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VALPARAISO UNIVERSITY

IN THIS ISSUE:

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# JOURNAL OF VALUES-BASED LEADERSHIP*

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The Journal of Values Based Leadership (JVBL)

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The mission of the *JVBL* is to promote ethical and moral leadership and behavior by serving as a forum for ideas and the sharing of "best practices." It serves as a resource for business and institutional leaders, educators, and students concerned about values-based leadership. The *JVBL* defines values-based leadership to include topics involving ethics in leadership, moral considerations in business decision-making, stewardship of our natural environment, and spirituality as a source of motivation. The *JVBL* strives to publish articles that are intellectually rigorous yet of practical use to leaders, teachers, and entrepreneurs. In this way, the *JVBL* serves as a high quality, international journal focused on converging the practical, theoretical, and applicable ideas and experiences of scholars and practitioners. The *JVBL* provides leaders with a tool of ongoing self-critique and development, teachers with a resource of pedagogical support in instructing values-based leadership to their students, and entrepreneurs with examples of conscientious decision-making to be emulated within their own business environs.

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2. **Creating ethical, values-based organizations;**
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*customer, yet we continue to see major infractions of these codes of ethics. All this comes at a high financial cost to organizations. In order to avoid such fines, and damage to brand equity, we propose ethical components which must permeate the organization to ensure appropriate behavior which neither breaks legal requirements, disengages the employee, or alienates the customer*.

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Mostafa Sayyadi Ghasabeh — Sydney, Australia
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*The purpose of the present study is to investigate the mutual relationship between transformational leadership and knowledge management as well the potential effects of a transformational leader on his or her followers. In this paper, we review the role of transformational leadership in effective knowledge management and establish the emerging role of transformational leadership, as an ideal leadership style in building knowledge-based companies to achieve a higher degree of competitive advantage. The findings in this article are based upon previous empirical studies that illustrate the formulation of several propositions that contribute to the knowledge management processes. Our findings are based upon possible scenarios that impact transformational leadership and knowledge management using grounded theoretical research. Research limitations are twofold. One limitation is found in the prior literature indicating that past studies have posited that companies might lack the required capabilities or decide to decline from interacting with other companies (Caldwell & Ancona 1988), or even distrust sharing their knowledge (Kraut & Streeter 1995). And, second, our contribution to the literature lies in presenting a link between knowledge management and transformational leadership that incorporates the knowledge management processes that may impact the effectiveness of transformational leaders to enhance their capabilities to effectively play their roles within companies. In addition, managerial applications that may support knowledge management processes are proposed further research is necessary to finalise conclusions. The original value of this research provides an impetus of mutual interaction of knowledge management and transformational leadership.*

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*The political independence in Africa was welcomed with joy and a heap of expectations, as Africans believed that the new African governments would bring sustainable development after years of subjugation, exploitation, and oppression. Unfortunately, this has not been the case. Today, many years after the attainment of political independence, many African nations largely remain underdeveloped, burdened with poverty, diseases, poor communication networks, illiteracy, tribal animosity, economic challenges, and injustices, — all of which affect every aspect of African life. This study, which involved 160 respondents purposely selected from the 47 counties in Kenya, aimed to investigate why Africa continues to lag behind in development despite autonomous rule. The study found that although Africa is endowed with numerous resources, it suffers from the lack of responsible leaders, particularly political leaders. Leaders in Africa are available in abundance but very few are concerned with the welfare of the people they lead. The majority of the leaders are keen to retain power and acquire wealth at the expense of the constituents they represent. This has created a very horrendous situation in Africa as people struggle to access poorly-managed resources. No sustainable development can be attained in a situation where leaders are not responsible to those who they lead. For it is only the installation of competent, empathetic, equitable, and forward-thinking leaders that will successfully guide the sustainable development of emerging African economies. African leaders must realize that they are stewards of the geopolitical environments they were elected to serve and must be fully accountable for their actions. Responsible leadership and sustainable development are closely interwoven. Recommendations are interjected regarding how to develop our leaders for responsible leadership if any meaningful development is to be genuinely achieved in Africa.*

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*Many leaders in intercollegiate athletics are under attack due to an overemphasis on winning and revenue generation. In response, some have recommended a transition to a servant leadership approach because of its focus on the well-being of followers and ethical behaviors (Burton & Welty Peachey, 2013; Welty Peachey, Zhou, Damon, & Burton, 2015). The purpose of this study was to examine athletic directors' potential demonstration of servant leadership and possible contribution to an ethical climate in NCAA Division III institutions. Participants were 326 athletic staff members from NCAA Division III institutions. Results indicated athletic staff members believed athletic directors displayed characteristics of servant leadership. Athletic department employees perceived athletic directors exhibited servant leadership characteristics of accountability, standing back, stewardship, authenticity, humility, and empowerment most often. Staff members who perceived athletic directors displayed servant leadership characteristics were more likely to report working in an ethical climate. If athletic directors choose to model the characteristics of servant-leaders, they could promote more fully the NCAA Division III philosophy of prioritizing the well-being of others, being a positive role model for employees, and fostering ethical work climates within their athletic departments.*

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*This paper describes values-based network leadership conceptually aligned to systems science, principles of networks, moral and ethical development, and connectivism. Values-based network leadership places importance on a leader's repertoire of skills for stewarding a culture of purpose and calling among distributed teams in a globally interconnected world. Values-based network leadership is applicable for any leader needing to align interdependent effort by networks of teams operating across virtual and physical environments to achieve a collective purpose. An open-learning ecosystem is also described to help leaders address the development of strengths associated with building trust and relationships across networks of teams, aligned under a higher purpose and calling, possessing moral fiber, resilient in the face of complexity, reflectively competent to adapt as interconnected efforts evolve and change within multicultural environments, and able to figure out new ways to do something never done before.*

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Although the role of leaders in building relationships with team members has been well-established as a foundation for improved performance (Beer, 2009), the complex challenges in directing the modern organization in a highly competitive global marketplace often mean that leaders of organizations are more focused on tasks rather than people. Nonetheless, a growing body of research about the importance of leader-member relationships confirms that leaders who demonstrate a caring commitment to the welfare of organization members also create organizations that are more profitable, more innovative, and more effective at meeting customer needs (Cameron, 2003; Kouzes & Posner, 2012).

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*guest editorial....*

# Five Reasons Why Crisis Communications Fail

ROSS K. GOLDBERG
THOUSAND OAKS, CALIFORNIA, US

It's not a matter of if, but when. All organizations spanning all business sectors face the reality of crisis. Privately held mom-and-pop shops, publicly held conglomerates and nonprofit foundations should all share equally in this concern. None are immune. Whether act of God or act of Man, a crisis will hit and, by its very nature, will hit when least expected.

Over the past four decades I've had the fortune or misfortunate of helping clients successfully confront myriad crises — from on-and-off campus shootings and cyber hacking to the kidnapping of a baby and a major earthquake's epicenter hitting smack in the middle of a client's property. I've also watched (along with the rest of the country) as airlines, financial institutions, college athletic programs, business leaders, and government officials try to successfully navigate through crisis and come out whole at the other end.

CEOs and business owners intrinsically know that crisis preparedness is essential and the smart leaders have crisis communication plans in place. So why do so many of these plans fail?  There's at least five good reasons.

**Failure to build trust equity.** Communication at time of crisis is only successful if people believe that what you say is true. But the time to build that trust is not when a crisis hits. That's too late. The honeymoon is over. Trust must be built throughout the year through candid, timely, and frequent communication. In this growing era of consumerism and transparency, organizations and their CEOs must be committed to practicing daily the four most important elements of trust: integrity, honesty, promise-keeping, and loyalty. Only when they have those tenets as their foundation can they truly hope to influence public perception when they need it most.

**The wrong spokesperson.** Who speaks is just as important as what is said but sadly not enough thought is given to this critically important strategic decision. Have a CFO speak and viewers and readers immediately feel that decisions being made are profit-motivated rather than doing what's right. A PR spokesperson leads to skepticism of "spin." Have legal counsel speak and suddenly the issue takes on a whole new meaning. That leaves the CEO, but does every issue warrant rising to that level of perceived importance? And what if the CEO isn't good on camera…or won't stick to message points…or carries some baggage themselves?  The fact that a CEO can stand up in front of a packed audience and perform beautifully doesn't guarantee that he/she will perform well when a camera is pointed their way for a one-on-one. Deciding on a spokesperson and having that person properly media-schooled will make or break a story and have companywide implications for years to come.

**Discounting internal audiences.** Employees are the ambassadors to your customers and represent the best vehicle to set the record straight. But they are also the greatest source of rumors (usually negative) and their harmful impact. Good crisis communication begins with informing your internal audiences of what is going on, what are the facts and, most important, what actions you intend to take. Employees will want to know how this crisis affects them personally (their job security, pension plan, etc.) and then the company collectively. Understand this and respect the tensions between these two strains. That means taking the necessary time to make sure all employees are in the know. For small companies, nothing replaces face-to-face communication. For larger companies with multiple locations, leverage today's communication technologies to disseminate messages through whatever multiple channels are most likely to resonate with your employee base.

**Not controlling the narrative from the get-go.** People remember the first thing that is said. That makes it critical to control the narrative early on and not let someone else define the issue or the circumstances. Doing so immediately puts a company on the defensive and the aftershocks can hover like a bad smell without letting up. That means you need to respond to crisis in a timely manner – the more you wait, the more damage can be done. At that same time, often in crisis all of the information is not immediately clear so full disclosure of the situation or your company's response may not be available as quickly as you, the media, or your public may like. That's why it is important to have "holding statements" at the ready — messages designed for use immediately after a crisis breaks. These can usually be developed in advance and framed around a wide variety of scenarios for which the organization perceives itself to potentially be vulnerable. They often include expressing empathy and concern when victims are involved (deflecting blame comes off as insensitive and uncaring). Then, as more information becomes available, these holding statements can be replaced by more specific information delivered in a timely and transparent fashion.

**Ignoring the changing dynamics of the situation.** Too many crises end in cataclysmic failure because companies fail to realize that the initial story is often just the appetizer. Companies need to actively monitor the situation to gain insight into how various stakeholders are feeling. PR should monitor the media and social media while customer relations might monitor customer/member calls and investor relations might monitor investor and regulatory inquiries. As situations change, companies need to continue communicating and need to challenge incorrect information, misconceptions, or speculation that may be circulating. Trust-seasoned PR counsel as to the nuances of when more communication is needed vs. the trap of unnecessarily resuscitating a story that is about to die. This requires doing what any good communication program should do: listen.

**Ross K. Goldberg** is founder and president of Kevin/Ross Public Relations in Southern California. During his more than 40-year career, he has helped organizations around the country build their brand and achieve their business goals by developing and implementing creative, impactful, and memorable public relations programs that make a difference. An award-winning writer and a frequent speaker, Ross holds a master's degree in communications and a bachelor's in journalism. He is past chairman of the board of trustees of Los Robles Regional Medical Center in California and author of the book "*I Only Know What I Know.*"

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## Guest Editorial …

# A Crisis of Commitment

— John Renesch, Co-Founder, *FutureShapers, LLC,* San Francisco, CA, USA

Individual and collective commitment to a cause has been the backbone of all major social transformations from the founding of the U.S.A. to putting a man on the moon, from changing the public attitude about drinking and driving to the ending of apartheid in South Africa.

Much of the positive developments in our history as human beings has been the result of true commitment. However, true commitment is one of the scarcest human qualities today. People say “yes” or make agreements every day that they hold as tentative in their minds, subject to whim and convenience. As a result, we live in a world filled with empty promises which lead to widespread social cynicism which, in turn, leads to lowered expectations. What people say is often quite different from what people do. As an old saying goes, “We judge ourselves by our intentions while judging others by their actions.” If we judge ourselves with the same criteria – our actions not our words – then we may start to see how culpable we are in this weakening of our social fabric.

It is so easy to give lip service to doing the right thing, stating the moral high ground, saying what people want to hear but an entirely different moral toughness is required to keep our word – to do what we say we are going to do. After years of hearing these tentative “commitments,” the rest of us have gotten used to people reneging on their promises and not keeping their word. The worst of it? It has become “socially acceptable”; that is, we have grown accustomed to people failing to do what they say and we let them off the hook. Empty promises have become quite common.

Abraham Lincoln is reported to have said:

> “Commitment is what transforms a promise into reality. It is the words that speak boldly of your intentions. And the actions which speak louder than the words. It is making the time when there is none. Coming through time after time after time, year after year after year. Commitment is the stuff character is made of; the power to change the face of things. It is the daily triumph of integrity over skepticism.”

Do Lincoln’s words sound like an idle indication of interest subject to the big “if” – if something better doesn’t some along; if I still feel like it when the time comes; if it feels comfortable; if events align so as to make it easy; or if it isn’t too inconvenient? These are all tentative, conditional, and provisional – nowhere near “the power to change the face of things" as Lincoln suggested. All these ifs allow wiggle room for the person making the commitment.

Lincoln's idea is that one's character is made up by how one lives up to one's commitments. As an antidote to this withering of our social fabric, I offer this model for encouraging true commitment from one another.

## Sacred Pledge or Covenant

The dictionary defines a commitment as "an agreement or pledge" to do something in the future. A pledge is defined as "a binding promise" or "guaranty." These hardly sound like casual, half-hearted promises. When persons guarantee something, they stand to lose something of value. When they make a promise, they have given their word. Implied in giving one's word is a certain sacredness, similar to a sacred oath. This is what we call a "covenant" in my company; we ask members to make a sacred pledge to themselves and the other members of their group.

A higher standard for commitment instills character, consciousness, and meaning into one's life and one's work. I encourage us all to aspire to unconventional levels of awareness in what we say, how we say it, and what we mean by what we say.

In working with leaders on their covenants, we ask them to commit to the following actions:

- Seek self-transcendence, deepening self-examination/exploration, increasing their experience of equanimity and serenity;
- Be authentic; integrating mind, body, heart and soul; be consistent with their walk and their talk;
- Continuously self-examine personality traits that can be improved upon, stories and beliefs that limit them, and their attitudes and actions that negatively impact others;
- Do no harm: whenever they are wrong, promptly admit it and make amends for any harm they've done to anyone;
- Treat others as they would like to be treated ("The Golden Rule");
- Seek out ways to be in relationships with a power greater than their own egoic mind;
- Spend at least 20 minutes each day in meditation/quiet time;
- Do the right thing always: whenever there is a question, follow their heart and their conscience, not their head;
- Be more compassionate for others and reverent about life, honoring their interconnectedness with all living things;
- Accept their leadership responsibilities as an honor and a gift, not an obligation or cause for self-importance;
- Consciously be a role model for others; and

- Create workplace cultures where these aspirations are honored and respected.

## Guidelines for Making Commitments

Here are a few suggestions for making and keeping commitments:

1. True commitment requires passion. Does what you are committing to uplift you and make you come fully alive or does it burden and drag you down into dejection or despair? If you cannot find passion for something, then look and see what really upsets you and commit to changing that. Anger about a social condition or injustice suggests a passion for changing things.
2. Make the commitment explicit and public. Go on record in some public way so people who support you can hold you accountable for your commitment.
3. Be sure your commitment doesn't compete with another commitment you have already made – consciously or unconsciously. Harvard's Robert Kegan has written extensively about how subconscious commitments can conflict with those commitments we consciously choose, creating a competition or opposition which leads to frustration and inner conflict.
4. Believe you can achieve what you commit to. If you don't believe it can be done, you won't make the effort. Be realistic and not grandiose.
5. Be a *stand* for your commitment. Don't take a *position* against something. Positions invite opposition; stands are more powerful.
6. Embody your commitment. Be sure your commitment is not simply an idea in your head, a noble thought, but that it becomes part of who you are, part of your personality and way of living. Commitment lives in your heart or as *Merriam Webster* says "being emotionally impelled."

## Something Bigger

Until one can truly commit oneself to something larger than oneself, one is destined to a life of mediocrity. Most people I can think of who committed themselves to something and went on to achieve remarkable results as a result will tell you they sought something larger than themselves, certainly larger than their ego or personality. This commitment might be the team in sports, one's company, country, industry or the entire world.

Values-based leadership assumes positive values. After all, Hitler had values but those values were not seen by the rest of the world as positive. Our current crisis in leadership ties to a crisis in commitment. We have all participated in bringing about this crisis. Leaders who fail to keep their commitments lower the bar and those of us who allow this to occur without calling our leaders to task allow that bar to be lowered. Our leaders are proactive in this crisis while the rest of us are passive and thus complicit. We stop expecting excellence and settle for mediocrity.

One of my favorite quotes about commitment is from explorer William H. Murray who wrote quite succinctly in his 1951 book, *The Scottish Himalaya Expedition*: "Until one is committed, there is hesitancy, the chance to draw back, always ineffectiveness." As I mentioned at the start of this article, recent years have seen a collective backing away from true commitment and, what is even worse, we let people get away with it by not holding them accountable. Our passivity is complicit in this decline of commitment.

Let us stand for optimism about the future and hold one another accountable for the promises and the commitments we make. Perhaps we can restore our faith in one another and trust we mean what we say, keep our promises and stay true to our commitments. If we do, cynicism will fade and our collective attitude about the future will significantly improve.

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## About the Author

John Renesch is a businessman-turned-futurist, writer, and keynote speaker on topics that integrate the subjects of work, organizational and social change, and positive scenarios for the future of humanity. Having published 14 books and hundreds of articles on these subjects, he offers a variety of services as an international keynote speaker, private mentor/coach and advisor to consultants. In 2012, he co-founded FutureShapers, LLC, which hosts executive peer groups which focus on helping leaders become more conscious. His latest book is *The Great Growing Up: Being Responsible for Humanity's Future,* which received the 2013 Grand Prize for Non-Fiction by the Next Generation Indie Book Awards.

He's received much praise as a presenter and a visionary: Warren Bennis, international leadership authority, author and distinguished professor emeritus at University of Southern California: "John Renesch is a wise elder who shines with wisdom;" Stanford Business School Professor Emeritus Dr. Michael Ray: "John Renesch is a beacon lighting the path of the new paradigm in business;" and *The Futurist* magazine calls him a "business visionary."

More about John can be found at his website: [www.Renesch.com](http://www.Renesch.com).

# A Blueprint to Build Ethical Leadership Globally
## *Examples and Illustrations*

***By M.S. Rao***

**Abstract**

*The purpose of this research paper is to underscore leadership ethics and to assist in building ethical leaders globally. It explains the concept of ethics and elaborates on the phrase ethical leadership. It outlines the tools and techniques necessary to inculcate ethics. It explains the fundamental reasons for the collapse of global companies such as Enron, Tyco, Lehman Brothers, WorldCom, and Global Crossing due to unethical practices which help explain the more recent fall from grace of BP, Volkswagen, and Wells Fargo. It illustrates these salient points with inspiring examples of ethical leaders including Mahatma Gandhi, Martin Luther King Jr., and Mother Teresa. It places emphasis more on the "means" rather than on the "ends" to excel as ethical leaders. It implores to achieve success with integrity. It concludes that a life spent in simplicity and humility is far better than a life spent with fame, initially, and infamy, finally.*

## Introduction

> **"There are seven things that will destroy us: Wealth without work; Pleasure without conscience; Knowledge without character; Religion without sacrifice; Politics without principle; Science without humanity; Business without ethics." — Mahatma Gandhi**

Leaders must learn lessons from the collapse of several large companies due to its unethical practices, a corrupting culture, and the unscrupulous methods of their leaders. When those at the helm emphasize the "ends" rather than "means," such downfalls will inevitably happen.

When one evaluates the reasons for the collapse of companies and their moral shortcomings, it is obvious that there was a complete disregard for ethics and principled decision-making by their leaders. This is the reason why there is a need for teaching ethics in business schools. But, will teaching ethics alone suffice? The answer is clearly not! Ethics is something that needs to be identified and imbued not only in business schools, but also throughout the corporate culture to enable leaders to acquire ethical habits and practices.

## Fall from Grace

Leaders must realize that it is tough to climb the ladder of success, but very easy to fall from the top due to wrongdoing. Power, reputation, and money are certainly tempting but often represent the unmaking and subsequent collapse of a company. Executives should not get tempted by short-term gains which ultimately prove to be unsustainable. The following corporate heads have dubiously entered the annals of history as having succumbed to short-term advancement, threatening the very existence of the entities they once shepherded:

- Jeff Skilling, the former CEO of Enron which went bankrupt due to an accounting scandal, was convicted in 2006 on one charge of insider trading and 18 counts of fraud and conspiracy. He was sentenced to 24 years in jail.
- TV personality, Martha Stewart, was indicted for insider trading in 2003. Stewart saved over $45,000 by dumping her ImClone stock just before it substantially decreased in value, using non-public information from that company provided by an insider. She was jailed for five months.
- Former IBM executive Robert Moffat provided insider information to New Castle Funds consultant Danielie Chiesi, who was one of the key people in Galleon's Raj Rajaratnam's network of people providing such non-public information. Moffat was sentenced to six months' imprisonment and fined $50,000.
- Tyco International Ltd.'s L. Dennis Kozlowski and WorldCom Inc.'s Bernie Ebbers were convicted for similar misdeeds.

## What are Ethics?

> "There are no universally agreed upon rules of ethics in leadership, no absolute standards or controls, and no fixed and firm reference points. This is fascinating given how hugely important ethics have now become in modern life and society."
> — Warren Hoffman

Ethics are the standards, rules and norms, values and morals, and principles and policies that people must observe while conducting their regular businesses in order to have a profound impact on the business and its stakeholders. Ethics are a set of morals and values that govern every individual in personal, professional, and social life, especially within workplace where leadership is judged based on equitable decision-making and etiquette. When a person assumes a public position, people will judge his or her leadership abilities based upon that individual's values and principles.

Ethics means doing the right things without necessarily being publicly monitored. Ethics means figuring out what is fair and just and involves deciding *what* is right and wrong — not *who* is right and wrong. Ethics differ from culture to culture but uniformly necessitate exploring one's own conscience. At times, there is a thin line that separates ethics from what might be deemed unethical behavior. What is considered ethical in a particular culture may be considered unethical in another culture as ethics are environment specific.

Ethics is not merely a rote practice about following rules and regulations, principles and policies, and values and morals. It transcends these things. For instance, science without humanity, knowledge without character, and business without morality are considered unethical.

## Ethical Leadership

The role of leadership is changing with changing times and technologies. In the past, leaders were treated basically as individuals imbued with extraordinary powers to influence and motivate people in order to execute tasks. With growing civilization and democratization, there is more emphasis on leaders to display ethical decision-making where means matter more than ends. Historically, the sole guidepost was the final result. Currently, it is the means that are more focused upon to give meaning to life, and to make a difference in the lives of others.

Ethical leadership places more emphasis on ideas, ideals, values, and morality. It is about being transparent — just and fair in dealings while leading. It is to resolutely stand by values, sharing same with others with enthusiasm. According to the Center for Ethical Leadership, "Ethical leadership is knowing your core values and having the courage to live them in all parts of your life in service of the common good."

"Truth alone triumphs at the end" is the hallmark of ethical leadership. It is the values that count. It is the journey that matters, not the destination. How long one lives is not important, but how well one lives with values and morals is sublime. It is not the material but the principles, values, and morals that count for ethical leaders.

All human beings have a conscience that clearly reminds them about what is right and what is wrong. There are cultural issues involved in the development of ethics and morals. What is right in some societies may be wrong in other societies. Hence, ethical leadership is contextual and cultural but at its core, it is based on convictions and everlasting values and morals. Additionally, ethical leadership skills enhance behaviors that shape and inspire organizations to thrive in a disruptive world and ensure organizational sustenance.

Ethical leadership calls for corporate social responsibility. It looks for all-round development of the organization and society as a whole. It calls for paying taxes promptly and looks for longevity, without succumbing to short cuts. The path to ethical leadership is full of thorns, but treading the path makes the journey more exciting and interesting.

James MacGregor Burns said, "Divorced from ethics, leadership is reduced to management and politics to mere technique." Both ethics and leadership are closely connected for leadership effectiveness. Ethics is something that should be cultivated among all people whether they are leaders or followers.

In order to ensure sustainable progress, leaders must take the responsibility to be ethical in their practices and influence others to do that same. Hence, there is a dire need for ethical leadership worldwide. According to Albert Schweitzer, “Ethics is the activity of man directed to secure the inner perfection of his own personality.” And Potter Stewart says, “Ethics is knowing the difference between what you have a right to do and what is right to do.” Thus, we can define ethical leadership as one which leads from the front with moral values and principles as well as with an emphasis on what is right and just.

Leaders are always closely observed. People search for negative traits and transactions displayed by leaders rather than the positive aspects of their actions. Hence, leaders must be very careful all the time. They must display honesty, integrity, and total transparency in their dealings to enable them to influence others in a positive way.

People respect leaders more for their ethical values than any other traits such as charisma, compassion, or commitment. Although all these traits are needed for effective leadership, it is ethics that differentiates the leaders. It is rightly said that although the righteous person falls ten times, he rises if his means are right as God supports him. However, the person, who does wrong and displays unjust and ethical ends never falls twice as there is no second opportunity for him.

## Acquiring an Ethical Core

> “Have the courage to say no. Have the courage to face the truth. Do the right thing because it is right. These are the magic keys to living your life with integrity.”
> — W. Clement Stone

Discover your own values first. Crosscheck how far they are correct. If convinced, communicate with others. Being ethical requires a lot of courage. Hence, have the courage to follow through. Be in the company of people who respect your values and principles. Specifically:

- Always remember the cliché, *what* is right and wrong rather than *who* is right and wrong.
- Emphasize the *means*, not the *ends*.
- Attend seminars and training programs on ethics.
- Be transparent wherever needed.
- Strive for goodwill, not for money.
- Don’t be greedy. Differentiate between ambition and avarice.
- Look at your conscience and feel what is just and right.
- Adjudicate the issues from both legal and ethical perspectives.
- Examine the long-term implications and complications.
- Balance all the stakeholders involved in the issue.

- Ensure that the outcome is win-win. It must emphasize "live and let live."

## Achieve Success with Integrity

> "It is better to suffer wrong than to do it and happier to be sometimes cheated than not to trust." — Samuel Johnson

Do you prefer ethics to success, or success to ethics? If you prefer ethics, you will excel as an ethical person, but might not achieve immediate success. In contrast, if you prefer success, you may achieve success immediately, but end up in a great fiasco. There are people who are revered even today after several generations for their ethical values — not for their individual successes. Success is short-lived while ethics are everlasting. In this cut-throat, competitive world, individuals and institutions must refrain from joining an unhealthy race to attain certain objectives at the cost of values and ethics. Albert Einstein rightly quoted, "Try not to become a man of success but rather try to become a man of value."

## Ethical Leaders

> "Do you prefer ethics to success, or success to 'I am not interested in power for power's sake, but I'm interested in power that is moral, that is right and that is good.'" — Martin Luther King, Jr.

Leaders like Martin Luther King, Jr., Mahatma Gandhi, Mother Teresa, and Dalai Lama have championed the means as a critical component of attaining the final objectives. It is their emphasis on methods which brought them laurels and made them legends. If Martin Luther King, Jr. had adopted violent means to elevate the stature and status of African-Americans in the United States, would he have become a great leader? If Mahatma Gandhi had adopted violent means to attain India's independence, would he have lived as a great leader in the hearts of the people for so long a time? No, never!

Mother Teresa lived for the poor and the lepers and made a significant difference to their lives. Although Florence Nightingale was a rich woman, she gave up her comforts to serve patients in the Crimean war. Dalai Lama is seeking Tibet's independence through non-violent means. Aung San Suu Kyi fought for democracy in Myanmar through peaceful means. All of these leaders remain salient figures because they elevated the methods of obtaining particular outcomes.

In contrast, both Hitler's means and ends were despicable and heinous although many followers advocated his populistic and xenophobic approach in championing a distorted view of German pride. Individuals occupying positions of power and wielding hateful and incendiary messages must be immediately called out as such tyrants will rear their ugly heads periodically through history. It takes courage and commitment to point out what is right to be diligent in this fashion.

It is true that all effective leaders may not be ethical leaders, but all ethical leaders can be effective leaders as they influence others by leading by example. Nothing is more powerful than setting example while leading others.

## A Blueprint to Build Ethical Leaders Globally

> "Do not worry if you have built your castles in the air. They are where they should be. Now put the foundations under them." — Henry David Thoreau

Ethical leaders generously donate their wealth and participate in philanthropic activities to make a difference in society. For instance, in 1998, in a bold gesture demonstrating how he valued the company's line employees, Roger Enrico.[1] former Chairman and CEO of PepsiCo, chose to forego all but $1 of his salary, requesting that PepsiCo, in turn, contribute $1 million to a scholarship fund for employees' children. Here is a blueprint of how to build ethical leaders globally:

- Keep your organizational interests above your personal interests.
- Put people before the profit.
- Emphasize means, not ends.
- Identify those with the best talents and right attitudes to train and groom new leaders.

Linda Fisher Thornton remarked, "Ethical leaders have a tremendous impact on how people in their organizations behave and what they achieve." Hence, you must walk your talk. Don't excuse anyone for failing to comply with ethical expectations and aspirations. Don't play favorites. Appreciate that ethics is an ongoing process. Be clear that there is no gap between words and deeds. There must not be any credibility gap or character gap. There must be total consistency in ethical approach and behavior to create ethical leaders.

## Conclusion

> "Successful modern leadership requires ethical thinking that brings transparency, impartiality and clarity of outcomes."
> — Professor Robert Wood, Centre for Ethical Leadership

[1] www.corporate-ethics.org/pdf/ethical_leadership.pdf

The leaders who exhibit ethics have strong convictions. They influence others with their integrity and trust. Followers also expect their leaders to be ethical. Hence, don't lose pretty values for the sake of petty things. Sometimes we find people losing so much for so little. What counts at the end of the day are the values, principles, and ethics, not short-term temptations.

No organization can survive without ethics, rules and regulations, policies and procedures, and clearly-defined vision and mission. However, some companies resort to "short cuts"; in a hurry to reach to the top and to stave off the competition, they compromise ethics. In the end, they have to pay a heavy price when the truth emerges. Similarly, leaders who adopt unethical means end up losing whatever they earned. Hence, it is imperative to emphasize "means" over myopically chasing "ends" as once again, a life spent in simplicity and humility is far better than a life spent with fame, initially, and infamy, finally.

> "A man does what he must … in spite of personal consequences, in spite of obstacles and dangers, and pressures … and that is the basis of all human morality." — John F. Kennedy

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# LEADERSHIP AND THE ATHE

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***Abstract***[1]

In today's increasingly globalized, competitive, and fiscally-afflicted, higher-education environment, academic leaders are regularly expected to serve as both "visionaries" and "managers" adept in all forms of political, economic, and social engagement. Likewise, performing arts leaders share a similar fate, as they need to be versatile tacticians skilled equally in both business and art. Given these realities, for higher education performing arts programs, the challenges are greater. These programs — and their parent institutions — require leadership and leaders capable of handling both immediate complexity and long-term transformation. As such, leadership development critical to this mission is a priority. This article explores the intricacies of higher education and the performing arts, and discusses the correlative characteristics of leadership, management, mentoring, coaching, and networking. Additionally, it provides in-depth description and critical analysis of the Association for Theatre in Higher Education Leadership Institute — as the institute is a unique leadership initiative specifically designed to address this enigmatic niche subset of higher education.

Effectual leadership is an essential element in any organization. It is the element that organizations rely on to translate goals and objectives into accomplishments (Rowley & Sherman, 2003; Simon, 1976). Equally as important is the need to develop leaders surefooted in handling the complex challenges and problems often associated with great responsibility. Further still, developing leaders must also be cognizant of the human factor inherent in organizational structures, as this often requires them to deliver otherwise seamless fluidity in their treatment of socialized activities. Therefore, the successful development of effective leadership is critical for both performance and accomplishment. This is not just true of commercial organizations, but also of academic agencies (Bensimon & Neumann, 1992; Braun, Nazlic, Weisweiler, Pawlowska, Peus, & Frey, 2009; Rowley & Sherman, 2003). Arsenault (2007) states, "Universities are definitely not immune to this need for effective leadership as they face similar challenges as any other organizations" (p. 14). In these settings, academic leaders must conjointly serve as both a "visionary" and a "manager" adept in all forms of political, economic, and social engagement. Comparably, the performing arts too face similar

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challenges and dilemmas, as leaders in the arts need to be versatile tacticians skilled equally in both business and art (Parrish, as cited in Volz, 2007). Given these realities, it is fair to say that higher education performing arts programs are rife with unfathomable expectations and imposing tests of fortitude, wherein those leading the charge must do the seemingly impossible.

Consequently, this raises several critical questions. First, what exactly is leadership, and what do leaders do? Second, what tribulations regarding leadership surround both the arts and higher education? Third, why is leadership development crucial to these fields — particularly when they are in concert? Lastly, where can one look to for leadership development facilitation in higher education performing arts programs, and how are developing leaders aided in embracing and executing challenges?

## Literature Review

### *Leadership, Management, or Both?*

> *If your actions inspire others to dream more, learn more, do more and become more, you are a leader.* — John Quincy Adams

In *The Special Challenges of Academic Leadership*, Rowley & Sherman (2003) posit that, "leadership is an essential ingredient of positions with supervisory responsibilities in any organization" (p. 1058). While this sentiment indeed is sincere, it is important to define leadership to understand why it is indispensable to organizational success. According to Northouse (2016), leadership can be defined as "a process whereby an individual influences a group of individuals to achieve a common goal" (p. 6). Delving deeper into this description, Astin & Astin (2000) characterize leadership as follows:

> *Leadership is a process that is ultimately concerned with fostering change. In contrast to the notion of "management," which suggests preservation or maintenance, "leadership" implies a process where there is movement — from wherever we are now to some future place or condition that is different. Leadership also implies intentionality, in the sense that the implied change is not random — "change for change's sake" — but is rather directed toward some future end or condition which is desired or valued. Accordingly, leadership is a purposive process which is inherently value-based* (p. 8).

In other words, leadership is fundamentally preoccupied with purpose, transformation, and collective accord, wherein a leader could be considered a change agent or social architect, a visionary, and a diplomat committed to organizational, institutional, and societal values (Astin & Astin, 2000; Bennis & Nanus, 1985; Northouse, 2016; Winston & Patterson, 2006).

As Astin & Astin (2000) make mention of the term "management" in their definition of leadership, it is important to bear in mind that management and leadership are often interrelated, as most organizational leaders today are regularly involved in both practices —markedly so in higher education and the performing arts.

Katz (1955) defines management as exercising direction of a group or organization through executive, administrative, and supervisory positions (Algahtani, 2014). Further, Katz (1955) suggests that management responsibilities are task-oriented. Meaning, managers are accountable for duties such as staff development, mentoring, and conflict resolution (Algahtani, 2014; Katz, 1955).

Likewise, Kotter (2001) proposes that management is about contending with complexity in order to bring balance and consistency to otherwise chaotic enterprises. As such, Kotter (2001) suggests that managers focus on formal direction and fulfillment of all planning, organizing, budgeting, coordinating, and monitoring activities. By doing so, organizations will more concisely — and smoothly — achieve their goals. Whence, according to Katz (1955) and Kotter (1990), leadership and management essentially go hand-in-hand and are necessary for success.

Further still, Dessler (2002) proposes the notion that a leader is someone with managerial and personal power who can influence others to willingly perform actions and achieve goals beyond what the followers could achieve on their own (Duncan, 2011). Expanding on this, Winston and Patterson (2006) offer a more long-winded definition of a leader stating:

> *A leader is one or more people who selects, equips, trains, and influences one or more follower(s) who have diverse gifts, abilities, and skills and focuses the follower(s) to the organization's mission and objectives causing the follower(s) to willingly and enthusiastically expend spiritual, emotional, and physical energy in a concerted coordinated effort to achieve the organizational mission and objectives* (p. 7).

In this regard, it is clear that Dessler (2002), as well as Winston and Patterson (2006) both support the view that leadership and management intertwine, and that the functions of leaders and managers are often interchangeable.

Considering these three perspectives, it is reasonable for one to derive that leadership and management are undoubtedly interrelated and vital to organizational success. As Duncan (2011) asserts, "effective leaders need to be good managers and effective managers need to be good leaders" (para. 1). This is unequivocally true of the higher education and performing arts fields. For example, in recent years the higher education landscape has changed considerably. It has become increasingly globalized; "for-profit" colleges and universities are on the rise and competing with traditional institutions; and acute cuts in public funding have become routine (Black, 2015). Likewise, the performing arts, too, face comparable crises. Volz (2007) underscores this actuality summating:

> *Managing theatres has proven a perilous path for many would-be theatre leaders as natural disasters (Katrina), unnatural disasters (9/11), economic recession, "surprise" deficits, aging audiences, fundraising fiascos, board politics, and "human resource burn out" plague the profession* (p. 1).

In consequence, the need for leaders, adept in traditional leadership functions, as well as in managerial functions, has taken priority. However, both fields are plagued with systemic ritualism and anomalistic precedents, thereby thwarting attainment of effective leadership.

## Higher Education

*Given the consumer-pleasing politics of today's universities, I have, in effect, seventy new bosses each semester; they're sitting at the desk in front of me.*
— Maureen Corrigan

From an organizational context, the role of a leader — as well as the concept of leadership — in higher education could be considered aberrational as the composition and strategic layout of higher education differs greatly from that of its traditional counterparts (i.e. corporations, small businesses, government agencies, etc.). For instance, executive roles, such as that of a Chancellor, President, or Vice-President, are mostly analogous to roles found in other sectors. Whereas academic leadership roles, such as those of deans and chairs, are relatively unusual, they bring with them complications that further confound the nature of those positions (Black, 2015). The same is true of faculty positions, as they too contain an array of complexities all their own.

For example, deans occupy a unique place in the continuum of academic administrators, as they are the facilitating link between department chairpersons and school directors, faculty, staff, students, and upper administration ("Responsibilities, Roles, and Authority," 2012). As such, deans straddle the line that separates administration from academics, as they are concerned with both entities. However, their role is typically fashioned more toward that of an executor than that of an academician. Chairs, on the other hand, further complicate matters as their responsibilities are almost akin to those of a dean, but are more representative of a faculty member. Meaning, leadership in academic departments requires a concern for both administrative and scholarly functions, wherein a chairperson is obliged to serve in both capacities — as an executor and as an academician (Rowley & Sherman, 2003). Faculty positions further add to the obfuscation as they typically combine the role of teacher, scholar, researcher, and institutional citizen into one — to which all have leadership responsibility in some form or another (Astin & Astin, 2000; Black, 2015). It is also quite common for deans, chairs, and faculty to assume leadership roles external to their home institutions, as they are often involved with research projects, engaged in professional development, or have affiliation with other discipline-specific organizations and/or enterprises (Black, 2015).

Another anomalous feature of higher education leadership is the manner in which leadership positions are typically filled. Quite often, faculty are appointed to a senior rank based upon their deep subject knowledge, experience, and scientific accomplishment (e.g., number of publications in international journals) — not based on leadership skills (Braun et al., 2009). In some situations, such as those associated with turnover or rotational terms, academic leaders may find themselves in the rather difficult — and often awkward — position of simply being a transitory role-holder (Black, 2015; Kubler & Sayers, 2010; Rowley & Sherman, 2003). In many instances, there may be a reluctance to assume leadership, as many academics do not see leadership as a priority, nor do they think of themselves as management material (Kubler & Sayers, 2010; Rowley & Sherman, 2003).

As a result of these two anomalous considerations, many faculty members wind up holding leadership positions without adequate preparation or proper training; are subsequently ill-equipped in terms of prior experience and aspiration; and in turn address the resulting workload unsatisfactorily (Braun et al., 2009; Johnson, 2002; Kubler & Sayers, 2010; Rowley & Sherman, 2003).

## The Performing Arts

*Theatre is a business, and it is an art.* — (Green, 1981, p. 1)

As stated earlier, one of the most daunting obstacles leaders in the arts typically encounter is trade bipolarity, i.e., the nature of the industry often necessitates that leaders be equally proficient and domineering in meeting both the artistic and administrative leadership needs of the organization (Galli, 2011). Performing arts organizations are inherently complex, wherein leadership and managerial commitments to excellence, artistic integrity, accessibility, audience development, accountability, and cost effectiveness are implicit and essential (Chong, 2000; Galli, 2011). McCann (as cited in Volz, 2007) endorses this certitude pointing out that "the dilemma is that 'managers' do much more than manage, they are responsible for providing leadership to their board, direction to their staff, and partnership with the artists" (para. 36). As such, like any other organization or institution of higher education, performing arts entities must too have a clear mission, a comprehensible strategic plan, and efficacious leadership (Spires, 2015). When inefficient leadership and/or management convolutes the process, and no definitive ambitions or targets are perceivable, institutions become unable to properly manage themselves, and subsequently become incapable of responding to external challenges (Galli, 2011). Against this backdrop, finding individuals adept in both practices can be exceedingly frustrating. That is not to suggest that these individuals do not exist. The industry does in fact employ a bevy of versatile leaders and managers that do not have formal training, or an advanced degree. In most instances, many of these individuals come from other fields, or simply "just fell into it" (Pinholster, 2017). However, for those in pursuit of career stability or advancement in the realm of performing arts leadership, the first real taste of what it entails often begins in the classroom.

Volz (2007), an international arts consultant, and former department chair and director of multiple Arts Administration programs, concedes that "few students wander into faculty offices and declare their passion to work with nonprofit Boards of Trustees and generally under-compensated colleagues to facilitate a theatre's fundraising, audience development, and strategic planning needs" (para. 5). Rather, most students in the performing arts tend to gravitate towards the more commonly acknowledged disciplines of the field, such as acting and directing. Resultantly — as can be expected when only a paltry few persons have proper training in the finer aspects of arts leadership — the field is left devoid of qualified applicants.

Ironically, for an industry rooted in a "the best way to learn is to do" mentality, the "hands-on" experiences, typical of most performing arts programs, are lacking with respect to leadership training (Kaddar, 2009). According to Kaddar (2009), performing arts leadership-training programs tend to be theory-based, and focus more on the art and the acquisition of technical skills, as opposed to emphasizing pragmatic skills fundamental to leadership, such as those pertaining to the socialized nature of the position. McCann (as cited in Volz, 2007) corroborates Kaddar's claims, and suggests that the solution is to "focus more on leadership competencies and less on functional management training — challenge young potential leaders to be creative, intuitive, and open to new ideas" (para. 12). Rhine (as cited in Volz, 2007) agrees, simply stating, "No one trains artistic leaders…. No one really allows students to be producers and artistic directors who can walk in both a management world and an artist's world" (para. 16). Sogunro (2004) furthers the argument for new, more creative training methods as he advocates for change in leadership training pedagogies, believing that traditional training methods—such as those mentioned by Kaddar (2009) — are ineffective. He protests:

> *Most leadership workshops today are preoccupied with lectures, reading, writing, and discussion groups…. As leaderships skills and attitudes are generally not easily acquired or changed overnight merely through theory…. direct experience of a learning activity is key to bringing about real understanding and desired change in people* (p. 355).

Given the demand for leaders capable of being renaissance men, alongside a palpable lack of both adequate training options and qualified aspirants, it would seem the performing arts are at an impasse in need of urgent resolution. While there is no quick-fix remedy to this quandary, a rethinking — and revamping — of current development practices in both professional and academic milieus seems imperative, particularly when people with the acumen and aptitude for two very distinct walks of life are so highly coveted.

## The Need for Leadership Development

> *The most important thing to understand about great leadership development is that it is not a program. Great leadership development is a strategy and culture.*
> — (Freifeld, para. 3)

Leadership development is considered critical to organizational success in that it defines goals, expectations, competencies, and capabilities for the both the organization and its leaders (Freifeld, 2012). However, to define said goals, expectations, competencies, and capabilities, one must be cognizant of developmental processes and characteristics. For instance, Day (2000) posits a differentiation in terms of developmental approaches, contending that effective leadership actually stems from two components: Leader Development and Leadership Development.

According to Day (2000), leader development is intrapersonal, and focuses on an individual's capacity to participate in leading-following processes. Leader development can be viewed as a "purposeful investment in human capital"; that is to say, the individual's value, worth, and/or cost to their parent organization (Braun et al. 2009; Day, 2000; DeRue & Myers, 2014; Lepak & Snell, 1999). The emphasis of this developmental approach is the presumption that the acquisition of knowledge, skills, and abilities often associated with leadership (i.e., self-awareness, self-regulation, and self-motivation) will culminate in effective leadership practice (Day, 2000; DeRue & Myers, 2014).

Leadership development, on the other hand, is interpersonal as it is concerned with social capital — the building of networked relationships among individuals that enhance cooperation and resource exchange (Burt, 1993; Day, 2000). Thereby, leadership development could be defined as the collective capacity of organizational members to engage effectively in organizational roles and processes, thus enabling them to work together in meaningful ways, to anticipate and learn their way out of unforeseen challenges and problems (Day, 2000). Put differently, it is the building of mutual commitments and interpersonal relationships necessary for leading-following processes to unfold effectively within a given social context (DeRue & Myers, 2014).

As alluded to earlier, the contemporary organizational landscape often finds leaders needing to demonstrate both traditional leadership behaviors and managerial ones. As such, it is also important to underline the distinguishing characteristics of both manager development and management development.

As previously mentioned, management is considered to be about coping with complexity, providing direction, and achieving order and balance. In turn, managers concentrate on task-oriented functions such as planning, organizing, and controlling. This suggests that management is performance-oriented, and that management development would then be concerned with education and training applicable to seeing that task-oriented duties are carried out. Meaning, managers must acquire the knowledge, skills, and abilities vital to enhance task performance (Day, 2000). Moreover, as leadership tends to correspond to group processes — wherein organizational members must work as a collective — management processes are often individualistic, and regarded as position and organization specific (Day, 2000; Keys & Wolfe, 1998). Although managers share the same common objectives as leaders — achieving organizational goals and mission fulfillment — the premise of management being position specific implies that a manager's focus is only on immediate concerns, priorities, and select individuals, as opposed to the entire entity. Furthermore, management development differs somewhat from leadership development in that it provides relevant application of proven solutions to known problems (Day, 2000). Whereas leadership may involve conception of solutions and devices necessary for change and goal attainment, managers simply rely on "tried-and-true" methodologies to push forward and maintain momentum.

Delineation of developmental processes regarding leaders and leadership, as well as managers and management, is meaningful as it affects how those in leadership positions are groomed. This holds particularly true when discussing the fields of higher education and the performing arts. Due to the previously described innate complexities of both fields, the development of leaders in both fields must not only entail a great number of job specific criteria, it must also take into account correspondent organizational and field distinctions.

Through highlighting the various idiosyncratic dilemmas faced by the fields of higher education and the performing arts, it could be deduced that the current state of affairs is unenviable, and in desperate need of reform. Seeing that higher education and the performing arts share similar plights — as they both struggle to find and maintain suitable leadership candidates — it would seem that both fields might benefit from implementation of an internalized leadership development plan. Taking into consideration the diverse attributes of both fields, alongside firm leadership and management overlap, one can only imagine the scale of challenges and pressures leaders in higher education performing arts programs must endure. Consequently, these leaders are frequently asked to meet demands that are not plausible, and expectations that are exceedingly high and borderline improbable. For this reason, the call for legitimate — and perhaps singular — leadership development seems needful. In response to this call, the Association for Theatre in Higher Education (ATHE) Leadership Institute was founded.

## The ATHE Leadership Institute

> *The Leadership Institute is built around an explicit philosophy of "lead from where you are."* — The ATHE Leadership Institute

The ATHE Leadership Institute has a long-standing tradition of providing professional development opportunities for performing arts faculty, most notably as they prepare for leadership roles in higher education ("ATHE Leadership Institute," n.d.). Established in 2000 by co-founders Mark Heckler, president of Valparaiso University, and Barbara Korner, dean of the Penn State College of Arts and Architecture, the Leadership Institute (LI) has helped more than 250 academic leaders of higher education theatre and fine arts programs gain the confidence, influence, skills and agency required for effective leadership service within their home institutions. The arts — more specifically, the performing arts — are unfortunately often regarded as marginal. This is particularly true in the field of education, where the arts are time and again not given much thought and consideration by those extraneous to the discipline(s)—especially when money is tight and there are competing priorities (Cherbo & Wyszomirski, 2000; Kaddar, 2009). Therefore, the arts tend to be undervalued, and educational leadership positions held by artists are seemingly far and few in between. Kaddar (2009) purports "this is assumed to be indicative of the capacities of performing artists to lead outside their field" (p. 57). In attempts to shine a light on this glaring misconception, as well as to afford change in response to existing ideologies, the LI seeks to develop higher education leaders at the upper reaches of administration — such as deans, provosts, and presidents — who come from theatre and performing arts backgrounds. Moreover, as higher education and the performing arts are both undergoing massive — and very similar — shifts in how they sustain viability, it is important to see more imaginative leaders emerge from the arts and end up in those echelons.

The most common and directly targeted layer of leadership for the LI is department chairpersons and theater department directors. In most instances, LI participants tend to be faculty thinking about leadership and leadership roles, or individuals who have recently taken on leadership roles in directorial and/or chairperson capacities. And while the LI is primarily geared toward theatre artisans, it is open to individuals with backgrounds in dance, film, music, and even architecture. Candidates for participation in the LI are chosen through a nomination process. The process requires someone in an administrative role—usually a dean, or chair — to submit an application. The LI asks that all proposals speak directly to a nominee's leadership interest, potential, or experience. Additionally, the application should also contain ample reasoning as to why the nominee would benefit from participating in the LI. Most nominees are accepted, as the LI tries to encourage leadership across the arts continuum. However, applicants within the first couple of years of their higher education life—particularly those in tenure track positions — are typically discouraged from participating as they are considered too early in their career arc to tackle leadership responsibilities. Once accepted, first time participants can expect help with adjusting to their new positions, and a guided hand through the unfamiliar experience. The LI tends to take on a more profound position for returnees however, as the individual foci become broader and specialized to match each participant's particular station.

The LI adopts a two-pronged approach to its mission. Annually, participants and institutional leaders converge over a three-day period in which they take part in a series of lectures, workshops, clinics, round-table discussions, focus groups, and engagement sessions. Presentation material and programming covers a wide array of themes and topics applicable to the challenges experienced by leaders in higher education. Subject concentration often covers issues pertaining to labor; equity; inclusion; fund-raising and development; admissions, recruitment and retention; and relationship building amongst departmental faculty. As discussed previously, the performing arts alone present a rather unique set of challenges and obstacles. In an educational context, it is imperative that these challenges work congruously with institutional objectives. Therefore, LI presentation topics also tend to address matters typically encountered by professional artists and managers. Some of the subjects explored include producing, artistic direction, entrepreneurship, stakeholder interest, and effective civic engagement /practice.

Additionally, all LI presenters and speakers — as well as advisory board members — are nationally recognized, higher education and industry leaders, and include a wealth of well-experienced presidents, provosts, deans, chairs, and other executives who may lend their expertise to the mission.

Appropriately, the annual colloquium begins with a session entitled "A Framework for Values-Based Leadership" (Astin & Astin, 2000: Pinholster, 2017). As discussed earlier, Astin & Astin (2000) propose that leadership is value-laden, particularly in education, where values underlie virtually all educational decisions. More specifically, they explain:

> *The value ends of leadership should be to enhance equity, social justice, and the quality of life; to expand access and opportunity; to encourage respect for difference and diversity; to strengthen democracy, civic life, and civic responsibility; and to promote cultural enrichment, creative expression, intellectual honesty, the advancement of knowledge, and personal freedom coupled with social responsibility* (Astin & Astin, 2000, p. 11).

As such, LI participants investigate their virtues through in-depth examination of their values in addition to the values of the field/discipline, and the values of their respective programs, departments, and home institutions. This is intended to provide for them a deeper, contextual understanding of leadership from those various paradigms. Simply put, it helps participants think outside the box, see the big picture, and more efficiently pinpoint and outline their leadership goals.

All institutional programming is designed to provide participants the opportunity for social exchange amongst peers and professionals alike. Participants are encouraged to share ideas and best practices, while forming strategic partnerships and building networks.

While round-tables, lectures, and focus groups prove useful, the heart of the LI — the second prong of the approach — is found in the form of a mentoring program. According to Jacob Pinholster (2017), co-director of the LI, the mentoring program is the centerpiece of the LI's function and mission, as he considers the mentor/mentee relationship to be the most valuable aspect of the program. He explicitly states that the "mentor/mentee matching process is the most important thing we do" (J. Pinholster, personal communication, March 27, 2017). Mentors for the program are selected with regard to a pair of distinct criteria. First, mentors are chosen based upon diversity and inclusion. The LI tries to wield an honorable cross-section of gender balance, cultural backgrounds, and geographic dispersion. Likewise, they also strive for institutional diversity as community colleges, research universities, private colleges, et cetera vary in both structure and administrative operations/policies. Second, the LI strives to match those parameters to participants (mentees) in manners suitable for acquisition of useful perspectives from inside their own context, as well as from within their own identities and histories. Further, as is true of presenters and advisory board members, all mentors for the LI are well-established higher education leaders and administrators holding positions such as that of a president, provost, dean, or chair.

The career development coaching process begins for participants when they meet their mentors on day one of the institute to explore personal mission statements, formularize career objectives, address challenges and opportunities, and develop action plans appropriate to the mentee's circumstances. Over the course of the three-day assemblage, mentor/mentee dialogue is extended as the duo continues to gather insight and refine their action plans. At the end of convocation, the pair embarks on a yearlong venture in which the mentor keeps track of the mentees development, often playing the role of both a foil and a confident as they assist the mentee in navigating their way through the rest of the developmental process. However, for many, the bond that is formed between the mentor and mentee lives far beyond the prescribed one-year time span, as the connections that are created are often the most vital aspect of the working relationship.

## Analysis and Findings

As previously discussed, the fields of higher education and the performing arts both pose an array of unique challenges singly. However, when combined the effects are further amplified. Acknowledgment of this distinct phenomenon, and otherwise niche subsets, is notable. Likewise, the establishment of a system outfitted to provide support, education, and training for leaders within the more specific subset of higher education performing arts is unique, as the LI brings innovation and opportunity to an often undervalued and overlooked sector. Upon careful examination of the ATHE Leadership Institute and its structure, core values, and organizational mission, it can be concluded that the LI is a significant piece to a most complicated puzzle. Nevertheless, the LI is not perfect and it could raise esteem with minor refinement.

## Strengths

**Mentorship.** Above all, the crowning component of the LI is the mentoring program. Research has shown that mentoring is considered to be one of the most effective forms of leadership development available to those in executive positions, as it proposes that both individual and relational lenses are essential to the developmental process (Day, 2000; Giber, Lam, Goldsmith, & Bourke, 2009; Greenberg, 2011). Leadership is said to be a highly complex process of reciprocal interaction between a designated leader and the social/organizational environment in service of accomplishing a collective goal (Astin & Astin, 2000; Day, 2000; DeRue & Myers, 2014; Fiedler, 1996). In that regard, it can be suggested that everyone is a leader, or a potential leader, and that leadership is a group process conceptualized as an effect rather than a cause (Astin & Astin, 2000; Day, 2000; Drath, 1998). Simply put, everyone can contribute to helping others reach their potential and in furthering the cause. Individuals with little-to-no experience often need guidance and a helping hand in building confidence, understanding, and the tools required to perform effectively. Therefore, having a mentor can be extremely valuable, especially to someone entering into a different position. Since mentors are largely well versed and highly experienced people, they can provide mentees with insight, support, wisdom, and advice beneficial to successful career development. Furthermore, a working relationship built on mutual respect, trust, shared values, and sound communication is established (Chopra & Saint, 2017). With a sampling of strategic and social interchange, potential leaders can develop into actual leaders.

However, it is important to note that mentorships are typically established within organizations. Considering this, the LI mentoring program is in many ways more representative of executive coaching, as coaching tends to utilize outside sources. Executive coaching can be understood as a helping relationship formed between a client who has leadership, managerial, or supervisory authority and responsibility in an organization, and a coach who uses a range of cognitive and behavioral techniques in order to help the client achieve a mutually defined set of goals with the aim of improving his or her leadership skills, professional performance and satisfaction, and the wellbeing and effectiveness of the organization (Grant, 2013; Kilburg, 2007; Secore, 2017; Stevenson, n.d.). Once again, the relationship formed between the coach and coachee plays a key role in the leadership development process. Grant (2013) best summarizes this when he postulates:

> *The coaching relationship is one in which the coach and coachee form a collaborative working alliance, articulate goals, and develop specific action steps designed to facilitate goal attainment. The coachee's responsibility is to enact the action steps. The coach's role is to help keep the coachee on track, helping them to monitor and evaluate progress over time, as well as providing an intellectual foil for brainstorming and facilitating the process of examining issues from a range of different perspectives* (p. 261).

In other words, an executive coach draws out a positive leadership presence by helping to eliminate barriers for effective performance, while also inspiring individuals to learn for themselves how to set and attain meaningful goals, improve their capabilities, and be accountable for the results (Secore, 2017; Stevenson, n.d.; Tkacyk, 2016).

Regardless of the applied approach to individualized relationship formation within in the LI, the very existence of these relationships is a step in the right direction toward serviceable leadership development. Likewise, Thompson (2010) states, "A mentor's job is to foster one-to-one relationships that challenge people to rise to higher levels of competence and responsibility" (para. 1). However, Stein (as cited in Volz, 2007) counters, "Managers on-the-job don't always have the time to give one-on-one training to their subordinates or to each other," further suggesting that a "multi-level mentoring program will help supplement the training that entry and mid-level managers get on-the-job" (para. 30). In the end, the LI appears to have it covered.

**Transformation.** Historically, one of the most commonly employed leadership styles found in institutions of higher education was the traditional "authority and power/command and control" approach often associated with hierarchy culture (Arsenault, 2007; Astin & Astin, 2000; Black, 2015; Davis, 2012; Greenberg, 2011). This may have been effective in the past as "teacher-centered approaches tend to equate to this top-down, autocratic view of leadership" (Amey, 2006; Black, 2015, p. 56). However, as pointed out earlier, the higher education landscape has experienced a rather dynamic shift in recent years, as globalization, increased competition, and fiscal afflictions have led to a more user-driven environment (Black, 2015). Concurringly, Davis (2012) affirms, "effective leadership at the university level often points away from acting as an authoritarian and utilizes more transformational styles that include collaboration and mentorship" (p. 2). To this extent, a compulsory more transformative and fresh leadership model emerged — one that was increasingly student/learner-centered and entrepreneurial in mindset (Amey, 2006; Arsenault, 2007; Astin & Astin, 2000; Black, 2015). At its core, transformational leadership places a spotlight on human interaction, as it is typically concerned with emotions, values, standards, ethics, long-term goals, and long-range thinking (Black, 2015; Kubler & Sayers, 2010; Northouse, 2016). Considering that higher education is rooted in human interaction, it is befitting that the transformational leadership style has become its bailiwick (Astin & Astin, 2000; Black, 2015; Davis, 2012; Greenberg, 2011; Kubler & Sayers, 2010).

Here, the LI mentoring program again comes to the forefront as it ostensibly epitomizes this approach to leadership. In many respects, the LI pulls double duty as it encapsulates a transformative approach to leadership development, while exhibiting and utilizing transformational leadership characteristics. For example, transformational leadership is concerned with improving the performance of followers and developing followers to their fullest potential (Avolio, 1999). So too are the mentors and leaders of the LI. Further still, transformational leadership raises followers' levels of consciousness about the importance and value of specified and idealized goals; gets followers to transcend their own self-interest for the sake of the team or organization; and moves followers to address higher-level needs (Bass, 1985; Northouse, 2016; Vann, Coleman, & Simpson, 2014). This is not only a key objective of the LI and its mentoring program, it is also an apt description of what those in higher education leadership capacities are often deputed to do. Furthermore, Northouse (2016) asserts, "followers and leaders are inextricably bound together in the transformation process" (p. 162). As much can be said about the LI mentoring program, as mentors and mentees work together over an extended duration to facilitate progress and ensure that individualized professional (and personal) growth has been achieved. Lastly, in addressing a broad range of topics applicable to both leadership and management concerns, the LI provides its participants with a springboard toward building awareness and achieving mastery as they canvass new occupational territories and grow into their positions. In essence, it attempts to equip mentees with the knowledge, skills, and abilities required for change.

**Networking.** Networks are the patterns of interpersonal relationships among a set of people (Carter, DeChurch, Braun, & Contractor, 2015). Networks are essential to effective leadership development as they help break down barriers that otherwise prevent the flow of communication. By eliminating obstacles and inspiring open discourse, networking enables people to make connections to others to whom they can turn to for information, resources, and problem-solving (Greenberg, 2011). Day (2000) contends that networking is an investment in social capital because it encourages individuals to form commitments with others outside of their own organization. Thereby, exposing them to others' thinking and challenging the basic assumptions about what they think they know (Day, 2000). Hoppe and Reinelt (2010) concisely illustrate networking importance when they state, "Leadership networks provide resources and support for leaders, and increase the scope and scale of impact leaders can have individually and collectively" (p. 600).

From beginning to end, the entire concept of the LI is anchored in networking, as the LI strategically — and advantageously — positions attendees so they can actively participate in networking. More importantly, it provides a framework for network building — and as the network grows, so do the benefits. The interconnected grid affects everyone from the leaders, mentors, board members, and presenters of the LI to the home institutions and organizations of everyone involved, building an impressive investment on social capital.

## Limitations and Recommendation

As stated previously, the LI is not perfect. And while the LI boasts numerous positive features, the one area it falls short is in its lack of supporting empirical evidence. According to the National Institutes of Health (NIH, 2008), "Good record keeping is necessary for data analysis, publication, collaboration, peer review, and other research activities" (p. 2). Currently, neither the ATHE nor its LI component keeps a formal footprint of institutional results. This lack of record keeping could prove detrimental, as data collection and analysis could be useful to the LI for a variety of reasons.

First, through collection and analysis, both the ATHE and the LI could arrive at currently absent conclusions. Thus, collected information could identify insights critical for improvement and change initiation. Moreover, these conclusions could also predict future outcomes and enhance expectations. However, without this knowledge, the LI risks becoming stale and rote.

Second, the information gathered could be useful for communication and brainstorming amongst the collective unit. That is to say, the institute's leaders, board members, presenters, mentors, and mentees could all use the information to better address and implement institutional objectives. This may open up new doors and possibilities for all involved.

Third, comprehensive data collection and analysis could allow for installation of quality control. By having concrete data and information, the LI could conceivably mitigate any obvious bias in their favor. At present, beyond a number of repeat customers and a handful of testimonials, the LI has no real evidence promoting its efficacy. For this reason, the institute could conceivably become ineffective and misguided. With no practical supporting claims, losing touch with itself, its constituents, and the field(s) in which it serves is a distinct possibility. Therefore, empirical data could help allay stubbornness, clouded judgment, and prejudiced opinion from within the ranks.

Lastly, an empirical showing could be advantageous for growth and expansion, as well as for marketing purposes. As just mentioned, aside from returning participants and a smattering of endorsements, the LI simply has no proof that it works. And while returning participants are undoubtedly a testament to the LI's merit, the LI should still invest in fact-finding and tracking of mentee progresses. Likewise, it should also follow-up on mentor/mentee relationships, as firsthand account is always the best way to obtain information. It is safe to assume that potential mentees, mentors, presenters, and other ATHE affiliates would appreciate having tangible information before committing to the cause. Similarly, it is probably safe to assume that ATHE sponsors and public relations officials would like something definitive to sell. Likewise, it is also acceptable to believe that outside organizations — such as search firms, associations, performing arts entities, institutions of higher education, and other leadership-based bodies — would appreciate knowing the effectiveness of the LI, as they may be interested in nominating candidates, and/or becoming involved with the institute. Success stories of past participants, and documented accounts of formalized action that may have occurred as a direct result of

LI participation — such as departmental makeovers and institutional advances — would not only furnish proof of efficaciousness, it would be public-relations gold.

As the LI is currently restricted by its own efforts, it would behoove them to reconsider their outcome strategies. In particular, proper attention should be given to the "pre and post" components of the institute — perhaps in the form of quantitative t-testing, or by way of survey instruments — as the attainment of quality data is likely to come from those two areas. The only way the LI can gauge their own effectiveness, as well as further their agenda and purpose, is to provide empirical data vital to legitimacy and substantiality.

## Summary, Discussion, and Implications

Whether in higher education or the performing arts, there is an existent need to have effectual leaders in place. This is especially true for those in higher education performing arts. However, in a modern, toilsome, and fickle economic, political, and social climate, organizational leaders can no longer simply be appointed in a "first among equals" manner (Black, 2015; Davies, Hides, & Casey, 2001). Amey (2006) implores, "there is little doubt that the leaders who are needed to guide postsecondary institutions in tomorrow's complex environments have to think about their work differently than did their predecessors" (p. 58). For that reason, leaders must be cultivated to engage in outward thinking to enable them to embrace challenges and provide innovate solutions to unforeseen problems. Rather than asking, "How can I be an effective leader?" one should really be probing, "How can I participate productively in the leadership process?" (Day, 2000, p. 605).

There is no guidebook or list of competencies prescribing an exact means for leadership performance. Nor can one just "do leadership" (Black, 2015). Therefore, the need for effective leadership development conducive to the complexities and complications inherent in these fields has become a priority. Recognizing this, the Association for Theatre in Higher Education (ATHE) Leadership Institute (LI) offers a unique opportunity geared toward developing the next generation of higher education arts leaders. Through mentoring, transformation, and networking, the LI is designed with an understanding that the theoretical and practical knowledge requisite for the field should rightly be reflected in the preparation and training it provides (Kaddar, 2009). As Fiedler (1996) posits, "We cannot make leaders more intelligent or more creative, but we can design situations that allow leaders to utilize their intellectual abilities, expertise, and experience more effectively" (p. 249). And for all practical purposes, the LI fulfills this obligation. However, concern exists as the LI does not conduct data collection exercises, nor do they employ an apparatus for self-assessment. Future implementation of such research methodologies and devices could greatly enhance the overall effectiveness and validity of the LI, thus broadening their capabilities and marketability.

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# Value Congruence Among Transformative Leaders in the Pharmaceutical Industry

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***Abstract***

*Values have been defined as a generalized enduring organization of beliefs about the personal and social desirability of modes of conduct or "end-states of existence" (Klende, 2005). The congruence of personal values and organizational values represent an important opportunity for positive business results and outcomes (Klende, 2005). Based on the results of this qualitative study among transformative African American women leaders in the pharmaceutical industry, it is possible that value congruence may be a factor in the success experienced by these study participants. Three value themes are reported to describe the leadership values of these study participants. They are: "people," "think," and "company." These value themes are supportive of tenets that comprise the transformative leadership model.*

## Introduction

Leaders have the ability to communicate vision as well as model openness, risk taking, and reflection. They recognize that colleagues will inevitably be challenged by risk aversion, excessive demands, and slower-than-desirable rates of change (Herbert, 2015). Leaders provide support and advocacy for others. They inspire followers to embrace a common vision while concomitantly appreciating diversity of opinions. Within an organization, leaders possess certain shared core values: social responsibility, equity, and commitment to change (Herbert, 2015).

## Values and Value Congruence

Values serve as a foundational influence of behavior, action, and decision-making (Miller-Stevens, et al 2015). Organizational values are viewed as the standard by which decisions can be prioritized and opportunities evaluated. Values have been defined as a generalized, enduring organization of beliefs about the personal and social desirability of modes of conduct or "end-states" of "existence" (Klenke, 2005). This includes both recognition and an understanding of how values impact day-to-day decisions (Klende, 2005).

Individual behavior related to decision-making can be influenced by a desire for value congruence. Individuals may seek decisions that illustrate and are reflective of their own values and beliefs. Similar approaches to achieve and support value congruence can be found between individuals and organizations (Hosack & Paradice, 2014).

Congruence of values held by individuals and values held by an organization represents the opportunity for positive results (Klenke, 2005):

> *Value congruence predictable produces positive outcomes and affect that will result when an individual's values are congruent with those of other persons or entities (i.e., supervisor or an organization) .... Value congruence enhances organizational climate and culture. In organizations where employees and managers share similar values, strong corporate cultures evolve driven by the organization's mission and vision* (Klenke, 2005, p. 61).

Additionally, value congruence has been credited with providing teams with a context for motivation, information-sharing, and innovation in addition to constructive evaluation (Mitchell et al, 2012).

## Transformative Leadership

Caldwell (2012), defines transformative leadership as "an ethically based leadership model that integrates a commitment to values and outcomes by optimizing the long-term interest of stakeholders and society and honoring the moral duties owned by organizations to their stakeholders" (Caldwell et al, 2012, p. 176). Beliefs and values serve both as a foundational element of an individual transformative leader's identity and as an important consideration with respect to advocacy and the demonstration of moral courage (Shields, 2011).

There are *seven tenets* that represent the core components of transformative leadership: 1) acknowledgement of power and privilege and its impact both individually and organizationally from a broader societal view; 2) organizational focus on purposes that are related to equity, excellence, public and private good, along with individual and collective advancement; 3) deconstructing and reconstructing knowledge frameworks; 4) balancing critique and promise; 5) bringing about deep and equitable change; 6) working toward transformation; and 7) demonstration of moral courage and activism.

It is tenet 7 that requires the transformative leader to possess a clear sense of self, and an understanding of his/her beliefs and values (Shields, 2011). It is also this tenet that recognizes the dichotomy that transformative leaders may need to address to ensure their ability to be impactful through the challenging of traditional norms and the construction of alliances within a dominate power structure (Shields, 2011). This tenet highlights the transformative leader's ability to leverage thinking, collaboration, and the need to act with integrity and purpose.

Operating in a completely transformative way may result in isolation or rejection for the leader. Transformative leaders may, in fact, experience a dilemma in that they may find themselves associated with the dominant structure of authority and power while simultaneously needing to reach beyond and challenge traditional norms to take risks and build alliances in order to advocate for those that are under-represented (Shields, 2011). At the same time, the success of the transformative leader within a given organization likely requires an understanding of the organization's power structure as described in tenet 1 (acknowledgement of power and privilege and its impact) its purpose and goals as described in tenet 2 (organizational focus on purposes).

## Methodology

Eight transformative African American women leaders in the pharmaceutical industry participated in this qualitative study. Semi-structured interviews were conducted to gather data regarding their experiences as leaders within the industry, as well as strategies and behaviors that contributed to their success therein. Participants were specifically asked to describe their leadership values.

The text from individual participant responses was aggregated and a content analysis was conducted using NVivo software. A minimum word length of 5 characters was set for words to be included in the text analysis (Stetz, 2012). A word cloud, the visual represention of text (Roderer, 2012), was created for the aggregated text of responses. Word clouds are used in qualitative data analysis to help focus researchers on the important concepts identified by research participants and can serve as indicators for future research (DePaolo & Wilkinson, 2014).

Value themes were determined from the content analysis. In keeping with the practice of hypothesis coding in which predetermined, researcher-generated codes are applied to data, text from participants' responses was coded using predetermined codes. This is an appropriate approach to content analysis and analytical induction of qualitative data (Saldana, 2013). Verbatims were used to demonstrate and support the value themes (Moustakas, 1994). The practice in which paragraph-length quotations as well as embedded quotations gives voice to the participants in the study (Creswell, 2013). The data was triangulated with the use of interview transcripts, interview audio tapes, and field notes.

## Findings

Participants in the study all held leadership positions as defined by Northouse (2013); the process used to influence a group of individuals in reaching a goal. All illustrated tenets of transformative leadership. The approximated number of years participants had been employed in the pharmaceutical industry ranged from 10–28. Participants represented multiple functional areas. Titles of participants included vice president, director, and manager. To maintain confidentiality participants, will be referred to as participants A, B, C, D, E, F, G, and H.

Based on the content analysis, three value themes regarding particpant values emerged. They are:

- Value theme 1 – "people"
- Value theme 2 - "think"
- Value theme 3 - "company"

*Table 1* provides a list of the most freqently mentioned words in the aggregated response of participants when asked about their leadership values. Each word listed in the table was mentioned at least 10 times by the study participants.

***Table 1*: Fifty Most Frequently Mentioned Words – All Participants**

| *Word* | *# of Mentions* | *Word* | *# of Mentions* | *Word* | *# of Mentions* |
|---|---|---|---|---|---|
| *people* | 75 | *words* | 17 | *opportunity* | 13 |
| *think* | 59 | *balanced* | 17 | *allow* | 12 |
| *company* | 45 | *managing* | 17 | *skill* | 12 |
| *really* | 43 | *definitely* | 16 | *transparency* | 12 |
| *values* | 42 | *integrity* | 16 | *world* | 12 |
| *things* | 27 | *major* | 16 | *better* | 11 |
| *needs* | 24 | *means* | 16 | *helping* | 11 |
| *pharmaceutical* | 23 | *business* | 15 | *example* | 11 |
| *different* | 21 | *might* | 15 | *learn* | 11 |
| *group* | 21 | *someone* | 15 | *around* | 10 |
| *change* | 20 | *patient* | 14 | *church* | 10 |
| *leader* | 20 | *another* | 14 | *customer* | 10 |
| *leadership* | 20 | *coming* | 14 | *expectations* | 10 |
| *level* | 20 | *genuine* | 14 | *great* | 10 |
| *right* | 20 | *person* | 14 | *higher* | 10 |
| *going* | 18 | *probably* | 14 | *makes* | 10 |
| *still* | 17 | *maybe* | 13 | | |

*Figure 1* provides a graphical representation of the most freqently mentioned words in the aggregated responses of participants:

"People" is the word mentioned most frequently with "People" is the word mentioned most frequently with 75 occurances. The next most frequently mentioned words are "think," "company," "really," and "values." Each of these words was mentioned at least 40 times by participants. Note that a review of the transcripts support participants' use of the word "really" for emphasis and assertion within the text. The number of mentions of "values" totaled 42. Additionally, it is important to recognize that the summation of mentions for both "leader" and "leadership" totaled 40. Given that comments related to both "leader/leadership" and "values" permeate throughout the discussion of each of the three value themes ("people," "thnk," and "company"), they have not been highlighted specifically as value themes or sub-themes.

An analysis of the remaining text resulted in the emergence of the following sub-themes: "pharmaceutical [industry]/business [knowledge]" (38 mentions), "right/integrity" (36 mentions), "genuineness/transparency" (26 mentions), "patient/customer" (24 mentions), and "change" (20 mentions). Sub-themes and their presence in the three value themes are summarized in *Table 2*.

***Table 2*: Summary of Value Themes and Sub-themes**

| | *Value theme* | | |
|---|---|---|---|
| *Sub-Theme* | People | Think | Company |
| *Pharmaceutical [industry]/business [knowledge] (38 mentions)* | | X | X |
| *Right/integrity (36 mentions)* | X | | |
| *Genuineness/transparency (26 mentions)* | X | | |
| *Patient/customer (24 mentions)* | | X | |
| *Change (20 mentions)* | X | X | X |

## Value Theme 1: *People*

The sub-themes related to the "people" theme include right/integrity (36 mentions), genuineness/transparency (26 mentions), and change (20 mentions). Participants discussed their intent to provide not only leadership that illustrates transpency and integrity, but that also credits them as leaders as providing decisions and recommendations.

> *I try to stay true to myself. I try to stay true to what I believe in. And when I say that, it's that I try not to waiver with what the situation is — even though I would say that I am a situational leader and I know how to approach various situations—adapting what I provide and how I provide whatever guidance, information … but it's still with my filter, it's still with my style* (Participant A, personal communication, June 20, 2013).

> *I hope people see in me as a leader, is someone who's honest and transparent, someone who's practical and right. … That I'm giving competent advice that takes into account the pros and the cons and ends up in the right place* (Participant C, personal communication, June 22, 2013).

> *One of the things that I've always been clear about is that I'm ethical; don't ask me to do anything unethical. If you discuss it with me and I'm put in a situation and I'm asked*

> *questions, I'm going to be truthful. So, I'm very transparent about* (Participant H, personal communication, July 9, 2013).

The responsibility of a leader to act as a motivating and inspiring cataylst for individuals is highlighted by Participant B.

> *I think that as a leader, it's our responsibility to inspire people to motivate them to do great things, to encourage them. I would say inspirational. I would say analytical, but maybe strategic or analytical is a piece of it as well. I have a desire to think not just how to solve these problems, but to really root out the underlying opportunity, and to make a strategic decisions that actually have some long-term consequences* (Participant B, personal communication, June 21, 2013).

## Value Theme 2: *Think*

This value theme highlights the requirement for leaders to consider alternative views in the context of business objectives and a changing environment. The sub-themes related to the "think" theme include pharmaceutical [industry]/business (38 mentions), patient/customer (24 mentions), and change (20 mentions).

> *Because the world changes around us and we cannot be stagnant in one place, we need to change with the world as it changes. Whether that's acceptance of the millennial generation or greater diversity in the workforce or if it is the more use of technology, we've got to continuously learn and that is what I think makes us stronger leaders* (Participant F, personal communication, June 25, 2013).

> *Innovation — people don't talk about that as a leadership skill, but it really is. You have to be innovative to motivate the sites, to motivate your team, to think of new ideas, things that haven't been done before because the world changes, we kind of have to change with it and we don't always keep up* (Participant D, personal communication, June 22, 2013).

Additionally, the ability to connect various aspects of the business to arrive at well thought- out conclusions and recommendations is emphasized. It is this ability to synthisize information and to embrace continuous learning and a collaborative approach to problems and opportunites that represents the critical thinking requirement for transformative leadership. "You can't just come to the job every day; you have to understand 'how does it work?' How does this intersect and interface with this to really get those long-term results for the organization?" (Participant H, personal communication, July 9, 2013).

Participant A states that an important part of her value set includes:

> *Helping [others] to understand what the physician needs to help that patient more, and/or that staff member, to then help that patient. It really is keeping patients in the forefront so that way we see it from the physician's perspective versus our business, pharmaceutical business perspective* (Participant A, personal communication, June 20, 2013).

Participant H makes the additional point that acting with integrity and authenticity can result in the leader assuming the role of change agent within the organization.

> *Sometimes you can be a change agent and not realize you are the change agent. Just because you are that credible person and people know that you're not going to do some fly-by-night something and that you're true to self. Something that minor you would think, but I mean just things like that, you've got to live who you are. I mean again, when you see me on the street or you see me here, I'm the same person. I mean I don't change, it's too hard* (Participant H, personal communication, July 9, 2013).

## Value Theme 3: *Company*

Sub themes related to the "company" value theme include "pharmaceutical [industry]/business [knowledge]" (38 mentions), and "change" (20 mentions). Participants highlighted the importance of the alignment of their work and values as leaders with the work that is done within their organization or departments as well as how the work is done.

Participant G indicates that the behaviors and the approaches used by her team for completing their work is as important as the organizational hierarchy.

> *The mission of this team is to build the business solutions that reflect the things that this company, this employer either must do, because of regulation, or should do because of the desire to really create [the company] as an optimal working environment. We all have a critical contribution that needs to be made in order for us to be delivering optimally as a group. … No one person has any higher-level status than another. I'm not very status conscious at all…just make sure that how you get it [work] done is aligned with the behaviors of the company* (Participant G, personal communication, July 2, 2013).

Within the theme of "company," participants' responses also highlight the importance of value congruence. The alignment of their personal values with those of their organizations represent an important component of the themes highlighted by participants. Participant F makes the point regarding the alignment of individual and organizational values. "If I would look at the values that our organization espouses, they would square up with mine; they wouldn't be the same words, but they would definitely fit along with those" (Participant F, personal communication, June 25, 2013).

As leaders within their organizations, they indicate a connection to the purpose of their work. Additionally, their role in shaping the organization's culture is noted.

> *So, I've gotten a lot of satisfaction out of my leadership experience because I feel like I've been able to do a lot to grow the business, to grow and develop my people, and to really shape the corporate culture. That's a very satisfying part of my job* (Participant B, personal communication, June 21, 2013).

## Conclusion

The results of this study among transformative African American women leaders in the pharmaceutical industry resulted in the identification of three value themes used to describe their leadership values. The themes were "people," "think," and "company." The presence of the following sub-themes also emerged from the data analysis: "pharmaceutical [industry]/business [knowledge]," "right/integrity," "genuineness/ transparency," the "patient/ customer," and "change." The results of this study will be of interest to leaders and those who aspire to be leaders within the pharmaceutical industry.

Value congruence between the participants' individual values and the values of their organizations was apparent. Given that each of the study participants had achieved a degree of longevity within the pharmaceutical industry and had ascended to a leadership position within their organizations, it is possible that value congruence between their individual values and those of their organizations contributed to their success in the pharmaceutical industry.

The alignment of participants' value themes of "people," "think," and "company" and the tenets of transformative leadership was also illustrated in this study; specifically, tenet 1 (acknowledging power and privilege and its impact), tenet 2 (organizational focus on purposes), and tenet 7 (demonstration of moral courage and advocacy) were apparent. It is possible that through the practice and impact of transformative leadership within the industry over time, study participants have been able to achieve value congruence. Future research may include a quantitative study of transformative leaders within the pharmaceutical industry to determine the degree of value congruence by career stage or years in the industry.

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## About the Author

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# Components of Ethical Leadership and Their Importance in Sustaining Organizations Over the Long Term


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***Abstract***

*This article identifies components of ethical leadership and then aligns them with the style of leadership that includes them. The importance of such an article comes at a time when ethical practices or lack thereof seems to be increasingly prevalent in many organizations' execution of their business practices. These organizations quite often have an ethics statement outlining required behavior of employees and tout their commitment to employees, society, and the customer, yet we continue to see major infractions of these codes of ethics. All this comes at a high financial cost to organizations. In order to avoid such fines, and damage to brand equity, we propose ethical components which must permeate the organization to ensure appropriate behavior which neither breaks legal requirements, disengages the employee, or alienates the customer.*

## Introduction

There are a number of reasons organizations behave unethically: shareholder pressure for growth, senior leadership striving to achieve its stated goals, impending financial losses, greed, and quite often ignorance. Repeatedly then, the offending organization has a well-structured and thought-out code of ethics or statement of ethics. So, what happens between this commitment to ethics and the unethical act? We propose that there is a malfunction in the ethical filter where the values espoused by the organization at the highest levels fail to filter down to those responsible for organizational functions. We further propose that quite often there is also a disconnect between senior executives and an organization's code of ethics. If the senior leadership does not subscribe to its own code of ethics, then there is little reason to expect rank and file to consistently apply uniform ethical behavior (Moccia, 2012). The result is that unethical practices happen in two forms: senior leadership actions and organizational actions. Senior leadership acts for personal gain as exhibited by the CEOs of Countrywide Financial, Tyco, and more recently Wells Fargo and HSBC. Organizational actions are calculated on the financial returns for the company after fines are factored in – settlements quite often pale in comparison to profits so the result is that there is no incentive, economically, to discontinue the offending practice. Also of note are that unethical practices and the fines which follow them are not industry specific. For example, the financial crisis of 2009 resulted in banks getting fined to the tune of $110 billion; the Volkswagen emission scandal cost $14.7 billion, while Glaxo Smith Kline has paid upwards of $7.9 billion over the past twenty years. Google and Amazon, the two major internet giants, continue to accumulate fines in the millions as well. Hence, unethical practices seem to have made their way into every facet of business almost without exception. This may be viewed as a failure of society as well as individual human failure. Or is it just that we are more aware of them now with the speed and volume of information available?[1]

## Components of Ethical Leadership

We have already outlined how unethical practices manifest themselves in all industries. Therefore, the cause of unethical leadership cannot be pinpointed at particular industries because of regulations and aggressive oversight. Rather, it is because of human actions taken either intentionally or unintentionally that did not consider the full ramifications of those actions. It is worth noting that this research uncovered no instances where unethical practices executed by a firm actually resulted in losses for that firm. In other words, companies have never suffered from their unethical practices which therefore imply that such actions are calculated towards positive returns. It is the resultant fines that ultimately hurt the company. In light of this observation, we now posit that deliberate human action through flawed leadership is the cause. And flawed leadership <u>is</u> universal.

So, now we identify the key components which can be universal in creating ethical leadership across all domains. These are the components which should inhabit the moral compass of leaders while also being at the heart of a code of ethics. Too often, these codes of ethics fail to acknowledge that doing the right thing is difficult due to particular circumstances, but to state that would give a code of ethics a face of reality. Here now, we list these ethical components:

- Gratitude
- Humility
- Justice
- Mercy and Compassion
- Prudence and Objectivity
- Magnanimity
- Integrity and Resilience

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[1] While it is not the intention of this article to vilify, it is the intention of the article to show unethical behavior is not industry specific. And while unethical practices cost organizations huge amounts in fines and reputation, it appears senior leadership will distance it from those that actually execute unethical practices and refer to these employees as “bad actors.” This attempt at a disconnect is troublesome in terms of ethical leadership.

After careful deliberation and without listing endless descriptors, we feel the above embody the characteristics and attitudes needed to effectively lead an organization in a modern world where the pressure to behave unethically abounds. Each either addresses an inward-looking character where the leader leads by example or an outward facing ethos by which employees are expected to embody. These components address the two forms of unethical practice earlier mentioned in this article: those emanating from the individual leader and those presenting throughout the organization.

### *Gratitude*

Gratitude can be defined as the thankfulness and sincere joy expressed in response to a gift or a kind (Peterson & Seligman, 2004). It is a virtue that shows great humility in interacting with people and brings the humanity into leadership as opposed to leadership being perceived merely as been a figurehead. Gratitude is an important element in developing leaders as it shows that without people leaders have no one to lead and as such it expresses thanks and appreciation to employees for their efforts. Too often employees feel they work in a vacuum and feel disjointed from their organizations and feel the need for sincerity (Beck, 2016). This gratitude, then, expressed often grows the sense of community that so many firms lack but seek. In turn, it then grows the commitment of employees to each other as individuals who work more fluidly with each other. This "community" breeds success and success grows when we appreciate what we have been given and inspires others to go out of their way to help us when needed (Gunn, 2002). Gratitude also builds loyalty and relationship continuity between employees and customers alike (Bock & Folse, 2016).

Although gratitude has been a term that fundamentally may have an association as a word with religion, research has also focused on gratitude as a personality characteristic and promotes one's internal happiness (Wood et al., 2007). So, through gratitude we increase the connectedness of employees with each other, improve performance levels (Grant & Gino, 2010), and even raise the levels of happiness and satisfaction — key ingredients all organizations seek (Fowler & Christakis 2008). But no virtue comes without challenges as research by Peterson and Seligman (2004) shows that narcissism can unhinge the practice of gratitude as individuals with narcissistic tendencies believe they are special and cannot express gratitude or appreciation to others in a genuine way.

### *Humility*

A necessary part of building trust humility consists in being aware of our limitations and reminds us to act in accordance with this fact; it is the possession of modesty and unpretentiousness and lets employees know that the leader needs them. From this, the leader builds a sense of positive hope and justice within organizational operations (Klenke, 2005). It is also perceived by employees to be a source of strength and confidence the leader has in them to perform their work duties. It is not a weak trait, though, as many consider upon first evaluation; it is a quiet, calm confidence, and admiration in the ability of others as the humble leader lacks arrogance, not aggressiveness (Doty & Gerdes, 2000). Humility also promotes a sense of reality — to accept things as they are which allows a leader to better strategize. Vera and Rodriguez-

López (2004) noted that a humble leader acknowledges limitations and mistakes, and attempts to correct them. This grounding in reality provides for better organizational planning and contributes to organizational performance through its impact on organizational learning and organizational resilience (Morris et al., 2005). Reave (2005) states that the most effective leaders are those who are humble and so not entertain the desire for prominence. A great example of this is found in the leadership of Jim Goodnight, CEO of SAS who has presided over the company since he founded it in 1965. He possesses a quiet humility, speaks of the reality of life, has grown the company into a multi-billion-dollar enterprise, and has never had cause to lay off any employees. Jeung and Hoon (2016) also indicate that humility in leadership leads to employee empowerment and efficacy, and is therefore an essential quality for successful leadership while Owens and Johnson (2013) argue that humility compensates for a lack of leadership mental ability in winning greater participation from employees in decision making. Working counter to humility leadership pride and stubbornness creates isolation and an inability to build consensus which are major leadership pitfalls (Delbecq, 1999).

### *Justice*

The word justice, derived from the Latin *iustus,* governs the behavior of individuals and makes them recognize the rights of the others. In terms of the workplace, research has shown that organizational justice is a significant predictor of work attitudes and behaviors (Wang et al., 2010). Original work by John Stacy Adams (1963) on Equity Theory also states that individuals seek equality in the workplace and compare their performance and remuneration with those of their peers. Reave (2005) notes that justice among peers is one of the highest priorities of workers as each wants to be recognized for their contribution. Justice, therefore, serves as motivation to employees as it assures high performance because the corresponding recognition and reward will ensue. The burden then, of this application of justice, rests with the leader who must administer it evenly. Moreover, proper application of fairness which promotes a sense of justice creates better workplace citizenship and transparency of individuals value (Ajala, 2016). Leaders must be careful not to exercise favoritism in social, generational, or stereotypical contexts. This sentiment of favoritism runs in opposition to justice which should be used in judging performance. Such unfair treatment can lead to employees engaging in negative and even deviant behavior in organizations (Syaebani & Sobi, 2011).

### *Mercy and Compassion*

Mercy and compassion, although perceived as religious intonations, are essential in the workplace. They represent the deep understanding a leader has of the difficulties subordinates may encounter in the execution of their duties. They embody empathy and a commitment to non-belligerence and civil behavior in the workplace. In a professional environment, exercising these virtues can present as being tough-minded on problematic issues while also being warm-hearted toward those who are causing the problem in order to address and correct behavioral problems (Gunn, 2002). In a work environment, a compassionate leader seeks the greatest good for the individual, the group, while also satisfying the mission of the organization (Briner & Pritchard, 1997). Kanov, Powley, and Walshe (2017) refer to compassion in the workplace as being courageous towards the suffering of others rather than ignoring them and that such expressions of compassion greatly improve the work environment tone for all employees.

Apathy runs against compassion and mercy because apathy denotes a lack for caring or sympathy towards others. Gemmill and Wilemon (1994) inform that a leader must have the ability to deal with unseen interpersonal and personal problems which may affect the delivery of a project while Gandossy and Sonnefeld (2005) argue that the lack of leadership involvement with employees creates a disconnect leading to “bystander apathy” on the part of the employee.

### *Prudence and Objectivity*

Prudence refers to thoughtful deliberation prior to action. The prudent leader considers the ramifications of actions on all parties involved in the search for preferred outcomes where detrimental effects are limited. Being prudent does not imply being “soft” or “slow” to action, but rather being exact and deliberate once the pre-action thought process has been complete. Research by Collins (2009) advises that prudent leadership is a vital component in building great companies. Such prudence requires intelligence, patience, shrewdness, and circumstantial under-standing. Prudence, then, must bring with it objectivity in being able to assess numerous perspectives.

Quick judgment and bias work counter to prudence and objectivity as they promote a lack of research and deliberation while including a preference for certain courses of action. Ditchkus and Sierra (2001), in studying bank loan officers’ behavior, identified how less prudent managers suffered greater loan losses as they were less conservative and thoughtful in their approach to issuing loans. This supports research by Fink (2011) which argues that prudent leadership wastes less organizational resources while McKenzie and Griwall (2011) identify how decision bias is a pitfall in developing sound decision-making processes.

### *Magnanimity*

Employees need to see models of expected behavior; they need to act in accordance with desired behavior. The magnanimous leader provides that example of character and expectation of employees. The magnanimous leader displays realistic vision, builds trust, is forgiving, recognizes achievement in subordinates, and is generous with his or her time. This, then, is a culture-creating and building-characteristic welcome in any organization. With magnanimity comes the sentiment from employees to emulate and perform for the leader. And, in the physical absence of the leader, the persistence of the leader’s magnanimity creates social capital and keeps employees focused on striving for greater goals (Amintojjar, Shekari, & Zabihi, 2015).

In opposition to magnanimity is the scarcity of the leader in providing adequate time and communication to employees. Essentially, our leader leads in absentia and the result is a lack of understanding of organizational purpose exhibited by employees.

### *Integrity and Resilience*

From the Latin word *integritas*, integrity defines the personal values which direct a leader's behavior (Peterson & Seligman, 2004). A commitment to principles, according to Azuka (2009), is what great leaders hold in common. This adherence to moral behavior is one that regardless of religious background, is respected, admired, and welcomed by employees as it denotes the expectation of fair play in all transactions. Koehn (2005) cites integrity as a business asset valued by employees in interacting with leaders. Tulberg (2012) posits that organizations that prioritize integrity create a better working environment for employees and creates a more competitive organization that values individualism. This commitment to the individual and to strong personal values, therefore, serves to ensure greater quality in terms of products and service which are valued by the customer.

In contrast to integrity, corruption works to create a dysfunctional organizational lacking in goals and employee commitment to goals.

## Inferences

While this article sought to identify components of ethical behavior, it also identified opposing forces which contribute to unethical behavior (*Figure 1*). Therefore, it also brings to light characteristics which help in the identification of unethical organizations.

***Figure 1***

| Ethical Components | | | | Unethical Forces |
|---|---|---|---|---|
| Gratitude | → | | ← | Narcissism |
| Humility | → | | ← | Pride and Stubbornness |
| Justice | → | | ← | Favoritism |
| Mercy and Compassion | → | **LEADER** | ← | Apathy |
| Prudence and Objectivity | → | | ← | Quick Judgment and Bias |
| Magnanimity | → | | ← | Scarcity |
| Integrity and Resilience | → | | ← | Corruption |

While we accept there are many traits inherent in ethical leadership, we attempted to identify those who provide example and set a tone for employees in the fulfillment of their job functions. And while we also accept that we live in a litigious society, we do not accept the position that being sued or fined is a hallmark of success. Ethical leaders are unique; they operate within a paradigm of moral behavior. This moral behavior can be used as a business asset in setting clear goals and creating a customer base that values honesty in business.

Unethical behavior costs organizations millions of dollars and euros in terms of fines and as such ethical behavior, in financial terms, makes good business sense. In a climate of budget control and cost cutting, to willingly put one's company at risk for massive fines seems ludicrous at best. Thus, a commitment to an organizational culture based on ethical behavior both internally and externally seems to be a good financial decision in securing the longevity of a firm.

## Recommended Styles of Ethical Leadership

While the practice of ethical leadership remains a challenge in a corporate setting, it remains that individuals are far less compromising on their personal ethics in daily life. Where, then, does the breakdown occur between private individual and corporate agent in the execution of ethical values? This conundrum may be explained by the abdication and forfeiting of responsibility by individuals while they are at work. Pressures created by supervisors for results, customers for preferential treatment, and co-workers for support all blur the lines of what is acceptable behavior. In a professional setting, industries are trending towards unethical — although legal — behavior known as "virtue ethics." It exists in organizations in a particular industry when they behave unethically and is accepted as the industry norm in getting business done.

In seeking to buck the trend of unethical and indeed expensive business practices, we need to identify a means by which organizations can behave in a manner similar to individual ethical practices. And while we talk of strong leadership, mission statements, and codes of ethics, it remains that many organizations guilty of unethical trade practices already have, and espouse, these values. Quite often shareholder expectations, unrealistic goals, and fear of failure are the culprits for these compromised values. A form of leadership where personal values are transmitted and expectations clearly defined in terms of acceptable behavior is clearly needed. Moreover, the type of organization where these traits can flourish may be a better indication of how ethical an organization can be. To this end, we feel that a private organization free from the pressures of board of directors and shareholders provides a good starting point in identifying ethical organizations. Such private organizations led by individuals with uncompromising core beliefs based on honesty and integrity quite often carry those dominant traits. Such organizations do not bear the shackles of having to return growth at certain rates quarter upon quarter, but rather can achieve steady, sustainable growth over the long term. And while we accept that many of the largest organizations are publicly-traded companies, we also posit that there exist many large, privately-held companies while also noting that the majority of any economy's businesses are small and privately-owned. One such large multi-billion-dollar company is SAS, a predictive analytics company, which has been privately owned since its inception in 1965. Its leader, James Goodnight, displays a set of core values which show his appreciation of, and concern for, his workforce. He is available to his workforce and all employees have a clear understanding of who he is and what he stands for which permeates all aspects of the business. This type of leadership is termed authentic leadership and is a style which we feel promotes, and expects, ethical behavior. Authentic leaders transmit to their organizations their own personal values and attributes and as such, remove all ambiguity from employees' minds of what is acceptable or unacceptable behavior. Authentic leaders preach their core values, insist on fairness and integrity, and do not tolerate deviance from the required values expected of employees. This "tough love" results in perceptions of a fair, caring, and engaged leader; it manifests itself as a no-nonsense leader who clearly defines the traits which his or her organization will assume.

A second style of leadership which would facilitate the tone of an organization expecting the best from its employees in terms of ethical behavior is that of altruistic leadership. With this form of leadership, the leader displays his or her concern for the well-being of employees. The expectation with this style of leadership is that employees experience affection from their leader; they then feel connected with him or her and in turn, exhibit the same altruistic tendencies. At the very least, employees are aware of the ethos of the leader and that unethical behavior is wholly unacceptable. Now, while this may seem as utopian leadership, it remains that customers would fully embrace doing business with a business which displays such leadership. Research in this area addresses how this form of leadership addresses organizational fit in terms of employees and how it helps employees relate to and self-identify with an organizational brand or philosophy (Lemmon & Wayne, 2015; Krog & Govender, 2015; Frey, 2017). Further research by Gotsis and Grimani (2016) indicates that this form of leadership displays inclusivity and as such, negates a sense of diversity in an organization through alignment with organizational values.

In the absence of the aforementioned leadership styles, a mechanistic approach of radical transparency may suffice. With this approach, all activities of employees are recorded and made available to all other employees. Employees who outperform using nefarious means may then have to validate their performance while legitimate high performers can share their methods for achieving success. Radical transparency, then through internal competition, can ensure employees police themselves by being aware that all performance is public and subject to scrutiny.

## Conclusion

In business, as in life, it is easy to do the right thing when it's not a challenge. However, when faced with pressures from stockholders and stakeholders in terms of increasing revenues, growing market share, remaining relevant in a competitive industry, and the increased disconnect between a leader in a large organization and employees, it is easy to see how the lines of ethical behavior and reasoning of decisions become frayed. Thus, an ethical vacuum is created in the pursuit of goals at all costs. In terms of effects on profits, any behavior then can be seen as a financial decision, a business decision validated by an increased return in revenues even at the sacrifice of a potential monetary fine. And, from this, unethical behavior creeps in and becomes the rationalized normal behavior.

We argue, however, that by establishing clear boundaries of ethical behavior and recognizing personal convictions of individuals, a climate is created whereby the organization is kept mindful of the ramifications of its actions and therefore made better as a functioning organization in terms of creativity in the delivery of products and services, respect for individuals, fostering of camaraderie among workers, retention of key employees, and the sustainability of the firm over the long term. However, for this to be achieved, it must begin with leaders being genuine and clear in the communication of their values and furthermore by also taking action and displaying the components of ethical leadership outlined in this article.

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# Transformational Leadership and Knowledge Management: Analysing the Knowledge Management Models

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*Abstract*

*The purpose of the present study is to investigate the mutual relationship between transformational leadership and knowledge management as well the potential effects of a transformational leader on his or her followers. In this paper, we review the role of transformational leadership in effective knowledge management and establish the emerging role of transformational leadership, as an ideal leadership style in building knowledge-based companies to achieve a higher degree of competitive advantage. The findings in this article are based upon previous empirical studies that illustrate the formulation of several propositions that contribute to the knowledge management processes. Our findings are based upon possible scenarios that impact transformational leadership and knowledge management using grounded theoretical research. Research limitations are twofold. One limitation is found in the prior literature indicating that past studies have posited that companies might lack the required capabilities or decide to decline from interacting with other companies (Caldwell & Ancona 1988), or even distrust sharing their knowledge (Kraut & Streeter 1995). And, second, our contribution to the literature lies in presenting a link between knowledge management and transformational leadership that incorporates the knowledge management processes that may impact the effectiveness of transformational leaders to enhance their capabilities to effectively play their roles within companies. In addition, managerial applications that may support knowledge management processes are proposed further research is necessary to finalise conclusions. The original value of this research provides an impetus of mutual interaction of knowledge management and transformational leadership.*

## Introduction

Quinn, Anderson, and Finkelstein (1998, p.182) state that the "success of a corporation lies more in its intellectual and systems capabilities than in its physical assets." Based on this argument, the resource-based approach to the firm's strategy elucidates knowledge management as a creator of value, which primarily manifests itself in improving firms' competitiveness (Meso & Smith 2000; Von Krogh, Nonaka, & Aben 2001; Chuang 2004; Malik & Malik 2008). Knowledge management has become a buzzword in business environments, and an increasing body of the management literature. Accordingly, various models have? emerged to portray the levels and interactions of knowledge within organisations. This paper critically reviews the models associated with knowledge management, which is directed at developing a better understanding about the mutual link between knowledge management and transformational leadership.

The term "transformational leadership" used to describe an inspirational role that managers can apply to enhance the organisation's intellectual capital and ultimate performance (Dvir et al., 2002; Zhu, Chew and Spangler, 2005; Nemanich & Keller, 2007; Peterson et al., 2009; Liu & Phillips, 2011). The question arises whether the effective management of organisational knowledge itself can be a source of effectiveness for transformational leaders by empowering human resource and creating new knowledge and solutions. This basic question remained unexplored since the inception of the transformational literature to date. Based upon this gap in empirical research to date, we posit that an ineffective vision and strategic plan may expose organisations to missed opportunities in international and domestic markets. Our final assumption addressed in this paper is that the crucial role of knowledge management activities, such as coordinating and creating expert groups or steering committees to share their knowledge, may be underestimated and underutilised.

## Knowledge Creation Model

Nonaka and Takeuchi (1995) propose a knowledge management model based on a basic assumption in which knowledge interacts on epistemological (i.e. individual and organisational) and ontological (i.e. tacit and explicit) dimensions. Particularly, Nonaka and Takeuchi (1995) argue that tacit and explicit interact by using four processes, including socialisation (i.e. tacit to tacit), externalisation (i.e. tacit to explicit), combination (i.e. explicit to explicit), and internalisation (i.e. explicit to tacit). Socialisation highly reflects those coaching and mentoring activities by which tacit knowledge is converted into another tacit knowledge, thereby sharing experiences gained by imitating, observing, and practicing (Nonaka and Takeuchi, 1995; Nonaka, Toyama, & Konno, 2000). Accordingly, Gharajedaghi (2006) posits that the most effective way to improve the process of socialisation is by developing workplaces which are characterised by social learning. In the externalisation process, tacit knowledge is articulated into formal language that represents official statements, and is equivalent to explicit knowledge. The third process is about promoting the existing explicit knowledge to more systematic and complex forms of explicit knowledge such as computerised databases (Nonaka and Takeuchi, 1995; Nonaka, Toyama, & Konno, 2000). Finally, explicit knowledge is internalised through "learning by doing," and actually when "experiences through socialisation, externalisation, and combination are internalised into individuals' tacit knowledge bases in the form of shared mental models or technical know-how, they become valuable assets in organisational levels" (Nonaka & Takeuchi 1995, p. 69).

*Figure 1* illustrates how knowledge can be converted to create new knowledge.

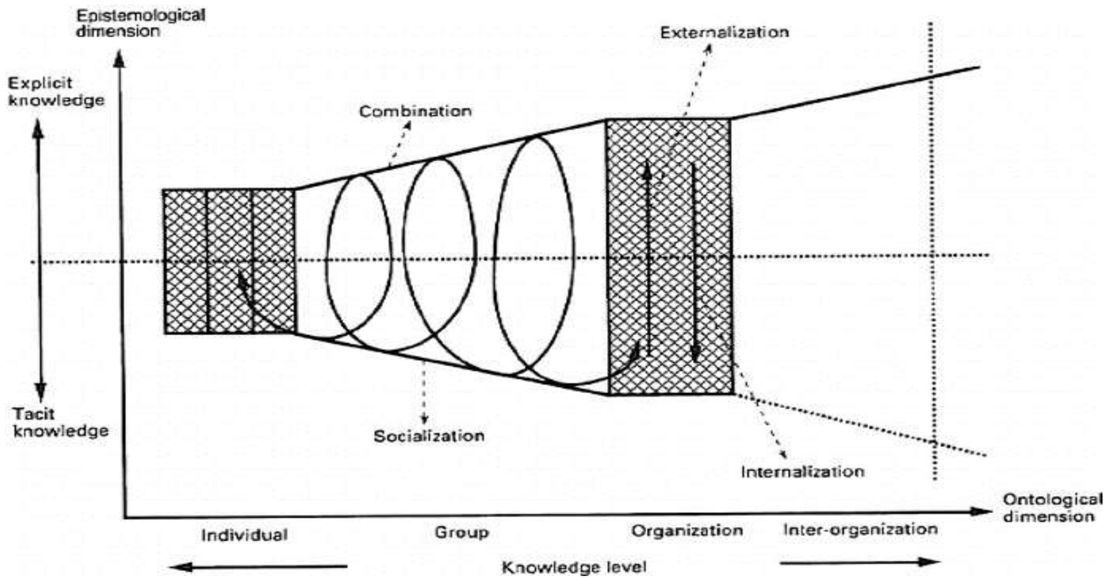


***Figure 1*: Spiral of Organisational Knowledge Creation (source: Nonaka, 1994)**

McLean (2004) challenged the applicability and verifiability of Nonaka and Takeuchi's (1995) knowledge creation model. Firstly, he argues that this model is merely based on case studies conducted by Nonaka and Takeuchi (1995) in the product development processes of Japanese profit-firms, and subsequently challenges the applicability of this model for other types of Japanese and non- Japanese organisations. In fact, McLean (2004) criticises Nonaka and Takeuchi's (1995) model, because of the failure to account for the critical role of situational variables in different organisations. Similarly, Jorna (1998) provides some criticisms about Nonaka and Takeuchi's (1995) model, because of a failure to account for the commitment of various groups to their knowledge in different types of organisations. Secondly, McLean (2004) also critiques this model for failing to provide testable hypotheses, and concludes that this model lacks "explicit, testable hypotheses that would show how the concepts relate to each other beyond these general statements" (McLean 2004, p.4). In addition, Yang, Zheng and Viere (2009) believe that there might be differences in how to manage individual knowledge from managing knowledge at the organisational level, and observe that this model has also failed to pay attention to this matter. Therefore, Nonaka and Takeuchi's (1995) model must be sufficiently tested, and, with these weaknesses, it could be established that these authors have failed to develop a model which is characterised by a high degree of applicability, verifiability, and clarity.

## Learning with Knowledge Cycle Model

Unlike Nonaka and Takeuchi's (1995) model, Rowley (2001) developed a knowledge management model, which embraces implicit and explicit knowledge. Rowley's (2001) model postulates that knowledge could be illustrated in both practical (i.e. implicit) and technical (i.e. explicit) dimensions. In Yang, Zheng, and Viere's (2009) view, implicit knowledge is reflected in shared experiences and understandings, routines, insights, and social norms, which have not yet emerged in the various forms of formal language such as policies, rules and procedures. This model itself is based on studies by Demarest (1997) and Soliman and Spooner (2000). In Demarest's (1997) model, knowledge management encompasses four principal processes, including knowledge construction, knowledge embodiment, knowledge dissemination, and knowledge use. Soliman and Spooner (2000) subsequently modified this model, and suggest five major processes for knowledge management knowledge consisting of knowledge creating, knowledge capturing, knowledge organising, knowledge accessing, and knowledge using. On the other hand, Rowley (2001) takes a more comprehensive approach, and develops a knowledge management model that includes knowledge creation and construction, knowledge articulation, knowledge repository updating, knowledge access, knowledge use, and knowledge revision. Conceptually, she highlights learning in organisations as the ultimate outcome of this cycle of knowledge by which, in the first place, implicit knowledge is created or acquired by contracting knowledge with other companies, doing market research, and converting the acquired knowledge into organisational processes and activities.

In line with this, Wenger (2010, p. 179) in his book chapter titled *Communities of Practice and Social Learning Systems: The Career of a Concept*, argues that "meaningful learning in social contexts requires both participation and reification to be in interplay," and highlights the strategic role of communities of practice in enhancing a shared understanding (i.e. implicit knowledge) among members. He sheds light on communities of practice as social containers of the competences, and defines them as "groups of people who share a concern or a passion for something they do and learn how to do it better as they interact regularly" (Wenger, 2006, p. 1). In the second step, implicit knowledge is incorporated into formal language, and subsequently becomes available to be shared within organisations. The third relates to organising explicit knowledge using databases and archives. Later on, this organised knowledge can be disseminated and searched by others. In this stage, Rowley (2001) suggests training courses as an effective way to share explicit knowledge. The fifth process is about applying knowledge aimed at providing better decisions and practices, or even creating new knowledge through innovation. Finally, the result of the previous stage (i.e. knowledge use) is measured, and accordingly the current knowledge might be supplemented or substituted.

Above, we segregate scholars from executives because scholars are more focused on theoretical framework and constructs. While we acknowledge this work and encourage more of it, we primarily focus on practical applications for executives. In light of the increased pressures of the global workplace that inspires leaders to exert effective change at the organisational level to improve profitability and revenue, the key point in the model is the knowledge use section coupled with testing and re-testing to ensure that the knowledge is actually helping the organisation grow both professionally for individuals and profitably for all stakeholders.

*Figure 2* depicts this knowledge cycle based on Rowley's (2001) model.

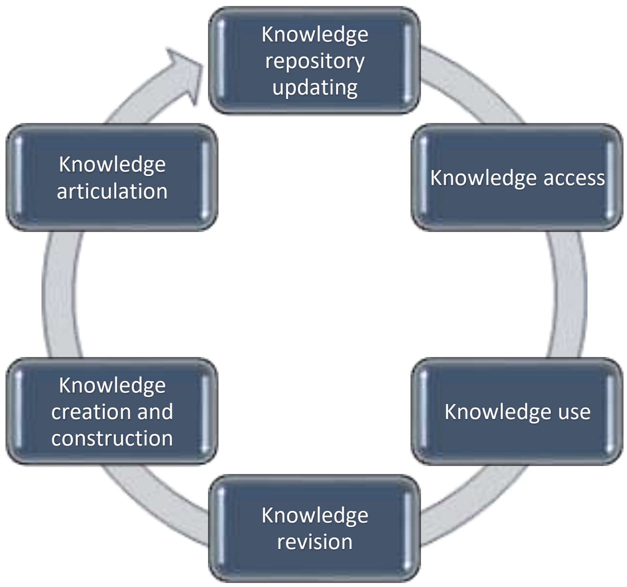


***Figure 2*: Learning with Knowledge Cycle Model (source: Rowley, 2001)**

However, there have been some discussions about the limitations of Rowley's (2001) model. Yang, Zheng, and Viere (2009) explain that this model has not portrayed how knowledge moves from one stage to another, and only described the activities related to each stage separately. Secondly, the model does not visualise the potential interactions between implicit and explicit knowledge, and additionally fails to account for the critical role of dynamic interrelationships among employees and organisational units in enhancing learning processes within organisations. Moreover, they challenge this model, and posit that the processes of use, measurement, and revision for implicit knowledge, if not impossible, are very hard. Therefore, it could be argued that although Rowley's (2001) model strongly contributes to the conceptualisation of knowledge conversion from the individual level to the organisational level, this model itself suffers from several limitations. Due to these weaknesses, Yang, Zheng, and Viere (2009) extensively reviewed the literature of knowledge management, and proposed a holistic knowledge management model.

## Holistic Knowledge Management Model

To overcome these limitations, Yang, Zheng, and Viere (2009) suggest a holistic knowledge management model that incorporates three major kinds of knowledge, including perceptual (i.e. implicit), conceptual (i.e. explicit), and affectual. Affectual knowledge refers to "individuals' sentiment attached to certain objects" (Yang, Zheng, & Viere, 2009, p.275). Yang, Zheng, and Viere (2009), like Nonaka and Takeuchi (1995), believe that knowledge interacts on both epistemological and ontological dimensions. But unlike Nonaka and Takeuchi's (1995) model, these models clearly differentiate between those activities related to managing knowledge at the individual level and the practices associated with knowledge management at the organisational level. Based on this view, they argue that knowledge could be managed in the three areas of technical, practical and critical. Subsequently, these researchers describe the processes of knowledge management related to the ontological dimension as consisting of institutionalisation, indoctrination, externalisation, internalisation, inspiration, and integration. Yang, Zheng, and Viere (2009), in examining the levels of knowledge, posit that the technical level is strongly relevant to conceptual knowledge, and manifests itself in activities related to managing formal procedures and rules whereas the practical level is associated with perceptual knowledge such as social norms and shared experiences. This level could in turn be illustrated in organisational processes and practices. The third level of knowledge is based on affectual knowledge, which is reflected in moral and ethical standards and the degree of awareness about organisational visions and missions. In Tenbrunsel et al.'s (2010) view, moral emotions in neuroscience mostly manifest themselves in a trichotomy of prediction, action and recollection, which can influence various cognitive functions such as problem solving (Pessoa, 2008).

In the same line of thought, Okon-Singer et al. (2015) argue that a high level of negative emotionality can seriously reduce people's capabilities in changing and overcoming challenging situations. To describe this trichotomy, Tenbrunsel et al. (2010, p.153) posit that "people predict that they will behave more ethically than they actually do, and when evaluating past (un)ethical behaviour, they believe they behaved more ethically than they actually did." In addition, Yang, Zheng, and Viere's (2009) model focuses on the interactions among the three facets of knowledge (i.e. implicit, explicit and affectual) in order to minimise the major limitation of Rowley's (2001) learning with knowledge cycle model that has failed to define these interactions. Accordingly, they propose nine knowledge management processes in the epistemological dimension, including socialisation (i.e. implicit to implicit), systematisation (i.e. explicit to explicit), transformation (i.e. affectual to affectual), formalisation (i.e. implicit to explicit), routinisation (i.e. explicit to implicit), evaluation (i.e. affectual to explicit), orientation (i.e. explicit to affectual), deliberation (i.e. implicit to affectual), and realisation (i.e. affectual to implicit).

*Figure 3* portrays these processes within organisations:

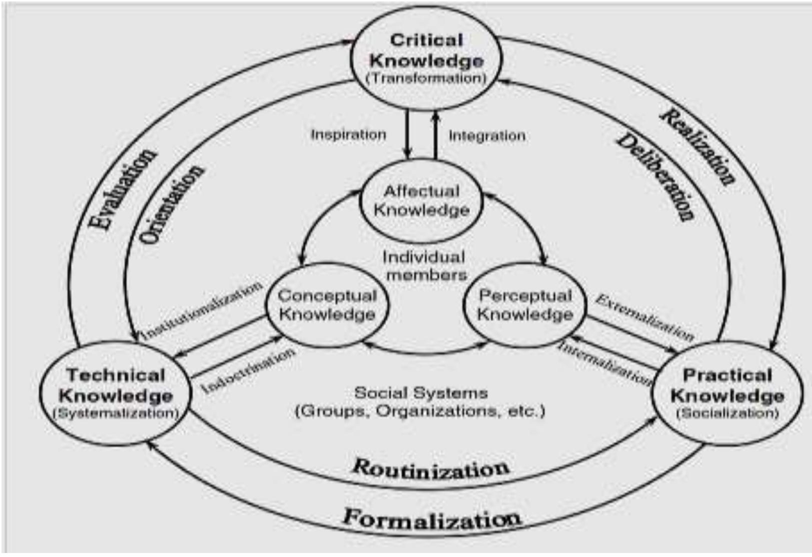


***Figure 3*: Holistic Knowledge Management Model (source: Yang, Zheng, and Viere, 2009)**

***External Economic, Social, Political and Technological Environments***

The knowledge management processes are described in *Table 1*.

| Dimension | Processes | Definition |
|---|---|---|
| Epistemological | Socialisation | Creating new practical knowledge using actual experiences. |
| | Systematisation | Converting technical knowledge acquired from individuals into organisational systems and databases. |
| | Transformation | Leading firms' values and visions toward to a higher degree of social responsibility and productivity. |
| | Formalisation | Structuring practical knowledge into organisational systems. |
| | Routinisation | Implementing technical knowledge into practical knowledge. |
| | Evaluation | Determining firms' values in rules and procedures for organisational members. |
| | Orientation | Justifying the rules and procedures for organisational members. |
| | Deliberation | Collecting the shared beliefs of organisational members about the current values of the firm. |
| | Realisation | Putting these shared beliefs to practical knowledge. |
| Ontological | Institutionalisation | Converting conceptual knowledge gained from individuals into guidelines. |
| | Indoctrination | Transmitting formal rules and requirements to members. |
| | Externalisation | Articulating individuals' implicit knowledge to shared practical knowledge. |
| | Internalisation | Describing the current mental models for organisational members. |
| | Inspiration | Aligning employees through uniting aspirations and values. |
| | Integration | Enhancing members' aspirations and values by focusing on mutual adjustments. |

***Table 1:* KM Processes of Holistic Knowledge Management Model (Adapted from Yang, Zheng and Viere, 2009)**

It can be argued that Yang, Zheng, and Viere (2009) have taken a more integrative approach to portray the levels and interactions of knowledge within organisations. This model, unlike the knowledge creation model and learning with knowledge cycle model, could have successfully incorporated the critical role of these two factors (i.e. the knowledge levels and interactions) to clarify those processes by which organisational knowledge interacts in various levels. Although this model has provided a significant contribution to the understanding of knowledge interactions in various levels within organisations, the relationship between knowledge management and leadership at the organisational level is evident from Lee and Kim's (2001) model that is discussed below.

## Lee and Kim's Knowledge Management Model

Lee and Kim's (2001) model for managing knowledge reflects a more strategic and practical perspective, as it is process oriented and most applicable in the context of leading organisations. In Lee and Kim's (2001) view, organisational knowledge, firstly, is accumulated by creating new knowledge from organisational intellectual capital and acquiring knowledge from external environments. Accordingly, this process embraces acquiring and exchanging knowledge from suppliers, customers, and other business partners. It also incorporates generating knowledge form existing intellectual capital through developing organisational innovation (Zheng 2005). It seems reasonable to consider both the process of knowledge acquisition that represents external environments, and the process of knowledge creation which manifests itself in organisational intellectual capital to enable the process of knowledge accumulation in organisations. As illustrated, it can be seen that knowledge firstly emerges in a company through inspiring people to create new ideas and developing effective mechanisms to acquire knowledge from various environmental components such as suppliers, customers, business partners, and competitors. These activities need to be supported from upper levels within organisations. Specifically, executives play a strategic role in expanding the knowledge accumulation through applying incentive mechanisms to develop a more innovative climate and managing effective tools to acquire knowledge from external sources. Therefore, in the process of knowledge integration, knowledge enters organisational processes and provides valuable contributions to products and services. Executives as leaders steering the organisational strategy facilitate this process, by undertaking initiatives that improve knowledge transfer, thus enhancing the performance of employees and the implementation of effective changes to maintain the quality of products and services. The burden of success when effective implementation of knowledge integration is concerned is heavily dependent on the capabilities of the organisation's leaders.

Secondly, knowledge is integrated internally to enhance the effectiveness and efficiencies in various systems and processes, as well as to be more responsive to market changes. In this process, accumulated knowledge is synthesised to produce higher quality outcomes. In general, knowledge integration focuses on monitoring and controlling knowledge management practices, evaluating the effectiveness of current knowledge, defining and recognising core knowledge areas, coordinating experts, sharing organisational knowledge, and scanning for new knowledge to keep the quality of their productions/services improving (Day & Glazer 1994; Wiig 1995; Rulke & Galaskiewicz 2000; Lee and Kim, 2001; Cummings 2004). To promote knowledge integration, Lee and Kim (2001) propose that firms create expert groups to enhance knowledge quality and evaluate knowledge assets. Similarly, Cohen and Levinthal (1990) and Tiwana, Bharadwaj and Sambamurthy (2003) argue that members' diversity of skills and interpersonal relations based on trust and reciprocity can improve the performance of these groups. In the process of knowledge integration, knowledge enters organisational processes and provides valuable contributions to products and services. Leaders are those who facilitate this process, by undertaking initiatives that improve knowledge transfer, thus enhancing the performance of employees and the implementation of effective changes to maintain the quality of products and services. Accordingly, it is reasonable to state that the effective implementation of knowledge integration is heavily dependent on the capabilities of a company's leaders.

Thirdly, the knowledge within organisations needs to be reconfigured to meet environmental changes and new challenges. In this process, knowledge is globally shared with other organisations in the environment. Past studies show that knowledge is often difficult to share externally. These studies have observed that organisations might lack the required capabilities to interact with other organisations (Caldwell & Ancona 1988), or distrust sharing their knowledge (Kraut & Streeter 1995). These studies indicate that expert groups may not have sufficient diversity to comprehend knowledge acquired from external sources (Cohen & Levinthal 1990). Due to these limitations, Lee and Kim (2001) posit that networking with business partners is a key activity for organisations to enhance knowledge exchange. They also highlight that a critical concern for managers in this process is developing alliances with partners in external environments. In the same line of thought, Grant and Baden-Fuller (2004) argue that firms create alliances to improve knowledge exchange, and Jiang et al. (2013, p.983) state that "alliances offer opportunities for knowledge sharing and leveraging." The development of alliances should also be supported by top management executives. Top managers are clearly the ones who can make final decisions about developing alliances with a business partner. *Figure 4* depicts this model of knowledge management.

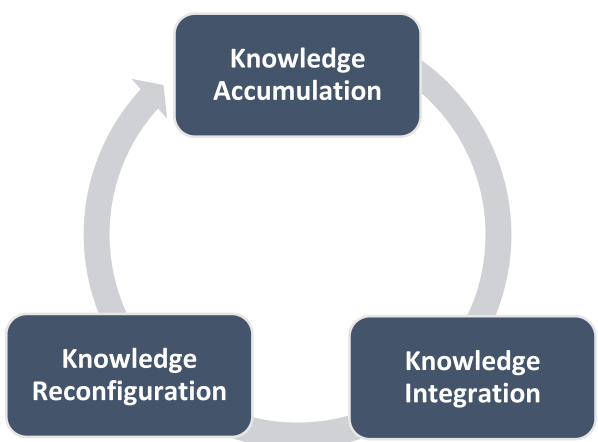


***Figure 4*: Lee and Kim's Knowledge Management Model**

## The Mutual Link between Transformational Leadership and Lee and Kim's Knowledge Management Model

Transformational leaders play four critical roles namely: idealised influence, inspirational motivation, intellectual stimulation, and individualised consideration (Bass & Avolio, 1997; Canty, 2005). Idealised influence is about generating a shared vision and developing relationships with subordinates, while inspirational motivation is based on inspiring followers and setting highly desired expectations. Intellectual stimulation on the other hand, facilitates knowledge sharing and generates more innovative solutions. Finally, individualised consideration focuses on empowering employees and identifying their individual needs, which is directed at stimulating a learning workplace (Lowe, Kroeck, & Sivasubramaniam, 1996) and mobilizing employees' support toward organisational goals. Evidently, these roles stressing a more knowledge-oriented company highly recommend transformational leaders for the knowledge economy largely based on managing companies' knowledge assets.

In Lee and Kim's (2001) view, knowledge exchange with external business partners develops innovative environments (Wang & Wang, 2012) that enable the aspect of intellectual stimulation aimed at creating a more innovative climate in companies (Canty, 2005). In addition, this process enhances the capabilities of transformational leaders to play the role of inspirational motivators, by setting highly desired expectation to recognise possible opportunities in the business environments. The knowledge exchange also positively contributes to transformational leaders' ability to facilitate idealised influence developing a more effective vision, includes more comprehensive information and insights about external environments. A climate inspiring knowledge creation itself can also positively impact on the empowerment of employees (Badah, 2012) that develops the capabilities of transformational leaders in the aspect of individualised consideration empowering human assets (Canty, 2005). Hence, the synthesis of existing literature has provided fascinating evidence regarding the vital importance of knowledge accumulation in the effectiveness of transformational leadership.

Follower's diversity of skills and interpersonal relations that is based on trust and reciprocity can improve the performance of group cohesiveness (Cohen and Levinthal, 1990; Tiwana, Bharadwaj, and Sambamurthy, 2003). In addition, it is apparent that both major activities of knowledge integration processes, including the evaluation of organisational knowledge and assessment of required changes can positively impact on the effectiveness of individualised consideration aspect through identifying employees' learning needs. Further, a systematic process of coordinating company-wide experts enables transformational leadership by propelling the role of intellectual stimulation, which creates a more innovative environment. In addition, an apparent argument is that those qualities indicating a high-performing expert group, as Tiwana, Bharadwaj, and Sambamurthy (2003) argue, are considerably overlapped with Webb's (2007, p. 54) scales about an effective transformational leader that examine the capabilities of these leaders in creating trust within companies. Logically, this practice itself develops a climate that transformational leaders target.

Thirdly, Lee and Kim (2001) posit that networking with business partners is a key activity for companies to enhance knowledge exchange. Networking can also positively contribute to transformational leadership to effectively incorporate various concerns and values of external business partners. Additionally, the knowledge transference among companies itself improves the effectiveness of learning (Purvis, Sambamurthy, & Zmud 2000), which in turn enables both transformational leadership roles of idealised consideration by empowering human resource and intellectual stimulation through creating new knowledge and solutions. Taken together, this review illustrates that networking among companies in a domestic and international market leads to enhanced effectiveness of transformational leadership within companies. Through articulating the mutual relationship between knowledge management process and transformational leadership aspects, we add to the current and extant literature. Insufficient consideration of the mutual relationship between knowledge management processes and transformational leadership has been exposed and we attempt to address this concern for the first time. For example, no published papers have explored how transformational leadership and knowledge management empowers each other. Thus, for scholars, this paper can provide evidence regarding a mutual relationship between knowledge management and transformational leadership that have been mentioned but not placed in a model in the past. Furthermore, we suggest that scholars take our ideas and continue to conduct research using executives as the focal point so that academic scholarship can meet the needs of managerial implications at the higher echelons of organisations worldwide.

## Conclusion

There are some executives that like to look at academic journals but unfortunately the crossover literature has not reached them enough. However, we attempt to blend scholarly concepts with real world application. For the scholar's corner, we place a great deal of emphasis on the literature on transformational leadership and knowledge management. Thus, this paper adds to a relatively small body of literature but pays homage to the scholarly contributions. We highlight the mutual relationship between knowledge management and transformational leadership, and also simultaneously portray the contribution of transformational leadership in facilitating knowledge management processes. This is the first paper that actually investigates the crossover potential of scholarly research and how it can be applied in the organisational boardroom.

This paper introduces a new and dynamic perspective of transformational leadership within organisations. It advances the current literature on transformational leadership by offering novel insights into how executives affect an organisational knowledge. Particularly, we feel that executives enable knowledge management processes. Without a grasp on these two tenets executives are bound to fail.

For the scholar's corner, we draw upon the current organisational theories (i.e. knowledge-based view). Thus, we suggest new insights to identify transformational leadership as a primary driver, which influences organisational knowledge that matter to executives that care.

We present executives with a new idea in that when change becomes increasingly valuable, transformational leadership manifests as a catalyst to implement effective changes in organisations. Transformational leaders leverage positive effects on organisational capabilities. Thus, we provide evidence that transformational leadership is used in corporate infrastructure for strategic decision-making.

Scholars open an avenue of inquiry that suggests further investigation to identify drivers of organisational change. This research points to the need to incorporate transformational leadership into the organisational change literature. A suggestion is to use the pivotal conceptual change along with inculcated change efforts and formulate that using the transformational leadership style.

Beyond illustrating that transformational leaders manifest themselves as change agents within organisations, the nature of the interactions between transformational leadership and knowledge management can also suggest several complementary insights for the existing literature. However, the focus of this paper is based upon the critical role of transformational leadership which allows a rich basis to understanding the mechanisms by which knowledge management and operations risk is influenced. Scholars repeatedly uncovered transformational leadership's direct impacts on knowledge management. This paper articulates a different approach. We simply extended the academic literature by showing how transformational leadership and knowledge management can also empower each other.

Furthermore, we suggest that scholars take our ideas and continue to conduct research using executives as the focal point so that academic scholarship can meet the needs of managerial implications at the higher echelons of organisations worldwide. The results open up an avenue of inquiry that suggests further investigations to identify drivers of transformational leadership effectiveness. The review of existing literature also reveals that there is a lack of empirical support to measure how the dimensions of transformational leadership, including idealised influence, inspirational motivation, intellectual stimulation, and individualised consideration, are facilitated by the scales associated with effective knowledge management. This review illustrates that the significance of networking in supporting the scales related to effective transformational leadership, which have also been left out of the existing literature.

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# Responsible Leadership and Sustainable Development in Post-Independent Africa: A Kenyan Experience

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**Abstract**

*The political independence in Africa was welcomed with joy and a heap of expectations, as Africans believed that the new African governments would bring sustainable development after years of subjugation, exploitation, and oppression. Unfortunately, this has not been the case. Today, many years after the attainment of political independence, many African nations largely remain underdeveloped, burdened with poverty, diseases, poor communication networks, illiteracy, tribal animosity, economic challenges, and injustices, — all of which affect every aspect of African life. This study, which involved 160 respondents purposely selected from the 47 counties in Kenya, aimed to investigate why Africa continues to lag behind in development despite autonomous rule. The study found that although Africa is endowed with numerous resources, it suffers from the lack of responsible leaders, particularly political leaders. Leaders in Africa are available in abundance but very few are concerned with the welfare of the people they lead. The majority of the leaders are keen to retain power and acquire wealth at the expense of the constituents they represent. This has created a very horrendous situation in Africa as people struggle to access poorly-managed resources. No sustainable development can be attained in a situation where leaders are not responsible to those who they lead. For it is only the installation of competent, empathetic, equitable, and forward-thinking leaders that will successfully guide the sustainable development of emerging African economies. African leaders must realize that they are stewards of the geopolitical environments they were elected to serve and must be fully accountable for their actions. Responsible leadership and sustainable development are closely interwoven. Recommendations are interjected regarding how to develop our leaders for responsible leadership if any meaningful development is to be genuinely achieved in Africa.*

## Introduction

I remember a song we used to sing as children in the 1980s and every evening, at least when there was moonlight, many of us would assemble in my grandmother's compound and repeatedly sing it. It went like this:

*You white man who told you that Kenya is yours? We chased you away.*
*Stay in your country and if you dare to come back I will force you to dig trenches, like the ones you forced our people to dig with children on their backs.*
*We are free, we are free! No more suffering, we are free!*
*We are going forward! We are going forward! Let's eat the fruits of independence.*

This song was sung about twenty years after gaining political independence in Kenya, in 1963. It gives us a picture of the high expectation of an African child after independence. The children, like all Africans, are acknowledging that with the expulsion of the colonial government and its subsequent replacement with a new government comprised of the African people, there would be no more suffering. We are moving forward as we enjoy the fruits of independence. At independence, African leaders had promised to tirelessly develop Africa. For example, in Kenya, Mzee Jomo Kenyatta's government pledged to fight ignorance, poverty, and disease … the great enemies of humanity (Githiga, 2001). Today, many years after the attainment of the political independence, African nations continue to be ranked behind others in terms of development. What is the problem? Why has the continent largely remained underdeveloped? Why has the continent continued to experience problems such as poverty, tribal conflicts, economic challenges, and pervasive corruption despite autonomous rule? As these questions disturb every African, this paper attempts to address these concerns and primarily focuses on showing the relationship between leadership and sustainable development in the post-independent Africa.

## Methodology

The study employed descriptive surveys designed to investigate the relationship between leadership and sustainable development in Kenya. This design was preferable because, as noted by Kothari and Garg (2004), it involves describing the state of affairs at it exists presently without much manipulation of the variables. Using Mugenda and Mugenda's (1999) recommendation that in a descriptive study 10% of the population is ideal, I considered 10% of 47 counties, rounding off to 5. To ensure that all regions of Kenya were represented, I purposely selected 8 counties to provide a representative sample for this study. These were Nairobi in Nairobi, Mombasa in Coast, Meru in Eastern, Uasin Gishu in Rift Valley, Kakamega in Western, Kirinyaga in Central, Homabay in Nyanza, and Garissa in North Eastern regions. In each county, 20 respondents were purposely selected to answer written questionnaires or, where possible, be orally interviewed. The total respondents were thus 160. In each county, a research assistant, mainly my Masters or undergraduate school-based students from the region, assisted in gathering information. Data from the field were qualitatively analyzed, noting the number of times that views were expressed and the number of respondents who expressed a similar view. I, then, calculated the percentages of responses that I used to interpret the data and formulate conclusions.

## The Post-Independence African Situation: *Illustrations from Kenya*

Post-independent Africa was anticipated to give Africans joy, hope, freedom, and relaxation after decades of perpetual subjugation, exploitation, and oppression by colonial governments. Although European colonizers believed that they were bringing civilization to Africa, they denied Africans their own civilization (Nkonge, 2014). Mugambi (1989: 41) elucidates that colonial administration, beyond "civilizing" their subjects, was interested in entrenching colonial political power abroad and hence, facilitating exploitation of the resources in the colonies. Colonialism was the worst human exploitation that has ever happened in history. The 1884/85 Berlin Conference, commonly referred to as "Scramble for Africa" (Ogutu & Kenchanchui, 1991:150), was a dark moment for this continent. The colonial history of Africa begins with this conference when Africa was partitioned by several European powers, demarcating their respective spheres of influence. This was the period when Europe was scrambling for control of Africa for its own interest (Nthamburi, 1991:39). It prepared the way for newcomers to the African scene by requiring that claims to colonies or protectorates, with respect to any part of the African coastline, had to be formally registered to notify other conference participants. Further, these claims had to be supported by the issuance of a decree in the affected area (Oliver & Atmore, 1967:107). At the Berlin Conference, boundaries of African countries were arbitrary drawn by encroaching European powers without any consideration of ethnic territories and interests (Mugambi, 1995: 81). Sadly, no African was consulted. Soon afterwards, there was an influx of Europeans in Africa with an agenda of spreading Christianity, civilizing Africans, and exploring the world. Their main interest, however, whether missionaries, agriculturalists, or colonial administrators, was "trade, and their common aim was to reap as much as possible from the African soil. In reference to this scenario, John Baur uses the famous Kikuyu saying, "Gutiri Muthungu na Mubea," meaning that there was no marked difference between a colonial administrator and a missionary" (Baur, 1994: 378).

Colonialism was an evil Africans cannot forget. From the very beginning, Africans were made to believe that they were not fully human, sometimes classified alongside dogs. For instance, Nthamburi (1991:5) observes that in Meru town where he grew up there was a restaurant with the inscription "Africans and dogs are not welcome." The white people were treated as more unique and superior than the black people. There were thus "white only" hotels, churches, schools, and other social amenities. There was forced labour and the best arable land was alienated for use by the white settlers (Nthamburi, 1991:5). Additionally, the white people, especially missionaries and anthologists, were very negative to the African cultural and religious heritage. They regarded the African people, their cultures and religions, as primitive, heathen, and pagan (Mugambi, 1989:40). The African way of life was termed as evil and unacceptable, while Africa was regarded as the "Dark Continent." According to Kibicho (1990:46), the term "darkness" in the minds of the Westerners implied extreme backwardness and primitivity in all realms of life, including social, economic, political, cultural, and religious aspects. Africans were in "darkness" and the only way to see the "light" was to accept the European way of life as an outward indication of salvation and civilization. In view of this, Mugambi (1989: 40) explicates that the assumption of the Europeans was that Christianity and Western civilization were inseparable and synonymous and therefore African converts had to abandon their cultural and religious backgrounds and adopt Western cultures as an outward indication of conversion to

Christianity.

It is, therefore, clear that the colonial governments, with the support of the Church, reduced their subjects to mere objects in the hands of the colonizers. Sadly, they did this in the name of progress in their endeavour to create a favourable climate for development and civilization (Davidson, 1974: 47). In that kind of environment, the rich African cultural heritage was eroded in confrontation with the dominant foreign culture. The vital natural resources were taken away to Europe to make life even more comfortable to the Europeans while Africans languished in poverty (Nthamburi, 1991: 39).

In due time, Africans found themselves struggling to liberate their continent from this domination and conquest. During the period of resistance to colonial rule, Christians and non-Christians found themselves in the struggle for liberation (Nthamburi, 1991:5). They fought to liberate themselves from what dehumanized the community — e.g., poverty, disease, ethnic rivalries, corruption, illiteracy, and unemployment. There was a lot of hope and expectation that after independence African nations would be inexorably progressive socially, politically, economically, and religiously. In Kenya, for example, Mzee Jomo Kenyatta, founding father and first President, made a solemn pledge that his new government would tackle the three big challenges of poverty, ignorance, and disease. This was a bold statement of confidence in his government's ability to drive the country towards a more prosperous future and it was a direct jab in the eye of the British who used all three as tools of colonial domination (Greste, 2014). Githiga (2001:41) denotes that Kenyans saw Kenyatta not only as their political leader, but also their saviour. They even sang political songs with Christian tunes where they used Kenyatta's name instead of Christ. One such song is cited by Anderson (1977:129): "We see the love of Kenyatta … He gave his life to save us." Many believed that with him as their leader their anguish would be the thing of the past. It is this hope and expectation that made Africans of all walks of life join hands to fight for independence. But was their dream realized?

According to Nthamburi (1991:5), Africans had hoped that with the end of colonialism their ills would be a thing of the past. But alas, they discovered that human nature is such that it loves to oppress and exploit. Where independence was gained, people discovered that leaders of the liberation movements were absorbed into leadership roles by virtue of their education and influence. Consequently, many became part of the new elite and supported the status quo. Unfortunately, African leaders who took over leadership after independence started to behave like their colonial masters. They were *Wabereru (*colonial masters) in black skin. They, therefore, perpetrated all forms of evil against their fellow Africans: injustice, corruption, nepotism, tribalism, land grabbing, silencing of political opponents through detention and death, etc. (Nkonge, 2004:67). The first vice president in the post-independent Kenya, Oginga Odinga, unearthed the situation in Kenya soon after independence. In his resignation letter of 1966. Quoted by Bienen (1974:74), he proclaimed, "Future generations will question my sincerity, when they would learn that I allowed myself to hold a secure post in the midst of poverty and misery in our country." Although Kenyatta's government and the succeeding governments had pledged to combat poverty, ignorance, and disease, the three enemies of development continued to wreck the country immensely. Nkonge (2012:236) confirms this observation by his assertion that:

*Kenya and the rest of Africa face numerous crises today. Authoritarianism, ethnic clashes, environmental degradation, poverty, hunger, corruption, diseases, internally displaced persons, nepotism, tribalism, unemployment have created a very desperate situation in Kenya.*

While I agree with Greste (2014) that major strides have been made in the fight against these vices, especially after President Moi's regime, it is a fact the vices have continued to affect every sector of the Kenyan society. We asked respondents in this study to identify the major setbacks to development in Kenya today. Interestingly, all the above issues were raised, with poverty leading with a 122 (76.2%) responses, followed by corruption 111 (69.3%); then tribalism/nepotism 109 (68.1%); unemployment 102 (63.8%) and ethnic clashes 98 (61.2%). Archbishop Desmond Tutu explains the poignant situation in contemporary Africa:

*The picture is bleak and the prospect one of seemingly unmitigated gloom. It is as if the entire continent was groaning under the curse of Ham and was indeed in all aspects of the Dark Continent of antiquity. Africans may well ask: "Are we God's step children? Why has disaster picked on us so conspicuously?" We appear to be tragically unique in this respect* (Tutu, 2004:1).

This has created endless conflicts as people struggle for resources and power. For instance, Kunhiyop (2008:107) affirms that in Africa in recent years, there have been many conflicts in many nations. This is confirmed by Thomson (2003:136) who says that "The continent of Africa is filled with ethnic conflict, wars over resources and failed states. From south to north, west to east, fighting burns or simmers in Africa." Adeyemo (1990: 15-16) attributes the many current ethnic conflicts in Africa to unequal distribution of national resources (80% of the national cake/wealth is enjoyed and controlled by only 5% of the population); land tenure and ownership (land is owned by the rich/elite minority); socio-economic and political struggle (bribery and corruption is on the increase). Power is controlled by a small elite leading to poverty and class struggles amongst the majority the population. Once in leadership, it becomes a right with little regard to the responsibilities of office. Two distinct classes are emerging: the rich, powerful minority and the poor, powerless majority. Conflicts in post-independent Africa will never cease if this situation is not addressed.

In Kenya, for example, although there have been many ethnic conflicts since independence, it was the 2007/08 post-election violence (PEV) that proved rather challenging to the Kenyan people. The violence was so grave that about 1,133 Kenyans lost their lives, at least 350,000 were internally displaced, and more than 2000 became refugees. There was an unknown number of sexual violence victims, 117,216 private properties were destroyed, and 491 government-owned property (offices, vehicles, health centers, schools) were annihilated (Center for Strategic and International Studies, 2011). The 2007/08 ethnic tension was a major setback to the Kenya Vision 2030 which had just been launched after many years of economic meltdown, social injustices, and political instability (Wasonga, 2016). The aim of Vision 2030 was, "To transform Kenya into a newly industrializing, middle-income country providing a high-quality life to all its citizens by the year 2030" (Kenya Vision 2030, 2007), a dream that was fatally shattered by the 2007/08 PEV.

Due to the grave effect of the 2007/08 PEV, I wanted to know from the field research whether Kenyans know its cause. Asked whether they had heard of it, all the respondents (100%) affirmed that they were aware of the 2007/08 PEV. They were then asked to say whether it had affected them in any way. 93 (58.1%) said it had affected them directly where they had either lost a relative, been displaced, or had their property destroyed; 65 (40.6%) said it had affected them indirectly and 2 (1.25%) said that it had not affected them in any way. This shows that the 2007/08 PEV affected many Kenyans. Respondents were then asked to say what they termed as the main cause of this violence. 92 (57.5%) respondents cited the disputed presidential election in which the Chair of the Electoral Commission of Kenya, Samuel Kivuitu, could not tell who between Mwai Kibaki of the Party of National Unity (PNU) and Raila Odinga of the Orange Democratic Party (ODM) had won as the main cause. 66 (41.3%) cited unequal distribution of the national resources as the cause, while 2 (1.3%) said that it was as a result of poor leadership where President Kibaki failed to take control. Therefore, the majority of Kenyans think that the 2007/08 crisis was as a result of the weak electoral system.

This is interesting because while the said violence is highly attributed to the disputed presidential election results, the truth of the matter is that it was more of a manifestation of a failed state just as 42.6% of the respondents affirmed. Thus, the factors raised by Tokunboh Adeyemo above as the main causes of ethnic conflicts in Africa cannot be disassociated from the Kenyan 2007/08 PEV. This can be confirmed by the report of the Commission of Inquiry on Post-Election Violence (2009) that investigated Kenya's 2007/2008 post-election violence. According to this Commission, Kenya's history of ethnic violence, the 2007/08 PEV included, is a combination of long-standing conflict drivers. These include:

1. The perception of historic marginalization by certain ethnic groups as a consequence of alleged inequalities associated with the allocation of resources, in particular, land.
2. A system of governance based on a highly centralized and personalized executive where the president and his ruling circle had historically maintained enormous control over the institutions that would normally serve as checks and balances, including the judiciary, legislature, as well as the police.
3. The longstanding problem of high youth unemployment.
4. An entrenched culture of impunity, where despite Kenya's history of electoral and other sectarian violence, the country had failed to bring justice to any of those responsible for prior abuses.

To conclude this section, one cannot fail to see the problem of leadership and governance in Africa. The afflictions in post-independent Africa are more of a result of poor leadership than lack of resources. Tutu (2004:1) sees the correlation between leadership and the challenges facing Africa today: "Africa faces a mammoth crisis in leadership." He continues to explain that as a result of poor political leadership, we are all accustomed to military dictatorships, coups, corruption, refugees, civil wars, diseases, injustice, and so on.

## Relationship between Leadership and Sustainable Development in Post-Independent Africa

The term "leadership" may mean different things to different people. Nkonge (2010:269) defines leadership as the "ability to influence others." Elliston (1988:21) shares the same view with Nkonge and defines "leadership as the process of influence." In most cases, this influence is systematically carried out by one person called the leader of the group. Sustainable development, on the other hand, is that development that meets the needs of the present without compromising the ability of future generations to meet their own needs (World Commission on Environment and Development, 1987). Its tenets are environment, society, and economy that are intertwined and not separated (Dartey-Baah, 2014). Okullu (1984:98) defines development as "transformation of one thing into another." To what extent is sustainable development linked to leadership in Africa? Respondents were asked to say whether the type of leaders a nation has affects development in that nation in any way. All (100%) affirmed that leadership affects the nation's sustainable development and that the two are interlinked. This view is supported by Dartey-Baah (2014) who argues that there is a close correlation between effective leadership and sustainable development.

African nations continue to lag behind in development as compared to nations in other continents. There is an ongoing narrative in Kenya that at independence, Kenya was at par with Malaysia in terms of economic development, about 6.8% of GDP for both. Today, 54 years later, Kenya has declined to 5.9%, while Malaysia has increased to over 40%. The ideal question is "What went wrong in Kenya?" Njino (2008) contends that we are in the third millennium yet Africa has little to show towards self-reliance and sustainable development. She is still subject to continuous begging and dependence on foreign aid for the sustenance of her programmes. One doubts the independence of African nations if they still continue to rely on their colonial masters for survival. To what extent can a beggar be independent?

Fifty years after the achievement of constitutional independence, African nations seem to have returned to "square one" whereby the former colonial masters have to bail out economies in ruins and political institutions that have collapsed (Cf. Mugambi 1995:50). This has not been without some cost on the part of Africa. Very similar to what happened prior to the 1884/5, the Berlin Conference — when European missionaries, mercenaries, businessmen, and adventurers plundered the continent for resource exploitation and self-gratification and then called on their metropolitan governments to protect their loot — Africa today has become a "no man's land." It is a continent without borders where anybody can come from anywhere and do whatever he/she wants. Mugambi (1995:197) elucidates this point by portraying Africa as a continent unable to help itself; people from other continents (mainly Europeans and North Americans), drawn by self-interest, have come here claiming to be "saviours" without whom Africa would perish. They claim the right to enter every African country without restriction, even though there is no reciprocal arrangement for Africans to enter their own countries. By claiming to help Africa, they have plunged African nations into massive debt which has to be paid by common African people whom Adeyemo (1990: 15) says are gripped by life-long poverty. As noted by Ezebuiro (2016), the problem of foreign debt has been a major and persistent setback for African development. This is mainly a result of the fact that most African nations in debt are still underdeveloped and therefore depend on foreign loans to sustain their economy. Thus, foreign powers continue to exercise influence and control over African nations by financial means (Chipenda, 1993:25). I agree with Mugambi (1995:53) that there is no society that can be cited where external initiative has produced sustainable development. Therefore, no sustainable development will be realized if African nations continue to rely on former colonial powers to sustain themselves. Independence was supposed to give Africans freedom to innovate and freedom to identify solutions for accumulated, endemic problems. But this has been repressed rather than encouraged (Chipenda, 1993:24). If we want sustainable development, we must wake up and learn from Desmond Tutu's assertion that "Freedom is cheaper than repression" (Tutu, 1990).

According to Bishop Henry Okullu, the term "development," in its popular usage in Kenya as in other African nations, means economic advancement that increase the national product to bring national wealth that will eventually be spread among individual members of the community. It means living in better houses and enjoying a better water supply, tarmac roads to facilitate easy transportation, better agricultural methods, more schools, colleges and universities, more dispensaries and hospitals, a quicker means of communication and so on (Okullu, 1974:21). It means transformation of one thing into another (Okullu, 1984:98). It is this transformation that evades many African nations, (Kenya included) as exemplified by impassable roads, food insecurity, lack of potable water, few health facilities, unaffordable education, insecurity, and a poor communication network. It is true that as acknowledged by Ezebuiro (2016) and the African Development Plan (2015), Africa has made major strides in economic growth, where undoubtedly, some African nations such as the Ivory Coast, Tanzania, Kenya, Senegal, Rwanda, and Djibouti have the fastest growing economies on the globe (African Business Central, 2016), but the continent still remains largely underdeveloped (Global Forum Policy, 2014). Although Africa is endowed with immense natural and human resources, as well as great cultural, ecological, and economic diversity, most of its nations continue to suffer from the presence of military dictatorships, corruption, civil unrest, wars, underdevelopment, and pervasive poverty (Global Forum Policy, 2014). As observed by M'Ikunywa (1986:251), the majority of African peoples, whether in urban or rural areas, live in abject poverty many years after political independence. It is because of this reason that most of the countries classified by the United Nations as "least developed countries" are in Africa (Global Forum Policy, 2014). The fundamental question is "What is the problem?" As Desmond Tutu asks, "Is Africa under the curse of Ham?" (Tutu, 2004). What makes African nations continue to suffer many years after the attainment of political independence?

## The Challenge of Leadership in Africa

I enquired from the respondents whether they knew what has made Kenya and other African nations continue to lag behind other countries in terms of development as well as why we have continually experienced other problems — yet Africa is a continent endowed with numerous resources. Interestingly, 158 (98.75%) of the respondents cited poor leadership as the main cause of Africa's afflictions, while 2 (1.25%) were not quite sure. This shows that Kenyans, just as other African peoples, are aware that they suffer due to their leaders' failure to be responsive to the needs of the people they lead. This is supported by Tutu (2004:5), who blames the current predicaments facing Africa on Africa's political leadership. He argues that "Africa faces a mammoth crisis in leadership, especially in politics." Similarly, Ngara (2004:9-10) is of the view that the problems we encounter in Africa, including terrorism, corruption, ethnic and civil wars, economic meltdown, political instability, underdevelopment, and poverty all linked to failed leadership. Kwasi Dartey-Baah denotes that there is a close link between leadership and sustainable development. He says that leadership experienced in post-independent Africa has manifested several instances of incompetence, ineffectiveness, and unresponsiveness to the needs of the present and even future generations. This has really hampered the realization of sustainable development in Africa, as sustainable development cannot be attained where leadership is weak (Dartey-Baah, 2014). Leadership is thus imperative in promoting sustainable development (Sharma, et. al, 2009).

According to M'Ikunywa (1986:251), small pockets of wealthy and powerful elites have replaced former colonial masters in Africa. These are the ones who control and determine the direction society will take, often to the detriment of the majority who are poor and powerless. They are the ones responsible for the desperate situation of Africa today. This view is supported by Adeyemo (1990:15) by his elucidation that the coming of political independence in Africa brought a tremendous power. Ironically, power came and remains not in the hands of the masses, but in those of a small elite. The dream of our freedom fighters to unite the shattered fragments of a bitterly divided continent and create an earthly paradise remains utopian and in some areas, has turned into a nightmare. Many African national leaders treat their national offices as an exclusive right rather than publicly-bestowed responsibility. No sustainable development can be attained where only a few selfish leaders control the national economy while the majority of the citizens are languishing in poverty. For instance, in many African nations, 80% of the national wealth is enjoyed and controlled by only 5% of the population (Adeyemo, 1990), mainly the leaders and their cronies. It is sad that some African countries derive substantial income and profits from the extrication and usage of natural resources, yet they remain underdeveloped due to lack of good and sound leadership. For example, Kunhiyop (2008:142) informs that despite Nigeria earning billions of dollars from oil production, there has been no tangible and sustainable socio-economic-political development.

Nthamburi (1991:38) denotes that there is a close correlation between poverty, exploitation, and oppression in Africa. Nkonge (2015), for example, indicates that the low social and economic status of the African people and the general underdevelopment of the continent as a whole is a result of exploitation and oppression — first by the colonial governments and then by the African leaders who assumed positions of power after independence. There is so much poverty in Africa that George Kinoti reports that "One out of three Africans does not get enough to eat" (Kinoti, 1994). However, what is clear is that Africa is poor and underdeveloped — not because African peoples do not work hard — but because of exploitation by their leaders. In view of this, Nthamburi (1991: 41) says that we cannot exonerate independent African states for their contribution to the suffering of their peoples. While the quality of leadership can be measured by the degree to which a leader is able to direct social reconstruction without destabilizing the society in which he or she leads Mugambi (1995:12), African leaders have continually destabilized their societies through corruption, selfishness, nepotism, tribalism, and bribery with little cognizance of the effect of this to both the development of Africa and the challenges faced by future generations. This means that if we want to address the afflictions facing African nations including underdevelopment, poverty, corruption, ethnic conflicts, tribalism, illiteracy and disease, then we need to think of sound and distinctive leadership. Without good leadership, it will be difficult to realize sustainable development in Africa.

## Responsible Leadership for Sustainable Development in Africa

The Oxford Advanced Learner's Dictionary defines the term "responsible" as one having a job or duty of doing something or taking care of something or someone so that the actor is accountable for any negative consequences. In view of this, Gathaka (2005: 86) defines leadership as being in a position of responsibility. Thus, if one assumes a position of leadership, he/she should be ready to take the blame if anything goes wrong. The veracity of this statement has been borne out as I have personally observed this to be the situation, for in Kenya, whenever something goes wrong, it is the president and his government who receive the fallout. For instance, whenever there is drought, floods, high cost of living, insecurity, tribal wars/conflicts and strikes, usually the president incurs criticism. When schools perform poorly in national examinations, the principals are the ones identified as the culprits. When companies are generating financial losses, the managers are typically blamed. Similarly, when religious members are voluntarily relinquishing their church membership, the bishop or pastor is cited as the precipitous cause. Responsible leadership, therefore, implies that the leader is in charge, in control, and is willing to take the blame if anything goes wrong.

Stuckelberger and Mugambi (2005) remark that leaders are available in abundance, but responsible leaders are hard to find. They continue to observe that to be responsible, a leader must be responsive to the needs, concerns, and interests of those whom he/she leads. Respondents in this study were asked to say whether in their view their leaders were responsive to their needs, concerns, and interests. 146 (91.25%) replied "No," while 14 (8.75%) responded affirmatively. When they were told to explain their answers, 137 (85.6%), argued that their leaders were busy enriching themselves, their families, and friends while their constituents are left suffering. This is a desperate situation — not just for Kenya — but for the remainder of Africa as well. The continent has many leaders, but only a few (just about 8.8%) are considered responsible leaders. The leaders who mind the welfare of their people are very few. The majority of the leaders are selfish, self-centered, greedy, and only concerned with themselves at the expense of the impoverished masses. No sustainable development can be attained when a nation has such leaders. For example, in Kenya, more than 80% of the national wealth is enjoyed and controlled by only 5% of the population, who consist mainly of political leaders and their cronies (Adeyemo, 1990).

One of the characteristics of responsible leadership is the willingness of the leader to hand over power after his/her term expires. The coming of political independence in Africa brought a lot of power (Adeyemo, 1990: 15). Power in Africa is often accompanied with wealth and prestige in the forms of a fleet of escort cars, a posse of bodyguards, unquestioned authority, and many wives and concubines with or without the latter's permission. Because of the self-aggrandizement associated with power, many African leaders will do what they believe is necessary to preserve that power. Hendriks (2014) alludes to this fact by asserting that: "Today, the relationship between leadership and power may be the biggest problem that we face in our continent." He elucidates that African leaders do not want to relinquish power once secured. For instance, apart from Nelson Mandela, no African President has ever given away power after only one term in office. The results of this have been endless mass uprisings, ethnic conflicts, election violence, and military coups as people try to force them out. Such conflicts have recently been experienced in Rwanda, Democratic Republic of Congo, Kenya, Ivory Coast, Egypt, Libya, Zimbabwe, Somalia, Nigeria, Uganda, Sudan, Tunisia, Algeria, Morocco, Southern Sudan, Eritrea, Ethiopia, and Cote d'voire among others (Shah, 2014; Kunhiyop, 2008). This has really hampered the development of Africa as no sustainable development can be attained in the midst of conflicts as affirmed by the United Nations Chronicle (2016), entitled "No Peace No Sustainable Development." Responsible leadership entails good stewardship (Gitari, 2005:79). Respondents were asked the extent to which they thought responsible leadership involves good stewardship. 101 (63.12%) said to a larger extent, 52 (32.5) cited to an extent, 6 (3.75%), said to a low extent and 1(0.63%) said to no extent. Therefore, leadership and stewardship are closely connected as affirmed by 95.12% of the respondents. This implies that leaders are stewards. The Greek word for "steward" is "oikonomos," which is closely connected to the English word "economist" (Stuckelberger, 2005:2). The word Oikos means a home, house, or household (Nkonge, 2016). Thus, the oikonomos is the housekeeper who keeps the house in order (Stuckelberger, 2005:3). Leadership is the realization that all that we possess, including the people we lead, is entrusted to us by God for His service. Gitari (2005:79) possibly explains the expectations from a responsible leader as a steward by his assertion that:

*A steward is a person who is appointed to manage a house or property of his employee. The household or property does not belong to him, it belongs to another person. His work is to manage. He can be a good or a bad steward. But in the final analysis he has to give account of his management.*

In this regard, one does not fail to see the correlation between leadership and management.

A responsible leader is a good manager. It is unfortunate that Africa, a continent rich with natural resources, continues to experience incessant underdevelopment and other hindrances. This is a manifestation of lack of good managers of our resources. Koontz, et. al (1984:7) see a connection between proper management and resource development and observe that:

*. . . the importance of management is nowhere better dramatized than in the case of many undeveloped or developing countries . . . provision of capital or development does not ensure development, the limiting factor in every case has been lack of quality and vigour in the part of the managers.*

Stuckelberger (2005:3) prefers to use the term "good manager" when referring to a "responsible leader." For the development of Africa, African leaders must start to realize that they are accountable before God. As noted by Gitau (2000), they have a responsibility towards African land, natural resources, ecology, human resources, and everything else placed under their care by the Creator. The following Christian biblical principles, highlighted by David Kadalie, serve as vital guidelines for any person called to be a leader in post-independent Africa:

1. God owns and retains ownership of everything and everyone.
2. God has made stewards on earth, to till and keep the land.
3. God will judge each of us in respect of our stewardship during our stay here on earth.
4. God intends that our stewardship be that of a guardian, curator, manager, or an executor.
5. God warns us to understand our roles. We are stewards not owners.
6. God, as the owner, sets the standards and expectations for stewardship. It must be done according to His will before He gives rewards. It must be managed assertively for the future. It must be guarded (Kandalie, 2006:176-7).

In Luke 16: 1-13, Jesus gives the parable of the shrewd manager or the unjust steward, who instead of caring for his master's possessions was wasting them (v.1). In our case, this manager exemplifies the character of an irresponsible leader. A key challenge for responsible leadership is the management of resources, including energy, water, air, soil (natural resources), property of goods and services (material resources), financial resources, human resources, and structural resources (Stuckelberger, 2005:9). As previously stated, Africa is richly endowed with all these resources. In the midst of underdevelopment, environmental degradation, poverty, incurable diseases, endless ethnic clashes, corruption, illiteracy and other vices, God/master is asking us, "What is this I hear about you? Give an account of your management because you cannot be manager any more" (Luke 16: 2). African leaders need to be responsible with what has been entrusted to them. This is what will ensure a sustainable development in post-independent Africa.

## Conclusion

Leadership is the most formidable challenge that post-independent Africa faces. We are underdeveloped or poor — not because of deficiency in resources — but due to poor management of these resources. Although Africa has many leaders, responsible leaders are virtually nonexistent. While leaders should be responsive to the needs of their constituents (responsible leadership), African leaders, especially political leaders, have ignored the common needs of their people, concentrating instead on amassing wealth for themselves, their relatives, and cronies. This has put the entire continent in a very desperate and seemingly hopeless state of underdevelopment. Africa is endowed with a variety of resources yet the African children continue to experience extreme poverty, poor transport, unreliable communication networks, poor healthcare facilities, untenable living standards, and perpetual ethnic conflicts. Recently, there has been a heightened global awareness advocating a marshaled response to the needs of the African people, for foreign governments and donors to focus their attention on developing Africa.

Many university handbooks and organizational guidelines have pinpointed sustainable institutional development as a primary objective. What Africa has failed to realize, however, is that such sustainable development cannot be attained in the absence of responsible leadership. For the proper development of Africa, the African people and policymakers must start to think about how this can be achieved. In this regard, no African should take voting lightly as the kind of leaders we elect largely determines the route our continent takes in terms of development.

It is therefore imperative that the following recommendations be adopted and implemented towards fulfillment of this objective:

1 Incorporate "responsible leadership" into the core curricula for learning institutions in Africa. It should be made compulsory instruction to students in all disciplines as they will most likely become the future leaders of their respective countries following the completion of their studies.
2 The importance of responsible leadership for sustainable development in Africa should be emphasized in all forum discussion and debates, e.g., conferences, public gatherings, religious gatherings, and workshops.
3 Government policies in the African nations should be geared towards developing citizens for responsible leadership as this is what we are lacking.
4 Constitutions of the African nations should emphasize the need for responsible leadership in governance.

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# Burning Man Values Examined: Gratitude as a Culturally-Driven and Value-Based Organizational Mainstay

**Abstract**

*Gratitude expression is examined as a culturally-derived principle that can be adopted as a best practices strategy that can make organizations more dynamic and human relationships more meaningful. Burning Man is presented as an exemplar of gratitude implementation by crafting the expression of gratitude into an elevated organizational phenomenon (including a cultural principal of unconditional gifting). Burning Man has also crafted a "Culture of Appreciation" as a set of organizationally-derived practices complementary to processes of gratitude implementation. The paper concludes with a discussion of gratitude and appreciation as an organizational mainstay.*

## Introduction

> *Kindness is like the language which the deaf can hear and the blind can see.*
> — Mark Twain

The general thrust of this paper is encapsulated if the word "gratitude" is substituted for the word "kindness" in the Mark Twain quote above. This is because the power and behavior potentialities of gratitude are often poorly developed and rarely manifested in organizational settings. Yet, with proper execution and timing, gratitude can transform relationships, spawn motivation, and create lasting organization and/or relationship commitments. A values-based decision to operationalize a concept such as gratitude can be viewed by organizational members as a trigger for organizational commitment (Yates, 2014). Gratitude produces a language and a virtuous cycle of exchange and appreciation that can work equivalencies such that a non-motivated individual can learn consequence of effort and a non-committed individual can see purpose and individual focus. As Solomon (2004, p. vii) states, "Gratitude is one of the most neglected emotions and one of the most underestimated of the virtues."

A bonus from an application and practitioner-adoption perspective is that the expression of gratitude can usually be delivered at a low-economic cost. While some of the gifts and gratitude exchanges described in this paper are material, many and perhaps most gratitude exchanges are zero or low-cost behaviors. Extrinsic rewards cost money and often only function to produce extrinsically-driven motivations that can be temporary. In contrast, gratitude exchanges very often trigger intrinsic motivational factors. As an additional practitioner bonus, a low-cost gratitude exchange — such as a timely act of recognition — can activate intrinsically-motivated behaviors that can become self-perpetuating.

This paper addresses the manner in which Burning Man has taken the general concept of gratitude, and crafted the expression of gratitude into a cultural phenomenon (including unconditional gifting) and the creation of a Culture of Appreciation as a set of organizationally-derived practices. The paper begins with an examination of the concept of gratitude and the role gratitude plays in human relationships. The discussion will then move to a focus on the Burning Man organization as an exemplar in the creation of gratitude processes and dynamics, as well as the preservation of gratitude and appreciation as an organizational mainstay.

## Aspects of the Concept of Gratitude

Gratitude falls under the general umbrella of the positive psychology movement (Seligman & Csikszentmihalyi, 2000). It is both a manifestation of a human virtue and a human strength. As a virtue, it allows people to live their lives well, with a better quality of existence as they live their lives in the world of the present. As a strength, gratitude reflects aspects of many religious practices and many cultures and philosophies.

Free Dictionary.com (2016) defines gratitude as "the quality of feeling or being grateful or thankful" and "a feeling of thankfulness or appreciation." This definition reflects the emotional aspects of gratitude. Gratitude also impacts the person receiving the gift of gratitude, and as it affects the relationship between the two parties going forward. Fitzgerald (1998) describes gratitude as having three components: 1) appreciation for someone or something, 2) a goodwill towards that person or thing, and 3) a disposition to act that flows from appreciation or goodwill.

Buck (2004) distinguishes between the gratitude of exchange and the gratitude of caring. In the former, the sender of gratitude accrues benefits and the receiver accrues costs (Buck, 2004). Gratitude as exchange triggers imageries such as reciprocity, equity, and lingering obligations in relationships (Becker, 1986). Feelings of pride of accomplishment and a deepening of a relationship could come from gratitude of exchange wherein the benefactor gives unconditionally. Failure of gratitude as exchange can yield feelings of failure in reciprocity (Becker, 1986), guilt, or shame.

In contrast, the gratitude of caring occurs in a relationship of love and bonding, and is thus mutually supportive such that the more one gives, the more one receives (Buck, 2004). This in turn creates potential for trust, active listening, empathy, and perhaps altruism. Thus, the intent of an act of gratitude matters.

Adam Smith (1790/1976) envisioned a society based on gratitude and goodwill. The culture and 10 principles of Burning Man are based on community and shared values, including the concept that no one has to share anyone else's values. The purposeful adoption of gratitude as an organizational mainstay reflects Burning Man's adoption of a transformational leadership approach designed to facilitate participant transformational experiences. Burning Man's application of gratitude has aspects of the four transformational leadership dimensions identified by Ghasabeh and Provitera (2017): idealized influence, individualized consideration, intellectual stimulation and inspirational motivation. The behavioral examples described later in this paper will illustrate these phenomena as they have been actualized and observed at the Burning Man event. This is one factor in Burning Man's extraordinary growth into a worldwide cultural movement (Harvey, 2000), and Burning Man's survival for over 30 years as a cultural phenomenon. The Burning Man organization, now officially named the Burning Man Project, has recently shifted into a non-profit dedicated to modeling possibilities of a new social system and a unique cultural viewpoint based on the 10 Principles of Burning Man. We examine gratitude via Burning Man's 10 Principles, the Culture of Appreciation within the Burning Man Project, and the practices of gifting at the Burning Man event as a cultural exemplar for the 21st century organization.

## The Norm of Reciprocity

The giving and receiving of gratitude involves patterns of exchange and reciprocity between parties. Gouldner's (1960) seminal work on reciprocity begins by quoting Cicero: "There is no duty more indispensable than that of returning a kindness" (1960:161). Cialdini (2001) discussed the rule of reciprocation: "The rule says that we should try to repay, in kind, what another person has provided us" (2001, p. 20) and characterized the rule as universal, as have others (Becker, 1986; Gouldner, 1960). Gouldner (1960) discussed two reciprocity demands – helping and also not injuring those who have helped them. Becker (1986) considered the obligatory aspect of reciprocity in the context of families, society, the law, and to future generations, thus rendering this argument as virtue-based and

***Figure 1*: Desert flats – Home to Black Rock**

essentially a reflection of character. People with character and integrity reciprocate following their intrinsic interpretation of the norm of reciprocity — not out of duty or obligation — but as an extension of their personal set of values.

Finally, we contend that reciprocity must be purposeful to be sincere. Reciprocity is a well-defined activity with an aspect of focused behavior, not a collection of random events.

## The Setting: What is Burning Man?

The Burning Man festival has been described as "new-age apocalyptic" — analogous to Mad Max meeting the Disneyland Light Parade, the internet being brought to life, the confluence of the Super Bowl and Mardi Gras, "Disneyland turned inside out" (Harvey, 2002), and "the most profound and subversive idea to surface in decades" (Doherty, 2004: foreword). Regardless of these descriptors, the truth is that Burning Man cannot really be fully or completely accurately depicted; it can only be experienced and subsequently internalized on an individual basis.

***Figure 2*: 40-foot Wooden Man Figure Used in Festival**

This annual weeklong alternative festival takes place in the Black Rock Desert of northern Nevada at the end of every summer. Annual attendance over 30 plus years has grown to a capped number of over 75,000. Out of nothing, Black Rock City (the name given to the temporary city built in the Black Rock Desert) appears in the barren desert flats (*Figure 1*) as people from 50 states and over 30 countries worldwide converge for a transformative, life-changing week. It all culminates when a giant 40-foot tall wooden man figure (*Figure 2*) is set aflame and burned to the ground. The Burning Man festival is part social experiment, part performance art, and part desert endurance race. "Burners" — as participants of the Burning Man festival are known — become members of a unique culture, complete with explicit rules based on the ten principles of Burning Man.

## The 10 Guiding Principles of Burning Man

Burning Man is characterized by visually spectacular sights (*Figure 3*), spontaneous energy and unique transformative experiences. As a result, the event could be naively seen to be chaotic or perhaps even poorly organized. However, the Burning Man Project is actually a highly purposeful organization. This purpose combines cultural creation, managerial effectiveness in a turbulent environment, and cultural maintenance to confront threats to organizational survival.

Participants or "Burners" are defined by Burning Man (2017) as citizens "of the worldview that Burning Man is omnipresent and may be encountered anywhere."

Gratitude and appreciation are organizing principles of the Burning Man community and worldview, and are embedded in the organization's practices and behavioral guidelines.

*Figure 3*: **Fireball characterizing Burning Man**

The Burning Man Project's culture adopts 10 unique guiding principles which generate aspects of community and shared experience that yield the requisite energy for transformation of self — all the while immersed in a unique cultural environment. The 10 Principles of Burning Man are:

**Radical Inclusion:** Anyone may be a part of Burning Man. We welcome and respect the stranger. No prerequisites exist for participation in our community.

**Gifting:** Burning Man is devoted to acts of gift giving. The value of a gift is unconditional. Gifting does not contemplate a return or an exchange for something of equal value.

**Decommodification**: In order to preserve the spirit of gifting, our community seeks to create social environments that are unmediated by commercial sponsorships, transactions, or advertising. We stand ready to protect our culture from such exploitation. We resist the substitution of consumption for participatory experience.

**Radical Self-reliance**: Burning Man encourages the individual to discover, exercise, and rely on his or her inner resources.

**Radical Self-expression**: Radical self-expression arises from the unique gifts of the individual. No one other than the individual or a collaborating group can determine its content. It is offered as a gift to others. In this spirit, the giver should respect the rights and liberties of the recipient.

**Communal Effort**: Our community values creative cooperation and collaboration. We strive to produce, promote, and protect social networks, public spaces, works of art, and methods of communication that support such interaction.

**Civic Responsibility**: We value civil society. Community members who organize events should assume responsibility for public welfare and endeavor to communicate civic responsibilities to participants. They must also assume responsibility for conducting events in accordance with local, state, and federal laws.

**Leaving No Trace:** Our community respects the environment. We are committed to leaving no physical trace of our activities wherever we gather. We clean up after ourselves and endeavor, whenever possible, to leave such places in a better state than when we found them.

**Participation:** Our community is committed to a radically participatory ethic. We believe that transformative change, whether in the individual or in society, can occur only through the medium of deeply personal participation. We achieve being through doing. Everyone is invited to work. Everyone is invited to play. We make the world real through actions that open the heart.

**Immediacy:** Immediate experience is, in many ways, the most important touchstone of value in our culture. We seek to overcome barriers that stand between us and a recognition of our inner selves, the reality of those around us, participation in society, and contact with a natural world exceeding human powers. No idea can substitute for this experience.

Larry Harvey, as visionary, created his synthesis of the 10 Principles for the nascent Burning Man community. This vision forged the foundation a new cultural entity which transformed the annual trek to the Black Rock Desert into a global community (Harvey, 2000) with lasting cultural outreach:

> *Every year thousands of people return from the desert and ask themselves how they might take what they have learned from Burning Man and apply it to the realm of daily life. Increasingly, they are surrounded by communities of other burners — people like themselves, who are accustomed to cooperating and collaborating with one another, not merely competing. These are folks who know that there are certain values that depend on one's immediate experience — essential spiritual values — that should never be commodified* (Harvey, 2006).

Burning Man is thus not a mere "drop in" casual event, but an intense, immersive experience that transforms participants. The Burning Man culture and ethos, whether actualized in a dust storm on the desert or in a San Francisco office cubicle exemplify what Weick (2007) calls "moments that matter." Expressions of gratitude and appreciation represent some of those moments.

## Burning Man's Culture of Appreciation

Burning Man's focus on expressing gratitude and showing appreciation came into focus somewhere around 2005. The issue surfaced and was then discussed in detail at the 2005 Burning Man Annual Retreat, a weeklong post-event gathering of Burning Man staff members and key decision-makers. Questions were discussed such as: 1) "How can we do a better job of showing our gratitude to the volunteers and selfless workers who make our event possible?" 2) "What are some reasons people feel unappreciated?" and 3) "What are the impacts or costs of people feeling unappreciated?"

From these discussions, the phrase "Culture of Appreciation (COA)" was coined to encapsulate an emerging philosophy centering on behaviors and practices central to showing gratitude and feeling appreciation. This culture transcends relationships and exchanges, and reflects emotions that are as much a heartfelt philosophy as a relationship practice.

When Burning Man implemented COA, several key insights emerged. One is that timing and context are important in gratitude exchanges and appreciation expressions. If gratitude is overly institutionalized, acts of gratitude can become routine, seem forced, and ultimately become a hollow ritual, delivered on schedule and without passion. This can result in gratitude thwarting attempts for a COA.

Conversely, when acts of gratitude and appreciation contain spontaneity and genuineness, they give the receiver immediate gratification, leading to a greater sense of organizational identity and aligning individual and organizational purpose (Yates, 2014). Executed in this fashion, gratitude becomes more than simply being grateful to the source of a gift of appreciation, but also reaffirms relationships with each other and to the organization's COA as an expression of transformational leadership (Ghasabeh & Provitera, 2017). Ideally, such moments may yield personal transformation and self-insight, reminiscent of Mark Twain's saying, "The two most important days of your life are when you are born and when you find out why."

## Appreciation and the 10 Principles

The COA, as exercised within the 10 principles of Burning Man,[1] implements the power of gratitude via a chosen set of behaviors. In this sense, appreciation has three dimensions:

1) **Appreciation of behaviors**. This is gratitude experienced through the welcoming of exchange.
2) **Appreciation of the Other's point of view (AOPOV).** Appreciation does not require agreement if expressed correctly. AOPOV simply recognizes and validates that a person has invested energy, time, and thought (rational or not) in the stance they have taken. When people use active listening techniques such as empathy or reflection to demonstrate their understanding and appreciation of another person's point of view, they are essentially honoring another's investments. This conveys AOPOV, even if agreement is withheld.
3) **Appreciation of the Other as a whole person.** This involves an appreciation of a person's intellect, emotions, demonstrated behaviors, and spiritual perspectives and values. This holistic type of appreciation epitomizes the Burning Man principle of radical inclusion. By appreciating another as a whole person, you include them in your sphere of influence by: a) rewarding them with recognition, b) giving them acknowledgment, and c) showing them appreciation. Therefore, when you use radical self-expression to communicate your understanding and appreciation of their point of view, you honor them as persons.

Burning Man's COA allows people to speak and be heard, to express emotions and feel that they made an impact. This creates intellectual and emotional "venting" that allows the person to feel grounded in the moment and available for participation. Subsequent participation behaviors convey more honesty and depth of emotion, mindfulness, creative ideas, and values. Fun and passion, now become attainable.

## Representative Examples from Burning Man

The expression of gratitude is a valuable organizational asset, and instances of gratitude and exchanges are common Burning Man experiences — by design. The stories, personal

[1] http://blog.burningman.com/10principles/

expressions, and narratives described below illustrate this conscious effort. The lead author has been engaged in the Burning Man event as a Burning Man Senior Staff member (equivalent to a VP position) for 18 years. Acting as scholar, the lead author actively engaged in participant/observer research beginning in 2004. Numerous notes and journals comprised the first phase of data collection. The researchers systematically screened and interviewed participants via videotape recordings in 2013 and 2014. The interviewed participants were asked to reflect on their Burning Man experiences. The examples listed below are gleaned from these observations and interviews. The examples cited are arranged from more general examples to examples that are more specific.

***Figure 4*: Temple of Gratitude**

***Temples of gratitude.*** One of the most moving art installations on the playa is the annually constructed and burned temple, which burns on Sunday night, often in reverent silence, surrounded by thousands. In the setting of the temple, people experience deep feelings of gratitude, sorrow, and joy as they commemorate significant milestones in their lives. A picture of a pet is taped to the wall of the temple with the inscription, "Thanks for all your love for all those years." Next to a faded picture of a young man circa 1950, someone writes, "Dad, you gave me so much. Only now after you have left me do I see the value of what you taught me." These acts of expressed gratitude are evidence that the person making the statement(s) has been profoundly moved. Participants move through and around the temple in respectful silence and speak in whispers. When the authors asked participants how they felt in the temple space, they almost universally expressed gratitude to the temple builders for gifting them this experience.

***Temple builders' expression of gratitude.*** A common question to temple builders has been "Why do you do this?" The answers consistently reflect the exchange of gratitude. One young man travelled in 2014 from Ireland just to help to build the temple, having undergone a transformative experience at Burning Man in 2012, saying "I just had to come back and repay to this community for what this community has given to me. Since the temple is the place with the most emotion, I felt it was the best place to repay my debt." Another builder responded, "My intent is to create a space here where people feel safe enough to look within themselves. I feel lucky to be able to do this for Burning Man, and I feel blessed that people use it in ways they find meaningful."

***Tears and tea.*** The 2013 temple was a wooden pyramid containing a giant basalt rock altar (see Figure 4). We observed a young woman serving from an elaborate self-created tea setup, complete with tablecloth, teapots, and personal touches. When approached, she would offer a small, almost symbolic cup of tea and crackers. When we asked why, she replied, "I am not a great artist…, so I cannot give a gift of art. I am not good with tools so I cannot help people build things. But I do make a good cup of tea… This place gives me the chance to be myself." Then, with tears in her eyes, "I sit in this temple, I look into myself and I am transformed."

***The Department of Public Works (DPW).*** Denman-Underhill (2015) labeled the DPW as "the dedicated soldiers of Black Rock City." These temporary workers who build, tear down, and clean up Black Rock City do so as an expression of gratitude. DPW workers describe "putting their lives on hold" to work on the playa. Says a heavy machinery crew member, "It's about doing what is right…You get to work with people who not only appreciate what you do, but as an operator, are inspired and want to help them create their vision. It's very fulfilling." He goes on, "At your normal job back home, people don't care. You are there to just do what you do. Here, you play an integral part, and the artists really appreciate that you are helping them. You create something great out here, and you can't really put a price on that." These quotes illustrate the intrinsic motivational aspects of the giving part of gratitude mentioned earlier. A different individual expressed a gratitude feedback loop, saying "Once you start working, it's not the event that keeps you here. It's the people who you work with…The event becomes the least significant part of your experience." This statement demonstrates individual-level gratitude exchange dynamics and how they create and reinforce quality in relationships.

***Scene observed during Burning Man***: A typical moment from 2002 illustrates the Burning Man principles of unconditional and spontaneous gifting, immediacy, radical self-expression, radical inclusion**,** and leave no trace. It was late afternoon on a hot day and a woman who was evidently new to being topless has a mild sunburn. In the dry heat, she looks tired and thirsty. Suddenly, she is approached by a pirate ship (The 2002 event had a nautical art theme). The ship consists of a cascading stack of couches on top of the bottom half of a VW microbus. The "pirate ship" hull is adorned with a couple of colorful masts, a skull and crossbones pirate flag with the Burning Man symbol in the middle, and noisy, enthusiastic individuals participating as marauding pirates. As the ship pulled up next to the young woman, a costumed pirate leapt to his feet, waved a comical wooden sword, and launched into an impassioned speech with "Avast, ye maties …" The marauders performed to an audience of one, then pulled away after one of the pirates handed the woman a frozen orange Popsicle. She placed the wrapper it in the waistband of her tutu to leave no trace, licking her Popsicle and grinning ear to ear all the while.

***Gifting without expectations of exchange.*** Souwine (2015) relates this experience: "On the day of the burn, I headed out on my bike to give a message to a friend. Coated with a week of dust, my creaky bike started to give out half way…So I found a random camp of people I didn't know and asked if I could borrow a bike. They said sure, and off I went…In the time I was gone, someone in the camp had taken the time to fix my bike. And I wasn't even surprised. Because that is the culture of Burning Man."

***Examples from a Burning Man veteran***. The narrative below is excerpted from an interview with a woman who had been to Burning Man 10 consecutive years in response to, "What can you share about your experiences with gratitude at Burning Man? Try to think of examples of both showing gratitude and receiving gratitude."

- *I see the way participants use the temple as examples of gratitude…Some come to meditate, some come to decorate, and some come to mark significant milestones in their lives: births, marriages, divorce, securing or losing a job, or the death of a loved one. These commemorations are communicated in the form of photographs, art, cartoons and writings — both sacred and profane. In 2013, someone made hundreds of colorful origami cranes to decorate a corner of the temple. I saw this act as a gift to the temple builders and to Burning Man fellow participants. In the somber space of the temple, they provided a spot of joy to soothe the soul.*
- *The overwhelming majority of volunteers are participants at previous year's events who saw there were opportunities to give back to the Burning Man community. The most recognizable volunteers on the playa are those who wear uniforms (the Black Rock Rangers and Emergency Medical Services), those who wear similar costumes (the Lamplighters), and those who man specific sites (Lost and Found, the volunteers at the Department of Mutant Vehicles (DMV at Burning Man), and the ice stations Antarctica, Ice Nine, and Ice3. These volunteers are all intrinsically motivated and are grateful to have an opportunity to enhance the quality of the day-to-day lives of the participants.*
- *Man's principle of decommodification helps preserve the spirit of gifting. You cannot buy a commemorative t-shirt or anything else at Burning Man, but someone may design a t-shirt or piece of jewelry and you might be lucky enough to be gifted with an item that commemorates that year's festival. This also speaks to the principles of participation and immediacy. Other remembrances include jewelry, yoga classes, henna body art, a pancake breakfast, tutus to wear on Tutu Tuesday, and cold tap beer. I have always found the unexpected gift at Burning Man to be the one that is the most joyful to receive.*
- *I observed a ceremony wherein the Black Rock Rangers showed gratitude to law enforcement who cover the event by purchasing a memorial plaque commemorating a deputy sheriff who died during the past year. A copy of the plaque was given to the man's widow, and the other plaque was to be burned when the temple burned. This was an expression of gratitude, but it was also an example of radical inclusion at its best as Burners embraced law enforcement.*

***COA in Burning Man meetings***. A practical application of gratitude can be found in Burning Man meetings — on- or off-playa — that usually conclude with specific appreciations. These appreciations are typically offered in the lingering moment of the act that is being recognized (timing is often an important element in the experience of gratitude). Appreciations honor positive behaviors and the absence of negative behaviors. For example, a Burning Man senior manager said to a meeting participant *in* *the group's presence* at the end of a particularly turbulent meeting, "You have my thanks for not overreacting when the group seemed to crap on your idea. You hung in there despite what was said. What you did made the whole meeting work." This made the individual feel appreciated and recognized in the moment, and cemented the COA as an organizational asset to the rest of the group.

The above examples indicate the centrality of gratitude to the Burning Man experience. Like many organizations, Burning Man relies heavily on intrinsic motivation to drive outcomes such as identification with organizational purpose and creativity. Gratitude and appreciation are pillars of this motivation and culture. Indeed, the very simplicity and even mundane quality of many acts and behaviors serve to reinforce gratitude and symbolic meaning as predominant over material quality and economic value.

## Concluding Thoughts

Burning Man is a radical, aspirational organization that seeks to imagine and create a utopian alternative reality in contrast to the Western paradigmatic norms of self-interest and material gain. Instead of the rational and instrumental "economic man" predominant in the Western ethos, Burning Man builds a universe based on other-centered acts seeking to transform individuals and the self to a higher level of consciousness, expression, and morality. The COA and 10 principles are key cultural mechanisms in effecting this reality, and expressions and exchanges of gratitude are one key behavioral manifestation of that culture and principle set. In this sense, gratitude serves as a medium of exchange and has a role similar to money in a traditional economy. However, this role is profoundly different in its psychology — a psychology of intrinsic vs. extrinsic motivation.

Our last example expresses the principle of Leave No Trace (LNT) to demonstrate how the aspirations of the Burning Man organization manifest as part of a positive feedback loop of gratitude. The Burning Man organization employs a Matter Out of Place (MOOP) system to track the areas where the messes created by 75,000 participants occur. This system has identified that trash is primarily created by newbies, those who do not yet embrace the 10 principles or the Burning Man community, and those who have not yet internalized a "Burner" identity through their behavior.

In response, citizens of Black Rock City actualize the "Burner" identity by doing their best to clean up after themselves. Burning Man purposefully has neither provisions nor resources (i.e., trashcans) for citywide garbage collection and instead relies on the Leave No Trace principle. Burners make a concerted effort to clean up the camps and areas where they have lived for a week, as if they had never been there at all. Many camps also clean up adjacent areas to ensure that surrounding camps have left no trace as well. Two of the authors have repeatedly observed scores of Burners walking the area and picking up even the smallest items of debris (e.g., cigarette butts). This heartwarming set of behaviors embodies the Leave No Trace principle as Burner individuals are acting out this aspirational aspect of the Burning Man organization. This can be seen as gratitude expression by participants as they appreciate the Burning Man event, its volunteers and workers, and the Bureau of Land Management for enabling the site's use.

Leave No Trace provides evidence of the positive feedback loops unleashed by gratitude. The Burning Man organization aspires to a Leave No Trace event and unconditionally gifts the event to participants. Each person in Black Rock City, due to radical inclusion, is welcomed without preconditions. Radical self-expression enables each person to find and ascribe personalized and individualized meaning to the experience. The result is transformational learning for many participants, an unconditionally gifted experience they receive with gratitude. This becomes part of the internalized identity of the Burner, a source of intrinsic motivation, and ultimately part of the recipient's behavioral repertoire. This is exactly what is meant by "the social psychology of the gift" (Schwartz, 1967). It is therefore not surprising to see the positive feedback gratitude loop manifest as thousands of Burners reciprocate Burning Man's gift by assiduously cleaning up after themselves.

Such civic responsibility is not normal organizational behavior. However, it becomes the "new normal" for those who actualize the power of gratitude within and reinforced by a purposeful organizational culture through the norm of reciprocity. Unconditional reciprocity does not require scorekeeping and is both efficient and effective, characteristic of friendship, familial, and love relationships (Becker, 1986).

Burning Man's concepts of radical inclusion and immediacy leave no place for rank or differentiated status. Instead, via communal effort as equals, and fueled by civic responsibility, gifting is done without expectations of quid pro quo exchanges, status enhancement, or power acquisition. Thus, gifting at Burning Man has purity in purpose and benevolence in execution. This has allowed Burning Man to elevate gratitude into a cultural principle and an organizational mainstay.

We believe that this same process can apply to any organization, wherein a community of kindred spirits, guided by cultural principles and fueled by the power of gratitude, can manifest not only elevated support of organizational purpose, but also enhanced personal experiences for organizational members. First, top managers should serve as role models. All top managers should show sincere gratitude in all their dealings with all levels of personnel on a regular basis. One way to implement this would be through "management by walking around" with an attitude of gratitude and appreciation driving the content of communication feedback. Second, organizations should publicize and honor notable instances of gratitude in both internal and external communication. This would provide recognition and reinforcement of the gratitude dynamic. Third, gratitude could be one important organizational citizenship behavior that might be incorporated, perhaps with other OCBs, into an element on performance appraisals to provide a formal reward structure. Fourth, a firm might consider developing covenants with employees and managers, and include gratitude as one important element in the covenant. Finally, a firm could consider gratitude in codes of ethics and conduct by linking gratitude to recognition of the fundamental human dignity of all employees and stakeholders.

It is in this light that the power of gratitude has the potential for efficacy as a management and leadership tool in any organization.

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# SERVANT LEADERSHIP AND ITS IMPACT ON ETHICAL CLIMATE

**Abstract**

*Many leaders in intercollegiate athletics are under attack due to an overemphasis on winning and revenue generation. In response, some have recommended a transition to a servant leadership approach because of its focus on the well-being of followers and ethical behaviors (Burton & Welty Peachey, 2013; Welty Peachey, Zhou, Damon, & Burton, 2015). The purpose of this study was to examine athletic directors' potential demonstration of servant leadership and possible contribution to an ethical climate in NCAA Division III institutions. Participants were 326 athletic staff members from NCAA Division III institutions. Results indicated athletic staff members believed athletic directors displayed characteristics of servant leadership. Athletic department employees perceived athletic directors exhibited servant leadership characteristics of accountability, standing back, stewardship, authenticity, humility, and empowerment most often. Staff members who perceived athletic directors displayed servant leadership characteristics were more likely to report working in an ethical climate. If athletic directors choose to model the characteristics of servant-leaders, they could promote more fully the NCAA Division III philosophy of prioritizing the well-being of others, being a positive role model for employees, and fostering ethical work climates within their athletic departments.*

## Examining Athletic Directors' Demonstration of Servant Leadership and its Contribution to Ethical Climate in NCAA Division III Institutions

Athletic directors who lead intercollegiate athletic programs directly influence the lives of hundreds of employees and thousands of student-athletes. Possibly nowhere has this been more impactful than in the 450 institutions holding membership in Division III of the National Collegiate Athletic Association (NCAA). NCAA Division III is unique with student-athletes comprising an average of 19% of undergraduate student bodies and reaching as high as 50% (Sagas & Wigley, 2014). In alignment with NCAA Division III philosophy, athletic directors should prioritize student-athletes' academic programs and view athletic participation as integral to students' overall college experiences (National Collegiate Athletic Association, 2016). Servant leadership, a leadership philosophy focusing on putting the needs of followers first with an emphasis on integrity, stewardship, and strong moral values, aligns well with the NCAA Division III philosophy. This philosophy states, "Colleges and universities in Division III place the highest priority on the overall academic quality of the educational experience and on the successful completion of all students' academic programs" (National Collegiate Athletic Association, 2016, n.p.). NCAA Division III differs from NCAA Divisions I and II because institutions in Division III do not award athletic grants-in-aid and the Division III philosophy prioritizes overall educational development of student-athletes. Because of Division III's greater emphasis on academics, overall educational experiences, and non-athletic scholarship programs, we intentionally examined this division through the possible lens of servant leadership.

Yet even within NCAA Division III, current leadership styles may focus too heavily on winning and increasing revenue, with some athletic directors losing sight of the importance of serving their followers (Burton & Welty Peachey, 2013). Even NCAA Division III institutions use intercollegiate athletics, and especially football, to increase their overall institutional profile, campus vibrancy, and male enrollments ("Colleges and Universities Offering Football Increases," 2015). Bowen and Levin (2003) reported recruited student-athletes in NCAA Division III enjoyed a significant admissions advantage over other applicants and arrived on campus with substantially lower SAT scores. Recruited student-athletes had substantially lower SAT scores, majored in social science and business fields of study, limited most of their extracurricular activities to their sport, lived with other student-athletes as evidence of the existence of a separate athletic "culture," and earned far lower grades than other student-athletes who were walk-ons and other students (Bowen & Levin, 2003). These findings do not appear congruent with the espoused philosophy of placing the highest priority on the overall quality of educational experiences and successful completion of students' academic programs (National Collegiate Athletic Association, 2016).

Burton and Welty Peachey (2013), Welty Peachey et al. (2015), and DeSensi (2014) called for a refocus of leadership within athletic departments of NCAA-member institutions to emphasize servant leadership. Servant leadership may be a natural fit for NCAA Division III athletic directors based on the division's philosophy. Greenleaf (1970) stated, "The servant-leader is servant first. It begins with the natural feeling that one wants to serve" (p. 1). Servant-leaders exhibit a heartfelt motivation and commitment to serving others. Rather than wielding power in a self-serving way and dominating others, servant-leaders empower people. Servant-leaders fashion consensus around shared goals, and care for and empathize with the concerns of others. Servant-leaders earn and build trust. The servant-leader, declared Greenleaf (1977), focuses on employees and ensures meeting other people's needs is the highest priority. As a servant-leader, an athletic director could model behaviors encouraging staff members to focus on serving student-athletes' needs and providing quality experiences supporting their progress toward graduation. A servant leadership approach could replace an imbalanced focus on winning and revenue generation that has become the priority for many leaders within intercollegiate athletics (Burton & Welty Peachey, 2013; DeSensi, 2014). By prioritizing the needs of followers, servant-leaders increase the likelihood of achieving organizational success because followers who feel their leaders genuinely care for them will be more motivated to work toward institutional goals (Chan & Mak, 2014; Joseph & Winston, 2005; Parris & Welty Peachey, 2013).

Burton and Welty Peachey (2013) suggested investigating if intercollegiate athletic administrators adopting servant leadership behaviors might influence different responses to ethical issues facing the commercialization within intercollegiate athletics. While two studies were found that specifically examined leadership in Division III, including one on the effects of transactional and transformation leadership (Burton & Welty Peachey, 2009) and the other on the impact of leadership style and organizational goals on emotional exhaustion, job stress, and personal accomplishment (Ryska, 2002), NCAA Division I athletics programs get most of the media exposure and are most often studied by sport management scholars (e.g., Burton, Welty Peachey, & Wells, 2017; Gaul, 2015; Gurney, Lopiano, & Zimbalist, 2017). To address the void of information about NCAA Division III institutions, this study examined the relationship between servant leadership and ethical climate in NCAA Division III athletic departments. The purpose of this study was to examine whether athletic department employees in NCAA Division III institutions perceived athletic directors demonstrated characteristics of servant leadership and contributed to an ethical climate work environment.

## Review of Literature

### *Servant Leadership*

A strong moral compass is an important aspect of servant leadership, which according to Burton and Welty Peachey (2013) is a people-centered approach to leadership including an ethical component. Greenleaf (1977) coined the term servant leadership as a group-oriented approach to strengthening institutions with the primary purpose to focus on employees and the community, not profit. In his early work on servant leadership, he offered a test of servant-leaders when he stated,

> *Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, and more likely themselves to become servants? And, what is the effect on the least privileged in society? Will they benefit, or at least not further be harmed?* (p. 13)

Servant-leaders place the interests, needs, and aspirations of others before their own (Greenleaf, 1977). Put simply, servant-leaders seek first to serve, not to lead. According to Stone, Russell, and Patterson (2004), servant leadership provides an alternative approach to leadership espousing organizational objectives are best achieved "on a long-term basis by first facilitating the growth, development, and general well-being of the individuals who comprise the organization" (p. 355).

Another core element of servant leadership is its focus on ethical behaviors (Ehrhart, 2004). Servant-leaders make informed decisions based on ethical and moral considerations (DeSensi, 2014), driven by core personal values such as honesty and integrity (Russell, 2001). While everyone faces choices about whether to do what is right or not, Frick and Spears (1996) declared the servant-leader "wants to do what is morally or ethically right, wants to deliver on obligations, and wants to act with competence" (p. 26). Thus, athletic directors who act as servant-leaders have opportunities to positively shape and nurture ethical climates in their organizations. Servant-leaders can institute and preserve an ethical organizational climate if they embrace and model ethical standards, as advocated by Reed, Vidaver-Cohen, and Colwell (2011).

When servant leaders modeled ethical behaviors, and were trusted by their employees, positive organizational outcomes outside of sport-related organizations, such as employee job satisfaction and organizational commitment, were found (Chan & Mak, 2014; Sharif & Scandura, 2013). Additionally, subordinates were more willing to articulate concerns or address conflict in their daily activities within an ethical environment (Burton & Welty Peachey, 2014). Followers were more likely to display a sense of obligation or indebtedness to leaders who treated them fairly and were trustworthy (Brown & Mitchell, 2010).

As servant leadership evolved, researchers have attempted to define and measure concepts related to practicing servant leadership. Van Dierendonck and Nuijten (2011) developed and validated the Servant Leadership Scale (SLS) and identified eight important constructs related to effective leadership — empowerment, accountability, standing back, humility, authenticity, courage, forgiveness, and stewardship. *Table 1* includes brief descriptions of each construct along with a supportive comment from the literature. The SLS scale developed by van Dierendock and Njuiten (2011) provides a way to measure whether followers perceive their leaders are displaying servant leadership characteristics; however, the examination of the use of servant leadership within sport organizations is limited.

***Table 1:*** **Servant Leadership Constructs in the Servant Leadership Scale**

| Servant Leadership Constructs | Based on Descriptions of van Dierendonck and Nuijten (2011) | Supportive Concepts in Related Literature |
| --- | --- | --- |
| **Empowerment** | Enabling and encouraging the professional development, decision-making abilities, and sense of person power of others. | Servant-leaders give away their power, such as by including others in decision-making and facilitating followers' effectiveness (Liden, Wayne, Zhao, & Henderson, 2008). |
| **Accountability** | Giving responsibilities to others and hold them accountable for performance and outcomes. | Servant-leaders share responsibility and hold people accountable for performances they can control (Finely, 2012; Konczak, Stelly, & Trusty, 2000). |
| **Standing back** | Prioritizing the interests of others and making sure followers receive support for tasks and credit for successes. | Baggett (1997) claimed servant leaders cherished the joy of seeing others succeed. |

| | | |
|---|---|---|
| **Humility** | Keeping personal accomplishments and talents in proper perspective. | Hunter (1998) described humility as being without pretense or arrogance. |
| **Authenticity** | Expressing inner thoughts and feelings consistently. | Authenticity means accurately representing —privately and publicly — internal states, intentions, and commitments (Peterson & Seligman, 2004). |
| **Courage** | Showing a willingness to take risks and try new approaches. | Courage, one of the six cardinal virtues, positively affects leaders' effectiveness (Hackett & Wang, 2012). |
| **Forgiveness** | Understanding, appreciating, and being empathetic toward the feelings of other. | Servant-leaders can display forgiveness by creating an atmosphere of trust where people feel accepted, are free to make mistakes, and know they will not be rejected (Ferch, 2005). |
| **Stewardship** | Taking responsibility and serving others more than self. | Spears (1995) defined stewardship as holding something in trust and serving the needs of others. Stewardship involves taking responsibility for the larger institution and serving it, as opposed to exerting control over others and showing self-interest (Block, 1993). |

Investigations of servant leadership in sport are limited. In one study, Kim, Kim, and Wells (2017) presented the Servant Leadership for Sport Organizations model as a framework for coaches' use of servant leadership in sport. They suggested antecedents of servant leadership included a leader's individual characteristics and organizational culture and demonstrated how servant leadership positively affected relationship quality and subsequently team and individual outcomes. Kim et al. (2017) emphasized the importance of commitment and trust in relationships developed by servant-leaders. While potentially beneficial for understanding servant leadership in the context of sport, this conceptual model needs testing empirically.

The impact of being coached by a servant leader on student-athletes' mental and physical performance has been examined. According to Rieke, Hammermeister, and Chase (2008), high school basketball players who perceived their coach possessed qualities of servant leadership displayed higher intrinsic motivation were more task-oriented, reported more satisfaction, were mentally tougher, and performed better than athletes coached by non-servant-leaders. Similar positive outcomes, such as increased satisfaction with individual performance, team performance, personal treatment, training, and instruction, and higher levels of interest and enjoyment in their sport, also were reported when athletes perceived their coaches to be servant-leaders (Hammermeister, Burton, Pickering, Westero, Baldwin, & Chase, 2008). If players performed better under coaches who were servant-leaders, it would seem that athletic departments would benefit from having athletic directors who portray the qualities of servant-leaders.

Using van Dierendonck's (2011) six dimensions of servant leadership, Wells and Welty Peachey (2016) studied whether leaders within a nonprofit sport-for-development agencies (SFD) organization, Street Soccer USA, exhibited traits of servant leaders. When Street Soccer USA bosses or coaches portrayed the qualities of servant leaders, sport organizations were more successful. All organizational leaders from the founder to the regional coordinator empowered their followers, while also displaying the qualities of authenticity, interpersonal acceptance, providing direction, and stewardship (Wells & Welty Peachey, 2016). They concluded servant leadership was important in the SFD context, but they could not claim all Street Soccer USA leaders exhibited servant-leader behaviors (Wells & Welty Peachey, 2016).

## Ethical Work Climate

Servant leadership with its focus on ethical behaviors (Ehrhart, 2004) might be the leadership approach best suited to promote the existence of ethical climates within organizations. An Ethical Work Climate (EWC) is comprised of employee perceptions about organizational policies, practices, and values with ethical consequences (Victor & Cullen, 1988). Ethical leadership, as modeled by servant-leaders, plays a critical role in shaping perceptions of an ethical climate (Neubert, Carlson, Kacmar, Roberts, & Chonko, 2009). Research points to an ethical work climate as an important component of an organization's ethical culture, influencing ethical decision-making and behavior (Martin & Cullen, 2006; Trevino, Butterfield, & McCabe, 1998; Victor & Cullen, 1988). Employees who perceived they worked for an organization with an ethical climate were less likely to have turnover intentions (DeConinck, 2011; Jaramillo, Mulki, & Solomon, 2006; Mulki, Jaramillo, & Locander, 2006; Pettijohn, Pettijohn, & Taylor, 2008). Other potential benefits for organizations perceived as ethical included having to devote fewer resources to advertising and publicity to ameliorate negative press, providing a foundation for customer trust, and supporting positive ethical behavior by employees (Burton & Welty Peachey, 2014; Mulki et al., 2006; Pettijohn et al., 2008).

While the EWC framework has been the primary model used for ethical climate research in nearly 75% of all ethical climate studies (Arnaud, 2010), this framework has continued to receive criticism (Arnaud & Schminke, 2012; Vaicys, Barnett, & Brown, 1996; Wimbush, Shepard, & Markham, 1997). One of Arnaud's concerns was whether the model was comprehensive enough to capture the ethical climate construct's breadth (Arnaud, 2010). Building on Kohlberg's (1984) six stages of moral development and Victor and Cullen's (1988) framework of shared moral reasoning of individuals, Arnaud (2010) developed and validated an Ethical Climate Index (ECI) through three studies of ethical work climate. The ECI (2010) uses the moral reasoning element from Victor and Cullen's EWC (1988) along with the four-component model of ethical decision-making by Rest (1984, 1986) as a foundation. The four ECI components are collective moral sensitivity, collective moral judgment, collective moral motivation, and collective moral character (Arnaud, 2010). Collective moral sensitivity involves prevalent norms existing in a social system for both moral awareness and empathetic concern. Collective moral judgment encompasses norms of moral reasoning used to judge morally right actions. The collective moral motivation component involves prevalent values of a social system and whether moral values such as honestly, fairness, or helping are generally prioritized over other values such as power, control, or personal achievement. Collective moral character describes whether an individual has personal strength to follow through on the most ethical course of action. The creation of the ECI provided a new scale to determine whether ethical climates exist in today's workplaces.

The research examining the relationship between servant leadership and EWC is sparse (Jaramillo, Bande, & Varela, 2015). Jaramillo, Grisaffe, Chonko, and Roberts (2009) found salespeople who worked for servant-leaders were more likely to believe their firm operated at higher levels ethically and willing to go well beyond normatively expected standards of ethical conduct. College students who possessed servant leadership traits were more likely to perceive unethical actions like cheating on a test as unacceptable (VanMeter, Grisaffe, Chonko, & Roberts, 2013). In a study on servant leadership in NCAA Division I athletics, Burton et al. (2017) determined servant leadership fostered trust, which then improved perceptions of ethical climate in the sport organization. This ethical climate was also supported through procedural justice. They suggested that servant leadership helps to diminish unethical actions by encouraging an ethical climate. Further research is needed to see if servant-leaders can create positive work environments across a variety of different types of companies or organizations, including in departments of intercollegiate athletics.

## Social Learning Theory

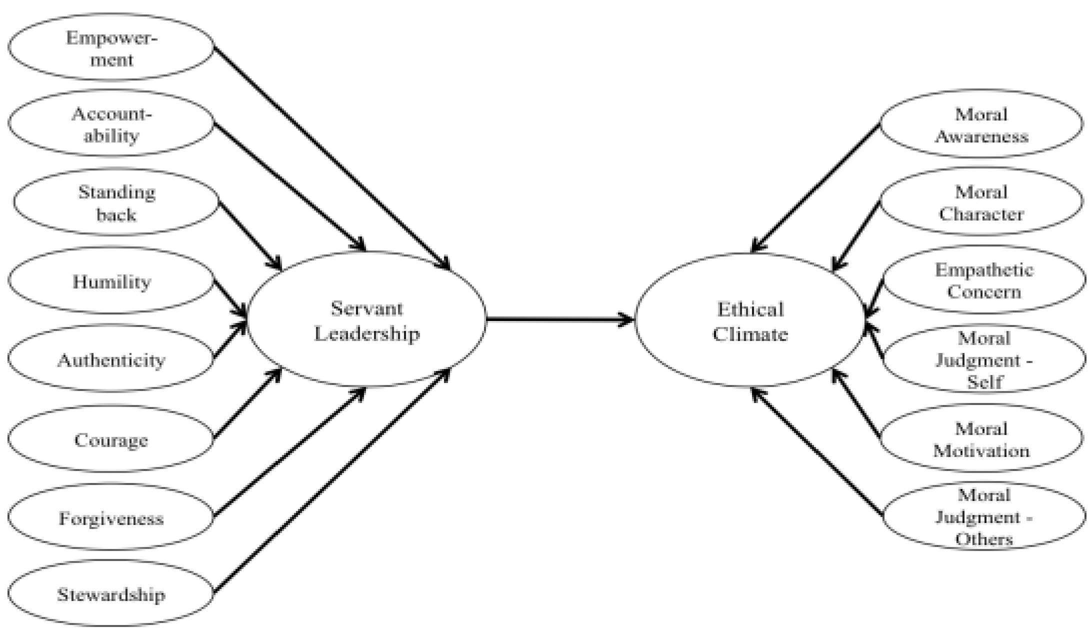
Interwoven with servant leadership and the modeling of ethical behavior by servant-leaders is Bandura's (1977) social learning theory, which states people learn from one another, such as through observation and imitation. For example, when athletic staff members observe the athletic director behaving ethically, employees are more likely to act ethically. Similarly, student-athletes may be motivated to follow institutional, conference, and NCAA rules when observing the athletic director complying with rules while insisting other departmental personnel do, too. Social learning theory suggests impacted individuals, such as employees and student-athletes, will be motivated to follow credible leaders who consistently model espoused values. Brown and Trevino (2006) affirmed the essential interconnections between ethical leadership, such as modeled by servant-leaders, and social learning theory.

As social learning theory espouses, the behaviors of leaders are essential to successful organizations because individuals learn by paying attention to and emulating attitudes, values, and behaviors of credible role models (Bandura 1977, 1986). Virtually anything learned via direct experience also can be learned vicariously through experience and by observing others' behaviors and consequences of behaviors (Bandura, 1986). Bass (1985) and Kouzes and Posner (2012) proposed leaders served as role models. From role models, employees learn what behaviors are expected, rewarded, and punished (Brown, Trevino, & Harrison, 2005). Brown et al. (2005) suggested athletic directors are role models for their employees and student-athletes by virtue of assigned roles, success, and power to affect behaviors and performances of others. Brown and Mitchell (2010) further emphasized the idea of modeling ethical behavior by stressing ethical leaders must consistently act consistently with what they espouse. As such, when athletic directors model ethical behaviors, employees are more likely to act similarly and emulate the moral actions of their leaders.

Given the apparent congruency between NCAA Division III's philosophical values and characteristics of servant leadership, maybe athletic directors should utilize this leadership approach to create positive, ethical, and servant-focused work climates. If athletic directors placed interests, needs, and aspirations of student-athletes and employees foremost, the NCAA Division III philosophy might more likely to thrive. The observed climate and deep-seated culture within intercollegiate athletics characterized by ethical decision-making and shared moral values could emerge. This study examined whether athletic department employees perceived athletic directors demonstrated servant leadership characteristics and its contribution to an ethical work climate in NCAA Division III institutions. The hypothesized model in *Figure 1* was used to answer these research questions:

1. *Did NCAA Division III athletic department employees perceive athletic directors exhibited the characteristics of servant leadership? If so, which specific characteristics of a servant-leader did they believe these athletic directors most often displayed?*
2. *Did NCAA Division III athletic department employees perceive an ethical climate characterized their athletic departments?*
3. *Did the perceived servant leadership characteristics of athletic directors influence ethical climates in athletic departments?*

***Figure 1:*** **Hypothesized model for the impact of servant leadership on ethical climate.**



## Method

This cross-sectional study focused on athletic department employees in NCAA Division III institutions. NCAA Division III athletic department employees were chosen as the focus of this study because the NCAA Division III philosophy was deemed most congruent with ideals of servant leadership. Additionally, this group is rarely studied in academic research, despite the fact it includes the largest number of NCAA member institutions.

## Participants

To recruit respondents for the study, a database of all athletic department employees listed in the directories on official athletic department websites was created. The list of athletic department employees included every individual listed on athletic departments' websites, with the exception of athletic directors, any student employees, including graduate assistants, faculty athletic representatives, or individuals listed on the website not employed primarily by the university (e.g., team physicians). The database consisted of 16,133 athletic staff members. Because the number of athletic staff members was so large, the survey was sent to a random sample of these individuals. The random sample was created in Qualtrics, which randomly selected the chosen number of respondents from the database, prior to invites being sent. In total, 8,000 athletic department employees were invited to participate. The survey was completed by 339 employees. Thirteen cases had missing data in the non-descriptive variables (scale questions) and were deleted, making the final sample size 326.

## Measures

The survey instrument used in this study was part of a larger data collection, but the elements used in this study are discussed here. The survey was created by examining literature on servant leadership and its measurement, ethical climate, and outcomes in sport and other industries. The survey included descriptive questions along with questions from the Servant Leadership Survey (van Dierendonck & Nuijten, 2011), Ethical Climate Index (Arnaud, 2010), and three additional leadership and job outcome scales not used in this study. No demographic data were collected to help ensure anonymity and encourage participation. As many NCAA Division III institutions are small, there may be three or four staff members working under one athletic director; thus, identifying one's institution and ethnicity may no longer ensure anonymity. To encourage respondents to feel comfortable answering questions about their athletic directors honestly, no demographic questions other than year at the institution, years working with the current athletic director, and experience working in intercollegiate athletics in a NCAA-member institution. Comparisons by gender, age, or ethnicity were not of interest to this study.

***Servant Leadership Scale***. Van Dierendonck and Nuijten (2011) completed an extensive literature review and through data analysis created the 8-dimension, 30-item SLS. The eight dimensions of servant leadership measured included empowerment (seven items), accountability (three items), standing back (three items), humility (five items), authenticity (four items), courage (two items), forgiveness (three items), and stewardship (three items). Items were assessed on a five-point, Likert-type scale. They evaluated the psychometric properties of the scale and found factorial validity of the eight-factor model and good model fit ($\chi^2$ = 562.5, $df$ = 377; RMSEA = .05, SRMR = .05, CFI = .94, TLI = .93). Also, internal consistency for all subscales was good ($\alpha$ = .89 for empowerment, .81 for accountability, .76 for standing back, .91 for humility, .82 for authenticity, .69 for courage, .72 for forgiveness, and .74 for stewardship). Finally, they found support for content, discriminant, and criterion-related validity of the scale through additional studies using other leadership scales and organizational commitment and performance.

***Ethical Climate Index***. Ethical climate was measured using the ECI, which was created and validated by Arnaud (2010) and further tested and validated by Arnaud and Schminke (2012). The short form of the scale was used, which is an 18-item version of the original scale that includes the items with the highest factor loadings for each construct of the original scale. It has six constructs and contains two constructs measuring collective moral sensitivity (moral awareness ($\alpha$ = .80) and empathetic concern ($\alpha$ = .83)), two constructs measuring collective moral judgment (focus on self ($\alpha$ = .89) and focus on others ($\alpha$ = .81)), collective moral motivation ($\alpha$ = .90), and collective moral character ($\alpha$ = .82). Items were measured on a five-point, Likert-type scale.

## Procedure

Prior to full data collection, the original survey was sent to a convenience sample of three people who worked in athletics at the NCAA Division II level for review to check the structure, format, and language of the survey. Also, the survey used in the current study was created based on a pilot of a survey used in a previous study, after which the survey was edited for clarity, and the ethical climate questions were added in place of ethical behavior questions. The final survey was coded into Qualtrics and an anonymous link created. Participants were uploaded into Qualtrics, and the anonymous link was emailed to all participants. The athletic staff sample was sent the survey in an email with two reminders happening weekly in the two weeks following the initial email.

## Analysis

After being downloaded from Qualtrics, data were analyzed using SPSS Statistics Version 22 and MPlus Version 7. First, SPSS was used to run descriptive statistics. The data file was then uploaded into MPlus. Cases that did not include data on all the scale variables were deleted list-wise.

Two-step modeling, which Kline (2011) advocated, was used to assess the model and analyze the data. The first step required running a confirmatory factor analysis (CFA) in MPlus to check reliability of the measures and examine the measurement model fit prior to fitting the structural model. Then, structural equation modeling (SEM) was used to run the structural model using MPlus to examine the relationship between servant leadership and ethical climate. The robust maximum-likelihood estimator was used in all analyses. An often-violated assumption in statistical analysis is that variables are measured without error. To account for measurement error, CFA and SEM were used because they allow for the estimation of relationships among variables while adjusting for measurement error (Brown, 2007; Kline, 2011).

## Results

Descriptive information collected from respondents included the number of years of experience in intercollegiate athletics in a NCAA-member institution, number of years working with the current athletic director, divisions employees had worked in, and type of institution they worked at currently (public or private). The mean number of years working in athletics was 12 (SD = 10.10) with a range of 1 to 47. The average number of years working for the current athletic director ranged from 1 to 29 with a mean of 4.17 (SD = 4.25). In the sample, 21.2% also had worked in Division I; 12.3% also had worked in Division II. Finally, 16.6% worked at a public institution, and 83.4% worked at a private institution.

*Table 2* lists the descriptive statistics for all indicators, which were measured on a 1 (strongly disagree) to 5 (strongly agree) Likert-type scale. Data were tested for normality by examining Q-Q plots and skew and kurtosis values. Because a few indicators were deemed non-normal and Likert-type data often deviate from normality, the robust-maximum likelihood estimator in MPlus was used, which uses a scaling correction factor to adjust for non-normality. Cases with missing data were deleted using listwise deletion. The correlation matrix can be found in *Table 3*.

***Table 2:*** **Means and Standard Deviations for SLS and ECW Scale Items**

| Variable | *Mean* | *SD* |
|---|---|---|
| E1: Gives me the information I need to do my work well. | 3.59 | 1.17 |
| E2: Encourages me to use my talents. | 3.88 | 1.17 |
| E3: Helps me to further develop myself. | 3.41 | 1.25 |
| E4: Encourages the staff to come up with new ideas. | 3.52 | 1.21 |
| E5: Gives me the authority to make decisions, which makes work easier for me. | 3.92 | 1.11 |
| E6: Enables me to solve problems myself instead of just telling me what to do. | 3.93 | 1.04 |
| E7: Offers me abundant opportunities to learn new skills | 3.09 | 1.22 |
| SB1: Keeps in the background and gives credit to others. | 3.65 | 1.20 |
| SB2: Is not chasing recognition or rewards for the things done for others. | 3.94 | 1.10 |
| SB3: Appears to enjoy colleagues' successes more than personal successes. | 3.80 | 1.16 |
| ACC1: Holds me responsible for the work I carry out. | 3.98 | .97 |
| ACC2: Holds me accountable for my performance. | 4.00 | .92 |
| ACC3: Holds me and my colleagues responsible for the way we handle a job. | 3.92 | .91 |
| FOR1: Continues criticizing staff for the mistakes they have made in their work. | 2.33 | 1.20 |
| FOR2: Maintains a negative attitude toward people who have offended him/her at work. | 2.32 | 1.29 |
| FOR3: Finds it difficult to forget things that went wrong in the past. | 2.68 | 1.20 |
| C1: Takes risks even when not certain of the support from others. | 2.96 | 1.14 |
| C2: Takes risks and does what needs to be done in his/her view. | 3.22 | 1.16 |
| AUTH1: Is open about personal limitations and weaknesses. | 3.03 | 1.18 |
| AUTH2: Is often touched by the things happening around him/her at work. | 3.41 | .99 |
| AUTH3: Is prepared to express feelings even if it might have undesirable consequences. | 3.24 | 1.05 |
| AUTH4: Shows his/her true feelings to his/her staff. | 3.34 | 1.05 |
| H1: Learns through criticism. | 2.78 | 1.04 |

| | | |
|---|---|---|
| H2: Tries to learn from the criticism received from others. | 3.10 | 1.02 |
| H3: Admits mistakes to others. | 3.23 | 1.17 |
| H4: Learns from the different views and opinions of others. | 3.22 | 1.12 |
| H5: Learns from people who express criticism. | 2.95 | 1.05 |
| S1: Emphasizes the importance of focusing on the good of the whole department. | 3.83 | 1.19 |
| S2: Has a long-term vision. | 3.65 | 1.26 |
| S3: Emphasizes the societal responsibility of our work. | 3.46 | 1.10 |
| AWARE1: People around here are aware of ethical issues. | 3.79 | .91 |
| AWARE2: People in my department recognize a moral dilemma right away. | 3.60 | .92 |
| AWARE3: People in my department are very sensitive to ethical problems. | 3.53 | .96 |
| EMP1: People in my department sympathize with someone who is having difficulties in their job. | 3.48 | 1.00 |
| EMP2: For the most part, when people around here see that someone is treated unfairly, they feel pity for that person. | 3.26 | .91 |
| EMP3: People around here feel bad for someone who is being taken advantage of. | 3.51 | .88 |
| EMP4: In my department people feel sorry for someone who is having problems. | 3.52 | .85 |
| SELF1: People around here are mostly out for themselves. | 2.67 | 1.26 |
| SELF2: People in my department think of their own welfare first when faced with a difficult decision. | 3.17 | 1.15 |
| SELF3: In my department people's primary concern is their personal benefit. | 3.14 | 1.15 |
| OTHER1: People around here have a strong sense of responsibility to society and humanity. | 3.55 | .96 |
| OTHER2: What is best for everyone in the department is the major consideration. | 3.16 | 1.12 |
| OTHER3: The most important concern is the good of all the people in the department. | 3.17 | 1.13 |
| MOT1: In my department people are willing to break the rules in order to advance in the company. | 3.63 | 1.10 |
| MOT2: Around here, power is more important than honesty. | 3.65 | 1.20 |
| MOT3: In order to control scarce resources, people in my department are willing to compromise their ethical values somewhat. | 2.34 | 1.10 |
| CHAR1: People I work with would feel they had to help a peer even if that person were not a very helpful person. | 3.27 | .89 |
| CHAR2: People in my department feel it is better to assume responsibility for a mistake. | 3.31 | .92 |
| CHAR3: No matter how much people around here are provoked, they are always responsible for whatever they do. | 3.36 | .93 |
| Empowerment | 3.62 | .96 |
| Standing back | 3.80 | 1.03 |
| Accountability | 3.97 | .83 |
| Forgiveness | 3.55 | 1.05 |
| Courage | 3.09 | 1.04 |
| Authority | 3.25 | .76 |
| Humility | 3.06 | .93 |
| Stewardship | 3.65 | .99 |
| Collective moral sensitivity – Norms of moral awareness | 3.64 | .77 |
| Collective moral sensitivity – Norms of empathetic concern | 3.44 | .73 |
| Collective moral judgment – Focus on self | 3.10 | 1.09 |
| Collective moral judgment – Focus on others | 3.29 | .93 |
| Collective moral motivation | 3.65 | 1.01 |
| Collective moral character | 3.31 | .75 |

| | | |
|---|---|---|
| Servant leadership | 3.50 | .74 |
| Ethical climate | 3.41 | .67 |

*Note: N* = 326

***Table 3:* Correlation Matrix for Factors**

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1. Empower | 1 | | | | | | | | | | | | | | | |
| 2. Standing back | .76 | 1 | | | | | | | | | | | | | | |
| 3. Accountability | .59 | .51 | 1 | | | | | | | | | | | | | |
| 4. Forgiveness | .65 | .63 | .36 | 1 | | | | | | | | | | | | |
| 5. Courage | .39 | .20 | .33 | .17 | 1 | | | | | | | | | | | |
| 6. Authenticity | .68 | .62 | .41 | .47 | .39 | 1 | | | | | | | | | | |
| 7. Humility | .81 | .71 | .51 | .62 | .39 | .78 | 1 | | | | | | | | | |
| 8. Stewardship | .78 | .64 | .53 | .59 | .43 | .65 | .76 | 1 | | | | | | | | |
| 9. Moral awareness | .22 | .17 | .25 | .17 | .14 | .25 | .22 | .29 | 1 | | | | | | | |
| 10. Empathetic concern | .22 | .14 | .13 | .15 | .09* | .20 | .19 | .19 | .39 | 1 | | | | | | |
| 11. Judgment – self | .47 | .40 | .30 | .44 | .21 | .40 | .42 | .48 | .37 | .41 | 1 | | | | | |
| 12. Judgment – others | .53 | .43 | .41 | .42 | .22 | .50 | .55 | .60 | .49 | .35 | .65 | 1 | | | | |
| 13. Moral motivation | .56 | .56 | .41 | .49 | .21 | .45 | .52 | .50 | .40 | .33 | .64 | .55 | 1 | | | |
| 14. Moral character | .41 | .37 | .39 | .33 | .19 | .41 | .44 | .43 | .48 | .41 | .50 | .65 | .55 | 1 | | |
| 15. Servant Leadership | .91 | .82 | .67 | .73 | .54 | .79 | .89 | .87 | .27 | .21 | .50 | .59 | .59 | .47 | 1 | |
| 16. Ethical Climate | .55 | .48 | .42 | .46 | .24 | .50 | .53 | .57 | .67 | .61 | .82 | .83 | .79 | .78 | .60 | 1 |

*Note:* *Correlation not significant. All other correlations are significant at the $p < .05$ level.

Prior to running the full measurement model, each scale was run independently to check reliability. Reliability was examined by calculating McDonald's (1999) omega coefficient ($\omega$) and was .95 for the SLS and .91 for the ECI. Scales were deemed sufficiently reliable for use in the full model as coefficient values were greater than .80 (Kline, 2011). Additionally, the average variance extracted (AVE) of all constructs was greater than .50 (servant leadership = .70; ethical climate = .56), which provided evidence of convergent validity for each construct (Fornell & Larcker, 1981). Convergent validity also was supported by significant factor loadings, which are reported in Table 4 (Hair, Tatham, Anderson, & Black, 2005).

The measurement model was run and fit was acceptable, $\chi^2_{(162,\ n\ =\ 326)} = 2{,}192.63$, scaling correction factor = 1.10, $p < .001$; $RMSEA_{(.051,\ .058)} = .055$; CFI = .89; TLI = .88; SRMR = .066. Table 4 lists all factor loadings. The variance of servant leadership and ethical climate were fixed to one for estimation. Next, the structural model was run.

Each research question was answered using the model results and descriptive data. To answer the first question, whether athletic department employees perceived their athletic directors to be servant-leaders and which characteristics they exhibited most, mean scores and factor loadings were examined. Mean scores on the 5-point, Likert-type scale for all eight subscales on the SLS were above 3.0, suggesting employees perceived their athletic directors exhibited the characteristics of servant-leaders. Accountability (3.97) was the highest characteristic employees perceived their athletic directors to exhibit. Standing back (3.80), stewardship (3.65), empowerment (3.62), and forgiveness (3.55) were all above 3.5.

Results from the measurement model indicated all eight servant leadership subscales were salient because, as Brown (2006) suggested, all factor loadings were greater than .40. While mean scores suggested the characteristics most often demonstrated by athletic directors to be accountability and standing back, the strongest indicators of servant leadership were stewardship (.96), authenticity (.95), humility (.94), and empowerment (.94). Courage was the weakest indicator (.47). The amount of variance explained in each subscale by the servant leadership construct was examined using $R^2$ values. Authenticity had the highest $R^2$, with servant leadership explaining 91% of the variance. Courage was the indicator with the lowest $R^2$, with 22% of the variance explained.

Research question two was answered by using mean scores on the ECI. The mean of ethical climate for athletic department employees was 3.41 on a 5.0 scale, which indicated employees perceived an ethical climate. The two highest subscales were norms of moral awareness (3.64) and collective moral motivation (3.65). The variance explained by the ethical climate construct was examined using $R^2$ values. Collective moral motivation had the highest $R^2$, with 70% of the variance explained by the ethical climate construct. Norms of empathetic concern was the indicator with the lowest $R^2$, with 27% of the variance explained.

Research question three was answered using the results of the structural model. The retained model accounted for 51% of the variance in ethical climate ($R^2 = .52$, $SE = .06$, $p < .001$). The significant direct effect of servant leadership on ethical climate was positive and strong in magnitude ($b = .71$, $SE = .04$, $p < .001$). For every 1 standard deviation increase in perception of servant leadership characteristics, the perception of an ethical work climate increased by .71 standard deviation.

## Discussion

The NCAA Division III philosophy statement claims students' academic and athletic experiences are integrally connected and synergistic (National Collegiate Athletic Association, 2016). The uniqueness of the NCAA Division III model espouses athletic participation contributes to development of sportsmanship and other ethical behaviors and emphasizes broad-based participation opportunities in sports and non-athletic pursuits. Given these distinctive foci, this study examined whether NCAA Division III athletic directors displayed characteristics of servant leadership and contributed to ethical work climates. Specifically, we examined servant-leader characteristics, factors of an ethical climate, and the potential interface between these.

## Servant-Leader Characteristics

We found employees perceived athletic directors exhibited characteristics of servant-leaders with accountability, standing back, stewardship, authenticity, humility, and empowerment the highest characteristics. These findings confirmed some athletic directors embraced *accountability* for the overall operation and performance of programs they led. Fulfilling responsibilities competently and understanding they must produce positive outcomes communicates accountability (Finely, 2012; Konczak et al., 2000). Employees perceived athletic directors acknowledged expectations associated with their roles and were accountable for overall departmental outcomes (van Dierendonck & Nuijten, 2011). Simultaneously, though, athletic directors can show confidence in their employees by realizing these results only happen through joint efforts with everyone held accountable (Burton & Welty Peachey, 2013). Personal accountability, however, did not appear to lapse into micro-management. Based on the fact that employees reported being empowered by their athletic directors, athletic directors likely implemented a hands-off approach, thus empowering staffs to fulfill their responsibilities. These employees perceived athletic directors modeled stewardship, while showing humility and authenticity.

When *standing back*, closely related to stewardship, authenticity, humility, and empowerment (van Dierendonck & Nuijten, 2011), athletic directors prioritize the interests of others and made sure each received support for completion of tasks and credit for successes. This emphasis on others' welfare aligns directly with Greenleaf's (1970, 1977) description of servant-leaders. Supporting the completion of tasks of employees requires a balancing act for athletic directors between giving directions about how to complete tasks and allowing autonomy to accomplish each task as preferred (van Dierendonck, 2011). Collins (2001), while not using the term standing back, described the importance of leaders crediting others for the outstanding performances of organizations.

*Stewardship*, the willingness to take responsibility for the larger institution and serve others ahead of exerting self-control and showing self-interest (Block, 1993), was the third characteristic most displayed by athletic directors in our study. Athletic directors who demonstrate stewardship show dedication to athletic department achievement, while ensuring all employees understand how trusting, caring for, and serving others contribute to success. Athletic directors can serve the needs of employees (Spears, 1995) by listening to their needs and creating incentives, a work environment, and policies to meet needs. For example, if an employee has a family emergency, an athletic director can demonstrate stewardship by taking on that employee's responsibilities or delegating to another employee.

Another characteristic employees perceived athletic directors displayed was *authenticity*, which was being open, accountable, and willing to learn from others (Laub, 1999). Athletic directors may have exhibited authenticity by having an open-door policy that encouraged staff members to talk about issues and share ideas honestly. Additionally, these athletic directors may have prioritized listening to staff and keeping communication channels open. Athletic directors displaying servant leadership stay committed to their values (Brown & Trevino, 2006), not only by stating these values, but living them consistently on and off the job. Athletic directors who live the cores values of honesty and integrity follow through on promises made to staff members (Russell, 2001).

*Humility* requires a proper understanding of one's strong and weak points (van Dierendonck & Nuijten, 2011). Athletic directors who are honest and open about their weaknesses with employees not only model their humility but also illustrate an understanding that no one was perfect and, at times, everyone makes mistakes. This can lessen the stress of feeling making mistakes threatens one's job. Another way to demonstrate humility is by trusting in and delegating tasks to athletic staff, instead of attempting to control everything.

*Empowerment* aligns directly with each of the other frequently servant-leader characteristics found. Athletic directors can empower others by enabling them to accomplish tasks on their own, encouraging their personal development, and allowing independent decision- making (van Dierendonck & Nuijten, 2011). Athletic directors can empower staffs by allowing autonomy over budgetary expenditures, facility and team scheduling, and fundraising events. Empowerment means athletic directors continually avoid micromanaging staff members, but rather grant autonomy to make decisions, complete tasks, and receive rewards for their performances.

Through the SLS, we found the most salient characteristics employees perceived their athletic directors displayed were accountability, standing back, stewardship, authenticity, humility, and empowerment. NCAA Division III athletic directors should be encouraged by these findings, which indicated their leadership from a broad perspective appeared congruent with the philosophy of NCAA Division III. With these servant-leader characteristics in mind, next we discuss the findings from and implications of responses to the ECI, and the influence of servant leadership on ethical climate.

## Ethical Climate

Employees in this study perceived they worked in ethical climates. Arnaud and Schminke (2012) suggested ethical climate influenced how employees thought about moral issues and ethical behavior. The highest subscales contributing to an ethical climate were collective moral motivation and norms of moral awareness; norms of empathetic concern contributed the least toward an ethical climate. The modeling of moral values can motivate employees so they know rule compliance and behaving ethically are expectations. An awareness of foundational moral values can contribute significantly to comfortable and productive work environments. The lower emphasis on empathetic concern might suggest being motivated by and aware of moral values is more important to ethical climate than showing empathetic concern among small-sized NCAA Division III departments in which everyone know and work closely with everyone else.

Ehrhart (2004), Frick and Spears (1996), and Roby (2014) emphasized the importance of an ethical climate to the satisfaction and performance of employees, including in an athletic department, as confirmed by our study. The moral awareness and behaviors of athletic directors appear to motivate employees to behave morally responsively. This concurred with Arnaud (2010) who stated, "…moral motivation involves the prevalent values of the social system, and whether moral values such as honesty, fairness, or helping are generally prioritized over other values such as power, control, or personal achievement" (p. 349).

Ethical work climates reflect not only the moral reasoning and ethical actions of athletic directors, but also behaviors of employees (Victor & Cullen, 1988). Through modeling by athletic directors, such as shown by who is hired, rewarded, and promoted, employees learn how to behave ethically (Arnaud & Schminke, 2012). Their research and ours suggested ethical actions and ethical decision-making characterize an ethical climate.

Overall, athletic department employees in this study perceived they worked in an ethical work environment. When athletic directors foster an ethical work climate, they can activate the moral reasoning of employees leading to greater self-efficacy to act congruently with the moral values they observe. When athletic directors model making morally based decisions, departmental employees possibly are more likely to adopt a moral reasoning approach when making judgments within their scope of responsibilities.

## Connection between Servant-Leader Characteristics and Ethical Climate

The results of this study suggest athletic directors' demonstration of servant-leader characteristics positively and significantly shaped ethical climates, a finding similar to that of Burton et al. (2017). Many athletic staff members working in NCAA Division III institutions may have chosen to work there for these very reasons. Unlike the multimillion-dollar business of NCAA Division I athletics, and especially in the Power Five conferences, individuals working in NCAA Division III athletic programs usually do not have to win or risk losing their jobs. If employees in NCAA Division III athletic programs feel pressured, this may relate to wanting facilitate the overall educational development of student-athletes. The positive congruency between athletic directors' displaying servant leadership characteristics and modeling ethical behaviors could help attract and retain employees for whom these synergies resonate.

Athletic department employees were more likely to describe their work climates as ethical when perceiving athletic directors exhibited characteristics of servant-leaders. Our results supported Jaramillo et al. (2009) who found salespeople were more likely to believe their firm operated at higher levels ethically and were willing to go well beyond normatively expected standards of ethical conduct when working for a servant-leader. Athletic directors displaying servant-leader characteristics can positively influence the ethical work climate of athletic departments by acting as ethical role models and creating a culture expecting, encouraging, and valuing ethical behaviors (Brown et al. 2005).

Our results supported Bandura's social learning theory (1977, 1986) with making ethical decisions one of the primary characteristics of servant-leaders. According to social learning theory, leadership, such as displayed by athletic directors, can positively affect other athletic department employees. Staff members are more likely to mimic leaders' ethical behaviors, especially when leaders consistently make ethical decisions and act congruently with the moral values they espouse (Brown & Mitchell, 2010). As such, it seems important for athletic directors to demonstrate strong moral compasses consistently demonstrating ethical actions in the workplace, even if it is difficult to do so.

The ethical behaviors of individuals demonstrating servant leadership could potentially motivate employees to engage in morally responsible behaviors, such as addressing ethical issues responsibly within an ethical environment (Burton & Welty Peachey, 2014). When athletic directors displayed servant-leader characteristics, athletic department employees may emulate them by behaving more ethically leading to overall ethical work climates.

## Conclusion

Athletic directors have the opportunity to model characteristics of servant leadership for staff members and students-athletes and might consider adopting more of the characteristics of servant-leaders (Burton & Welty Peachey, 2014). As servant-leaders, athletic directors could potentially promote more fully the NCAA Division III philosophy of prioritizing the overall well-being of others and modeling the traits of servant-leaders for staff and student-athletes.

Athletic directors who act as servant-leaders are more likely to create ethical work climates within their departments. Servant-leaders who care about their followers' well-being and prioritize ethical behaviors are more likely to be role models who positively influence the behaviors of others. One common way for people to learn whether behaviors are acceptable is through the observation of others and especially those viewed as leaders (Bandura, 1986). The competitive environment of intercollegiate athletics almost daily presents individuals with ethically challenging circumstances. Should student-athletes facing pressures of remaining eligible be encouraged to cheat on exams or do whatever it takes to maintain eligibility? Similarly, athletic administrators and coaches face dilemmas about whether 100% rule compliance is essential or if less than full compliance can advance their departments' or teams' successes. Athletic directors who act as servant-leaders by prioritizing ethical behaviors will act appropriately when faced with ethical dilemmas. Ethical work climates are more likely to exist when followers engage in ethical behaviors learned by observing positive behaviors of athletic directors. Because individuals learn by paying attention to and emulating attitudes, values, and behaviors of credible role models (Bandura, 1977, 1986), athletic directors must be explicit and consistent in communicating values-based messages (Brown & Mitchell, 2010; Roby, 2014).

Burton and Welty Peachey (2013) and Welty Peachey et al. (2015) called for increased servant leadership in intercollegiate athletics. Our study supports one approach could be for athletic directors to demonstrate servant leadership characteristics and nurture ethical work climates. Athletic directors acting as ethical role models could help combat unethical behaviors and decisions in intercollegiate athletics. Ethical work climates are more likely to exist when athletic directors portray characteristics of servant leadership, including accountability, standing back, stewardship, authenticity, humility, and empowerment.

Our findings should not be generalized to all intercollegiate athletics without future investigations into athletic departments across all NCAA institutions and non-NCAA institutions. Future work should examine if servant leadership and ethical work climates are prevalent in institutions competing in NCAA Divisions I and II, where pressures to succeed are higher and among athletic departments in non-NCAA member institutions.

Burton and Welty Peachey (2014) and Welty Peachey et al. (2015) called for researchers to investigate the impact of servant leadership within intercollegiate athletics. According to Bande and Varela (2015), the research on the relationship between servant leadership and ethical work climate is sparse. This study helped fill this gap by measuring servant leadership and ethical work climate in NCAA Division III departments. While the sample of 326 in the current study was respectable, the current study had no way to make sure at least one member from each institution responded. Therefore, future research should replicate the current study to look for consistency in results across NCAA Division III institutions. Additionally, research should explore other outcomes of servant leadership and ethical work climate in intercollegiate athletics.

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# Values-Based Network Leadership in an Interconnected World


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### *Abstract*

*This paper describes values-based network leadership conceptually aligned to systems science, principles of networks, moral and ethical development, and connectivism. Values-based network leadership places importance on a leader's repertoire of skills for stewarding a culture of purpose and calling among distributed teams in a globally interconnected world. Values-based network leadership is applicable for any leader needing to align interdependent effort by networks of teams operating across virtual and physical environments to achieve a collective purpose. An open-learning ecosystem is*

*also described to help leaders address the development of strengths associated with building trust and relationships across networks of teams, aligned under a higher purpose and calling, possessing moral fiber, resilient in the face of complexity, reflectively competent to adapt as interconnected efforts evolve and change within multicultural environments, and able to figure out new ways to do something never done before.*

## Introduction

Values-based network leadership involves the application of skills associated with establishing, aligning, and sustaining a culture of higher purpose and calling suitable for an interconnected world. A values-based network leader advocates respect and understanding of diverse peoples and accentuates the need for cross-cultural appreciation and education. Within multicultural environments people can collectively learn in practice, interactively adapt, and interdependently perform among networks of teams for cohesive effort made possible by virtues, trust, and relationships. Effective use of leadership in multicultural environments requires a level of awareness of differences across cultures and a willingness to accommodate (Victor, 1992, p. 171). Accommodation, in this sense, involves deliberate and reflective practice suitable for establishing shared virtues and trust-based relationships within multicultural environments.

Values-based network leadership can be used to help organizations adapt to realities of the digital age involving the growing need for interdependent effort among distributed teams operating in an interconnected world. An interconnected world presents attentive leaders with fullness of claim and responsibility for bringing together distributed teams and aligning interdependent effort under a shared higher purpose and calling made possible by virtues, trust, and relationships. Readings of social signs in the digital age, however, suggest a paradox: as the technological means for interconnectivity grows, the gap between the tribal "us" and the other "them" can widen. Leaders face the paradox daily- even on the local level. For example, leaders successful with collaborative effort among existing teams, exhibiting trust among members, can encounter disappointment when an effort requires new collaborations with "other" teams whose members are not trusted by existing teams. In such cases, involving a mixed network of "us" and "them" teams, it is common for the network of teams to operate fairly independently. Consequently, attempts can be made by leaders to "sum the independent parts" for the greater good in the absence of mutuality. More likely than not, obtaining satisfactory outcomes from "summing the parts" is less likely in the absence of genuine dialogue made possible by mutual relationships required for shared sense making and aligned interdependent effort. Shared sense making arises through genuine dialogue between networks of teams. It is here in the network space between "us" and "them" that insights on the nature of genuine dialogue, offered by Martin Buber, are most helpful for understanding the moral elements of a higher purpose and calling associated with values-based network leadership.

Buber (1947) spoke of a longing for *quantum satis*, the "satisfying quantity" of mutual relationships in alienated spaces commonly experienced among work colleagues in contemporary society (pp. 35-44). Honesty and an open spirit to communicate without reserve to colleagues, are moral elements for genuine dialogue (Buber, 1947, p. 40). Buber placed responsibility on the leader for the practice of moral elements (1947, p. 44). Ultimately, in the same line of thought first articulated by John Dewey (1922), the interpenetration of these moral elements in the culture of organizations need to be practiced for forming unified character necessary for self-control regardless of the presence of outer control. This is at the heart of values-based network leadership. The full promise of networks of team rests in the unification of "us" and "them" through trusting relationships grounded upon unified character. The nexus of interdependent effort IS unified character.

The means to establish and sustain interdependent effort has long been a challenge faced by leaders for generations when the theatre of operations involves dispersion of effort. Military leaders across history, speak to this blunt reality; the mere fact people can perform well under concentrated organizational boundaries does not mean they are equal to their tasks when having to fend for themselves or forces are dispersed. A common illusion presented by capabilities offered by the networked world to today's leaders is the belief that access to digital communication and collaboration tools are sufficient for interdependent effort by dispersed teams. In the case of dispersed teams operating across virtual and physical spaces, the use of digital communication and collaboration tools are necessary but not sufficient for effective interdependent effort. Carl von Clausewitz insightfully pointed to what is necessarily sufficient for interdependent effort when he spoke of "military virtues":

> *Military spirit always stands in the same relation to the parts of an army as does a general's ability to the whole. The general can command only the overall situation and not the separate parts. At the point where the separate parts need guidance, the military spirit must take command…What is missing here must be made up by military virtues* (p. 145).

U.S. military leaders continue to validate Clausewitz's insights on the importance of military virtues regardless of advancements in technology and growing means for command and control across complex joint or coalition structures spanning the globe. Since Clausewitz's time, research has been conducted on the cognitive and behavioral aspects associated with the development of virtues and their daily use via habits of mind guiding values-based practices.

With an unprecedented expansion in communication channels due to rapid advancements in digital technology, interconnectivity may be enhanced, but true, moral leadership and meaningful discourse may not. This paper addresses the challenges, theories-using the US military as an example, albeit with worldwide implications and lessons to be learned and appropriately synthesized for all. A framework is offered for leaders to help situate their leadership practices in an interconnected world sufficient for values-based interdependent effort among dispersed teams. Values-based network leadership is closely tied to interdependent leadership behaviors outlined and investigated over the years by the Centers for Creative Leadership (McCauley, et al., 2008). Increasingly, leaders of civilian and military organizations have to practice leadership beyond the boundaries of their local teams and organizations to accomplish tasks and larger missions dependent on collaborative effort by networks of teams widely dispersed around the globe. Today, much of the effort by networks of teams is accomplished through the mixed use of virtual and physical tools and environments which introduces leadership challenges in how best to address the issues and opportunities introduced by network effort for offering new or expanded capabilities.

Effective networking of teams depends upon alignment of interdependent effort, trusting relationships, and quality of interactivity among teams. The complex challenge facing leaders of networks of teams is that most existing teams bring little to no experience working closely with other teams outside of their immediate organizational boundaries. So, today's leaders face not only challenges associated with strategically aligning efforts among networks of teams for success, but also show how to prepare people to effectively perform and thrive in a global environment under perpetual construction from bifurcation of ideas and interactions (Stacey, 2003). In essence, leaders of networks of teams are leading complex adaptive systems highly dependent on strategies of interaction with each other. Unfortunately, many of today's leaders are not well prepared for leading complex adaptive systems on a global scale. And, few networks of teams' cultures offer the means for participants to continuously learn in practice, grow, and thrive in complex adaptive systems. This paper addresses both challenges for leaders and recommends support for learning in practice among networks of teams. Placing emphasis upon learning in practice among networks of teams calls for rethinking about the design of educational experiences reliant upon inflexible circular structures and courses.

## A Closer Look at the Challenges Facing Leaders in an Interconnected World

Today's leaders are leading organizations consisting of people facing greater challenges in how best to stay current with knowledge and skills in the face of rapid change, growing complexity, and nearly constant exposure to new and diverse ideas, concepts, and rapid information flow across a variety of networks. Large organizations, many of which operate on a global scale, depend on high-performance teams virtually working interdependently with other teams to effectively address fluid, complex, and unpredictable challenges. Performance among networks of teams is determined by the degree of shared understanding and trust among teams established from the quality of relationships.

Future learning environments can be designed to integrate with distributed working environments supporting networks of teams so members can learn in practice in ways closely aligned with a networked world wherein trust-based relationship interconnection is increasingly necessary to effectively engage in shared sense-making, problem solve, and perform by pooling knowledge and interacting on a deeper level for synchronization of effort across organizational boundaries. Learn-in-practice environments provide learners the means to be able to observe how their influence, insights, and contributions ripple and impact connected effort among network of teams. Such environments can be designed for supporting open-boundary connections among network of teams spanning organizations suitable for collaborative culture, collective learning, shared sense-making, and effort with capabilities to operate on a global and massive level.

John Seely Brown advocates for new learning environments suitable for a networked world (Brown, 2006). He recommends future learning environments evolve to take on features associated with open ecosystems, to better support how people connectively learn in a digital age via communities of practice making use of open networks. In the networked world, learners can engage in shared sense-making and collaborative learning through informal and formal channels spanning work, home, and distributed locations. This paper highlights the application of insights obtained from recent military experiences with networks of teams for usage by leaders to leverage the benefits of open-learning ecosystems for learning in practice, *in situ*, suitable for performing in a networked world. The kind of learning required to effectively operate in a networked world, is not just a mental process or mechanical habituation. Rather, it involves the development of practices and abilities to negotiate meaning with others in contexts of unfolding, multidimensional complexity. Today's learners need to be able to tune their practices to successfully perform in a networked world constantly in flux and requiring adaptations to get the job done. Of all of the characteristics of a collaborative culture necessary for operating in a networked world, perhaps the one most central to making a successful transformation is collective learning — valuing it and becoming proficient in it. In many ways, collective learning represents the essence of becoming a more collaborative culture (Hughes & Stricker, 2009).

## A Framework for Learning in Practice in an Interconnected World

A variety of learning theories – e.g., behavioral, cognitive, and constructivism – can be used to help inform the design of environments suitable for learning in practice. Along with theories of learning, moral and ethical developmental models are also important to better inform designs supporting growth in moral reasoning and ethical behaviors. Also, research in social intelligence and situated learning in communities of practice is useful (Goleman, 2007, 2011; Wenger, 2006). Importantly, selective use of any one learning theory for application by a learn-in-practice environment ***is not sufficient to fully prepare and sustain a collaborative culture for networks of teams to collectively learn and operate in a networked world***. Rather, a framework is needed to integrate, employ, and adaptively apply benefits offered from across learning theories and development models with the means to differentially support a variety of ways people and teams can connect and collectively learn from one another while engaged in practice, *in situ*, with the networked world. Such a framework would need to have properties more in line with open ecosystems operating in natural environments than closed systems operating in isolation. A learn-in-practice environment, designed as an open-learning ecosystem, can be employed for *in situ* usage by networks of teams to better address the kinds of complex challenges encountered in a networked world. Digital-age technology is increasingly defining and shaping how people think, connect, and communicate with one another, learn informally in communities of practice, problem solve with others in the context of real-life practices, and successfully adapt as a member in evolving social structures across the intersecting domains of private and public life experiences

(Calongne, Sheehy, & Stricker, 2013). George Siemens (2005), and colleague Stephen Downes, offered an open and connective learning framework suitable for today's learners in a network world, termed “connectivism,” wherein it is recognized that learners shape the environment in positive ways for supporting sense making in the context of real-time dynamic interactions with others:

> *Connectivism presents a model of learning that acknowledges the tectonic shifts in society where learning is no longer an internal, individualistic activity. How people work and function is altered when new tools are utilized. The field of education has been slow to recognize both the impact of new learning tools and the environmental changes in what it means to learn. Connectivism provides insight into learning skills and tasks needed for learners to flourish in a digital era.*

Siemens and Downes formed their learning framework on the basis of insights arising from systems and network sciences whereby the capacity of organisms, people, and organizations to form connections between sources of information to better self-organize and adapt to change is the hallmark of growth, survival, and competence. Also, beyond survival, the fluidity and ways in how people interconnect with diverse fields of knowledge and viewpoints, opinions, and disparate ideas is the touchstone of creativity and innovation. Educators can use connectivism for helping to transform learning experiences necessary for today’s learners to flourish in a digital and interconnected world. Connectivism is best described as *learning [occurring] through connections within networks. The model uses the concept of a network with nodes and connections to define learning. Learners recognize and interpret patterns and are influenced by the diversity of networks, strength of ties and their context. Transfer occurs by connecting to and adding nodes and growing personal networks* (Downes & Siemens, 2005). Siemens (2005) offered the following principles of connectivism:

- Learning and knowledge rests in diversity of opinions.
- Learning is a process of connecting specialized nodes or information sources.
- Learning may reside in non-human appliances [e.g. AI-enabled appliances].
- Capacity to know more is more critical than what is currently known.
- Nurturing and maintaining connections is needed to facilitate continual learning.
- Ability to see connections between fields, ideas, and concepts is a core skill.
- Currency (accurate, up-to-date knowledge) is the intent of all connectivist learning activities.
- Decision-making is itself a learning process. Choosing what to learn and the meaning of incoming information is seen through the lens of a shifting reality. While there is a right answer now, it may be wrong tomorrow due to alterations in the information climate affecting the decision.

## Synchronicity of Insights from Military Wartime Experiences with Connectivism

The principles of connectivism ring true from the experiences of U.S. military leaders seeking to understand and effectively address the advantages they perceived from the organic nature and movement of Al Qaeda in Iraq. They noted that Al Queda forces’ “extremely fluid, freely designed operational structure helped ensure that the narrative of their leadership consistently permeated their distributed membership, enabling their rank and file to move with speed and individual initiative, collaborating with one another and aligning their otherwise-isolated actions with one another's efforts, free from formalized approval chains” (Fussell & Goodyear, 2017, p. 15). In the book *One Mission: How Leaders Build a Team of Teams,* authors Chris Fussell and Charlie Goodyear address the insightful realization among U.S. military leaders that while the forces under their command offered “excellence, talent, and capability.” Al Qaeda offered a “uniting calling.” The contrast was stark: the U.S. forces were an ordered machine equal only to the sum of their parts - operating strictly from directive strategy from within bureaucratic tribal-like walls that blocked ability to communicate, collaborate, and trust with global implications. Simply put, U.S. military leaders recognized they had to shift the isolated, tribal-like team culture of U.S. fighting forces to one where teams trusted other teams and were encouraged to form organic interpersonal relationships, share information, and dynamically interact under an “aligning narrative.” It is important to point out that U.S. military leaders in Iraq were grappling with how best to help networks of teams rapidly learn, in an environment involving the close interaction of order and chaos, to best align the needed changes within the context of military command and control hierarchies. To better understand the challenge, it is helpful to examine Anne-Marie Slaughter’s (2017) comparison of common characteristics between hierarchies and networks offered in *Table 1* below (p. 51-52).

***Table 1*: Comparison between Hierarchies and Networks**

| HIERARCHIES | NETWORKS |
|---|---|
| Centralized | Distributed |
| Fordism: workers perform specialized tasks | Flexible specialization: small-scale production teams simultaneously work on |
| Employee traits: deference to authority, obedience, conformity | Employee traits: autonomy, adaptability, problem solving, collaboration |
| Ties are strong but few | Ties are loose but many |
| Tasks, managers, and departments are organized by function | Tasks, managers, and departments are organized by project |
| Communication is vertical command through defined channels | Communication is lateral as well as vertical consultation |
| Management derives authority from title, rank, and seniority | Management derives authority from expertise and contribution |
| Job descriptions and areas of control are narrowly defined | Job descriptions are broad and boundaries are permeable |

| | |
|---|---|
| Transaction and payment are the glue of relationships | Trust and reputation sustain relationships |
| Key decisions are centralized so coordination costs are low | Decentralized decision making, so higher employee satisfaction and loyalty |
| Performs well in stable, predictable environments | Performs well in ambiguous environments that require efficiency and flexibility |

As suggested by Siemens's connectivism principles, along with Anne-Marie Slaughter's comparison of hierarchical and network organizations characteristics, U.S. military leaders in Iraq wanted the benefits of connective networks while maintaining necessary elements of military command and control. The importance of "getting it right" was imperative for improved military operations. Forces needed to connect and interpret their collective information sources, nurture and maintain their connections across teams and organizational boundaries to successfully adapt to the shifting "alterations in the information climate affecting their decisions." By doing so, US-led coalition forces were able to appropriately address conditions rapidly encountered on the battlefield with greater speed and decentralized autonomy.

## Leading Network of Teams: The Power of an Aligning Narrative

U.S. military leaders in Iraq, making use of connectivism principles, decided to apply an aligning narrative. They soon harvested the fruits from their efforts with improved military operations, as shared by Fussell and Goodyear: "[O]ur teams on the ground could move and adapt faster than the leaderless insurgent cells they faced on the battlefield" (p.18). They continue to share the overall transformational effect: "Under the pressure of war and seemingly insurmountable challenges, we'd transitioned from a coalition who capability was simple the sum of its parts to a cohesive enterprise driven by trust-based relationships. Most importantly, each of us evolved in our views from a tribal, small-team optic to a newfound feeling of higher purpose and calling" (p. 19). The use of an "aligning narrative" by senior U.S. military leaders proved essential to override individual and unit narratives to help align everyone towards a shared understanding offering credibility for more speed and decentralized autonomy with the means to keep aligned with overall strategy and effort. The aligning narrative was expressed with the following simple equation (Fussell & Goodyear, p. 17):

**Credibility = Proven Competence + Integrity + Relationships**

Fussell and Goodyear highlight that the competence and integrity factors in the above equation of the aligning narrative were not the limiting factors when U.S. military forces needed to quickly and flexibly address rapid enemy adaptations. Rather, the greatest limiting factor turned out to be relationships represented by poorly interconnected teams. Even though U.S. military teams were made up of very selective members possessing strong moral fiber they were missing the relationships through which proven competence and integrity could be discerned and trusted to convincingly establish credibility with decision makers and with each other. Military leadership recognized the relationships needed to extend “far beyond those already established among members of the same unit and reach those on other teams and in critical partner institutions” (Fussell & Goodyear, p. 18). Using the aligning narrative, U.S. warriors were encouraged to interconnect, expose themselves to other closely-held viewpoints across teams and organizations, and transform the connections into tangible operational benefits for each team. The means to harvest similar transformational effects for helping to prepare future leaders is offered by thinking about the benefits of applying connectivism principles in the design of open-learning ecosystems. *Figure 1* illustrates a model for helping to guide the use of an aligning narrative for shaping future learning environments. The model depicted in *Figure 1* expands upon the narrative used by U.S. military leaders in Iraq to help highlight the association between factors of the original equation (*Credibility = Proven Competence + Integrity + Relationships)* to key learning elements for shaping warrior identity and performance in the Profession of Arms.

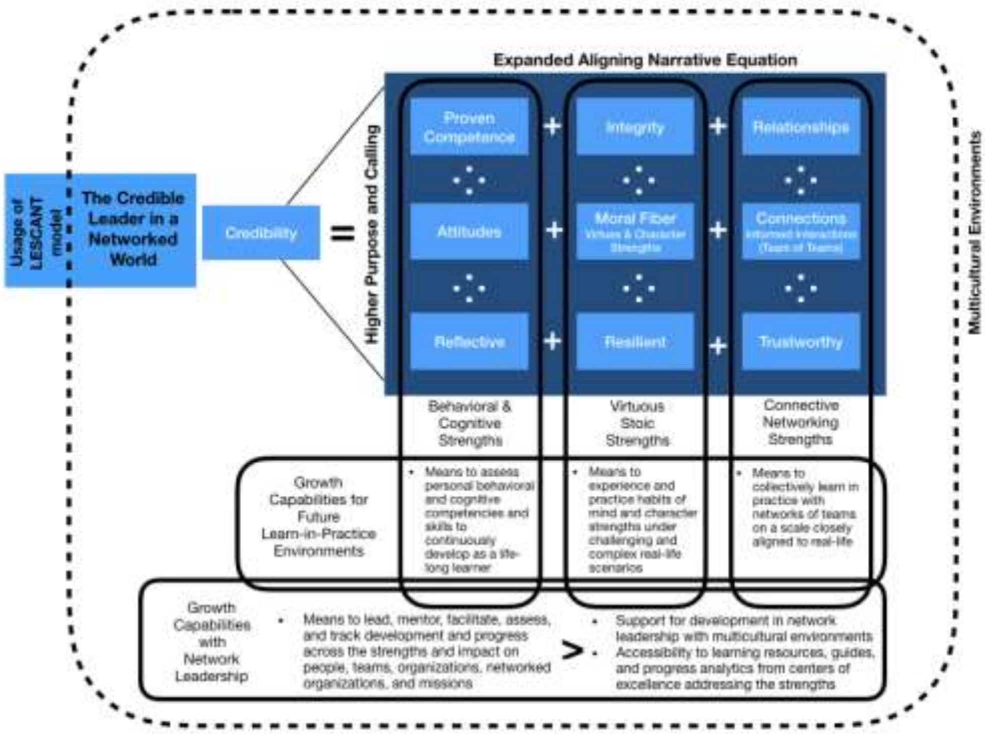


***Figure 1*. Expanded aligning narrative in context of multicultural environments.**

The expanded model depicts a way to think about and associate the contributions offered by behavioral, cognitive, ethical, and connectivism theories for developing credible U.S warriors for the 21st century. Each factor of the expanded model is briefly discussed below as it relates to the original equation put into use by U.S. military leaders in Iraq. Growth capabilities are also offered under each developmental strength area for consideration in the design of future learning environments and for supporting leaders in the use of the expanded aligning narrative for force development in an interconnected world.

## Factors Associated with Behavioral and Cognitive Strengths

Attitudes. This factor addresses the close association between "skill and will." The role attitudes play with willingness to engage and take action in the use of skills is paramount for establishing and strengthening proven competence. Educators pay attention to the association between skill and will by addressing affective learning in the design of learning environments:

> *Affective learning involves the melding of thinking and feeling in how people learn. Importance is placed on social learning environments for knowledge construction and application wherein deeper awareness and understanding of the role played by mental dispositions in how a person views, engages, and values learning can result in better understanding and use of knowledge and skills. Learning outcomes are focused on enculturation of norms, values, skillful practices, and dispositions for lifelong learning* (Stricker, 2009).

Reflective. With respect to the Profession of Arms, learners can expect an encounter of fog and friction in modern warfare. In such cases, success is very likely to arise from a willingness to consider alternative courses-of-action that can challenge existing beliefs. Cognitively, it can be very difficult for military leaders to let go of existing beliefs – no matter how successful those beliefs have worked with past courses-of-action. Argyris (Argyris & Schön, 1974) speaks of the willingness to suspend deeply held beliefs and engage in the consideration of alternative courses-of-action as double-loop learning (p. 19). Conversely, Argyris describes single-loop learning as the use of one's current beliefs, and related actions, routinely applied in day-to-day practices (p. 18). Single-loop learning works most of the time for routine or stable environments. Interestingly, when practitioners are faced with unique or unstable environments, sole reliance on single-loop learning can often go unchallenged even in the face of mounting evidence that continued use of existing beliefs, and related actions, are not resulting in desired outcomes (pp. 18–19). Thus, there is the need to offer military learners opportunities to experiment with reflection-in-action to learn how to recognize and respond when single-loop learning ought to shift to double-loop learning. It is worthwhile to quote Schön's fuller description of a professional practitioner engaged in reflection in action:

> *When a practitioner reflects in and on his practice, the possible objects of his reflection are as varied as the kinds of phenomena before him and the systems of knowing-in-practice which he brings to them. He may reflect on the tacit norms and appreciations which underlie a judgment, or on the strategies and theories implicit in a pattern of behavior. He may reflect on the feeling for a situation which has led him to adopt a particular course of action, on the way in which he has framed the problem he is trying to solve, or on the role he has constructed for himself within a larger institutional context. Reflections-in-action, in these several modes, is central to the art through which practitioners sometimes cope with the troublesome 'divergent'*

> *situations of practice. When the phenomenon at hand eludes the ordinary categories of knowledge-in-practice, presenting itself as unique or unstable, the practitioner may surface and criticize his initial understanding of the phenomenon, construct a new description of it, and test the new description by an on-the-spot experiment* (Argyris & Schön, 1974, p. 62).

Schön's description of reflection-in-action is particularly relevant to modern warriors facing increasingly divergent or asymmetric forms of warfare wherein appropriate and effective courses-of-action often need to be determined in situations involving high levels of uncertainty and time pressures may require action before complete information can be gathered or a comprehensive plan is put into operation. Such demands on the modern warrior require experience with such situations before encountered in actual warfare. U.S. military learners need opportunities to experience and experiment with difficult situations requiring decisions in real-time under circumstances involving incomplete, uncertain levels of accuracy, or missing information (Stricker, Arenas, Westhauser, & Hawkins-Scribner, 2017). Reflection-in-action, in a networked world, also involves consideration of action in the context of multicultural environments. As discussed previously, usage of the LESCANT model helps to better reflect upon and consider the culturally linked variables of language, environment and technological considerations, social organization, contexting, authority conception, nonverbal communication, and temporal conception (Victor, 1992, p. 246).

## Factors Associated with Virtuous Stoic Strengths

**Moral Fiber**. Developing moral fiber of U.S. warriors serves as a guiding principle for military training and education. Moral fiber is developed with emphasis placed on Stoic virtues offering the means to temper control with forgiveness. Temperance also applies to balance warrior drive and achievement with humility and wisdom. Moral instruction of U.S. warriors provides the ethical foundation from which values such as loyalty, duty, respect, selfless service, honor, integrity, and personal courage become associated with identity and virtuous behaviors in the Profession of Arms. Research on virtues, and related character strengths, can inform how to instruct and embed within the warrior habits of mind associated with stoicism for facing the hardships of military life and service. This factor places importance on virtue and the training of the soul, for developing character strengths cultivated as a kind of mindset for a stoic warrior to endure the harshest of circumstances brought by war (Stricker, Arenas, Westhauser, & Hawkins-Scribner, 2017).

**Resilient**. This factor is heavily influenced by a warrior's moral fiber. More than ever in the history of warfare, war fighting can rapidly span across mental, economic, social, cultural, religious, and political systems shaping and influencing uncommon and complex battle spaces. Twenty-first-century warfare requires a warrior to understand the importance of and means to possess a repertoire of ways to strengthen their physical, mental, and moral stamina to be better at facing high levels of uncertainty and complexity in modern warfare. Resiliency requires lifelong developmental effort by warriors to holistically strengthen and sustain physical, mental, and moral healthfulness.

## Factors Associated with Connective Networking Strengths

Connections. This factor is more likely than the other factors, in the expanded aligning narrative, to be overlooked for appropriate developmental focus in the context of real-life military settings wherein trust-based relationships across teams is paramount. On the surface, it might be assumed that offering the means for military learners to problem solve together in teams on location at a schoolhouse is sufficient. What is likely to be overlooked, however, is the importance for learners to engage in problem solving most likely to be encountered in real-life military settings via combinations of physical and virtual connections among teams, often involving unfamiliar units or institutions, and in many cases among teams distributed geographically and operating across different time zones (on a scale similar to actual military settings and joint operations). Also, there are digital literacies associated with the means to effectively discern and appropriately use digital tools to establish and sustain effective collaborative effort in networked environments. This is especially true when performing in real-life hybrid situations involving combinations of onsite and distributed teams. Such situations call for U.S. military members to adjust appropriately in how information is effectively collected, interpreted, communicated, shared, and used for effective problem solving across physical and virtual spaces. Impactful outcomes by networks of teams are dependent on connective networking strengths.

Trustworthy. U.S. military leaders in Iraq found that trust-based relationships were the vehicle from which the other factors in the aligning narrative equation came to be proven among teams with one another for the establishment of credibility far beyond each member's team and organization. Trust-based relationships transformed the capability of units from the sum of its parts to a cohesive enterprise possessing a higher purpose and calling with the means to respond quickly to a shifting environment (Fussell & Goodyear, 2017, p. 18). In the words of a participating U.S. military member:

> *Human-to-human connectivity and true strategic alignment had been established across our enterprise's teams and around the globe, binding thousands of people from unique and different tribes to a purpose that changed in scope and complexity almost every day. This new culture allowed our enterprise's teams the space to react with speed and autonomy to the unpredictable challenges thrown our way every day. We were thousands of professionals around the globe, but shared the intimacy of a small team sitting around a table…our organization had become whole: we were many teams, freely operating and engaging with one another in the pursuit of one mission. We often put other, once-rival tribes ahead of ourselves and knew they would do the same for us…I would miss more than anything else once I departed for home — a many-leagues-deep interpersonal trust, scaled across an entire enterprise through carefully facilitated, informal, intertribal relationships, that complemented our preexisting bureaucratic norms* (Fussell & Goodyear, 2017, p. 23).

## Growth Capabilities

The expanded aligning narrative offers a way to think about how identified strengths, targeted for force development, can be holistically addressed for improving how people learn in practice in an interconnected world. A few growth capabilities are offered for consideration across the strength areas to highlight their importance.

Behavioral and Cognitive Strengths. It is important to empower learners with the means to be actively engaged in self-assessment and enabled to address developmental goals across their continuum of service. Future learning environments need to offer learning progress dashboards, the means to collect and organize important assessment and progress reports, outlining their longitudinal development in the form of portfolios, with prescribed learning pathways uniquely tailored for them on the basis of developmental needs and growth plans. The means to offer such capabilities is determined by the use of learning analytics making use of collected learning data on a scale necessary for handling big data, analyzing trends, and intelligently prescribing and adapting learning pathways for enabling deep learning with precision across an entire span of service.

Virtuous Stoic Strengths. Research on ways to develop virtues and character strengths and their use in habits of mind has proven helpful for shaping better leadership practices (Costa & Kallick, 2014; Sosik, Gentry, & Chun, 2012). Research points to the importance of developmental focus in the practice of character strengths using real-life scenarios (Costa & Kallick, 2009). And, research highlights the need to continuously learn about the use of character strengths in changing contexts of practice and roles as a person matures and takes on different leadership responsibilities over their professional lifetime (Gentry, Cullen, & Altman, 2016; Sosik & Cameron, 2010; Sosik, 2006). Similarly, in the Profession of Arms, a credible warrior in a networked world that changes rapidly requires a set of guiding values to be successful. For example, core values provided by the United States military services offer a foundation that empowers a cohesive effort of individuals guided by purpose. Common core values such as loyalty, duty, respect, selfless service, honor, integrity, and personal courage act as a guide to individuals and reinforce habits of mind that build moral courage and trust. They aim to create a culture that makes belief in collective action possible. Leading, adapting, and learning in a networked world requires individuals to have moral courage, trust, and belief in a united purpose. Core values in the Profession of Arms profession of arms give individuals a foundational guide to be successful in a rapidly changing networked world through collective and collaborative effort united by a culture of trust and driven by the purpose of a nation.

Connective Networking Strengths. The biggest challenge ahead for addressing these strengths in future learning environments is the means to offer ways for learners to engage in team of teams networking, across virtual and physical spaces, on a scale realistically similar to real-life practices associated with interdependent and collaborative problem-solving challenges. Another set of challenges is related to unsuitability of existing geography-restricted infrastructures and frameworks employed in current formal learning environments (involving the use of closed networks and inflexible curricular structures organized around courses). On one level, future learning environments should functionally offer global communication and IT infrastructures with the means to provide access to collective expertise of a globally distributed team. On another level, future learning environments should be designed as open-learning ecosystems involving properties better aligned to the needs of people learning and performing in a networked world. For example, the guiding design nexus for open-learning ecosystems is based on the science of relationships. Importance is placed on the means for learners to learn in an interconnected community sustained by a web of relationships. In an open-learning ecosystem, learners can better learn about and experience networks of teams. And, with in-situ usage of an open-learning ecosystem, the fabric of professional identity and practice becomes a resilient learning community in which all participants are interlinked in a network of relationships - all working together and learning continuously.

## Growth Capabilities for Networks of Teams' Future Leaders

Leaders are instrumental for the effective use of an aligning narrative by ensuring consistent engagement with and communication of the narrative across all levels of the organization. Leaders need to steward a culture of trust, transparency, and willingness to take greater risks necessary for supporting development and progress across the Stoic strengths. Two growth capabilities stand out for assisting leaders in this role:

<u>Development of Network Leadership in the Use of Aligning Narratives</u>. There is a learning curve associated with values-based network leadership necessary for developing a shared consciousness among people and teams around the factors of an aligning narrative. Leaders need to understand and discern the importance of habits associated with connected networking (e.g., ways to connect teams across organizational boundaries and steward synchronization of effort), the type of communication, information sharing, the interpretation and use of learning analytics to assess progress, and the impact on organization and mission levels. Leaders also need to understand how to engage their staffs in the supportive use of an aligning narrative and in the cultivation of an open-learning ecosystem within their organizations. This should be shared with other organizations for networking teams to collectively learn and contribute to the larger mission. Leaders also need to know ways for helping to establish and sustain a collaborative culture involving the use of connected networks among people and the anticipated effects that normally evolves informally with and across an organization's formal structures (Capa & Luisi, 2016). Anne-Marie Slaughter (2017) describes the "five Cs" which highlight common skills and attributes associated with network leadership (pp. 186-197):

> *Clarify:* Leadership begins with the clarification of goals for accomplishing collective purpose. The usage of an aligning narrative by leaders helps to continually remind and refocus network members.
>
> *Curate:* Curating members and resource availability of a network requires careful planning by leaders. For example, innovation networks benefit from deep and wide ties, as well as formal and informalities.
>
> *Connect*: Leaders need to be skilled at connecting people to each other and nurturing a culture of participation and sharing.
>
> *Cultivate:* Network leaders diligently cultivate and tend to relationships. Leaders discern the importance of trustful relationships for holding together networked teams. Network leaders also cultivate an ethical culture, delegate and empower groups of leaders focused on bringing diverse people together and addressing tensions for the common good.

*Catalyze:* A network leader requires uncommon abilities of persuasion. "The chief attribute necessary to persuade, however, is neither command of facts nor rhetorical gifts. The first step toward persuading others is an evident and sincere willingness to be persuaded yourself."

David Victor's (1992) LESCANT model offers key cultural areas for deliberate and reflective practice by leaders with the above "five Cs." LESCANT is an acronym for seven variables likely to shift across cultures: Language, Environment and Technology, Social Organization, Contexting, Authority Conception, Non-Verbal Behavior, and Temporal Conception (Victor, 1992, p. 14). Sensitivity and responsiveness by a leader to each LESCANT variable helps guide the development of trust-based relationships essential for enculturation of shared virtues necessary for cohesive effort in multicultural environments. Each LESCANT variable is briefly interpreted below for leadership with multicultural environments in an interconnected world (Victor, 1992):

*Language*: Use of language carries social implications of belonging to a common group that for many cultures establishes the trust necessary for relationships. Language reflects cultural assumptions and influences thought. In reflective practice, a leader is aware of the role played by language to connect people, cultivate relationships, and persuade. A credible leader in a networked world will need to communicate difficult concepts to general audiences in an easily understandable multicultural-aware narrative form.

*Environment and Technology*: Leaders may not recognize environmental factors as culturally subjective. The way people relate to each other at work, in their community, and with family is largely, if not overwhelmingly, determined by the nature of the technology employed, how it is employed, and the social relations that govern its use.

*Social Organization*: This variable addresses common institutions and collective activities shared by members of a culture. The practice of social values by members of a culture are reinforced by a number of social structures such as kinship, family, community, education, economic stratification, religion, political, to name a few. Effective network leadership considers the role served by social structures in the practice of social values. Another element to note with social organization is the degree to which cultures place value on the continuum between individualism and collectivism. In individualist cultures, for example, people tend to identify weakly with the groups to which they belong. On the other end of the continuum, collectivistic cultures place a higher premium on group membership and loyalty. A leader in multicultural environments will need to address both ends of the continuum to successfully steward interdependent effort involving networks of teams.

*Contexting*: This variable supports the notion of behavior and how participants in the network think about rules based on low or high context. An example of how context affects decisions relates to the question *when is it reasonable to violate a rule*? A high context culture examines the situation before making a decision whereas a low context culture feels strongly about following rules, even when they are not applicable to the situation. Critical thinking and problem-solving benefit from understanding how context impacts leadership and the world view.

*Authority Conception:* There is considerable cross-cultural variability of how authority is conceived on the basis of power perception and leadership style. Authority is the power to direct the actions of others as well as the actions taken by a leader, via leadership styles, to cause others to do what is desired on the basis of perceived meaningfulness of the action. The relationship of power and leadership is inseparable from culture in practice. Network leadership in multicultural environments may involve accommodation to the degrees of differences between Western conceptions of power (power is bestowed through title or position) and in Asian cultures where power conception is embedded in its social setting and in individuals rather than the offices held.

*Non-verbal Behavior*: This variable acknowledges that the amount of information people communicate nonverbally exceeds what they communicate by using words. Consequently, network leadership taking place in environments offering no visual or verbal cues in communication will involve greater attention to how messages are more likely to be misinterpreted.

*Temporal Conception*: This variable addresses how a person understands and uses time. As is true with the other LESCANT variables, temporal conception is culturally influenced and socially reinforced. The decision on when to meet, how to allocate time during a meeting, and when to stop meeting sound like simple tasks, but cultural perceptions of time vary. How leaders perceive and share the fabric of space and time in network leadership requires sensitivity to cultural differences, and respect for world views framed by high and low context perspectives. One culture may find it disrespectful for a session to exceed the scheduled time while another culture views it as the natural outcome of an excellent experience.

<u>Access to Learning Resources, Guides, and Analytics Addressing the Strengths</u>. Leaders need access to learning resources, guides, and analytics for each of the strength areas to help support their leadership role using an aligning narrative. Resources and guides need to be specifically developed for use in squadron and unit-level contexts involving on-station, deployed, joint environments, and also for other settings less formal outside of work areas. Leaders also need access to learning analytics depicting the developmental progress across the aligning narrative strength areas for helping them to assess and address impact on people, teams, organizations, and mission levels. Ideally, learning analytics ought to be provided to leaders in the form of longitudinal indicators for helping them to assess progress over time. Analysis of learning data should include prescriptive recommendations for leaders to help assist with their efforts in remediation, adjustments, and future planning activities. The means to support leaders with data-driven insights involves computing for data analysis on a scale necessary with the applied use of learning analytics by large organizations.

## Use of Open-Learning Ecosystems for Networks of Teams

The use of an open-learning ecosystem for networks of teams offers participants a way to learn in practice while also providing the means for greater flexibility to transverse organizational boundaries. Networking infrastructure, tools, and resources evolve and are openly shared across organizational and cultural boundaries dynamically among participants as they collectively learn, adapt, and perform. Ultimately, open-learning ecosystems help networks of teams to thrive (see *Figure 2).* Open-learning ecosystems are well suited for supporting interconnected and inter organizational efforts dependent on the need to broadly connect, collectively learn together in practice, and interdependently work on complex challenges. Overall, high performance by networking teams is dependent on how well cross-fertilizing and spreading knowledge can openly and easily occur across teams. Leaders play a key role for helping people involved with networks of teams to better understand and benefit from the open processes and dynamic connections offered by an open-learning ecosystem. And, leaders will also need to help people understand how learning in practice, via an open-learning ecosystem, is different from formal learning environments. Learning in practice involves development of shared understanding, negotiation of meaning via open processes, and constant need to include new elements of complexity that are highly perturbable. Participation in networks of teams introduces for each person a tension between experience and competence when boundaries are crossed.

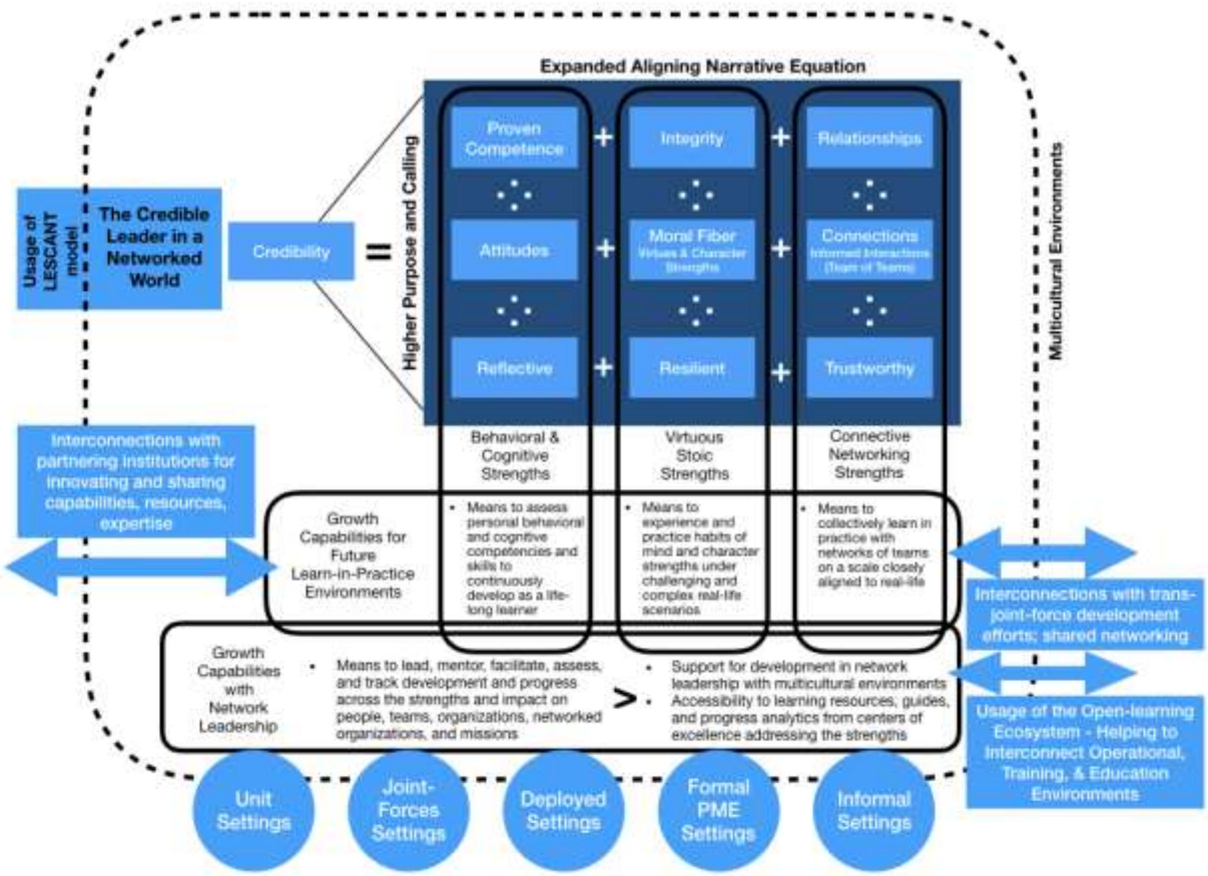


*Figure 2.* **Open-learning ecosystem for supporting network leadership in the use of an expanded aligning narrative.**

Although crossing boundaries helps to open up new areas interconnected with a person's specialty, it can also impair growth (impacting the means for participating with shared understandings) if willingness to reveal gaps in comprehension and obtain assistance is not forthcoming. New members to networks of teams are most likely to struggle with this issue and leaders need to be aware of indicators when a team member is not willing to seek assistance from networks of teams. Over time, participants in networks of teams need to learn how to self-reflect and benefit from an open-learning ecosystem.

A leader, by using an aligning narrative in the context of an open-learning ecosystem, acts as a strategist for sustained transformation of independent tribes towards networks of teams via a learn-in-practice culture. The learn-in-practice culture helps to deepen understanding of those involved with networks of teams that continuity of effective interdependent effort depends upon trust and relationships for collective learning, reflective adaptability, and resilience in the face of constant change (Stricker, 2017). Rooke's and Torbert's (2005) developmental leadership model, outlining seven transformations of leadership, is helpful for understanding values-based network leadership. A strategist operates at the higher sixth-level of thinking for a leader. The transformational strategists demonstrate consistent capacity to innovate and successfully transform their respective organizations by creating aligned and shared visions and fostering collaborative ecosystems and environments in the organization (Rooke & Torbert, 2005, pp. 5-6). **Comprehensively, values-based network leadership involves the use of systems and design thinking to adaptively align a complex ecosystem of interrelationships and synergies between areas of expertise involving networks of teams**. In the strategist role, under values-based network leadership, a leader pays attention to the evolving pattern of relationships in networks as a living system involving continual adaptations aligned with “living strategy” as conditions change.

The concept of a “living strategy” is useful to distinguish between linear and nonlinear patterns of strategic thought and effort. Nonlinear strategy factors assimilate complexity theory and emergence into strategic thinking and planning. Network leadership employs the use of “living strategy” to help guide and lead successful adaptations by networks of teams to accomplish difficult challenges in the face of complexity. Alignment of effort among networks of teams is driven in large part by the dynamics between cognitive and social dimensions from which members construct meaningfulness from the interconnectedness of rules of behavior, values, intentions, goals, strategies, and designs. Using "living strategy" a leader employs an aligning narrative to help construct and sustain a culture of shared meaningfulness among networks of teams to the importance of adaptations, collective learning, and collaborative excellence.

## Conclusion

Values-based network leadership builds upon the interdependent leadership behaviors outlined and researched over the years by the Centers for Creative Leadership (McCauley, et al., 2008):

- Soliciting diverse or fresh perspectives from others;
- Facilitating or seeking shared sense-making, co-constructing direction, alignment, and/or commitment;

- Engaging in dialogue to explore differences;
- Actively managing polarities of diverse perspectives;
- Openness to revision and change of strategy or approach; and
- Engaging in self-authorized decision-making.

The leadership behaviors identified above, nearly 10 years ago, have only grown in importance as leaders increasingly lead teams that are inter-organizationally networked across virtual and physical locations. Effective performance by team networking is dependent on leaders helping to ensure a culture of unified character necessary for trust-based relationships wherein the differences between "us" and "them" are effectively reconciled for connective and aligned interdependent effort. Values-based network leadership employs a clear and aligned understanding of effort among networks of teams enabled and sustained by an environment suitable for collective learning in practice for in situ adaptations and growth.

This paper offered an introduction to values-based network leadership with suggestions for the use of an open-learning ecosystem highly suitable for helping leaders lead and sustain networks of teams. The implication of the suggestions offered in this paper is that most U.S. Department of Defense educational institutions do not currently address learning outcomes associated with networks of teams' skills and practices that transcend particular courses and disciplinary boundaries. What would it look like if U.S. Department of Defense educational institutions were to design educational experiences less around which courses learners need to take and more to demonstrate enhancements in collective learning and network of teams' skills necessary for an interconnected world?

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# "I See You!" – The Zulu Insight to Caring Leadership

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**Abstract**

*Although the role of leaders in building relationships with team members has been well-established as a foundation for improved performance (Beer, 2009), the complex challenges in directing the modern organization in a highly competitive global marketplace often mean that leaders of organizations are more focused on tasks rather than people. Nonetheless, a growing body of research about the importance of leader-member relationships confirms that leaders who demonstrate a caring commitment to the welfare of organization members also create organizations that are more profitable, more innovative, and more effective at meeting customer needs (Cameron, 2003; Kouzes & Posner, 2012).*

## Introduction

Insights from the Zulu, a Bantu ethnic group in South Africa, and that group's common greeting of ***Sawubona***, provide powerful evidence of the importance of the leader's role in acknowledging, validating, and truly understanding colleagues and followers as they create organizations committed to shared goals. The purpose of this paper is to explain the nuances of that Zulu greeting and to equate that term to the ways in which today's leaders can better establish their own relationships with the employees whom they lead and serve. We begin by explaining the precise meaning of ***Sawubona*** in the Zulu language and identify four important elements of the phrase that are communicated. We then examine each of those four elements as part of the leader-follower relationship and present eight propositions about the application of those elements and their positive impacts on today's highly competitive organizations. We conclude the paper with a summary of the practical applications of this paper for today's leaders and a charge to leaders to incorporate the spirit of ***Sawubona*** as they strive to create stronger relationships and more successful organizations.

## Meaning of *Sawubona*

The African greeting, "I see you," is common to several cultures and reflects the importance of acknowledging others and seeing value in the present moment (Bishop, n. d.). The term ***Sawubona*** encompasses far more than the casual greeting of "Hello," which is sometimes a cursory acknowledgement and a trite but necessary formality in Western cultures. The greeting represents the Zulu philosophy of ***ubuntu***, which translates as "humanity toward all."

***Ubuntu*** is a spiritual ethic that advocates mutual support for "bringing each other into existence." To practice ***ubuntu*** is to help your brothers and sisters remember their true identity, recognize their true value, and participate fully. ***Ubuntu*** teaches that our purpose is to be a true friend to one another. Through ***ubuntu***, we bring out the best in ourselves and others — "a training in true leadership." In explaining the true nature of ***Sawubona***, Oliver Bishop explained that the term conveys the interconnectedness of people, their need for freedom to be "present with" others, and the importance of each person's inherently sacred value.

***Sawubona*** reminds leaders of the importance of not simply viewing employees in terms of tasks and roles they perform, but rather make efforts to see and understand who others really are (Naseer T, 2014). It is therefore fundamentally essential for leaders to nurture relationships with followers and to understand what matters to each person and how every individual can contribute in a meaningful way to an organization's shared purpose. It is this far more comprehensive nature of ***Sawubona*** that offers valuable insights into the leader's role in redefining their relationships with others in a way that fully demonstrates the capacity to manage change, lead others, and achieve unprecedented results for individuals and organizations.

## Elements of *Sawubona*

Implicit within the concept of ***Sawubona*** are four key elements of a leader's relationship with others. In this section we identify each of those four elements, define their importance of each element in the leadership relationship by citing the leadership literature, and suggest eight propositions associated with these four elements and their implications for individuals and organizations.

*Empowering Others:* ***Sawubona*** implicitly incorporates the witnessing by one person of the value of another and affirms their linkage in history and in their place in the world (Bishop). In explaining the nature of ***Sawubona***, de Jager (2005) explained that the term acknowledges, validates, and recognizes the uniqueness of others – thereby empowering them and affirming their importance rather than simply their existence. The Zulu saying that reinforces the interdependence of relationships***, Umuntu ngumuntu nagabantu***, affirms the identity of others and verifies that a person is a person because of other people (de Jager, 2005).

The greeting does far more than express an acknowledgement, but also frames the other person as having divine potential, a place in history, and witnessing their uniqueness and value (Bishop). Consistent with the nature of psychological empowerment, *Sawubona*, validates an individual at four levels:

1. ***Meaning*** – Acknowledging the importance of individuals, their inherent value, and the contribution that they make to the world.
2. ***Competence*** – Affirming the ability, capacity, and/or skill of an individual to perform a worthy task or achieve a desired outcome.
3. ***Self-Determination*** – Recognizing that the individual is free within accepted parameters to govern his or her self with autonomy.
4. ***Impact*** – Validating the significance of the actions and works being engaged in of an individual (cf. D'Innocenzo, Luciano, Mathieu, Maynard, & Chen, 2016).

This component of the Zulu greeting is consistent with the empowering obligation that leaders assume in their relationships with followers.

Empowering others is widely recognized as a contributing element of effective leadership and enhances within individuals their self-efficacy and confidence in making a valued contribution (Fong & Snape, 2015). Cameron, (2011) explained that empowering others is a key element of responsible leadership and, though rare, is a vital moral obligation that enhances both the outcomes of organizations and the growth of individuals. Rather than focusing on a high control model that often undermines initiative and creativity (cf. Pfeffer, 1998), empowering leadership seeks to enable and assist others to recognize their highest potential and thereby inspire them to strive to achieve the best within themselves (Covey, 2004, p. 98).

Mary Parker Follett (2013) described this willingness to empower others as a "power with" rather than a "power over" relationship. Follett had explained that controlling others was far less effective than truly integrating with them and creating a partnership based upon 1) creating a uniting relationship, 2) incorporating two-way candor to enhance mutual understanding and trust, and 3) viewing one's actions as part of an integrated whole rather than as separate or incremental. Thus, Follett (2013) described the successful leader as one who inspires the best in others, who clarified meaning and focus, and who unified and concentrated the effectiveness of an organization.

Propositions 1 and 2 are consistent with the nature of ***Sawubona*** and the research about empowering leadership.

**$P_1$: Leaders who adopt an empowering relationship with employees are viewed as more ethically responsible than leaders who do not adopt this leadership approach.**

**$P_2$: Organizations with leaders who adopt an empowering relationship with employees are more profitable than organizations with leaders who do not adopt this leadership approach.**

*Acknowledging Mutuality:* The essence of ***Sawubona*** includes the acknowledgement of the mutuality of the relationship between the individuals involved. Bishop (2006) explained that *Sawubona* encompasses an invitation to participate in each other's lives to become one's best in the pursuit of optimal outcomes. This acknowledgement of the obligation to give others what they need is a fundamental element of ***Sawubona*** (Romero, 2010) and is considered a covenantal requirement of servant leadership (DePree, 2004).

In the evolving leadership literature, Vanvugt, Hogan, and Kaiser (2008) argued that leaders and followers are inherently interconnected and required understanding that relationship together rather than separately. Just as ***Sawubona*** views acknowledging the importance of the pursuit of mutual freedom (Bishop, 2006), transformational leadership recognizes the importance of synergistically achieving organizational success and the enhancement of each individual's capabilities in a constantly changing world (Bass & Riggio, 2006).

Malakayan (2014) emphasized the importance of understanding the interconnectedness of leaders and followers and Hayes and colleagues (2015) clarified the critical importance of that mutuality in creating follower ownership, commitment, and trust. The validation and affirmation of mutuality transcends accepting others and acknowledging their unique worth but also demonstrates that the leader understands his or her dependence upon others for the success of a venture and for his/her own success – in addition to benefiting followers as well (Clarke & Mahidi, 2017).

Propositions 3 and 4 address the relationships between mutuality of relationships between leaders and followers.

> **$P_3$: Leaders who demonstrate sensitivity to the mutuality of relationships with employees are viewed as more trustworthy than leaders who do not adopt this leadership approach.**

> **$P_r$: Organizations with leaders who demonstrate their understanding of the mutuality of relationship with employees are more profitable than organizations with leaders who do not adopt this leadership insight.**

*Honoring Uniqueness:* ***Sawubona*** acknowledges the uniqueness and value of each individual and the nobility of purpose of individuals and organizations (Bishop, 2006). Edwards (2014) added that the greeting was intended to affirm the greatness in people. In addition, de Jager (2005) suggested that ***Sawubona*** affirmed both the closeness of the relationship and the regard in which the person "being seen" is perceived.

In the same way that the Zulu acknowledge the importance of others, Martin Buber (2002), the Austrian philosopher, explained that individuals must be viewed as highly-regarded and individual "Yous" rather than as fungible and collective "Its." Beer (2009) explained that organizations seeking high performance and high employee commitment needed to create organizational systems that valued employees as the source of value creation — and demonstrating that perception by establishing integrated high performance and high trust systems, policies, and practices that affirmed each employee's individual worth.

Peter Block (2013) was one of a host of other scholars who similarly emphasized the importance of treating employees as valued "owners and partners" who are owed stewardship obligations by their employers (cf. Bernstein, Buse, & Bilimoria, 2016; Hernandez, 2008 & 2012; Caldwell, Hayes, Karri, & Bernal, 2008). Caldwell and Floyd (2014) have cited evidence demonstrating that organizations that treat employees with high regard, dignity, and respect are measurably more productive and profitable than similar organizations that treat them as partners in a simply transactional relationship.

Applying the insights from leadership findings, Proposition 5 and 6 address the importance of honoring employees as unique individuals.

> **$P_5$: Leaders who honor employees as valued individuals are considered more effective leaders than those who do not treat employees in this way.**

> **$P_6$: Organizations with leaders who honor employees as valued individuals are more profitable than organizations with leaders who do not adopt this leadership approach.**

*Caring Personally*: Bishop (2006) explained that ***Sawubona*** demonstrated a profound level of personal caring that recognized the divine capabilities of another person, witnessed to their inherent greatness, and affirmed their worth. Acknowledging the humanity of others and the sacredness of the human condition, the French philosopher, Pierre Teilhard de Chardin (2004), similarly explained that "(w)e are not human beings having spiritual experiences but spiritual beings having human experiences."

The importance of treating others with a view toward their worth and greatness has been frequently expressed by leadership scholars. Quinn (1996) affirmed the importance of leaders treating others with the recognition of their potential greatness. Boyatzis and McKee (2005) emphasized the importance of leaders creating a deeply personal relationship that resonates with others and empowers them to excel. Other scholars (Pava, 2003; DePree, 2004; Sendjaya, Sarros, & Santora, 2008; Caldwell, 2012) have recognized the nature of leadership as a "covenantal relationship" in which leaders owe followers a profound set of moral obligations and personal obligations.

Covey (2005, p. 98) emphasized the importance of the leader caring about others and demonstrating a commitment to the welfare growth and wholeness of others by helping them to find their voice, discover their greatness, and thereby achieve their best possible version of themselves. Great leaders recognize that the ability to connect with others is far more than a cognitive clarification of duties or a set of technical skills but includes a far deeper affective acknowledgement of the importance of each individual as a valued person with almost limitless potential (Secretan, 2005; Greenleaf & Spears, 2002).

Propositions 7 and 8 are consistent with this fourth element of the nature of ***Sawubona*** and its link to successful leadership.

> **$P_7$: Leaders who demonstrate a personal caring to employees are considered more effective leaders than those who do not treat employees in this way.**

**$P_8$: Organizations with leaders who demonstrate personal caring in their relationships with employees are more profitable than organizations with leaders who do not adopt this leadership approach.**

## Positive Impacts on Others

Leadership research has affirmed that treating employees with the four elements of a ***Sawubona*** perspective can create powerful relationships (McKee, Boyatzis, & Johnson, 2008), increase trust and follower commitment (Hayes, *et al*., 2015; Caldwell & Hansen, 2010), and produce more successful organizations (Beer, 2009). That research also suggests that leaders who view the world and their moral obligations as an ethical stewardship honor the duties owed to individual followers, their organizations, and the larger community (Caldwell, Bischoff, & Karri, 2002; Caldwell, 2012).

The ***Sawubona*** perspective incorporates much more than treating others with kindness (DePree, 2004), demonstrating caring (Autry, 1992; Peck, 2003), or conveying authentic respect (Gardner, W. L., Avolio, B. J., Luthans, F., May, D. R., & Walumbwa, F., 2005). The perspective invites others to discover themselves (Covey, 2004; Hasan & Caldwell, 2016), honor individual identities (Hayes & Caldwell, 2016), and make a better world (Bishop, 2006).

In keeping with the spirit of **Sawubona**, Marianne Williamson (1992, pp. 190-191) provided an insight into the potential within each of us, coupled with our ironic reluctance to recognize our own potential.

> *Our deepest fear is not that we are inadequate. Our deepest fear is that we are powerful beyond measure. It is our light, not our darkness that most frightens us. We ask ourselves, Who am I to be brilliant, gorgeous, talented, fabulous? Actually, who are you* not *to be? You are a child of God. Your playing small does not serve the world. There is nothing enlightened about shrinking so that other people won't feel insecure around you. We are all meant to shine, as children do. We were born to make manifest the glory of God that is within us. It's not just in some of us; it's in everyone. And as we let our own light shine, we unconsciously give other people permission to do the same. As we are liberated from our own fear, our presence automatically liberates others.*

***Sawubona*** acknowledges the great value of the person to whom one speaks, and its message encompasses the leader's obligation to help others to see themselves more clearly, to embrace their own greatness, and to then use their potential in the service of others and in the pursuit of a noble purpose in life (cf. Atwijuka & Caldwell, 2017).

## Practical Applications for Leaders

Understanding the value of ***Sawubona*** and its rich meanings provides four important practical applications for today's leaders.

1) ***It conveys the importance of individuals as value contributors.*** Many organizational leaders mistakenly view employees as cost centers when, in fact,

those same individuals actually create the added value which an organization delivers to its customers. *Sawubona* affirms the inherent worth of all persons, their ability to create value, and their fundamental importance.

2) ***It confirms the leader's covenantal obligation to teach, serve, and create new meanings in partnerships with others.*** By affirming the worth of all individuals, *Sawubona* honors the interrelatedness of individuals and their obligations to each other to discover new insights and to make a better world through cooperative effort – moral duties inherent in the nature of covenantal leadership (Pava, 2003).

3) ***It affirms the importance of a caring, interpersonal, and affective leadership style that seeks to connect with others and to inspire them to become their best.*** Leaders owe a transformational duty to others that transcends simply creating profits for organizations, but that includes demonstrating a commitment to each individual's welfare, growth, and wholeness (Covey, 2005; Burns, 2010; Hasan & Caldwell, 2016). *Sawubona* emphasizes the caring, interpersonal, and others-honoring moral obligation of leadership.

4) ***It aligns with the need for a new, a higher, and a transformative commitment to relationships that has been missing in human relationships.*** Bennis and Nanus (2007) have called for such a "transformative" new leadership perspective and empirical evidence consistently affirms that lack of trust by which today's leaders are currently viewed in virtually every type of organization from businesses, to government, to academia, and even to religious institutions (Anderson, Ndalamba, & Caldwell, 2017).

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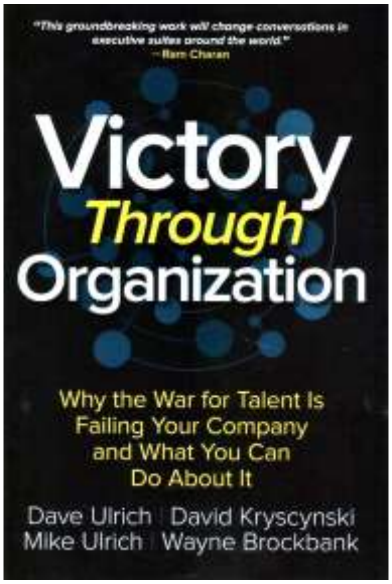


# Victory Through Organization: Why the War for Talent is Failing Your Company and What You Can Do About It

**— Reviewers M. Ganesh Sai and M.Ramakrishna Sayee**

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Authors Dave Ulrich, David Kryscynski, Wayne Brockbank and Mike Ulrich's book released in 2017 — *Victory Through Organization: Why the War for Talent is Failing Your Company and What You Can Do About It* — offers tools business leaders and HR professionals need to better and more comprehensively respond to emerging opportunities as well as provide expert advice for building HR departments to deliver measurable business value. It helps build organization capabilities, strengthen systems, and empower human capital — for sustainable success. This text both offers the reader a vast supply of updated ideas and insights on HR and underscores the importance of talent management and leadership development.

## What is Inside?

In *Victory*, HR professionals and business leaders will learn how they can ensure that their respective organizations create greater value than the sum of individual talent parts; how to create more integrated HR solutions for business results across multiple stakeholders; how HR departments can better create a comprehensive information advantage; and how HR professions can master the competencies that have greatest impact on their personal effectiveness, key inside and outside stakeholders, and business results. It shares six assumptions about the state of HR today — HR matters; HR research is imperative; HR professionals are changing; HR departments and practices are becoming more important; HR colleagues are incredibly gifted; and HR is a dynamic and innovative discipline.

This book unveils that HR is not about HR. HR begins and ends with the business. Every business is a product of its context. Business success comes when the internal strategy anticipates or responds to external conditions. The evidence of why HR matters for business outcomes comes from many diverse sources. Over time and through our research, authors have found the following:

- Only 61 of the original Fortune 500 firms still exist as independent firms.
- Successful chief executive officers (CEOs) have the same skills set as successful chief human resource officers (CHROs), in comparison to chief marketing officers (CMOs), chief information officers (CIOs), or even chief financial officers (CFOs).
- Approximately 30 to 40 percent of board of director time is spent on organization and people issues.
- Investors are increasingly aware of leadership capital as part of their investment decision making.

Authors unfold that people with a growth mindset believe that they can improve with effort. They outperform those with a fixed mindset because they embrace challenges — treating them as opportunities to learn something new. There are countless successful people who would have never made it if they had succumbed to feelings of helplessness: Walt Disney was fired from the *Kansas City Star* because he "lacked imagination and had no good ideas;" Oprah Winfrey was fired from her job as a TV anchor in Baltimore for being "too emotionally invested in her stories;" Henry Ford had two failed car companies prior to succeeding with Ford; and Steven Spielberg was rejected by USC's Cinematic Arts School multiple times. Imagine what would have happened if any of these people had a fixed mindset. They would have succumbed to the rejection and given up hope. People with a growth mindset don't feel helpless; they know that in order to succeed, they need to be willing to fail hard, acquire enduring resilience, and ultimately bounce right back.

This book explains that David Staffanson who is the VP of HR for Varian Medical System carried a notebook and would write down the things that were important to the employees and ask them what he could do to help. He was notorious for this personal checklist. The most important part of it was that he would reliably follow up on the information transcribed. He always completed what he committed to do, and this established credibility with the employees — from the production workers to the business leaders.

## HR Takeaways

- Four factors characterize today's information flow within and between organizations: speed, pervasiveness, ubiquity, and structure.
- Amazon started in books and now sells almost everything. Google has expanded from its search engine roots into biotech research, venture capital investments, and longevity research. Examples of five business model disruptions include the following: distribution channel control; cost-based efficiency; innovation; globalization and service quality.
- Hindustan Unilever Limited (HUL, Unilever's Indian operation) hires some of the best young talent out of the best Indian universities. To ensure their intellectual and emotional connection with the masses of India, HUL has its trainees travel to remote villages and live with the poor of India for several weeks to several

months. They then bring this understanding with them as they serve customers and as they rise in HUL's leadership ranks.

- The following four steps can be followed to create and deliver a clean set of integrated HR practices: differentiate between corporate and business strategy; identify the culture that is required for one's firm to win its customers' hearts and wallets; clarify the required technical competencies; and design and implement HR practices and policies.
- Companies are experimenting with different avenues through which to connect customers to employees. Such avenues include locating employees in the customers' facilities (GE), having customers visit the company's site to speak to employees (Timken), arranging for employees to spend time with customers as they use one's products (P&G), engaging employees in market research efforts (Disney), having customers participate in employee training courses (GE), having employees listen to customer service phone calls (Unilever), and having employees summarize company references on social media (McDonald's). Our experience is that very few HR development specialists apply this logic in framing their development efforts. Companies that concurrently utilize these multiple loops will find their learning cycles will quickly move employees toward greater performance.
- In order to better manage and leverage the importance of organization, it is useful to understand the fundamental drivers that bring organizations into existence and to define the value they create.
- Credible activists are respected and proactive. Credible individuals who are not activists may be respected for their insights or expertise, but have little impact. Activists who are not credible may have good ideas, but no one pays much attention to them. Credible activists become the foundation for getting invited to the proverbial table (or to engage in business dialogue). Effective HR professionals become credible activists as they achieve trust and respect within the organization by exhibiting integrity, strong interpersonal skills, and business acumen.
- Learning requires a commitment to improve. A successful self-improvement plan has five elements. They are recognition of the need for change; a specific goal, time and plan of action for changing; support before, during, and after taking action; rigorous monitoring of progress; help from a spotter or admired individual who reinforces and supports change motivation and commitment.
- If you feel like your communication skills are lacking, here are a few ideas for improvement: seek out opportunities to present at a conference or offer in-house training; publish an article about a business issue in a journal, magazine, or blog; join your local Toastmasters or other social setting; have written material critiqued by a writing professional; observe great speakers or writers, and take notes *less* on what they say and more on *how* they say it; and practice drawing visual images of complex problems that clarify key issues.
- It is no longer enough for HR to merely implement strategy created by others; HR must help co-create it by understanding emerging market opportunities.

- Business success comes when HR professionals can effectively envision external opportunities, help translate these opportunities into business strategy, and then create the right talent, leadership, and culture to respond.
- American Express finds business opportunities in data processing, a core competence derived from its credit card business; General Electric is moving into the Internet of Things, an extension of its technological skill base; and IBM acquires PWC to develop its service and advisory business. How a firm wins is often tied to the disciplines of execution centered around talent (right people, right skills, right place, right time, and right motivation), leadership at all levels of the organization, and organization capabilities of information, innovation, service, collaboration, and efficiency. HR professionals bring value to these strategy questions. As such they help shape the content of strategy.
- The world is changing so quickly that what was considered "right" yesterday is not right today and will not be right tomorrow.
- The ability to effectively navigate the paradoxes that exist in the modern work environment has become essential for effective HR managers. To do so, they need to be flexible enough to move from convergence (focusing on priorities, making a decision, and reaching consensus) to divergence (exploring alternative perspectives encouraging diversity) and back again. They must be able to disagree without being disagreeable and allow tension without contention.
- Surround yourself with great people, both inside and outside of work. Networks may be for social support to form relationships, knowledge to gain insight, trust to share personal feelings, and purpose to share values.

## What is the Recommendation?

This book deals with human resources, talent management, and leadership development. It is written in a conversational tone. Each word in this book is a pearl. The ideas and insights on HR are well-punched. It is a widely-researched book imbued with both case studies of global companies that adopted the best HR practices and with examples and illustrations of successful HR leaders. It is a practical book packed with action. The authors wrote this book based on years of their practical experiences and their association with eminent HR leaders the world. This book is an encyclopedia on HR; it serves as a library for HR leaders globally and is punctuated with updated research findings that inevitably prompt further research on HR.

This book is useful for HR professionals and business leaders including CEOs. You can gift this book to your friends and they will thank you forever for your kind gesture. We strongly recommended reading this book!

**Reference:**

https://www.amazon.com/Victory-Through-Organization-Failing-Business/dp/1259837645

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