From the Editor

Dail Fields
Regent University

This issue of the *International Journal of Leadership Studies* contains work from a truly international group representing North America, Europe, and Asia. I believe the topic variety illustrates a range of possible ways of looking at leadership that we hope to continue to cultivate as we strive to present a professional and interesting research journal in an online format free of charge to readers.

Authors should take note that the IJLS is now cataloged by Cabell's *Directory of Publishing Opportunities in Management*. We are interested in receiving new work. So bring it on!

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

We are in need of reviewers for the journal. If you are interested and willing, or if you wish to nominate reviewers, please contact us at IJLS@regent.edu.

Finally, thanks to our new managing editor, Myra Dingman, and her production assistant, Billy Mims, for their work. Myra and Billy have been a true blessing.

Leadership and Teamwork: The Effects of Leadership and Job Satisfaction on Team Citizenship

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This study examined how leadership related to citizenship behavior within teams. Leadership was hypothesized to influence team organizational citizenship behavior (TOCB) either directly or indirectly through job satisfaction. Longitudinal data were collected in three waves. Leader behaviors were measured at time 1, follower job satisfaction at time 2, and TOCB at time 3. Results indicate that both empowering and transformational leadership related positively to TOCB through job satisfaction. Aversive leadership was related negatively to TOCB. Also, leadership was mediated by job satisfaction in negatively relating to team anticitizenship behavior. The implications and directions for future research are discussed.

In what many call the postindustrial age, more and more organizations face high velocity environments which are characterized as dramatically changing, uncertain, and high-risk (Bourgeois & Eisenhardt, 1988; Riolli-Saltzman & Luthans, 2001). In such a dynamic environment, many organizations find the use of teams efficient and productive (LePine, Erez, & Johnson, 2002). For example, a recent survey found that most Fortune 1,000 firms use teams with at least some employees and that teams are one of the fastest growing forms of employee

involvement (Lawler, Mohrman, & Benson, 2001). One type of behavior that may contribute to the effectiveness of teams is team members' citizenship behavior. Organ (1988) conceptualized organizational citizenship behavior (OCB) and defined it as "individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system and that in the aggregate promotes the effective functioning of the organization" (p. 4). OCB includes behaviors like helping coworkers who have high workloads, helping newcomers adjust to the organization, and so forth. Since by definition, OCB is not formally rewarded; it is generally considered extra-role behavior. Indeed, in many respects, team citizenship is the essence of teamwork. Team members' OCB can indirectly improve team performance through promoting the effective functioning of the team (Organ, 1988). They can cumulatively lubricate the work process (Organ, Podsakoff, & MacKenzie, 2005; Smith, Organ, & Near, 1983).

The purpose of this study is to investigate how to build team organizational citizenship behavior (TOCB). This study examined how TOCB relates to leadership and job satisfaction. More specifically, we investigated whether leader behavior influenced TOCB directly and/or indirectly through job satisfaction. Even though many studies on OCB have been conducted at the individual level (e.g., Lee & Allen, 2002; LePine et al., 2002; Rotundo & Sackett, 2002), there has been less research of citizenship behavior at the team level of analysis (some exceptions include Pearce & Giacalone, 2003; Pearce & Herbik, 2004; Podsakoff, Ahearne, & MacKenzie, 1997; Raver & Gelfand, 2005). Nonetheless, the examination of OCB at the individual level of analysis implicitly assumes the aggregation of individuals' citizenship behavior to some higher-level group (Organ, 1988; Pearce & Giacalone). Thus, we have taken the natural next step and have examined citizenship behavior at the team level of analysis.

The paper is structured as follows. First, the following section offers a theoretical background for our study. We begin by presenting a review of relevant literature on leadership and citizenship behavior. We then propose team citizenship to be a consequence of leadership, possibly mediated by job satisfaction. We describe the research method: a longitudinal field study over three periods of data collection in which team leadership was measured at time 1, job satisfaction of team members at time 2, and TOCB at time 3. Next, we present the results of the study. To conclude, we discuss the implications of our findings.

Leadership

This study conceptualized leadership along five archetypes on the basis of literature review. Our theoretical view of leadership was inspired by Manz and Sims and colleagues (e.g., Cox & Sims, 1996; Manz & Sims, 1991, 2001; Pearce et al., 2003; Scully, Sims, Olian, Schnell, & Smith, 1994). Their typology originally included four archetypes. In this paper, we developed extended versions of their archetypes including aversive, directive, transactional, transformational, and empowering leadership archetypes. We selected this typology because it is firmly grounded in the current transactional/transformational leadership paradigm (e.g., Bass, 1985; Burns, 1978) yet extends historically to aversive and directive leadership and, more recently, to empowering leadership.

Aversive Leadership

The first type of leader influence is through the use of aversive methods such as punishment, reprimand, and intimidation. Aversive leadership has long been an important topic of leadership (e.g., Arvey & Ivancevich, 1980; Ball, Trevino, & Sims, 1994). Aversive leadership mainly focuses on their followers' poor work and wrong or unacceptable behaviors.

Directive Leadership

The next archetype is directive leadership which might be considered an older, traditional view of leadership. This archetype represents a highly directive leadership style (e.g., Schriesheim, House, & Kerr, 1976). Directive leadership represents a prototypical boss who engages in a highly directive style (e.g., Schriesheim et al.). Relying on a formal position in the organization; directive leaders make decisions, give instructions and commands, and expect followers to carry out the decisions. Based on their own judgment, directive leaders command subordinates and expect their compliance. They clarify followers' roles and tasks and provide instructions (Howell & Costley, 2001).

Transactional Leadership

Transactional leadership emphasizes the constructing and clarifying of the reward contingencies for subordinates. Transactional leaders engage in instrumental exchange relationships with subordinates by negotiating and strategically supplying rewards in return for achievement of goals. Transactional leadership is based on a rational exchange relationship between leader and subordinate (Bass, 1985; Howell & Costley, 2001). The leader articulates what behaviors are required and what will be rewarded and provides feedback to the subordinate about his or her behavior. The subordinate, in turn, complies with these behavior requirements if rewards are desired.

Transformational Leadership

The transformational leader leads by inspiring and stimulating followers and by creating highly absorbing and motivating visions (e.g., Bass, 1985; Bass, Waldman, Avolio, & Bebb, 1987; Burns, 1978; Conger, 1989; Conger, Kanungo, & Menon, 2000; House, 1977; Kark, Shamir, & Chen, 2003; Lowe, Kroeck, & Sivasubramaniam, 1996; Podsakoff, MacKenzie, Moorman, & Fetter, 1990). Transformational leaders utilize behaviors such as charisma and intellectual stimulation to induce performance of subordinates beyond expectations. Transformational leaders develop a vision and motivate their followers to strive for this vision. Also, they encourage followers to challenge the status quo to be able to pursue that vision.

Empowering Leadership

Empowering leadership represents a significant paradigm shift and emphasizes follower self-influence rather than external, top-down influence (e.g., Manz & Sims, 1990, 1991). Leaders who use empowering behaviors believe that followers are an influential source of wisdom and direction. These leaders emphasize self-influence; self-management; self-control; or, to use Manz and Sims' (1990, 1991) term, *self-leadership*. Historical perspectives that were instrumental for the development of empowering leadership variables are behavioral self-management (e.g., Mahoney & Arnkoff, 1978), social learning theory (e.g., Bandura, 1997), and cognitive behavior modification (e.g., Meichenbaum, 1977). Empowering leadership creates followers who are effective self-leaders. Self-leadership, in turn, involves developing actions and thought patterns that we use to influence our own behavior. Several recent studies (Ahearne, Matthieu, & Rapp; 2005; Ensley, Hmieleski, & Pearce, in press; Manz & Sims, 1987; Pearce & Sims, 2002, Pearce, Yoo, & Alavi, 2004; Yun, Cox, & Sims, 2006; Yun, Faraj, & Sims, 2005) have recognized empowering leadership as distinct from transformational leadership. Pearce et al. (2003) developed a leadership typology based on literature review and analysis of three samples, and argued that empowering leadership is distinct from transformational leadership.

Citizenship Behavior

OCB

Organ (1988) defined OCB as "behavior [by the employee] that is discretionary, not directly or explicitly recognized by the formal reward system, and that in the aggregate promotes the effective functioning of the organization" (p. 4). Noting that discretionary behaviors vary in the likelihood with which they will be rewarded, Organ (1988) viewed OCBs as "non-required contributions that are regarded by the person as relatively less likely to lead along any clear, fixed path to formal rewards" (p. 5). Hence, the incentive for employees to engage in OCB is not any kind of immediate extrinsic reward. However, Organ (1988) acknowledged that OCB can have a beneficial cumulative effect for an individual and that the individual may consider these long-term benefits.

OCB can also benefit organizations directly and/or indirectly. Examples of directly beneficial OCB include volunteerism, assistance between coworkers, unusual attendance or punctuality, and active participation in organizational affairs (Farh, Podsakoff, & Organ, 1990). Smith, Organ, and Near (1983) stressed the cumulative, indirect benefits of OCB for "lubricat[ing] the social machinery of the organization" (p. 654). They linked OCB to spontaneous behavior that "goes beyond role prescriptions"" (p. 653). Katz (1964) considered such behavior essential for strong organizational social systems. The organization gains a measure of systemic resiliency from these small, spontaneous acts of selfless sensitivity, cooperation, and uncompensated contribution.

Anticitizenship

Puffer (1987) defined negative or noncompliant behaviors as "non-task behaviors that have negative organizational implications" (p. 615). This is a type of behavior that has been related to general job satisfaction (Fisher & Locke, 1992). Based on preliminary research, Fisher and Locke developed an inductive taxonomy of negative behavioral responses to job dissatisfaction. Subsequent research built on this initial item pool categorized the items into dimensions and developed ratings of the relative "badness" of the items. Dimensions from the Fisher and Locke taxonomy were later conceptualized as examples of anticitizenship behavior (ACB).

It is possible that OCB and ACB; while negatively correlated; may be separate, coexisting dimensions that range from zero to some positive quantity. Accordingly, reduced OCB need not necessitate a corresponding increase in ACB. The absence of OCB, for example, might only signal passivity with respect to positive citizenship. ACB, however, involves active behaviors that have specific negative implications for the organization. Ball, Trevino, and Sims (1994) found a substantial negative (-.60) correlation between OCB and ACB, but their factor analysis supported the conceptual distinctness of these two classes of behavior. This finding offers preliminary support for the separate dimensionalities of OCB and ACB.

Citizenship as a Team Attribute

While OCB has been extremely important in the traditional organization, the movement toward team-based organizations raises the question of whether OCB can be viewed as an internal team attribute. Citizenship is interactive or social in nature; OCB is typically an act of one person toward another or others. Thus, most OCB can be conceptually extended toward the team level. In addition, the examination of OCB at the individual level of analysis implicitly assumes the aggregation of individuals' behavior to some higher-level group (Organ, 1988, 1994; Pearce & Giacalone, 2003). Recognizing this, this study examined the effects of leadership on *team* OCB. TOCB is conceptualized as team members' citizenship behavior toward other team members as a whole. It is conceptualized as a team level construct in this study. Thus, in this research, we take the natural next step and examine citizenship behavior at the team level of analysis.

Hypotheses

This study addresses the question: how do we generate TOCB? There are certainly many ways in which TOCB appears in employees and teams. Among several possible antecedents, we propose and empirically test that leadership can influence TOCB directly and/or indirectly through job satisfaction.

Job satisfaction has long been a central construct in the study of behavior in organizations. Cranny, Smith, and Stone (1992) stated that "there seems to be general agreement that job satisfaction is an affective (that is, emotional) reaction to a job that results from the incumbent's comparison of actual outcomes with those that are desired (expected, deserved, and so on)" (p. 1). Locke (1976) defined job satisfaction as "a pleasurable or positive emotional state resulting from the appraisal of one's job or job experiences" (p. 1300).

Fisher and Locke (1992) pointed out that research has failed to establish a relationship between job satisfaction and specific behavioral criteria such as turnover or absenteeism. They attributed this result to the attempt to predict specific behaviors from job satisfaction. Behavior measures, they argued, should match the generality of the attitude measure. Further, both developed responses to job satisfaction that are cognitive in nature and affect rather then need-based. Citizenship behavior has these characteristics.

On similar grounds, Organ (1988) commented on the difficulties in finding a relationship between job satisfaction and performance and hinted that this is because performance has been too narrowly defined and proposed the relationship between job satisfaction and OCB. He (1988) also argued that in most research studies, OCB has been ignored though constituting an important part of performance. In a study by Bateman and Organ (1983), a relationship between OCB and job satisfaction was found. Also, Organ and Konovsky (1989) conducted a study in which they tried to predict OCB from both affective and cognitive components of job satisfaction. The study involved the appraisal of jobs and pay by employees. Results showed that pay cognitions were a significant predictor of altruism and OCB as well as compliance behavior. Another study that has found a relationship between job satisfaction and OCB was conducted by Gibbs, Rosenfeld, and Javidi (1994). They studied the relationship between job-related behavior/disposition, trait communication apprehension, its effect on satisfaction with different aspects of the job, and further job satisfaction's effects on citizenship behavior. They stated that a relationship was "found between workers' job satisfaction and their self-reported demonstration of organizational citizenship behaviors" (p. 216).

Some researchers have studied job satisfaction at the group or organizational level and have demonstrated that organizational level job satisfaction is positively related to organizational level performance (e.g., Currall, Towler, & Judge, 2005; Harter & Schmidt, 2002; Schneider, Hanges, Smith, & Salvaggio, 2003). Currall et al. provided theoretical justification of collective job satisfaction based on multilevel theory (Morgeson & Hoffmann, 1999). Morgeson and Hoffmann (1999) suggested that individual action and attitude does not exist in a vacuum and collective structures can occur through a process termed *double interact* where one employee makes a statement to which another employee responds. In turn, the first employee responds back. As a result, collective attitudes can be developed. Following this argument, we examine job satisfaction as a collective construct and suggest that job satisfaction at the team level is positively related to TOCB.

In summary, research has amply demonstrated that job satisfaction is one determinant of OCB (Podsakoff, Mackenzie, Paine, & Bachrach, 2000). One reason that research has been successful in establishing this relationship is because OCB has been defined as an aggregate of behavior, a general type of behavior which is congruent with the general attitude of job satisfaction. In this study, we also suggest that job satisfaction is more likely to increase TOCB and decrease TACB.

H_1:   Job satisfaction is positively related to TOCB and negatively related to TACB.

In this manuscript, we suggest leadership as an antecedent of TOCB. Organ (1988) has argued that leader fairness induces OCB because a social exchange relationship develops between employees and their supervisors. Leaders' fair behavior is reciprocated by employees' OCB. Konovsky and Pugh (1994) tested the relationship between OCB and social exchange and concluded that "the role of trust in a supervisor as a mediator of the relationship between

procedural justice and OCB, suggests that citizenship behaviors occur in a context in which social exchange characterizes the quality of superior-subordinate relationships" (p. 666). Therefore, leadership that elicits feelings of trust and is associated with perceptions of procedural justice will elicit OCB in their employees.

Previous research linking supervisor behavior to OCB has been at the individual level. The key to inducing OCB in employees is trust in the leader caused by leaders' fair behavior. What happens if we move to the team level? Leader fairness will still be important. But, if trust and fairness are the keys to OCB, why not induce such feelings from a source other than the leader? Perhaps, members of a team who engage in highly interactive tasks, where one person's actions are effected by and affect another person's actions, are more likely to trust each other and perceive fairness as a necessary norm for productive and efficient interaction on a team. If so, they are more likely to induce OCB through effective interaction with each other. Therefore, leadership that promotes teamwork, promotes lateral accountability among team members, and gives power to the team will be efficient in fostering TOCB.

Podsakoff et al. (1990) proposed that transformational leadership will have a positive effect on citizenship behavior. The defining characteristic of the transformational leader is to inspire, and this enthusiasm can sometimes be translated into a commitment to the group. Also, transformational leadership develops and provides vision that team members pursue together. This vision can motivate team members to work together. Transformational leaders motivate their followers to work for the team's future, not only for their current jobs. The vision they provide can facilitate teamwork among team members. In other words, team members under transformational leaders are more likely to engage in extra-role behaviors to achieve their shared goals or visions provided by leaders. Therefore, we hypothesize a positive relationship between transformational leadership and TOCB and a negative relationship between transformational leadership and TACB. We also hypothesize that transformational leadership is positively related to job satisfaction, as previous studies have found (e.g., Bass, 1985; Hater & Bass, 1988; Howell & Frost, 1989; Koh, Steers, & Terborg, 1995; Ross & Offermann, 1997; Sosik, 1997). Alternatively, this leadership style may indirectly influence OCB through job satisfaction.

H_2: Transformational leadership is positively related to job satisfaction.

H_3^a: Transformational leadership is positively related to TOCB and negatively related to TACB.

H_3^b: Transformational leadership is indirectly, positively related to TOCB and indirectly, negatively related to TACB.

Empowering leadership was hypothesized to be positively related with both job satisfaction and TOCB and negatively related to TACB. First, empowering leadership is likely to increase satisfaction because empowering leaders encourage followers to work independently, unrestrictedly, and harmoniously with coworkers. This leadership is more likely to fit with the changing expectation of today's employees. They increasingly view their jobs as a means of personal fulfillment, not just a paycheck (Sims & Manz, 1996). They increasingly expect more control and influence over their own jobs and decision making. Empowering leadership is more likely to meet this expectation since it emphasizes follower self-initiative.

H_4: Empowering leadership is positively related to job satisfaction.

If the leader is a real empowering leader, he or she recognizes the potential of the followers to be self-leaders as well as the importance of the team process, interaction, and collaboration among the members in the team-based context. This recognition makes the empowering leader emphasize teamwork, collaboration, or interaction among team members as well as individual self-initiative in doing their work. Also, empowering leaders influence followers to recognize the importance of teamwork, interaction, collaboration, or extra-role behaviors which can make teamwork more harmoniously in the team-based context. Thus, empowering leaders can increase team citizenship behaviors directly or indirectly through job satisfaction.

H_5^a: Empowering leadership is positively related to TOCB and negatively related to TACB.

H_5^b: Empowering leadership is indirectly, positively related to TOCB and indirectly, negatively related to TACB.

Some types of leadership may not be able to promote employee satisfaction and OCB. For instance, leaders who behave in an arbitrary and capricious way, like aversive leaders, are less likely to develop a sense of team commitment and positive affective response from followers. Further, aversive leaders may indeed generate active resistance that breeds TACB. That is, we propose that aversive leader's behaviors such as threat and intimidation may generate negative affective response which, in turn, generates behaviors such as complaining and withdrawal. Therefore, we hypothesize that this leadership style is negatively related to job satisfaction and TOCB. Alternatively, job satisfaction may mediate the effect of aversive leadership on TACB.

H_6:   Aversive leadership is negatively related to job satisfaction.

H_7^a: Aversive leadership is negatively related to TOCB and positively related to TACB.

H_7^b: Aversive leadership is indirectly, negatively related to TOCB and positively related to TACB through job satisfaction.

Similarly, directive leadership was assumed to be negatively related to job satisfaction and OCB. Directive leaders are those who dictate or direct their followers regarding tasks. They seize the situation, and their subordinates are passively expected to follow the leaders. This leadership style is less likely to fit the changing expectation of today's employees who increasingly view their jobs as a means of personal fulfillment, not just a paycheck (Sims & Manz, 1996). They increasingly expect more control and influence over their own jobs and decision making. Directive leadership, as well as aversive leadership, is contradictory to this changing expectation. Therefore, directive leadership has a negative relationship with job satisfaction. Also, since directive leaders mainly assign goals regarding tasks and instruct and command their followers, they make subordinates focus. Therefore, followers are less likely to engage in extra-role behaviors. Alternatively, directive leadership indirectly influences OCB through job satisfaction.

H_8:   Directive leadership is negatively related to job satisfaction.

H_9^a: Directive leadership is negatively related to TOCB and positively related to

TACB.

H_9^b: Directive leadership is indirectly, negatively related to TOCB and positively related to TACB through job satisfaction.

The relationship between transactional leadership and TOCB seems unclear. At the individual level, contingent reward patterns of leadership may create perceptions of a fair exchange and good will which, in turn, may produce a positive citizenship response. However, reward policies can sometimes generate only calculating compliance such that individuals do only what they are paid to do. Under these conditions, compliance may not extend into good citizenship or extra-role behaviors. Transactional behavior may be neutral at best, perhaps even deleterious when it comes to TOCB. Therefore, we did not develop specific hypotheses regarding transactional leadership and TOCB.

However, we hypothesized a positive relationship between transactional leadership and job satisfaction. This type of leadership emphasizes contingent reward which may create perceptions of a fair exchange which, in turn, may produce job satisfaction. Followers clearly understand what they are expected to do and what they will get as a result of their performance. In other words, transactional leaders eliminate uncertainty that their followers may encounter in their job. Therefore, we hypothesized a positive relationship between job satisfaction and transactional leadership.

H_{10}: Transactional leadership is positively related to job satisfaction.

Method

Participants and Setting

Data gathered in this study were part of field research conducted at a large defense firm located in the mid-Atlantic United States. The sampling unit consisted of (a) the leader (midlevel managers or supervisors) and (b) the main focal unit, the team (direct report subordinates of the leader). The original sample consisted of 526 subordinates and 73 leaders. After attrition and aggregation to the team level, a final sample of 45 teams resulted with full data across all three time periods.

Team members averaged 40 years in age ($SD = 10.8$) and had worked in the host organization for an average of 14 years ($SD = 9.51$), 4 of which were spent with their present supervisor (leader). In addition, responding team members were predominantly male and generally well educated, having completed a bachelors degree with some additional postcollege training. Quantitative data were collected in three waves. There were 10 weeks between the first and second waves and 20 weeks between the second and third waves.

Measures

Leader behaviors. Perceptions of leader behavior were collected using the short version of the Leadership Strategies Questionnaire II (LSQII) at time 1. The LSQII was an extended version of the Leadership Strategies Questionnaire (LSQ) used most recently by Scully et al. (1994) and Ball et al. (1994). The instrument, however, is deeply rooted in a long line of leader behavior measures (Cox & Sims, 1996). All items were measured using a five-point response

format [1 (*definitely not true*), 2 (*not true*), 3 (*neither true nor untrue*), 4 (*true*), 5 (*definitely true*)].

An exploratory factor analysis using maximum likelihood rotation provided a five-factor solution which supported our theoretical typology of five leadership types (see Table 1). This solution is similar to that found by Pearce et al. (2003). As Tabachnick and Fidell (2001) suggested, factor scores were estimated through the regression approach rather than averaging the items. Factor loadings were used as item weights to create factor scores. This approach was recommended in order to cope with multicollinearity issue (Basilevsky, 1994). These five factor scores were used as variables for further analysis. The leadership variables were aversive, directive, transactional, transformational, and empowering.

For each leadership variable; we utilized the James, Demaree, and Wolf (1984) coefficient ($r_{WG(J)}$) to assess team member consensus within a team and confirm the within-unit aggregatability of the data. All $r_{WG(J)}$ were larger than .70 which is considered evidence of within-group consensus (George, 1990). Table 1 also shows the internal reliabilities and $r_{WG(J)}$.

Job satisfaction. The job satisfaction measure was measured with 6 items which were adapted from Hackman and Oldham's (1980) Job Diagnostic Survey. Participants responded to each item using a five-point scale [1 (*very dissatisfied*), 2 (*slightly dissatisfied*), 3 (*neutral*), 4 (*slightly satisfied*), 5 (*very satisfied*)]. Examples items include "My job as a whole. . ." and "The feeling of worthwhile accomplishment I get from doing my job. . . ." Cronbach's alpha was used to assess internal consistency and was found to be in the acceptable range (.94). The James et al. (1984) coefficient was .70.

Citizenship behavior. Team member perceptions of TOCB and TACB were measured with 13 items, a short form of the Team Citizenship Questionnaire (TCQ; Ball et al., 1994). The TCQ was a variation of a citizenship behavior questionnaire by Ball et al. (1994) that the authors successfully used to demonstrate relationships between supervisor punishment incidents and subordinate citizenship. Ball et al.'s questionnaire was based on an earlier OCB measure by Podsakoff et al. (1990) that was validated in a large-scale field study. The factor analysis produced a two-factor solution, TOCB and TACB. Table 2 shows the factor analysis results along with alpha coefficients and James et al. (1984) coefficients which were larger than .70.

Table 1. *The Results of the Factor Analysis of Leadership*

Factor names/ Item content	Factor loadings					Communalities
	I	II	III	IV	V	
Transformational leadership						
He/she is not afraid to "break the mold" to find different ways of doing things.	**.82**	.16	.18	-.04	-.05	.53
He/she isn't bound by tradition when it comes to getting things done.	**.82**	.17	.16	.01	-.07	.56
He/she isn't afraid to "buck the system" if he/she thinks it is necessary.	**.80**	.13	.15	.05	-.06	.68
He/she is a non-traditional type who "shakes up the system" when necessary.	**.70**	.07	.06	.22	-.06	.74
He/she challenges established ways of doing things.	**.70**	.05	.17	.10	.03	.72
He/she strives towards higher purposes or ideals.	**.70**	.23	.15	-.04	.16	.59
He/she has a strong personal dedication to higher purposes or ideals.	**.65**	.25	.18	-.08	.14	.55
He/she provides a clear vision of who and what we are.	**.63**	.25	.24	-.09	.18	.56
Because of him/her, I have a clear vision of our organization.	**.59**	.32	.20	.08	.22	.55
He/she is driven by higher purposes or ideals.	**.57**	.23	.17	-.03	.19	.50
He/she provides a clear vision of where we are going.	**.55**	.22	.26	-.13	.19	.62
He/she provides his/her vision of our organization to me.	**.48**	.33	.26	.03	.14	.70
Empowering leadership						
He/she urges me to work as a team with other mangers/supervisors who report to him/her.	.14	**.82**	.15	.03	.17	.74
He/she encourages me to work together with other managers/supervisors who report to him/her.	.21	**.81**	.16	.04	.13	.74
He/she advises me to work together with other managers/supervisors who report to hem/her as a team.	.21	**.79**	.09	-.01	.17	.43
He/she advises me to coordinate my efforts with other managers/supervisors who report to him/her.	.21	**.71**	.15	-.02	.22	.54
He/she has a strong conviction in his/her own beliefs and ideals.	.10	**.67**	.13	-.05	.16	.56
He/she urges me to search for solutions to my problems on the job without his/her supervision.	.22	**.64**	.26	-.10	-.15	.57
He/she advises me to solve problems when they pop up without always getting his/her stamp of approval.	.23	**.63**	.23	-.20	-.21	.53
He/she advises me to make improvements in how I do my work on my own initiative without being told to do so.	.33	**.58**	.30	-.03	-.04	.70
He/she encourages me to find solutions to my problems at work without seeking his/her direct input.	.24	**.57**	.10	-.06	-.17	.61
He/she urges me to assume responsibilities on my own.	.30	**.55**	.30	-.10	-.06	.67
Transactional leadership						
If I perform well, he/she will recommend more compensation.	.22	.13	**.80**	-.09	.06	.68
He/she will recommend that I am compensated more if I perform well.	.23	.13	**.78**	-.09	.84	.55
He/she will recommend that I am compensated well if I perform well.	.24	.12	**.76**	-.10	.02	.61
He/she gives me positive feedback when I perform well.	.21	.35	**.70**	-.03	.09	.64
His/her recommendations regarding my compensation depend on my performance.	.20	.12	**.69**	-.08	.06	.62
He/she commends me when I do a better-than-average job.	.22	.36	**.68**	-.09	.14	.40
He/she gives me special recognition when my work performance is especially good.	.31	.20	**.67**	-.07	.11	.48
When I do a job well, he/she tells me about it.	.21	.39	**.64**	-.06	.15	.66

Table 1. *The Results of the Factor Analysis of Leadership*

Factor names/ Item content	Factor loadings					Communalities
	I	II	III	IV	V	
Aversive leadership						
He/she reprimands me when my performance is not up to par.	.02	.15	.07	**.72**	.09	.68
He/she can be quite intimidating.	.05	-.14	-.19	**.71**	.08	.54
I feel intimidated by his/her behavior.	-.04	-.27	-.35	**.70**	.10	.72
He/she behaves in a threatening manner.	-.08	-.30	-.34	**.69**	.04	.44
He/she reprimands me if my work is below standard.	-.05	.19	.14	**.67**	.10	.43
He/she tries to influence me through threat and intimidation.	-.09	-.35	-.29	**.67**	.07	.47
He/she is often critical of my work, even when I perform well.	-.06	-.31	-.36	**.61**	.07	.50
When my work is not up to par, he/she points it out to me.	.17	.24	.27	**.61**	.15	.58
I frequently am reprimanded by him/her without knowing why.	-.11	-.32	-.30	**.57**	-.08	.60
He/she lets me know about it when I perform poorly.	.10	.20	.18	**.55**	.06	.67
He/she often displeased with my work for no apparent reason.	-.08	-.38	-.37	**.46**	.07	.66
Directive leadership						
He/she establishes my performance goals.	-.02	.15	.09	.05	**.78**	.64
He/she sets the goals for my performance.	-.02	.08	.08	.05	**.78**	.55
He/she establishes the goals for my work.	.03	.13	.11	.10	**.75**	.52
He/she established my goals for me.	.04	-.06	.02	.01	**.74**	.55
He/she gives me orders about my work.	.09	-.10	-.12	.38	**.56**	.39
When it comes to my work, he/she gives me instructions on how to carry it out.	.30	.28	.18	.14	**.51**	.51
He/she provides commands in regard to my job.	.19	-.10	.02	.32	**.45**	.36
He/she gives me instructions about how to do my job.	.25	.10	.34	.12	**.39**	.35
Eigenvalue	14.29	5.93	3.22	2.64	2.12	
Reliability	.80	.82	.74	.77	.74	
James et al. (1984) coefficients	.70	.69	.65	.70	.69	

Table 2. *The Results of the Factor Analysis of Team Organizational Citizenship Behaviors*

Factor names/ Item content	Factor loadings		Communalities
	I	II	
TOCB			
My colleagues consider the impact of their actions on coworkers.	**.82**	-.19	.70
My colleagues work together as a team.	**.80**	-.30	.73
My colleagues work together.	**.79**	-.29	.71
My colleagues try to avoid creating problems for coworkers.	**.73**	-20	.57
My colleagues are mindful of how their behavior affects other people's jobs.	**.73**	-.18	.56
My colleagues willingly help others who have work-related problems.	**.71**	-.22	.56
My colleagues help orient new people even though it is not required.	**.68**	-.23	.52
TACB			
My colleagues take frequent or extra long breaks to avoid doing work.	-.24	**.82**	.73
My colleagues make frequent and/or long trips to the water fountain, vending machines, or restroom to avoid work.	-.27	**.77**	.66
My colleagues tend to "make mountains out of molehills."	-.30	**.77**	.67
My colleagues focus on what's wrong, rather than the positive side.	-.17	**.74**	.57
My colleagues avoid their jobs by coming in late or leaving early.	-.23	**.73**	.58
My colleagues consume a lot of time complaining about trivial matters.	-.19	**.71**	.54
Eigenvalue	6.34	1.77	
Intraclass correlation	.19	.36	
James et al. (1984) coefficients	.90	.84	

Results

Table 3 contains means and standard deviations as well as the intercorrelation matrix of all variables. We utilized path analysis as our main approach to test our hypotheses. Three sets of ordinary least squares regressions were conducted (see Table 4 and Figure 1). First, TOCB and TACB were separately regressed against the set of leadership styles and job satisfaction. Second, job satisfaction was regressed against leadership.

Table 3. *Correlations among Variables*

	M	SD	(1)	(2)	(3)	(4)	(5)	(6)	(7)
(1) Aversive leadership[a]	-.03	.61							
(2) Directive leadership[a]	.03	.58	.05						
(3) Transactional leadership[a]	.05	.53	-.14	.05					
(4) Transformational leadership[a]	.03	.70	.14	-.12	-.10				
(5) Empowering leadership[a]	.09	.50	-.01	-.12	.02	.07			
(6) Job satisfaction	3.65	.57	-.18	-.05	-.01	.24*	.25*		
(7) TOCB	3.57	.61	-.30*	-.15	.06	-.05	-.04	.31*	
(8) TACB	2.31	.59	-.15	.22	-.10	-.36**	-.29*	-.46**	-.35**

[a] These variables (factor scores) are estimated through the regression analysis at the individual level and aggregated to the group level.
* $p < .05$. ** $p < .01$, one-tailed.

Hypothesis 1 concerned the effects of job satisfaction on TOCB and TACB. The results showed that job satisfaction was positively related to TOCB ($\beta = .38$, $\alpha < .05$), and job satisfaction is negatively related to TACB ($\beta = -.35$, $\alpha < .05$). Thus, hypothesis 1 was supported.

Both transformational leadership and empowering leadership had a positive influence on job satisfaction ($\beta = .21$, $\alpha < .05$; $\beta = .23$, $\alpha < .05$). Thus, hypotheses 2 and 4 were supported. The multiple regression analyses showed no direct effects of transformational leadership (hypotheses 3[a] and 3[b]) or empowering leadership on TOCB and TACB (hypotheses 5[a] and 5[b]). In summary, the results in Table 4 show that transformational and empowering leadership have an indirect, positive effect on TOCB (.08 = .21 * .38, .09 = .23 * .38, respectively). Furthermore, job satisfaction has an indirect, negative influence on TACB (-.07 = .21 * -.35, -.08 = .23 * - .35, respectively) also through job satisfaction (hypotheses 3[b] and 5[b]).

The Table 4 results also indicate that aversive leadership is directly, negatively related to job satisfaction ($\beta = -.17$, $\alpha < .10$; hypothesis 6). Thus, hypothesis 7[a] was supported. That is, aversive leadership was directly, negatively related to TOCB ($\beta = -.22$, $\alpha < .10$). There was also an indirect, negative effect of aversive leadership on TOCB (-.06 = -.17 * 38). Results provide no support for the direct, positive relationship between aversive leadership and TACB (hypothesis 7[b]). However, the indirect effect of aversive leadership on TOCB and TACB (.06 = -

.17 * -.35), was supported. On the basis of these results, we can conclude that aversive leadership has both direct and indirect negative effects on TOCB and an indirect, positive effect on TACB through job satisfaction.

The results demonstrate that there is no significant effect of directive leadership on job satisfaction, TOCB, and TACB. Hypotheses 8, 9[a], and 9[b] were not supported. Also, transactional leadership did not affect job satisfaction (hypotheses 8 and 10).

Table 4. *Results of Regression Analysis*

| | Job satisfaction | Dependent variables | |
		TOCB	TACB
Job satisfaction		.38 (.16)*	-.35 (.14)**
Aversive leadership	-.17 (.10)*	-.22 (.13)*	-.16 (.12)
Directive leadership	.02 (.11)	-.15 (.13)	.12 (.12)
Transactional leadership	.00 (.12)	.08 (.17)	-.24 (.16)
Transformational leadership	.21 (.09)*	-.18 (.14)	-.18 (.12)
Empowering leadership	.23 (.11)*	-.10 (.14)	-.12 (.12)
R^2	.16	.23	.25
F	2.52*	2.04*	3.53**

Note. Unstandardized coefficients with standard errors are in parentheses.
*$p < .05$. **$p < .01$, one-tailed.

Finally, the overall results are summarized by the path diagram in Figure 1. Note that while aversive leadership works directly on TOCB, both transformational leadership and empowering leadership influence both TOCB and TACB indirectly through job satisfaction.

Discussion

The purpose of our study was to examine how leadership relates uniquely to TOCB. Job satisfaction was tested as a possible mediator. George and Bettenhausen (1990), who investigated prosocial behavior (a broader class of behavior that includes a form of OCB at the group level of analysis), stated that "research in this area [prosocial and citizenship research] has been focused on prosocial behavior at the individual level of analysis, with very few exceptions" (p. 699). They concluded that it is meaningful to study phenomena like citizenship behavior and other types of prosocial behavior at the group level of analysis.

Previous research has linked leader behaviors such as fairness, consideration, and participation as evoking OCB at the individual level. In this study, we tested whether various forms within a leadership typology also related to TOCB. We also tested the mediating role of job satisfaction (Organ, 1988). In general, our study supports the idea that leader behaviors affect TOCB both directly as well as indirectly through job satisfaction, and different types of leader behaviors were formed to influence both TOCB and TACB. The results indicate that only aversive leadership has both direct as well as indirect relationships to TOCB as expected. Finally, both transformational leadership and empowering leadership have indirect effects to TOCB and TACB through job satisfaction.
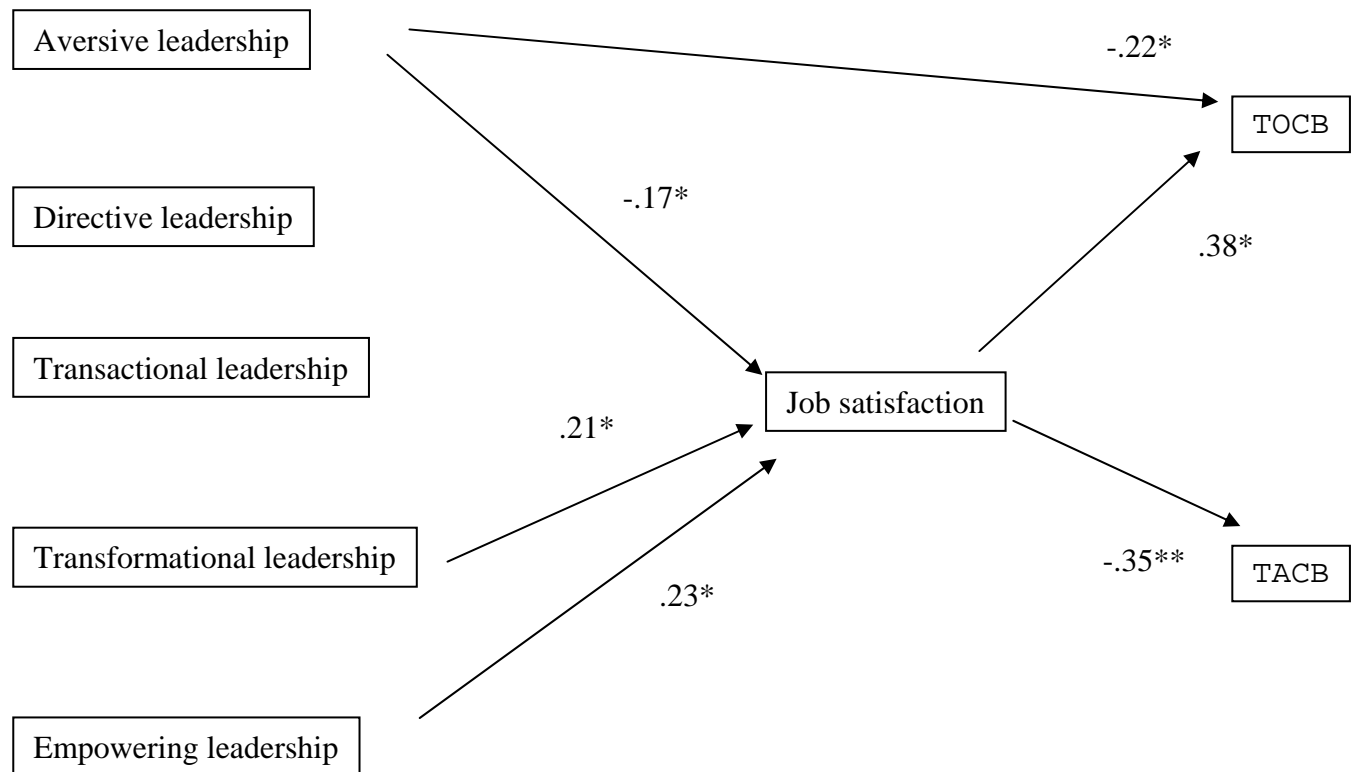
Figure 1. Path diagram, the influence of leadership on job satisfaction and citizenship.

It is easy to explain the negative effects of aversive type behavior on TOCB. As McCroskey and Richmond (1979) explained it, "if people are forced to do something they don't like, it follows they will be less satisfied than will other people" (p. 59). Also, the aversive leader will not produce unhappy employees and cause employees to do only as much as they have to do and nothing extra. As the power is in the hands of the aversive leader, employees do the work for him or her; hence, only the absolute minimum will be worked for a person who behaves arbitrarily and capriciously.

Transactional leadership has no effect on job satisfaction, but transformational leadership did have a positive effect which is consistent with previous studies that found an augmenting capacity of transformational leadership (e.g., Koh, Steers, & Terborg, 1995; Sosik, 1997; Sosik, Avolio, & Kahai, 1997; Waldman, Bass, & Yammarino, 1990). The results for the transformational leader and empowering leader are very straightforward. They influence TOCB through increasing the team member's job satisfaction. Overall, we conclude that job satisfaction does have an influence on TOCB apart from leadership.

Practical Implications

Based on these results, leaders might be encouraged to use both transformational leadership and empowering leadership in order to make the group effective. Leaders have to provide vision which their followers can agree on and pursue together to enhance job satisfaction

and TOCB. Also, they need to empower their followers. By empowering their followers, leaders can make followers more satisfied with their jobs and enhance their TOCB.

If leaders engage in aversive leadership, it is likely to reduce followers' job satisfaction and TOCB. Aversive leadership style hurts team process in two ways. First, it directly suppresses TOCB because followers mainly focus on their own tasks. In other words, they are engaged in micromanagement, not extra-role behaviors. Also, it indirectly influences TACB. In other words, aversive leadership increases team members' negative behavior which is not related to a task but to group process. Therefore, leaders should not display aversive leadership.

In summary, organizations using team-based structures should encourage leaders to engage in transformational and empowering leadership and avoid aversive leadership. To do so, they need to develop training programs which emphasize these forms of leadership. Also, transformational and empowering leadership capability should be considered a factor in promotion to positions that entail leadership responsibilities.

Limitations

One limitation that is cited in many research studies that try to identify causal relationships is the issue of reverse causality. It might be that a team who behaves in a very cooperative manner and exhibits TOCB causes satisfaction in the team members and causes the leader to engage in behavior that gives even more power to the team. This might simply be due to the observation by the leader that the team is capable of carrying that responsibility. Scully et al. (1994) addressed reciprocal causality in their paper "Tough times make tough bosses." They argued that the leader's environment, specifically the performance of a leader's unit, affects the way a leader will behave. If performance is low, authoritarian behavior will be exhibited; if performance is high, more participative type of behaviors will be used. This might also be the case when a leader is guiding a team. The research reported here has the advantage of a time-lagged arrangement of variables which enhances the capability to infer causality.

Another limitation is that our study measured all the variables from team members, possibly leading to same source bias. However, our study had a longitudinal design which somewhat reduces this bias by measuring different variables in different waves. In addition, aggregation reduces the effect of same source bias. Nevertheless, future study using different data sources are required.

We found that job satisfaction mainly mediates the effects of leadership on TOCB. However, different time lags might cause different results. There were 20 weeks between measuring job satisfaction and TOCB. Leadership style was measured 30 weeks before measuring TOCB. Therefore, the difference of time lag may enhance the effect of job satisfaction but reduce the effect of leadership on TOCB when they are considered simultaneously. However, the direct effect of aversive leadership on TOCB shows that this limitation may not have a high effect on our results. However, future study has to deal with this issue.

Conclusion

This study sets itself apart from traditional research on OCB because we focused on TOCB. Very little research on this behavioral construct has been done at the group level of analysis (George, 1990; George & Bettenhausen, 1990). Our results demonstrate that there is a

need for further research at the group level of analysis because different processes might exist due to the different kinds of interdependencies that exist in teams. This becomes even more relevant since more and more organizations are moving toward a team-based structure.

Our results suggest that transformational and empowering leadership are the most effective types for the guidance of teams. All other leadership styles either had no effects (as in directive and transactional leadership) or a negative effect (as in aversive leadership) on TOCB. Indeed, the research significantly supports the notion that both transformational and empowering leadership can enhance teamwork through the influence of job satisfaction.

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Perspectives on Integrating Leadership and Followership

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The paper proposes a framework for the integration of leadership and followership. An integral orientation considers that leadership is constitutively linked with followership and vice versa. Facing the diversity of approaches and theories in both fields, a comprehensive conceptualization is presented that is suited to investigating complex, interrelated processes of leading and following. Based on a holonic understanding, integral perspectives cover the interdependent subjective, intersubjective, and objective dimensions of leaders and followers; respectively, leadership and followership within a developmental perspective. Based on an integral orientation, further processual and relational dimensions are discussed by which mutually interwoven leadership/followership can be understood as an emerging event, embedded within an ongoing, interrelated nexus. Finally, the paper outlines some theoretical and methodological implications and perspectives for future research of an integral leadership and followership.

The present context of work, leadership, and followership is situated in increasingly complex, uncertain, and dynamic business environments with multiple realities based on various values, priorities, and requirements. The actual challenges demanded by globalization, increased competition, far-reaching sociocultural and technological developments, and acceleration of changes are bringing about new complexities for organizations.

External and internal contexts of business are increasingly fragmented, equivocal, and changing which require modification of conventional concepts of leadership and followership. Specific factors; such as the rise of organizational crises, increasing demotivation (Wunderer & Küpers, 2003), and corporate scandals as well as a growing awareness of environmental, social, and ethical issues triggering a greater emphasis on the search for meaning; are also contributing to heightened uneasiness, inadequacies, and the wish for another kind of leadership (e.g., Mitroff, 2003; Quinn, 2004; Senge & Carstedt, 2001).

In addition to the practical challenges of leadership as a business practice, theoretical and methodological developments and empirical findings have shown shortcomings and limitations of conventional leadership theory. Conventional approaches dominating the discourse in leadership research and practice take a person-centered and dyadic perspective (House & Aditya,

1997) and often rely on the heroic leadership stereotype (Meindl, Ehrlich, & Dukerich, 1985; Yukl, 2002). In this understanding; influence is seen as unidirectional, flowing from the individual leader to the individual follower, and represents an entitative, egocentric, monological, and modernist orientation which reconstructs hierarchical subject-object relations (Brown & Hosking, 1986; Dachler & Hosking, 1995). Consequently, the relations between leaders and followers are represented as interactions and mechanisms between independent individuals. A leader's relating is reduced to an individual action performed to know about and to achieve influence over the other. Accordingly, leaders are positioned as knowing and structuring and as having power and being able to act rationally as centered subjects to structure peoples and worlds. They use rhetoric or language for the purposes of controlling; finding out about and representing, rather than coconstructing, independently existing contexts. Accordingly, the emphasis is on the relationship between the monadic persona (abilities, traits, characteristics, and actions) of the leader and, via cause-effect relations, the outcomes of the social milieu or situations within which the leader appears to operate (Rost, 1991). For example; in leadership education, development, and training; most of the practice consists of formatting and evaluating the traits or behaviors of leaders and leaders-to-be and attempting to modify them through different means in order to achieve gains in efficiency, productivity, competitiveness, and profitability (Dotlich, Noel, & Walker, 2004; Quinn, 1996). Many leadership development programs can perpetuate leaders' self-preoccupations through their emphasis on self-development, self-awareness, and self-improvement (Jones, 2005); causing leaders to become preoccupied with their identity and restricted in their understanding of multiple influences and of followers (Kofman & Senge, 1993; Mitroff, 2003; O'Toole, 2001).

Thus, what prevails in this entitative discourse is the leader's standpoint (Harding, 1991) while positions and perspectives of followers as subordinates are not given their own legitimacy, meaning, and relevance. Followers have been systematically devalued (Alcorn, 1992) or considered only as they are available to be known and manipulated in given subject-object relationship. Thus, followership has been either neglected or restricted to a focus on followers' attributions of exceptional qualities to leaders or performance. As followership has been an understudied topic in the academic literature, only little attention has been given to followers sui generis, who accord or withdraw support to leaders.

As a counter-balance, follower-centric approaches (Hollander, 1978, 1992a, 1992b; Kelley, 1992; Meindl, 1987, 1993, 1995) emerged. Based on an inherently subjectivistic, social psychologist, and constructionist view; Meindl (1995) offered a follower-centric approach that views both leadership and its consequences as largely constructed by followers and hence influenced by followers' cognitive processes and interfollower social influence processes. The nonconventional approach of a romance of leadership (Meindl, 1987) defines leadership as an experience undergone by followers; it "emerges in the minds of followers" (Meindl, 1993, p. 99). Thus, leadership is conceptualized by group members and their social context and network of relationships as well as interfollower processes and dynamics (Meindl, 1993). For Hollander (1978); the locus of leadership resides at the juncture of the leader, the follower, and the embedding situational context. The reciprocal interdependence of leadership and followership have been underestimated (Hollander, 1992a, 1992b), and followers have not been seen as sufficiently integral to the leadership process (Marion & Uhl-Bien, 2001).

Bound to ontological, epistemological, and pragmatic implicit assumptions; various dimensions involved in the relationship between leaders and followers have not been recognized as genuine communal and mutual processes (Drath & Palus, 1994) embedded in specific

sociohistorical relationships (Gordon, 2002). Accordingly, for a long time, relatively little interest has been given to describing or considering interrelational influence processes or forms of shared or distributed leadership (Sims & Lorenzi, 1992) such as delegated leadership, coleadership, and peer leadership. Nor have postheroic leadership (Bradford & Cohen, 1998), team leadership (Sivasubramaniam, Murry, Avolio, & Jung, 2002; Day, Gronn, & Salas, 2004; Zaccaro, Rittman, & Marks, 2001), servant leadership (Greanleaf & Spears, 1998), or stewardship (Block, 1996) been in the focus.

Trying to understand how influences of both the leader and the follower impact leadership effectiveness, leader-member exchange (LMX) theory has focused on the development and effects of separate dyadic relationships between superiors and subordinates (Graen & Uhl-Bien, 1995). LMX studies have shown that differentiated dyadic relationships are as much a function of the aggregated characteristics and behavior of subordinates as the behavior of superiors.

However, individual- and dyadic-oriented approaches to direct interaction between leader and follower tend to ignore or underestimate organizationally related dimensions and culturally diverse environmental context as well as indirect forms of organizational leadership (Hunt, 1991; Lord & Maher, 1991) such as complementing managements systems, external constituencies, and arrangements or use of structural or cultural forms (Yukl & Lepsinger, 2004).

Conventional leadership and followership research has lacked a comprehensive coverage (Bass, 1990; Bryman, 1996; Yukl, 2002) as well as a grounding in human development (Bennis & Thomas, 2002; Kegan, 1994). Many studies still focus on establishing relationships, often through a reduced number of cognitive (George, 2000) or behavioral variables (House & Aditya, 1997; Kisfalvi & Pitcher, 2003). Consequently, the lack of and need for an integral orientation in leadership and followership is also evidenced in the way embodied and emotional dimensions are considered. The body and embodiment as well as bodily knowledge have been marginalized as media for organizational and leadership practices (Hassard, Holliday, & Wilmott, 2000; Küpers, 2005; Ropo & Parviainen, 2001). Following a one-sided cognitive orientation (Ilgen & Klein, 1989) and within a masculine-patriarchal, rationally organized context (Hearn, 1992, 1993); feelings have been seen as nefarious and possibly disturbing (Albrow, 1992). With this, emotions have been mostly seen as something to be minimized, rationally controlled or managed by managers (Wharton & Erickson, 1993). Thus, emotional experiences and also moods have been devalued and marginalized (Putnam & Mumby, 1993). However, feelings and emotions are intimately related to the ways that people think, behave, and make decisions (e.g., Ashforth & Humphrey, 1993, 1995; Morris & Feldman, 1996) in organizational (Fineman, 2002) and managerial processes (George, 2000).

However, organizations are the source of much suffering and pain as well as enjoyment. Many followers' counter-productive work behaviors are often "an emotion-based response to stressful organizational conditions" (Fox, Spector, & Miles, 2001, p. 291) or manifest followers' emotional adaptive efforts to enhance their and the organization's well-being (Küpers & Weibler, 2005). The emotions driving such followers' behaviors are often linked to injustice, frustration, and lack of autonomy particularly in relation to perceived management practices. Roberts and Parry (2002), in a focus on the impact of emotion on followership and leadership behavior, concluded that "the process of making a judgment of whether to follow or not involves the intelligent use of emotions" (p. 32). Should a person choose not to follow; they have to either comply, ignore, or subvert the person holding the leadership role. There seems to be a growing call for more holistic practices that integrate the four fundamental arenas that define the essence

of human existence: the body (physical), mind (logical/rational thought), heart (emotions, feelings), and spirit (all influencing the aspirations of organizational members) (Moxley, 2000).

All the aforementioned current conditions of the practical context, theoretical developments, and lack of integration in leadership and followership discourse and practice call for an integral framework. The term *integral* means a comprehensiveness in which constituent parts and wholes are not fragmented and in which micro and macro dimensions of leadership and followership and their interrelation are approached simultaneously.

First, the paper will outline the basic principle of the integral framework. A holonic and interrelational understanding of leadership/followership will be discussed. Finally, the paper outlines some theoretical and methodological implications and perspectives for future research of an integral leadership and followership.

Outlining an Integral Framework for Leadership and Followership

Facing the challenges and deficits, developing and employing an integral framework enables a comprehensive approach and a more inclusive enfoldment that is suited to investigating and enacting the complex interrelated processes of leadership and followership in organizations. As any single perspective is likely to be partial, limited, and maybe distorted; an integral and holonic view of leadership and followership is required. Holons are integrative constructs, which are both wholes and parts of bigger wholes, at the same time (Koestler, 1967). With this, holons are structures and processes which are simultaneously autonomous and dependent. They emerge to higher orders of wholeness/partness by virtue of specific *patterns* and regulating *laws* that they exhibit (M. Edwards, 2005). This means that holons are structures and processes that are simultaneously autonomous and dependent, characterized by differentiation (generation of variety) and integration (generation of coherence).

Applying the holon construct allows considering leaders and followers simultaneously as wholes as well as parts of more complex holons like organizations, industries, economies, etc. On the one hand, a great deal of the work of a leader and follower are managing and dealing with the dynamics between the individual parts (e.g., people and/or tasks) within specific agencies and collective dimensions like team, systems, and relationships. On the other hand, the parts and whole of leadership and followership are not separate, static structures but actively constitute each other; they are primarily enfolded and entangled in each other (Cooper, 2005). Leadership is a holonic part of followership and vice versa. Followership is integral to leadership as well as leadership to followership.

More specifically, leadership and followership are actual occasions that are emergent moments containing both individual and social holons. The benefit of this view of an occasion is that both individual and social holons can be seen in a dynamic temporal relationship of emergence and temporal inclusion and not as static objects in space. As leadership and followership are interrelated holonic phenomena, they are best described as a holarchical process. In such holarchy, individual and collective holons meet in each leadership/followership occasion within its interiors and exteriors of both individual (singular) and collective (plural) perspectives (see Figure 1). Using this holistic understanding with its integrative potential as a base; an integral model demands a multilevel analysis that takes the subjective, intersubjective, and objective dimensions of leaders and leadership as well as followers and followership into account.
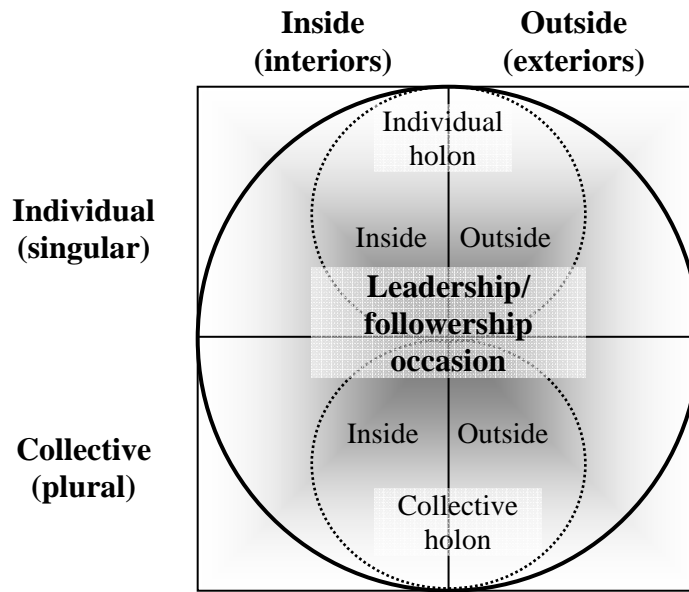
Figure 1. The modified holonic leadership/followership occasion with its part/whole relationship (M. Edwards, 2006).

An integral approach accommodates equally the internal and external as well as individual and collective dimensions of leadership and followership. Effective and sustainable leadership and followership (and their interrelationships) need to attend to all these various dimensions and interrelationships for ensuring consistency, compatibility, and creativity of organizational activities.

Building on an integral framework (Wilber, 1999, 2000a, 2000b, 2001) and its first applications to leadership (Bradbury, 2003; Cacioppe, 2000; Mitroff & Denton, 1999; Neal, in press; Pauchant, 2002, 2005; Prewitt, 2004; Reams, 2005; Rooke & Torbert, 1998; Young, 2002); an integral understanding of leadership and followership (as actual occasions) focuses on the specific interconnected processes of intentional, behavioral, sociocultural, and systemic domains. With these domains, the inner spheres of a leader and follower and their respective external, behavioral aspects as well the collective embedment of leadership and followership can be assessed equally. Thus, integral theorizing differentiates two basic polar dimensions of holons and development that are an interior-exterior and an individual/agency-communal dimension. The crossing of these dimensions gives four quadrants representing four different perspectives of interior-agency or self and consciousness. While the first quadrant involves the intrapersonal or internal reality of a person; the second domain treats the individual/external aspects. The third quadrant encompasses collective internal communal issues. Finally, the last quadrant covers the collective external aspects. It is the quadrant of structural or functional order, mechanisms and systemic conditions. Figure 2 shows as an overview the different spheres of integral leadership and followership. The horizontal axis presents a continuum between internal and external realities, and the vertical axis a continuum between individual and collective holonic realities.
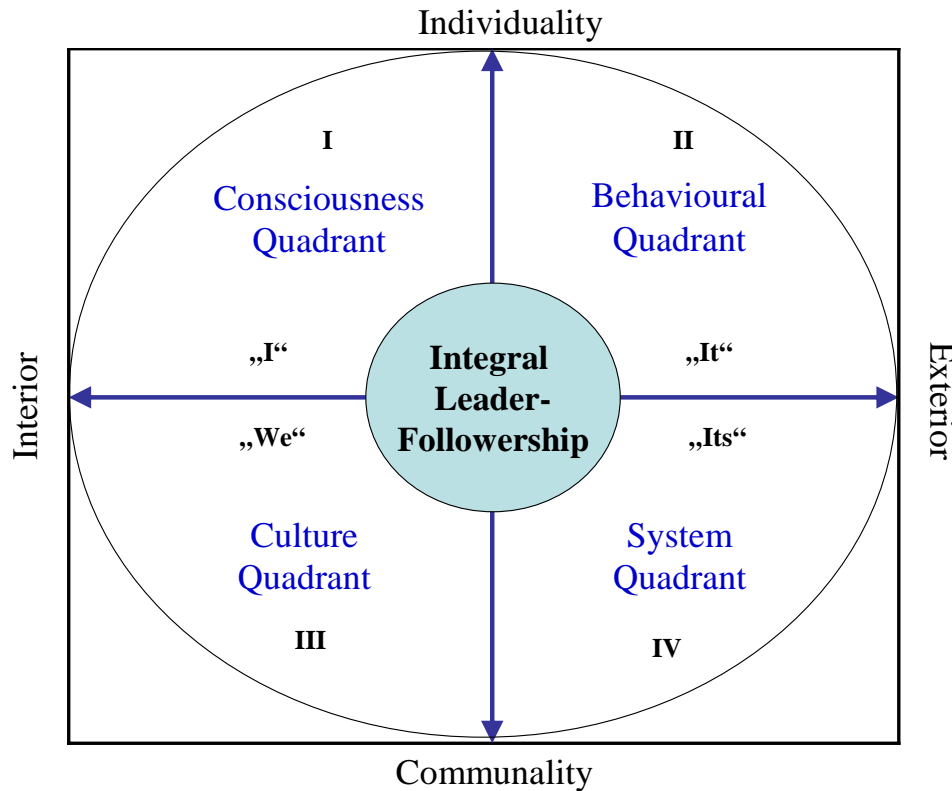
Figure 2. Quadrants of integral leadership and followership.

Integral Quadrants of Leadership and Followership

　　　Quadrant I. Quadrant I is the individual/internal aspects and involves the intrapersonal or internal reality of a person lived here by a leader or a follower as an individual. This includes personal values, attitude, intention, and meanings as well as various experiences. In this quadran; the articulation of specific self-relationships, a sense of confusion, raptures, or vocation and visions involves an internal language or other form of intrapersonal conversation (i.e., sensations, images, sounds, feelings, intuitions, etc.). Therefore, methodologically, responses are accessible through profound dialogues with the person; access to private writings, speeches, or other productions; or interviews with the individual and his or her close associates.

　　　Related to the business context; this quadrant comprises the readiness and self-management for motivation and commitment to self, to a goal, or to an organization. In this quadrant, the focus is on helping organizational members see what their leadership and followership style might be so that they get more insight into themselves and their impact on others. It also deals with the psychological, cognitive, emotional, and volitional dimensions of an individual leader or follower and how these impact the organization and its development. As this realm reflects the self's personal experience being conscious, it can be named the *consciousness quadrant* which has specific relevance for leadership and followership (Chatterjee, 1998; Young, 2002). A long-term study done by Torbert (2004) clearly showed that the success of organizational transformation efforts was dependent upon the level of consciousness.

In many leadership studies, the focus of leaders' character and inner traits emphasizes the upper left quadrant or the intentional realm. On the one hand, trait theories are often criticized as inadequate means for understanding leadership (Rost, 1991); while on the other hand, leadership scholars are continuously flailing away at mounds of traits (e.g., Fleishman et al., 1991) and reviving and refining the idea to investigate individuals and their innate, intentional qualities. One important issue in this field concerns the motivation of leaders (e.g., McClelland & Boyatzis 1982) and followers (e.g., Mumford, Dansereau, & Yammarino, 2000). In addition to other personal characteristics, research has shown the relevance of leaders' and followers' values (e.g., Hanges, Offerman, & Day, 2001). Ehrhart and Klein (2001) have shown that followers look for leaders whose values match their own. Recent research showed that incongruence of values of leaders and followers reduce effectiveness (Ilies, Morgeson, & Nahrgang, 2005). The research on charismatic leadership has suggested that followers' self-concepts and self-identity may be relevant in determining their motivations to follow certain leaders (Howell & Shamir, 2005; Lord & Brown, 2004). Nevertheless, identities of followers and leaders are inextricably linked, mutually reinforcing, and shifting within specific contexts (Collinson, 2006). Moreover, there seems to be no evidence demonstrating routinization or stable and long-term effects of leaders on follower self-esteem, motives, desires, preferences, or values (Bryman, 1993, 2004). However, leadership and followership development and practice is most effective when the individual interior dimensions are linked and supported by external tangibles.

Quadrant II. The second quadrant treats the individual external aspects of enacted leadership and followership. This is the area of external traits, knowledge, concrete skills and their practice, embodied action, accountability, and performance levels that can be measured and refined. Methodologically, this behavioral world can be approached by empirical observation, measurement, and analysis. Furthermore, training and development opportunities that support the development and enactment of competencies and peak performance as well as coaching, planning, decision making, and any skill that develops individual effectiveness are part of this quadrant. The role of leadership and followership in this realm of performance requires the management and realization of specific tasks, competencies, and actions to achieve the larger goals of the organization. In this capacity, leaders and followers manage performance-related resources, staff, and time efficiently and check that tasks and costs are on target and are being carried out correctly. As this sphere covers particularly overt behaviors with others and in the world, it can be marked as the *behavior quadrant.*

For example; path-goal theory (House, 1996), besides emphasizing the leader/follower relationship through its focus on the level of motivation of the follower, sees that appropriate behaviors can be taught and are less dependent on the traits of the leader and more amenable to training. The behavioral model still dominates both the research and practice of leadership (Bryman, 1996; Yukl, 2002), particularly approaches considering the leadership style and competencies in relation to followers.

Implicit leadership theory (ILT) (Lord & Maher, 1991) demonstrates that individuals hold inherent schemas of prototypical leadership (external) traits and behaviors. Individuals who display prototypical traits and behaviors are more likely to be perceived as leaders by potential followers and, hence, are more effective in leadership roles than others who do not portray those characteristics. According to this line of research, addressing the evaluations people make about leaders and the cognitive processes underlying evaluations and perceptions, leadership and leadership success become social constructions of the followers (Meindl, 1995; Meindl et al.,

1985) that help them make sense of social situations. However, due to the theoretical foundation of ILT strongly embedded in the information processing paradigm, it is difficult to draw valid conclusions about (a) the cognitive and particularly emotional processes underlying subjects' responses and behavior and (b) the interrelation between leaders and followers and their embedment. Thus, a more holistic integral orientation would enhance existing ILTs towards a more comprehensive embrace.

Furthermore, the effects of transformational leader behaviors as determinants of employee satisfaction, commitment, trust, and organizational citizenship behaviors have been investigated (e.g., Podsakoff et al., 1996). However, neocharismatic theories have been criticized for offering inadequate or untested explanations of the process by which the theoretical leader behaviors are linked to and influence the affective states of followers (House & Aditya, 1997).

Also, followership behavior has been investigated as a neglected aspect of leadership studies (Ifechukude & Mmobuosi, 1991). Followers may use impression management in practices like appraisal, negotiations, and career strategies (Giacalone & Rosenfeld, 1991) or deploy dramaturgical strategies (Collinson, 2006). However, behavior-oriented approaches tend to be fragmented by not connecting the interior aspects of leadership with the exterior behavioral aspects. Considering both relationship and tasks as influential categories of leader behavior, some leadership approaches (e.g., Blake & Mouton, 1964) expanded the attention also into further dimensions.

Quadrant III. The third quadrant deals with the collective internal aspects of leadership and followership. Shared history, myths, stories, and values are all part of this quadrant. It is also the domain of unwritten beliefs, shared meaning worldviews, as well as taboos and informal norms. It calls leaders to focus on the deeper significance of collective symbols, sociocultural purposes, and visions. In this quadrant, crucial ingredients for sustainable organizational success such as organizational integrity and morale are also addressed. This world of the *we* is characterized by a common language and signs that can be understood, communicated, and shared with others. It also includes the levels of consciousness expressed at the collective level. One the one hand, leadership exerts various influences upon this area; on the other hand, it is very much codetermined by the followers. As a kind of people management leadership and followership, coaching and working with and among leaders and followers to cultivate teamwork and communication is required. Via accurate and timely feedback, followers feel valued and develop their contribution to the team and organization. As all these dimensions are part of the organization's culture, this sphere can be titled the *culture quadrant.* There have been many studies investigating ways in which leaders and followers are influenced and influence the culture of an organization.

Sociocultural approaches (e.g., based on Cole & Engestrom, 1993) dealing with issues such as implicit or explicit group norms and values and dynamics, role expectations, and further influences of organizational culture on leadership and followership (Schein, 1985) focus attention to this quadrant. For example, in social exchange theory, the amount of status and power attributed to a leader is proportionate to the group's evaluation of the leader's potential contribution relative to members or followers. Social exchange theory explains that the most fundamental form of social interaction is an exchange of benefits which can include not only material benefits but also psychological benefits such as expressions of approval, respect, esteem, and affection. Individuals learn to choose to engage in social exchanges early in their childhood, and they develop expectations about reciprocity and equity in these exchanges.

Member expectations about what leadership roles the person should have in the group are determined by the leader's loyalty and demonstrated competence (Hollander, 1995). On a macro level, national cultural influence as evidenced in the GLOBE report (House et al., 2004) has shown that leadership and its relationship to followership vary from one culture to another.

   Quadrant IV. The final quadrant covers the collective external aspects of leadership and followership. This is the world of resources, tools, technologies, organizational design, strategic plans, and workflow procedures or formal policies and rules. It is also formed by institutional conditions, external constrains, and influences (e.g., natural resources, climate, etc.). It includes financial processes and compensation programs as well as quantities and qualities of outputs, productivity, and efficiency. In other words, this is where thinking about the organization as a performance system is important. The leadership and followership focus of this area is on issues such as how to design the organization to perform at higher levels or how the creative forces show up in the way the organization runs. It covers tools such as the structuring of external management and group conditions and processes; financial strategies; means of production; and techniques of marketing, information, and communication technologies. This realm also includes relationships and negotiating with the next level of the organization or industry stakeholders to obtain resources and factors relevant for the organization. This includes keeping in contact with customers and ensuring that the services and products are meeting their needs. As this realm refers to the concrete collective world of that which is tangible, measurable, and quantifiable; it can be apprehended from the outside. Relating to various functional and structural systemic functions, structures, and conditions; it represents the *system quadrant.*
   Leaders and followers engage with each other through practical structures and functions or formal roles to accomplish objectives. This systemic order includes concrete workplace conditions, workflow procedures, or resources like budgets and information and communications technologies used for delegation or exchanges between leaders and followers. Additionally, individual leaders or followers take on behavioral identities or receive structural empowerment defined by the necessities of this collective sphere. Furthermore, this sphere encompasses institutional settings and media, reward systems, problem-solving strategies or methods for supporting ethical action, and so forth.
   Approaches focusing on organizational structure and external context (Osborn, Hunt, & Jaush, 2002) or functional or resource-related orientations as well as different systems theories of leadership generally emphasize the lower right, systemic quadrant. System thinking and chaos theory have been applied to leadership and follower-relevant issues (e.g., Stacey, 1992, 2001). Following more recent approaches of system theory, leadership and followership have been described as the interpenetration between the organization system and the personality system of humans generating mostly organizational communications (Charlton & Andras, 2004). Figure 3 shows the different quadrants of integral leadership and followership with some specific features and an exemplary approach within each sphere.
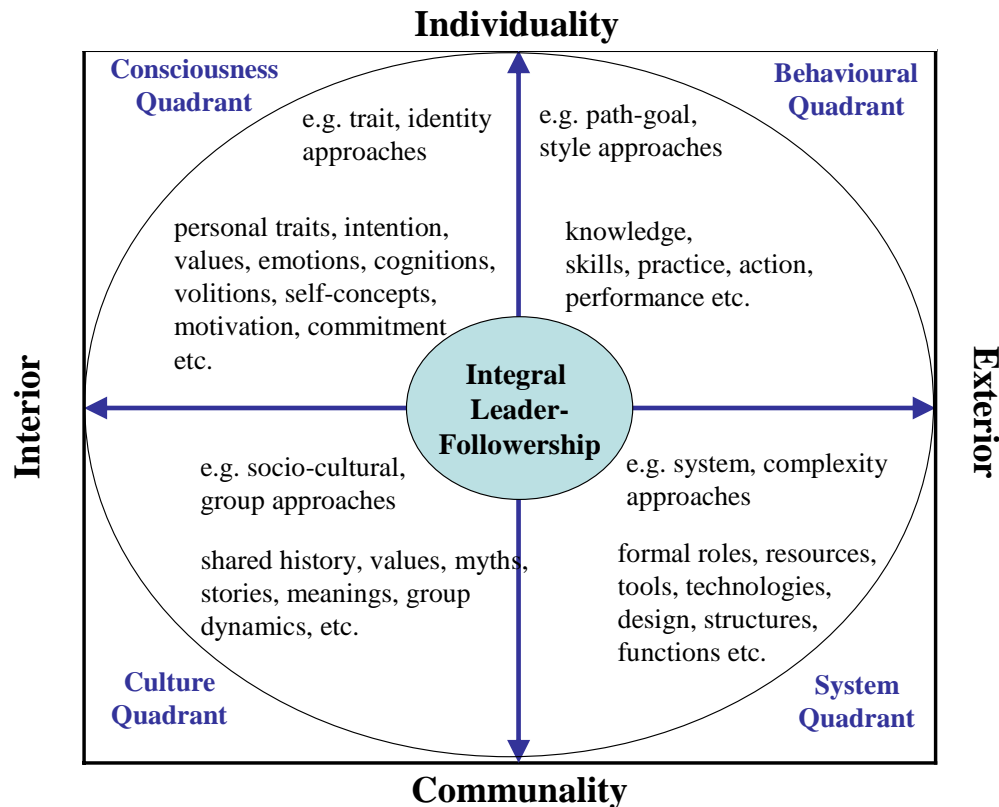
Figure 3. Exemplary features and approaches for each quadrant of integral leadership/followership.

Many further research traditions in leadership and followership can be assigned to different quadrants. They have made tremendous contributions to a deepened understanding of specific aspects of both phenomena. Nevertheless, they tend to perceive leadership or followership only in selective fields. Each of those possible approaches has limitations particularly in terms of modelling, assessing, and developing a comprehensive integration. Further concepts or theories are only partially true. The challenge is to figure out how to fit these partial truths together. Thus, the question asks how to integrate them, not how to pick one and get rid of the others. Unfortunately, the developments of leadership theory have not been organized or reassigned in a metaframework. What is needed is a framework that is able to contextualize and understand the value of various approaches and methodologies covering different aspects and link them within a deliberate and explicit integration.

The integral approach of leadership and followership taken here provides a base for multi- and metaparadigm orientation (Gioia & Pitre, 1990). By transcending but including various theories, methodologies, and insights holonistically; they can find their place in a broader, integral probable scheme. With this inclusive capacity; the integral model presented here encourages greater awareness of theoretical and methodological alternatives and, thereby, facilitates discourse and/or inquiry across paradigms and fosters greater understanding and metatriangulation within pluralist and even paradoxical organizational and leadership contexts (Küpers & Weibler, in press; Lewis & Grimes, 1999; Lewis & Kelemen, 2002).

Interrelations between Quadrants of Leadership and Followership

Each of the four orientations would be incomplete without the others; each depends on the others for its basic existence and sustenance. An approach is needed that considers all quadrants and how leadership and followership practices and developments are carried and played out within and between them. As the effectiveness of one domain of leadership and followership is dependent on the effectiveness of the other domains, all four quadrants are important for effective practice and development of leaders and followers. Similarly, the quality of development in each domain is dependent on the presence and relationships among all quadrants of each domain. In other words, to understand and enact leadership and followership in an integral fashion, all four quadrants need to be explored and related to each other.

For example, an integral understanding of influence and power in leadership and followership would include a phenomenological analysis of the subjective feelings, thoughts, meaning, and projections of sovereign individuals (consciousness quadrant); enactments and observations of rules and roles of corresponding individuals' behaviors (behavior quadrant); a prompting of the tools and processes used and realized at the collective level in relation to power and authority together with uncovering its normative sociocultural dimensions of control (culture quadrant); and functional and structural aspects such as governance of resources (system quadrant). Finally, also the interrelationship among these different quadrants concerning constructing, maintaining, or strengthening influence or devolving or resuming power need to be taken into account.

Effective leadership and LMX have been investigated from different perspectives, using leaders' interior qualities or attributes and exterior behaviors and their influence on subordinate and small group effectiveness. Facing the limitations of explaining all leadership through emphasizing either the individual or the group, situational approaches (e.g., Hersey & Blanchard, 1969) have tried to match the development level of subordinates (task/psychological maturity) to a leadership style and practice with various directive or supportive elements to the subordinates' needs in the particular external situation. Similarly, the influential contingency theory (Fiedler, 1964) also looked to match the traits, style, and orientations of leaders with the situational context or right setting for determining the leader's effectiveness. Typical situational parameters like the nature of the task, hierarchy, and the organizational environment are included. But, both situational and contingency theories tend to focus on leadership and stress external factors.

From a more integral interrelational perspective, the interiors and exteriors and the individual and collective dimensions of the practice of leadership and followership cocreate each other and holonistically unfold and develop together. Such integrative investigation shows that specific dimensions of leadership and followership are not narrowly located in one quadrant but need to be studied from the perspective of each quadrant as well as from their complex interrelations.

With this orientation, it becomes possible to consider integrally the full capacities, potential, needs, and interests of both the leader and followers (I); their behaviors (II); their interrelation and collective embedment within a culture (III); as well as the goals, structures, and functioning of the organization as a system (IV). That is the intrasubjective, objective, intersubjective, and interobjective spheres between the interior and exterior as well as individual and communal need to be seen as an interwoven nexus, as shown in Figure 4.
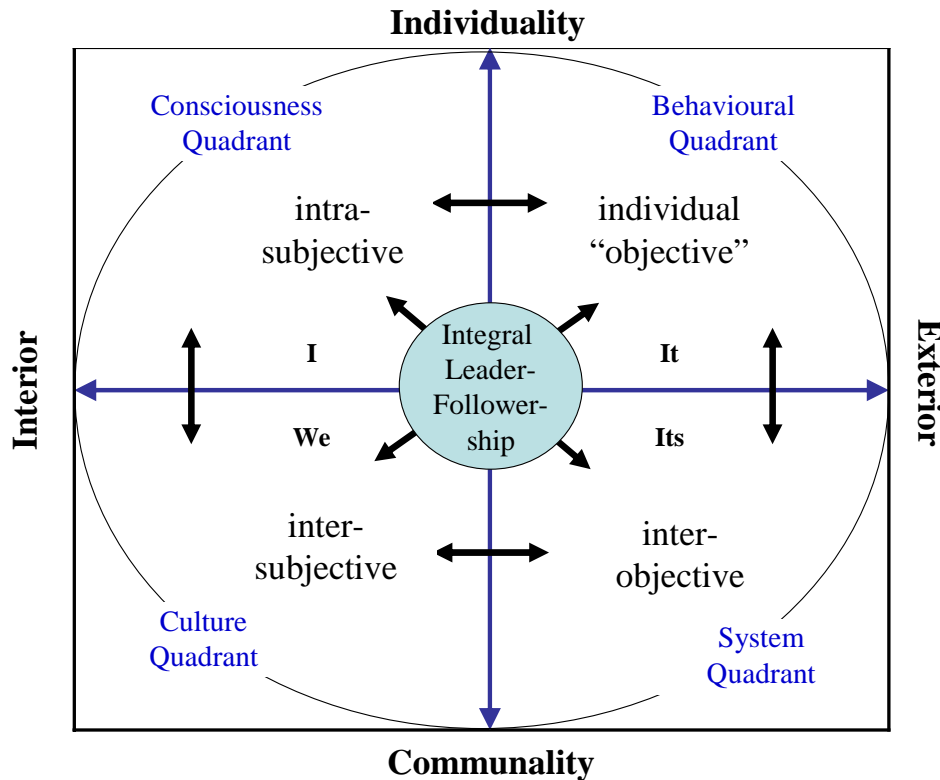
Figure 4. Multidimensional and multilevel model of integral leadership/followership.

An all-quadrant approach is an essential presupposition for effective leadership and followership practice. Organizations that embark on comprehensive and sustainable as well as effective strategic change and development need to address each quadrant and the interrelation between them (Landrum & Gardner, 2005). Practically, the integral framework may help to determine tasks, interventions, and measurements which can be applied to each of the quadrants in the integrated model on a situation specific basis and in a coordinated manner. Furthermore, the integral model can identify gaps or aberrant or pathological forms as well as opportunities and potential for introducing a corresponding range of strategies or developments in the everyday workplace. However, it is important to keep in mind that the four-quadrant model represents an analytic differentiation; the outlined spheres are lenses that frame perception along certain lines. Actual experience always encompasses all four quadrants and its holonic embedment as well as dynamics related to developmental stages and lines within an integral cycle.

Developmental Stages and Lines Within an Integral Cycle

The quadrant model can be extended by a series of different developmental stages or levels and lines of development of leaders and followers. Both levels and lines of development are essential aspects of personality with which leaders and followers need to understand themselves as well as for influencing and motivating each other. The stages or levels of development mark out new capacities and emergent qualities (e.g., acquiring, competing,

conforming, achieving, including, visioning). Developmental psychology defines various lines of development that codetermine an individual's capacity to perform successfully in various circumstances. These lines develop over time through increasingly complex levels of maturity, education, and skill. The developmental lines concern complex developments like spatiotemporal, object-relations, cognitive (e.g., strategic thinking), emotional, interpersonal (e.g., social awareness), behavioral, knowledge and learning developments, and ethical/moral lines of leaders and followers and the leader-followership processes. There are also lagging lines of development that represent specific weaknesses or nonstrengths of leaders and followers. These underdeveloped capacities may be a limiting factor in leaders' and followers' effectiveness or success. Figure 5 shows different stages and lines of development and domains of leadership and followership.

An integral leadership/followership theory acknowledges leaders and followers as complex beings who mature and develop over time in relationship to physical, emotional, cognitive, social, and spiritual lines and recognize that they have desired transcendent-related work accomplishments (Sanders, Hopkins, & Geroy, 2003) progressing through the stages of human development.

Unpacking the significance of levels and lines simply means that a leader, a follower, or a group or organizational system can be at a fairly high level of development in some lines (i.e., cognitive), at a medium level of development in other lines (i.e., interpersonal), and at a fairly low level in yet others (i.e., moral). This makes intuitive sense as we all know persons or groups who are advanced in some skills (e.g., highly intelligent) but not as developed in others capabilities or competencies (e.g., less empathetic or ethical).

The developmental stages and lines of leaders and leadership can also become important as leaders, followers, groups, or organizations using the integral model will comprehend and act on it in a way that is filtered by the leading edge of their developmental capacity and disparities in development along different lines (Reams, 2005).

The lines of development influence how well leaders or followers or groups and organizations perform. Therefore, these developmental lines can be measured using levels of proficiency. For example, a leader or a follower may possess a high level of proficiency in cognitive ability (e.g., high IQ) but may have a low level of proficiency at interpersonal skills (e.g., low EQ). With this, there is the need to assess and identify levels of proficiency on each major line of development of leaders as well as of their followers (e.g., in integral psycho- and or sociographs).

Knowing about these levels of lines helps leaders and followers to be better informed about how best to delegate, support, and coach team members based on their specific configurations of capacities or to determine the need for training to strengthen proficiency on selected lines. An integral level of development of a leader and a follower is more adaptive to fundamental change without threat to personal identity, better able to support the self-development of others, and understand oneself in a multiparadigmatic way.
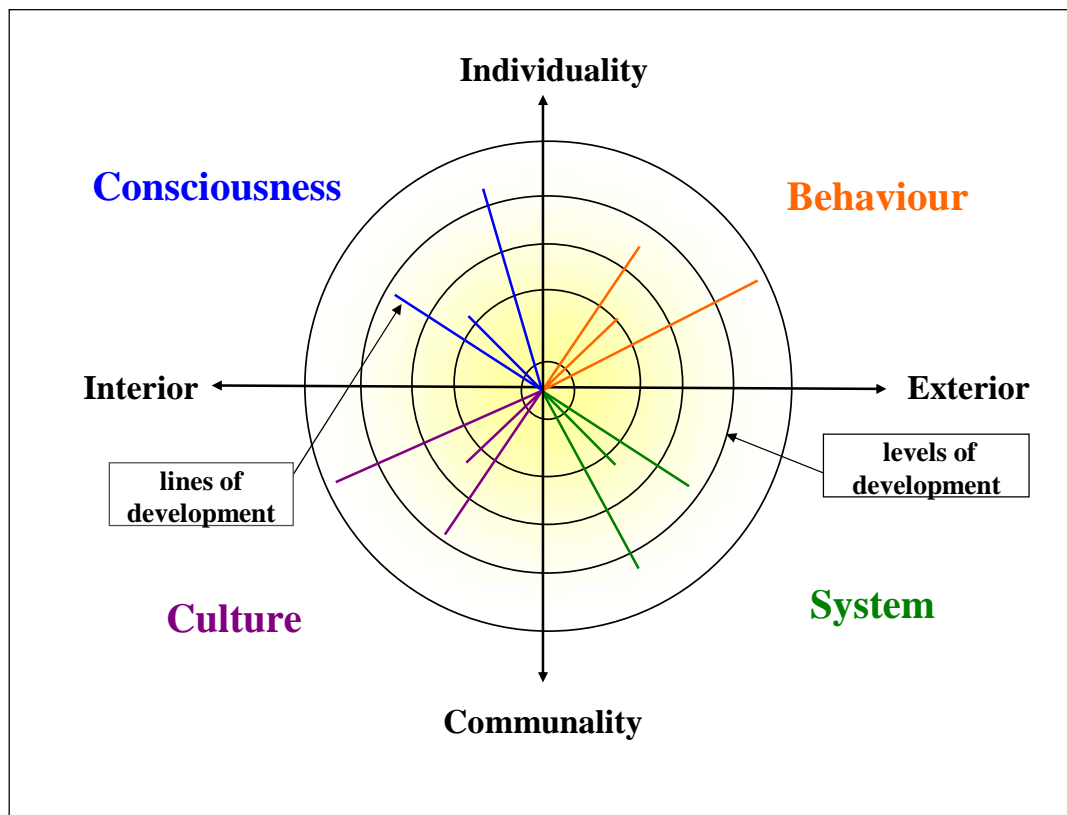
Figure 5. Modified figure of the levels and lines of development and domains of integral leadership/followership (M. Edwards, 2004, 2005).

Furthermore, the levels and lines and the quadrants are energized by the dynamics of growth and integration within an integral cycle (Cacioppe & Edwards, 2005a, 2005b; M. Edwards, 2004, 2005) which keeps all these elements hanging together in a coherent and dynamic system. Moreover, it coordinates the interaction between the four quadrants and the holonic developmental levels and lines. Its capacity to analyze, categorize, and synthesize the concept of an integral cycle offers some important heuristic benefits. It is a way of representing the mutual interpenetration of the quadrants and their constituent structures and developmental stages and lines. These are shown with their integrative and growth dynamic relationship that exists between the domains and its involutionary and evolutionary pathways.

Taken together, the four quadrants and the various developmental levels and lines within the integral cycle leads to an all quadrant, all level, all lines (AQAL) (Wilber, 1995) approach of leadership and followership. This AQAL framework of quadrants, levels, lines, and dynamics can be flexibly applied to individual leaders and followers as well as to teams and whole organizations and larger social entities.
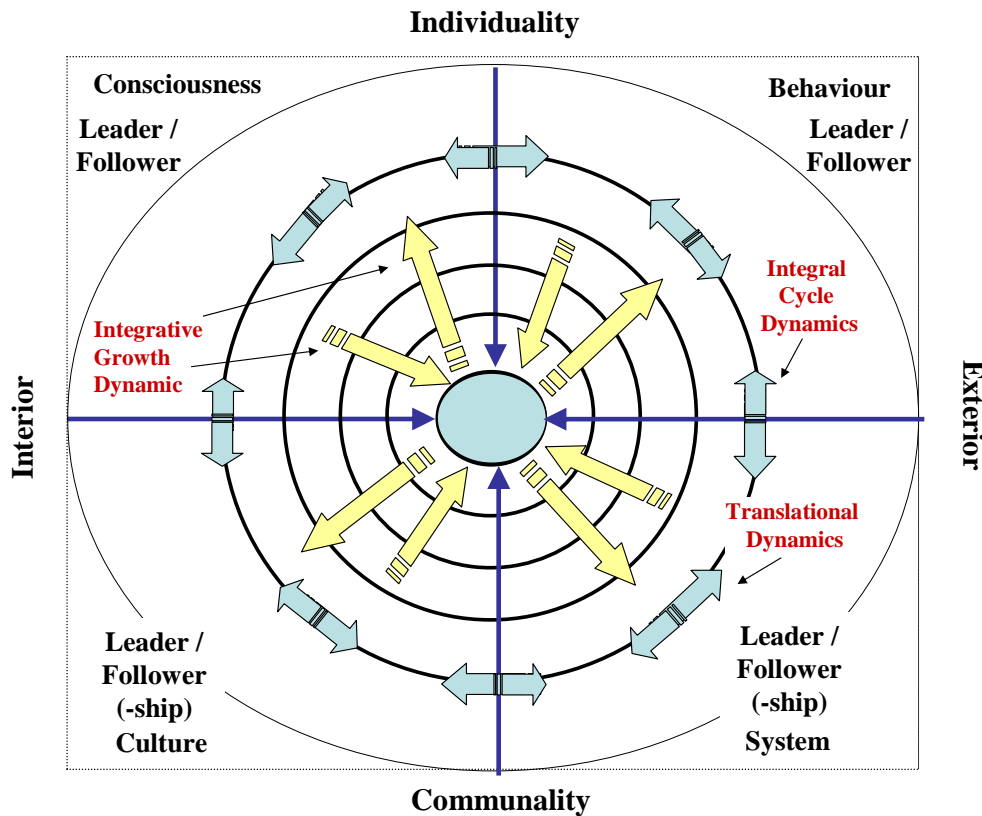
Figure 6. Modified integral cycle of leader-followership (M. Edwards, 2004).

Processual Turn towards Inter-, Leader-, and Followership

As we have seen, understanding and enacting leadership and followership in organizations demand a comprehensive and integrative framework that is suited to investigating complexities involved. The outlined holonic, multilevel, and integrative approach allows differentiating and relating interior and exterior dimensions as well as individual and collective spheres of leadership and specific, interconnected, intentional, behavioral, cultural, and social domains. However, for overcoming the dualistic orientation in these differentiations and developing a more dynamic approach, the following outlines a necessary processual turn towards an interrelational understanding of leadership and followership events. A relational paradigm finds its theoretical underpinnings in social constructionism (Gergen, 1986, 1944) and advanced phenomenology (Merleau-Ponty, 1962, 1995; Küpers, 2007a).

Basically, relating itself is a "reality-constituting practice" (D. Edwards & Potter, 1992, p. 27) in which shared understandings are developed, negotiated, and socially constructed between participants with their embodied experiences. This relational reality is characterized by ongoing, local processes (Parker, 1992) that include nonlinguistic (e.g., gestures, objects, documents, etc.) as well as linguistic and cognitive processes (e.g., conversations, stories, rumors, etc.) and emotional dimensions (e.g., various feeling states and emotions).

Relationally, it becomes possible to overcome a possessive individualism (Sampson, 1993) or obsessive objectivism by which leadership or followership is seen as an identifiable

entity sui generis based on the individual or made objectively measurable. Alternatively, with a relational intelligibility in place, we can shift our attention from what is contained within individuals to what transpires between people (Sampson) and artifacts.

For example, relational arguments allow us to go beyond notions of *power over* to include something like *power to* (Gergen, 1995; Hosking, 1995) which is a power to reconstruct or to change ways of relating and, therefore, constructions of self and other in relationship. Furthermore, with such a relational approach, it becomes possible to understand that the interactions, interpassions, and structural interrelationships between leaders and followers constitute their realities. With this, leadership and followership become factually based on relational processes that are joint or dialogically structured activities as a kind of responsive action (Shotter, 1984, 1995; Stacey, 2000, 2001) involved in all experiencing. As an ongoing event of relating and responding, leadership and followership develop out of a complex set of interactions between subjects and objects by which experiences and meanings are continually created, recreated, put in question, and renegotiated through a weaved systemic internetwork of "to-and-fro influences" (Cooper, 1976, p. 1001). Thus, the interwoven process of leadership and followership; "always momentary, tentative and transient" (Cooper, 1998, p. 171); "occurs in that imperceptible moment between the known and the unknown" (Cooper, 1998, p. 171) via a vacillating interaction (Cooper, 1987) of subjective form and advantageous circumstance.

Accordingly, the interrelationships of the leaders' consciousness, his or her behavior, values and worldviews, and social/formal roles and embedments are linked together with that of the follower's consciousness, behavior, values and worldviews, and his or her social/formal roles and embedments. Consequently, for a relational understanding, the complex interrelationships among leaders, followers, tasks, performances, and contexts become central (Hosking, Dachler, & Gergen, 1995). With this, the focus shifts towards the processual space in between (Bradbury & Lichtenstein, 2000), the intermediate field and interplay, where all parties involved can meet in mutual admiration and respect in an ongoingness of relating within embedded responsive con-+-texts (Küpers, 2006). This interspace between the individual and environment is marked by a creative tension that both separates and joins as a reflection of each other (Cooper, 2005). Therefore, leaders and followers are collaborative agents in the transformation of social reality (Reicher, Haslam, & Hopkins, 2005). For this reason, leadership and followership as interconnected human agencies are continuously connecting and disconnecting in a fluctuating network. In other words, it is the interrelationship between leaders and followers that constitutes their phenomenal realities.

Ontologically, the interrelationship of this relational nexus, the in-between of leadership and followership as an ongoing flow of events, can be assessed by Merleau-Ponty's (1962, 1964) phenomenology and indirect ontology of primordial flesh. This philosophy of flesh refers to a formative medium or milieu anterior to the conceptual bifurcation into the subjective and the objective, a chiasmic intertwining and reversibility. This embodied interbeing is part of an intercorporeality within a relational and reversible chiasm (Merleau-Ponty, 1964).

By going back to our actual lived bodily experience, we can rediscover the process of a living in between which allows a specific interstanding (Taylor & Saarinen, 1994) of interrelated leadership and followership. The inclusion of felt, embodied experience of leading and following provides renewed possibilities for developing deeper, richer, more textured understanding of how leaders, followers, and organizations are enfleshed with each others' interbeings.

Ultimately, this embodied in between is the birthplace of the process of leading and following as well as individual identity, social relationships, objective manifestations, and

creativity and added value in organizations. All the interrelational processes are always on the move between order and disorder that are always becoming and never complete. It is a continuously energizing, excessive "zero degree of organization" (Cooper, 1990, p. 182). Hence, developing an integral leadership and followership requires taking an ontological stance where leadership and followership are holonically, intermediated processes in which reality is in constant flux. Stabilities are merely recursively created feedback loops in the fluxing reality. What the relational and processual paradigm encourages us to do is describe and understand leadership and followership processes in a continual state of becoming (Bergson, 1946; Chia, 1999; Cooper, 1986, 2005; James, 1909; Ranson, Hinings, & Greenwood, 1980; Sztompka, 1991; Tsoukas & Chia, 2002; Whitehead, 1979). Framed in terms of ontology of becoming, leadership and followership can be perceived as events in the ongoing stream of activities of multiple organizational participants. Such a process and activity-based view treats each and both leadership and followership not as something that an organization *has* but as something that the members of an organization *do* that together form a coherent pattern of actions and unfoldement. Thus, leadership and followership are perpetually differentiating processes of becomingness in which the fixity of ephemeral arrangements conversely comes and goes (Wood, 2005, 2006).

Theoretical Considerations and Methodological Implications

Methodologically, an integral and processual approach shifts to seeing interrelationships in their connections rather than linear cause-effect chains and seeing processes of nonlinear change rather than regarding snapshots for control and predictability. An integral and relationalistic methodology emphasizes conditions of possibility and recognizes the multiplicity of causal forces of leadership and followership rather than simple causal explanation. In the space between; agency, action, and structures have polycausal interdependence (Archer et al., 1998) and intertwine and cogenerate individual, social, and objective interdependencies and interrelationships. This genealogical and processual approach allows overcoming the inherent problems and limits of an atomistic and mechanistic substantialist perspective with its codifying and essentialistic interpretations. With this, the dyadic perspective can be replaced or complemented and the relationship between leaders and followers more adequately described and employed in terms of several distinct but interrelated influence processes. Instead of seeing only the roles of individual leaders or followers as enduring and pervasive sets of traits and behaviors, such perspective links the leadership and followership processes to specific activities in the work involved in making organization and change happen. Furthermore, from an integral, interrelational perspective; leadership and followership effectiveness and personal, social, and organizational well-being depend on the active integration of the complex interrelationships (a dynamic balance between personal and interpersonal relationships as well as the accomplishment of objective tasks and performance goals) (Küpers, 2005). As subjective, intersubjective, and objective relationships and processes are in a constant codetermining and coevolving connection; an integral leadership and followership considers systematically diverse dimensions and roles of leaders and followers (e.g., self-management, self-organizing, people management, and performance management). This can be assessed by an integral 360-degree feedback (Cacioppe & Albrecht, 2000) and responsive evaluation (van der Haar & Hosking, 2004).

As we have seen, integral leadership is a multifaceted construct which calls for multiple research designs covering the different dimensions for an integral investigation. Therefore, researchers need to engage with ideas and standpoints from different inquiry paradigms

characterized by different assumptions about actors and relationships (Bryman, 1996, 2004). For growing into a more multi- and interdisciplinary endeavor, future leadership/followership research needs to break the largely univocal narrative and open to multiple and innovative methods. Approaches from disciplines outside of social psychology, management, and the social sciences in general and nontraditional disciplines need to be recovered and juxtaposed against one another and against the field's traditional narrative (Lowe & Gardner, 2000).

As conventional ways of inquiry and measurement are often limited in assessing and investigating the outlined domains, developmental stages and lines of leadership and followership require an integral methodology. Methodologically, it is challenging to investigate and integrate various perspectives as the first-, second-, and third-persons (singular and plural forms) related to leadership and followership.

These perspectives, with their inherent methodologies or modes of inquiry, help to inform the way research seeks out different approaches for understanding the complex dimensions of the leadership/followership connection in organizations. The first-person perspective is related to subjective awareness and meaning of personal experience and action as spheres of influence via self-reporting or biographic ethnomethodologies. The second-person interpersonal perspective seeks insight and understanding through dialogue and direct communication with qualitative empathy to disclose multiple voices about collective meaning making. The third-person perspective uses empirical observation and methods of behavioral or systemic sciences to investigate quantitative data with rigor. Bringing these perspectives together highlights the different possibilities that exist for investigating how they might interrelate to better understand the interdependence of leadership and followership in organizations. Exploring leadership and followership as interrelated and processual events implies a methodological focus on relationships, connections, dependences, and reciprocities investigating specific encounters, issues, or situations (Wood, 2005).

Furthermore, the outlined integral and interrelational premises and arguments for a processual understanding make it possible to view leadership and followership research as processes of social construction. Thus, this research itself is part of the relational process investigated and narrated. Hence, the research process can be interpreted as a way of going on in relationship, constructing knowledge, and socially validating them. To facilitate multiloguing heterachical ways of relating (Hosking, 1995); the research methodology of participatory action research (Reason, 1994) and the deployment of a qualitative, interpretive, and ethnographic research strategy with a strong situational focus (Alvesson, 1996) seem particularly suitable. Methodologically, an integral approach can also contribute to reexamining the implications of variations in qualitative techniques, participative observation, narrative interviews, and so forth. But, integral methodology recognizes also the validity of behavioral, functionalist, and objectivist analyses in the study of organizations. Following such integral methodological pluralism contributes to obtaining a more comprehensive explanation and deeper understanding of interrelated processes of leadership and followership.

Conclusion and Perspectives

This article has argued that an integral approach to leadership enables a consequent and more inclusive enfoldment and offers practical implications for a different discourse and practice of leadership and followership as well as their interrelationship. Taking into account the integral and relational dimensions of personal, interpersonal, and structural dimensions and influences

allows developing a much needed decentered perspective on the leadership and followership connection. Furthermore, by considering stages and lines of development in an integral cycle, dynamic processes of leadership and followership can be assessed more systemically.

As a consequence, the integral model provides a powerful heuristic framework in which we can make sense of how leadership and followership are interwoven. Providing a metaorientation, it enables analysis and interpretation of various aspects and dimensions of both leadership and followership and their complex holonic interrelationships. The comparative advantage of an integral theory with respect to leadership and followership research lies in its potential to generate theory and research that is inclusive but juxtaposed against prevailing conceptions.

Drawing upon the integral model, the proposal is to advance the study of leadership and followership by appreciating how both are founded upon each other. The proposal is to offer a base for a substantial theoretical advancement of investigating the interplay between leadership and followership. This may contribute to overcoming increasingly outdated individualistic, mechanistic inquiries and corresponding realities of organizations.

However, understanding leadership and followership as an integral capacity of *all* members at various levels of an organization means that corresponding leadership practice and development are more complex and difficult to design and implement (van Velsor & McCauley, 2003). Realizing such extended and sustainable practice of an integral leadership and followership requires an even deeper understanding of the role of personal, interpersonal sociocultural and systemic interrelations in organizations. Attaining this kind of a more profound comprehension and practice of an integral leadership and followership requires further research. Accordingly, the outlined concept of integral leadership and followership provides only a bedrock for more rigorous theory building, further analysis, and empirical testing.

As we are in the early stages of moving into an integral leadership/followership paradigm, there are lots of open questions and fields of applications to be explored. Research may further investigate ways in which diversely situated individuals and their behavior as well as groups in various interrelational arrangements and systemic organizational settings constitute, experience, enact, and process interrelated leadership and followership practices. The conceptual integrated framework presented in this paper can support research along those avenues. Thus, it would be beneficial to conduct research on the outlined four interrelated quadrants, levels, and lines and their interdependent effects. By examining all four dimensions in an integrated fashion, one arrives at a more integrated understanding of the causes, developments, and effects of leadership in organizations including the ways for dealing with and evaluating them. Research could also examine how the interaction between individual and organizational priorities affects the character and development of various experiences and processes including aesthetic dimensions (Küpers, 2002, 2004) or ethical issues.

Leadership and followership research is evolving more and more into one of converging evidence and integration (van Seters & Field, 1990). Therefore, the challenge is to synthesize accumulated results and develop further knowledge in such a way that we can begin to construct hybrid theories of leadership and followership covering diverse perspectives. Researchers and practicing organizational members cannot only categorize existing data but also evaluate future concepts. Thus, the integral framework helps to generate innovative conceptual leverage in studies of leadership and followership as well as facilitates a corresponding practice. As a dynamic model, it is robust enough to provide guidance to practitioners and help explain problems being experienced. For example, it may tell them where sticking points might be and

what might be causing them and suggest what needs to be done about them. Accordingly, it may help leaders and followers consider which aspects of the personal, interpersonal, and objective dimensions are being impacted in order to set priorities and enact practices. An integration of theory and practice may help to bridge the divide between practitioner and academic perspectives towards an effective symbiosis (Zaccaro & Horn, 2003).

The process of developing an integral leadership and followership is a long-term project that requires much effort, time, learning, continual updating, feedback, and modification. This is not an easy agenda in times of increasingly strong performance and other pressures faced by practitioners. While an integral leadership and followership and a corresponding development are strategically important, both are also expensive. Therefore, an evaluation of expenses and benefits as well as creating a chain of impact that connects leadership development to relevant organizational outcomes is needed (Martineau & Hannum, 2004).

Nevertheless, as a differentiated reminder of the life-world's multifaceted wholeness and tremendous multidimensionality, a further integral investigation and implementation of an integral leadership and followership is likely to serve as a helpful antidote to short-time orientations, biased approaches, and one-sided investigations. Even more, employing the proposed integrated framework in an emerging leadership/followership theory and practice will provide a base on which to build a more sustainable, successful, and rewarding life-world of organizations.

In other words, successful and effective leaders and followers and their interrelated practices of the 21st century will be those who and which understand, foster, help create, and enact a more integral way of leading and following; integrating and processing practical wisdom (Srivastva & Cooperrider, 1998; Sternberg, 1998). Integral wise leadership and followership comprises and enacts the ability to influence and develop individuals, teams, and organizations and their various relevant dimensions integrally. This supports processes not only to successfully accomplish organizational objectives but to achieve a worthwhile purpose that meets the present and future needs and contributes to the well-being and well-be(com)ing of members and stakeholders of organizations (Küpers, 2005). It is hoped that the approach proposed in this article offers grounds for a more holistically-oriented research and innovative practice of leadership and followership.

All in all, the integral and interrelational model of leadership and followership allows developing a much needed comprehensive perspective on both as well as their mutually constitutive and interconnected practices and coevolution. Specifically, the outlined integral processual approach can be used to illustrate, highlight, interpret, deconstruct, or reconceive the interrelationality of leaders and followers. Leaving behind the reductionistic flatland ontologies (Wilber, 1995) and researching the lived experience and complex nexus of leadership and followership is a challenging endeavor. However, it can contribute to a more integral and profound understanding and practice of leading and following for the present and future.

About the Author

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Initiating Trust in a Hostile Environment: A Case Study of Leaders Forging a New Transnational Partnership in Iraq

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Transnational or global partnerships and intercultural strategic alliances require organizational leaders who will proactively engage risk and establish initial trust at the earliest stage of the emerging new relationship, especially where the prospective partnership must overcome a hostile external environment in which risk is high. Recent models of trust have emphasized the importance of trusting behavior that occurs early in the relationship. The model proposed by Jarvenpaa, Knoll, and Leidner (1998) refers to such early behavior as *trusting action*. Trusting action resembles a form of emergent trust or trust *ex ante*, similar to swift trust. This case study considers a new transnational partnership between two faith-based nonprofit charitable organizations—one in Iraq and the other in the United States. The study reports how risk-taking behavior and trusting action by leaders overcame a hostile, low-trust environment to create the intercultural relationship of trust essential to forming a strategic alliance. The findings support Jarvenpaa et al.'s proposition that initial trusting action functions both directly as a nontraditional antecedent of trust and indirectly by enhancing other antecedents. A need remains for additional case studies on how leadership initiatives can strategically employ mechanisms and interactions of early trusting behaviors to expedite such partnerships and alliances.

Transnational or global partnerships and intercultural strategic alliances require organizational leaders who will proactively engage risk and establish initial trust at the earliest stage of the emerging new relationship. This is especially so where the prospective partnership must overcome a hostile external environment in which risk is high. One of the most critical and complex aspects on which an international strategic alliance's performance and effectiveness depend is the relationship of trust that underlies the alliance (Nielsen, 2001). The need for behavior that manifests trust in an emerging international relationship often arises in difficult circumstances while the organizational leaders still lack sufficient facts to make a decision about the trustworthiness of the other party (see Mayer, Davis, & Schoorman, 1995).

This article[1] presents a case study of a transnational or global partnership or international strategic alliance initiated in Iraq during 2003 and 2004. The study examines a specific case involving the creation of an emerging transnational partnership or international strategic alliance. The transnational partners are two Christian organizations—one chartered in Iraq and the other in the United States—working interculturally together for nonprofit charitable outreach and development. The case study reports how these two organizations operating in a hostile, low-trust environment were able to overcome the significant obstacles to an intercultural relationship of trust. By employing initial trusting action and proactive risk-taking behavior from the outset, the prospective partnering organizations were able to achieve a potential new partnership or alliance. The study contributes to our understanding of how organizational leaders' trusting action in the earliest stage of the process of developing a relationship of trust can precede the traditional antecedents of trust and how trusting action initially functions as an emergent or inchoate form of organizational trust to form such a transnational or global partnership or international strategic alliance.

In this article, the word *global*, and the more precise words *transnational* or *international,* refer to relationships and activities spanning two or more nations. The terms *intercultural* or *cross-cultural* refer to relationships and activities involving people from two or more ethnic groups having distinctive sociocultural characteristics. *Partnership* and *alliance* refer to two or more autonomous organizations associating either formally or informally. Thus, for the purposes of this article, the references to *transnational partnerships* and to *international strategic alliances* are essentially interchangeable.

Research Question

In March 2003, a coalition of military forces led by the U. S. entered Iraq and overthrew the authoritarian regime of Saddam Hussein. In the years prior to 2003, Hussein's regime in Iraq had become well-known for crushing internal political opposition and for oppressing, sometimes brutally, political opponents and also ethnic and religious minorities. Due to international pressure, the regime became isolated diplomatically and economic sanctions contributed to the impoverishment of many Iraqi people (Johnstone & Mandryk, 2001). Minorities in Iraq, including Christians and Kurds, constitute at least 10% of the Iraqi population (United Nations Assistance Mission for Iraq, 2006). According to Johnstone and Mandryk, Christians comprise only 2.5% of the population within this predominantly Muslim Arab nation and consequently suffered even more than the general population. Seeking to provide assistance to Christians and others in the postwar recovery, Pioneers-USA began exploring opportunities in Iraq to form partnerships and alliances with one or more indigenous Christian ministries or nonprofit community development organizations. In late 2003, Pioneers-USA commissioned a small team of its organizational leaders to travel to Iraq to assess the prospects for a transnational partnership in Iraq and, if possible, to identify and make initial contact with one or more Iraqi charitable organizations as potential transnational partners. Within a short time after arriving in Baghdad, the Pioneers-USA team located and made contact with Iraqi pastors and leaders serving among Baghdad's Christian evangelical community. These included contacts with the

leaders of two charitable organizations in Baghdad that are affiliated with each other—an Iraqi association of Christian evangelical churches and a related nonprofit development organization known as the Center for Community Development (CDC). The key contact for Pioneers-USA was the director of these two Iraqi Christian charitable organizations, an ordained Iraqi pastor named Henan (not that pseudonyms have been employed for the safety of the individuals and organizations in Iraq). Within a few months, Pioneers-USA and the CDC were able to initiate an intercultural relationship of trust and move toward a transnational partnership.

A fundamental practical question that underlies the study is one posed by Macy and Skovretz (1998): "Not all strangers are dishonest, nor are all cultures reluctant to do business with 'outsiders.' Why not?" (p. 639). Cross-cultural research on sociocultural distance establishes that the "earliest trust rule" that societies communicate to its members is that they can trust "neighbors" but must distrust "strangers" (Macy & Skvoretz, 1998, p. 651; see also Buchan, Croson, & Dawes, 2002). According to Strong and Weber (1998), a need exists for further research to assess the validity of culturally embedded dimensions of trust and to identify any differences in trust between cultures. This study reports how two prospective organizational partners from different national cultures were able to overcome a natural sociocultural bias against strangers and, thus, open the door to a transnational partnership or international strategic alliance.

Researchers from various disciplines have sought to identify and explain the cognitive and affective elements and the active behaviors that promote trust at the individual, group, and organizational levels. From a meta-analysis of the literature on trust; Dirks and Ferrin (2002) concluded that various studies have reflected multiple operational definitions of trust, including different subdimensions of trust. According to Dirks and Ferrin, the different views of the antecedents and determinants of trust derive from differences in the perspectives of various referents. Dirks and Ferrin concluded that this suggests a need for additional research, inter alia, on how various trust practices or actions ultimately translate into different trust outcomes for different referents. The present study takes into account that the two organizations began from very different cultural perspectives but may have followed a similar structural process by which the two organizations moved toward a relationship of trust.

Notable among the models that describe the dimensions and processes of trust are the models proposed by Mayer et al. (1995) and by Jarvenpaa et al. (1998). Mayer et al. presented a model of organizational trust that integrated research from multiple disciplines and distilled from the literature the major requisites or traditional antecedents of trust: ability, benevolence, integrity, and propensity to trust. Mayer et al. also observed that "the need for *trusting behavior* [italics added] often arises" (p. 730) while the decision maker still lacks sufficient facts about the other party in regard to one or more of the major requisites or antecedents of trust. Subsequently, Jarvenpaa et al. conducted a study of trust antecedents affecting global virtual teams and proposed a model that identified a kind of action that manifests early in the process of developing trust. The concept of trusting behavior is sufficiently substantial and meaningful, therefore Jarvenpaa et al. extended Mayer et al.'s model by including a factor identified as *trusting action* alongside the more familiar, traditional antecedents of trust. Jarvenpaa et al. described trusting action as a factor that promotes the emergence of a relationship of trust even before the traditional antecedents have emerged. Mayer et al. did not identify trusting behavior as a separate factor within their model, but they mentioned it as one example of why the process by which trust develops still needs further study. Similarly, Jarvenpaa et al. acknowledged that

additional research is needed to examine in further depth the relationship between trusting behavior and other requisites or antecedents of trust.

The present case study addresses the expressed need for further study on the role of trusting behavior in the process by which trust develops. This study focuses on Jarvenpaa et al.'s (1998) model that expressly identifies trusting action as an antecedent to trust. The primary purpose of the study is to examine the transnational partnership that emerged in Iraq to determine whether the organizational leadership initiatives and other early and purposeful activities exhibited by the two organizations were consistent with the theoretical concept of initial trusting action. The central research question, therefore, asks the following: how does initial trusting action affect an intercultural relationship of trust between organizations in the process of initiating a transnational partnership or international strategic alliance?

Theoretical Foundations

Trust's Importance in Forming Partnerships and Strategic Alliances

Trust carries enormous importance in forming the types of relationships on which the conduct of human affairs ultimately depends (Hosmer, 1995; Jarvenpaa et al., 1998; Shaw, 1997). Hosmer described the relationship of trust as mutual reliance on a voluntarily accepted duty toward others who are engaged in a joint endeavor or economic exchange. Mayer et al. (1995) emphasized the positive expectations of the parties and their willingness to take risks in the relationship and be vulnerable. Strong and Weber (1998) contended that trust must be described relatively, because the focus of trust is a particular relationship. The formation of trust is dependent on a complex set of variables idiosyncratic to that relationship.

Trust between partnering organizations is one of the most critical factors in the success of strategic alliances between organizations (Nielsen, 2001; see also Doney, Cannon, & Mullen, 1998). The kind of trust that is held mutually or aggregately by the members of an organization is *collective trust* (Cummings & Bromiley, 1996). The collective trust of a group or organization involves multiple persons having different attributes (Jarvenpaa et al., 1998). The need for trust within a group or organization arises from the increasing interdependence among the members according to what the group or organization is trying to achieve (see Stewart, Manz, & Sims, 1999). The importance of trust in relationships increases in proportion to the degree of dependence on others (Shaw, 1997). Trust is fundamentally a social phenomenon that occurs between the individuals within an organization, rather than between organizations as such (Howarth, Gillin, & Bailey, 1995, as cited in Nielson, 2001).

Organizations frequently seek collaboration through partnerships, strategic alliances, and joint ventures with other organizations as ways to bridge gaps in knowledge and capacity (Walker & Johannes, 2003). The willingness to act jointly with another organization in pursuit of mutually compatible interests of the partners in the alliance, rather than to act opportunistically, constitutes the essential nature of strategic interorganizational collaboration (Doz, 1996). The degree of trust between organizations engaging in partnership is a critical factor determining alliance performance (Nielsen, 2001). Relationships of trust hold significant potential benefits for organizations including increased confidence and security in its relationships with partners, reduced transactional costs, and better information exchange (Jarvenpaa et al., 1998). Global or transnational partnerships and international strategic alliances between organizations serve as examples of how organizations in different nations can expand their effectiveness (see Nielsen.

Leadership in the organizations plays a decisive role in the success or failure of these strategic alliances (Ellis, 1996). In the context of building relationships of trust, it is crucial that organizational leaders strive to "encourage and manage trust" (Shaw, 1997, p. 17) within their organizations (see also Atwater, 1988; Dirks & Ferrin, 2002). In the present case, the actions of the leaders of the organizations should manifest a willingness by the leaders to recognize the potential advantages of partnership, accept vulnerability to one another, and take steps toward interdependence between the organizations. This would constitute evidence of collective trust emerging among the leaders of the respective organizations and even aggregately among the organizations' members.

Defining Organizational Trust as an Operational Concept

According to the integrative model of organizational trust by Mayer et al. (1995), the perceived trustworthiness of a party involves three primary components that must precede a relationship of trust: ability, integrity, and benevolence. These three factors are generally accepted as traditional antecedents of trust (Mayer et al.; see also Jarvenpaa et al., 1998). While various writers on trust may use different terms, the concepts essentially are the same. For example, Shaw (1997) referred to these trust antecedents using the terms *results*, *integrity*, and *concern*. Paralleling these traditional trust antecedents are the three kinds of trust that Berquist, Betwee, and Meuel (1995) identified as necessary in forming a partnership: competency, perspectives, and intentions. Ability, integrity, and benevolence must all be manifested by both parties for a transnational partnership to fully develop (Rickett, 2002).

In analyzing the development of a trust relationship, Mayer et al. (1995) emphasized the importance of being clear about the referents (i.e., the person who is deciding to trust or the one who is being trusted). Mayer et al. distinguished between two different perspectives: "a trusting party (trustor) and a party to be trusted (trustee)" (p. 711). Thus, an additional commonly recognized antecedent to a relationship of trust originates from an entirely different perspective than the first three. This fourth traditional antecedent, propensity to trust, comes from the perspective of the party who is deciding whether to trust. Employing the labels used by Mayer et al. and adopted by other writers on trust (e.g., Gill, Boies, Finegan, & McNally, 2005; Jarvenpaa et al., 1998), the propensity to trust is an antecedent that describes a *trustor* rather than a *trustee*. Propensity or disposition to trust is a person's general willingness to become vulnerable to or depend on others (Koufaris & Hampton-Sosa, 2004; Mayer et al.). Sitkin and Pablo (1992) defined propensity to trust as "the tendency of a decision maker either to take or avoid risks" (p. 12). Propensity directly affects trust formation because it determines how vulnerable a person is willing to become prior to acquiring adequate data about the other's trustworthiness (Koufaris & Hampton-Sosa; Mayer et al.). Propensity to trust is highly relevant to the formation of intercultural partnerships (Buchan et al., 2002). In sum, according to Mayer et al., a proper understanding of antecedents of the trust relationship requires one to consider "both the trustor's propensity to trust and the trustor's perceptions of the trustee's ability, benevolence, and integrity" (p. 724).

Beyond the traditional antecedents, which essentially are cognitive or affective factors, Mayer et al. (1995) and Jarvenpaa et al. (1998) both recognized the relevance of behaviors or actions impacting or manifesting the relationship of trust. Mayer et al. and Jarvenpaa et al. respectively referred to these additional factors as *trusting behavior* and *trusting action.* Trusting behavior and trusting action reflect the kind of overt actions that can manifest the presence of

trust or the emergence of trust through the stages by which a relationship of trust develops. For Mayer et al., risk is inherent in the behavioral manifestation of a person's willingness to be vulnerable to another. "One does not need to risk anything in order to trust; however, one must take a risk in order to engage in trusting action" (Mayer et al., p. 724). Mayer et al., therefore, referred to "risk taking in relationship" (p. 724); the form of which will depend on the parties and the situation. Actions and behaviors manifested early in a relationship can promote or predict the emergence of trust.

These actions and behaviors manifested early in the process may impact trust indirectly through the behavior's effect on the antecedents of trust (Mayer et al., 1995) or may function directly as one of the antecedents of trust (Boyle & Bonacich, 1970, as cited in Jarvenpaa et al., 1998). What essentially distinguishes the model of trust by Jarvenpaa et al. from the model by Mayer et al. is that Jarvenpaa et al. posited trusting action as a trust antecedent that precedes the traditional antecedents. A specific objective of this study is to evaluate Jarvenpaa et al.'s proposition that initial trusting action functions in the trust development process both directly as a nontraditional antecedent of trust and also indirectly by enhancing the impact of the other, traditional antecedents of trust. In view of Jarvenpaa et al.'s proposition that initial trusting action is an antecedent of trust, one should be able to see evidence in the transnational partnership reported in this case that one or both parties were engaging in proactive trusting action (i.e., trust initiatives toward trust) and by early risk taking in the relationship to stimulate and move toward a relationship of trust.

The process of developing a relationship of trust is also dynamic (Nielsen, 2001). Over time, actions and behaviors can impact or manifest trust at any stage of the relationship. Jarvenpaa et al. (1998) focused on trusting action that impacts the earliest stage of the relationship, a feature they reinforced by employing the term *initial trusting action*. The present study adopts the term *initial trusting action* to emphasize trusting action that manifests in the earliest stage of initiating a new partnership or alliance and to distinguish the action or behavior from that which continues to affect trust after the trusting relationship has been established.

Consistent with the concept of initial trusting action, Nielsen (2001) divided the dynamic process of developing a relationship of trust into two sequential parts. The first stage involves *initial relational trust* which occurs at the outset of a relationship and depends on the degree to which prospective partners engage each other in a trusting way to negotiate and build an alliance. The second stage is *continuous relational trust* which continues to develop throughout the duration of the alliance. This study relates mainly to the stage described by Nielsen as initial relational trust.

Overcoming Cultural Obstacles to Trust and a Prospective Transnational Partnership

A person's general expectation of how trusting one ought to be is influenced by, among other factors, the person's sociocultural background (see Hofstede, 1980; Jarvenpaa et al., 1998; Mayer et al., 1995). Because societies communicate to people a sociocultural norm that they can trust *neighbors* but must distance themselves from *strangers* (Macy & Skvoretz, 1998), people naturally tend to trust those who share the perspectives we have and who see the world the way we do; conversely, most people find it difficult to trust those who do not share our basic beliefs and values (Rickett, 2002). Through repeated contacts over time, people have opportunities to evaluate strangers and choose whether to permit them to become neighbors (Buchan et al., 2002; Macy & Skvoretz). Fukuyama (2000) referred to this social dynamic as extending the radius of

trust. How much the sociocultural factors influence a person's expectations about trust and whether the factors produce significant differences among cultures in how trust develops are questions that remain open to debate. For example, Strong and Weber (1998) surveyed 122 executives from 28 countries representing four distinct cultures (see Hofstede, 1980) to test the idea that trust varies between countries and cultures. The results of Strong and Weber's study failed to show significant differences in trust between cultures, at least where trust is defined along dimensions of positive beliefs in others and of self-interested versus other-interested behavior. But, at least initially, the sociocultural bias against strangers and the lack of opportunity for prior contacts on which to base a decision to extend the social radius of trust present major obstacles to creating trust in an intercultural context. Thus, a related issue to consider in this case study is the extent to which each partner's propensity to trust and to take risks may have made it easier to establish a relationship.

Another inherent dilemma in forming new strategic alliances is that trust often must begin with crucial gaps of information and from a starting point that has not yet afforded an accumulation of reliable experiences with the other party (Shaw, 1997). This is especially the case where an organization is reaching out across international borders and bridging significantly different national cultures. In addition to cultural differences; the global environment also presents significant challenges relating to differences in time and distance, all of which tend to reduce face-to-face interactions with strangers and thus reinforce the anonymity of the electronic communications on which geographically dispersed people must rely (Jarvenpaa et al., 1998; see also O'Hara-Devereaux & Johansen, 1994). For a variety of reasons, the parties in a global environment have fewer face-to-face contacts and less opportunity to develop trust in the more traditional gradual and cumulative fashion (Jarvenpaa et al.; see also Meyerson, Weick, & Kramer, 1996).

Swift Trust's Role as an Emergent Form of Trust

Unexpected global opportunities may arise for trusting action that achieves or reinforces emergent forms of trust. *Swift trust* is an initial or emergent form of trust that characteristically occurs early and facilitates establishing trust even before sufficient data becomes available for the traditional trust antecedents to predict or determine outcomes (Buchan et al., 2002; Jarvenpaa et al., 1998; Meyerson et al., 1996). Swift trust is enthusiastic, proactive, and generative (Meyerson et al.). It enables organizational members "to take action . . . and deal with uncertainty, ambiguity, and vulnerability while working on complex interdependent tasks with strangers" (Jarvenpaa et al., p. 56). Swift trust enhances freely flowing communication by enabling members of a global or temporary team to act as if trust already exists (Jarvenpaa et al.) In Jarvenpaa et al.'s study involving the formation of global virtual teams, traces of initiative and trustful actions seemed to exist *ex ante* to trust. This was true even in the teams that ultimately proved to be low-trust teams, at least until lack of action and initiative and overt signs of a lack of trust began to manifest in the teams. According to Jarvenpaa et al., the high-trust team members more clearly exhibited swift trust, acting as if trust existed from the start of the team.

Swift trust has been described variously as either a form of action or a byproduct of action (see Jarvenpaa et al., 1998; Meyerson et al., 1996). Indeed, one notable limitation of the Jarvenpaa et al. study is that it failed to clearly resolve the question of whether a meaningful distinction exists between swift trust and initial trusting action. Jarvenpaa et al.'s model depicts swift trust and action as two separate components. The model therefore shows swift trust as the

first factor, immediately preceding initial trusting action (labeled in the model as initiative/action/result toward a task goal). Accordingly, swift trust and initial trusting action are both factors tied to active behavior that precedes the traditional antecedents of trust. For purposes of the present study, however, both swift trust and initial trusting action involve trusting behavior occurring at an early stage of the process of building the trusting relationship. Both relate to or involve an emergent or inchoate form of initial trust and reinforce each other in moving the parties toward initial relational trust (see Nielsen, 2001).

Organizations seeking to initiate new transnational partnerships and international strategic alliances may benefit by purposefully adopting approaches that stimulate initial trust (Buchan et al., 2002). Leaders of such organizations should recognize the value of demonstrating trusting action and acting as if trust is present right from the start (Jarvenpaa et al., 1998). In doing so, each party must be willing to be vulnerable to the other and must take action that demonstrates to the other at least some minimal degree of risk-taking in relationship, even before information is fully known about the other's trustworthiness (Jarvenpaa et al.; Mayer et al., 1995). In the context of this case study, we may expect to find evidence of the prospective partners communicating freely, becoming involved with each other, and engaging complex tasks despite ambiguous circumstances and uncertain outcomes.

Research Design and Method

Method

The present use of a case study approach responds to an expressed need for more case studies on international strategic alliances (see Nielsen, 2001). Case studies reporting on "direct involvement in organizations" provide a better understanding of "the highly complex nature of trust as it relates to [forming] international strategic alliances" (Nielsen, p. 25). The case study approach thus serves well in the present context because it can capture more fully the important sociocultural factors and interpersonal dynamics relating specifically to initiating trust and taking risk in relationship to form partnerships or strategic alliances in international and intercultural arenas. Yin (2003) stated that case studies constitute the preferred strategy under a combination of circumstances in which the research problem presents *how* or *why* questions, when the researcher has little or no control over events, and when the study investigates a contemporary phenomenon in its real-life context. Therefore, the case study approach is well-suited to address the central question: how does trusting action affect an intercultural relationship of trust between organizations in the process of initiating a transnational partnership or international strategic alliance?

The present case study tests theories about the traditional and nontraditional antecedents of trust, specifically that part of the model by Jarvenpaa et al. (1998) relating to trusting action as an antecedent of trust. This study also seeks to better understand the interaction of trusting behavior and risk taking in relationship as a complex social phenomenon (see de Vaus, 2001). The study involves an ideographic approach because it attempts to interpret human behavior and interaction by studying and understanding them in the context of culture (Johnson & Duberley, 2000). The case study approach achieves the goals of testing Jarvenpaa et al.'s model and enhancing an understanding of trusting action. It does so, first, by developing and providing more complete contextual information about the nature of the particular relationship of trust that emerged in the present alliance. Second, the case study achieves these particular goals by

providing an analysis of the underlying causal processes at work in the trusting action (see de Vaus) and risk-taking behavior that has proved crucial in the earliest stages of initiating the relationship of trust.

    To address the central research question, this case study first looked at Pioneers-USA and assessed whether the organization reflects characteristics of an organization that seeks to establish a positive organizational context for encouraging trusting action and reasonable risk taking toward organizationally strategic objectives. Next, the study looked at the efforts by Pioneers-USA in Iraq as a current example of how Pioneers-USA has initiated trust and engaged in risk taking as a means of forming a new transnational partnership for outreach and community development in Iraq.

Data Collection

    This study employed multiple methods of data collection to derive relevant information from several sources. The data on which this analysis relied came from the following sources: (a) written surveys, (b) participant observations, (c) open-ended personal interviews, and (d) various written sources. The collection methods for this study, therefore, yielded triangulated data from four types of information sources.

    One source of data was a written survey developed to assess organizational attitudes and behaviors toward learning and risk taking within a particular learning organization. This source consisted of an organizational diagnostic survey offered to individuals having organizational leadership responsibilities within Pioneers-USA. Pioneers-USA is the U.S. component of a larger, international affiliation of entities identified by the name Pioneers that operates jointly under a written international agreement. References to Pioneers in this study relate to the broader affiliation, including Pioneers-USA and the other affiliated entities.

    Because the scope of this paper focuses narrowly on initial trusting action and the risk-taking behavior that occurs in the earliest stage of initiating a global partnership, the survey data extracted for this study relate to items and results descriptive of organizational risk taking. The instrument used for the survey is a diagnostic assessment inventory developed by Kline and Saunders (1998) known as the Learning Organization Assessment.[2] According to Kline and Saunders, the 13 assessment items used here relate to an organization finding ways to encourage intelligent and informed risk taking. At the time of the survey, most of the respondents were leaders of Pioneers-USA teams varying in size. All respondents held responsibility for the oversight of multiple persons within the organization. Ten leaders voluntarily agreed to participate. Although a small number, the group who responded to the survey comprised nearly all of the persons in positions of leadership within Pioneers-USA at that time. All respondents were serving at the Pioneers-USA headquarters and offices in Orlando, Florida. The written survey ended with an open-ended question affording the respondents an opportunity to explain any of their numerical responses.

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[2] The Kline and Saunders' (1998) assessment consists of statements categorized according to 10 major organizational dimensions. Participants responded by scoring on a 5-point Likert scale. The inventory is tied to a matrix that keys each survey item to one or more of the 10 organizational traits. Whereas the enhanced version of the assessment contains 68 items, this study employed only the 13 assessment items that the matrix identifies as indicating the organizational characteristic of risk taking.

In addition, I collected data specifically on Pioneers-USA's proposed new transnational partnership in Iraq by relying on participant observations, interviews, and documentary sources. The participant observations for this study occurred on-site in Iraq and in the United States during the process of Pioneers-USA members making cross-cultural contacts to initiate and form a new transnational partnership. Participant observations are commonly used in qualitative research as part of an approach that combines direct participation, observation, interviews, and introspection (Flick, 2002). Observations by multiple participants occurred in Baghdad from August 17-19, 2003; March 14-16, 2004 (including observations made by the author); and June 5-20, 2004.

A third source of data for this study consisted of open-ended personal interviews and dialogues relating to the initiatives by Pioneers-USA in evaluating and developing prospects for a transnational partnership in Iraq. The interviews and dialogues occurred in person at various locations on March 14-16, June 27, and July 2, 2004. Additional interviews and dialogues occurred by phone on June 26 and 30 and July 5 and 30, 2004. I also conducted interviews and engaged in substantive dialogues with five leaders and members of the two closely affiliated Iraqi organizations. In addition, I interviewed and engaged in dialogues with at least six Americans who are current leaders or members of Pioneers and who have been directly involved in efforts on-site in Iraq to initiate and form the new transnational partnership. The Americans who are organizational leaders within Pioneers included the president of Pioneers-USA, Stephen Richardson. Richardson also was a member of the first team Pioneers-USA commissioned to go into Iraq for the purpose of assessing the situation and evaluating the prospects for a new transnational partnership. The interviews and dialogues also included three other organizational leaders: the executive vice president of Pioneers-USA, the mobilization director of Pioneers-USA, and a Pioneers regional leader who is an American living outside the United States.

The fourth and final data source was the various written sources available in this case. Various documents proved relevant to an understanding of the factors involved in the process of initiating a relationship of trust and forming a transnational partnership between the two organizations. These documents included e-mail messages between various participants in the partnership process; interviews in news media reports, including interviews granted by Henan in his capacity as an Iraqi pastor and as the director of the CDC; and an article written by Richardson for a Pioneers-USA publication.

Findings

Organizational Attitudes Toward Engaging Reasonable Risk

Responding to the Learning Organization Assessment (Kline & Saunders, 1998), the leaders surveyed within Pioneers-USA described a safe organizational environment for engaging risk. The scores on organizational risk taking substantially exceeded the midpoint and approached a score of 4 out of a maximum possible score of 5 points, reflecting a strongly positive risk-taking environment. The statement about Pioneers-USA that gained the highest support among all the respondents is highly relevant to making adjustments in collaboration with organizational partners: "There is willingness to break old patterns in order to experiment with different ways of organizing and managing daily work." This is a positive statement in the survey that the respondents, in their aggregated responses, said applies "to a great extent."

The open-ended responses produced comments that reinforce the picture of Pioneers-USA as a safe organizational environment for creative thinking and engaging risk. One respondent stated the following: "One of the main reasons we felt led to this ministry is the cutting edge character of the leadership. They are not afraid to try something new and seek to be trendsetters in the mission community." Balancing this view, however, is the following observation that another respondent made: "Many good opportunities and developmental activities get swept aside in the excitement and fast pace of all that is going on."

Additionally, statements identified in documents published by the organization also demonstrate Pioneers-USA's commitment to risk taking in a strategic way. For example, among Pioneers-USA's written core values are innovation and flexibility (Richardson, 2002). Similarly, Richardson also suggested that one of the organizational benefits of being open to partnership would be to answer the question: "what can you learn from the experience of others?" (p. 17). Findings from other documentary sources have shown that Pioneers-USA also has a fairly well-defined strategic planning process that includes planning and budgeting to form transnational partnerships which Pioneers-USA normally refers to as *global partnerships*.

Risk-Taking for a New Transnational Partnership

After the Hussein regime's overthrow, a team consisting of several key organizational leaders within Pioneers-USA traveled in August 2003 to Iraq's capital, Baghdad. Among other members of Pioneers-USA; the first team included the organization's founder, the president, and the executive vice president. In Baghdad, the team made contact in person with Christian Iraqi ministry leaders whose identity and locations were known to the leaders of Pioneers-USA. The leaders from Pioneers-USA also went there to initially assess prospects for forming a partnership or alliance with indigenous Christian leaders and their organizations to conduct community outreach and development as part of Iraq's anticipated post-war recovery. And, indeed, we can see in the actions of both prospective partners that this kind of initial trusting action did occur between the two organizations and specifically between their respective key organizational leaders, Henan and Richardson.

Pioneers-USA commissioned in March 2004 a four-member team to return to Baghdad to follow up on the earlier contacts and to begin taking steps toward actually forming a partnership or alliance. As the director of global partnerships for Pioneers-USA, I was one of the four members of the second team. We were inside Iraq for 4 days, including 3 days in Baghdad. The time proved sufficient to locate Henan, to interact in person with him, along with various Iraqi leaders and members of the CDC, and to visit the CDC offices and some of the Iraqi churches. Henan and the other Iraqis connected with the CDC warmly welcomed this team, as they had the earlier team, displaying as much hospitality as the time and circumstances permitted. Henan is fluent in Arabic and Aramaic and speaks some English. Henan spoke to us sincerely and passionately about his concern for the physical, economic, and spiritual welfare of the Iraqi people; describing in detail numerous examples of the many needs of the people in his country. Henan's long-range vision is to help meet those needs by creating a series of centers providing community development in Iraq through a combination of training job skills, initiating microbusinesses, and teaching English language classes. The centers will serve as sites for outreach and relief in the various neighborhoods where they are located and will also provide opportunities to demonstrate Christian relational values and moral principles. Henan is personally familiar with this outreach model, having already used the model to establish six

centers in Jordan during his earlier years in exile from Iraq. Some of these earlier centers had been developed in partnership with one or more Western charitable organizations other than Pioneers-USA.

Henan also demonstrated a genuine openness to new partnerships. According to a published interview given later during his first visit to the U. S., "[Henan] wants missionaries trained in peacemaking sent to Iraq to help build a strong church that can take a leading role in Iraqi society, and help to transform it" (Smith, 2004). Early on, Henan personally had expressed similar desires to our teams in our various face-to-face dialogues with him. During Henan's discussions with the second team in 2003, he articulated the importance of genuine mutuality in the relationship and of being clear about the expectations of each other in the prospective partnership. While Henan was open to the new partnership, it was also evident that he was being cautious based on his prior experiences. He was transparent with us in explaining that he felt that a Western partner in a previous transnational partnership had taken advantage of a relatively stronger position of power in taking over resources that had been jointly contributed to the partnership.

Since the two teams went into Baghdad, Pioneers-USA has continued active efforts to develop the initial relational trust by continuing contacts with the CDC through Henan and, as much as adverse external circumstances allow, increasing interdependence between the organizations. In early June 2004, after the team had visited with Henan the previous March, Pioneers-USA sponsored a young man to move to Baghdad and work with Henan. He is an American serving with Pioneers who had been studying Arabic. Pioneers-USA took this initial step with the idea of sending additional field workers later, as a means of beginning to provide trained personnel in support of the CDC's community development project and Henan's outreach work. Within 9 months of the initial contact with Henan and the CDC by the first Pioneers-USA team, the transnational partners already had advanced their emerging relationship of trust to the point of collaborating and working on a development project in Iraq that they had jointly planned. This work was being performed in Baghdad by a combination of Iraqi CDC employees and Pioneers American field workers. Meanwhile, other Pioneers members in the U. S. and in the Middle East continued from outside Iraq to maintain direct contact with Pastor Henan, mainly through e-mail but also by phone and in person whenever possible.

Notwithstanding the trust being established between these partners, unanticipated events external to the relationship have interfered with a fully productive transnational partnership in Iraq. A dramatic upsurge in violence and instability in Iraq began in March 2004, coincident with a sharp upswing in attacks against expatriates and Iraqis by insurgents and militia who sought to disrupt democratic elections and the subsequent transfer of government at the end of June 2004. Ambushes, bombings, and kidnappings by insurgents increased in various parts of Iraq including Baghdad. Even today; indiscriminant violent attacks by insurgents, militias, and terrorists continue unabated in many parts of Iraq; according to the United Nations Assistance Mission for Iraq (2006). At the point when the threat to security and safety became much more acute especially for Americans and other Westerners who were living and working outside of militarily secured compounds, the partners made a mutual decision to suspend most of their joint on-site work inside the country until the security conditions improved.

In July 2004, by special arrangement of some American churches, Henan made his first trip to the United States. His trip was quite timely and afforded two additional opportunities for me to meet with him in person. One small but specific accomplishment both practically and symbolically was that Pioneers-USA was able to modestly support the communications and

administrative needs of the CDC by providing Henan with a computer with software applications in Arabic. Pioneers-USA also provided related technical assistance by arrangement with a skilled volunteer who drove to Henan's location in the U. S. and devoted considerable time helping Henan learn to use the new hardware and software. Even these small efforts were symbolically quite significant to Henan and the CDC because the acts constituted behavior by Pioneers-USA that was consistent with trusting action manifested by increasing interdependence and resource sharing in support of mutually agreed goals.

The Iraqi people still are suffering through military conflict and experiencing very high levels of societal instability and violence. The physical risk for everyone in Iraq, nationals and expatriates alike, remains very high (United Nations Assistance Mission for Iraq, 2006). Security conditions in the country continued to deteriorate. Because of continuing patterns of religious persecution including threats, killings, and bombings; many Christian families from Baghdad and other parts of Iraq have had to relocate to safer areas or flee the country (United Nations Assistance Mission for Iraq). Henan sent his family to northern Iraq and eventually left Baghdad to join them. Henan and his family, as well as many other Iraqis, are now displaced until they can safely return to Baghdad. Even so, the transnational partners intend to continue building the alliance and undertaking the joint project for community development in Baghdad and other parts of Iraq as soon as the work in Iraq can resume.

Discussion

In the global context, trust is pivotal to establishing intercultural working relationships (Jarvenpaa et al., 1998). A variety of complexities, such as geographic separation and cultural distance, make building global relationships of trust more difficult and the key ingredients take longer to emerge (see Marquardt & Horvath, 2001; Rickett, 2002). The two organizations began in this case from very different national situations and cultural perspectives. The differences in their referent perspectives proved relevant in the process of developing the new relationship of trust (see Mayer et al., 1995). Despite such referent differences, the two organizations shared a common structural process by which each moved toward the relationship of trust. The more specific focus of the study, however, remains on whether leadership initiatives and purposeful activities consistent with initial trusting action facilitated progress toward a relationship of trust that was essential in forming a transnational partnership. In view of the necessity of trust in forming transnational partnerships, one might expect to observe in this study that initial trusting actions by the leaders and members of both organizations (especially trusting behaviors demonstrated early by the key organizational leaders) had a positive impact on forming the relationship of trust and thus the transnational partnership itself.

Risk-Taking to Overcome Obstacles to the Prospective Transnational Partnership

An amazing aspect of the initiative toward transnational partnership between Pioneers-USA and the CDC as an Iraqi organization is that the partnership has been developing within what appears to be a hostile, low-trust external environment in the aftermath of the war in 2003 between Americans and Iraqis (see Johnstone & Mandryk, 2001). During Henan's 2004 visit to the U. S., reporters for local newspapers and a TV news station interviewed him. As reported, Henan (as cited in Lindsey, 2004) described the conditions experienced by Iraqis living in Iraq: "After the war, we had no security force, no police and nothing to replace them. We felt naked

and vulnerable, and fear reigns in the country. . . . People's nerves are always tense" (p. 1). In such a post-war situation, inherent difficulties and unusual complexities arise in trying to discern who is actually worthy of trust versus those who may be mere opportunists taking advantage of an unstable environment. Viewing the partnership decision from the CDC's perspective, it was a crucial point of vulnerability to enter into a new partnership with the leaders of an organization from the country that had militarily invaded and still occupies Iraq. At the very least, a proposed partnership under such circumstances held the potential disadvantage of locking the CDC into an inferior position of power relative to the American organization. Yet, Henan remained open to risk taking in view of the possibility of building a mutually beneficial partnership based on genuine equality in the relationship.

Viewing the transnational partnership decision from Pioneers-USA's perspective, the findings of this case study take into account that fairly soon after the U.S. invasion and during the subsequent military occupation, Pioneers-USA initiated action to explore prospects for a transnational partnership. Pioneers-USA was proactive in sending two separate teams into Iraq to seek out Henan in Baghdad. Henan and the other CDC leaders responded warmly by welcoming both teams and reciprocating with trusting behaviors of their own, manifested by engaging in collaborative planning and joint work with Pioneers. And, as previously noted, within a few weeks after the visit by the second team, Pioneers sent to the CDC an American field worker who was learning Arabic and who voluntarily moved to Baghdad. The CDC provided the necessary living accommodations. Pioneers sent this first field worker, with others to arrive later, to assist Henan in developing the CDC and to serve in Baghdad alongside the CDC's Iraqi staff. Pioneers-USA also continued to manifest trusting action by continuing the personal contacts and visible practical help to Henan and the CDC in support of the partnership's purposes by whatever means possible, even from outside of Iraq. Through these initiatives by Pioneers-USA leaders and the positive reactions by Henan and the CDC, both prospective partners demonstrated at the earliest time possible a willingness to take risks in the relationship by placing themselves in a situation of vulnerability and to become interdependent by sharing valuable personnel and material resources for the sake of the partnership's success. Therefore, the process advanced mainly by the leaders of one organization initiating most of the early trusting action and the leaders of the other party reacting positively to those initiatives and affirming by word and by behavior the prospect of a new partnership. The actions of both organizations were consistent with behavior manifesting risk in relationship during the very early stage of a trusting relationship (see Mayer et al., 1995). This kind of behavior also functioned as initial trusting action in the manner described by Jarvenpaa et al. (1998).

Initial Trusting Action Moving Toward Initial Relational Trust

Each instance of trusting action in which Pioneers-USA and the CDC engaged at the early stage generated momentum toward the initial relational trust that, in turn, would serve as the foundation for a new transnational partnership and a potentially long-term trusting relationship. Participant observations in this study indicated that much of the trusting action displayed by the leaders and members of Pioneers-USA and the CDC occurred by means of them purposefully initiating and engaging in face-to-face interactions and communicating freely with each other. The prospective partners also followed up by pursuing mutually supportive contacts with each other. A key leader of Pioneers-USA and a member of its initial contact team had the following favorable comment regarding the developing relationship with Henan and his

organization: "I think he will especially appreciate the warmth and personal touch of his relationship with [Pioneers]" (S. Richardson, personal communication, July 1, 2004). Participatory experience provided additional evidence that the face-to-face interactions and the accompanying supportive activity initiated an organizational relationship of trust even before the traditional antecedents could predict or determine such a relationship.

In addition, as noted earlier, the essence of strategic interorganizational collaboration is the willingness of the people of one organization to trust and act jointly with the people of another organization to pursue the mutually compatible interests of the partners in the alliance (Doz, 1996). Consequently, as one would also expect to find in this case, there exists substantial evidence of collective trust held mutually and aggregately among the members of the two organizations in the alliance, as manifested by a willingness to accept interdependence and vulnerability to one another.

Impact of Shared Mission and Moral Values on the Trust Antecedents

One can also see in this case that the two Christian organizations imported into the relationship of trust strong expectations about organizational mission and values. These expectations related to their strong commonality of belief in their faith-based moral values and their shared worldview. The initial trusting action by Pioneers-USA and the CDC enabled them, as already shown, to move quickly toward an initial trusting relationship. At a certain point, however, the prospective partners had to address and overcome some initial reluctance to engage whatever vulnerability might be created by pursuing organizational interdependence. This came in the course of some very candid initial dialogues with each other during the second visit by a Pioneers-USA team. What helped the parties most at this point in their face-to-face dialogue was that they affirmed and achieved clarity about their mutual goals and common mission. Pioneers-USA and the CDC have a shared mission as well as closely aligned organizational purposes. Each has a strong commitment to a vision for faith-based community development and Christian ministry outreach. This particular finding in the present case study is consistent with the view that patterns of trusting behavior can arise early in a group's life by homogenous members importing and sharing the same a priori expectations of appropriate behavior (Gersick & Hackman, 1990; see also Jarvenpaa & Leidner, 1999). From the personal interviews and dialogues with Henan and also from his public statements, Pioneers-USA discerned Henan's obvious desire to help the people of Iraq through the development of jobs and microbusinesses that will improve the meager living standards of the families and indirectly strengthen the local Christian community and its ministries for conducting further compassionate outreach.

It is also significant that Pioneers-USA and the CDC as Christian organizations have in common a shared mission that involves communicating a message expressly grounded in trust. This is an important point to emphasize regarding the relationship of trust in the present case because in this hostile external environment, trusting action alone might prove insufficient to keep the parties moving toward initial relational trust if not reinforced in the process by positive perceptions relating to other antecedents of trust. While organizations approaching each other as prospective partners may share common goals, many organizations will not have the further advantage of sharing deeply-held core values. In this case, however, the overarching concept of trust embedded in the prospective partners' shared faith proved to be an important asset. Their commonality of moral values derives from a strong sense of God's benevolent sovereignty over external circumstances, God's ultimate trustworthiness, and mankind's duty to trust God in all

things (see Proverbs 3:5a, for example). Henan has stated the following about his concept of trust: "Fear is a lack of trust in God. . . . So, when I hold onto an experience of trust, looking back on how the hand of God has moved – whether it is personal experience, family, community or in international relations – I can build a hope for the future" (as cited in Smith, 2004, p. 1). Christian ethical teachings by the Apostle Paul emphasize the overriding universal effectiveness and cross-cultural identification that arises from a profession of faith in Jesus Christ: "For there is no difference between Jew and Gentile—the same Lord is Lord of all and richly blesses all who call on him" (Romans 10:12, New International Version). These shared beliefs about the foundations of trust greatly accelerated early progress toward the initial relational trust between Pioneers-USA and the CDC.

As previously discussed, the traditional antecedents or requisites of trust include integrity, benevolent intent (or concern for others), and an ability or capacity to perform or deliver (see Mayer et al., 1995; Shaw, 1998). As also noted before, a party's perception of these antecedents involve mainly cognitive and affective processes rather than behavioral processes. But, at least to a limited extent, just by Pioneers-USA taking the initiative and investing the resources to be present in Iraq afforded the CDC the opportunity to observe and perceive benevolent intent and capacity to perform in the initial trusting action of Pioneers-USA. To this same extent, we can see evidence in this case that trusting action was indirectly impacting trust through the antecedents of benevolent intent and capacity to perform.

Likewise, shared values and initial trusting action also impacted the partners' perceptions of integrity as an antecedent of organizational trust. Integrity is a party's adherence to a set of principles morally acceptable to the one who trusts another (McFall, 1987). This is the form of integrity that McFall referred to as *moral integrity*. From the outset of this case, the moral principles of Pioneers-USA and the CDC were readily acceptable to each other as like-minded, faith-based charitable organizations. Richardson (2002) has expressed the following as being integral to Pioneers-USA's core values: "Pioneers strives to proclaim Biblical truth, evidenced by integrity in lifestyle and relationships. . . . We want to trust and honor Him [God] in everything we do" (p. 3). For these reasons, it is clear that these two Christian organizations imported strong expectations about integrity into the relationship of trust based on their strong commonality of belief in their faith-based moral values and their shared worldview, which became very important in creating initial trust in the early stage of forming the partnership.

Timing also plays a role in regards to how trusting action affects the traditional antecedents of trust. Because parties form their perceptions of integrity early in the relationship, Mayer et al. (1995) contended that integrity should play a more important role in generating trust than demonstrations of benevolent intent (i.e., concern for the welfare of others). Conversely, according to Jarvenpaa et al. (1998), it normally takes more time for benevolence to affect trust. If these dynamics are true, then they may partly explain the observation by Meyerson et al. (1996) that efforts at supporting or demonstrating care for group members become less relevant in the specific context of establishing swift trust. However, in the present case, Pioneers-USA was proactively seeking a transnational partnership with the explicit and demonstrated purpose of finding opportunities for outreach and assistance to Iraqis in the post-war recovery. So, the CDC could readily and reasonably infer benevolent intent from Pioneers-USA having traveled to Baghdad and initiated contact with the CDC. This is consistent with the conclusion by Jarvenpaa and Leidner (1999) that member-care (benevolence) and swift trust do seem to complement each other. On the other hand, the findings of this case do not seem consistent with the prediction by Jarvenpaa et al. that manifestations of integrity would likely play a more important role in

generating trust than demonstrations of benevolence. The evidence here is inconclusive as to whether the CDC inferred integrity through any of the initial trusting action by Pioneers-USA. It appears that integrity was more difficult for Pioneers-USA to overtly demonstrate than benevolence or ability, especially in such a short time. So, in this case, the most obvious explanation is that reciprocal trusting actions moved the parties along a process so quickly that integrity manifested through trusting action probably could not clearly emerge fast enough to have an early impact. This explains why moral integrity perceived cognitively through shared mission and common values likely had more effect here than integrity perceived through the initial trusting action by Pioneers-USA.

Other evidence in this case suggests, however, that as more time passed; the CDC could observe integrity through behavior manifested by Pioneers-USA through leadership style. Pioneers-USA's core value emphasizing servant leadership presupposes that whatever the individual leader's style, genuine concern for others is something that members of an organization can readily discern. Indeed, according to Richardson (2002), "this is the bottom line in Christian leadership" (pp. 21-22). Values such as these expressed by one of the key organizational leaders, and as manifested through the actions of the organization's leaders, will strengthen perceived integrity as a requisite of the trusting relationship. Ultimately, the leaders reinforce and prove the words through demonstrated leadership behavior manifested to a partner.

In sum, the affirmation of shared mission and values held by the two parties in this case reinforced the accuracy of the inferences they were reasonably drawing from each other's initial trusting action. The findings in this case underscore the importance of how initial trusting action can and does affect directly the relationship of trust. But, this case also shows how the parties were able to make reasonable inferences from each other's trusting action and develop perceptions about the other's integrity, caring concern for others, and ability to follow through on commitments in the partnership. Thus, the findings also highlight how initial trusting action operates indirectly through the parties' perceptions about the traditional antecedents of trust. Initial trusting action by a party and the traditional ingredients of a party's perceived trustworthiness were present and operative in this case as antecedents in generating the initial relational trust that was essential to achieving the transnational partnership.

Limitations and Implications for Future Studies

A limitation of this study exists in regards to the survey data on organizational risk taking by Pioneers-USA. Kline and Saunders (1998) have not validated their instrument as a means of isolating and measuring discreet variables. Rather, they designed it for the broader diagnostic purpose of identifying organizational attitudes and dynamics including risk taking. However, this study's use of the survey was consistent with the instrument's intended diagnostic purpose and also elicited useful information about Pioneers-USA leaders' favorable subjective views on risk taking. A further limitation is that this study surveyed only organizational leaders within Pioneers-USA, a population that is a subset of the much larger population of organizational leaders in Pioneers internationally. On the other hand, Pioneers-USA is the specific organization that initiated and established the transnational partnership with the CDC. Also, by surveying the smaller population of Pioneers-USA leaders, the study was able to include nearly all of the leaders within the organization that actually formed the alliance with the CDC. These limitations, therefore, did not affect those findings and conclusions that are relevant to the central research question in the study.

A further limitation of this study is that it reports a single case on the process of initiating and forming one international strategic alliance. Additional case studies would provide further insight on the issue of how trusting action impacts organizations' ability to initiate new intercultural relationships of trust and successfully create new international strategic alliances. Further case studies and other research would also help to address the expressed need for more data on additional mechanisms involved in the process of initiating and forming alliances, as well as for more data explaining various mechanisms of how initial trusting action and risk-taking impact the antecedents of trust. Future studies could determine how organizations initiating alliances might learn to embrace swift trust from the outset or to trigger early the processes that can generate swift trust as an emergent but inchoate form of trust. In this regard, further research should also examine whether initial trusting action and swift trust are distinct from each other, as Jarvenpaa et al. (1998) depicted these concepts in their model. Finally, additional research could further illuminate how initial trusting action and risk taking in relationship affect the long-term relationships of trust and how experiences in trusting action and risk taking eventually feed back into a cycle to affect future attempts to initiate transnational partnerships and international strategic alliances.

Conclusion

This article has presented the findings of a case study that focused on how, in the earliest stage of initiating a transnational or global partnership or an international strategic alliance, the initial trusting action of the leaders and members of the partnering organizations opened the way for an intercultural relationship of trust. This study achieves the goal of adding to an understanding of the importance of initial trusting action in building an initial relational trust between prospective transnational partners. From the outset, Pioneers-USA was proactive in initiating an international and intercultural relationship of trust that became the basis for a transnational partnership. Pioneers-USA and the CDC both manifested initial trusting action through early risk-taking behaviors and resource sharing that displayed a willingness to be vulnerable and interdependent. This case therefore supports the conclusion that initial trusting action between organizations plays a crucial role in overcoming the major obstacles to organizational trust and proved indispensable to the parties moving quickly into the initial relational trust they achieved.

The facts of this case illustrate the importance of organizational leaders engaging purposefully and proactively in demonstrating initial trusting action and engaging risk taking in relationship at the earliest possible stage of the emerging alliance (see Mayer et al., 1995). The proactive initiatives and direct involvement of leaders in both organizations were integral to the initial trusting action that provided momentum toward achieving an initial relational trust (see Nielsen, 2001). The respective organizational leaders facilitated and even accelerated the process by encouraging and guiding initial trusting action toward an organizational relationship of trust. The leaders also served as catalysts for risk taking early in the relationship and reciprocated trusting action in response to initial trusting action exhibited by the other party. Without the initial trusting action and the reciprocal risk taking in relationship that was manifested by the organizations and encouraged by the organizational leaders, the significant external obstacles the parties confronted in a hostile environment might have completely blocked a new transnational partnership.

A further objective of this study was to determine whether initial trusting action by two prospective transnational partners functioned as an antecedent of trust. The findings of this case are consistent with the traditional antecedents of organizational trust identified by Mayer et al. (1995). The findings are also consistent with the model proposed by Jarvenpaa et al. (1998), which adopted the traditional antecedents but further identified initial trusting action as an additional antecedent of organizational trust. So, another key conclusion of this case study is that the initial trusting action by Pioneers-USA and the CDC functioned as a distinct and crucial antecedent to the relationship of trust, even before the mostly cognitive and affective traditional antecedents of trust could adequately develop. As the dynamic process of building organizational trust continued between Pioneers-USA and the CDC, the prospective partners were developing and adjusting their perceptions about each other's integrity, benevolence (caring concern), and ability to perform in a partnership. The evidence shows that the prospective partners' initial trusting action remained consistent with their expectations about shared mission and moral values. The parties' mutual affirmation of their shared mission and values as faith-based charitable organizations reinforced the accuracy of their perceptions as they observed each other's initial trusting action consistent with those values. The mechanisms one sees at work in this case, therefore, support Jarvenpaa et al.'s proposition that trusting action functions both directly as a nontraditional antecedent of trust and indirectly by enhancing the parties' early perceptions regarding the other's integrity, caring concern for others, and ability to follow through on commitments.

Within the dynamic process of developing an intercultural relationship of trust, initial trusting action displayed early in the process by the parties provided the momentum needed to surmount significant impediments to a trusting relationship including geographic distance, cross-cultural difference, and military conflict. Through proactive and reciprocal trusting action; the parties overcame the distrust that was inherent within a hostile, low-trust external environment. Initial trusting action, therefore, proved to be a crucial component by which the two organizations rapidly achieved initial relational trust and ultimately created a new transnational partnership.

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Democratic Leadership: The Lessons of Exemplary Models for Democratic Governance

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Since leadership plays a vital role in democratic movements, understanding the nature of democratic leadership is essential. However, the definition of democratic leadership is unclear (Gastil, 1994). Also, little research has defined democratic leadership in the context of democratic movements. The leadership literature has paid no attention to democratic leadership in such movements, focusing on democratic leadership within small groups and organizations. This study proposes a framework of democratic leadership in democratic movements. The framework includes contexts, motivations, characteristics, and outcomes of democratic leadership. The study considers sacrifice, courage, symbolism, citizen participation, and vision as major characteristics in the display of democratic leadership in various political, social, and cultural contexts. Applying the framework to Nelson Mandela, Lech Walesa, and Dae Jung Kim; the study considers them as exemplary models of democratic leadership in democratic movements for achieving democracy. They have showed crucial characteristics of democratic leadership, offering lessons for democratic governance.

In the 1980s and 1990s, across the world, democratic movements have contributed to promoting human rights, liberty, freedom, and democracy in developing countries. Democratic movements have accounted for the historical progress of democracy (Minier, 2001). In some countries, citizens have fought against dictatorship, military regimes, and racial segregation. They have subverted autocratic and military governments and contributed to the establishment of new democratic governments and institutions. The power of citizens has been the key factor in promoting democratically social changes and democratic systems (Fox & Brown, 2000; Wiseman, 1996). Leaders in democratic movements have organized the power of citizens and have struggled for democracy.

Since democratic leadership plays a critical role in democratic movements (Adorno, 1965; Gastil, 1994; Kunter, 1965), reviewing the definition of democratic leadership is essential to understanding both democratic leadership and the progress made in democratic movements. However, while the definition of democratic leadership is inconsistent and inadequate in the leadership literature, there is no clear and well-developed definition of the term (Gastil). Some

literary accounts have distinguished democratic leadership from autocratic and laissez-faire leadership (Bass, 1990).

Democratic leadership in the leadership literature cannot explain "democratic leadership in democratic movements" (DLDM). While literature has underlined democratic leadership's characteristics within small groups and organizations, it has ignored other demonstrated characteristics in democratic movements for achieving democratic values. The purpose of this study is to define DLDM and introduce exemplary models of democratic leadership for achieving democracy in political, socioeconomical, and cultural contexts.

This study defines DLDM as a political relationship among leaders and followers for achieving democracy through sacrifice, courage, symbolism, participation, and vision. The study also defines democratic movements as public struggles that are explicitly prodemocracy for democratic reforms, direct elections, and political liberalization in which participants express these demands for democracy physically, for instance, by public demonstration (Minier, 2001).

First, the study provides background information and reviews the definitions of democratic leadership found in the literature. Second, this study proposes a framework of DLDM. The framework includes the contexts, motivations, characteristics, and outcomes of DLDM. Third, the exemplary models of DLDM are presented to apply the framework. The models are Nelson Mandela of South Africa, Lech Walesa of Poland, and Dae Jung Kim of South Korea. Mandela, Walesa, and Kim have contributed to the progress of democracy in their countries. Fourth, the characteristics of democratic leadership that were shown by Mandela, Walesa, and Kim are discussed and compared with the framework of DLDM. Finally, the study identifies the unique questions and problems raised by the definition of DLDM that are topics for future research.

Background

Leadership is one of the world's oldest preoccupations and a universal phenomenon in humans (Bass, 1990). From ancient to modern history, leadership has played an integral role in developing groups, societies, and nations. Over centuries, leadership has been defined in terms of leaders' behaviors. Bass attempted to define the concept of leadership from the classics of Western, Egyptian, Greek, and Chinese literature as early as the 6th century BC. The Old and New Testaments and the classics of Homer, Plato, Aristotle, and Confucius noted the roles of leaders.

As civilization and administration intricately and intimately develop in history and flow through history (Waldo, 2001), leadership also emerges. Although the *Oxford English Dictionary* noted the appearance of the word *leader* in the English language as early as the year 1300, the word *leadership* did not appear until about 1800 (Bass, 1990; Stogdill, 1974). Concepts of leadership can be traced back to ancient history, but definitions and classifications of leadership start from the early 20th century (Rost, 1991). In the past 50 years, there have been as many as 65 different classification systems to define the dimensions of leadership (Northouse, 1997).

As with the definitions of leadership, the definitions of democratic leadership are also dynamic and abundant. For instance, from 1938 to 1985, there were 29 different definitions and styles of democratic leadership (Bass, 1990). Luthans (1998) reviewed 8 different democratic leadership styles drawn from the classic studies and theories of leadership. These different definitions and styles have contributed to the fact that there has been no clear, well-developed definition of democratic leadership (Gastil, 1994). Furthermore, a recent meta-analysis reached

similar conclusions that there have been conceptual ambiguity and operational inconsistency over the last 4 decades of research on democratic leadership (Gastil).

While these different definitions and styles have focused on only the characteristics of democratic leadership within small groups and organizations, the leadership literature has paid no attention to democratic leadership in the diverse context of democratic movements. Thus, it is essential for researchers to address this issue; especially in different political, socioeconomical, and cultural situations and environments around the world.

Democratic Versus Autocratic Leadership Clusters

The notions of autocracy and democracy have been used openly to distinguish democratic leadership from autocratic leadership. White and Lippitt (1960) distinguished democratic leadership in terms of autocratic and laissez-faire leadership. Autocracy implies a high degree of control by the leaders without much freedom or participation of members in group decisions. Both democratic and laissez-faire leadership imply a low degree of control by the leader. Democracy is distinguished from laissez-faire, however, by the fact that a democratic leader is very active in stimulating group discussion and group decisions; a laissez-faire leader plays a passive, hands-off role (White & Lippitt).

The definitions of democratic leadership conceptualized by White and Lippitt (1960) emphasize group participation, discussion, and group decisions encouraged by the leader. On the other hand, an autocratic leader keeps tight control over group decisions and activities. The autocratic leader determines all policies, techniques, and activity steps and dictates the particular work tasks and work companions of each member. The autocratic leader tends to be personal in his or her praise and criticism of the work of each member but remains aloof from active group participation. However, the democratic leader tries to be a regular group member in spirit without doing too much of the work (White & Lippitt). While the main characteristic of the autocratic leader is the giving of orders, the major activity of the democratic leader is giving information or extending the knowledge of the members of his or her group. In practice, the distinctions between the roles of the autocratic and democratic leaders are not extreme. All roles of the autocratic and democratic leaders remain within the normal range of leaders' behaviors in different situations in a society (White & Lippitt).

White and Lippitt (1960) identified the autocratic leader with the authoritarian leader. Other literature has placed the autocratic leader and the authoritarian leader in the same category without distinguishing the differences between them (Anderson, 1959; Bass, 1990; Bell, 1965; Kunter, 1965; Stogdill, 1974). Authoritarian leaders depend on their power to coerce and their ability to persuade (Bass), whereas autocratic leaders solve the problem or make the decision by themselves using the information available at the time (Hughes, Ginnett, & Curphy, 1996). Another alternative to democratic leadership is undemocratic leadership (Gastil, 1994). Even though the dictionary definitions of autocratic, authoritarian, and undemocratic leadership differ from one to the other; coerciveness, control, and directiveness remain as the common characteristics of these three leadership styles.

On the other hand, the integral characteristic of democratic leadership is participation. Over several decades, control and participation have been defined as the main characteristics of autocratic and democratic leadership styles respectively. While participation is a core function of democratic leadership (Luthar, 1996), directive control and a top-down style with a heavy emphasis on command and control are the main characteristics of autocratic leadership. The

terms *participation* and *control* are dichotomized for simplifying democratic and autocratic leadership. The autocratic and democratic dichotomy has been viewed as dominative versus integrative, employer centered versus employee centered, teacher centered versus learner centered, therapist centered versus client centered, supervisory versus participatory, and directive versus nondirective (Anderson, 1959).

The alternative styles of democratic leadership are group or educational leadership, participative leadership, servant leadership, nonconstitutive leadership, transformation leadership, super-leadership, and values leadership (Gastil, 1994). Describing path-goal theory; a framework for how leaders motivate subordinates to accomplish designated goals; Northouse (1997) defined directive, supportive, participative, and achievement-oriented leadership as leadership behaviors derived from the theory.

However, Gastil (1994) argued that the most common name for alternative styles may be democratic leadership which has appeared repeatedly during the last 70 years. Bass (1990) reviewed permissive leadership, Likert's systems III and IV, open leadership, maintenance leadership, and supportive leadership as the cluster of democratic leadership. Bass listed the concepts of autocratic and democratic leadership established in the leadership literature. He focused on work-related and person-related concepts to cluster autocratic and democratic leadership.

The autocratic leadership cluster is described as authoritarian, directive, production centered, coercive, punitive, cold, task-oriented, persuasive, charismatic, and closed (Bass, 1990). McGregor's theory X and Y are reviewed as autocratic and democratic leadership respectively, and "democratic leaders are Theory Y ideologists" (Bass, p. 417). The democratic leadership cluster is described as employee centered, permissive, nonpunitive, supportive, nondirective, relations oriented, participative, consultative, and open (Bass).

The cluster of autocratic and democratic leadership described by Luthans (1998) focuses on boss-centered and subordinate-centered leadership. Luthans also included Theory Y, participative and supportive leadership, to the cluster of democratic leadership. These alternative styles of democratic leadership make it difficult to define democratic leadership in a word.

Characteristics of Democratic Leadership

Anderson (1959) defined the democratic leader as one who shares decision making with the other members. He asserted that democratic leadership is associated with higher morale in most situations. He denied that democratic leadership is associated with low productivity and high morale and that authoritarian leadership is associated with high productivity and low morale. Hackman and Johnson (1996) supported Anderson's explanation of the relationship between democratic leadership and productivity.

Democratic leadership is associated with increased follower productivity, satisfaction, involvement, and commitment (Hackman & Johnson, 1996). Member satisfaction and nominations for leadership are greater under democratic leadership (Bass, 1990; Stogdill, 1974). Although the significant drawbacks to democratic leadership are time consuming activities and lengthy debate over policy, participation plays a key role for increasing the productivity of leadership (Denhardt & Denhardt, 2003; Hackman & Johnson).

As noted earlier, participation is a core characteristic of democratic leadership; and the ideal of democratic leadership is friendly, helpful, and encouraging participation (Luthar, 1996). Furthermore; Wilson, George, Wellins, and Byham (1994) categorized autocratic leadership,

participative leadership, and high involvement leadership by the level of participation encouraged by the leader. Chemers (1984) also defined democratic leadership as emphasizing group participation. Thus, participation is the major characteristic of democratic leadership (Bass, 1990).

On the other hand, Kuczmarski and Kuczmarski (1995) cited the characteristics of a democratic leader as knowledgeable, influential, stimulating, a winner of cooperation, a provider of logical consequences, encouraging, permitting of self-determination, guiding, a good listener and respecting, and situation-centered. Gastil (1994) defined the characteristics of democratic leadership as distributing responsibility among the membership, empowering group members, and aiding the group's decision-making process.

The varied characteristics of democratic leadership contribute to the fact that there has been no clear definition of democratic leadership. Gastil (1994) argued that "the absence of a clear definition may have also contributed to the decreased amount of research on democratic leadership" (p. 956).

DLDM Rather Than in Small Organizations

The characteristics of democratic leadership tend to be derived from the phenomenon within small groups and organizations. The conceptualization of democratic leadership as being about participation and member-relations underscores only a few group behaviors in small organizations rather than large political, economical, and social dimensions. The characteristics of participation and control in democratic and autocratic leadership within small organizations are not adequate to explain the role of DLDM in major social changes.

The context of democratic movements and social changes produces totally different political, socioeconomical, and cultural situations and environments as opposed to the context of small organizations. The generalization of democratic leadership as participation overlooks the critical characteristics of DLDM because democratic leadership, like democracy itself, grows better in some social, economic, and political environments than in a small group or organization (Gastil, 1994). "If the democratic leadership spreads through economic, political, and cultural networks, it may make people even more prepared for democratic social change, making democratic leadership increasingly viable" (Gastil, p. 971).

Democratic leadership does not grow in a single dimension and is essential in democratic movements for achieving democracy. Democratic enlightenment imposes very definite demands upon democratic leadership (Adorno, 1965). The French Revolution and the European underground movement were the results of resistance movements and democratic leadership (Kunter, 1965). Thus, democratic movements depend on democratic leadership; it enhances democratic values and the common good (Adorno).

However, the dynamics of democratic movements and democratic leadership are not well understood (Gastil, 1994). This study defines democratic movements as public struggles that are explicitly prodemocracy for democratic reforms, direct elections, and political liberalization in which participants express these demands for democracy physically (Minier, 2001). According to Minier, who defined democratic movements based on a wide range of historical and political sources, a democratic movement must satisfy three criteria: (a) the movement must be fairly large in scale relative to the population of the country; (b) the people in the movement must express their desire for democracy physically (i.e., widespread protests, demonstrations, or strikes) which demands the willingness of the people to endanger their physical safety for

achieving democracy; and (c) the movement should be explicitly prodemocracy in their calling for democracy reforms, direct elections, and political liberalization.

Some of the well known democratic movements include the work of the African National Congress and others in South Africa to end the nondemocratic system of apartheid from 1960 to 1990, the prodemocracy movement of solidarity against martial law in Poland during the 1980s, and the demonstration of white-collar workers and students for democracy in South Korea during the 1980s (Minier, 2001). This study pays attention to democratic leadership in such movements and considers Nelson Mandela in South Africa, Lech Walesa in Poland, and Dae Jung Kim in South Korea as exemplary models of DLDM.

Democratic leadership plays an integral role in achieving democracy because leadership is associated with public values, freedom, equality, and justice (Denhardt & Denhardt, 2003). As public officials create public value (Moore, 2000), democratic leaders create democratic value. Democratic leadership relies on the fundamental value of democracy that is "a striving toward equality and freedom" (Waldo, 2001, p. 86).

Democratic leadership in small groups and organizations emphasizes group participation and member relationships, but it ignores the dimensions of democratic movements. Through the lens of groups and organizational behaviors, democratic leadership cannot adequately explain the dynamic dimensions of democratic movements because DLDM needs different characteristics for achieving democratic value, freedom, equality, and justice. These characteristics include sacrifice, courage, symbolism, participation, and vision. The following section proposes a framework of democratic leadership identified in democratic movements from the different lenses of political, socioeconomical, and cultural contexts.

A Framework of DLDM

This study proposes a framework of DLDM shown in Figure 1. DLDM consists of contexts, motivations, characteristics, outcomes, and leader-follower interactions. The horizontal arrows in the framework depict an influence on another construct, whereas the vertical arrows indicate the interactions between leaders and followers who engage in the motivations and characteristics of DLDM. Given the framework, this study defines DLDM as a political and social relationship among leaders and followers for achieving democracy through sacrifice, courage, symbolism, participation, and vision. The relationship implies that a leader affects and is affected by followers (Northouse, 1997). The relationship emphasizes that DLDM is an interactive event for democracy between the leaders and followers.

The contexts, motivations, characteristics, and outcomes of DLDM are interconnected with each other. The political, socioeconomic, and cultural contexts lead the leaders and followers to desire more democracy (Minier, 2001). The demand for democracy is the fundamental motivation of DLDM. The demand for democracy seeks certain outcomes that include democratic reforms, direct elections, and political liberalization. The outcomes enhance human rights and the pursuit of happiness of the people in a democratic society. The outcomes are essential for the progress of democracy. In this study, democracy means to entail a rule of law, promotion of civil and political liberties, and free and fair election; democratic progress is to promote legal, administrative, and social changes toward greater justice (Young, 2000).
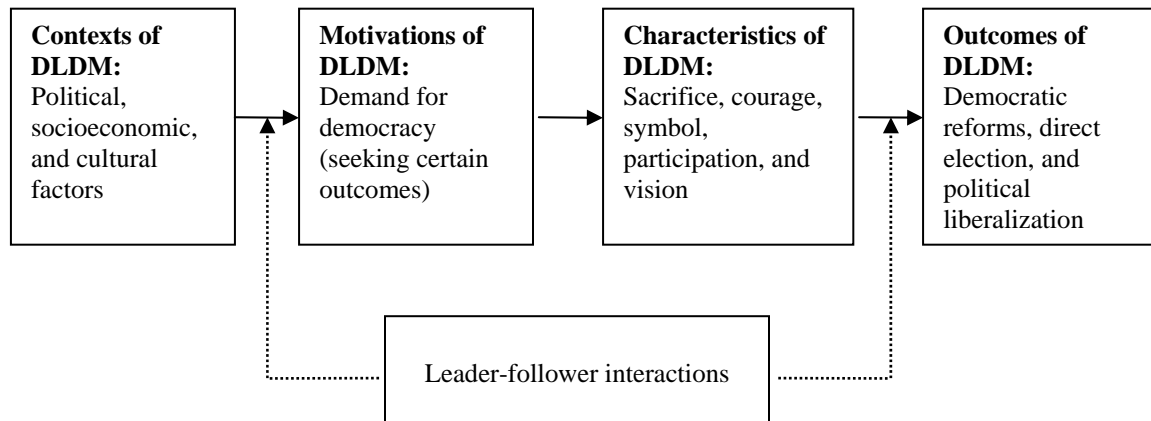
Figure 1. Framework of DLDM.

The political philosophy of John Locke; who asserted that the purpose of government is to protect life, liberty, and the pursuit of happiness; has influenced the basic principles of modern democracy and government (Griffith, 1998). According to Locke's political philosophy and the Declaration of Independence; when a form of government becomes destructive of these purposes, it is the right of the people to alter or abolish it and institute new government (Griffith; Lee & Rosenbloom, 2005).

Democratic movements are directly related to the political philosophy for establishing modern democracy and government (Minier, 2001). Democratic movements seek the demand for democracy under undemocratic situations and undemocratic government. Undemocratic situations create political, socioeconomical, and cultural contexts of democratic movements that require critical characteristics of democratic leadership. The characteristics of DLDM are sacrifice, courage, symbolism, participation, and vision. These characteristics are essential to achieve democracy in democratic movements and play a significant role in the political, socioeconomic, and cultural context of DLDM.

First, under undemocratic government or in situations of political oppression, achieving democracy demands tremendous sacrifice and courage on the part of democratic leaders as well as followers. The military regimes and dictators in the world in the past decades forfeited civil rights, freedom of speech, and democratic principles. Around the world, we are observing that democratic leaders have sacrificed and struggled against dictatorship and for democratic government.

During the 1970s, 1980s, and 1990s; from South Africa to South Korea and from Eastern Communist nations to South Asian nations; many political prisoners made sacrifices for democracy (Minier, 2001). They were democratic leaders striving to achieve democratic values. Progress toward democracy meant making the sacrifice for it. Sacrifice involves courage. "Socrates said the first virtue is courage, and so he had to show courage in dying for what he believed" (Chandler, 1992, p. 68).

Second, organizational culture is recognized as a major dimension for the understanding and practice of leadership (Bass, 1990, Cameron & Quinn, 1999; Schein, 1985; Yukl, 2002).

Most definitions of organizational culture refer to a system of shared values and beliefs that produce norms of behavior in the organization (Bass; Koberg & Chusmir, 1987; Luthans, Peterson, & Ibrayeva, 1998; Schein, 1985). The created culture of the organization exerts an influence on the leader and shapes his or her actions and styles (Ogbonna & Harris, 2000; Schein, 1992). In a large scale organization such as a democratic movement, democratic leaders function as a model or symbol (Bell, 1965; Morgan, 1998).

Third, supportive culture is related to participation and involvement of followers (Cameron & Quinn, 1999; Shadur, Kienzle, & Rodwell, 1999). Supportive culture produces a friendly place where people share their values and encourage participation (Cameron & Quinn). Participation is an essential characteristic of democratic leadership. Courage and symbolism associated with democratic leadership comprise the power and influence to encourage participation and the premises for participation in democratic movements.

Finally, the most common characteristic of leadership is vision (Bass, 1990; Northhouse, 1997; Yukl, 2002). Under undemocratic and undeveloped economic situations; democratic leadership involves a vision for democratic values, human rights, equality, freedom, and welfare. The vision of democratic leadership is enhanced with courage and participation. Democratic leaders not only create a vision, they also inculcate it in the hearts of followers. Societies, governments, and nations that have to consolidate and guarantee the principle of democracy are the ultimate vision of leadership (Denhardt & Denhardt, 2003). This vision cannot be accomplished without courage, participation, and the interactions between democratic leaders and followers in democratic movements.

These five characteristics of DLDM play a critical role in achieving the outcomes of democratic leadership. As previously noted; the outcomes refer to democratic reforms, direct election, and political liberalization that are the main goals of the demand for democracy. The outcomes and the demand are directly interconnected in democratic movements because the demand seeks certain outcomes of the progress of democracy. The desired outcomes are aspects of democratic governance that entail democratic citizenship, democratic accountability, civic engagement, and the public interest (deLeon & Denhardt, 2000).

Interactions Between Democratic Leaders and Followers

The characteristics of DLDM require interactions between leaders and followers. First, under democratic movements, people who desire more democracy and follow democratic leaders also make sacrifices for achieving democracy. Democracy emerges with the blood of people since dictatorship in undemocratic government oppresses democratic movements, democratic leaders, and followers to retain undemocratic authority.

Autocratic leaders will not tolerate any reinterpretations that might reduce their effective control (Kunter, 1965). Some people oppose democratic leadership because it directly threatens their undemocratic government (Gastil, 1994). Without sacrifice and courage by democratic leaders and followers in democratic movements, democracy vanishes into the centralized control of dictatorial and military regimes. Gawthrop (1998) argued that "the pathway to the common good demands considerable personal sacrifice with the hope of attaining a happiness and peace at some future point in time" (pp. 136-137).

Additionally, a symbol is created based on shared values and beliefs among democratic leaders and citizens. Citizens depend on leaders to protect their security, welfare, and basic interests (Dobel, 1998). While a democratic leader attempts to achieve democracy and to protect

the rights of the people, his or her tremendous enthusiasm becomes a symbol in democratic movements.

The sacrifice and enthusiasm of the democratic leader for democracy influence followers to respect and to symbolize him or her in the progress of democratic movements. The democratic leader wields a form of symbolic power that exerts a decisive influence on how people perceive their realities and the way they act (Morgan, 1998). The behaviors of the democratic leader become messages and directions for followers to act upon to achieve democracy. The behaviors and symbol of the democratic leader contribute to persuading followers who prefer democratic outcomes to participate in democratic movements. Thus, democratic leadership creates a symbol for democracy.

Since democratic movements are a great wave for social change, democratic leaders cannot move forward without the participation of followers. Thousands of people have embraced the desire to achieve democratic value around the world. Democratic leaders and followers work together to establish their democratic institutions. Participation is not only a core function during social change (Luthar, 1996), it is the power to build a democratic society. Participation is encouraged by the sacrifice, courage, symbolism, and vision of the democratic leaders in democratic movements.

Finally, the vision for democracy is a fundamental characteristic of democratic leadership since it creates the environment that leaders and followers pursue to improve their society and nation in terms of the demand for democracy. Achieving a vision requires motivation and inspiration; keeping people moving in the right direction despite major obstacles to change by appealing to basic but often untapped human needs, values, and emotions (Kotter, 1990). The interactions between democratic leaders and followers in democratic movements consolidate the vision for democracy during the process of the movement despite tremendous obstacles.

Exemplary Models of DLDM: Mandela, Walesa, and Kim

The roles of democratic leaders in democratic movements have been significant for the progress of democracy. Most of these leaders not only devoted themselves to democracy but also sacrificed themselves for enhancing democracy. Although the leadership styles of these leaders differed, the general principle of leadership focused on democratic value that entails human rights and establishes democratic government and societies.

In democratic movements during the 1980s and 1990s, democratic leaders extended democratic principles and progresses. Nelson Mandela of South Africa, Lech Walesa of Poland, and Dae Jung Kim of South Korea exemplified democratic leadership that shined as an example of the progress for democracy in democratic movements.

Nelson Mandela

Nelson Mandela was born on July 25, 1919 in Transkei, South Africa. He was educated at University College of Fort Hare and the University of Witwatersrand and qualified in law in 1942. In 1944, he joined the antiapartheid African National Congress (ANC). He was engaged in resistance against the ruling national party's apartheid policies after 1948. He went on trial for treason in 1956-1961 and was acquitted in 1961. From 1964 to 1990, he was incarcerated at Robben Island Prison for his conviction for democracy and antiapartheid.

During his years in prison, he was widely accepted as the most significant black leader in South Africa and became a potent symbol of resistance as the antiapartheid movement gathered strength (Les Prix Nobel, 1993). Mandela was released on February 18, 1990. After 27 years in prison, he became the president of the ANC and strived to attain the peaceful termination of the apartheid regime and the foundations for a new democratic South Africa.

In 1993, Mandela shared the Nobel Peace Prize with F. W. de Klerk for dismantling apartheid. The Norwegian Nobel Committee (1993) explained that the Nobel Peace Prize for 1993 was awarded to them in recognition of their efforts and as a pledge of support for the forces of good, in the hope that the advance towards equality and democracy would reach its goal in the very near future. In his Nobel lecture, Mandela (1993) reported,

> We devote what remains of our lives to the use of our country's unique and painful experience to demonstrate, in practice, that the normal condition for human existence is democracy, justice, peace, non-racism, non-sexism, prosperity for everybody, a healthy environment and equality and solidarity among the peoples. (p. 3)

In 1994, Mandela became the first democratically elected President of South Africa. The life of Nelson Mandela has grown the ideas of antiapartheid, sacrifice, equality, freedom, liberty, and democracy. In his speech at the Rivonia Trial in 1963, Mandela proclaimed (as cited in Brink, 1998),

> During my lifetime I have dedicated myself to the struggle of the African people. I have fought against white domination, and I have fought against black domination. I have cherished the ideal of a democratic and free society in which all persons live together in harmony and with equal opportunities. It is an ideal which I hope to live for and to achieve. But, if needs be, it is an ideal for which I am prepared to die. (p. 190)

Mandela's ideal was a national vision as well as a world principle of democracy. Mandela has shown us great sacrifice, political courage, symbolism, and vision for the progress of democracy in South Africa. Hallengren (1999) remarked,

> We see how one man's remarkable life has reached its fulfillment and has blossomed into a national vision. Inspired by myriad influences, taking the best from both his Native heritage, from the example of foreign freedom movements, and even from the history and literature of his oppressors, Nelson Mandela forged a vision of humanity that encompasses all peoples and that sets the hallmark for the rest of the world. (p. 8)

> Despite his devotion to democracy and equality, the members of the ANC sometimes criticized him.

> Mandela was accused of being an autocrat because he did not properly consult other ANC delegates in consultative group at the talks. In July 1991, at the first national conference of the ANC to be held in South Africa in thirty years, he was again criticized for not properly consulting with local branches of the ANC. (Glad & Blanton, 1997, p. 7)

However, the criticism did not challenge his role as the political and moral leader of the ANC (Glad & Blanton). "Given his lifetime of service in the name of freedom, Mandela deserves such gratitude. Yet no amount of praise will change the fact that he is, like all human beings, flawed" (Contreras, 1994, p. 12).

In sum, Mandela showed some characteristics of DLDM with the tremendous support of his followers. He and his followers sacrificed themselves against the apartheid system of government in South Africa. He was symbolized as the leader of South Africa against the system and for democratic reforms. The ongoing democratic movements continued and were repressed until the government began talk with the ANC and opposition in 1990 (Minier, 2001). As a result,

the people of South Africa abolished the apartheid system, achieved political rights, and held the direct and fair election that made Mandela the president.

Lech Walesa

To compare Nelson Mandela with Lech Walesa, Sikorski (1990) pointed out that Mandela could take his cue from Walesa who was facing the most difficult period of his career. Since Lech Walesa opened the gates of democracy in Poland before Mandela's release from prison in 1990, the conditions for Walesa's strategy of moral revolution were far more favorable in South Africa than in Poland (Sikorski).

During the 1980s, Walesa's contribution to the end of communism in Europe and the end of the cold war stands beside those of his fellow Pole, Pope John Paul II, and the Soviet leader Mikhail Gorbachev (Ash, 1998). Walesa was born on September 29, 1943 in Popowo, Poland. He worked as a car mechanic from 1961 to 1965 after graduating from vocational school. During the clash in December 1970 between the workers and the government, he was one of the leaders of the shipyard workers and briefly detained.

In 1978, with other activists, he began to organize free noncommunist trade unions. However, he was kept under surveillance by the state security service and frequently detained (Les Prix Nobel, 1983). In 1980, he became the leader of Solidarity whose primary demands were for workers' rights. The communist authorities were forced to capitulate and negotiate with Walesa the Gdansk Agreement of August 21, 1980 which gave the workers the right to strike and to organize their own independent union (Les Prix Nobel). However, in 1981, martial law suspended Solidarity; and the government arrested many of its leaders. Walesa was interned for 11 months in a country house in a remote spot. Yet, Solidarity would not die, and Walesa remained as its symbol (Ash, 1998). He was awarded the Nobel Peace Prize in 1983. Aarvik (1983) suggested that Walesa contributed to the establishment of the universal freedom to organize in all countries as the cornerstone in the building of freedom and democracy in the world.

The announcement of Walesa's Nobel Prize raised the spirits of the underground movement, but the award was attacked by the government press (Les Prix Nobel, 1983). In 1989, Solidarity was legalized. The result was the holding of parliamentary elections that led to the establishment of a noncommunist government (Les Prix Nobel). In 1990, Walesa was elected President of the Republic of Poland. In 1995, he was defeated in a presidential election.

Ash (1998) noted that during his presidency, Walesa developed close links with the military and security services; and his political career was controversial. "His critics accused him of being authoritarian, a President with an ax" (Ash, p. 181). Walesa's demise was the result of several factors including his authoritarian tendencies, his desire to hold onto power for as long as possible, and his disrespect for political opponents (Mihas, 1998). Walesa's autocratic style alienated many Poles (Husarska, 1994; Nemeth, 1990; Pope, 1990). Even though Walesa was criticized for his autocratic style, he was an example of someone who was magnificent in the struggle for freedom and the establishment for a stable democracy (Ash). Ash noted that

> Without him, Solidarity might never have been born. Without him, it might not have survived martial law and come back triumphantly to negotiate the transition from communism to democracy. And without the Polish icebreaking, Eastern Europe might still be frozen in a Soviet sphere of influence, and the world would be a very different place. With all Walesa's personal faults, his legacy is a huge gain in freedom. (p. 181)

Walesa represented peaceful courage, human value, and human rights. Aarvik (1983) pointed out that "the power of Walesa's belief and vision was unweakened. His actions have become a chapter in the history of international labor, and the future will recognize his name among those who contributed to humanity's legacy of freedom" (p. 3).

In sum, Walesa's personal behavior in the autocratic style cannot reduce his achievements and his legacy for inspiring human rights, freedom, and democracy. Walesa's democratic leadership with the support of his followers contributed to abolishing martial law, legalizing Solidarity, and holding parliamentary elections that led to the establishment of democratic government in Poland.

Dae Jung Kim

Kim's story has much in common with the experience of Nelson Mandela, Andrei Sakharov, and Mahatma Gandhi (Berge, 2000). Kim was born on January 5, 1925 in South Korea. In the 1950s, when Kim ran for election to the national assembly, the police were used to prevent support for any other candidates than the regime's own (Berge). He was not elected until 1961, but that success was short-lived since a military coup 3 days later led to the dissolution of the assembly. In 1971, Kim ran in the presidential election, winning 46% of the votes despite considerable ballot rigging. This made him a serious threat to the military regime. As a result, he spent many long years in prison, in house arrest, and in exile in Japan and the United States. But, Kim kept up his outspoken opposition to the military regime (Berge). D. J. Kim (2000) said,

> Five times I faced near death at the hands of dictators, six years I spent in prison, and forty years I lived under house arrest or in exile and under constant surveillance. I could not have endured the hardship without the support of my people and the encouragement of fellow democrats around the world. (p. 3)

In 1980, Kim was sentenced to death by the military regime. The military regime sought to execute Kim on tromped-up sedition charges, blaming him for that year's democratic movements in the southwestern city of Kwangju. The military regime used Kim's death sentence as a bargaining chip to coax an early state visit out of the incoming Reagan administration to shore up its legitimacy (Cumings & Mesler, 1998). After coming back to Seoul from his exile in the United States in 1985, Kim was under house arrest for the next 2 years, prevented from attending any rallies or writing anything in the Korean press until the military regime was overthrown.

Kim ran in the presidential elections of 1987 and 1992 and was defeated. "If no military regime stood in his way, the argument was used against him, in a country of sharp regional divisions, that he came from the wrong region" (Berge, 2000, p. 2). Finally, in 1997, Kim was elected President of South Korea. "His election in 1997 as the republic's president marked South Korea's definitive entry among the world's democracies. As president, Kim Dae Jung has sought to consolidate democratic government and to promote internal reconciliation within South Korea" (Norwegian Nobel Committee, 2000, p. 1).

Moreover, Shriver and Shriver (1998) pointed out that "the past decade has seen at least three unpredicted, impossible political events: the fall of the Berlin Wall, the election of Nelson Mandela as president of South Africa, and the election of Kim as president of South Korea" (p. 1). Kim was awarded the Nobel Peace Prize for his work not only for democracy and human rights in South Korea and in East Asia but also for peace and reconciliation with North Korea. Kim's endless sacrifice and struggle for democracy and human rights became one of the symbols

for Asian democracy. D. J. Kim (2000) stressed the fact that democracy is the absolute value that makes for human dignity as well as the only road to sustained economic development and social justice.

Despite Kim's democratic and economic reforms, criticism emerged from his political style. H. N. Kim (2000) argued that contrary to his reputation as a champion of democracy, Kim's leadership style was not much different from the imperial presidents of his authoritarian predecessors. Kim has proven vindictive toward opponents and has frequently used the investigative powers of state prosecutors and tax auditors to punish political opponents (H. N. Kim).

How the autocratic style of Kim negatively affected Korean democratic and economic reforms will be judged by history. While accepting the Nobel Peace Prize, D. J. Kim (2000) articulated,

> In all ages, in all places, he who lives a righteous life dedicated to his people and humanity may not be victorious, may meet a gruesome end in his life, but will be triumphant and honored in history; he who wins by injustice may dominate the present day, but history will always judge him to be a shameful loser. (p. 3)

In sum, Kim also showed the characteristics of DLDM like Mandela and Walesa. Kim consolidated democratic government and human rights in South Korea. Under the Korean democratic movements, Kim was symbolized as the democratic leader while he showed courage and vision for democracy to lead his followers to participate in the movement. Despite fatal threats to him from military government; Kim and the Korean people achieved direct election, democratic reforms, and political rights. As a result, Kim became the president of South Korea with the supports of his followers.

Discussion and Implications

Since DLDM is a process for achieving democracy; Mandela, Walesa, and Kim can be considered exemplary models of democratic leaders. Mandela, Walesa, and Kim showed great similarities during their lifetimes. They struggled for democracy and human rights, were awarded the Nobel Peace Prize, and became president of their respective countries. The resemblances raise questions about the characteristics, roles, and contributions of democratic leadership for achieving democratic value.

What are the key characteristics of democratic leadership for achieving democracy? Can the definition of democratic leadership in the leadership literature explain the roles of democratic leaders in democratic movements? Is democratic leadership relevant to productivity and effectiveness for improving democratic value? Generally, democratic leadership is placed in opposition to autocratic leadership (Bass, 1990; Gastile, 1994). However, why do Mandela, Walesa, and Kim each show both democratic and autocratic leadership during their lifetimes? Finally, what are the implications of democratic leadership to public administration for improving democratic value and governance?

Mandela, Walesa, and Kim have attempted to achieve democracy under political oppression and undeveloped economic situations through coalition of citizens' participation. The dictatorship or military regimes of their country produced unstable political and economical situations. With tremendous sacrifice and political courage, they have devoted themselves to antiapartheid, human rights, freedom, equality, and democracy. Their vision for democratic value positioned their struggles against dictators and military regimes. They became symbols and

champions of democracy. People in South Africa, Poland, and South Korea encouraged by Mandela, Walesa, and Kim participated in great waves of democratic movements (Minier, 2001).

The sacrifice, courage, and vision of Mandela, Walesa, and Kim were the motives for people's participation in democratic movements. Without the support and participation of people to work for democracy; Mandela, Walesa, and Kim could not achieve democracy and be elected president of their countries. Democracy comes from the bottom up through the sacrifices of millions of ordinary people (Cumings & Mesler, 1998).

Without the sacrifice, courage, and vision of Mandela, Walesa, and Kim for democracy; there could not be the progress made to protect human rights and secure equality in their countries. As a result; sacrifice, courage, and vision; as the characteristics of DLDM; play important roles in achieving democracy and in encouraging participation of the people. These characteristics of democratic leadership correlate with each other and contribute to creating supportive cultures among leaders and followers for achieving democracy.

For achieving democracy; sacrifice, courage, vision, symbolism, and participation are the critical characteristics of democratic leadership. Mandela, Walesa, and Kim not only demonstrated these characteristics of democratic leadership during their struggle for democracy; they also imbued their organizations with these characteristics. The demand for democracy in democratic movements motivated Mandela, Walesa, Kim, and their people to seek democratic outcomes. Table 1 describes demonstrated common characteristics of Mandela, Walesa, and Kim in democratic movements.

While the critical role of DLDM focuses on achieving democracy; the characteristics of democratic leadership that include sacrifice, courage, vision, symbolism, and participation play key roles for the expansion of democracy. These characteristics of democratic leadership bring about democratic value productively and effectively. The productiveness and effectiveness of democratic leadership demand a long-term process because the process toward democracy entails enduring hardships, patience, and sacrifice.

Democratic leaders try to overcome obstacles in front of them with the support of followers. Mandela, Walesa, and Kim's struggles for democracy have paved the democratic road productively and effectively throughout the decades. In the long run, the positive effects of democratic leadership are evident (Bass, 1990). We could not predict the progress of democracy in South Africa, Poland, and South Korea as well as the election of Mandela, Walesa, and Kim as democratic presidents in their countries. Democratic leadership accumulates its power productively and effectively during sudden democratic events.

However, political and economic experts have argued that the most effective way to undertake needed reforms during crises is through the use of an autocratic leadership with centralized control (Luthans et al., 1998). This study shows that Mandela, Walesa, and Kim; who are considered democratic leaders and have the characteristics of democratic leadership; are not immune to reverting to autocratic leadership.

Research about why democratic leaders become autocratic leaders has been limited. After becoming president, Walesa and Kim showed autocratic styles. Mandela was also criticized due to his autocratic style. The change from autocracy to democracy seemed to take somewhat more time than it takes to move from democracy to autocracy (Lewin, 1965). In this regard, democratic leaders may have the characteristics of autocratic leadership and could become autocratic leaders.

Table 1: *Demonstrated Characteristics of Democratic Leadership by Exemplary Models*

Model	Demonstrated Characteristics				Outcomes
	Sacrificing	Symbolism	Participation	Vision	
Nelson Mandela (1919-)	27 years in prison, against racist government	Symbol of South Africa and antiapartheid	Citizens and Antiapartheid African National Congress	Equality, nonracism, peace, democracy	Abolishing the apartheid system of government, direct and fair election
Lech Walesa (1949-)	Interned for 11 months and frequently under surveillance, against martial law	Symbol of solidarity and European workers	Workers and solidarity	Free trade union, worker's rights, freedom, democracy	Legalizing free trade union, improving worker's rights, abolishing martial law, direct election
Dae Jung Kim (1925-)	6 years in prison, 14 years in exile, 5 times facing near death by military regime, against military regime	Symbol of Korean and Asian democracy	Citizens and opposition party	Human rights, reunification of South and North Korea, democratic government	Direct election, democratic reforms, peace talk with North Korea

Autocratic and democratic leadership function differently with stratified economic purposes (Kellerman, 1984). In more democratic systems; there appears to be a disjunction between economic and political systems, and political leaders are less directly in control of economic matters (Kellerman). On the other hand, autocratic leadership systems seem to exist in societies where the economy is directly subordinated to the political leadership system (Kellerman). Sometimes, economic reform in developing countries is successfully achieved under dictatorial leadership (Luthans et al., 1998). To maintain order and stability, leaders revert to a form of autocratic leadership (Luthans et al., 1998).

The transformation from democratic leadership to autocratic leadership might be attributed to situations that leaders face dealing with economic crisis and traditional values (Luthans et al., 1998). According to Luthans et al. (1998), some of the past decade economic crises were leading many Koreans to yearn for the good old days of autocratic leadership. Second, because of an interest in avoiding ethnic conflict or upholding traditional cultural values, democratic leaders have had to exercise a directive and autocratic style as opposed to participative practices.

However, D. J. Kim (2000) emphasized democracy as the absolute value that makes the only road to sustained economic development. This study is limited in determining whether Mandela, Walesa, and Kim used an autocratic style as centralized control not only to solve economic crises but also to maintain traditional cultural values in their countries. Thus, the research about why a democratic leader becomes an autocratic leader will remain in the future.

The autocratic style that appeared in the behaviors of Mandela, Walesa, and Kim does not limit their contributions to democracy. Their sacrifice and courage for democratic values are lessons that are applicable to elected public officials as well as public managers who devote themselves to the common good. The characteristics of democratic leadership such as vision, symbolism, and participation also contribute to the development of public administration and democratic governance. Since the primary task of elected public officials and public managers is to make democracy suitable for modern conditions (Denhardt & Denhardt, 2003; Gawthrop, 1998); they might learn democratic leadership from Mandela, Walesa, and Kim.

Public officials might understand the enduring patience and sacrifice that are essential for serving the public. For example; at Ground Zero after the September 11 attacks; firefighters, police officers, and other public officials showed tremendous sacrifices to the public (Terry, 2002). While citizens were coming out of the fire, firefighters were going into the fire. We have eulogized the tremendous sacrifice of firefighters for serving the public.

On the other hand; public officials might encourage citizen participation in enhancing democratic governance, because government is us (Box, 1998; King & Stivers, 1998). They might apply democratic leadership to the efforts for promoting constitutional principles of democracy, equality, human rights, and freedom. The lessons that Mandela, Walesa, and Kim brought us are human dignity, democratic governance, and the process for improving democratic value. The application of democratic leadership to the field of public administration will expand the responsibility and accountability for democratic value and democratic governance.

Conclusion

During the 1980s and 1990s; Mandela, Walesa, and Kim played tremendous roles in achieving democracy. Their democratic leadership influenced the historical progress of democracy around the world. The definitions of democratic leadership in the literature have been limited in explaining the dynamic changes and progress in democratic movements as well as the roles of such democratic leaders. With the democratic leadership that Mandela, Walesa, and Kim have shown us; we should redefine the concept of democratic leadership and apply it to our current political and administrative contexts.

First, the definition of DLDM is a political and social relationship between democratic leaders and followers for achieving democracy. The relationship demands the essential characteristics of democratic leadership. Sacrifice, courage, symbolism, participation, and vision are the characteristics of democratic leadership. These characteristics strengthen the roles of public officials for creating public value.

Second; the fact that Mandela, Walesa, and Kim have shown autocratic styles during their lifetimes raises questions about the relationship between democratic and autocratic leadership. Why do democratic leaders become autocratic leaders? Can autocratic leaders become democratic leaders? What are the factors that influence democratic leaders to become autocratic leaders? For the price of economic development, can democratic value be replaced by dictatorship and coercive control? These questions should be answered to analyze the transformation from democratic leaders to autocratic leaders and vice versa.

Finally, the implication of democratic leadership for public administration is expanded democracy. The characteristics of democratic leadership remind public officials to seek their leadership roles in government for the purpose of expanding democratic governance. The process for achieving democracy and democratic governance entails responsibility as well as

accountability on the part of public officials, since public administration operates under the principles of democracy and constitution (Lee & Rosenbloom, 2005; Rohr, 1986; Terry, 2003).

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Notes

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Transformational Leaders: Their Socialization, Self-Concept, and Shaping Experiences

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This study uses a developmental perspective to study transformational leadership in the Indian context. It focuses on significant life experiences that have shaped leaders who have successfully transformed organizations. The personal experiences shared by leaders offer valuable insights on the role of family and childhood experiences that have had a sustained impact on their lives. The paper suggests that leaders do not emerge as a consequence of events or incidents but a journey of distinctive life experiences and processes. It concludes with a framework that weaves the antecedents of leadership that have enabled leaders to accomplish professional growth and success.

Leadership research on transformational leadership has focused on the content and impact of leaders. The emphasis has been on qualities and dispositions of leaders; how they influence change in organizations and how they inspire followers to increase their performance, motivation, and morale. The literature on leadership has been replete with the persona of transformational leaders. However, it is equally important to recognize how these leaders became who they are. With few exceptions, relatively less research has focused on the predictors of leadership. It would be pertinent to examine whether life experience or a genetic predisposition stimulates leadership. Is it incremental changes and day-to-day events that shape transformational leaders? Could specific events or crises be the driving force for leadership development? What is central to the life of a leader that makes him or her charismatic and inspiring? This paper uses a developmental approach to explain transformational leadership. Before examining the life experiences and changes that contribute to leadership development, it is appropriate to present a framework that differentiates transformational leaders.

Transformational Leadership: Conceptual Framework

The past decade has witnessed a paradigm shift with the emergence of new leadership theories such as transformational and charismatic leadership (Bryman, 1992). Although the terms *charisma* and *transformational leadership* are often used interchangeably, Bass (1985) made a distinction between them with charisma forming a subdimension of transformational leadership (Bass, 1985; Bass & Avolio, 1994). He presented a formal transformational leadership theory which, in addition to other things, also includes the models and factors of behavior. In many ways, transformational leadership transcends charismatic leadership because it is built around the notion that leaders and followers are held together by some higher level, shared goal, or mission rather than personal transaction. While charismatic leaders may not place emphasis on the development of followers and may also feel threatened by followers who become independent, transformational leaders support followers to develop self-reliance with the aim of transforming them. The notion of mission-driven leadership is at the heart of transformational leadership (P. V. Lewis, 1996). Transformational leadership is a far more complex process, the realization of which requires visionary and inspiring figures. P. V. Lewis asserted that the goal of a transformational leader is to transform people and organizations: change minds and hearts; enlarge vision, insight, and understanding; clarify purposes; make behavior congruent with beliefs, principles, and values; and bring about changes that are permanent, self-perpetuating, and momentum building. Avolio and Bass' (1995) classification of transformational leadership skills as the four I's follows.

Idealized influence represents followers' confidence and appreciation which form the basis for accepting radical change in organizations (P. V. Lewis, 1996). Leaders with idealized influence are honored, appreciated, and trusted. Followers admire them, identify with them, and try to imitate them (Halan, 2004). They do not use their position and abilities to achieve personal interests, but they direct them to use the potentials of their followers to achieve shared goals (P. V. Lewis, 1996). Bass (1998) emphasized that

> transformational leadership does not stop with the successful elevation of followers (from lower levels to higher levels). A shared agreement is developed that bonds leader and followers in a moral commitment to a cause that goes beyond their own self-interests. (p. 26)

Inspirational motivation is the ability to inspire and motivate followers to demonstrate appropriate behavior. Such behavior includes implicitly showing enthusiasm and optimism, stimulating teamwork, focusing on positive results, and emphasizing aims to stimulating followers. It is that component of leadership that arouses followers' enthusiasm and sense of team spirit and appeals to often untapped human needs, values, and emotions (Kotter, 2001). By giving attention to their need system, they touch the collective imagination of the people and help their employees make that extraordinary effort (Kets de Vries & Florent-Treacy, 2002). They move those who could not perform up to standard to positions where they could.

P. V. Lewis (1996) reported that transformational leaders intellectually challenge their followers, encourage reexamination of existent assumptions, and stretch their competencies to drive change in their way of thinking about issues and their performance; referred to as *intellectual stimulation*. Rather than protecting people from outside threats, leaders empower them to experience reality and take ownership for solving problems. Leaders disorient them so that new relationships can develop. Instead of maintaining norms, leaders challenge the way we do business and help others distinguish immutable values from historical practices that must be

discontinued. This style of leadership demonstrates risk-taking ability and lends dynamism to the organization (Khandwalla, 1984).

Individualized consideration is the ability to analyze followers. It is the ability of the leader to observe, analyze, and predict the needs and wishes of followers. The leader believes in people and is sensitive to their needs (Bennis & Nanus, 1985). The emphasis is on empathy and compassion balanced with honesty for the sake of the employees and their teams (Dayal, 1977; J. B. P. Sinha & Sinha, 1990). By their behavior, transformational leaders demonstrate acceptance of individual differences and assign the tasks in accordance with their personal affinities (Tichy & Devanna, 1986).

The Study

Although multiple forces at sociocultural levels influence the growth of an individual, development of the psyche is the product of the socialization process preponderantly. The socializing agents could be parents, friends, or peers and mentors in the workplace. Implicit in these forces is that individuals respond to life experiences according to their worldview or meaning-making system (Kegan & Lahey, 1984). This study examines the life experiences that have shaped the lives of leaders who have transformed organizations to build frameworks that exemplify the development of transformational leaders. Based on different leaders' own perspectives, it seeks answers to the following issues: (a) How do leaders develop? (b) Do life experiences or specific events/circumstances make a leader? and (c) What are leaders' self-perceptions and the drivers for their success?

This study was based on certain assumptions. First, positive parental influence lays the foundation for developing leadership. Second, life's challenges make transformational leaders resilient. Third, transformational leaders are self-driven and resourceful and have the capacity to leverage opportunities.

Method

From a published list of top leaders in the country, a sample of 20 leaders who are in service and have demonstrated outstanding contribution for organizational growth in corporate and nongovernment sectors was selected. An important criterion was to select leaders who were either based in Delhi or could be contacted during their visits to Delhi. A group of 5 academics and managers were asked to suggest 3 leaders from the selected list who they considered have been change masters. Thirteen names were finalized based on the following criteria: responsible for significant change in the organizations, leading by example, exhibiting strong ethical values, and demonstrating successful professional growth through their own efforts.

Each of the leaders in the final list was contacted through mail and telephone, drawing attention to the purpose and proposed outcome of the study. Affirmative responses were received from 10 leaders. Using an interview schedule (see Appendix), in-depth interviews spanning approximately 3 hours each were conducted. In a few instances, a second round of interviews was needed to obtain additional information or to seek clarifications. The interviews were recorded, and transcripts were sent to the respondents to determine any gaps in the data as well as to get their approval for using the information in a published form. As the focus of the interview was on sharing personal experiences, the identity of respondents has not been disclosed. Respondents included 5 CMDs of large public sector enterprises and banks, 4 CEOs of

private enterprises, and 1 director of a nongovernment organization. The group included 2 women and 8 men between the ages of 42 to 76 years. All respondents are first generation leaders who belong to middle class, service families; 6 were raised in joint families. Four of them had lived in small towns or villages during their formative years where the medium of instruction in their schools was Hindi. While 3 respondents have engineering degrees, 2 are graduates, 1 is a chartered accountant, and the remaining are postgraduates.

Analysis and Discussion

While the findings reinforce earlier research on the development of transformational leaders, there are certain differences that would perhaps be attributed to the cultural context that is unique to Indian managers. An analysis of the qualitative data based on the personal experiences of respondents offers valuable insights on leadership development. These have been classified into nine broad areas as enumerated as follows, supported with excerpts from the interviews with different respondents.

Supportive Parenting

According to Harris (1998), "parents are the most important part of the child's environment and can determine, to a large extent how the child turns out" (p. 15). The study of 100 extraordinarily successful young athletes, musicians, and students in the USA revealed that they became extraordinary performers because of powerful parenting (careful attention, guidance, and support) which helped build the belief within them that they could be special. It is only subsequently that they began showing overt signs of talent in their chosen arena of work (Robbins, 1996). The belief in self (inculcated through parenting) thus preceded their achievement. Good parenting thus empowers and prepares them in their odyssey towards higher consciousness and self-actualization, integral parts of the leaders' profile.

Coopersmith (1981) summarized that children with high self-esteem exhibit more independence, outspokenness exploratory behavior, and assertion of rights. Children's positive perception of parental disciplinary practices was significantly positively correlated with self-esteem and negatively correlated with dependence proneness (Katyal & Verma, 2000). Protective behavior of both parents positively contributes to high self-esteem (Ojha & Pramanick, 1995).

Research has indicated that the higher the parental expectations for the child, the greater the level of success achieved (Whiting, 1971). Findings of the study by Manley (1977) indicated that a high degree of nurturance and affection from the mother was related to high achievement patterns in the children. Erikson (1968) reported that the need to excel in life is implanted in early childhood when expectations from parents initiate a strong motive to achieve.

Data have shown that the motive to succeed is rarely developed in traditional Indian joint families (Dayal, 1999). In a joint family system, the influence of parents is not critical to the achievement motive. According to literature, the affiliative and emotional aspects of personality come from early intimate relationship with the mother (Kakar, 1971). In a joint family, female members of the family tend to look after the children. Later in childhood, the role model may not only be the father but any male who is close to the child. Baumrind (1967) reported that children brought up in a democratic environment characterized by liberal childrearing practices coupled with rational explanations by the parents develop self-reliance, independence, achievement

orientation, and risk taking. On the other hand, when parents are authoritative or controlling, the children become prone to dependency and have less achievement orientation.

Respondents received encouragement and positive reinforcement from parents and significant family members. There was relatively low direction on achievement of long-term career goals and aspirations (also perhaps due to lack of awareness) and greater emphasis on family values and discipline that seem to have had a lasting impact. This finding confirms Baumrind's (1967) findings that children brought up in a democratic environment characterized by liberal childrearing practices coupled with rational explanations by the parents develop self-reliance, independence, achievement orientation, and risk taking. Parents of high achievers give their children more praise and approval (Richard, 1954) and are closer to their children (Kimball, 1953). The findings of the present study suggest that the focus was on building inner strength and confidence. Parents were approving and trusting of their children and encouraged them to achieve without pressure. The parents seemed to enjoy their children's acceptance of parental standards. Respondents were given freedom to make decisions on their choice of career and job and encouraged to experiment. Self-reliance and adaptability as a consequence of parental support and upbringing led to building confidence. The data suggest that parents' informality and nondiscriminatory attitude allowed their children to think in a different manner. It made them less opinionated. Those raised in joint/large families learned to absorb diverse experiences, became more adaptable, and understand the richness of relationships. Perhaps, these experiences also prepared them to face the ups and downs in life.

The majority of respondents claimed they were not ambitious during childhood but they were given the space to think for themselves. One respondent noted, "There was not much pressure felt to pursue a particular career. Family tradition or parental desires were not imposed on us." Unlike what is prevalent today, parents of respondents did not voice any long-term aspirations for their children. Rather, they had a short-term perspective with a dictum of "whatever you do, do it well; and I am with you." Choice of career was primarily influenced by older relatives and friends of the parents and, in most cases, was not planned for.

The socialization process was characterized by a blend of nurturance and discipline. Family played an important role in the upbringing where warmth and support extended by family members helped in developing respect for elders, tolerance, and adaptability. Most of the respondents did not exhibit a clear sense of purpose with respect to their career aspirations during childhood. They did not experience family pressures to achieve academic excellence or follow any one else's expectations. The primary concern was to get a good job, whatever that may be. Respondents were given diverse exposure. There was less hand holding by elders, and expectations were for developing a holistic personality. The sense of worth and intrinsic confidence developed during the formative years possibly created the foundation for the drive to achieve and excel which became evident in the early years of their professional pursuits.

Inspiration of the Father

Interviews with leaders in business, academia, and the arts (Wetlaufer, Prokesch, Magretta, & Howard, 2000) indicated that many of them credited one or both parents with teaching them the principals of good leadership. A significant finding of other research studies that has implications for the parenting process is that the fathers played a vital role in the indoctrination of values (R. S. Pandey, 1977; D. Sinha, 1981). Anne Mulcahy (as cited in Collingwood, 2001), the president and CEO of Xerox shared:

> I learned some of my valuable lessons on leadership at the family dinner table, where my father presided over night debates with me. My father, a teacher and writer, knew exactly how to extract independent thinking and creative ideas from all of us. My father encouraged us to turn our words in action. (p. 10)

The role of the mother cannot be relegated to the background. Jack Welch (as cited in Collingwood, 2001) asserted that his mother was

> the greatest leadership teacher I ever had, even though she was never in a formal leadership position herself. (The truth was she did run the neighborhood.) My mother taught me about unconditional love, and at the same time set very tough standards for achievement. That combination of hugs and kicks brought out the best in me, and I used it my self to bring out the best in others. (p. 4)

In the present study, most of the respondents asserted that a key role was played by their fathers in their upbringing and in the inculcation of core values. They recollected the importance of the principles for which their fathers stood. Respondents were inclined to observe their fathers' behaviors, the words they frequently used, and the subtle ways in which they indoctrinated those values held close by their fathers. One of the respondent reminisced:

> I learnt very clearly in life from my father who was very good at Vedanta [sacred scriptures based on the Vedas] that life is going to have its up and downs. He made me understand the importance of developing inner strength to absorb life's discomforts and being prepared for any eventuality. I don't nurture grudges. I try not to remember the past even when people have not been fair to me.

These findings underscore the need for fathers to concede the powerful influence that their positive identification has in building a child's values and individuality. Child rearing in India is considered to be the mother's prerogative even when mother works outside the home. As a result of their preoccupation with work, fathers often tend to neglect the significance and impact that they have on their children, particularly in the early years. This finding demonstrates the need for fathers to shift from primarily being family providers to sharing the nurturing and recreational roles as well.

Relentless Pursuit of Values

Transformational leaders formulate a set of essential values which are to be achieved and show behavior in accordance with the values (P. V. Lewis, 1996). They are able to articulate their core values which guide their behavior. Value formation is primarily through the process of imitation and learning from significant others. The degree of control used by parents influences the values that children imbibe. There is wide acceptance that parental control; when coupled with warmth; promotes the development of qualities such as social responsibility, independence, and high esteem (C. C. Lewis, 1981).

The values and convictions that have steered the respondents through their life journey include respect for people (regardless of class, money, or status), adaptability, contentment, sacrificing to achieve, a strong sense of duty, hard work, education, compassion, and integrity. The fear of doing wrong, a belief in divine powers, and faith in the Indian scriptures as their guiding principles are overwhelming. To quote two of the respondents:

> I am a God-loving person, not God-fearing as is popularly claimed. I don't think there is anything to fear from God. I believe in doing my work honestly and putting in my best efforts.

> I do my best and leave the results to God. I read the Bhagwad Gita [holy book of Hindus] at the age of 22, and it has been a guiding force. It taught me the importance of working with the right motives and not focusing only on the results.

The sample of respondents represents a wide range in terms of their age, yet the values that guide them can be categorized as humanistic values. This seems to be a departure from what guides many aspiring managers (MBA students) who place more importance on instrumental values of ambition, competence, achievement, and money (A. Pandey & Sahgal, 2005).

While their closely held values have been ingrained either by the father or other family members; in some cases, they were inculcated on account of early life experiences and the hardships they encountered. A CMD of a bank shared his experience of facing injustice and "crude discrimination meted to my family. I have ever since felt strongly and protest against inequality and discrimination of any kind."

Curiosity to Learn

Transformational leaders have a strong inclination to learn and absorb new ideas (Dayal, 1999). They construct meaning out of circumstances and experiences and draw lessons from them for future situations. When required; they are prepared to bring changes in their attitudes, approach, and behavior (Tichy & Devanna, 1986). Bennis and Nanus (1985) emphasized that leaders create information networks and initiate special efforts to gather information needed for strategic planning. In order to facilitate learning for other members in the organization, leaders encourage subordinates to set longer time horizons and provide exposure to learning interventions that help to develop planning skills and build greater awareness of environmental changes and business trends.

Respondents demonstrated the curiosity and eagerness to gain knowledge and expand their horizons by pushing themselves out of their comfort zones, as aptly stated by one respondent:

> Leadership is continuous learning. One has to be humble enough to learn. I have constantly tried to work with a lot of different people in different ways. I have made many mistakes and continue to make them. I only try not to repeat the mistakes I have made. You can make a new one though!

Unfailing in their own efforts, they also display the capacity and zeal to read about new developments and are not wary of increasing their knowledge through interactions with their colleagues and subordinates. A CMD acknowledged, "I must meet five juniors every day. It is part of my diet. I get new ideas when I talk to people." Being receptive to others prevents these leaders from becoming arrogant or getting into the trap of believing that that they know it all by virtue of their position.

There is a striking similarity amongst this group of respondents on the use of the terminology *hard work* while describing their professional journey. They emphasized a continuing desire to stretch themselves to improve their capabilities and competence. Those who were deprived of good schooling acknowledged their struggle to overcome their inadequacies:

> Because of my village background, I had difficulty in communicating in English. But till date, I seldom refuse an opportunity to deliver a lecture. I told myself early in life that perhaps people would laugh at me a couple of times, but I would develop the skill and ultimately will have people listening to me.

Another respondent noted:

> Till today, I have a sense of inadequacy. I fear incompetence because I thought I did not go to a good school which I compensate with working hard. I struggle to learn because rigor is very important for me. I cannot take any situation for granted. Internal struggles bring out the best in us. Even if I have to give a farewell speech to a colleague, I prepare for it mentally. My colleagues think I have a gift of the gab, but they are not aware of the effort that goes into anything that I say or do.

The data suggest that leaders have relentless drive and energy to pursue their own growth. While they did not display high ambitions in their early school years; once they had chosen a career, their untiring efforts and passion to learn has contributed to a great extent to what they have accomplished.

Dissenting Status Quo

One skill that sets leaders apart is their uncanny knack of questioning the given. While organizations are replete with people who are competent, intelligent, and skilled; only a small number are confident in expressing their views at the cost of moving against the tide. Their self-assurance along with their convictions about critical issues have made these leaders comfortable in questioning the status quo and have grown their courage to voice their concerns and pursue what they consider important for the overall good of the organization.

Respondents shared their distinctive ways of coping with social disapproval if they believed in a cause or an issue. Some were activists and rebels in their youth, and their protest against injustice continues until now. For others who were unable to influence a situation that disturbed them, they would resort to writing about it in in-house journals to ensure a wide dissemination of their concerns. Early in their careers, when many were mere cogs in large systems, these leaders voiced their opinions for suggesting improvements in work methods. A CMD of a large public sector enterprise conceded:

> As a newcomer in the system, I could see things from a fresh angle. Most people get scared to speak out because they cannot communicate what they want to. I think I had the ability to put my views across and hold my ground. But, it is important to be honest and forthright.

However, there were several reports of instances of speaking their mind that backfired. However, such incidents did not deter these leaders in pursuing that to which they had set their minds.

Valuing the Boon and the Bane

Self-awareness is the key to leadership (Bennis, 1994; Megerian & Sosik, 1996). It involves a capacity to monitor and control the strong but unintentional biases that most people harbor that can skew decision making. It also incorporates sensitivity and openness to the purpose of life, their values and motivations, how and why they respond to situations in a particular manner, as well as their own strengths and drawbacks. Being conscious of these aspects also requires the ability to seek and internalize feedback from others. Andrea Jung (as cited in Wetlaufer et al., 2000), CEO of Avon Products, described the importance of being sensitive to one's own characteristics and style as the most important of all leader competencies. Self-awareness, according to her, is the key to regulating one's own emotions and intuitively understanding how others feel.

Respondents exhibited different leadership styles that encompass their unique strengths as well as their predispositions. They acknowledged their attempts to seek feedback on their strengths and limitations from people with whom they associate and shared their characteristic approach to leverage their own and the potential of others. The styles ranged from being tough, task-oriented superiors who can comfortably cut off emotions in a situation to being team players who are conscious of the fact that they cannot make decisions without others' support. While it is appropriate to delineate the different styles that the leaders adopt, it also draws attention to their awareness of the consequences of the approach they adopt.

For the task-focused leader, although the primary concern is to drive results, the style appears to be a departure from the typical autocratic boss. These leaders make efforts to jointly discuss issues based on facts or on the overall outcome desired by all concerned. The key issue for them is not to let emotions overlap business judgment. They like to stretch people and are willing to accept others' mistakes if their intentions are right. They give credit to deserving colleagues; and, because they are conscious of being fair in their decision making, they believe that subordinates do not misconstrue their approach. For those who consider teamwork to be important, their chief concern is to hire the right people. Such leaders also demonstrate a commitment to focus on the larger perspective which may become an obsession that they transfer to others in the organization. They share information with colleagues because they believe it is the only way to involve people and get their contributions. They have a preference for a hands-on, problem-solving approach rather than an advisory mode with a belief that they know it all.

One of the respondents described himself as "a person in a hurry." He tends to be impatient, emotionally charged, and "rearing to go." His overriding concern as head of a media company is the quality and speed of ideas that his team members are able to generate. Being aware of these traits in himself, he gives paramount importance to the selection of employees to ensure that they are willing to be pushed to their limits and last the course.

Seeing the Big in the Small

It is often believed that chance and luck play a role in a person's career evolution. People may have similar competencies and skills, yet some achieve more than others do. Could it be their destiny or that they were lucky to be in the right place at the right time? Does opportunity come one's way, or does one have to respond differently when faced with such situations? Bennis and Thomas (2002) succinctly stated, "luck favors those who are prepared" (p. 171).

What did the term *opportunity* mean to the respondents? How did they leverage an opportunity that came their way? Their responses indicate an intrinsic need to stretch, to test themselves, and to take risks to face new challenges.

Participants conceded that their accomplishments are on account of their ability or propensity to take advantage of variety of situations. Whether related to an opportunity to overcome their own limitations or bring change in the domain of work, they attributed their success to not missing a chance or occasion that placed high demands on them. As pointed out by one respondent, "I think every day brings new opportunities, and those who succeed are people who grab opportunities." Despite the fact that there is a preponderance of externalism in the Indian culture and that many of the leaders did express their faith and the role of divine powers, they are not fatalistic or complacent. On the contrary, they have the drive and energy to pursue what they consider important as well as give opportunities to those who are associated with them at the workplace.

Rising Above Adversity

Unique to each individual are a set of achievements along with disappointments and losses. Some people are predominantly driven by their achievements; they derive recognition and motivation to perform based on their success and triumphs. There are others who are equally or even more driven to manage crises and setbacks. They derive satisfaction in facing challenges to accomplish what is important to them. Leaders also bring with them an accumulation of such experiences. Bennis and Thomas (2002) observed that "everybody enters the list with a burden, a preconceived reason for not succeeding" (p. 18) and affirmed that a key difference between leaders and others is "the ability of leaders to transmogrify even the negatives in their lives into something that serves them" (p. 18). It is a thornier path where one has to confront one's emotions, deal with feelings of helplessness, and manage conflicts and disillusionments. If this capability is not learned within the family, leaders often learn it by choice or necessity at a later point in their life.

How did the respondents deal with setbacks? How did they cope with failure, loss, and humiliation? Respondents shared their anguish in personal limitations like competing with colleagues who were more educated than them, coping with their village/small-town background, learning to communicate in English, overcoming financial constraints in the family, and facing the trauma of losing loved ones in early life. Some were required to face unfair practices at work, overlooked for their promotion, humiliated by coworkers, and denied recognition for their work. They also accepted that they have faced a lot of criticism, particularly from coworkers. However, these experiences did not appear to deter them nor did they resign to their fate. On the contrary, they faced them as learning opportunities and challenges that they were determined to overcome. These leaders were able to withstand the pressures because of their inherent confidence, risk-taking ability, unwillingness to compromise with injustice, and strong belief in the value of hard work. For many of the leaders, it is a never-say-die spirit and their resilience that has made them confident and forceful.

Empowering Superiors

Superiors can play a significant role in shaping an individual's personality in terms of his or her life vision, values, and style. In grooming a protégé, seniors have the opportunity to accelerate their learning and growth. A superior-subordinate relationship is designed to challenge subordinates to develop their own leadership competencies. The focus is on educating and guiding the protégé to evolve a holistic vision of life and not merely exist as a competent performer.

On the other hand, Bhandarkar and Singh (1999) proposed that many transformational leaders did not have a guru or mentor to groom, educate, and guide them. They became their own motivators; constantly searching, observing, and learning from different people. Their objective in life was an intense desire to prove themselves and become something. They pushed themselves to strive hard to achieve their goals.

Over half the respondents recollected with pride the invaluable contributions of their superiors in inspiring them through the initial stages of their careers and how they continue to emulate those superiors. They consider it fortunate that they had superiors at different stages of their careers who gave them room to experiment and created opportunities to learn. One leader asserted that she "was thrown in the deep end to swim or sink. I would not be here if I had not

got the grounding." Another respondent claimed that the CEO of his company gave him "the confidence to try things out. BPOs would never have happened in India. I thought of the idea, but he allowed us to take it to the next level." One respondent recollected the rigorous training he was exposed to during his early years in the organization that gave him hands-on exposure. Another respondent valued the people management skills and the qualities of "simplicity, humility, integrity, and being upright" in one of his superiors. Working closely with people whom they revered, these leaders have inadvertently imbibed characteristics and values of their superiors that have had a lasting impact on their personal and work life.

Downside of Success

Did the leaders have to make sacrifices to achieve success? Do they have any regrets at the professional or personal front? Reflecting on their lives, is there a feeling of satisfaction? What do they see in the future? Reminiscing on issues such as these brought forth some misgivings as well as unfulfilled desires to be accomplished in the future. There were strong sentiments expressed regarding their inability to balance their work life with the needs of the family. Some were absentee fathers for a long stretch of time on account of their professional demands. For the majority of male leaders, family responsibilities and child rearing were largely left to their wives. They missed being part of their children's growth or participating in their academic and other pursuits. One male respondent was repentant of having taken his wife for granted. He believed he was "self-centered," "insensitive," and "short-tempered" and gave little attention to his wife's needs because of his intense involvement and preoccupation with his own career advancement. One respondent shared the trials and conflicts of leaving her family for outstation postings. At one point, she almost quit her job because she had to leave her family for a long period of time. Professional demands often left her no other option but to relegate her family's needs. In hindsight, she acknowledged that despite all odds, the support and understanding from her family propelled her to move ahead in her career.

Over half the respondents were rueful of not being serious about achieving academic excellence or pursuing further studies. However, at the professional level, they expressed a sense of accomplishment and fulfillment accompanied with a passionate desire to grow and contribute to public service. Their dreams compel them towards creating a better future for the country. Their concerns and passions range from pollution, the power market, the scope of banking across international borders, technology in the global marketplace, and sustaining BPOs in India. They articulated their dreams with the hope of inspiring themselves and others to act.

Synthesis

Life experiences play a significant role in the development of leadership. However, specific experiences do not necessarily result in developing a leader. It is a consequence of a life process of change that intricately weaves life experiences to develop the predisposition and attributes of transformational leaders. Figure 1 represents the antecedents and core attributes that have been the mainstay for achieving professional growth and success of leaders in this study.
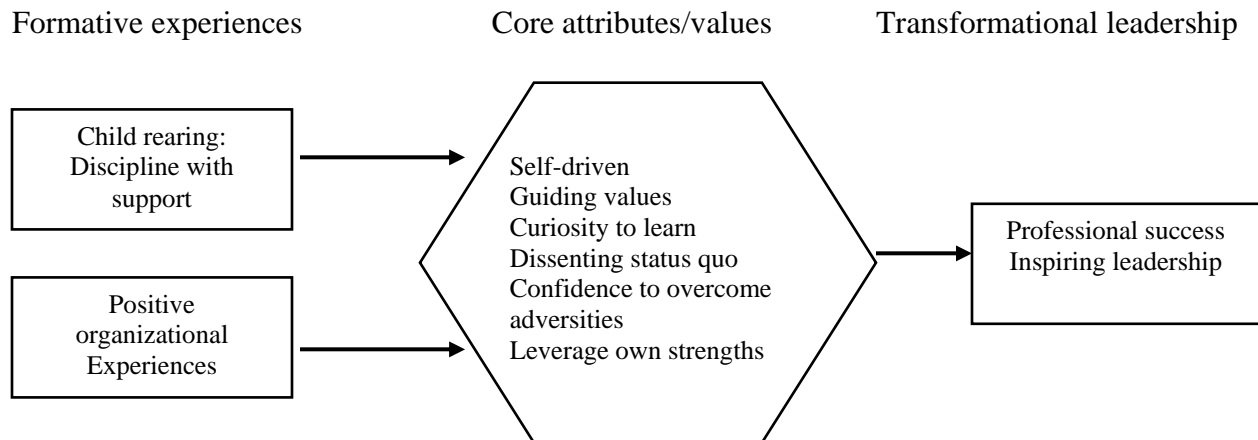
Formative experiences   Core attributes/values   Transformational leadership

Figure 1. Model of life experiences and attributes of transformational leaders.

Early childhood experiences influence and nurture individual differences that remain stable through childhood and early adolescence. Preceding leadership and achievement were the unstinting support and encouragement from the family that led to enhancing self-confidence and independence in making decisions. Being raised in joint families or with extended family members added its own flavor of instilling characteristic Indian values of respect for others, adaptability to different people and situations, and deep faith in the divine power. Leaders have stood by these values which they believe are the cornerstones of their success.

Leaders mostly credited their fathers with teaching them the principals and values that govern their lives. Organizational life was equally gratifying with respect to rigorous training and gaining diverse exposure. They had the opportunity to work with superiors who, while keeping the interest of the subordinates in mind, challenged them to move beyond defined boundaries and simultaneously offered their guidance and support. Leadership develops in an environment that fosters risk taking coupled with an understanding and sensitivity amongst organizational decision makers that investments may not always yield the desired result. People can slip up, make mistakes, or even have idiosyncrasies; but if they have superiors who have faith in their capabilities and their intentions, they can contribute and achieve even in the most difficult of situations.

It would be appropriate to conclude that the group of leaders in this study are characteristically high on both task and people relatedness. They exhibit a developmental orientation but the manner in which it is expressed varies. They are humane in their approach but tough while making decisions. They display the courage to raise issue and challenge people's assumptions at the risk of their own goodwill. There is consistency with respect to facing challenges and accomplishing what they believe. Their personal magnetism and ability to enthuse others is demonstrated through their unique styles that range from being effective team leaders to hard drivers. They are conversant with and candid in sharing their distinctive styles, preferences, and limitations.

To sum up, it can be argued that leadership can be developed. Life experiences play a significant role in building capabilities that make it possible for an individual to achieve professional success in addition to leading and inspiring others. Furthermore, leadership development would be augmented if organizations invested in building a culture where seniors

place greater emphasis on their developmental role and provide opportunities to subordinates to learn, experiment, practice, and apply what they learn without fear.

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Appendix

Interview Schedule

Leadership is a lifetime process. The present study seeks to understand the power of significant life experiences that have impacted you.

1. What role did your family play in your development?

2. What specific experiences have had a transforming effect on you? How did these incidents impact you as a person?

3. Describe your early memories of your school life.

4. Who have your admired/emulated? Where did you get inspiration from?

5. What do you consider to be your major opportunities/breaks?

6. Your journey into work: What did work mean to you? What kind of experiences do you treasure? How were your relationships with your superiors and colleagues?

7. Describe the most testing times of your life. Major setbacks/failures that you experienced? How did they impact you? Was there any learning from them?

8. Share your early memories of displaying leadership qualities/skills? Did people around you believe that you would be an achiever?

9. Have you at any point of time felt a threat to your survival as a leader?
    When did you start feeling comfortable in a leadership position?

10. Describe yourself. What efforts did you make to develop certain positive qualities in yourself? To overcome your weak points?

11. What is your characteristic style of dealing with people, making decisions, and handling uncertainty? What has been your driving force?

12. Any unfulfilled dreams? Regrets?

Practitioner's Corner
The Leader as Learner

Doris Gomez
Regent University

A little learning is a dangerous thing;
Drink deep, or taste not the Pierian spring;
There shallow draughts intoxicate the brain,
And drinking largely sobers us again.
       Alexander Pope (1688-1744)

Within much of the world's developed economies, changes in technology, requirements for the workforce, and globalization of organizations are creating new leadership challenges and needs. It has been predicted that companies and organizations will no longer be able to successfully operate using traditional models of leadership. Nadler and Tushman (1999) compared it to "the difference between checkers and three dimensional chess" (p. 49). The world is changing: organizations are becoming flatter, knowledge is being dispersed more generously, and the boundaries traditionally shaping organizations may no longer exist. These changes are having a dramatic impact on the workforce and leadership needs of companies and organizations.

      The importance of leadership in organizations has increased and leadership training and development are increasingly regarded as instruments of organizational change and a method of linking people performance with business strategy. In fact, a survey by Archer Consulting Inc. (1999) revealed that successful corporations across major industries regard training and development as critical to industry leadership. The Hay Group (2000) found that top companies typically differentiated themselves from their peers by the exceptional degree of their focus and commitment to leadership identification, selection, and development.

      Institutions of higher education as well as corporations are investing heavily in the advancement of leadership programs aimed toward improving leadership skills and developing future leaders and leadership scholars for the future well-being of societies worldwide. In fact, leadership education in the United States can be traced to the founding of American colleges, whose primary goal it was to train a generation of young people to lead a new nation. To this

day, many scholars in higher education acknowledge the changing complexities of a new century and urge to teach students new paradigms of leadership (Roberts, 1997).

In addition to educational institutions providing formal leadership education and training, other leadership type training programs have been developed for leaders and managers in both the private and public sectors. The need for leadership development as a means to provide much needed leadership throughout a plethora of organizations and disciplines has literally spurred the leadership development field into a billion-dollar business. Annual corporate spending on leadership development has risen to $45 billion from $10 billion in the mid-1980s. Reports from the training industry say that nearly $50 billion is spent annually on corporate training and development (Fulmer, 1997). Furthermore, 60% of the nation's largest corporations offer some type of leadership training for their employees (Stephan, Mills, Pace, & Ralphs, 1988). Very similar to these numbers, in a survey of more than 5,000 organizations, researchers Drew and Wah (1999) found that 58% of the organizations contacted reported offering leadership development training. An even much larger percentage reported that such programs were under development.

Kouzes and Posner (1995) wrote, "Contrary to the myth that only a lucky few can ever decipher the mystery of leadership, our research has shown us that leadership is an observable, learnable set of practices" (p. 16). In fact, given the array of leadership development efforts and the considerable funds expended upon those efforts, there seems to be widespread agreement that effective leaders can be developed and that leadership makes a positive difference.

According to Cunha and Louro (2000), self-development is critical to a leader's effectiveness; as leaders have the responsibility of influencing, inspiring, and motivating people toward a set of organizational objectives. Vicere and Fulmer (1998) contended that creating an appreciation for continuous learning and new knowledge development are significant attributes of leadership. They further suggested that an emphasis be placed on developing effective leadership development programs designed to offer perspective on the power of learning.

Many scholars and researchers have agreed that leadership is both a skill as well as a learned behavior. As a matter of fact, most have suggested that due to continuous changes in the speed of the economy and technology as well as the speed of change, leaders need to be engaged in constant learning and education processes. Quigley (2002) stated:

> For there to be innovation, there must be a love of learning and leaders who recognize knowledge development as a capital investment. We create knowledge from data and information. We internalize the information by assimilating it into our experience where it integrates with our intellectual and affective selves and ultimately our behavior. We then experience true education – a leading out from ignorance through information to knowledge. And it is personally transforming. (p. 2)

Finally, heightened scrutiny in the wake of corporate and political scandals (e.g., Enron, Arthur Anderson, and WorldCom) resulting in a precipitous decline has caused many to question the role of education in developing and equipping leaders. Thus, the challenges of leadership development and education are both practical and deeply personal. Ultimately, they must lead us to reflect on what we are committed to and what futures we desire to create. Such questioning and understanding is essential to our effectiveness as educators, trainers, coaches, and leaders.

Much is required from leaders, and much is at stake. Considering the plethora of leadership development efforts, the funds expended upon those efforts, and the importance of formal leadership education as a foundational element in developing leaders; the overarching question that must remain is: if leadership can be taught, what kind of leadership education and

development are we offering and for what purpose? Day (2001) provided a comprehensive review of the most popular and promising practices used to develop leaders in the context of ongoing organizational work: 360-degree feedback, coaching, mentoring, networking, job assignments, and action learning.

The 360-degree feedback allows individuals to understand how their performance and behavior is perceived by their peers, direct reports, supervisors, and even external stakeholders. This multisource approach assumes that individual performance and behavior varies across contexts and with different constituencies and thus captures the variety in performance and behavior, increasing reliability of feedback. Feedback usually results not only in increased self-knowledge but also in heightened self-awareness of one's impact on others, which in turn increases intrapersonal competence.

Coaching focuses on improving individual performance and satisfaction through practical one-on-one learning and behavioral change. Day (2001) proposed that the effectiveness of coaching is enhanced to the degree that individuals are carefully selected; willing to be coached in the first place; ready to change; and, in fact, matched with a compatible coach.

Mentoring relationships, the formal or informal pairing of a junior with a more senior and experienced organizational member, are seen as particularly effective tools in enhancing individual leadership development. Day (2001) contributed the success of this form of development to the fact that "it enhances shared mental representations and interpretations of important organizational concerns" (p. 594). He further stated that the likelihood of a more beneficial mentoring relationship increases to the extent that the mentor displays behaviors such as listening, communication skills, patience, knowledge of organization and industry, ability to read and understand others, honesty, and trustworthiness.

Networking geared to develop leaders to know who to contact or connect with in terms of problem-solving resources and building support is believed to effectively increase innovations and problem-solving capacities across functional areas. Equally significant, it encourages people to be exposed to others' opinions and knowledge and empowers individuals to build and foster peer relationships outside their immediate work environment.

Job assignments foster learning and development from experiences, roles, relationships, and tasks encountered while working on assignments. When, according to Day (2001), assignments are *intentionally* matched with individuals' developmental needs; effective leadership development occurs. Job assignments that go along with high responsibility and high latitude, as well as negative experiences or hardship, are usually associated with significant learning and development.

Action learning, based on the assumption that individuals learn most effectively when working on real-time organizational problems, is the "continuous process of learning and reflection, supported by colleagues, with a corresponding emphasis on getting things done" (Day, 2001, p. 601). Individuals are encouraged to try new things and let others stretch their thinking and behavior. Trust amongst action learning project team members is a crucial factor in applying this tool effectively toward individual leadership development.

While all these practices are considered as beneficial and effective tools for leadership development, Day (2001) proposed:

> Effective leadership development is less about which specific practices are endorsed than about consistent and intentional implementation. A key to effective implementation is having the organizational discipline to introduce leadership development throughout the organization, rather than bounded by specific (usually top) levels. Another key to

effectiveness is linking initiatives across organizational levels and in terms of an overall developmental purpose within the context of a strategic business challenge. (p. 606)

Parker J. Palmer (n.d.) explained another approach:

New leadership is needed for new times, but it will not come from finding more wily ways to manipulate the external world. It will come as we who serve and teach and lead find the courage to take an inner journey toward both our shadows and our light – a journey that, faithfully pursued, will take us beyond ourselves to become healers of a wounded world. (left column)

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