehensive measurement of nomological validity as it allows for the comparison of more categorical subsets of the independent variables. Several researchers used ANOVA and MANOVA to show statistical significance in their research (Khanna & Khanna, 1979; Lester et al., 1991; McGinnies et al., 1974; McGinnies & Ward, 1974; Parsons & Schneider, 1974; Tyler et al., 1988). Multiple regression analysis provides the most comprehensive measures of statistical validation through its ability to measure multiple independent variables and their relative contributions. Four studies used this form of nomological validity (Chan, 1989; Hojat, 1982; Santelli et al., 1990; Tyler et al., 1988).

Reliability of I-E LOC Scale in Cross-Cultural Research

Once the researcher has determined through validation methods that the instrument is measuring what it hypothetically says it is measuring, it is also important to make sure that it is both dependable and consistent (Kerlinger & Lee, 2000). It is here that the researcher turns to reliability. There are primarily two forms of reliability – internal and external. Internal reliability
determines whether an instrument is consistent within itself. External reliability determines whether an instrument is consistent over multiple uses. Internal consistency estimates for the I-E LOC scale had a mean of .663 and a median of .690 with results as high as .93 and as low as -.40 (Beretvas et al., 2008). Test-retest reliability estimates ranged from .53 to .86 with a mean of .663 and a median of .640 (Beretvas et al., 2008).

Internal and External Reliability

Chan (1989) calculated the internal consistency of the items at \( \alpha = .70 \), however, item-total correlations ranged from .05-.45. Though this is comparable to Rotter’s item-total correlations (.11-.48), it still suggests that several of the items are not correlating well with the final score (Chan, 1989). Tyler et al. (1988) calculated an internal consistency of \( \alpha = .62 \). The alpha in Zea and Tyler’s (1994) research was .66. None of the other articles in this work reported internal consistency for the I-E LOC scale items. None of the articles in this study reported any test-retest analysis.

Discussion

The studies used for this work suggest that the transitioning of Euro-American constructs and instruments into other cultures is not a smooth one. In every form of validity and reliability, researchers could have strengthened both the validity and reliability analysis of the new instruments. As scientific study is designed to build upon previous research (Kerlinger & Lee, 2000), this is especially essential in early instrument transition from one culture to another lest later research presume the validity and reliability into its future use. Given the scattered results from the articles studied, it would appear at face value that the I-E LOC scale does in fact transition into other cultures. However, since rigorous validity and reliability methods were not followed in any of the articles (although Chan (1989) certainly is most comprehensive) any research that has built upon these articles that does not address these shortcomings carries into it the validity and reliability shortcomings.

Based on these articles, several additional methods would have assisted in strengthening the validity and reliability of the I-E LOC in cross-cultural contexts and are necessary to be established in future cross-cultural I-E LOC research. Face and content validity is critical in transitioning an instrument into another culture. Experts in the understanding and research of locus of control other than the researcher(s) ought to be involved in the process of validating that the translated measure appears to measure what it says it measures. Since researchers are often identifying predictive variables, that aspect of criterion related validity is constantly being developed. In order to strengthen criterion related validity, researchers should include concurrent validity measures with their testing. Researchers have developed a number of LOC scales with varying levels of reliability and validity. Comparing these scales with the I-E LOC in the culture of research would assist in strengthening its criterion related validity. Though researchers can approach conceptual validity through back-translation, they must still assess functional validity. Functional uses of terms in the I-E LOC scale such as luck, politics, teachers, leaders, success and idiomatic ideas such as ‘getting a break’ may differ from culture to culture and researchers ought to specifically address these concepts in the I-E LOC. Convergent and discriminant validity could be strengthened by focusing on developing discriminant variables against which to test the construct. Factorial validity remains a difficult topic even within the I-E LOC scale’s
original culture of research (Welton et al., 1996). However, this should not stop researchers from verifying the underlying components, through either confirmatory factor analysis or principal component analysis. Especially during the transitional phase of the I-E LOC into a new culture, this should be a minimum expectation of the research. Closely related to this is the internal reliability measures of any components detected. As with the factorial validity, all research transitioning the I-E LOC into a new culture should include internal reliability estimates as a minimum expectation. Finally, it was disturbing that no research included test-retests in the articles studied. This important step in the reliability verification will assist researchers in knowing whether they have properly developed the tool for consistency over uses. In the end, the establishment of the validity and reliability of any instrument in one culture will not automatically mean that it can be transitioned into another culture. This work shows that any research based upon the early transitions of the I-E LOC into other cultures that does not address the validity and reliability recommendations given may have significant validity and reliability concerns that will need to be addressed.

About the Author

Russell L. Huizing (Ph.D., Ecclesial Leadership; M.A., Religious Studies) is the assistant professor of pastoral ministry at Toccoa Falls College in Georgia. As a part of the school’s Ministry and Leadership Department, he teaches a diverse spectrum of ecclesial and leadership courses. He is also an adjunct instructor with Regent University in their Doctor of Strategic Leadership program and the Department of Biblical Studies and Christian Ministry. He has diverse leadership experiences in a variety of contexts including ecclesial environments, a Global Fortune 50 corporation, and as a family business owner. He has been a featured speaker at seminars and has consulted with ecclesial organizations. Research materials include ecclesial leadership, follower development, mentoring, discipleship, exegetical study, and the development of ritual translation.

Email: rhuizing@tfc.edu

References


EFFECTS OF MULTI-TEAM LEADERSHIP ON COLLABORATION AND INTEGRATION IN SUBSEA OPERATIONS

Jan R. Jonassen
Stord/Haugesund University College, Norway

Inspection, maintenance, and repair (IMR) operations in the North Sea are performed from specialized vessels. The article contributes to the understanding of leadership as being too complex to be described as the strategies and behaviors of only one person. These leaders work in concert to be facilitating and contributing to flexibility and adaptation thus initiating collaboration between teams and individuals through interaction processes. This unique leadership model allows for and generates openness, transparency and the practice of basic values like respect and helpfulness. The challenge for the leaders in subsea operations, however, is to create or contribute to the creation of an overarching collective identity to facilitate the transformation of the organization from a diversified and more fragmented organization consisting of several individual sub teams to an executive force of one overarching team supervised by one leader. A “sharedness” of mindset is developed through a set of collective communication. With shared mental models, there is a better chance of creating a collective flow of work. Openness and a short distance between leaders and subordinates also affect the ability of the organization to discover mistakes and rectify them earlier than otherwise possible. The challenge is as ever both individual and organizational: The ability to work together towards goal achievement. The paper introduces elements building a foundation for successful leading of complex multi-team operations.

Our story began with an IMR (Inspection, Maintenance, and Repair) vessel reaching its destination at a subsea installation (known as a template) in the North Sea. Once there, it was held stationary using dynamic positioning (DP) technology. Specialists performed the subsea operations using robots, called Remotely Operated Vehicles (ROVs), which were attached to the vessel by umbilical cords. A complex set of teams and individuals moved into action under the coordination of a Shift Supervisor – a multi-team system (Mathieu et al., 2001).

The Shift Supervisor acted as the conductor of the operation and was required to stay in the control room for the duration of his 12-hour shift. He was in constant contact with the bridge, the subsea operations team, the Client Representative on the vessel, and a variety of specialists.

When the ROV pilot closed one of the valves on the template, the Shift Supervisor checked the task plan and directed the pilot on how much pressure to apply. The Shift
Supervisor gave the order to remove a leaking valve cap on the template and bring it to the surface for inspection. The Shift Supervisor had to determine, with input from the third party team (technical expert team, technical company) and the Client Representative (oil company representative onboard), whether it could be fixed onboard or had to be replaced with a new one. During the operation the Shift Supervisor requested a good picture of the other valves from the pilot flying ROV 1. He gave direct orders to the pilot flying ROV 2 over the intercom: “Take care with the valve! Wait! Looks like paint flakes on the coupling; give some power injections of water. That’s fine!”

Next the ROV crew had to recover a THISL (lock mechanism on a subsea module) cap from the wellhead to the deck when the wire and ROV hook got stuck. Third party technicians joined the riggers to solve the problem. With tension in the air they all tried to contribute solutions in order to reduce downtime with the module on deck instead of in the sea. The Medic continued the story:

*The Deck Foreman was a little frustrated and became stressed. He could see all those balls flying in the air and lots of opinions from the team and couldn’t see a way out. He stopped the operation and called for a time out and requested a tool box conversation from the Shift Supervisor. The Senior ROV Supervisor, Offshore Manager, Client Rep and Project Engineer joined them to discuss possible solutions. The tension was not high, but I wondered when listening to them: Do they listen to each other or just prepare for their next argument?” The Medic continued, “When I watched their body language and heard how they responded to what had been said, I thought they all were within themselves. Then the Client Rep calmed the tension by stating that the well was dead and out of current production, so we could use time to find the best solution. It all ended with a common reality agreement and an action plan to go ahead and prevent the situation from reoccurring.* (Medic on vessel no. 1).

The Shift Supervisor started focusing on the upcoming operation, a crane operation. This was a so called “nice-weather” operation where they need a minimum of a 12-hour weather window from start to finish. A concrete pipe was on the seabed. The Captain worried that it could have been sucked down in the mud and gotten stuck there. In these cases the vessel had to work the crane wire backwards and forwards to loosen up the pipe. This could take time and be dangerous, so they had to be reasonably sure of the weather window. The weather forecast showed a window opening that was on the borderline of being safe, but the captain was not sure. Some signs in the sky worried him. The wire was already down but was not yet hooked on when the Captain contacted the OM (Offshore Manager) and the Client Rep and ordered a halt in the operation. He told them that when a low pressure cell was coming with the signs indicated just then, it could come really fast like being released from a bag. He pointed to the pearls of water on the window and the cloud formations in the sky. The decision was not a popular one, but it was respected and the wire was pulled up. The Captain is responsible for the safety of vessel, equipment, and crew. The OM informed the Shift Supervisor about the decision. Hell broke loose twenty minutes later with a storm lasting four hours. “If I hadn’t been right,” the Captain later said in an interview, “there would have been discussions.”
This brief snapshot of a day in the life of an IMR operation crew is based on data from interviews and observation collected during a two-week trip onboard an IMR vessel. As this illustrates, IMR operations are complex, with many moving parts that must be tightly orchestrated, and multiple interests and concerns that must be met. Given the high degree of complexity, occurrence of unexpected events, and the stress of operating in an extreme environment such as the Norwegian continental shelf, one might predict that conflict and errors would be frequent. Yet, this is not the case; the frenzy of activity that constitutes an IMR operation typically goes well, which raises two key questions: why and how?

_The Captain is in charge of the vessel. He’s the number one in charge. I’m [OM] in charge of running the project. But, it’s not a shared leadership. We have defined barriers of control. We actually have three leaders from three different companies sitting onboard. We have to do it together every day. How many places onshore do you do that?_ (OM on vessel no. 5)

This quote epitomizes the research question for this paper. These IMR operations are managed by a set of managers on different levels: strategic, borderline, operational, client control, team, and procedural. Each of these areas or functions is not always taken care of by one, dedicated formal leader.

_How is it possible to lead in plural in order to effectively initiate multi-team integration and collaboration?_

The five vessels represented in the analysis are all engaged in the same trade, IMR, or the Inspection, Maintenance, and Repair of oil and gas installations on the seabed of the Norwegian continental shelf. They perform the same type of operations over the course of a year, but may differ when it comes to the variation of the tasks. The operations are performed by ROVs, remotely operated vehicles. The vessels are equipped with 2 – 7 such ROVs (working ROVs and/or survey/inspection ROVs). Only two of the vessels clean pipes using scale squeeze operations, while the others do more inspection than maintenance and repair. The organization onboard the vessels are very similar, and the leadership structure is similar, but may vary in the details depending on the type of ongoing operations. The nationality of the crews varies as well as the type of contract from the subsea contractor and the shipping company. The five vessels in our sample were all on long term contracts for 1 - 5 years. Spot contracts are said to be used more frequently on the British side of the North Sea. These two factors, national homogeneity and the type of contract, may have an impact on the execution of leadership even if the organization is the same.

The IMR context is characterized in the following way:

- The priorities and plans are set through a thorough planning and analysis process involving the actual performing parties in order to create structure and predictability.
- The different parties onboard collaborate in order to be successful.
- The teams, here called component teams (Mathieu et al., 2008), are managed by a supervisor. The ROV Supervisor and the Deck Foreman report to the Offshore Manager, the marine teams report to the Captain, and the third party teams’ supervisors report and stay in contact with their own headquarters onshore.
Once the IMR vessel has arrived at the operation's location, the organization changes and the different expert teams are merged into one execution team under the leadership of one supervisor, called the Shift Supervisor.

The component team remains intact for briefings, coaching, learning, and expert discussions while operations are ongoing and some of the team leaders have the responsibility for reports and borderline activity with the onshore office, for example the Senior ROV Supervisor on technical planning issues and third party supervisors on their running activities.

The top leaders onboard (the Offshore Manager, Captain, and Client Rep) are not in charge of carrying out the details while the operation is under way, but rather perform various tasks of reporting, borderline contacts, contract issues, and supporting tasks, which may be characterized as redundant leadership (Johannessen, McArthur, & Jonassen, 2012).

Priorities frequently change due to varying weather conditions and changing priorities between the different production fields offshore. Each licensed field often consists of several oil companies and owning parties, which may at times have conflicting priorities.

The teams carrying out the operations are exposed to different types of risks, from the risk of gas leaks from the subsea structure to the heavy objects and containers stored on deck in heavy waves.

The teams also have to deal with unknown elements on the seabed and underwater structures that create challenges to their ability to rearrange, regroup, or rethink earlier solutions.

Need for Research on the Efficacy & Effects of Multiple Leaders & Multi-Team Integration

The data in this study stems from the IMR subsea business on the Norwegian continental shelf and will not be used to characterize leadership and organizational behavior within other areas. This type of leadership model is developed to handle the encounter of humans, technology, rough and changing environments. The oil and gas business in the North Sea and the Norwegian Sea is considerable and a study of the type of leadership and actual behaviors will add value to the understanding of leaders in action performing operations in extreme environments. The paper will discuss the leadership model in the light of several leadership perspectives in order to also contribute to the understanding of leadership in and between organizational units in general.

Interaction between people in the workplace is fundamentally plural. For interaction to take place there must be at least two parties, typically several. It is therefore reasonable to question the equation of leadership as a property of individuals. “This questioning,” Jean-Louis Denis et al. (2012) argue, “leads directly to the perennial interrogation about the nature of leadership. Yet, all inquiries within this line of thinking share one common root: that leadership is fundamentally more about participation and collectively creating a sense of direction than it is about control and exercising authority. This assumption and others problematizes the individuality of leadership (i.e. Raelin, 2011; Uhl-Bien, 2006), which in turn requires a reconceptualization of what leadership is and, for some, what indeed it should be.” However, as
Christopher Mabey and Kevin Morrell (2011) argue, “the individual cannot be written out of the leadership play.” There is a strong interest in the leadership literature in research describing both individual and collective dimensions. Interestingly, in the last decade much of this literature has contained research on different forms of collective leadership in order to explain the increasing complexity of both organizations and their environments.

During the 90s the Leader-Member Exchange (LMX) theory was further developed into the stage the researchers called stage 4. Graen and Uhl-Bien (1995:233) clarifies: “Up to this point, most of the work on LMX has focused on LMX relationships as dyads within work groups and independent dyads. Within complex organizations, however, this is not representative of the nature of leadership situations, which are characterized most often by a leader and multiple members working together in some type of interacting collectivity. In recognition of this, Graen and Scandura (1987) proposed that, rather than independent dyads, LMX should be viewed as systems of interdependent dyadic relationships, or network assemblies (Scandura, 1995).” These relationships were not limited to superior-subordinate relationships, but included relationships among peers, teammates not just within an organization, but also across borders.

Interestingly Graen and Uhl-Bien (1995:235) calls for further research on the processes which come into play when crossing organizational borders: “How does the pattern of relationships affect an employee’s interactions with customers, suppliers, and other organizational stakeholders…Very little empirical investigation has occurred at this level, and questions abound.”

In this article, we will present empirical data which will throw some light on these questions; however, our interest in collective forms of leadership will focus on multiple leaders in interaction, interacting individually and collectively in order to direct component teams and a total team towards optimal collaboration for the performance of planned tasks in a complex production environment. The relationships we describe are not dyadic, but multiple dynamic in the sense that individual units operate in a structured network in order to be unified into one concerted team at the time of execution. Naturally, by focusing on collective forms of leadership we should move our focus from the individualistic concept of leadership to the more dynamic and process oriented concept of leading as a process. This was pointed out to me by research colleague Professor Erik Hollnagel: “In this case it is less a question of leadership than a question of leading a high risk activity with considerably uncertainty built in.” The longitudinal use of certain concepts may sometimes cover our eyes from seeing, understanding and as researchers, labeling the reality in front of us. In the world of subsea operations where people are stuck with each other on board a vessel for the duration of a trip, mostly two weeks, relations between people are developed and challenged. They are both tied up and flexible at the any time. It’s a dynamic environment, because external changes appear regardless of your own opinion. In the same way their work is highly regulated by government and international regulations, business and technical requirements until they are faced with the unknown at seabed and have to change strategy towards flexibility and the use of their tacit knowledge.

This brings us to the understanding of the world of subsea operations as highly dependent and influenced by the context in which the operators work and interact. All interaction must be seen in relation to other interaction within the organization and across borders (Stacey, 2001, Uhl-Bien, 2006). Further research is needed into the area of relations in organizations, as Uhl-Bien (2006) argues: “We know surprisingly little about how relationships form and develop in the workplace. Moreover, investigation into the relational dynamics of leadership as a process of organizing has been severely overlooked in leadership research.”
This environment calls for a type of leading that both takes care of structure and flexibility. The collective element is represented by multiple leaders, but not institutionalized to take collective decisions. The OM (Offshore Manager) is the overall leader of operations, but the Shift Supervisor on delegation manages the ongoing operational activities according to Scope of Work and Procedures. The Captain is the overall decision maker when it comes to security and safety for the total crew and vessel. They may make their decisions based on their own judgment, but more likely they consult each other collectively. The most important collective body is the daily operations meeting, led by the OM, where all department and third party supervisors attend to discuss three subject matters; review of the past 24 hours, overall planning for the next 24 hours and thirdly possible current HSE matters. Their roles are clearly divided in theory, but as we shall see practice will scrutinize the flexibility of the system. We will describe this system as multiple dynamic; multiple leaders leading subsea operations.

**Theoretical Perspectives**

The organization of the subsea operations is a system of a team of teams, a multiteam system. Mathieu, Marks and Zaccaro (2001) define a multiteam system (MTS) as: “two or more teams that interface directly and interdependently in response to environmental contingencies toward the accomplishment of collective goals. MTS boundaries are defined by virtue of the fact that all teams within the system, while pursuing different proximal goals, share at least one common goal; and in doing so exhibit input, process, and outcome interdependence with at least one other team in the system.” Each of the component teams in the subsea operations have goals connected to their unique expertise and the specific task they are trained and commissioned to execute, but as such they contribute in concert to the objective of the vessel, the total organization.

Mathieu et al. discusses four critical levers for the MTS effectiveness: shared mental models (SMM), leadership, information technology and reward systems. We have found that two of these; shared mental models and leadership are relevant critical levers for the effectiveness of the multiteam system of subsea operations. We regard, however, the process of leading a multiteam system as the foundation for producing effectively towards the organization goals. We will in this article present empirical qualitative data to inform this perspective and how multiple leading is performed and contributes to coordination in challenging and fast changing environments as subsea operations on oil and gas wells on the sea bed.

Denis et al. (2012) calls for greater attention to the dynamics of leader groups, attention to the forming process, disbanding, and interacting with other groups. In order to understand the dynamics of performed leadership we must understand what leaders do and not just what leadership seems to be (Mintzberg, 1979). The author aims to contribute to this understanding in this article.

Also within this literature stream, producing leadership through interactions, the authors Uhl-Bien, Marion, and Mc Kelvey (2007) draw upon complexity theory to create a perspective called Complexity Leadership Theory (CLT): “A complexity leadership perspective requires that we distinguish between leadership and leaders. Complexity Leadership Theory will add a view of leadership as an emergent, interactive dynamic that is productive of adaptive outcomes (which we call leadership, cf. Heifetz 1994). It will consider leaders as individuals who act in ways that influence this dynamic and the outcomes. Leadership theory has largely focused on leaders-the actions of individuals. It has not examined the dynamic, complex systems and processes that
comprise leadership.” The authors argue that traditional leadership models have disregarded what leadership actually is, a process. We think this is important, however, in a multi-team system with several leaders, the focus has to be concentrated towards the process, rather than the leader. So, we prefer the process concept and will describe the process of leading a multi-team system in daily operational activities.

The characteristics of a multi-team system are that the vertical coordination between the compound teams is as important as the vertical in each of the compound team that comprises the system. That requires a high degree of coordination between the leaders as such.

CLT also help us to distinguish leadership from managerial positions or roles connected to a person, rather than as something happening between persons. To address the formal managerial roles they use the term administrative leadership that refers to formal actions serving to coordinate and structure organizational activities and the concept adaptive leadership when they refer to the type of leadership that occurs in emergent, informal adaptive dynamics.

A third type of leadership is referred to as enabling leadership, which is the leadership actions exercised in order to catalyze the condition which an adaptive type of leadership needs in order to thrive and develop.

Denis et al. (2012) point to an important distinction of what the core of plural leadership really is. “Some conceptions of plural leadership extend beyond the idea that leadership can be shared between specific individuals to encompass possible reformulations of the notion of leadership itself as constructed by collective processes and interactions. For example, as synthesized by Fletcher (2004), leadership in the plural “…(…) re-envision the “who” and “where” of leadership by focusing on the need to distribute the tasks and responsibilities of leadership up, down, and across the hierarchy. It re-envision the “what” of leadership by articulating leadership as a social process that occurs in and through human interactions, and it articulates the “how” of leadership by focusing on the more mutual, less hierarchical practices and skills needed to engage collaborative learning.”

The comprehensive examining of the literature that Denis et al. (2012) did, revealed a diversity of labels used to describe these forms of leadership such as “shared,” “distributed,” “collective,” “collaborative,” “integrative,” “relational,” and “post-heroic.” The notions are not always used consistently and this practice does not help further research in finding constructive descriptions. It tends to be one more new concept for each author. The author has found the leadership of subsea operations to be so multi-faceted that only one of these conceptions would describe the reality too narrowly. As in Mathieu et al. (2001), we use the term multi-team leadership, or as we will express it multi-team leading in order to describe the phenomenon.

Research Design and Methodology

Starting with the broad question about how complexity is managed in petromaritime operations, the research team chose to study IMR operations for three reasons: 1) they are highly complex in terms of technology, leadership, and organization; 2) they have consistently performed potentially dangerous work without major accidents (which is indicative of longitudinal success when safety is the prime communicated goal); and 3) they are configured similarly across the industry, which makes comparisons possible between our initial research and future research.

The researchers have examined the processes of leading and collaborating onboard five subsea vessels. The number of vessels was accidental as this was the number of vessels available
for study within the North Sea area being operated by our industry partners in the project within the relevant time period. The number of cases seems to fall within a practical and ideal range of cases to be reliably and effectively studied within a qualitative study (Eisenhardt, 1989; Baratt et al., 2011). The process of data collection has been highly iterative starting with two weeks of field work observation and 19 interviews, followed by analyses and a reformulation of a wide research question on the study of complexity in petromaritime operations to how leadership is performed to contribute towards and initiate collaboration and integration. To that end, the team of three researchers planned and carried out data collection using interviews; case presentation interviews, and in-depth semi-structured interviews, observations, and focus group discussion meetings onboard the five vessels.

The focus group session resembles what Joe Raelin termed an inquiry group where the observed participants become inquirers of their own behavior and activity (Raelin, 2011:202). The actors are being presented to situations or questions emanating from the observation of the operations as a starting point for discussion and evaluation. The method brings in valuable insight into the dialogic interaction and is in return an observational arena for the researchers.

We wanted to understand how the thinking and behavior of the onsite leaders contributed to a possible explanation. That is why we chose to use qualitative data and as Mintzberg (1979) argues, “We uncover all kinds of relationships in our hard data, but it is only through the use of the soft data that we are able to explain them (p. 587).” And as Raelin (2011:206) points out: “A focus on social practices rather than on individual abilities require an alternative methodology from our preoccupation with detached empirical inquiry. Although we might from time to time “look in” on practices as they are occurring, we need to let the practitioners and the practices speak for themselves. This would require an ethnographic methodology that entails thick description at the expense of parsimonious third-person generalization.”

The present study is thus based on the following collection of data:
- Study of context, documentation and procedures.
- Two fieldtrips in 2009 and 2011, observation and interviews (88, 12 of them at onshore offices), observed meetings (24) and one focus/inquiry group meeting at each of five vessels during 2011.
- The data represents three shipping companies, two subsea contractor companies, two third party companies, and two oil companies.
- The quotes appearing in this paper originating from Norwegian respondents are translated into English. Interviews were transcribed and included in a database, together with the field log.

The statements used in the following analysis represent the two researchers’ common impressions and notes, based on a consensus from the discussions at the focus/inquiry group meetings on each statement. The results give us an indication of how the leadership systems are characterized by the managers onboard the five IMR vessels. We used the analysis to focus our discussion into themes that could be useful when discussing leadership perspectives and practices in operative organizations.

The researchers interviewed 30 leaders in positions relevant to the operations (OM, Offshore Manager; CA, Captain; CR, Client Representative; SS, Shift Supervisor; RO, Senior ROV Supervisor; PE, Project Engineer; DF, Deck Foreman; and ME, Medic) onboard five vessels during a period of six months in 2011 when the vessels were due in port for different reasons (weather, mobilizations, etc.). In this article, the author focuses on the data from the
following questions. “How do you contribute to collaboration and integration within and between teams?” “How do you contribute to people learning from each other?” “How do you measure the result of an operation?”

These questions were developed from the observation and interview data collected during the initial fieldwork to test an assumption that a dynamic collaboration and collective learning process is essential for the efficacy of these operations.

The content of each interview was sorted according to what, how, and when, in order to identify strategies, behaviors, and time (Fletcher, 2004). In the next step, the strategies and behaviors were sorted into categories that were identical or similar in meaning, but expressed synonymously. These categories were then compared with the categories from recent literature, mainly Yukl’s taxonomy (2012). The weakness with our data is the lack of data from team members to gain insight from their perspectives on how the leaders and the whole team work together to build collaboration. The research team has, however, collected observation data from the total setting onboard one of the vessels.

Results

The data reveal that the multiple subsea leaders contribute to collaboration and integration and thereby effective operations by building a foundation for such collaboration.

The Foundations of Leading Multi-Teams Evaluated

The participants displayed an engagement and active reflection talking about the strengths and weaknesses of their collective type of leadership model. There seemed to be significant agreement between the participants and between vessels in their evaluation of the type of leading executed onboard the IMR vessels and a consensus about the strengths of IMR leading as currently practiced.

All five vessels have encountered conflicts among the leaders onboard, and four have seen dysfunctions.

In general the weakness in having many leaders is many “cooks,” mess, and conflicts. This applies to this vessel as well. We get our daily quota of conflicts between the OM and Client, between the OM and the Captain, and conflicts and confusion on who is deciding what the Shift Supervisor is supposed to be doing in some cases. The Client Rep is rushing in to give a message to the Shift Supervisor about what he should do or the third party is coming in to warn about things that may arise. You have these situations in spite of clear lines and that everyone knows the system. (Project Engineer on vessel no. 2)

Two main problem areas stand out here: unclear lines of communication and responsibilities and the impact of strong personalities. Both of these represent factors that can make or break collaboration and integration. To understand this we have to examine the relationship between leaders and leading as a process. Uhl-Bien, Marion, and McKelvey (2007) describe the Complexity Leadership Theory requiring a distinction between leaders and leadership. They highlight the process of leadership where the dynamic, complex systems and processes comprise leadership. The authors address the formal managerial roles serving to coordinate and structure organizational activities as administrative leadership and adaptive
leadership to describe leadership in informal adaptive dynamics. The third type of leadership processes is referred to as enabling leadership, working “to catalyze the conditions in which adaptive leadership can thrive” (Uhl-Bien et al., 2007).

We support that distinction; it seems in accordance with our empirical data for subsea operations. This also falls in line with our view to regard leading as a process (Hunt, 1999). Uhl-Bien et al. further distinguish the concept: “Management development involves the application of proven solutions to known problems, whereas leadership development refers to situations in which groups need to learn their way out of problems that could not have been predicted” (Uhl-Bien et al., 2007). This illustrates the process when a Shift Supervisor is managing the operation through the detailed written procedure for hours. The procedure is generated on the basis of previous knowledge of the task area, the technology and the conditions at seabed. The process of leading arises when the unexpected suddenly kicks in and requires a different perspective and knowledge outside the realm of the procedure. The organization shifts to a problem solving mode and the whole team of operators, engineers and deck hands from three or four different component team from different companies becomes a leaderful process quite different from the traditional hierarchic model (Raelin, 2011). The migration of authority to the team and team members or real experts (Weick & Sutcliffe, 2007), may create a basis for that transition.

A system with several leaders, some (especially the Shift Supervisor) being tied very much to the management of ongoing tasks when operations are in effect, will create an arena for the top leaders in more flexible roles as they are available and open for being approached. Johannessen, McArthur, and Jonassen (2012) labeled the phenomenon as leadership redundancy when leadership functions, not just formal leaders, enter a role of informally supplementing middle managers due to their tight task performance.

Uncertainties in exercising administrative leadership due to unclear roles and responsibilities may be helped by enabling leadership in entanglement, as redundant leadership may function.

This process of entanglement could also be broken by serious power-related conflicts as the researchers have observed. The Captain is responsible for the safety of vessel and crew, and the Offshore Manager is responsible for the operation, for which the client is paying. So, even when the overall objective for everyone is safety first, difficult situations arise where methods of measuring wave heights and other factors may create an area of different interpretation and conflict.

Major conflicts on contractual interpretations, differences between operational and maritime rules and regulations, and principal differences may often be sent ashore when agreement is not reached onboard. Offshore people are practical (as clearly seen in the observation period) and devoted to their tasks and the performance of the operations. There is less patience with principal formulations, regulative interpretations, and red tape. These cases are often sent ashore for principal clarification.

The subsea leaders refer to different personalities as the most important explanation for conflicts between them. This could be true or it could just be a rationalization to individualize and minimize system dysfunctions. At any rate, research on emotional intelligence over the last twenty years identified the importance of human relationships on the ability to recognize and regulate one’s own and others’ emotions, and empathy for the feelings of others, which is essential for the ability of individuals to influence and motivate others (Goleman, 1995; Mayer & Salovey, 1995).
These were the dysfunctions extracted from the leader’s own evaluations of the multi-team leadership practiced onboard the subsea fleet. However, as indicated in the opening of this paper, as complex as this world may be, in general the daily operations are run free of serious problems and dysfunctions. Consider the research question: **How is it possible to lead in plural in order to effectively initiate multi-team integration and collaboration?** The leaders’ own evaluation focus on three foundations created by this type of leadership: **Openness, the practice of basic values (respect, tolerance), and collaboration (team culture).**

Openness is the most frequently mentioned characteristic and was discussed at all the meetings onboard all the vessels. Descriptions cover these formulations; **flat structures, no barriers between the crew and management, active involvement, reciprocal confidence in each other, high ceilings, well-functioning flows of communication, humility among people onboard, and the last dimension of openness is that people listen to each other.**

*It’s all about communication, as we discussed. I think we’ve got strong team leadership onboard, not just from the hierarchy but also with the individual teams, like the ROV teams, the inspection team, and the deck team. There’s strong leadership there. The communication is good. But it could be better. We can improve on everything. We always try to improve. I think communication to the shop floor is good. It comes up. The guys aren’t scared to speak. (OM on vessel no. 5)*

*I think it is very important that we have a reasonable flat model here with open dialog. It gives all sorts of possibilities for giving input and ownership to the operation we are to perform. Each individual is becoming more responsible and we feel a part of the whole thing. (ROV supervisor on vessel no. 3)*

The quotes above express a feeling of belonging brought about by the openness onboard, which may contribute to the process of creating a shared mental model for the execution of the operations. The quote below comments on the consequences of openness and communication including good planning and the execution of tasks. This may also refer to the result of a shared mental model. As one of the project engineers said, “**When we all have a common understanding and things are going according to plan, things tend to go very well**” (Project Engineer on vessel no. 1). An informant on a different vessel stated,

*With openness and communication comes good planning, because people are allowed to express their opinion if they think something is right or wrong. If we didn’t have openness and communication, people would not express their opinion and there would no longer be good planning. (Shift Supervisor on vessel no. 4)*
The figure above shows the **Foundations of leading Multi-Teams**. Our research indicates certain qualities such as values (respect, trust and tolerance), openness, collaboration and a sense of belonging and mastering; a kind of “we can” feeling generates quality in planning and execution.

Openness and a short distance from the shop floor to the top leadership levels also affect the ability of the organization to discover mistakes and rectify them earlier than otherwise possible. Several of the participants claimed that there was a clear consequence of openness. When the crew is able to report mistakes without reprisals or negative comments, the reports will increase and the mistakes will be rectified in order to stop escalation. One of the Client Reps (Client Rep on vessel no. 4) remarked, “As a client I feel less of a spy with open communication.” “Yes, as long as we have nothing to hide,” the senior surveyor (Senior Surveyor on vessel no. 4) said. “We have transparency, that’s actually a side effect of this kind of leadership -- transparency” (Captain on vessel no. 4).

When asked to identify the strengths of the subsea leadership model, the onboard leaders individually prioritized a characteristic labeled *environment of cooperation, consisting of the following statements: good environment, good info flow and sharing of experiences, good spirit and motivation, and togetherness*. All of these qualities can easily be seen to connect to each other and to create a collaboration and alignment towards solving the team’s tasks. All but one of the focus meetings pinpointed these values as strengths of the leadership model. “We have respect for each other’s job onboard. It’s the same kind of respect between the departments onboard,” according to a Shift Supervisor (on vessel no. 1).

Clear lines of command and responsibility are reported as strength by the leaders of four of the five vessels and were discussed in three focus group meetings. Statements included the *organization (the division of labor between mariners and operatives) are clear and effective*. One Client Rep onboard a vessel stated (Client Rep on vessel no. 1):

*The clear division between the maritime running of the vessel and the operation when nothing special is happening, and how the maritime leadership takes command in critical
situations putting all other managers aside, is quite special for the IMR fleet. It gives us clarity of roles as a basis for work.

When lines of command and responsibilities are unclear we have seen this to be the most frequently reported cause of conflict onboard. Combined with opposite personalities this could be an effective showstopper of the operations.

The role as the Client Representative onboard seems to be unclear and challenging for both the actor and the rest of the MTS leadership roles. This is a supervisory and overseeing role without any personnel to supervise. The role is supervisory and overseeing towards the performance of the operations on behalf of the Client. Some clients contract the representatives from consultant companies, creating an even further challenge for the Reps in building trust towards the leaders and crew. Trust between the parties is on trial every day in high performing operations going on around the clock. Communication is key. Information easily slips in the process of keeping all relevant parties informed. As one of the CRs said (Client Rep on board vessel no. 1):

*We have an overseeing role with a responsibility to stop any operation; however, we cannot shadow leaders and crew twenty-four hours. We have to trust their inner judgment and balance the oversee role towards the intervening role. In that setting it’s crucial for us to know what is happening and I’m a bit annoyed when things happen and I’m not informed.*

The IMR work is done according to strict and detailed task plans derived through a thorough process involving meetings and planning activities onshore for months and a continuation onboard ending with the action-oriented toolbox conversation prior to the job execution. This procedure creates the necessary confidence for the parties to work together to accomplish the task. Once down on the seabed, surprises may be uncovered and concerted action has to be taken. The ability of the leaders to utilize a varied competence in the crew and organizing their human resources into collaborative problem-solving teams is a mechanism for coping with unknown realities as described by the informant below (Medic on vessel no. 5):

*It’s nice when you’ve got a problem and you come up with a solution, whatever it is. But the big thing is that the encouragement is there from everyone onboard. If you come up with something, it’s a bonus. And it’s that encouragement that helps everybody else along the line. So, you’re not afraid to bring your ideas forward. Okay, it might not work, but at least you’re giving it a try. I’ll look for another solution if it doesn’t work. That helps everybody, whether it’s a pilot or a tech, all the way to OM and CR. It makes a difference.*

The model allows for or generates openness and transparency, which is seen as a good quality towards the running of the operations. However, this brings in the dilemma of keeping a balance between involvement and interference. The data show that personal qualities seem to be an important trigger for leaders to either keep a balance for the best of the collective or for oneself or for the interpreted good of the owner of the assignment (the oil company or license organization). As one of the OMs (OM on vessel no. 1) said: “The total competence stays within the team,” and not individual positions, and “they know when mistakes are made and what they
did, they don’t like leaders to interfere, which would only lead to less focus on doing a better job.”

These are the situations when leading becomes adaptive and enabling (Uhl-Bien et al., 2007). It’s a type of leading that allows people to utilize their total competence working as a team. The leader acts as a catalyst for competence, motivation and innovation in the team by reassuring team members of his recognition of their competence and ability to solve the problems. At the same time as stepping aside, showing interest but not interference and steering. This is a parallel to findings in a recent metastudy by Ulhøi and Müller (2014) on shared leadership that managers performing a coaching role help collectives to keep a shared sense of direction.

The multi-team leader acts as a boundary controller both in the sense that he is linking teams to other teams and the multi-team system (MTS) to its broader environment (Mathieu et al 2001). As being responsible for the scope of work according to contract, the Offshore Manager (OM) is monitoring that work is proceeding accordingly. The OM was observed almost frantically in such a boundary discussion with the Client Representative (CR) at one of the vessels as the CR was trying to convince the Shift Supervisor to accept a widening of the team’s responsibility. The OM told the researcher afterwards that such a clarification absolutely was necessary in order for the team to be clear on their responsibilities towards the customer. If the Shift Supervisor in order to please the client accepted an expansion of the scope, this would imply an expansion of the contract without a clarification of finance and legal responsibility. What if something went wrong?

A major leadership requirement of the MTS argues Mathieu et al (2001) is the coordination between activities and teams within the system. Within the IMR operations this coordination is performed in several ways. A daily management meeting with all leaders of sub teams, the Captain and the Client Rep, led by the OM is the prime tool for coordination. As earlier mentioned, three foci are discussed: Status for the previous twenty-four hours, what is planned for the next twenty-four hours and all HSE related issues (i.e. stop cards indicating worries from individual crew member or teams). The Shift Supervisor leading the operation according to a detailed task plan performs coordination in detail. He is the pivot of all operations and makes sure resources meets competence at the right time. The Captain coordinates the marine teams running the vessel as a smooth tool for the operations. Finally, the OM performs informal leadership redundancy (Johannessen, McArthur & Jonassen, 2014). He is walking around keeping an eye to where his help may be needed; small talking, giving advice, connecting actors and teams to release competence and knowledge. This type of leading activity encompass to a large extent what Mathieu et al (2001) describes as a three step model for producing regulated coordination patterns within the MTS: Facilitate contributions from teams and members, provide training and development, and facilitate the development of mechanisms regulating these patterns.

Both individual and collective evaluations of strengths at focus meetings focused on “environment of cooperation,” task performance, basic values, and a flat organization. “Environment of cooperation” is characterized onboard three of the five vessels by team feelings, a good tone amongst people, a good climate, motivation and encouragement from management, team work, cooperation, and collaboration.

One of the Shift Supervisors defined environment of cooperation in this way. “The strength onboard is the togetherness, which I think is very good here. We have been here since way back, we know each other. There is a fine attitude onboard with good communication
between people. We don’t yell at each other, we use a nice and humble tone” (Shift Supervisor on vessel no. 1). Behind this attitude is an awareness of the effect of basic values such as equality as colleagues, freedom with responsibility, tolerance, willingness, and giving and taking

Leadership Behaviors Initiating Multi-Team Integration and Collaboration

The need for integration and collaboration between units and leaders in organizations is greater when major sub-units are highly interdependent with regards to their function or objectives (Yukl, 2008). The teams in subsea maintenance are independent component teams (Mathieu et al., 2001) having different functions, but they all are dependent on each other in order to perform their mission. Integration and collaboration between the teams is one of the most important drivers for success of the operations (found both in the interviews and during observations). Gary Yukl presented a comprehensive hierarchical taxonomy of 15 leadership behaviors in his article “Effective Leadership Behavior” (2012). This taxonomy identifies four categories developed over several years and adjusted according to new research in the area: task oriented, relational oriented, change oriented, and externally oriented. The data in this study support these categories and the identified behaviors are relevant as strategies and behaviors in subsea operations. In addition, our research has identified three additional relational-oriented behaviors that are an integral part of leadership effectiveness in this context: building relational intergroup identity, sensemaking and organizing.

Building intergroup relational identity and shared mental models.

“Intergroup collaboration, and hence intergroup leadership, is very much an issue of identity. Group and organizational memberships are an important source of social identity; they invite cognitive-evaluative representation of the self in terms of and membership in the group or organization,” argue Hogg et al. (2012). The phenomenon is called “shared cognition” by Pearce and Conger (2003: 12) and refers primarily to the extent that team members share the same mental maps regarding important influences or foundations for their teamwork. The effectiveness of intergroup leadership is impacted by the actual collaboration between groups within the organization (Richter, West, van Dick, & Lawson, 2006). Following both Richter et al. and Hogg et al., we see intergroup performance as “the collaborative performance of two or more formal organizational groups (or organizations) on tasks that require the concerted efforts of both/all groups.” The challenge for leaders in subsea operations is to create or contribute to the creation of an overarching collective identity to facilitate the transformation of the organization from a diversified and more fragmented organization consisting of four or five individual component teams to an executive force of one major team supervised by one leader. Each of the leaders has their identity towards their original component team, but in the execution phase they belong to the overall team and are supposed to build on the collective identity without rejecting their component identity. The researcher observed one common phenomenon to support that collective identity building. Onboard the Norwegian-crewed vessels the crews are eager to tell outsiders about their own excellence compared to foreign-crewed operations.

Subsea operation leaders promote intergroup relational identity by supporting third party teams, avoiding entering middle managers’ areas of responsibility, utilizing flexibility, integrating everyone in the team, integrating component teams that may fall on the sideline (i.e., the deck team), and by composing teams.
One of the Client Reps expressed that (Client Rep on vessel no. 1):

They must be confident in you and you have to be confident in them, ok? You cannot start
when operation starts, so the important thing is to start building confidence in the
different departments in advance so they can build respect and confidence, not the least
confidence in you.

The migration of identity from compound team to collective action team is an important
process for the subsea model to function effectively. Leaders have to contribute to building the
common identity while allowing the maintenance of the identity of the compound teams. The
researcher observed people gathering around their “compound” tables during meals in relaxed
conversation with their compound team mates just prior to joining the collective team in order to
continue or start their work back to back with team mates from other compound teams. “An
intergroup relational identity, revolves around the collaborative relationship, does not imply
intergroup similarity, and allows groups to maintain their distinctiveness,” argued Hogg et al.
(2012).

This intergroup relational identity may be helped by the creation of shared mental models
created to support basic values of integration and collaboration. Shared mental models (SMMs)
are described by Mathieu et al. (2005, p. 38) as “an organized understanding or mental
representation of knowledge that is shared by team members.” Marks, Zaccaro, and Mathieu
(2000) found the role that team interaction training and leader briefings had on the development
of an SMM construct and found positive relationships. Mathieu et al. (2009) refer to another
recent development within the SMM literature, which is the consideration of whether it is the
“sharedness” of mental models that is most critical to team performance, as compared to the
accuracy or quality of the underlying mental models (e.g., Lim & Klein, 2006). This
“sharedness” of mindset is developed through a set of collective communication from the first
familiarization meeting while on transit to location, continuing on to SJA (Safe Job Analysis)
meetings, the daily management operation meeting, informal communication by the leaders, and
to the last toolbox conversation prior to the operation. As one of the Offshore Managers said:

The reason why it is generally going well in the operations onboard is, I think, because
we have a seemingly detailed familiarization process where we include everyone,
whether they are supervisors or not, so they all know what is going to happen. The most
important preventative measure you can do, I think, is to make sure everyone knows what
is going to happen. They know not only their tiny bit, but the large picture. (OM on vessel
no. 2)

With shared mental models, there is a better chance of creating a collective flow of work.
As noted in the observation log: “The Shift Supervisor is talking about work flow and
productivity. People must be at their workstations during operations and thinking a couple of
steps ahead. They must know the procedures. That is why we arrange the SJA meetings.” The
third party experts agree: “That’s really positive onboard here”, the supervisor replies, “It creates
confidence, all the others know the same as you do and you are working safer.” These are all
elements in order to create flow, they all agreed.

These process steps all contribute to the fourth foundation presented in the model: A
sense of mastering, a sense of “we can” feeling. This in turn contributes to the result: Quality in
planning and execution. The steps towards creating a structure of predictability by guiding people on what is going to happen and identifying their role in the process, depends on the ability of the leaders to convey the message in a sensible way.

Sensemaking

“The challenge for leaders,” Kempster et al. (2013) argue, “is to manage meaning in a way that individuals orient themselves to the achievement of desirable ends.” Sensemaking is thus important as a method of explaining and picturing the purpose of the organization. Sensemaking is understood as a process in which individuals or groups attempt to interpret new and ambiguous situations (Weick, 1995). Stigliani and Ravasi (2012) refer to a definition of collective sense-making from Weick, Sutcliffe, and Obstfeld (2005): “Collective sense-making occurs as individuals exchange provisional understandings and try to agree on the consensual interpretations and a course of action.”

Jørgensen et al. (2012) exemplify how diverse actors in inter-organizational settings may “draw upon collectively shared symbolic resources in order to reach a common understanding.”

One of the ROV Supervisors explained (ROV Supervisor on vessel no. 2):

They are very clever in posing questions. They do not immediately accept things they think are a bit awkward. We haven’t done this like that before, why this way now? If they receive a reasonably good explanation, it’s ok, but if no one is able to give that explanation, we have to have a brief.

A broad interpretation of the concept includes behaviors by subsea leaders as they contribute to safety climate, impose reflections, give advice on cooperation, communicate to create confidence, and implant suggestions so that they feel like the worker's own ideas.

Understanding of purpose is an important strategy of leaders to facilitate the process of alignment (Jonassen, 1999). In sensemaking leaders may use a set of available artifacts in order to make the understanding of their message clear and internalized. Kempster et al. (2011) argue that purpose is central to leadership and research has illustrated that the presence of purpose can have desirable effects on followers. Through the work of Smircich and Morgan (1982), Kempster et al. recognize that the process of managing meaning seeks to align followers’ sensemaking activities in a particular direction. But such alignment needs to resonate with “desirable ends.” One important part of sensemaking for leaders is therefore the turning of their objectives and intentions into followers’ own preferences. Compare this to the expressions identified in the interviews, to “implant suggestions that felt like their own.”

The strategy and behavior of clarification have proved to be of help in the collective understanding of the basis for task work. One of the Deck Foremen happily reported to the researcher that one of the best-performed operations lately was when he (the Deck Foreman) used a clarification check in his toolbox conversation, asking all team members what they actually had understood from the briefing. “What have you actually understood?” This must be one of the most productive questions leaders can ask. In leadership collectives it is important to check out how the individual leader interprets the task at hand, how it is planned to be performed, the potential risks involved, the relationship to the contract, and how this is understood and perceived by the operators. Yet few leaders I have observed actually posed this question at the end of a briefing. These questions are, however, frequently discussed offshore
because people often meet during the day in the control room, in the dirty mess or on the bridge. The contractual side of it is, however, often left out, or left to the top leaders who are responsible for borderline management.

Building shared mental models in followers may be a powerful tool for leaders in creating leadership efficacy. We know that emotions are contagious (Goleman, 2002) and can be used to raise followers’ efficacy (Hannah et al., 2008). Hannah et al. (2008) “propose that efficacy might become part of a shared mental model, conceptualized as patterns of overlapping knowledge or beliefs across individuals that a given collective holds.” This knowledge and these beliefs may be just what the Norwegian subsea fleet has created as a basis for effective leadership and what is described in this article: openness in human interaction, building and promoting a support culture, recognition of intervention from anyone to stop any operation (stop allowance), building structure and prediction through briefs and communication to everyone, empowerment to component team leaders and operators, building collective and intergroup relational identity, a set of leaders supporting the values and strategies for alignment, and finally a capacity for flexible handling of the unknown and unexpected (Weick & Sutcliffe, 2007).

Organizing

Leaders use organizing principles to arrange the units at the work place according to the complexity of the tasks at hand. IMR projects are complex and need a variety of knowledge and skills in order to be performed successfully. This is solved by assigning different tasks to component teams having specialized competence, where each task could only be finalized with a concerted effort from several teams integrated into one action team under one supervising leader. One challenge regarding the interaction within a component team and between them is sharing enough information to effectively perform the tasks optimally or even adequately. Ellis et al. (2003, p. 824) argued that neither functional nor divisional structures could balance this need for information integration and proposed a structure they called a pair-based team structure. Mathieu et al. (2008) stated: “At their core, pair-based team structures motivate members to share expertise and responsibilities, and thereby may allow for the best mix of common and unique information within the team (Ellis et al., 2003, p. 824). In fact, findings from their research suggested that teams that were pair-based experienced significantly more learning than teams that were either functionally or divisionally structured. In an innovative consideration of team structure that included temporal factors, Moon et al. (2004) assessed how changing team structures influences performance.

*Especially putting the teams together, getting people who can work well together. We do not want a lot of “opposite poles.” Strong personalities in the same team can create problems. It may, however, be a problem as well, having people going together too well. This can generate too much chitchat. So this is a balancing art.* (Project Engineer on vessel no. 3)

The ROV teams are each organized in a pair-based structure and composed with cross competence. They seek to combine the basis-preferred competence of an electrician, mechanic, and automation technician, where each pair has different competence, but the total team comprises all competences. In addition, all pilots are trained in piloting the ROVs. In practice, however, one pilot flies the vehicle and the other controls the manipulators (working arms). The
pilots are responsible for the total care, maintenance, and cleaning of the ROV, with one pair of pilots per vehicle. This will utilize their varied competence and, if necessary (due to a lack of special technical competence), they are able to help each other across the pairs. The structure also probably impacts the quality of their preparation and maintenance, because they are also responsible for flying the same vehicle that they maintained and cleaned. This structure will also strengthen the leader’s responsibility as facilitator and integrator rather than focusing on exercising control and authority.

Discussion: The Effects of Multi-Team Leadership on Collaboration and Integration

“More than half a century of research provides support for the conclusion that leaders can enhance the performance of a team, work unit, or organization by using a combination of specific task, relations, change, and external behaviors that are relevant for their situation,” Yukl argued (2012), and concludes: “Why the behaviors are important for effective leadership is explained better by theories about the determinants of group and organizational performance than by leadership theories focused on motivating individual followers.” He suggests that more research is needed on the effects of his suggested taxonomy, especially the behaviors and the joint effects of multiple leaders. The author sees this article partly as a contribution towards that end.

The author has described the leadership behaviors that the researchers observed and identified during interview analysis as the prime behaviors contributing to intergroup collaboration and integration in subsea offshore operations. The article has discussed these behaviors with respect to relevant literature and situations recorded during data collection over more than three years. Observed behaviors are different from skills, values, and traits (Yukl 2012), which are derived from interviews where researchers have to trust what is communicated by the objects. Observation gives a verifying opportunity for the researcher. In this article the author has described behaviors and processes both observed and/or reported in interviews combined with discussions in focus/inquiry group meetings.

The data presented, suggest that all of the listed behaviors in Yukl’s taxonomy (Yukl 2012) are identified as behaviors used by leaders in subsea operations. However, the study identified three additional behaviors: building intergroup relational identity, sensemaking, and organizing. These types of behaviors represent a toolbar available and regularly used by the multiple leaders of complexity leadership. These behaviors work well on the basis of some common strengths that characterize this type of multiple leadership, being identified by the leaders themselves as openness, safety orientation, and values such as respect, trust and helpfulness. The occurrence of these strengths may be understood as a result of the Norwegian model of labor relations. Labor relations constitute an important part of the Norwegian social model, characterized by strong employers’ and workers’ organizations and by close cooperation between the government, employers’ associations, and the trade unions, as well as by strong co-determination and participation at the company level (Løken & Stokke, 2009). This societal framework is supported by a strong law of labor relations and work environment, regulating both the physical and psychological environment and protecting workers and leaders from being unreasonably dismissed. This creates a more collaborative relationship between subordinates and leaders (Skivenes & Trygstad, 2010; Engelstad et al., 2003). The use of long-term contracts in the subsea trade by Norwegian operators contributes to a framework where openness can develop and flourish.
The leaders of the multi-team IMR organization are producing leadership through interaction processes (Uhl-Bien et al., 2007). A foundation for these processes to function is the practices of openness and basic values of respect, trust and helpfulness as mentioned above. This foundation is evaluated as a result of the leadership model and maintaining a continuous focus on safety. This ongoing focus on safety and collaboration is connected to structural measures as the opportunity for all involved to stop any operation if it is felt to jeopardize safety, and the creation of structure and predictability through safety meetings (SJA) prior to all operations. This is supplemented by the daily management meeting (attended by all leaders in the operation) with a strong safety agenda in addition to the operational agenda, looking at both what has been done and what is going to be done. This structure and the concerted leadership behavior lead to a collaboration and safety focus. In a study of patient safety chains in hospitals, McFadden et al. (2009) suggested that the TFL (transformational leadership) style, contributes to a cultural shift needed for safety initiative implementation to effectively take place. The influence of a charismatic-inspirational leader is a trigger for the value system to be incorporated and permeate throughout the system. Overall, that effect was not found in the operational subsea system studied here. Personal qualities may strengthen a system already in place, but with the ongoing changing shifts where people are operative for two weeks and off duty for four weeks, a system relying on personal qualities will be extremely vulnerable.

We have focused on the behaviors of multiple leaders and the process between them and between leaders and team members. By that approach we also have focused on the relations between units and their suppliers and customers, which is seen as needed in leadership research (Uhl-Bien, 2006). Both suppliers and the customer is a part of the execution organization onboard the subsea operational vessels. Even if the customer formally is present as an overseer of the total operation, their representatives are seen informally as a part of the total leading structure or body.

Clear roles and responsibilities as one of the strengths of the multi-team system is at the same time evaluated by the leaders themselves as one of the weaknesses characterizing the system when such roles and responsibilities are unclear. Under extreme conditions, such as unexpected incidents, weather conditions, etc., these uncertainties may result in conflicts and dysfunctions of the leadership system. People pass over positions in the hierarchy or try to expand their authority (Johannessen et al., 2011). The participants refer to this as a result of diverging and strong personalities. Entering an open process on the clarification of roles and responsibilities may turn this weakness into strength by a psychological contract between the parties. One of the OMs referred to a silent contract with the Client Rep, keeping the Client Rep in his cabin when he felt down and bad tempered. Bad temper is contagious and may arouse conflict. Here, respect for each other and openness is the basic communication and feedback is the tool, which result is an adaptation of the multi-team system into effective working conditions. As one of the OMs expressed it, “My only job here is to lubricate the system, remind people of the organization structure, and get the taxi meter going. It’s a hell of a nice job, really!” (OM on vessel no. 1).

The leaders in the last batch of interviews (16 during 2011) were asked to identify the criteria for characterizing an operation as a success. None of the vessels used objective criteria to measure the results of operations. This may be possible, most of them realized, but very challenging due to all the related factors to consider: ocean current, wind, closeness to structures (rigs or other operating vessels), accuracy of plan description, etc. They use the most simple indicators of time (longer/shorter than last time) and safety (accidents or not), according to
specifications or more or less according to a feeling of the work as being done well (for example if a well is brought back into production), or even simply by asking, "Is the client looking satisfied, simply smiling?" Accordingly, we have no useful indicators of operation effectiveness, except from the absence of serious accidents. This is an area where new research should be conducted in order to connect research on the results of the operation to research on leadership behavior and organization.

**Conclusion**

This article has contributed to the description of leadership as being too complex to be described as the strategies and behaviors of only one person. Leadership is the actions and behaviors of several or multiple leaders working in concert in order to fulfill the objectives and the purpose of the organization (Uhl-Bien et al., 2007). The article has described leaders in concert to be enabling and contributing to flexibility and adaptation in order to initiate collaboration between teams and individuals. The multiple-team leadership model contributes to the creation of openness and collaboration between individuals and component teams. Utilizing this framework, the leaders of these subsea operations exert a set of leadership behaviors in concerted action towards a collaborated performance of the operations.

The article has identified four foundations of leading a multi-team system: Practiced values (respect, trust and tolerance), openness, collaboration and a sense of belonging and mastering. As foundations of leading behavior, this facilitates the coordination of teams into one multi-team system leading to quality in planning and execution. A balance is instituted between creating a structure through a clear task plan, the introduction of everyone to that plan and the development of flexibility by organizing supplemental competence.

This multi-team foundation is supplemented by these identified leadership behaviors: Adaptive, enabling (Uhl-Bien et al., 2007), building intergroup relational identity and shared metal models, sensemaking and organizing.

We have contributed to a relational perspective of leadership focusing on the process of leading in a dynamic context yet on the basis of a structured Scope of work/Procedure. The subsea environment is complex and challenging for the actors and units. There is a need for clear procedures to manage normality (i.e. when plans and procedures coincide with reality) and a need for flexibility when the unknown or unexpected is “tapping the door.” When normality is predominant the component teams unite in one executive team under a more hierarchic management with a goal of fulfilling the objective of the Scope of Work.

The component team leaders meet once a day to review the work and give necessary signals to the rest of the organization. The Offshore Manager leads the operation meeting and the meeting is the prime collective body of leadership during operations. This body can be seen as an element of shared leadership, because most decisions observed are the results of consensus.

An element of shared leadership can also be found in the team processes in two other situations; the managing of the unknown and the leadership redundancy.

The management of the unknown calls for a more flexible organization. The detailed directing from the Shift Supervisor is put on hold until the situation is restored and the problem is solved by a concerted and collaborative effort of all relevant parts of the executive team. This is a situation where leadership is facilitative trying to contribute by bringing out everyone’s potential (Pearce & Conger, 2003; Pearce, Conger & Locke, 2007). This also appears as the fifth principle of the HRO’s ability to manage the unexpected, as Karl E. Weick and Kathleen M.
Sutcliffe (2007) describes as Deference to Expertise:” High Reliability Organizations (HRO), delegate decisions to the frontline, to the people with the best task competence on the matter, regardless of their rank.”

Leadership redundancy is contributing to the same objective of freeing the actors’ resources towards the work situation (Johannessen, McArthur, & Jonassen, 2012). This is done by informal or formal leaders walking around capturing the temperature of team members, facilitating processes between team members and coaching component team leaders. These tasks are observed being performed by top leaders onboard as well as people without formal leadership position (Medic).

The migration of identity from single compound teams to an integrated collective action team in “the moment of truth” is key to the success of these subsea operations. Effective leading of the multiteam system is the executive tool towards their success.

So, is there a purpose in leadership? “Leadership is crucial for setting and maintaining clear ground rules, building trust, facilitating dialogue, and exploring mutual gains,” argue Ansell and Gash (2007). Vangen and Huxham (2003) argue; “leadership is important for embracing, empowering, and involving stakeholders and then mobilizing them to move collaboration forward.” Leading complex multi-team operations is by all means possible even in extreme environments at sea and subsea. The complexity is met by introducing a comprehensive task structure, a set of leaders and diversified competent teams to implement the structure. The challenge is as ever both individual and organizational: The ability to work together towards goal achievement. The paper has introduced elements building a foundation for successful leading of complex multi-team operations.

Acknowledgements

The Norwegian Research Council and companies in the petromaritime industries in the Haugesund region, Norway, have funded the project Managing Complexity in Petromaritime Operations (grant no.: 192270/O70) at Stord Haugesund University College, SHUC. Earlier versions of this article were presented to the Maroff Project Workshop in Ålesund, October 24 – 25, 2012, and the author is grateful to the participants for their comments. The author is as well grateful to relevant and useful comments on an earlier version from the participants, especially Professors Jon Aarum Andersen and Jan Ole Vanebo of the NEON Conference at Sogndal, Norway, November 21 – 22, 2012. Special thanks to Professor Erik Hollnagel, South Danish University for comments and advice on the two previous versions, and to Professor and Director Helen Sampson, Seafarers International Research Centre, Cardiff University, for comments to the first version. I am grateful to close colleagues, Philip MacArthur, MA, USA, and Idar A. Johannessen, John Ferkingstad, Lene Jørgensen, Lise Langake and Aage Gjøesaeter at SHUC for useful comments during the process. The author is also grateful to Paul Wilson Glenn for checking the language, formatting and flow of the article and to the competent SHUC library for assistance in locating reference copies and especially to Grethe Høyvik Hansen for reference check.

About the Author

The author Jan R. Jonassen is an associate professor at Stord/Haugesund University College in Norway. His specialty is organizational behavior and design, leadership, and especially operational leadership and team development. He has managed major research projects on
petromaritime operations. Jonassen has extensive experience from leadership at different levels in business and public organizations and consultancy during 25 years.

Email: jan.jonassen@hsh.no

References


Mathieu, J. E., Rapp, T. L., Maynard, M. T., & Mangos, P. M. (2009). Interactive effects of team and task shared mental models as related to air traffic controllers' collective efficacy and effectiveness. Human Performance, 23, 22-40. doi:10.1080/08959280903400150


INVESTIGATION OF MOTIVE BETWEEN TRANSFORMATIONAL LEADERSHIP AND PRO-SOCIAL VOICE: AN EMPIRICAL STUDY IN CHINA

Chenwei Li  
*Indiana University-Purdue University Fort Wayne, USA*

Keke Wu  
*Central Washington University, USA*

Prosocial voice, as a form of citizenship behavior with a purpose of expressing constructive changes and improving the status quo, is desirable in both teams and organizations. Also, transformational leadership (TL) has been documented as a leadership style that prompts employees to engage in prosocial voice. Recently, whether or not the effects of transformational leadership on prosocial voice have boundaries becomes a topic of interest to organizational researchers. We presented two separate models for the moderating effects of perceived leader motive (altruistic vs. instrumental) on the relationship between transformational leadership and prosocial voice in the workplace. From an employee perspective, this study documents that one’s perception towards his/her leader’s motive (altruistic vs. instrumental) underpinning leadership behaviors is related to the boundaries of TL’s effect on prosocial voice. Data with 167 employees at an auto maker in China were used and the analysis results provided support for the models.

Pro-social voice, as a change-oriented expression of ideas, information, and opinions intended to resolve workplace problems, has been documented as an employee behavior that is functional to team/organization effectiveness (LePine & Van Dyne, 2001; McClean, Burris, & Detert, 2013). Empirical studies of employee voice behaviors have shown that higher levels of voice were positively associated with creativeness and negatively related to group think formation (Janis, 1982; Pyman, Brian, & Holland, 2006). Given the instrumental value of pro-social voice to team effectiveness, research has also been conducted to investigate the possibility of leadership’s impact on pro-social voice. In theory, Bass and Avolio (1999) proposed that transformational leadership (TL) would prompt employees to engage in change-oriented behaviors such as voice, as transformational leaders would exhibit openness and enable effective communications with the purpose of driving organizational change and delivering desirable results. In empirical
testing, Detert and Burris (2007) found evidence indicating that TL, with its nature of changing the status quo, could serve as a situational cue to voice by increasing employees’ perceptions of psychological safety.

However, will TL actually encourage pro-social voice? If it does, then will its effect have boundaries? In other words, will employees always feel comfortable to engage in pro-social voice when they are exposed to TL? Very few studies have pursued these questions from the perspective of employees. According to Dasborough and Ashkanasy (2002), TL’s impact on employee behaviors, including pro-social voice, may be contingent on employees’ attribution of TL. Specifically, employees would search for causal explanations of leaders’ behaviors and would respond differently to the same leader, depending on whether they attribute the leader’s behaviors to an altruistic or an instrumental motive. Bass et al. (1994) observed that transformational leaders whose behaviors were believed to be driven by an altruistic intent, as opposed to an instrumental intent, exerted more influence on employees. As such, perceived leader motive, one’s perception towards his/her leader’s intent underpinning leadership behaviors (Allen & Rush, 1998; Ferris et al., 1995), is a concept that needs to be examined as related to the boundaries of TL’s effect on pro-social voice.

Since little empirical research has been conducted where perceptions of leadership, are examined as a moderator in the relationship between TL and its outcomes, the purpose of this study is to examine the moderating role of perceived leader motive and its impacts on the relationship between TL and employee pro-social voice. Specifically, we propose that the relationship between TL and voice is moderated by employees’ perceived altruistic motive (AM) or instrumental motive (IM) underlying leaders’ transformational actions.

**Literature Review and Hypotheses Development**

**Transformational Leadership (TL) and Pro-social Voice**

According to theories of TL (Bass, 1985; Bass & Avolio, 1993; Podsakoff et al., 1990), transformational behaviors typically involve fostering the acceptance of group goals, providing individualized support and generating intellectual stimulation, all of which may stimulate verbal communication such as pro-social voice at work (Van Dyne et al., 1998). For example, by fostering the acceptance of group goals, transformational leaders can make their intention of promoting cooperation known to employees and get them to work together toward shared goals (Podsakoff et al., 1990). As the emphasis on cooperation may enhance employees’ felt responsibility, it may also drive employees to engage in pro-social voice, which can improve the chance of each other’s success in obtaining desired rewards. By providing individualized support, transformational leaders can create a safe and comfortable environment (Bass, 1985; Conger, 1987) where employees would feel respected by the leaders and consequently feel easier to speak up, to submit changes, and to express concerns about their team’s functions, about one’s and other’s own issues, and about workplace matters that need to be done (Janssen, Vries, & Cozijnsen, 1998). Last but not least, by generating intellectual stimulation, transformational leaders can create an innovative atmosphere that encourages employees to question some of these taken-for-granted assumptions about their workplace problems and reconsider how these problems can be better addressed and solved (Podsakoff et al., 1990). Working in such an environment, employees may not only feel safe, but also motivated, to think outside the box and express new ideas and opinions, even if others may disagree with them.
Direct and indirect support for the positive relationship between TL and pro-social voice also exists in the empirical literature. Direct evidence is found in the study by Detert and Burris (2007), who observed that TL was positively related to voice. Specifically, transformational leaders displayed openness and support that are needed to stimulate pro-social voice from employees. Indirect evidence comes from studies on empowerment, creativity, and identity. Conger and Kanungo (1998) noted that TL behaviors have strong empowering effects on employees in terms of enhancement of their self-efficacy, i.e., belief about one’s control over oneself. As employees’ self-efficacy improves, their propensity to voice increased (Walumbwa, Avolio, & Zhu, 2008). Shin and Zhou (2003) also examined the relationship between TL and individual creativity, and suggested that TL would be positively related to individual creativity, which should facilitate more open-minded and constructive voice from employees. Moreover, Shamir et al. (1993) emphasized in their research that transformational leaders would be more likely to cultivate a collective identity within teams, which would cue for citizenship behaviors such as pro-social voice. Given the theoretical support and empirical evidence we found in the literature, we hypothesize:

H1: Transformational leadership behaviors are positively related to employees’ pro-social voice.

The Moderating Role of Perceived Leader Motive

If TL does have a positive impact on pro-social voice, then the question becomes whether this impact has boundaries. In other words, will all employees engage in pro-social voice when they perceive their leaders as transformational leaders? Research has indicated that employees’ perceived leader motive, the intent to which employee attributes leader behaviors, matters when it comes to leadership effectiveness (Dasborough & Ashkanasy, 2002). Extant literature suggests that there are two possibilities of perceived motive in the case of TL: one altruistic, which often leads to the perception of authentic TL, the other instrumental, which typically creates the impression of pseudo TL. According to Bass and Steidlmeier (1999), authentic TL has a strong ethical and moral foundation, involves having an employee orientation, and truly emphasizes employee’s growth and welfare. Contrarily, pseudo TL is driven by leaders’ self-interests and hence has an instrumental orientation, focusing on objectives on the leaders’ own agendas that may conflict with employee welfare.

In other words, the difference between authentic and pseudo TL lies in leader motive. However, unless leader motive can be revealed with reliable measures, TL is “all in the eyes of the beholders,” i.e., employees. As such, we argue that TL’s effect on pro-social voice will be contingent on perceived motive. Specifically, we find reasons to believe that when employees attribute TL to an altruistic motive (AM), i.e., perceive authentic TL, they are more likely to engage in pro-social voice. First and foremost, when employees attribute TL to an AM, they will believe that their leaders’ TL behaviors are truly intended to cultivate an open and safe working environment where there would be no harsh criticism or punishment due to voice that challenges the status quo, even when these ideas or concerns are inaccurate (Ferris et al., 1995). In addition, the more employees believe in the altruistic motive behind TL, the more they will think that what their leaders do is directed by a collective goal, and that constructive ideas or suggestions are truly welcomed in order to achieve the goal. Moreover, beliefs of an altruistic motive facilitate intellectual stimulation through which pro-social voice is encouraged. Specifically, beliefs of an
altruistic motive may reduce the fear to speak up expressing concerns and to try new ways doing jobs, because employees know that their leaders truly care about their needs and growth. As such, as a perceptual cue to employees, perceived altruistic motive may interact with TL in influencing employees’ engagement in pro-social voice.

H2: Perceived altruistic motive (AM) will moderate the relationship between TL and pro-social voice such that higher levels of AM will strengthen the positive relationship between TL and pro-social voice.

In contrast, we also find reasons to believe that when employees attribute TL to an instrumental motive (IM), i.e., perceive pseudo TL, they are less likely to engage in pro-social voice. Specifically, when employees think that their leaders’ TL behaviors are driven by self-interests, they may conclude that their leaders engage in transformational behaviors only because they want to create a favorable image so as to obtain rewards from the organization (Allen & Rush, 1998). Moreover, in these situations, employees who suspect high levels of instrumental motive may feel unsafe and risky to speak up for work purposes because they are afraid that their leaders may retaliate against their voice (Dasborough & Ashkanasy, 2002). Last but not least, the more employees suspect an IM behind their leaders’ TL, the more they will feel that the goals set by their leaders are unattainable and that their leaders only want to exert their personal influence/power within organizations. Consequently, when employees attribute their leaders’ TL behaviors to an instrumental motive, they are more likely to keep silence and stay disengaged in pro-social voice. As a result, perceived instrumental motive may weaken the positive effects of TL actions on driving employees’ engagement of pro-social voice.

H3: Perceived instrumental motive (IM) moderates the relationship between TL and pro-social voice such that high levels of IM will weaken the positive relationship between TL and pro-social voice.

Method

Sample and Procedure

A self-report questionnaire was administered to employees from four different manufacturing departments in an auto maker in Northern China. Letters were attached to the surveys, written by the director of the company requesting employees’ participation. Both the employer and employees were assured anonymity. To protect confidentiality, no identification information was collected from any of the employees. One of our researchers collected the completed survey immediately after the respondents finished doing the survey.

All responses in our sample were collected from 167 employees of the auto maker, 77.8 percent of whom were male, with an average age of 25 ranging from 20 to 37. A dominant part (92.2%) of the respondents have an associate degree or above. Tenure with the organization ranged from 1 to 8 years with a mean of 2 years, and tenure with the current supervisor ranged from 0.5 to 5 years with a mean of 1.8 years. For position level, almost all of the respondents (99%) were employees who did not supervise others.
Measures

As all measures used in this study were originally composed in English, they were first translated into Chinese, then back translated to English by a panel of bilingual experts, following the translation and back translation procedures advocated by Brislin (1980). Any resulting discrepancies were then discussed and resolved. All measures employed here use the 5-point Likert-type scale, with the anchor 1 for “strongly disagree” and 5 for “strongly agree.”

Transformation leadership (TL) was measured with the 23 items developed by Podsakoff et al. (1990). A sample item was “My supervisor is always seeking new opportunities for the organization.” The average of the scores on all 23 items was used as a measure of the overall degree of TL a leader practiced over his/her subordinates. Cronbach’s Alpha for the scale was 0.928.

Perceived leader intent was measured with a 12-item scale developed by Allen and Rush (1998). The scale consists of two dimensions (altruistic motive vs. instrumental motive) composed to measure one’s general attribution of motive toward leader behaviors. Sample items were “due to personal values of right and wrong” and “desire to enhance his or her image” for each dimension, respectively. Cronbach’s Alpha was .792 for the altruistic subscale and .770 for the instrumental subscale.

Pro-social voice was measured with Van Dyne and LePine’s (1998) 6-item voice scale. This scale measured employees’ other-oriented speaking up behavior in the organizations. A sample item was “I develop and make recommendation concerning issues that affect the organization.” The Cronbach’s Alpha for this scale was 0.826.

Demographic control variables were measured by asking employees to report their age, gender, education level, tenure with organization, tenure with their supervisor, and job position level.

Analysis

First, we conducted confirmatory factor analyses (CFAs) using LISREL 8.54 with maximum likelihood estimation on our data to determine whether the data fit the measurement model well (Bollen 1989; Joreskog & Sorbom, 1999). Second, we ran two regression analyses to test the role of perceived altruistic motive (AM) and perceived instrumental motive (IM) in the relationship between TL and pro-social voice following Baron and Kenny’s (1986) procedures in testing for moderators.

Results

Means, standard deviations, and correlations for the variables are presented in Table 1. Transformational leadership and pro-social voice is significantly correlated with each other. The significant correlations between TL and AM, TL and IM suggest multicollinearity may exist between the predicting variables in the moderation model. As such, we mean centered TL, AM and IM in order to reduce the interrelatedness in the following analyses.

Due to the way our data were collected, common method variance (CMV) was checked to ensure that it was not a severe problem here. Following Williams, Cote, and Buckley’s (1989) suggestion, we estimated a full measurement model and an alternative model with an uncorrelated method factor added. The fit statistics for the four-factor full measurement model
(χ² = 479.87, p < .001, CFI = .93, NNFI = .92, IFI = .93, RMSEA = .078) indicate that the model fit the data well. The fit statistics for the alternative model (χ² = 384.86, p < .001, CFI = .95, NNFI = .93, IFI = .95, RMSEA = .069) improved slightly and there is a significant chi-square difference test between the two models (χ²diff (24) = 95.01, p < .001). As a result, CMV does exist. For our data, however, CMV accounted for only 5% of the total variance, which is way less than the average of 25% found by Williams et al (1989), which alleviates our common method variance concerns.

We also checked for discriminant validity by comparing the original four-factor measurement model in which the correlations were estimated, with a series of models that each had constrained the correlation of one pair of constructs to be 1.00. All chi-square differences were significant at the .05 level, indicating discriminant validity between the four study variables.

Then, the relationship between TL and pro-social voice with AM and IM as the moderators was examined with hierarchical moderated regression analyses. Demographic control variables were entered in the first step, the independent variable, TL, was enter in the second step, the moderators, AM or IM, in the third step, and the interaction terms (TL*AM or TL*IM) in the final step. When AM served as the moderator, as shown in Table 2, the model in step 1 with demographic control variables alone did not explain a significant portion of the total variance in pro-social voice (ΔR² = 0.028, ns). With TL added, the model in step 2 explained a significant incremental portion of the variance in pro-social voice (B = .315, p < .01; ΔR² = 0.044, p < .01). Therefore Hypothesis 1 was supported. In step 3, with AM added, the model did not explain a significant incremental portion of the variance in pro-social voice (ΔR² = 0.007, ns) over TL. Finally, the addition of the interaction term (TL*AM) in the fourth model explained a significant incremental portion of the variance in pro-social voice (B = .329, p < .001; ΔR² = 0.102, p < .001). Hypothesis 2 thus was fully supported. Figure 3 illustrates the significant interaction effect.

Similarly, when IM is the moderator, as shown in Table 3, the model in step 1 with demographic control variables alone did not explain a significant portion of the total variance in pro-social voice (ΔR² = 0.028, ns). However, with TL added, the model in step 2 explained a significant incremental portion of the variance in pro-social voice (B = .325, p < .001; ΔR² = 0.044, p < .001). In step 3, with IM added, the model failed to explain a significant incremental portion of the variance in pro-social voice (ΔR² = 0.009, ns) over TL. Finally, the addition of the interaction term (TL*IM) in the fourth model, again, explained a significant incremental portion of the variance in pro-social voice (B = -.352, p < .01; ΔR² = 0.05, p < .01). Therefore Hypothesis 3 was fully supported. Figure 4 illustrates the significant interaction effect for IM.

Discussion

This study was designed to explore the relationships among transformational leadership (TL), perceived altruistic motive (AM), perceived instrumental motive (IM), and pro-social voice behaviors in the workplace. Specifically, this study was undertaken to answer the research question whether TL would always encourage employees to voice their opinions, by examining whether AM/IM has a boundary effect on TL when it comes to pro-social voice. Toward this end, two separate models were proposed and tested for the moderating effects of AM and IM on the relationship between TL and pro-social voice.
Consistent with Detert and Burris’s (2007) study, our study found a significant and positive relationship between TL and pro-social voice, thus adding to the evidence supporting the positive impact that TL has on employee pro-social behaviors. More importantly, the results of our analyses support both of the hypothesized moderation models, suggesting that higher AM strengthens the positive relationship between TL and voice, whereas higher IM weakens the positive relationship between the two. The moderation effects are shown in Figure 3 and Figure 4. With both moderation models supported, this study adds to our understanding of TL’s impact on employee pro-social voice behaviors, by discovering the boundary effect of AM/IM on TL’s impact. Specifically, our findings suggest that when employees perceive an AM behind their supervisors’ TL behaviors, the positive impact of TL on pro-social voice will strengthen (see Figure 3); and that when employees perceive an IM behind their supervisors’ TL behaviors, however, the positive impact of TL on pro-social voice will diminish.

In spite of the support we found for established theories and for our hypotheses, this study is subject to limitations set by the methodology we could use. These limitations warrants further research endeavor in subjects related to the relationships among TL, AM/IM, and employee voice behaviors.

The first method issue of concern to us is one related to the data being cross-sectional in nature. As presented earlier, our hypotheses imply a causal relationship between TL and pro-social voice, which may be best examined with longitudinal data. What alleviates our concern are, first, our check for CMV showed that CMV was not a major issue that would impact our findings with our data; and second, the finding that TL did motivate employees’ pro-social voice coincides with those of Detert and Burris (2007) who conducted a longitudinal study. Nonetheless, additional longitudinal research is desirable, to allow for more sophisticated tests on the causal paths from the interaction of TL and AM/IM to pro-social voice. Furthermore, given the limitations of single source data, future research should collect data on pro-social voice from the sources of both supervisors and employees in order to prevent the influence of social desirability. In addition, as suggested by other related voice studies (Janssen, Cozijnsen, 1998; LePine & Van Dyne, 2001; Nikolaou & Bourantas, 2008), besides demographic variables, personality variables should also be included as control variables to exclude other explanations for our results.

The second method issue, which is also related to theories of voice, is one related to the measure of voice. According to Van Dyne et al. (2003), there are in fact three distinct types of voice, pro-social voice, defensive voice, and acquiescent voice. We were only able to capture one type of voice, pro-social voice in this study, partly because there were no existing validated measures for defensive voice and acquiescent voice. If permitted by time and other resources, future research effort should be invested in developing and validating a scale for all three types of voice. Only when proper scales are developed and validated can research move forward in exploring the causes and effects of voice.

Despite its limitations, this study challenges the traditional approach to first investigating the roles of AM/IM in the relationship between transformational leadership (TL) and employee pro-social voice. The results of this study strongly support our assumption that motive does matter to the effectiveness of TL. Consistent with previous research propositions (Dasborough & Ashkanasy, 2002), this study indicates that subordinates do not passively react to external stimulations such as leadership. Instead, perceived motive would interact with leadership (i.e. TL) in influencing subordinate behavioral outcomes (i.e. pro-social voice). Concluded from our findings is that subordinates’ perceived motive behind TL set the boundaries for the effect of TL:
TL will be more effective in encouraging pro-social voice when subordinates believe that TL has more of an altruistic motive and less of an instrumental motive.
### Table 1: Means, Standard Deviations, and Correlations

<table>
<thead>
<tr>
<th>Variables</th>
<th>M</th>
<th>SD</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Age</td>
<td>24.93</td>
<td>2.34</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2 Gender</td>
<td>0.22</td>
<td>0.42</td>
<td>0</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3 Education</td>
<td>3.27</td>
<td>0.61</td>
<td>0.23**</td>
<td>0.15</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>4 Tenure with Organization</td>
<td>2.14</td>
<td>1.09</td>
<td>0.44**</td>
<td>0.03</td>
<td>-0.1</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>5 Tenure with Supervisor</td>
<td>1.78</td>
<td>0.8</td>
<td>0.36**</td>
<td>0.04</td>
<td>-0.16**</td>
<td>0.68**</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>6 Position Level</td>
<td>2.99</td>
<td>0.11</td>
<td>-0.07</td>
<td>-0.07</td>
<td>-0.04</td>
<td>-0.29**</td>
<td>-0.31**</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>7 Pro-social Voice</td>
<td>3.43</td>
<td>0.61</td>
<td>-0.03</td>
<td>0.07</td>
<td>0.02</td>
<td>0.01</td>
<td>0.08</td>
<td>-0.12</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>8 Transformational Leadership (TL)</td>
<td>3.22</td>
<td>0.63</td>
<td>0.01</td>
<td>-0.14</td>
<td>0.16**</td>
<td>-0.08</td>
<td>-0.04</td>
<td>-0.05</td>
<td>0.28**</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>9 Perceived Altruistic Motive (AM)</td>
<td>3.4</td>
<td>0.6</td>
<td>-0.11</td>
<td>-0.18**</td>
<td>0.07</td>
<td>-0.05</td>
<td>-0.02</td>
<td>-0.05</td>
<td>0.08</td>
<td>0.68**</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>10 Perceived Instrumental Motive (IM)</td>
<td>3.2</td>
<td>0.58</td>
<td>0.08</td>
<td>0.09</td>
<td>-0.05</td>
<td>0.02</td>
<td>0.09</td>
<td>-0.13</td>
<td>-0.01</td>
<td>-0.45**</td>
<td>-0.31**</td>
<td>-</td>
</tr>
</tbody>
</table>

Note: N=167, * p<0.05, **p<0.01, DV = Pro-social Voice
Table 2: Hierarchical Moderated Regression Results for Pro-social Voice (AM as a moderator)

<table>
<thead>
<tr>
<th>Variables</th>
<th>b</th>
<th>t</th>
<th>p</th>
<th>R^2</th>
<th>Adj. R^2</th>
<th>ΔR^2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step1: Control Variables</td>
<td></td>
<td></td>
<td></td>
<td>0.028</td>
<td>-0.008</td>
<td>0.028</td>
</tr>
<tr>
<td>Age</td>
<td>-0.023</td>
<td>-0.994</td>
<td>0.322</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gender</td>
<td>0.075</td>
<td>0.685</td>
<td>0.495</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td>0.004</td>
<td>0.049</td>
<td>0.961</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure with Organization</td>
<td>-0.022</td>
<td>-0.383</td>
<td>0.702</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure with Supervisor</td>
<td>0.086</td>
<td>1.114</td>
<td>0.267</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position Level</td>
<td>-0.492</td>
<td>-1.138</td>
<td>0.257</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Step2: Transformational Leadership (TL)</td>
<td></td>
<td></td>
<td></td>
<td>0.315**</td>
<td>3.211</td>
<td>0.002</td>
</tr>
<tr>
<td>F(1, 159) = 7.474**</td>
<td></td>
<td></td>
<td></td>
<td>0.072</td>
<td>0.031</td>
<td>0.044**</td>
</tr>
<tr>
<td>Step3: Perceived Altruistic Motive (AM)</td>
<td>-0.016</td>
<td>-0.150</td>
<td>0.881</td>
<td></td>
<td>0.032</td>
<td>0.007</td>
</tr>
<tr>
<td>F(1, 158) = 1.172, ns</td>
<td></td>
<td></td>
<td></td>
<td>0.079</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Step4: Transformational Leadership X Perceived Altruistic Motive (TL*AM)</td>
<td>0.329***</td>
<td>4.415</td>
<td>0.000</td>
<td>0.180</td>
<td>0.133</td>
<td>0.102***</td>
</tr>
<tr>
<td>F(1,157) = 19.488***</td>
<td></td>
<td></td>
<td></td>
<td>0.133</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: Unstandardized regression coefficients are reported from the final step. N = 167, ** p<0.01, *** p<0.001.
Table 3: Hierarchical Moderated Regression Results for Pro-social Voice (IM as a moderator)

<table>
<thead>
<tr>
<th>Variables</th>
<th>b</th>
<th>t</th>
<th>p</th>
<th>$R^2$</th>
<th>Adj. $R^2$</th>
<th>$\Delta R^2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step1: Control Variables</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>-0.028</td>
<td>-1.205</td>
<td>0.230</td>
<td>0.028</td>
<td>-0.008</td>
<td>0.028</td>
</tr>
<tr>
<td>Gender</td>
<td>0.082</td>
<td>0.772</td>
<td>0.472</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td>-0.011</td>
<td>-0.139</td>
<td>0.890</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure with Organization</td>
<td>0.012</td>
<td>0.201</td>
<td>0.841</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenure with Supervisor</td>
<td>0.083</td>
<td>1.031</td>
<td>0.304</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position Level</td>
<td>-0.522</td>
<td>-1.16</td>
<td>0.248</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Step2: Transformational Leadership(TL)</td>
<td>$F(6, 160) = 0.773, ns$</td>
<td>0.325***</td>
<td>3.784</td>
<td>0.000</td>
<td>0.072</td>
<td>0.031</td>
</tr>
<tr>
<td>Step3: Perceived Instrumental Motive (IM)</td>
<td>$F(1, 158) = 1.613, ns$</td>
<td>0.172</td>
<td>1.878</td>
<td>0.062</td>
<td>0.081</td>
<td>0.035</td>
</tr>
<tr>
<td>Step4: Transformational Leadership X Perceived Instrumental Motive (TL*IM)</td>
<td>$F(1,157) = 8.988***$</td>
<td>-0.352***</td>
<td>-2.998</td>
<td>0.003</td>
<td>0.131</td>
<td>0.081</td>
</tr>
</tbody>
</table>

Note: Unstandardized regression coefficients are reported from the final step. $N = 167$, **$p<0.01$, ***$p<0.001$. 
Figure 1

Altruistic Motive

Transformational Leadership

Pro-social Voice

Figure 2

Instrumental Motive

Transformational Leadership

Pro-social Voice
Figure 3: Interaction effect of AM

Figure 4: Interaction effect of IM
About the Authors

Chenwei Li has a Ph.D. in Management from the University of Alabama. Dr. Li is an assistant professor of management at Indiana University – Purdue University Fort Wayne. Her research interests include leadership, creativity, voice behavior, and work-family balance. She has published in *Journal of Managerial Psychology, Management and Organization Review, and Psychological Reports* among others. Her teaching interests include leadership, principle of management, and human resource management.

Email: lic@ipfw.edu

Keke (‘Coco’) Wu has a Ph.D. in Management from the University of Alabama. Dr. Wu is an assistant professor of Management at Central Washington University. Her research has been focused on leadership, politics, and careers. She has published in *Journal of Business Ethics, Journal of Managerial Psychology, and Psychological Reports* among others. Her teaching interests include leadership, principle of management, and strategic management.

Email: cocowu@cwu.edu

References


LEADERSHIP FOR SUSTAINABILITY: THEORETICAL FOUNDATIONS AND PEDAGOGICAL PRACTICES THAT FOSTER CHANGE

Heather Burns
Portland State University, USA

Heather Diamond Vaught
Portland State University, USA

Corin Bauman
Portland State University, USA

Sustainability education has a significant role to play in changing the leadership paradigm and fostering leaders who are capable of working collaboratively to address complex sustainability challenges. Leadership for sustainability denotes a new and expanded understanding of leadership that signifies taking action based on sustainability values, leading from a living processes paradigm, and creating an inclusive, collaborative and reflective leadership process. This paper examines and weaves together literature on leadership, leadership development, and sustainability education to suggest best practices in leadership development. A variety of suggested pedagogical practices that foster the development of leaders include: observation and self-awareness, reflection, the exploration of ecological and diverse perspectives, and learning experientially and in community.

In order to find solutions to the complex problems that we face as a global society, we need active citizen leaders who can collaboratively restore our sense of community and actively engage in transforming our current social, political, economic and ecological realities (Cress, 2005; Colby & Sullivan, 2009; Hepburn, 1997; Saltmarsh, 1996; Shulman, 2007). Working toward change that attempts to address the root causes of complex problems is not easy or simple (Wagner, 2009). Complex sustainability problems, such as climate change or social inequity, present adaptive challenges that can be messy and exist within multiple systems (Daloz Parks, 2005; Heifetz & Laurie, 2001). Addressing sustainability issues often involves stakeholder conflict, uncertainty, and interrelated problems, all of which points to the need for a leadership
theory and practice that is interdisciplinary and oriented toward sustainability (Shriberg & McDonald, 2013). Adaptive sustainability challenges require new values, skills, structures, and ultimately, a new understanding of leadership. Forbes (2014) observes, “leadership is a complex socially constructed phenomenon” (p. 152), that requires leaders who can work within a global context that is interdependent, ambiguous, and in a constant state of flux. Educational institutions are increasingly responding the challenge of developing programs that foster leaders for sustainability who are prepared to work in this context (Shriberg & MacDonld, 2013).

In particular, sustainability education is emerging in higher education and adult learning as an interdisciplinary approach to help learners critically reflect on unsustainable systems, become creative problem solvers and active citizens, and to engage personally and intellectually in the tensions that stem from pressing social, ecological, economic, and political issues (Nolet, 2009; Sterling, 2002). Sustainability education seeks to prepare learners with the skills, values, and attitudes that will be required to transition toward a sustainable society (O’Riordan and Voisey, 1998) through transformational learning that has the potential to change values and shift consciousness (Sterling, 2002; Orr, 2004; Lange, 2009; Windhalm, 2011; Macy & Young Brown, 1998). Fostering leadership development is also a key element of sustainability education. Considering the complex challenges we face, sustainability has become an inextricable aspect of leadership. Sustainability work, on both large and small scales, requires committed sustainability leaders (Parkin, 2010). But how does a leader effectively lead today? What are the best approaches for leadership and how can this leadership be developed?

A new view of leadership is emerging that can shift consciousness and promote action for sustainability (Ferdig, 2007). This article articulates how leadership for sustainability within higher education and adult learning is currently being conceptualized and practiced. Based on this current conceptualization of leadership as inextricably connected to sustainability, this article also recommends pedagogical practices that can best foster leadership development with adult learners.

**Literature Review: What is Leadership for Sustainability?**

Leadership for sustainability is a relatively new idea that represents “a radically expanded understanding of leadership that includes an enlarged base of everyday leaders in all walks of life who take up power and engage in actions with others to make a sustainable difference in organizations and communities” (Ferdig, 2007, p. 33). Rather than simply applying a new lens of leadership to business as usual, leaders recognize and critique the root causes of unsustainability, seek to understand the social, cultural, economic, and ecological impacts of their work, and acknowledge and value the ecological and cultural diversity of natural systems (Foundation for deep ecology, 2012). Leadership for sustainability builds on but goes beyond transformational leadership, the dominant leadership model taught in higher education (Shriberg & MacDonld, 2013). Leadership for sustainability is related to other models of leadership such as the Social Change Model of Leadership (Astin & Astin, 1996) and the Relational Model of Leadership (Komives, Lucas, & McMahon, 1998), which highlight collaboration, inclusiveness, relationships, common purpose, and change rooted in values.

The following sections describe in more detail three key elements that best characterize this conceptualization of leadership. First, leadership signifies cultivating a way of being and acting that is embedded in sustainability values. Second, leadership is rooted in a living processes paradigm, and third, leadership is an inclusive, collaborative, and reflective process. It
should be noted that although we use the term leadership throughout this article, what we are describing could also be termed “facilitation” or “curating”, as the core goal is to guide people and organizations to collaboratively create visions and take action for a more sustainable and resilient world.

A Way of Being: Taking Action Based on Values

Leaders for sustainability are committed change agents, involved in work that reflects an emerging way of being that is rooted in interconnectedness, relationships, and mindfulness. Recognizing our inherent interconnectedness with the earth and other living beings, and cultivating authentic relationships are fundamental to healing the earth and human communities. Living from this perspective requires a mindful way of being (Kabat-Zinn, 2005). The conscious choice to act and live in ways that reflect this way of being is at the heart of leadership. Leaders are people and groups committed to taking action to create the world they want, and encouraging others to do the same (Ferdig, 2007; Wheatley & Freieze, 2011). Their actions stem from a deep sense of commitment to their values. These values may include, justice, equity, love, balance, creativity, relationships, learning, flexibility, openness, diversity, humility, and community (Hawken, 2007; Macy & Young Brown, 1998; Orr, 2004). Clarifying one’s values and aligning actions with values is key to leadership work (Kouzes & Posner, 2012). Developing a way of being that is rooted in sustainability values requires a focus on the inner work of sustainability, which includes reflection and contemplation, deep awareness of connections to all life, and coherence of action (Schley, 2006).

Leadership thus reflects values in action; acting from one’s values to address complex sustainability challenges and to affect sustainable change. Leadership is a way of being from which to act, and this way of being is rooted in a living processes paradigm.

Rooted in a Living Processes Paradigm

Leadership for sustainability is rooted in a living processes paradigm, rather than a mechanistic paradigm based in Newtonian science. This is because complex living processes demonstrate sustainable properties and patterns and can suggest important strategies for leadership (Barlow & Stone, 2011). Qualities of living processes (how all life operates) include resiliency, adaptivity, awareness, creativity, and relationships (Wheatley, 2006). Within a postindustrial, postmodern paradigm, there is recognition that the world is constantly changing, uncertain, emergent and exists as interconnected webs of relationships (Capra, 2002; Wheatley, 2006). Considering that our world is inherently paradoxical, that multiple realities exist, and that living beings organize and adapt according to their environments, leadership must be “adaptive, flexible, self-renewing, resilient, learning, intelligent—attributes only found in living systems” (Wheatley, 2006, p.32). Traditional leadership theories, even those that recognize the importance of complexity theory, still mostly function with the inherent erroneous assumption that human organizations are systems with internal rules, that once discovered, can be controlled or predicted (Cannell, 2010). According to Stacey (2007) the focus must shift from an abstract systemic whole to “what people are actually doing in their relationships with each other in the living present” (p. 292). Organizations are made up of human beings and human relationships that constitute living processes. By observing living processes (human and more than human), leaders can better understand how creative responses emerge from complex processes of relating.
Ferdig (2007) argues that the principles of leadership that are informed by complexity science, “…offer a powerful view of leadership and human dynamics that could trigger a transformational shift in how we see and function in the world” (p. 27). For example, we can now recognize organizations as complex and responsive living processes with the capacity to self organize to sustain themselves, to respond intelligently, and to change accordingly. This view of organizations as self-organizing and creative living processes changes the need and traditional role of leadership from one of control and regulations, to a leadership with a strong set of intention and confidence in the intelligence of the organization (Wheatley, 2006). This view challenges the assumption that the future can be predicted and controlled, and that a vision can be planned and achieved (cause and effect thinking), and instead focuses on the reality of emergent relationships and complex responsive processes in organizations (Cannell, 2010; Stacey, 2007). Rather than understanding leadership as held by an individual, it must be seen as something that can be demonstrated by people and teams throughout an organization in responsive processes (Kouzes & Posner, 2012). In this sense, members of an organization communicate and share challenges and adapt their behavior to these challenges, rather than waiting for specific leaders to tell them what or how to address it (Heifetz, 1994). Leadership that is rooted in values and a living processes paradigm will thus require a dynamic leadership process.

An Inclusive, Collaborative, and Reflective Process

Leadership for sustainability differs from a traditional understanding of leadership, which often relies on traits, behaviors and situations to explain leadership. Traditional leadership studies focuses too narrowly on the leader, while overlooking other relevant elements of leadership (Avolio, 2007). Leadership literature and language also tends to reflect an assumption that a leader fulfills a designated role (Ferdig, 2007). The accepted and strived for version of a leader is often conceptualized ideally as one who can come forward with vision, direction, and an almost enlightened view of how to manage a given situation. People look to leaders at the top to provide “guidance, direction and answers and are often comforted by the sense of stability and predictability” (Ferdig, 2007, p. 30). However, this ideal of a leader who can wisely guide followers through linear, organized solutions is based in an individualistic and non-systemic worldview; one that assumes that there is one correct answer to a problem that can be arrived at with scientific objectivity. This model of leadership arose in an industrial era where goals were primarily viewed as efficiency and predictability (Komives, Lucas, & McMahon, 1998). Leadership has also been traditionally viewed in a mostly hierarchical context in which there is one main (usually male) leader (usually someone with multiple privileges) at the top (Parkin, 2010).

These common views of leadership are problematic in several ways. First, they are fragmented and specialized while the world’s problems are complex and interconnected. Second, in addition to being increasingly ineffective, traditional models of leadership are disempowering, as the role of leader as authoritative expert is naturally exclusive. By defining leadership as a specific role or skill set, fewer people are likely to see themselves as capable of being leaders or making change.

In contrast, leadership for sustainability identifies and empowers the leader that inherently exists in each person, and fosters strong, healthy, sustainable, and just change through collaborative and creative means (Ferdig, 2007). This perspective assumes that everyone has the
capacity for leadership; that a leader’s role is not to lead over others, but rather to lead with them. It acknowledges that today’s challenges are complicated, interconnected, and will need everyone to work towards creating a more sustainable future. Thus leaders, rather than providing a solution, “create opportunities for people to come together and generate their own answers” (Ferdig, 2007, p. 31). Leaders not only bring people together and encourage creative participation, but help people to embrace a relationship with uncertainty, chaos, and emergence (Wheatley, 2006). Working together to solve problems, even when values are shared, can be a difficult process. Leaders understand that the tension, conflict and uncertainty that come from differences provide great potential for creative emergence of viable solutions (Ferdig, 2007).

This collaborative practice necessitates both individual and collective reflection in order to be effective. Leaders take opportunities to “get on the balcony” (Heifetz & Laurie, 2001, p. 6) to observe and reflect on their activities. Effective leadership requires an inner process, in which a leader must first be grounded in an understanding of self and a relational view of the world, in order to effectively work with others to make change (Heifetz, Grashow, & Linsky, 2009). Additionally, reflection is a process of “understanding one’s own skills, knowledge and values within the context of community groups” (Cress, Yamashita, Duarte, & Burns, 2010, p. 233). This reflective process allows for feedback loops, and cycles of growth and change.

Leadership can therefore be understood as an inclusive, collaborative, and reflective process, rooted in values and a living processes paradigm. Based on this understanding, the following pedagogical strategies are offered for fostering leadership development in higher education and other adult learning settings.

**Fostering Leadership for Sustainability: Pedagogical strategies**

Fostering leadership involves helping learners to come to see themselves as leaders. Seeing oneself as a leader, with the capacity to enact change and positively influence the world with others, can be a transformational process. Leadership development can be based in sustainability education, which involves shifting to holistic, systemic, connective and ecological ways of thinking and learning (Sterling, 2002) and is focused on transformational rather than transmissive learning processes (Burns, 2011). Transformational learning is foundational to sustainability education and to fostering leadership because it signifies “a deep cultural shift in the basic premises of thought, feeling that action…that dramatically and permanently alters our being in the world” (O’Sullivan, Morrell, & O’Connor, 2002, p. xvii). This shift can alter our understanding of ourselves, our relationships with the earth, our power relationships, our body awareness, our vision, sense of possibilities for social justice, different ways of living, and personal joy. (O’Sullivan, Morrell, & O’Connor, 2002).

The following pedagogical strategies for leadership development are consistent with the core elements of transformational learning, which include: experience, critical reflection, dialogue, a holistic orientation, awareness of context, and authentic relationships (Taylor, 2009). Although not a comprehensive discussion of pedagogical strategies that could foster transformational learning for leadership, the following are key strategies based on experience and research (Burns, 2013). The following pedagogical strategies aim to foster: 1) a sustainable way of being through observation, self-awareness and reflection; 2) a living processes paradigm through the inclusion of ecological and diverse perspectives; and 3) inclusive collaborative leaders through experiential learning in community.
Observation and Self-Awareness

Creating space for observation can help learners to cultivate increased awareness, both about themselves, their own values, and important issues in their communities and lives. Slowing down, learning to see and listen, and sharpening observational skills will allow emerging leaders to learn more, both from other people and from ecological systems. By taking time and considering how to make the least amount of change with the largest amount of impact, leaders and learners can become more effective change agents in their communities (Starhawk, 2004). Starting with careful observation, leaders reduce the risk of rushing in and making careless mistakes. Sustainability problems occurring in industrialized civilization often result from a lack of intentional design (Orr, 2004). By taking time to start with observation – of place, of people, and of oneself – learners and leaders will be better prepared to act authentically, sustainably, and effectively. Activities such as asset mapping, reflective writing, autobiographical essays, or sit spots, in which learners return many times to the same place to just sit and observe, can help learners to slow down and observe.

Observation and self-awareness can lead to a stronger sense of leadership identity including strengths, passions, and other important aspects of identity (Komives, Owen, Longerbean, Mainella, & Osteen, 2005). To create a leadership identity, learners need to increase their sense of self-awareness from a more general or diffuse sense to a clearer identification of strengths, passions, and other important aspects of identity such as race, gender, or ethnicity (Komives et al., 2005). By creating space for learners to identify and articulate their values and beliefs, they can begin to develop “personal leadership principles” (Eriksen, 2009, p. 750). Posing question about values, beliefs, and criteria in effective leadership, learners can begin to not only identify the kind of human beings they want to be, but also the kind of leaders they might become. Self-authorship and authentic leadership requires that the development of leadership principles be based on one’s lived experience rather than simply adopting someone else’s principles (Eriksen, 2009).

Understanding the interconnected and interdependent nature of our world also contributes to developing learners’ self-understanding. According to Capra (2009) “When the concept of the human spirit is understood as the mode of consciousness in which the individual feels a sense of belonging, of connectedness, to the cosmos as a whole, it becomes clear that ecological awareness is spiritual in its deepest essence” (p. 27). Thus deep ecological, or spiritual, awareness is imperative for students to strengthen their understanding of self, and is necessary for leadership development, as it provokes a felt understanding of cosmological connectedness. Integrating outdoor and embodied experiences should be prioritized in order to honor and teach interconnectedness. By introducing these elements, learners will be prompted to think outside of their headspace and enter ecological or spiritual awareness. Providing opportunities for retreats, or activities that focus on deepening ecological self-understanding through connection to place, may be a way to integrate this ecological awareness. Learners need to be able to observe, understand themselves, define their own values, and develop ecological connections if they are going to authentically take action as leaders for sustainability.

Reflection

Closely tied to observation and self-awareness, a reflective practice is also important for leadership development. Reflective learning activities are important elements in leadership
development pedagogy because they require students to critically consider their experiences, integrate them with past knowledge, and identify how they as individuals connect to the experience (Collier & Williams, 2005). A learning experience might begin with learners observing their ideas or attitudes about leadership. With awareness, learners can begin to question and reflect on why things are the way they are, what has caused certain thought patterns or attitudes, and whether or not these patterns are useful in their lives. Once learners become aware of currently held beliefs or worldviews, they can begin to question more deeply where those views came from and whether they are relevant and useful. Reflection helps learners make meaning from their experiences, and is a key element in many pedagogies including service-learning (Eyler & Giles, 1999; Toole & Toole, 2001), transformational learning (Cranton, 2002; Mezirow, 2000), and experiential education (Kolb, 1984).

Reflection can also offer an opportunity for renewal, a chance for individuals to reconnect with themselves, their goals, and their communities, in order to move forward from a place of calm rather than a place of confusion or stress (Komives, Lucas, & McMahon, 1998). In a learning experience, “when group members have time to reflect, they can see more clearly what is essential in themselves and others” (Heider, 1985, p. 23). Reflection can take myriad forms. Journaling, discussion, art, and meditation, as well as dialogue with a mentor or group, are some reflective practices that can be used. In particular, critical self-reflection is useful in nurturing students’ self-understanding and leadership because it invites students to consider, analyze, and evaluate different parts of their identities, their values, beliefs, and their connection with others. In order to support effective critical self-reflection, educators need to ensure that personal experiences, emotive elements, and spiritual space are present and honored in reflection exercises (Collier & Williams, 2005).

To move beyond the default intellectual capacities called forward in typical reflective activities, educators and leaders can look to reflections with four characteristics that researchers have identified as essential: **Continuous, challenging, connected and contextualized** (Collier & Williams, 2005). **Continuous** reflection requires a longitudinal approach because the process of self–knowing takes time. As a process of lifelong learning, self-understanding will not occur through a single act of critical self-reflection. Creating a reflection portfolio can serve as a living history of learners’ engagement, and records the emergent process of self-understanding. **Challenging** reflections should push learners to not only think in new ways, but to find new ways of expressing themselves. Written reflection, the common medium for exploring self-understanding, is limited in its ability to provide a holistic space for self-expression. Different mediums for reflection can provide new insights into the self by pushing students outside their normative means of expression. Encouraging reflection through poetry, art, movement, or metaphor are some ways to challenge learners and provide an opportunity for expanding their self-awareness. **Connected** reflections should connect learners’ past experiences, their future dreams, and their relationships with others. The more connected reflections are for learners, the more whole their reflective self-understanding becomes. **Contextualized** reflections require activities to provide learners with the opportunity to frame their experiences within the place, time, and space in which they occurred. In addition to the external contexts, it is important for reflections to address their own internal contexts. This is where the emotive element and affective elements of reflection can be integrated. Reflections that acknowledge both internal and external contexts provide a holistic contextual picture for learners’ self-understanding and leadership development.

Educators can provide opportunities for students to begin to reflect on how to live a life
in which they can play a leadership role in creating positive change. Opportunities for reflective practice offer growth in self-awareness and the skills needed to be able to work collaboratively with others. Pedagogical practices that promote observation, self-awareness, and reflection all serve to help learners identify and nurture a sustainable way of being as a leader.

Exploring Ecological and Diverse Perspectives

Emerging leaders can also be introduced to a variety of diverse perspectives, including ecological perspectives, so that they might begin to understand leadership from a living processes paradigm. Learning from ecological processes is valuable because these processes demonstrate sustainable properties and patterns (Barlow & Stone, 2011). Ecological perspectives may be explored through the study and stories of permaculture, which highlights ecological principles, design, and interconnectedness (Holmgren, 2004).

Including a variety of diverse perspectives also involves questioning and reflecting on dominant ways of seeing the world. Doing so requires reflection on the systemic causes of unsustainable systems and practices (Cortese, 2005). By questioning and examining dominant ways of seeing the world and of leadership, and introducing alternative perspectives such as a living systems paradigm, learners can begin to expand their understanding of leadership. Oftentimes learners have either consciously or unconsciously been taught that leadership looks like this or that, and in not seeing themselves in one particular version, are hesitant to see themselves in a role that doesn’t fit who they are. Proposing diverse views of leadership provides learners with opportunities to expand their definitions of leadership and find a vision that is inclusive. An assignment that requires learners to interview a leader or group who they think demonstrates leadership for sustainability could be one way to incorporate diverse perspectives and examples of leadership. Similarly, a project in which learners trace a commodity or product from earth to consumption can highlight dominant and unsustainable ecological and economic practices, and provide opportunities for learners to research and propose alternatives.

Learning from diverse perspectives can also highlight ways of knowing that arise from socially marginalized positions. Learners should have opportunities to question their own experience with power and privilege, and their encounters with the realities of racism, sexism, classism, heterosexism, and anthropocentrism. By understanding power relationships and systems of oppression, learners also understand how personal feelings related to sustainability issues, such as despair and conflict, are shaped by historical and cultural dynamics (Fenwick, 2000). By bringing new and diverse ideas into a learning community, learners can both practice awareness of and compassion for difference while continuing to refine their own understanding of leadership. Opportunities to share their own lived experiences and perspectives within a learning community can be a powerful way to make sure that multiple perspectives are included in learning. Being exposed to hopeful perspectives is also extremely important to leadership development (Burns, 2013). Hopeful and creative perspectives allow learners to find ways to be involved in sustainable solutions, rather than being mired in despair.

Learning Experientially and in Community

Strengthening learners’ sense of community and deepening their sense of connectedness is needed for developing effective leaders who are inclusive and collaborative. While it is important to know who we are as individuals, ultimately we must come to know ourselves as
interrelated and interdependent beings. As Widhalm (2011) explains, “we need to re-learn identity formation as a process of radical interdependence” (p. 8). Because nothing can exist outside of its relationships with others, to truly understand our existence and our purpose, we need to understand our interconnectedness and interdependency. Strengthening learners’ sense of community, and deepening their sense of connectedness, will facilitate the development of collaboration. Effective leaders bring people together to collaboratively create a shared vision and strategies for change.

To develop leadership skills, learners need opportunities to create environments of collaboration instead of competition. Collectively building an authentic, trusting, learning community is one way to strengthen connectedness and encourage collaboration. This learning community should provide learners the opportunity to articulate their values and beliefs. Forging relationships within a learning community also requires individuals to reflect on how they relate to other individuals and the community as a whole. By engaging in collaborative projects, learners have the opportunity to make new relationships, to relate to and appreciate those different from themselves, and to practice communication skills. Creating supportive and connected communities is crucial for enhancing learners’ ability to explore their own leadership.

Building trust within a learning community is essential for learners to feel comfortable expressing themselves authentically. One challenge in teaching or facilitating this aspect of self-authorship and leadership development in traditional settings is that many learning environments emphasize independence and individual achievement. Educators who want to encourage learners to identify as leaders need to promote and provide more opportunities for them to collaborate with others and reflect on their perspectives and values within a group. Creating group norms, opportunities to get to know and support one another personally, storytelling, and mindfulness practices are ways to promote trust building.

Having the opportunity to practice leading and acting from a place of authenticity is essential to leadership development. By practicing leadership in a meaningful context, learners have the opportunity to support others while also experiencing personal growth (Komives et al., 2005). Facilitating experiences that are engaging and relevant to learners’ lives will create a more receptive and positive environment for shifts in ways of thought (Fenwick, 2000). Working with learners to identify topics they are passionate about or where they see themselves having opportunities to work for change can help them to take ownership of their experiences and ultimately connect more deeply with the idea of themselves as leaders. Experiential leadership development can also strengthen learners’ connection to place. By participating in experiential learning, learners have the opportunity to explore and interact meaningfully with local communities and ecosystems. Opportunities for learners to engage in problem solving and project work that meets a true community need in both small and large groups allows for meaningful experiential learning and leadership development.

Conclusion

Leadership development takes time. Depending on where learners are starting from, coming to see themselves as leaders for sustainability could be a complete shift in worldview. Allowing for observation and awareness of values is an important initial element of leadership development. Facilitating a shift to an understanding of the world as living processes is another important aspect of leadership development that can be fostered through an exploration of ecological systems and diverse perspectives. Cultivating collaborative and experiential learning
opportunities allow for building the necessary skills for inclusive leadership.

Thousands of individuals, groups, and communities are already working together and taking action toward a more sustainable future. They are doing this through decentralized and non-hierarchical leadership, by stressing innovation and creativity while focusing on issues they care about (Hawken, 2007). Educational institutions have a responsibility and an important role in empowering leaders to see themselves as part of the collective sustainable change that is already happening. Indeed, a wide variety of leadership programs for sustainability exist, and the number is growing. These programs commonly focus on practices such as experiential learning, building community, and focusing on systems thinking to foster leadership (Shriberg & MacDonald, 2013).

Intentional pedagogical design can clearly foster opportunities for leadership development, and this requires a shift away from a transmissive, banking model of education (Freire, 2000). Learning must be seen as more than content to be gained, and instead understood as a transformational reflective process, in which understanding is co-created, personal values are examined, participation and collaboration are valued, and multiple perspectives are encouraged (Burns, 2013). Learning in this way can be an empowering process that strengthens learners’ connection to place and communities, and inspires the ability to live by one’s values and to collaboratively seek sustainable change. Leadership development can and must become a priority. It is more important than ever to provide transformational learning opportunities that empower all learners to become leaders for sustainability.

About the Authors

Heather Burns, Ed.D., is an assistant professor and directs the Leadership for Sustainability Education (LSE) graduate program in the Educational Leadership & Policy Department at Portland State University. Her research and teaching interests include sustainability pedagogy and leadership in higher education, deep ecology, and the roles of community-based learning, experiential learning, and service-learning in creating sustainable change.

Email: hburns@pdx.edu

Heather Diamond Vaught is the director of Latin America Programs at Carpe Diem Education. She coordinates experiential education and service-learning semester programs for gap year students, and facilitates leadership trainings for Carpe Diem’s educators. Heather is a graduate of the LSE program at Portland State University.

Email: heather@carpediemeducation.org

Corin Bauman is the assistant director for community engagement at the Holden Center for Leadership and Community Engagement at the University of Oregon. She designs programs for students to engage with their local communities in meaningful and reciprocal ways that promote the co-creation of a just, thriving, and sustainable world. Corin is a graduate of the LSE program at Portland State University.

Email: cbauman@uoregon.edu
References


International Journal of Leadership Studies, 8(2), 151-158.
Saltmarsh, J. (1996). Education for critical citizenship: John Dewey’s contribution to the


BOOK REVIEW: G. DONALD CHANDLER AND JOHN W. CHANDLER’S (2013) ON EFFECTIVE LEADERSHIP: ACROSS DOMAINS, CULTURES, AND ERAS

PLACE OF PUBLICATION: New York, NY
PUBLISHER: Palgrave Macmillan
NUMBER OF PAGES: 270
ISBN: 978-1137300690

Sabre Masters
University of Louisiana at Monroe, USA

Krishna Bista
University of Louisiana at Monroe, USA

Leadership is not about taking charge of people. G. Donald Chandler and John W. Chandler (2013) address the questions of why some leaders are effective, ineffective, and only a few that are exceptional.

They present a pragmatic argument for defining leadership, case studies of exemplary leaders, leadership skills, and ethical choices. This book is a beneficial resource for expanding knowledge and professional development for individuals that aspire to become leaders.

In various aspects of individual lives, there is always a need or opportunity for leadership. From small groups to nations, leaders are influencing, whether directly or indirectly. This book, written by G. Donald Chandler and John W. Chandler, addresses the questions of why some leaders are effective, ineffective, and only a few that are exceptional. The ideas presented in this text help readers define leadership and make the realization that everybody possesses leadership experiences and skills. Chandler and Chandler offer a leadership framework that gives the basis of effective leadership across domains, cultures, and eras.

Content and Highlights
On Effective Leadership: Across Domains, Cultures, and Eras is organized into four parts and ten chapters with a forward, introduction, and epilogue. Eight case studies of leadership roles are discussed. Part one (chapters 1 and 2) lays the foundation of effective leadership and describes, in-depth, the conceptual framework for effective leadership. In chapter one, the authors define leadership and distinguishes between effective leadership and exceptional leadership. Leadership, according to Chandler and Chandler, must encompass skills of persuasion and the ability to set goals. Effective leadership is presented as “moral, immoral, or morally neutral and successfully achieves the mutual purpose shared by the leader and the followers” (p. 6). On the other hand, exceptional leadership “cannot be immoral and is the combination of the leader’s effectiveness and the worthiness of the goal achieved” (p. 6). The authors, in chapter two, highlight the framework of three key principles of effectual leadership that can be applied across domains, cultures, and eras. Chandler and Chandler view leadership as three variables: “(1) developing a compelling, well-conceived vision for the achievement of a set of goals that are shared by a group of followers, (2) persuasively communicating that vision in a manner that is appropriate to the group, (3) building and managing an organization that effectively supports the implementation of the vision” (p. 9). These three variables are laid on the foundational variable of selflessness, which is the most valuable quality of an exceptional leader. Each of these variables is presented in the image of a Greek temple. According to the authors, the variables can be developed and must be modified according to the leadership challenge presented. Not following this specific framework can contribute to a leader’s success or failure. In each set, two leaders are examined: one is less effective and the other is the more effective leader. Through these case studies a leader’s selflessness is observed, along with one of the three framework’s columns of effective leadership (John Gardner, William Harper, & George Fox).

Part two, “Organizing Change” (chapters 3 to 5), examines three sets of leaders that were able to build and manage an organization that displayed their individual effectiveness. The three sets of leaders are organized as follows: social activists Margaret Sanger and Susan B. Anthony versus Elizabeth Cady Stanton, political leaders Robert McNamara versus John Gardner, and entrepreneurs Henry Ford versus Soichiro Honda. Sanger, Anthony, and Stanton, are presented as unforgettable social activists in the movement for women’s rights. Each individual, though leadership style varies, was passionate concerning their cause but Sanger was the least effective leader in that she was an inefficient manager and allowed herself to get in the way of the development of her organizations. McNamara and Gardner were both a part of Lyndon B. Johnson’s cabinet. Gardner was presented as the more effective leader for his leadership and management. He was able to communicate his vision and carry it out. Unlike Gardner, McNamara lacked the communication skills and the selflessness needed to be an exceptional leader. Ford and Honda, who both created major car companies, were the last two individuals to be compared in section two of the book. Even though they both built successful organizations, Ford was believed to be self-centered and insecure while Honda was considered to be generous, beneficent, and secure.

Part three, “Powers of Persuasion” (chapters 6 to 8), compares three sets of leaders that the authors believed had a unique ability to persuade. The three groups of leaders spotlighted are G. Stanley Hall and William Rainey Harper (university presidents), Edward Teller and Sir William Osler (scientific leaders), and Napoleon and Augustus (empire builders). In each of these individual cases, the communication skills of these influential people were highlighted.
These leaders possessed the ability to persuasively communicate their vision. Persuasive communication can either inspire or misdirect followers. Effective leaders must embody their vision and have the ability to persuade through various communicative methods.

Part four, “Transforming Visions” (chapters 9 through 10), explores the leadership techniques of two sets of leaders: John Humphrey Noyes and George Fox (religious visionaries) and Robert Mugabe and Nelson Mandela (revolutionary leaders). These leaders had revolutionizing visions that succeeded based upon the level of selflessness or selfishness. The difference between the leadership style of Fox and Noyes was the selflessness. Such as in the case of Fox and Noyes, Mugabe and Mandela’s selflessness was the difference in their leadership. Both of these individuals communicated their vision and created organizations that supported the vision, and both were elected to the head of their country; however the degree of selflessness was the difference maker in both of these individuals.

In the epilogue, the authors propose four additional findings that are supported from the case studies and their personal experiences. They are key principals of effective leadership, ramifications for followers when choosing a leader, relevant questions to ask leaders, and essential components for developing leaders. Concerning implications for developing leaders, leadership can contain elements of art and science. For example, the variable of vision contains elements of science while the variable of organizational capability contains elements of both science and art. The authors also believe that anyone can become a leader as long as they possess appropriate social and intellectual skills. The authors also divulge the implications of followers when choosing a leader. Followers play a role in deciding to support a leader’s vision and whether or not to pursue the goal of the vision. These followers can also ask critical questions that will help them adequately choose a leader. The areas of concern for these questions are as follows: visionary abilities, communication skills, organization capabilities, degree of selflessness, and the strength of his will.

Observations

On Effective Leadership: Across Domains, Cultures, and Eras would be a beneficial resource for expanding knowledge and professional development for individuals that aspire to become leaders. In addition to leadership and the principles that one must follow in order to be not only an effective leader but an exceptional one, four key principles (e.g. compelling and well-conceived vision, persuasive communication, capable supporting organization, and selflessness) are explained in this book to help identify the qualities of effective leaders. In some cases, each individual may possess a weakness in one of the four areas but their strength in another area allowed them to still be effective. Characteristics, education, and personality traits also play somewhat of a role when determining the effectiveness of a leader. Because these characteristics vary, it is difficult to identify which ones are correlated with effective leaders. These four principles can provide a guide to reach success in an effort to become an exceptional leader. Similarly, leadership cases from different domains (e.g. Augustus and Napoleon), cultures (e.g. Robert Mugabe and Nelson Mandela), and eras (e.g. Margaret Sanger and Susan B. Anthony/ Elizabeth Cady Stanton) are insightful resources for readers interested in leadership studies.

This book is beneficial for anyone leading a group of people, large or small, such as educators, administrators, government officials, and chief executive officers. Through the analysis of these leadership profiles, unique experiences and qualities are presented that can
affect one’s stance on effective leadership and how to develop the characteristics of an effective leader. The audience of this book covers a wide range of individuals from leaders of small organizations to leaders of major corporations. The book is valuable to any individual that has a leadership role, whether in the classroom, government departments, or frontrunners of a particular movement.

---

About the Authors

Sabre Masters is a second grade teacher at Rapides Parish School System in Alexandria, Louisiana. She graduated with a master’s degree in curriculum and instruction from the University of Louisiana at Monroe.

Krishna Bista is Chase Endowed Professor of Education at the University of Louisiana at Monroe, Louisiana. He teaches graduate classes in educational leadership and curriculum and instruction. His areas of interest include leadership practices, international student studies, and multicultural education. His recent publications appear in the *Journal of the Scholarship of Teaching and Learning*, *International Journal of Doctoral Studies*, *College Teaching*, and *The Educational Forum*. Email: bista@ulm.edu