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From the Editor
Dr. William O. Welch, III

Greetings, fellow travelers.

In this issue, although we continue to offer a broad variety of leadership research and theory, we are beginning to see a pattern of inquiry emerging that challenges the dominant leadership understanding discourse. This issue begins with an American consideration of a follower compliance framework followed by a values-based Dutch study raising critical questions about alignment with follower values. Next we offer a historically-based consideration of supportive supervisor communication and member performance relationships followed, in turn, by a Danish review and re-synthesis of the shared leadership landscape.

Another historically-based study follows, seeking to add rigor to our servant leadership understanding in relationship to workforce turnover. Our penultimate article is an exceptional consideration of values deemed at the core of a coherent leadership understanding. Our final article is the first direct response to our 2012 challenge to provide a theory-based alternative to the dominant discourse.

The Practitioner's Corner this issue broadens the scope of challenging traditional leadership understanding, portraying the concerns of education leadership understanding professionals of how, when, and where to most effectively address leadership understanding development.

IF AT FIRST YOU DON'T SUCCEED: A FRAMEWORK FOR UNDERSTANDING FOLLOWER COMPLIANCE IN MULTIPLE INFLUENCE ATTEMPTS

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We propose a framework for understanding the influence process in multiple influence attempts. The framework incorporates the constructs of influence tactics, bases of social power, work motivation, compliance and commitment, and modes of conflict management to arrive at a sequential illustration of the influence process through primary and secondary influence attempts. Propositions are developed and directions for future research are explored.

AN EXPLORATIVE STUDY ON THE CONNECTION BETWEEN ETHICAL LEADERSHIP, PROTOTYPICALITY AND ORGANIZATIONAL MISBEHAVIOR IN A DUTCH FIRE SERVICE

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In this article, we examine the relationship between ethical leadership and organizational misbehavior in a Dutch fire service and the extent to which prototypicality mediates this relationship. It is found that ethical leadership of battalion chiefs is statistically negatively related to the occurrence of self-reported disobedience of 61 crew commanders. Being a group prototype or not seems to fully explain this effect, as we found a full mediation effect. In addition, we found no statistically significant connection between the three components of ethical leadership, role modeling, rewards and discipline, and communicating about ethics and values, and the self-reported organizational misbehavior. Consequently, the question arises whether leaders who are viewed as "ethical" leaders simply have more influence on the unethical behavior of subordinates due to their leadership or that their norms and values just more closely fit to the professional norms and values of subordinates.

SUPPORTIVE SUPERVISOR COMMUNICATION AS A MEDIATOR OF THE LEADER-MEMBER EXCHANGE AND SUBORDINATE PERFORMANCE RELATIONSHIP

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The focus of this research is on the relationships between leader-member exchange (LMX), supportive supervisor communication (SSC), and subordinate job performance. It was predicted that the relationship between subordinate ratings of LMX quality and supervisor ratings of subordinate performance would be mediated by subordinate ratings of SSC. Specifically, it was hypothesized that LMX would directly influence SSC, and SSC would directly influence two facets of contextual performance: interpersonal facilitation and job dedication. It was also hypothesized that job dedication would directly influence task performance, thus mediating the relationship between SSC and task performance. Thus, SSC was expected to mediate the relationship between LMX and contextual and task performance. Structural equation modeling results based on 243 supervisor-subordinate dyads from the banking industry provided substantial support for the proposed model.

MAPPING THE LANDSCAPE OF SHARED LEADERSHIP: A REVIEW AND SYNTHESIS

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As can be seen from the substantial increase in the volume and scope of leadership publications over the last ten to fifteen years, leadership is a construct with important social and relational

properties. Shared leadership in particular has attracted considerable attention from organization and management scholars, although there has been surprisingly little focus on the key structuring processes and mechanisms that enable shared leadership. The aim of this paper is to rectify this by identifying the critical factors and mechanisms which enable shared leadership and its antecedents and outcomes, and to develop a synthesized framework of shared leadership. The paper closes with a brief discussion of avenues for future research and implications for managers.

SERVANT LEADERSHIP AND EMPLOYEE COMMITMENT TO A SUPERVISOR

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A relationship between employee commitment to a supervisor and reduced levels of employee turnover has been found in previous research studies (Vandenberghe & Bentein, 2009). Since turnover is often associated with high costs, understanding how to retain valuable human resource talent is of increasing importance. In this study, Fields and Winston's (2010) servant leadership instrument, Becker, Billings, Eveleth, and Gilbert's (1996) employee commitment to a supervisor scale, and Stogdill's (1963) supervisor initiation of structure subscale are used to measure the predictive effect of servant leadership on employee commitment to a supervisor, beyond the effect of a supervisor's task-oriented behavior. One hundred and forty nine of 207 fulltime employees from a university in the U.S. responded to a web-hosted survey that was distributed via email. A multiple regression analysis was conducted that controlled for employee age, employee tenure with the supervisor, employee gender, employee/supervisor gender similarity/dissimilarity, and supervisor task-oriented behavior. Servant leadership was found to have a significant ($p < .001$) effect on employee commitment to a supervisor, shown by an increased R-Square value of 0.224 (22.4%). This study adds empirical evidence to the construct validity of servant leadership theory and the positive influence said behavior has on employee commitment.

The Emerging Significance of Values Based Leadership: A Literature Review

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The emergence of the 21st century was plagued with extensive, evasive and disheartening leadership failures. Moral and ethical deficiencies were prevalent in many charismatic, dynamic and seemingly transformational leaders that had risen to prominence in both the public and private sectors. In response, leadership and management theorists began to place a renewed emphasis on the importance of ethics and morality in exemplary leaders, and a plethora of values based leadership (VBL) theories emerged. VBL behaviors are styles that have a moral, authentic and ethical dimension. This study examines the prevailing literature and research on the various

constructs rooted in VBL. It identifies three constructs: (a) authentic (Avolio & Gardner, 2005; Gardner, Avolio, Luthans, May, & Walumbwa, 2005; George, 2003; Luthans & Avolio, 2003), (b) ethical (Brown et al., 2005), and transformational leadership (Bass, 1985; Bass, 1990; Bass & Avolio, 1990; Bass & Steidlmeier, 1999) that are considered the most emphasized behaviors in the VBL literature and examines the literature streams and progression of research for each of these VBL theories. The study identifies literature that supports that when these VBL behaviors are found in leaders, the leaders are evaluated as more effective by subordinates. The purpose is to provide a summary of the seminal VBL literature to date and provide recommendations for future research and study.

WHY THE POSITIONAL LEADERSHIP PERSPECTIVE HINDERS THE ABILITY OF ORGANIZATIONS TO DEAL WITH COMPLEX AND DYNAMIC SITUATIONS

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The 21st century competitive global environment is dynamic, complex, and multi-cultural, and necessitates a more rapid response to changes to survive (Rost, 1991). The most effective approach for dealing with this is to involve employees in the various leadership processes for the organization (Pearce & Conger, 2003; Raelin, 2003). However, the leadership role described is not the common view of leadership based on authority. Rather, the required leadership is based on everyday influence processes by anyone in the organization derived from knowledge and the recognition for the need for a specific change. This paper shows how the perpetuated perspective of leadership as something reserved for persons of authority actually inhibits the very organization behaviors called for by the complex and dynamic situations in which they work.

FOSTERING TRANSFORMATIVE GLOBAL LEADERSHIP: AN UNDERGRADUATE LEVEL APPROACH

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In 2009, Joyce Osland wrote, "Given the impact and challenges of globalization, global warming and the current economic crisis, it is impossible to ignore the need for effective global leadership" (2009, p. 1). Once just a need within the international business community to train leaders who could "develop global strategies, expand into international markets and compete in the global marketplace" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 5), the need for global leadership has only intensified over the last two decades. Global leaders are now needed across the private, public and non-profit sectors. "Growth in 'global work', defined as situations in which workers collaborate across national boundaries, is unprecedented" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 5).

In 2003, a Rand Corporation study predicted a dearth of U.S. global leaders across the public, private and non-profit sectors (Osland, 2009). While colleges and universities have been

urged to respond, higher education has always taken on the task of preparing young people to not only be productive, conscientious citizens, but also "to develop each new generation of leaders to better serve society" (Gehrke, 2008, p. 351). While the majority of global leadership development is coming from the business field (Osland, 2009), colleges and universities can be formidable agents in terms of growing a diverse pool of culturally competent leaders while simultaneously serving higher education's broader mission: transforming young people. "An effective college education includes experiences that challenge unexamined assumptions, sustain more complex understandings of oneself and others, and enables students to form commitments in a relativized world" (Parks Daloz, Keen, Keen, & Parks, 1996, p. 46). This article will outline a holistic undergraduate approach designed to prompt transformative global leaders' leadership learning for undergraduates.

IF AT FIRST YOU DON'T SUCCEED: A FRAMEWORK FOR UNDERSTANDING FOLLOWER COMPLIANCE IN MULTIPLE INFLUENCE ATTEMPTS

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We propose a framework for understanding the influence process in multiple influence attempts. The framework incorporates the constructs of influence tactics, bases of social power, work motivation, compliance and commitment, and modes of conflict management to arrive at a sequential illustration of the influence process through primary and secondary influence attempts. Propositions are developed and directions for future research are explored.

The outcomes of influence tactics have received considerable attention in the organizational behavior field during the past 20+ years (Yukl & Falbe, 1990; Brennan, Miller, & Seltzer, 1993; Aguinis, Nesler, Hosoda, & Tedeschi, 1994; Carother & Allen, 2000; Moss & Barbuto, 2004). Studies have examined such factors as upward influence attempts (Mowday, 1978; Schilit & Locke, 1982), program planning (Yang & Cervero, 2001); gender, education and age (Barbuto, Fritz, Matkin, & Marx, 2007); evaluation (Klocke, 2009); sex differences (Moss, Barbuto, Matkin, & Chin, 2005); trust (Thacker, 1995); hiring (Buttner & McEnally, 1996); intra-organizational influence (Kipnis, Schmidt, & Wilkinson, 1980); and dispositional antecedents in meta-analyses (Barbuto & Moss, 2006). The roles of moderating variables in this influence dynamic have been limited to a few studies (Hinkin & Schriesheim, 1990). The role of motivation and power on the influence process also has been overlooked, with the closest effort being the influence trigger framework (Barbuto, 2000a), which developed follower-based reactions and linked social power, work motivation, and targets zones of resistance (Barbuto, 2000b) to target outcomes. However, this work did not articulate specific influence strategies but instead focused on targets' immediate reactions to perceived influence attempts, whether intentional or not – termed *influence triggers* (Barbuto, 2000a).

The majority of work in the influence literature has focused on singular influence attempts, which have been valuable for depicting the initial responses to influence attempts (see Barbuto & Gifford, 2009). While this view has its merits, it also narrows its generalizability to initial target responses (compliance, resistance). A framework that explores preliminary and (when necessary) secondary influence attempts extends the existing influence process literature by considering how agents navigate targets' resistance. The proposed framework explores the moderating effects of work motivation and power on the relationship between influence tactics used and initial target outcome (commitment, compliance, resistance) and then, when compliance does not occur, the resolution of resistance conflict and subsequent outcomes.

The Framework

The proposed framework describes the moderating effects of work motivation and power on the relationships between influence tactics and initial target outcomes (see Figure 1). The framework extends prior work that articulated key variables in the influence process (Barbuto, 2000a; Barbuto & Gifford, 2009). The framework posits that conflict arises in the face of targets' resistance and that agents react to this non-compliance in one of five modes of conflict resolution (Rahim, 2002; Thomas & Kilmann, 1974). These modes each carry foci for emotive and/or substantive conflict resolution.

The framework illustrates outcomes - commitment/compliance and resentment – resulting from the modes of conflict resolution during multiple influence attempts. Taken together, the framework provides an explanation of the influence process –applicable for instances when agents encounter target resistance. The framework includes the constructs of influence tactics, sources of work motivation, social power, initial target outcomes, conflict resolution styles, and target secondary outcomes. The variables together depict the influence process through singular and multiple influence attempts for gaining commitment and compliance (see Figure 1).

Influence tactics were described as proactive influence attempts used by agents to gain compliance or commitment from targets (Mowday, 1978). The influence strategies were clarified depicting six primary influence tactics (Kipnis et al., 1980; Hinkin & Schriesheim, 1990). Subsequent work identified expanded the construct to eight (Yukl & Falbe, 1990) and then nine tactics (Yukl, Guinan, & Sottolano, 1995). Numerous research studies in the past 25 years has led to two meta-analyses (Barbuto & Moss, 2006; Higgins, Judge, & Ferris, 2003). The construct used in this framework includes nine influence tactics – rational persuasion, consultative, inspirational appeals, personal appeals, ingratiating, exchange, pressure, legitimating, and coalition tactics (see Yukl & Falbe, 1990).

Agent's Influence Tactic
(Yukl & Falbe, 1990)
--Rational Persuasion
--Consultation Tactics
--Inspirational Appeals
--Personal Appeals
--Ingratiating Appeals
--Exchange Tactics
--Pressure Tactics
--Legitimating Tactics
--Coalition Tactics

Target's Sources of Motivation
(Leonard, Beauvais, & Scholl, 1999)
--Intrinsic Process
--Instrumental Process
--Self-concept External Process
--Self-concept Internal Process
--Goal Internalization Process

Target's Initial Outcome
--Commitment
--Compliance

Agent's Bases of Power
(Hinkin & Schriesheim, 1989)
(French & Raven, 1959)
--Reward Power
--Coercive Power
--Legitimate Power
--Referent Power
--Expert Power

Target's Initial Outcome
--Non-compliance (conflict)

Conflict Resolution Style
(Thomas & Kilmann, 1974)
--Competing
--Collaborating
--Compromising
--Avoiding
--Accommodating

Target's Response (to Conflict Resolution)
--Non-compliance without resentment
--Non-compliance with resentment
--Compliance with resentment
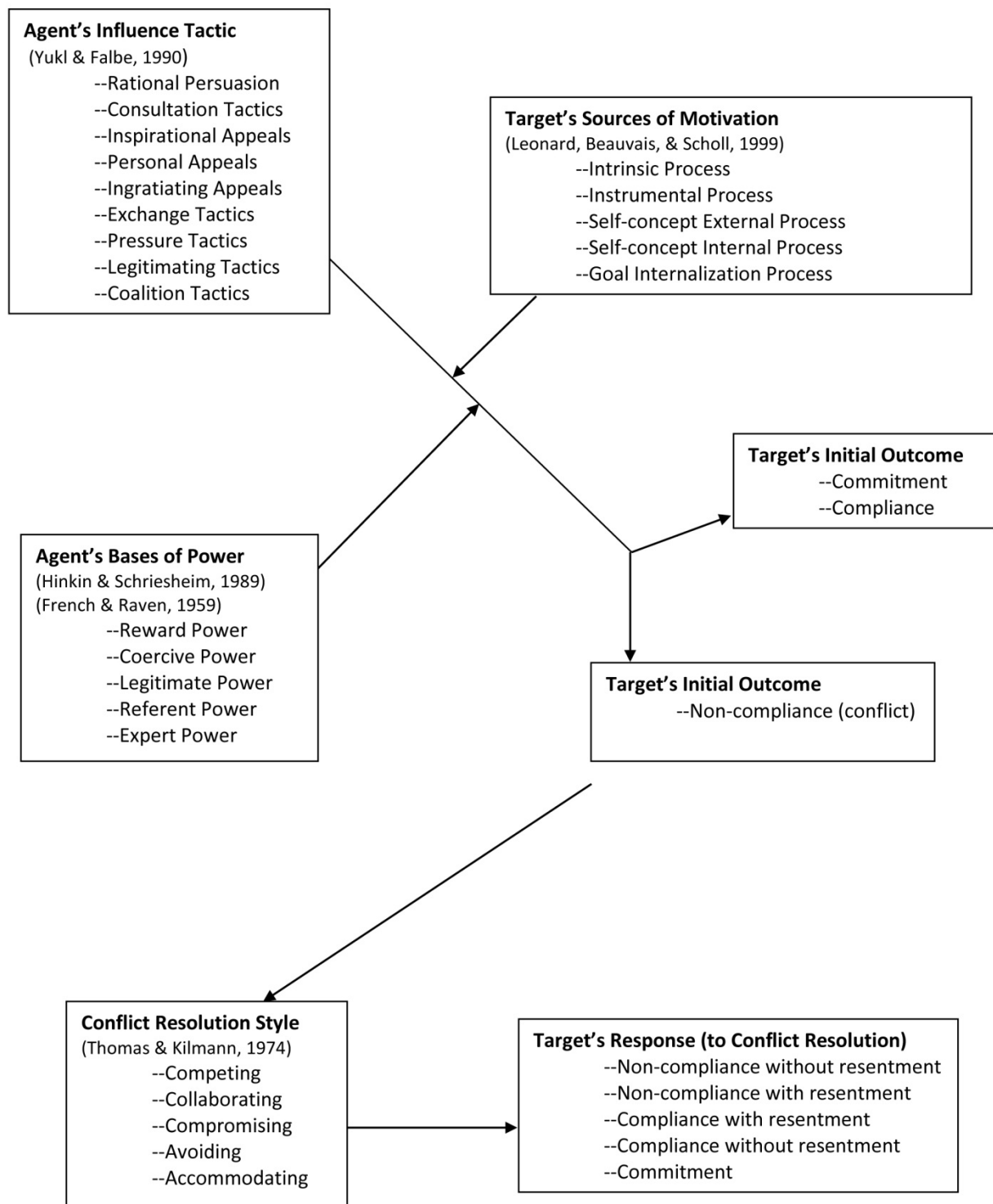--Compliance without resentment
--Commitment

Figure 1. The Framework for Understanding the Outcomes of Agent Influence Tactics

Influence Tactics

Rational persuasion tactics are characterized by agents using logic and facts to persuade targets that requests are constant with goals and values of an organization and are best positioned to produce the most positive outcomes. *Consultation tactics* are characterized by agents requesting targets' assistance in planning and troubleshooting a decision or complex situations, then expanded participation results from their plenary involvement. *Inspirational appeals* tactics are characterized by agents creating enthusiasm for their request by appealing to targets' values, ideals, or objectives. Agents' inspiration may increase targets' confidence to succeed in carrying out requests. *Personal appeals* tactics are characterized by agents appealing to targets' feeling of loyalty or friendship towards the agent when making requests. The relationship is the primary social inducement when using this tactic. *Ingratiating tactics* are characterized by agents seeking targets' approval by offering compliments or behaving in friendly ways prior to making requests. *Exchange tactics* are characterized by agents seeking targets' support in exchange for favors, the promise of reciprocity, and/or shared rewards. *Pressure tactics* are characterized by agents using threats, demands, and/or frequent reminders to influence targets' compliance. *Legitimating tactics* are characterized by agents seeking to establish their request as legitimate by claiming they have the requisite authority to seek compliance from targets. Agents may also attempt to equate their request to organizational policies, job descriptions, or organizational norms. *Coalition tactics* are characterized by agents seeking the support of third parties to persuade targets to comply with requests. Agents may often leverage the support of others as a method of gaining targets' compliance. These coalition tactics may also include an appeal to higher-position individuals to influence targets (Yukl & Falbe, 1990). In the proposed framework, agents' use of influence tactics serves as independent variable that may lead to target outcomes of commitment, compliance or non-compliance (resistance) – and potential moderating variables will also be discussed.

Target Outcomes

The proposed framework includes three outcomes that result from the initial influence attempt. These outcomes have been used in other influence process models and includes commitment, compliance, and non-compliance (Barbuto, 2000b). Commitment describes targets feeling internal drive and vigor in pursuing the objectives. Targets experiencing commitment will work passionately and require little inducements and are more likely to exhibit extra-role behaviors (Katz & Kahn, 1978). Compliance describes when targets pursue the requested objectives without passion or internal drive. This has alternatively been described as creating motion without emotion (Barbuto & Gifford, 2009). Targets experiencing compliance perform only the required tasks or objectives and rarely exceed expectations, similar to adequate role behaviors (Katz & Kahn, 1978). Non-compliance describes targets not pursuing the objectives because they have not been successfully influenced to do so (Barbuto, 2000a). Other works have described these moments of non-compliance in terms of requests that are outside zones of indifference (Barnard, 1938) and influence zone resistance (Barbuto, 2000a, 2000b). Targets experiencing non-compliance will not work towards completing the task or objective.

In this framework, non-compliance results in conflict – as agents are trying to influence targets to perform tasks or pursue objectives that targets are neither currently pursuing nor planning to pursue. In the proposed framework, agents experiencing non-compliance will select

a conflict resolution style to resolve (or avoid) the conflict they experience. This resolution of initial conflict that results from non-compliance constitutes the secondary influence attempt in the proposed framework. In the proposed framework, the outcomes described – commitment, compliance and non-compliance - are dependent upon the influence tactics used as moderated by several factors – work motivation (discussed next) and bases of social power (on deck).

Work Motivation

Work motivation has been studied from a variety of perspectives – content-based theories, process-based, goal-based, and sustained effort theories of work motivation (Barbuto, 2006). Work motivation in this framework operates from content-based theories because in the proposed framework targets' sources of work motivation impact the relative effectiveness of influence tactics used.

Among the content theories, Maslow (1954) was among the first to operationalize a motivation framework, by proposing a hierarchy of needs – psychological, safety, love/belongingness, esteem/ego, and self-actualization. This work was later updated with a more abbreviated conceptualization of needs –existence, relatedness, and growth needs, which received considerable research attention (see Alderfer, 1969; Schneider & Alderfer, 1973). Adams (1963) asserted that motivation was derived from a sense of equity and fairness when comparing inputs and outputs with peers. Herzberg (1968) suggested motivating employees by giving them challenging work and responsibility, while McClelland (1985) suggested that motivation is derived from the trichotomy of needs - power, affiliation, and achievement. Kegan (1982) described a process of constructive development evolving through a series of stages of ego development that embodied many of the tenets of earlier works. An integrative meta-theory of work motivation was eventually introduced to the field – both conceptually (Leonard, Beauvais, & Scholl, 1999) and empirically (Barbuto & Scholl, 1998) – to allow for general operationalization of content-based theories of work motivation. Originally proposed by Leonard, Beauvais, and Scholl (1999) and further clarified and tested by Barbuto and Scholl (1998), the self-concept-based model of work motivation included intrinsic process, instrumental, self-concept external, self-concept internal, and goal internalization.

Intrinsic Process

This motivation is derived from an enjoyment of performing work or enjoying the process of being on the job. Intrinsic Process emphasizes the process of doing the task, not the outcome of completing it. Work motivated by intrinsic process is that which derived from pure task pleasure or enjoyment during the activity – not the internal satisfaction derived from completing it (Leonard et al., 1999).

Instrumental

This motivation is derived from a desire to obtain tangible outcomes, which may include increased pay or benefits (Barbuto & Scholl, 1998). Early conceptualization of extrinsic motivation describe the desire for attainment of tangible rewards driving behaviors, similar to instrumental motivation (Deci, Koestner, & Ryan, 1999; Vansteenkiste, Lens, & Deci, 2006). Conceptualizations of equity theory and derivations from this concept also describe similar

content in human motivation (Adams, 1963; Huseman, Hatfield, & Miles, 1987). This motive was distinguished from "extrinsic" motivation because the emphasis with instrumental motivation is solely on those rewards that are tangible in nature – social or interpersonal rewards conceptualized as self-concept external motivation (Barbuto, 2005; Leonard et al., 1999). Barbuto (2000a) described influence triggers that relied on instrumental motivation as exchanges, and manipulations.

Self-concept External

This motivation is characterized by agents who seek to meet the expectations of others by behaving in ways that elicit social feedback consistent with their self-concept (Leonard et al., 1999). This motive is perhaps most similar to social extrinsic rewards (Deci et al., 1999), needs for affiliation (McClelland, 1985), relatedness/love/belongness needs (Maslow, 1954; Alderfer, 1969), and interpersonal ego development (Kegan, 1982). Barbuto and Scholl (1998) described this source of work motivation as emphasizing an external attribution of traits, competencies and values in forming the basis of an ideal self. Barbuto (2000a) described influence triggers that rely on self-concept external as leader identification, external attribution of skills, role legitimacy, and social identification.

Self-concept Internal

This is characterized by those who set internal standards for themselves based on their competencies, values, strengths, and skills (Leonard et al., 1999). These standards become the basis for their ideal self. Self concept internal motivation is similarly described in other works as self-regulatory behavior (Bandura, 1991) and intrinsic motivation derived from task achievement (Ryan & Deci, 2000). Barbuto (2005) described this source as deriving motivation from challenge of task completion and an internal drive to meet self-authored standards of performance. Barbuto (2000a) described influence triggers that rely on self-concept internal as internal attributions of skills.

Goal Internalization

This motivation is characterized by those who adopt behaviors and attitudes that are based solely on their personal value systems (Leonard et al., 1999). Similar to what has been described in other works as moral commitments toward collectivistic work motivation (Shamir, 1990). This motive is based on a strong deep rooted desire to pursue appealing causes in lieu of any personal benefit – similar to an altruistic calling at the individual level and organizational stewardship at the collective level (Barbuto & Wheeler, 2006). Barbuto (2000a) described the influence triggers that rely on goal internalization as value-derived and goal-identification.

The five sources of work motivation have been used to predict influence tactics (Barbuto, Fritz, & Marx, 2002; Barbuto & Scholl, 1999), transformational leadership (Barbuto, 2005), and conflict styles (Barbuto & Xu, 2006). The role of these five sources of work motivation in the influence process was explored in a framework of influence triggers (instantaneous reactions to intentional or unintentional influence attempts) that described these five sources as moderating the relationships between influence triggers and outcomes (Barbuto, 2000a).

The Moderating Effects of Motivation

Each motivation source changes the relationship between each tactic and the outcomes of the conflict (see Figure 2). The selected influence tactic has compatibility (or incompatibility) with sources of work motivation – which increase the likelihood of compliance (see Barbuto, 2000a). The combination of the self-concept external motivation source and the use of legitimating influence tactics is proposed to lead to commitment, while goal internalization motivation source and legitimating tactics is proposed to lead to compliance. The goal internalization motivation source and rational persuasion tactics is proposed to lead to commitment, while the instrumental process and the use of rational persuasion tactics is proposed to lead to compliance. Goal internationalization and the use of inspirational appeals tactics is proposed to lead to target commitment, while self-concept internal and inspirational appeals tactics is proposed to lead to target compliance. The self-concept external motivation source and consultation tactics is proposed to lead to commitment, while goal internalization and consultation tactics is proposed to lead to target compliance. The instrumental process motivation source and exchange tactics is proposed to lead to target commitment. The self-concept external motivation source and personal appeals tactics is proposed to lead to target commitment, while the self-concept internal or instrumental motivation sources is proposed to lead to compliance. The self-concept external motivation source and ingratiation tactics is proposed to lead to target commitment, while the instrumental process and ingratiation tactics is proposed to lead to compliance. The instrumental motivation source and pressure tactics is proposed to lead to commitment, while the self-concept external motivation source and pressure tactics is proposed to lead to target compliance. The goal internalization or self-concept external motivation sources and coalition influence tactics is proposed to lead to commitment, while instrumental process and coalition tactics is proposed to lead to target compliance. The moderating role of work motivation on the relationship between agents' influence strategies and targets' outcomes have been further developed other works (see Barbuto, 2000a; Barbuto & Gifford, 2009).

It has been argued that agents can administer desired rewards to motivate targets to work toward organizational goals or perform requested tasks by several well-respected scholars in the influence field (Kelman, 1958; Hinkin & Schriesheim, 1989). Targets motivated by public awareness and recognition of their contributions may be more likely to comply with agent requests (Barbuto & Scholl, 1998: Shamir, 1991). Targets may be more inclined to perform request tasks or work toward goals because of their increased awareness and their personal sense of accomplishment (McClelland, 1985). Targets may feel inclined to follow agent directives because they share the organization's vision – similar to results caused by the transformational leadership behavior of charisma (Bass, 1985). Explicitly, it is expected that four of the sources of work motivation will moderate the relationships between agents' influence tactics used and targets' initial reactions to these influence attempts.

Proposition 1a: Instrumental motivation will enhance the relationship between agents' (exchange, pressure, legitimating) tactics and targets' compliance.

Proposition 1b: Self-Concept External motivation will enhance the relationship between agents' (personal appeals, ingratiation, coalition) tactics and targets' compliance.

Proposition 1c: Self-Concept Internal motivation will enhance the relationship between agents' (rational persuasion, consultation) tactics and targets' compliance.

Proposition 1d: Goal Internalization motivation will enhance the relationship between agents' (rational persuasion, inspirational, consultation) tactics and targets' compliance.

Bases of Social Power

Pfeffer (1997) defined power as the influence one has over another, noting that power is prevalent throughout an organization, and that the act of exerting influence is conscious and intentional. Understanding how power is obtained, how it is used to garner desired results and how it is perceived by subordinates are all important components of power research. French and Raven (1959) proposed a content-based theory, consisting of five social bases of power - reward, coercive, legitimate, expert, and referent. These bases of social power were operationalized with a developed and validated measure (Hinkin & Schriesheim, 1989).

Reward power was described as the ability to influence targets because it was perceived that agents could provide targets with tangible items, such as raises or promotions. *Coercive power* was described as the ability to influence targets because targets perceived that agents could and would punish or withhold benefits. *Legitimate power* was described as the ability to influence targets because targets believed that agents were within their right to make such requests. *Expert power* was described as the ability to influence targets because it was perceived that agents have sufficient experience, knowledge or expertise, and have developed the necessary trust to warrant compliance. *Referent power* was described as the ability to influence targets because targets respect and/or emulate agents and seek agents' approval. While bases of power represent an ability to influence others – these bases are explanations of why certain influence tactics were successful, rather than observable behaviors. The actual intentional behaviors used to influence others are understood as influence tactics (Kipnis et al., 1980). In the proposed framework the relationship between agents' influence tactics and targets' outcomes (commitment, compliance, non-compliance) are moderated by agents' social bases of power. Influence tactics essentially are more compatible with specific bases of social power (described in the upcoming section) – thus resulting in conditions that favor commitment and compliance.

The Moderating Effects of Power

Bases of power are conceptualized from the target's perspective, and power only exists as it is perceived by targets (Hinkin & Schriesheim, 1989; French & Raven, 1959). Barbuto (2000a) outlined a framework for target compliance, incorporating intervening variables that included bases of power and target influence triggers, which lead to target compliance. In the framework, the relative compatibility of respective influence triggers with the agents' bases of social power produced conditions that favored compliance (See Figure 2). Using the rationale provided in prior work the following compatibilities are expected – whereby agents' use of influence tactics are best received in the face of agents' bases of social power as described next. Hinkin and Schriesheim (1990) reported relationships between influence tactics and perceptions of bases of power – which combined with prior work on influence triggers – leads to the following explicit propositions.

Proposition 2a: Reward Power will enhance the relationship between agents' exchange tactics and targets' compliance.

Proposition 2b: Coercive Power will enhance the relationship between agents' pressure tactics and targets' compliance.

Proposition 2c: Legitimate Power will enhance the relationship between agents' legitimating tactics and targets' compliance.

Proposition 2d: Referent Power will enhance the relationship between agents' (personal appeals, ingratiation, and coalition) tactics and targets' compliance and/or commitment.

Proposition 2e: Expert Power will enhance the relationship between agents' (rational persuasion, inspirational consultation) tactics and targets' compliance and/or commitment.

Conflict Resolution Styles

In this framework, conflict resolution modes are used to describe agents' reactions to targets' non-compliance. These secondary influence attempts are conceptualized in the proposed framework to describe the agents' reactions when faced with targets' resistance to their influence attempts. On secondary influence attempts, the agents' modes of conflict resolution are proposed to lead to targets' outcomes.

Thomas and Kilmann (1974) and Rahim (1983) theorized and studied conflict along two dimensions: assertiveness and cooperativeness. Their work has been widely cited and used in academic studies and organizational training (Womack, 1988), and has received high marks from trainers for its ease of use. Assertiveness was described as the effort to satisfy agents' concerns, while cooperativeness was described as the extent to which agents satisfy targets' concerns. Conflict resolution was then operationalized by the degree to which agents met their own concerns combined with the degree to which they met their targets' needs. Five modes of conflict resolution were operationalized - competing, collaborating, compromising, avoiding, and accommodating.

The competing mode was characterized by agents' assertiveness and lack of cooperation with targets, and with agents' effort to try to win their position (Thomas & Killman, 1974). The collaborating mode was characterized by agents' assertiveness and cooperation with targets, with a goal of mutual problem-solving to satisfy both parties. The compromising mode was characterized by agents' intermediate level of assertiveness and cooperation with targets, and the use of exchange concessions. The avoiding mode was characterized by agents' unassertiveness and lack of cooperation with targets, and their efforts to postpone or avoid unpleasant issues. The accommodating mode was characterized by agents' unassertiveness and cooperation with targets, with an effort to satisfy targets' goals.

Research testing these modes has found practical uses for their implementation in the workplace. Landa-Gonzalez (2008) examined how occupational therapist students resolve conflict in their practice environments. The author found that traditional students favored the collaborating mode, while nontraditional students favored competing and avoiding. Reich, Wagner-Westbrook, and Kressel (2007) studied the ideal and actual conflict styles of employees of a large metropolitan health care corporation. Respondents viewed their ideal conflict style as more avoiding than their actual conflict style. The authors also noted that job distress was reduced for respondents whose actual and ideal conflict resolution styles matched. Morris-Conley and Kern (2003) studied the conflict resolution mode and personality, and found that

scales on the BASIS-A Inventory, which measures lifestyle themes, correlated with four conflict resolution modes: avoiding, compromising, competing and collaborating.

Rahim (1983) studied five styles of organizational conflict management: integrating, obliging, avoiding, dominating, and compromising, also based on two scales: concern for self and concern for others. Research studies have shown that cooperative conflict resolution styles are correlated with positive outcomes, while non-cooperative styles correlated with negative outcomes (Rahim, 2002).

Research has also examined the emotive and substantive conflict dynamics inherent in all conflict settings (Pelled, 1996; Pelled, Eisenhardt, & Xin, 1999; Jehn, 1997). Substantive conflict was described as the conflict that prevents action or decisions from taking place (Rahim, 2002). Once resolved, decisions can be made and initiatives can be implemented. The second form of conflict is emotive, or affective, conflict, which was described as the emotional resentment or stigma that occurs when targets are dissatisfied with the process or modes of conflict resolution used (Rahim, 2002). Jehn (1992) found that members distinguish between the two types of conflict and each affects work group outcomes in a different manner. In every conflict setting, both substantive and emotive conflict must be resolved for optimal outcomes. In instances where substantive conflict is not resolved, no decision or action is made. In instances where emotive conflict is not resolved, decisions or actions may have taken place, but the lingering resentment and negative affect will impact future interactions and likelihood of future conflicts is amplified (Jehn, 1997).

In this framework, the outcomes of conflict resolution, operationalizing secondary influence attempts, can be understood by the degree to which they satisfy the substantive and emotive conflicts. In instances where both are satisfied, outcomes may include commitment or compliance without resentment. In instances where only substantive conflict is resolved, compliance with resentment is likely. In instances where substantive conflict is not resolved, resistance is the likely outcome. Group loyalty and job satisfaction are diminished (Jehn, 1997).

Jehn (1997) suggests that some level of conflict can result in positive outcomes in group dynamics. Conflict among task-related management teams can improve organizational performance and foster growth because of better understanding of individual opinions and creative options (Bourgeois, 1985; Eisenhardt & Schoonhoven, 1990).

Those who engage this mode demonstrate low concern for themselves and others (Barbuto & Xu, 2006). They also shun confrontational negotiations (Shell, 2001). This mode may be used when the negative outcomes of confrontation outweigh resolution (Rahim, 2002).

Those who engage this mode place greater emphasis on the negotiations then on the outcome, and find themselves vulnerable to targets who are more competitive (Shell, 2001). To resolve conflict, the agent may wish to appear to be agreeable and to be viewed as reasonable and friendly (Kabanoff, 1987). The accommodating mode may be employed when the agent valued harmony in the resolution exchange with targets (Womack 1988). Those who engage this mode view conflict in terms of winning or losing, and focus on matters that are more quantitative (Shell, 2001). Thomas and Kilmann (1974) described the mode as oriented in power. Kabanoff (1987) described this mode as highly assertive. Blake and Mouton (1964) labeled this mode as achieving middle ground, while Barbuto and Xu (2006) described the mode as all parties giving a little. The mode is appropriate to avoid elongated conflict (Rahim, 2002).

Those who prefer this mode use negotiations to examine the conflict to determine the targets' interests and perceptions (Shell, 2001). Issues are identified, explored and understood

before being resolved by agents and targets (Hignite, Margavio, & Chin, 2002). This mode requires creativity from both parties (Kabanoff, 1987).

In this framework, in instances where initial influence attempts are met with non-compliance (resistance), conflict exists that requires agents to resolve in order to potentially gain compliance. From the discussion above there are five preliminary results that can be anticipated based on the modes of conflict resolution employed by agents. It is expected that each mode of conflict resolution will result in both substantive and emotive outcomes – so it is possible to resolve conflict, but be left with emotive conflict (resentment). Additionally, based on prior work, only integrative modes of conflict resolution are anticipated to be capable of producing commitment in these secondary influence attempts. We anticipate the following substantive (compliance/non-compliance) and emotive (resentment) conflicts to be resolved in these secondary influence attempts.

Proposition 3a: Agents' use of the avoiding conflict resolution mode during secondary influence attempts optimally lead to non-compliance <u>without</u> resentment.

Proposition 3b: Agents' use of the accommodating conflict resolution mode during secondary influence attempts will optimally lead to non-compliance <u>without</u> resentment.

Proposition 3c: Agents' use of the competing conflict resolution mode during secondary influence attempts will optimally lead to compliance <u>with</u> resentment or non-compliance with resentment.

Proposition 3d: Agents' use of compromising conflict resolution mode during secondary influence attempts will optimally lead to compliance <u>without</u> resentment.

Proposition 3e: Agents' use of collaborating conflict resolution mode during secondary influence attempts will optimally lead to either commitment or compliance <u>without</u> resentment.

Influence Tactics	Commitment	Compliance	Resentment?
Legitimating Tactics	not expected	SCE Legitimate Power	N
Rational Persuasion Tactics	Goal Internalization Expert Power	Goal Internalization Expert Power	N
Inspirational Appeals Tactics	Goal Internalization Expert Power	Goal Internalization Expert Power	N
Consultation Tactics	Self-Concept Internal Expert Power	Self-concept Internal Referent Power	N
Exchange Tactics	not expected	Instrumental Motivation Reward Power	N
Personal Appeals Tactics	SCE Referent Power	Self-Concept External Referent Power	N

Ingratiation Tactics	SCE Reference Power Expert Power	Instrumental Motivation Referent Power Expert Power	N
Pressure Tactics	not expected	Instrumental Motivation Coercive Power	Y
Coalition Tactics	not expected	Self-Concept External Expert Power Referent Power	Y

Figure 2. Influence Tactics, Work Motivation, and Bases of Social Power: Conditions that Favor Commitment and Compliance

Discussion

The framework proposed in this paper examined the moderating effects of work motivation and power bases on the relationships between influence tactics used by agents and target's initial compliance/resistance to these tactics. The framework continues by exploring agent's secondary influence attempts at resolving the conflict – both emotive and/or substantive in efforts to gain commitment and compliance. This work appears to have several implications for research, practice, and sets the stage for a plethora of research inquiries.

Implications for Research

An empirical examination of the moderating effects of sources of work motivation and bases of power on the influence process is essential for advancing the field. This examination implies that influence tactics may not be successful on the initial attempt and may subsequently require a resolution of conflict to obtain compliance or commitment. The old adage, "try, try again," applies here.

While this framework proposes to go beyond initial influence attempts, by also considering the role of conflict resolution in secondary influence attempts, future research could incorporate a target's level of resistance and a target's influence triggers into the influence process – potentially at both the preliminary and secondary influence attempt event. Some lines of inquiry could include whether certain moderating variables are more salient in preliminary or secondary attempts presents worthwhile avenues for research. Only when the full range of moderating variables are explored and examined can agents be confident that their influence attempts have optimal chance for success. In addition, a secondary attempt to achieving commitment or compliance may not be sufficient to reach the desired results. Third, fourth or ongoing attempts to overcome resistance may provide meaningful distinctions to the influence process and help guide agents when persistence is necessary to overcome follower non-

compliance. Future research could also examine the duration of influence attempts, their frequency and also explore the settings for these attempts.

Future research aimed at recording or observing what agents actually do when faced with resistance from targets is a necessary line of inquiry. The proposed framework provides a possible explanation of what occurs, but empirical work aimed to uncover how agents react in these settings and how effective or ineffective various attempts at overcoming this resistance are – represent fruitful lines of empirical inquiry.

Additional research should consider process dynamics when testing this framework. Issues surrounding relationship dynamics between agents and targets, communication mediums, time between interactions, and perhaps attributes of the tasks at hand all are worthy of consideration in connection with the proposed model. Additionally, there are likely contextual and environmental factors that play into this framework and are worthy of careful consideration when planning research designs for testing the influence process as described in the proposed framework. We encourage future researchers to expand on the proposed framework while testing it so that the field's understanding of the influence process – and its multiple iterations – can be best understood.

Implications for Practice

Providing organizational leaders with the necessary tools and knowledge to help their co-workers achieve levels of high performance and maximum output is critical for organizational success. If agents understand the moderating effects on their efforts to influence their targets, they can adapt their behaviors to ensure optimal opportunity for success. Agents must understand that their influence efforts initially may not result in compliance or commitment from their targets. They must try again. They must realize what the effects that moderating variables have on their influence attempts, and adapt their approach. Only when agents understand the process will they be in the best position to achieve organizational goals.

Conclusions

This framework identified key variables that may impact the influence process in preliminary and secondary influence attempts by integrating influence tactics, work motivation, social power, and conflict resolution. The resulting framework identifies the optimal conditions for achieving compliance initially, while exploring the likely outcomes of secondary attempts – contingent upon the conflict resolution modes adopted. It is hoped that this work provides clarity and direction for future work in research and practice.

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AN EXPLORATIVE STUDY ON THE CONNECTION BETWEEN ETHICAL LEADERSHIP, PROTOTYPICALITY AND ORGANIZATIONAL MISBEHAVIOR IN A DUTCH FIRE SERVICE

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In this article, we examine the relationship between ethical leadership and organizational misbehavior in a Dutch fire service and the extent to which prototypicality mediates this relationship. It is found that ethical leadership of battalion chiefs is statistically negatively related to the occurrence of self-reported disobedience of 61 crew commanders. Being a group prototype or not seems to fully explain this effect, as we found a full mediation effect. In addition, we found no statistically significant connection between the three components of ethical leadership, role modeling, rewards and discipline, and communicating about ethics and values, and the self-reported organizational misbehavior. Consequently, the question arises whether leaders who are viewed as "ethical" leaders simply have more influence on the unethical behavior of subordinates due to their leadership or that their norms and values just more closely fit to the professional norms and values of subordinates.

In every organization there is some degree of organizational misbehavior. Organizational misbehavior can be defined as *"any intentional action by members of organizations that violates core organizational and/or societal norms"* and can be divided into instrumental processes (i.e.

misbehavior motivated by self-interest consideration) and normative processes (i.e. misbehavior due to identification with and devotion to what is seen as the organization) (Vardi & Wiener, 1996, p. 151).

Fire services are often considered in the literature as one of the few organizations which (can) operate successfully in a hierarchical command and control system, especially in emergency situations (e.g. Wenger et al., 1990), as it is commonly suggested that fire services have a strong culture which puts an emphasis on ranks, respect for authority, and command functions. It could therefore be expected that the degree of organizational misbehavior of fire service personnel during emergency situations is low. However, our research, which has been conducted in the Amsterdam Amstelland Fire Service, concludes the opposite. The few cases provided above give an impression as to why.

A scientific and practically relevant problem is the question as to how organizational misbehavior can be minimized. Much scholarly attention has been devoted to the forces that drive organizational members to engage in organizational misbehavior (Vardi & Wiener, 1996). However, our empirical knowledge about how to overcome organizational misbehavior is still limited (Brown et al. 2005; Brown & Trevino, 2006). In this article we therefore empirically examine the influence of ethical leadership as a positive force in relation to organizational misbehavior in the Amsterdam-Amstelland Fire Services, the largest professional fire service in the Netherlands. In the literature, ethical leadership is proposed to have direct positive effects on ethically appropriate conduct of organizational members and hence is supposed to be negatively associated with organizational misbehavior (Brown et al., 2005; Trevino et al., 2000; 2003; De Hoogh & Den Hartog, 2008; 2009; Kalshoven & Den Hartog, 2009). However, previous research on the effects of ethical leadership on organizational misbehavior shows conflicting results. While some research shows a positive relationship between ethical leadership and constructive work behavior (e.g. Brown et al., 2005; De Hoogh & Den Hartog, 2009; Mayer et al., 2009), other studies demonstrate that ethical leadership did not affect organizational misbehavior (Dineen et al., 2006; Detert et al., 2007). This means that more research is needed to better understand when and to what extent ethical leadership influences the extent of organizational misbehavior.

For that reason, we will look at the extent to which ethical leadership, as demonstrated by battalion chiefs (the fire department officer in charge at the site of an incident, who is supposed to coordinate multiple fire engines), influences organizational misbehavior of crew commanders (the commander of a fire engine is in charge of a team of 5 or 6 firefighters) and firefighters in emergency situations.

In addition, by drawing on the work of Kalshoven and Den Hartog (2009), we will examine the extent to which prototypicality mediates the relationship between ethical leadership and organizational misbehavior. Prototypical leaders possess characteristics that are typical of the group and which are shared by members of the group and thus reflect the group prototype (Van Knippenberg & Hogg, 2003; Van Knippenberg et al. 2004). As some studies have suggested, group prototypical leaders receive greater support from their men in comparison with non-prototypical leaders (Platow & Van Knippenberg, 2001) and communication from prototypical leaders has greater persuasive power (Van Knippenberg et al., 2000). Our working hypothesis will be that the effect of ethical leadership on limiting organizational misbehavior is enforced when the leader (i.e. the battalion chief) is seen as prototype of the group (i.e. crew commanders and his or her team). This hypothesis is based on preliminary interviews with 9 (of the 23) battalion chiefs, in which they claimed that they had more influence on crew

commanders and their teams than their colleagues, because they frequently engaged in social activities with the team (for example: practicing sports together, frequently visiting fire stations and completing training activities as a group). Consequently they believed they were seen more as members of the group. This possible relationship between ethical leadership, prototypicality and organizational misbehavior has, as far as we have been able to determine, not been previously studied.

In this article we will first present a short theoretical overview of the concept of ethical leadership and its components: role modeling through visible action, the use of rewards and discipline and communication about ethics and values. We will then relate organizational misbehavior and ethical leadership, prototypicality and ethical leadership and ethical leadership, prototypicality and organizational misbehavior to formulate our hypotheses on these relationships. Subsequently we will present our methodology and our results. In conclusion, we will discuss these results and our view on the relationship between ethical leadership, prototypicality and organizational misbehavior.

Ethical Leadership and Its Three Components

Ethical leadership is defined by Brown, Treviño and Harrison (2005) as *"the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through reinforcement, two-way communication, and decision-makin"* (p. 120). In the literature on ethical leadership, a distinction is made between being a moral person and a moral manager (e.g. Treviño et al., 2000). Being a moral person is a substantive basis of ethical leadership and implies that people think of you as having certain traits (e.g. being trustworthy, honest, etc.), engaging in certain kind of behavior and making decisions guided by ethical principles (Treviño et al., 2000). Being a moral manager is about drawing attention to ethical norms and values in the organization and attempting to foster followers' moral behavior by setting standards and expectation for moral conduct (Van den Akker et al., 2009). As we are interested in ways to minimize organizational misbehavior, we focus in this paper on moral management. Being a moral manager encompasses three key components: role modeling through visible action, the use of rewards and discipline, and communication about ethics and values (Treviño et al., 2000, p.131; Van den Akker et al., 2009). We refer to these as the components of ethical leadership or moral management.

Role Modeling through Visible Action

Moral managers actively demonstrate normatively appropriate behavior, and are consequently seen as legitimate and credible role models (Brown et al., 2005; Brown & Treviño, 2006). Role-modeling behavior is supported by the "social learning theory." The social learning theory suggests that individuals learn to pay attention to the attitude, behavior and values of believable role models, as well as, to reproduce these types of behavior (Brown & Treviño, 2006, p. 598; Brown et al., 2005, p. 119; Weaver et al., 2005, p. 314). Based on this theory, Brown and Treviño (2006) suggest that most individuals need others for ethical guidance. Their argument is similar to Weaver et al (2005), who argue that employees are strongly influenced by those individuals who are closest to them. Employees who work for an ethical leader are most inclined to imitate the behavior of their leader by showing ethical behavior themselves (Kaptein et al., 2005, p. 305; Treviño et al., 2000, p. 136; Treviño et al., 2003, p. 6).

Use of Rewards and Discipline

Moral managers use a system of rewards (involving rewards and punishments) to hold followers accountable for ethical behavior (Treviño et al., 2000, 2003; Lasthuizen, 2008). Ethical leaders set the standards for ethical behavior and control their adherence (Treviño et al., 2003, p. 18; Weaver et al,. 2005, p. 328). This mechanism is based on the reinforcement theory by Skinner (1953) and entails that people act, because they anticipate certain consequences. According to the reinforcement theory followers keep track of the people who get punished and the people who get rewarded in an organization (Arvey & Jones, 1985; Kanfer, 1990). That is why moral behavior should be publically rewarded. Otherwise followers do not know that ethical norms should be adhered to. Of course, this functions the other way around as well. When immoral behavior is left unpunished, followers will assume such behavior is tolerated (Weaver et al., 2005, p. 328).

Communication About Ethics and Values

Moral managers should be unambiguous in their communication about ethics and values. Clear and frequent communication about ethics and values is therefore recommended, as well as relating ethics to ordinary business processes and being as open as possible about these processes (Treviño et al., 2000; Brown et al., 2005; Treviño et al., 2003; Van den Akker et al., 2009). Moral managers should not only focus on articulating ethics, but should be able to "receive" information as well. Employees must feel safe to discuss ethical dilemmas and other problems they encounter in the workplace (Lasthuizen, 2008; Weaver et al., 2005). Employees should, for example, be stimulated by management to report bad news, without being reprimanded (Van Dyck et al., 2005).

Following the preceding paragraphs, it can be concluded that a moral manager is a role model, hands out rewards and punishment for good and bad behavior and communicates effectively about ethics and norms. In this study, we include the one-dimensional ethical leadership measure developed by Brown et al. (2005) as well as the three ethical leader components as measured by Treviño et al. (2000, p. 131) and Van den Akker et al. (2009). Thus, we measure role modeling, use of rewards and discipline, and communication about ethics and values (which, when taken together, could also be regarded as an ethical leadership scale) *in addition* to the one-dimensional ethical leadership scale, since we would like to know the extent to which the different components are related to organizational misbehavior and hence what component of ethical leadership matters most.

Organizational Misbehavior and Ethical Leadership

Organizational misbehavior consists of acts which hurt an organization and its stakeholders (i.e. customers, colleagues, suppliers and managers) or diverge from the norms and values which are stipulated by an organization or society in general (Ter Maat & Aarsten, 2005). This behavior can be visible, such as aggression or theft, but can also be more difficult to distinguish, such as not following specific instructions or doing work incorrectly. Organizational misbehavior can consequently be divided in passive and active organizational misbehavior behavior and can be directed towards an organization, as well as individual colleagues (Semmer

et al., 2010, Berry, Ones & Sackett, 2007; Robinson & Bennet, 1995; Robinson & Bennet, 2000). Examples are, respectively, gossiping about colleagues and taking long breaks from work (Dalal, 2005). Jones (2009) notes that organizational misbehavior can also be exclusively directed towards management.

   Much of the research on organizational misbehavior is centered on finding the cause of organizational misbehavior, without addressing the question as to how it can be reduced. Also there has been little research on the relationship between ethical leadership and organizational misbehavior. There are a few exceptions. Detert, Treviño, Burris en Andiappen (2007) found no significant relationship between ethical leadership and unethical behavior. Other research shows (e.g. Brown et al., 2005; De Hoogh & Den Hartog, 2009; Kalshoven et al., 2011; Mayer et al., 2009) that ethical leadership has a positive relationship with positive work behavior. This implies that ethical leadership stimulates positive work behavior and that ethical leadership reduces organizational misbehavior. This is confirmed by Mayer et al. (2009). Their study suggests that ethical leadership is associated with a reduction of organizational misbehavior and a stimulation of positive behavior. Other research suggests that fair treatment of employees (Greenberg, 1990) and social charismatic leadership (Brown, et al., 2006) decreases organizational misbehavior. In accordance with the literature, we therefore put forward the following hypothesis:

   H 1a: Ethical leadership has an overall negative relationship with organizational misbehavior.

   It can be deduced from the social learning theory that independent leadership traits, such as being a role model, having a system of rewards and punishment and communication about ethics and norms, influences organizational misbehavior. Employees identify themselves with ethical leaders, and even admire them, and try to reach the same level of ethical behavior (Brown & Treviño 2006, p. 607; Weaver et al., 2005, p. 314). It can also be deduced that rewards and punishment are one of the ways in which employees learn what acceptable behavior is (Bandura, 1977; Bandura 1986). Moreover this can be learned by witnessing ethical behavior or by hearing what possible consequences of unethical behavior are. It can be argued from Skinner's reinforcement theory (Skinner, 1953) that employees exhibit more ethical behavior and less organizational misbehavior when ethical behavior is rewarded and unethical behavior is punished. Recent research by Jones (2009) suggests that organizational misbehavior can be reduced when managers treat their employees with respect and dignity and explain why certain decisions were made. The corresponding aspect is communication on ethical leadership about ethics and norms. The literature leads us to the following hypotheses:

   H 1b, 1c, 1d: The ethical leadership components role modeling through visible action (1b), the use of rewards and discipline (1c) and communication about ethics and values (1d) have a negative relationship with organizational misbehavior.

Prototypicality and Ethical Leadership

   The prototype is used in expressing identity information and describes and prescribes what appropriate behavior is applicable for group membership in a certain context (Giessner & Van Knippenberg, 2008). The prototype reflects the social identity and is a reference point for people who identify with a specific group. Prototypical group members show preferred behavior.

Prototypicality can be understood from social identity theory (Tajfel & Turner, 1986). According to this theory the identity of a person is dichotomous. One part is shaped by a personal identity, which means that people have a free will. The other part consists of the social identity of an individual which comes from the knowledge that people are part of social groups and is shaped by the values and emotions which are part of this group membership (Syroit, Van Dijke & Völink, 2005). The more people identify themselves with a specific group (i.e. describe themselves in terms of a group identity), the more group membership shapes attitudes, conviction and behavior.

Kalshoven & Den Hartog (2009) are, as far as we know, the only scholars who studied the relationship between ethical leadership and prototypicality. Their research shows that prototypicality influences the relationship between ethical leadership and the perceived effectiveness of a leader indirectly. Ethical leaders are shown to be the ideal representatives of a group. This seems to suggest that ethical leaders are seen as more group prototypical. The following hypothesis can be derived from the work of Kalshoven & Den Hartog (2009):

H 2a: Overall ethical leadership has a positive relationship with prototypicality.

As mentioned before, we not only look at overall leadership, but at the three components of moral managers as well. According to Hogg (2001; see also Kalshoven & Den Hartog, 2009), prototypical leaders exemplify and amplify normative behavior. This relates closely to role modeling through visible action, using rewards and discipline and communicating about ethics and values. Based on this, we could formulate the following hypotheses:

H 2b, 2c, 2d: The ethical leadership components role modeling through visible action (2b), the use of rewards and discipline (2c) communication about ethics and values (2d) are positively related to prototypicality.

Ethical Leadership, Prototypicality and Organizational Misbehavior

Ethical leadership is associated with a decrease in organizational misbehavior, because employees identify themselves with ethical leaders, admire ethical leaders, try to reach the same level of ethical behavior and see an ethical leader as a role model for ethical behavior. (Brown & Treviño 2006, p. 607; Weaver et al., 2005, p. 314). Prototypicality is also partly associated with a decrease in organizational misbehavior, because prototypical leaders can influence the behavior of subordinates and employees identify themselves with the prototype, just like with ethical leadership.

The more a leader corresponds with a prototype, the more he or she represents group standards, norms and values (Hogg, 2001). Consequently, a prototypical leader is more effective in mobilizing and influencing followers than leaders who are not seen as prototypical (Hains, Hogg & Duck, 1997; Hogg, Hains & Mason, 1998; Van Knippenberg, Lossie & Wilke, 1994). This implies that prototypical leaders can influence organizational misbehavior of group members in a positive and negative manner. The expectation is therefore that overall ethical leadership and the ethical leadership components, as viewed by followers, influence organizational misbehavior. The literature suggests partial mediation, as it is stated that besides prototypicality other mechanisms also influence the relationship between ethical leadership and organizational misbehavior. (For instance: the personal relationship between leader and follower

outside the work environment, the degree to which crew commanders and battalion chiefs have interacted, etc. (cf. Van Kalshoven & Den Hartog, 2009)). Based on prior research, we can formulate the following hypotheses:

H 3a, 3b, 3c, 3d: Prototypicality has a partial mediating influence on the relationship between ethical leadership (3a) and the ethical leadership components (role modeling through visible action (3b), the use of rewards and discipline (3c) and communication about ethics and values (3d) and organizational misbehavior.
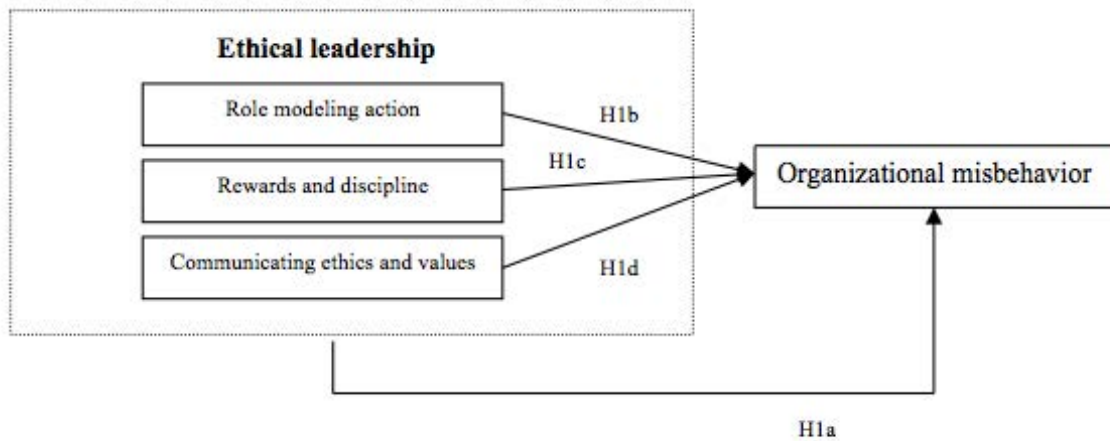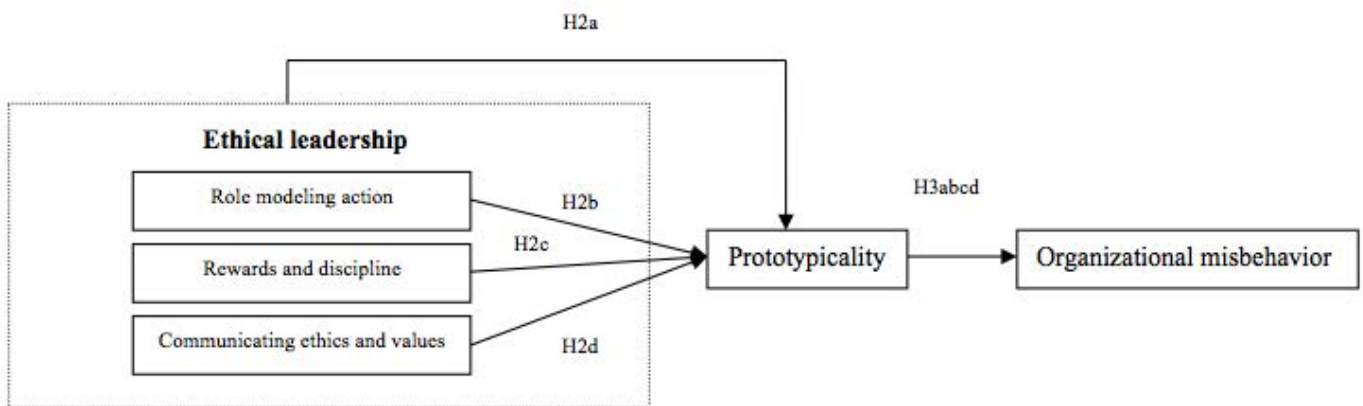
Figure 1. Conceptual model 1a.

Figure 2. Conceptual model 1b.

Methodology

Participants

As Brown (2007, p. 142) suggests, ethical leadership can best be understood by studying those people who are being leaded. We therefore asked all 97 professional crew commanders of the Amsterdam-Amstelland Fire Service to fill out a questionnaire. Crew commanders work irregular 24 hour shifts and can be hard to get a hold of (because they cannot leave their station). To get the response rate as high as possible, the questionnaires were distributed during crew commander "theme meetings" held each year in May and October. During these meetings our research goal was presented and afterwards the questionnaires were handed out. A total of 61 crew commanders filled out the complete questionnaire (a 63% response rate). The crew commanders had to fill out the questionnaire immediately, since we knew from prior experience in fire services that crew commanders are hard to motivate to participate in survey research.

The questionnaire consists of 43 questions and has been tested beforehand (see below). When filling out the questionnaire the crew commanders were asked to keep the last battalion chief they"ve worked with (during an incident) in mind.

Scale

We have measured *ethical leadership* by using Brown et al.'s (2005) Ethical Leadership Scale (ELS) (p. 125). The ELS consists of ten items which are ranked on a 7 point Likert Scale, where 1 stands for "Strongly Disagree" and 7 for "Strongly Agree." By comparing the results of the crew commanders an ethical leadership average of the battalion chiefs was calculated.

The questionnaire was pre-tested in order to know whether the questionnaire was understandable for the participants. The result of the pre-test was that certain items were not apparent to the respondents. On every question "leader" has therefore been changed in battalion chief. For example in: "The battalion chief listens to what employees have to say." All questions have been revised according to this setup. In addition it was not understood what was meant by "the battalion chief sets an example of how to do things the right way in terms of ethics." To clarify we added an example, and revised it as follows: "the battalion chief sets an example of how to do things the right way in terms of ethics, for example by abiding to the safety rule strictly." Also "ethical" in the item "conducts his/her personal life in an ethical manner" has been explained, following the theory, by using sincerity, reasonability and caring as examples. "Ethical standards" in the item "disciplines employees who violate ethical standards" are explained by giving examples of security protocols, the correct usage of material or the limits of the response area. In the item "discusses business ethics or values with employees" examples are provided of business ethics and values, such as the fact that the cars of the fire service may not be used for personal reasons or beards are not allowed. At the request of the Amsterdam Amstelland Fire Service three items were added: (1) The battalion chief can change/withdraw orders based on the arguments of his/her co-workers; (2) The battalion chief defines success as a collaborative act, and (3) The battalion chief can be both critical and vulnerable.

The internal consistency between the 13 items was very high (α .924). Therefore, all 13 items are taken together into the overall ethical leadership scale.

Role-modeling behavior, the use of rewards and discipline and the communication about ethics and values are measured by using Akker et al.'s (2009) scale. Akker et al. measure the moral manager aspect (see Trevino et al., 2000) based on six statements and three answer categories. Each of these corresponds to an ethical leadership element. The respondents assign priority to the ethical behavior they would like to see and fill out the behavior they actually see. In our study we ask what the observed ethical behavior is. The six statements are not measured according to a Likert Scale, as are the other questions. The variables are nominal and cannot be used in a regression analysis with the other variables. To make this possible each statement is transformed in a dichotomous variable, which means that we have made two answer categories out of initial three. In Van den Akker et al.'s (2009) questions the word "moral" is used. In our pre-test it was found that the content of "moral" was not clear to the respondents. Because of this in our questionnaire "moral" and "ethical" are, in accordance with Brown et al (2005), translated in "sincere," "reasonable" and "caring."

Prototypicality is measured by using the Van Knippenberg and Van Knippenberg (2005) scale. The answer scale is a 5-point Likert-scale in which 1 corresponds to "disagree" and 5 to "agree." In our pre-test it came up that the word "group values" in the questions on prototypicality was not clear either. This item has been changed in "the Battalion Chief embodies our group values. This means that he acts in a way me and my group finds appropriate." The internal consistency between the items was very high (α .925). Therefore, all six items are taken together into the overall scale prototypicality.

Organizational misbehavior is measured best by observing it in real life, for instance by the use of a helmet mounted camera. In this study organizational misbehavior is measured by asking questions to employees (hence employee self-report), which is an accepted and widely used method in literature for measuring organizational misbehavior (e.g., Aquino et al., 1999; Fox et al., 2001; Robinson & Bennett, 2000; Fox et al., 1999). Organizational misbehavior is measured by using the Organizational Deviance Scale by Robinson and Bennet (1995; 2000). As we were interested in a specific form of organizational misbehavior, i.e. disobedience in operational settings, we added five items: (1) Do you start negative rumors on the Amsterdam-Amstelland Fire Service? (2) Have you ever endangered yourself or colleagues by not following order from the Battalion Chief? (3) How many times have you entered a burning building against the orders of a Battalion Chief? (4) How many times did have you acted as if you haven't heard an order from the Battalion Chief? (5) How many times did you present a fire smaller than it actually was, so a Battalion Chief was not called for?
Answers can be provided according to a seven-point Likert-scale, where 1 corresponds to "never" and 7 to "always." In our questions "boss" is replaced by Battalion Chief, and organization has been supplemented with Amsterdam Amstelland Fire Service. Also "at the site of an incident" is added, for example, to the item "employee talking with co-worker instead of working."

The internal consistency between the items was acceptable (α .7654). Therefore, all 16 items are taken together into the overall scale organizational misbehavior.

At the request of the Amsterdam-Amstelland Fire Service two questions were added to the questionnaire: (1) Are you reprimanded by a Battalion Chief when you scaled up an incident not according to the rules?; (2) Do you think it's a good idea for Battalion Chiefs to reprimand Crew Commanders when rules are broken?

Results

Descriptive Results

As already noted, 61 of the 97 Crew Commanders filled out the questionnaire, a response rate of 63%. All of the respondents were male. At the moment there were no female Crew Commanders working at the Amsterdam-Amstelland Fire Service. On average the respondents have worked for the fire service for 26.5 years (starting as firefighter, "climbing through the ranks" to crew commander) and have a MBO (vocational) education.

The average, the mode and the standard deviation of the variables "ethical leadership," "prototypicality" and "organizational misbehavior" are presented in the table below.

Table 1. Descriptive Statistics.

	M	Mode	SD	1	2
Ethical Leadership	4.80	4.08	1.00		
Prototypicality	2.82	2.00	.86	,760**	
Organizational Misbehavior	1.91	1,40[a]	.64	-,385**	-,390**

Note: **$p < .01$.

The results demonstrate that battalion chiefs, in the perception of the crew commanders, show a low level of ethical leadership and are generally not regarded as group prototypes. According to their self-reports, crew commanders rarely engage in organizational misbehavior, although respondents to some extent admit to disobeying orders from battalion chiefs. In appendix A we enclosed the scores of the different items of the Ethical Leadership Scale, prototypicality and organizational misbehavior.

Role Model Behavior

On the first statement, "My Battalion Chief displays ethical consistency in that…," 53.4% of our respondents (n=58) answered that their Battalion Chief at least "talks the walk," 24.1% said their Battalion Chief "walks the talk" and 22.4% says that their Battalion Chief "always walks the talk and talks the walk." On the second statement, "My Battalion Chief routinely demonstrates his/her moral values to me," 56.6% of the respondents (n=46) said that this is only the case in professional situations, 34.8% said that this happens in both private and professional situations, and 8.6% said this only the case in private situations. It should be noted that most Crew Commanders acknowledged to not having seen their Battalion Chief in private situations.

System of Reward and Punishment

On the first statement, "My manager secures the ethical behavior of employees by emphasizing…," 45.1% of our respondents (n=51) said that their Battalion Chief punishes deviance from organizational values, principles and standards, 15.7% said their Battalion Chief

rewards conformity to organizational values, principles and standards and 39.2% said their Battalion Chief rewards conformity and punishes deviance. On the second statement, "My manager is exemplary in defining success in that he or she…," 49.1 % of the respondents (n=53) said that their Battalion Chief defines success not only by results, but in also in the way these were achieved, 28.3% said that their Battalion Chief defines success by results, but does not allow unethical or illegal conduct in obtaining them and 22.6% of the respondents said their Battalion Chief defines success by results, regardless of how these are achieved.

Communication on Ethics and Norms

On the first statement, "My Battalion Chief transmits organizational values, principles and standards to me…," 51.9% of the respondents (n=54) said that his happened in a spirit of commitment through coaching, 40.7% said this happened in a spirit of compliance, by telling the way it should be done and 7.4 said that his happened in a spirit of self governance, through intense dialogue. On the second statement, "My Battalion Chief would consider me most exemplary if I was willing to…," 52.8% (m=53) said they needed to report unethical behavior to him or her when I experience it in my work environment, 41.5% said they needed to stand up to their Battalion Chief when they sensed he or she is displaying or allowing unethical behavior and 5.7% said they needed to close their eyes and shut their ears to unethical behavior he or she is experiencing in the work place.

Additional Questions

On the question "Are you reprimanded by a battalion chief when you scaled up an incident not according to the rules?" 52.7% (n=55) answered that this almost never happened. 47.3% of the crew commanders (n=55) answered that they sometimes or often are reprimanded when they scaled up not according to the rules. Though most crew commanders are not reprimanded by battalion chiefs when they scale up not according to the rules, 90.9% agrees that crew commanders should be reprimanded when rules are broken. 9.1% thinks that reprimanding crew commanders is bad.

Regression Analysis

A number of regression analyses have been performed to review the extent to which prototypicality mediates the relationship between ethical leadership and organizational misbehavior. To be able to study the mediating role of prototypicality on the relationship between ethical leadership and organizational misbehavior, we have followed the three steps by Baron and Kenny (1986). First we needed to show a significant relationship between the antecedent ethical leadership and the dependent variable organizational misbehavior. As expected the regression analysis demonstrated a statistically significant negative relationship between the two ($ß = -.385$, $p<.01$). Hypothesis 1a is therefore accepted. Second we needed to show a statistically significant relation between ethical leadership and and prototypicality, and between prototypicality and organizational misbehavior. As expected the regression analysis show a positive and significant relationship between ethical leadership and prototypicality ($ß = .760$, $p<.01$). Hypothesis 2a is therefore also accepted. Between prototypicality and organizational misbehavior the regression analysis shows a statistically significant negative

relationship (ß = -.390, *p*<.01). Third we should measure the impact of prototypicality as a mediating variable. In the regression analysis prototypicality has been added as a mediator in the equation between ethical leadership (independent variable) and organizational misbehavior (dependent variable). Our results show that the significance of the ß drops from -.385 to -.202. This shows there is a mediating effect. The beta value of ethical leadership changes from statistically significant to non-significant. This implies there is a full mediation effect. Hypothesis 3a can hence be partially accepted (see figure 5 and table 4).

Figure 3. Regression ethical leadership and organizational misbehavior
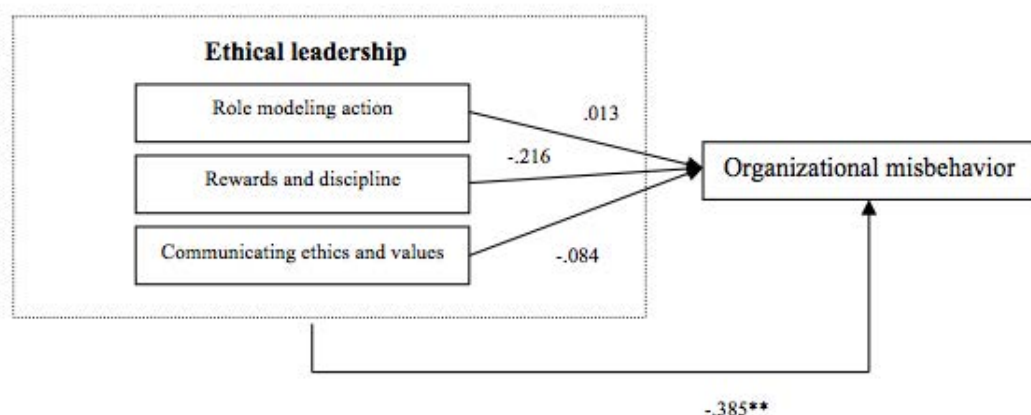
Table 2. Regression results ethical leadership and its three components and organizational misbehavior

	Organizational misbehavior			
	R^2	$AdjR^2$	F	$ß$
Ethical leadership	.148	.132	9.55**	-.385**
Role modeling through visible action	.000	-.019	.009	.013
Rewards and discipline	.047	.029	2.59	-.216
Communicating ethics and values	.007	-.012	.378	-.084

Note: **$p < .01$.

Figure 4. Regression analysis ethical leadership and prototypicality
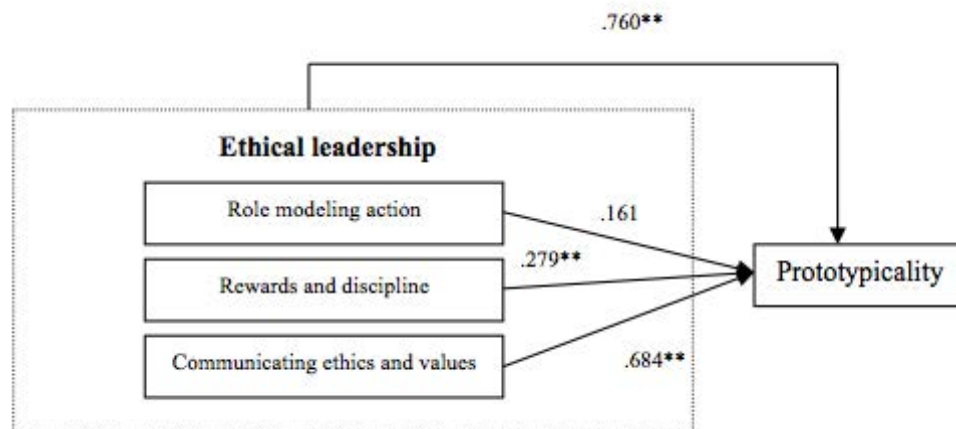
Table 3. Regression results ethical leadership and its three components and prototypicality

	Organizational misbehavior			
	R^2	$AdjR^2$	F	$ß$
Ethical leadership	.577	.570	79.10**	.760**
Role modeling through visible action	.026	.008	1.47	.161
Rewards and discipline	.078	.061	4.54**	.279**
Communicating ethics and values	.468	.458	47.45**	.684**

Note: **$p < .01$.

For practical implications we have also looked at the R-squared of this regression, which is 16.7%. This means that 16.7% of the variance in organizational misbehavior is caused by the variables ethical leadership and prototypicality.

The three ethical leadership components, role model behavior (ß .013 p>.1), system of rewards and punishment (ß -.216 p>.1), and communication on ethics and norms (ß -.084 p>.1), show no statistically significant correlation with the variable organizational misbehavior. Hypotheses 1b, 1c and 1d should be rejected therefore. There are several reasons for this. The most important one is the fact that the organizational misbehavior shows little explained variance. The variable has a reach between 0 and 7, but 63% has scored below 2 and less than 10% above 2.5. Relationships between other variables are thus less likely to be significant. As we found no statistically significant correlation, a mediation effect of prototypicality on the relationship between the ethical leadership components and organizational misbehavior (hypotheses 3b, 3c and 3d) cannot be measured. The regression analysis on the three ethical leadership components and prototypicality shows some conflicting results. Role model behavior and prototypicality appear to have no significant relation (ß .161 p>.05). For the two other components (system of rewards and punishment and communication on ethics and norms) the

relation was significant (ß .279 p<.05, ß .684 p<.01). Hypothesis 2b is therefore rejected, hypotheses 2c and 2d are accepted.

Figure 5. Regression for mediation results
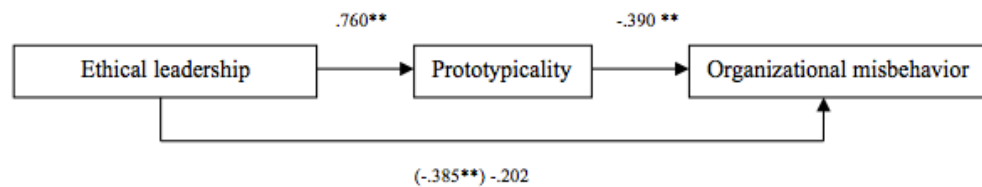
Note: **$p < .01$.

Table 4. Regression for mediation results

	Prototypicality	Organizational misbehavior	Organizational misbehavior	Organizational misbehavior
Ethical leadership	.760**	-.385**		
Prototypicality			-.390**	
Ethical leadership Prototypicality				-.202
R^2	.577	.148	.152	.167
F	79.10**	9.55**	9.88**	5.43**

Note: Relation between ethical leadership and organizational misbehavior and the mediating variable prototypicality. N=61, *Note*: **$p < .01$.

Additional Analysis

Additionally, we put together the three components of ethical leadership into the variable "composed components of ethical leadership" to examine the possible relations between the components of ethical leadership, prototypicality and organizational misbehavior. While the three separate components have no statistically significant relation with organizational misbehavior, the composed components of ethical leadership show to be statistically significant correlated with organizational misbehavior (ß = -.251, $p<.05$, $F = 3.172$, $p<.05$). To attain more information on the separate components of ethical leadership, we examined the three components as independent variables of ethical leadership and looked at the coefficient R-square, which explains the variance in ethical leadership. The variance in ethical leadership is explained by 9.7%, 15.5% and 52.5% for role model behavior, rewards and discipline and communication about ethics and values respectively. More than half of the variance is explained by the variable "communication about ethics and values." Apparently this component determines the largest part of the effect of ethical leadership.

Discussion

In line with our hypotheses the results of our research show that ethical leadership of battalion chiefs, as experienced by crew commanders, is statistically negatively related to the occurrence of self-reported disobedience of crew commanders. Being a group prototype or not seems to fully explain this effect, as we found that prototypicality completely mediates the connection between ethical leadership and organizational misbehavior. Furthermore, we found no statistically significant relationship between the three separate components of ethical leadership (role modeling, rewards and discipline and communicating about ethics and values) and self-reported organizational misbehavior. Only the three components together appear to be negatively statistically related to organizational misbehavior.

Our research adds to current literature which has reported conflicting results regarding the connection between ethical leadership and unethical behavior (Mayer et al., 2009; Detert et al., 2007; Dineen et al., 2006). But, in our opinion, the most important contribution of our research is that it shows the importance of prototypicality for research on ethical leadership. According to our research, the more leaders are regarded by group members as prototypical and hence demonstrate the norms and values of the group, the less group members are likely to engage in disobedient behavior. Kalshoven & Den Hartog (2009) arrived at similar conclusions and found that prototypicality is an important mediator in the relationship between ethical leadership and perceived leader effectiveness. Along the same line, Van den Akker et al. (2009, p. 116) reported in their research on the connection between ethical leadership and trust that *"the more leaders act in ways followers feel is the appropriate ethical leader behavior, the more that leader will be trusted."* These findings suggest that ethical leaders do not simply have more influence due to their leadership as is noted in prior research (e.g. Mayer et al., 2009; 2010), but that their leadership more closely fits to the professional norms and values of the group members to be led. Based on the interviews with battalion chiefs and the examples in the questionnaires provided by crew commanders, we concluded that crew commanders and battalion chiefs sometimes have different perceptions of the professional norms and values to be demonstrated at the incident site. Task-autonomy, an example noted by crew commanders, is an important professional value for crew commanders and their team. So when battalion chiefs demonstrate that they respect the task-autonomy of crew commanders and thus not interfere with crew commanders" decision-making, they are likely to be seen as ethical leaders and as a result very unlikely to face disobedient behavior. But when battalion chiefs deem a situation to be unsafe and therefore centralize decision-making, they are not very likely to be seen as ethical leaders (as they do not respect task-autonomy) and therefore the effect of "ethical" leadership will be limited. However, centralizing decision-making in this case may be imperative as the battalion chief generally have a more comprehensive view on what is going on at the incident site and thus can make better tactical decisions. Hence, our research shows that when leader and followers have a different view on what is normatively appropriate, which seems to be very context-dependent, the leader is unlikely to be regarded by followers as an ethical leader, even when the leader from an outsiders' perspective demonstrates appropriate conduct. This observation sheds a new light on the existing research which reported positive relationships between ethical leadership and follower behavior. In fact, these studies seem to say more about the congruence of observed and desired leader behavior by followers, than the extent to which a leader truly is an effective moral manager.

Our research has several limitations. First, the crew commanders involved in our research were not randomly selected. It may be possible that the crew commanders who engage in (significant forms of) organizational misbehavior did not want to participate in our research and hence did not fill out a questionnaire. Second, the results of our research only reflect the opinion of crew commanders in the Amsterdam Amstelland Fire service, and hence is not *a priori* valid to other fire services. Nonetheless, some battalion chiefs with working experience in other fire services indicated that the degree of organizational misbehavior in the Amsterdam Amstelland Fire Service is not remarkable. Third, while the number of participants in our study was high in relation to the total number of professional crew commanders in the Amsterdam Amstelland Fire Service, the absolute number of participants was low. Fourth, as the questions in the questionnaire were sometimes badly understood by the participants, we had to provide some examples. This may have influenced the answers given by the participants. Fifth, as crew commanders and battalion chiefs rarely work together, we asked the crew commanders to think of the last battalion chief they worked with (in an emergency situation) when filling out the questionnaire. Some crew commanders reported that they found it difficult to think only of the last battalion chief they worked with.

Based on our research we would like to provide some recommendation for future research. First, we recommend researchers examining ethical leadership to take more contextual factors into account, i.e. by referring to specific situations (work deadlines, crisis situations, briefings, informal meetings, formal meetings etc.) In addition, we think it is important to understand what leaders and followers define as appropriate conduct and how this is related to the ethics of the organization. If leader and followers simply have a different perception of the ethics of the organization, it cannot be concluded that the leader demonstrates limited levels of ethical leadership. It only shows that the leader demonstrates different ethical values. Furthermore, for gaining insight into the effect of ethical leadership, we propose to use both quantitative as qualitative research methods. For instance, the ELS item "the leader sets an example of how to do things the right way in terms of ethics," is very abstract and does not say anything about how often or in which situations a leader sets an example. After filling out the questionnaire a crew commander noted that *"he does not listen to battalion chiefs who do not wear a helmet, while wearing a helmet is obligatory for all fire service personnel at the incident site."* These kind of statements can be used to incorporate a concrete question about the degree to which a leader is a role model and sets an example of how to do the things right way in terms of ethics. For researching the effect of (ethical) leadership in extreme contexts, such as emergency situations, we recommend researchers to use a participatory research design and use helmet-mounted cameras. Second, we would suggest researchers to take more objective criteria into account when examining the *effect* of ethical leadership, e.g. by examining the relation between ethical leadership and unit profitability or unit health-related absenteeism. Then it becomes possible to draw more reliable conclusions regarding the relation between ethical leadership and follower behavior.

For leaders in fire services, our research has practical implications. It seems important that leaders know what the groups norms and values are. Our research suggests that to be effective, leaders should attempt bringing the professional norms and values of the group in line with their own. In line with prior research (Van den Akker et al., 2009), we propose that this can be accomplished by training or discussions at group-level, in which both followers and leaders can come to a common understanding of appropriate conduct during incidents. In addition, when searching for new fire service personnel, we think it is imperative to select personnel which

already has the desired professional norms and values. Finally we think that crew commanders and battalion chiefs should use the debriefing (the meeting after an incident) more effectively, for instance by providing feedback and discussing the norms and values demonstrated by both leaders as follower.

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Appendix

Ethical Leadership Scale (Brown et al., 2005, with few adjustments made after pretesting)

The battalion chief sets an example of how to do things the right way in terms of ethics, e.g. by abiding to the safety rules strictly.		
	Frequency	*Percent*
Completely disagree	1	1,6
Mostly disagree	3	4,9
Slightly disagree	11	18,0
Undecided	10	16,4
Slightly agree	22	36,1
Mostly agree	8	13,1
Completely agree	6	9,8
	61	**100**
The battalion chief has the best interests of employees in mind.		
	Frequency	*Percent*
Completely disagree	0	0
Mostly disagree	5	8,2
Slightly disagree	5	8,2
Undecided	10	16,4
Slightly agree	13	21,3
Mostly agree	20	32,8
Completely agree	8	13,1
	61	**100**
The battalion chief can be trusted.		
	Frequency	*Percent*
Completely disagree	1	1,7
Mostly disagree	3	5,1
Slightly disagree	10	16,9
Undecided	14	23,7
Slightly agree	12	20,3
Mostly agree	14	23,7
Completely agree	5	8,5
	59	**100**
The battalion chief asks his or her coworkers when making decisions, "what is the right thing to do?"		
	Frequency	*Percent*
Completely disagree	2	3,3
Mostly disagree	2	3,3
Slightly disagree	8	13,1
Undecided	12	19,7
Slightly agree	9	14,8
Mostly agree	22	36,1
Completely agree	6	9,8
	61	**100**
The battalion chief makes fair and balanced decisions.		
	Frequency	*Percent*
Completely disagree	0	0
Mostly disagree	0	0
Slightly disagree	3	4,9
Undecided	17	27,9

Slightly agree	21	34,4
Mostly agree	16	26,2
Completely agree	4	6,6
	61	**100**

The battalion chief defines success not just by results but also the way that they are obtained.

	Frequency	*Percent*
Completely disagree	1	1,6
Mostly disagree	3	4,9
Slightly disagree	6	9,8
Undecided	10	16,4
Slightly agree	21	34,4
Mostly agree	15	24,6
Completely agree	5	8,2
	61	**100**

The battalion chief listens to what employees have to say.

	Frequency	*Percent*
Completely disagree	2	3,2
Mostly disagree	0	0
Slightly disagree	6	9,7
Undecided	13	21,0
Slightly agree	20	32,3
Mostly agree	14	22,6
Completely agree	6	9,7
	61	**100**

The battalion chief conducts his/her personal life in an ethical (sincere, reasonable and caring) manner.

	Frequency	*Percent*
Completely disagree	2	3,6
Mostly disagree	0	0
Slightly disagree	4	7,3
Undecided	20	36,4
Slightly agree	8	14,5
Mostly agree	16	29,1
Completely agree	5	9,1
	55	**100**

The battalion chief disciplines employees who violate ethical standards (e.g.: security protocols, the correct usage of material or the limits of the response area).

	Frequency	*Percent*
Completely disagree	1	1,7
Mostly disagree	0	0
Slightly disagree	6	10,2
Undecided	15	25,4
Slightly agree	16	27,1
Mostly agree	13	22,0
Completely agree	8	13,6
	59	**100**

The battalion chief discusses business ethics or values with employees.

	Frequency	*Percent*
Completely disagree	3	5,1
Mostly disagree	4	6,8
Slightly disagree	8	13,6
Undecided	16	27,1
Slightly agree	17	28,8
Mostly agree	8	13,6
Completely agree	3	5,1
	59	**100**

Additional item I: The Battalion Chief can change/withdraw orders based on the arguments of his/her co-workers.

	Frequency	*Percent*
Completely disagree	0	0
Mostly disagree	3	4,9
Slightly disagree	5	8,2
Undecided	12	19,7
Slightly agree	14	23,0
Mostly agree	18	29,5
Completely agree	9	14,8
	61	**100**

Additional item II: The Battalion Chief defines success as a collaborative act.

	Frequency	*Percent*
Completely disagree	0	0
Mostly disagree	5	8,2
Slightly disagree	2	3,3
Undecided	14	23,0
Slightly agree	19	31,1
Mostly agree	15	24,6
Completely agree	6	9,8
	61	**100**
Additional item III: The Battalion Chief can be both critical and vulnerable.		
	Frequency	*Percent*
Completely disagree	2	3,3
Mostly disagree	7	11,5
Slightly disagree	11	18,0
Undecided	8	13,1
Slightly agree	15	24,6
Mostly agree	11	18,0
Completely agree	7	11,5
	61	**100**

Prototypicality (Knippenberg & Knippenberg, 2005 with few adjustments made after pretesting)

The battalion chief is a good example of the kind of people that are members of my team.		
	Frequency	*Percent*
Strongly disagree	6	10,0
Disagree	15	25,0
Undecided	21	35,0
Agree	14	23,3
Strongly agree	4	6,7
	60	**100**
The battalion chief represents what is characteristic about the team.		
	Frequency	*Percent*
Strongly disagree	3	5,1
Disagree	18	30,5
Undecided	16	27,1
Agree	16	27,1
Strongly agree	6	10,2
	59	**100**
The battalion chief has a lot in common with the members of the team.		
	Frequency	*Percent*
Strongly disagree	6	10,3
Disagree	21	36,2
Undecided	17	29,3
Agree	12	20,7
Strongly agree	2	3,4
	58	**100**
The battalion chief shares many characteristics of my team members.		
	Frequency	*Percent*
Strongly disagree	6	10,2
Disagree	19	32,2
Undecided	24	40,7
Agree	7	11,9
Strongly agree	3	5,1
	59	**100**
The battalion chief is the same kind of person as the members of my team.		
	Frequency	*Percent*
Strongly disagree	5	8,3
Disagree	26	43,3
Undecided	24	40,0
Agree	4	6,7
Strongly agree	1	1,7
	60	**100**
The battalion chief embodies our group values. This means that he acts in a way me and my group finds appropriate		
	Frequency	*Percent*

Strongly disagree	5	8,5
Disagree	16	27,1
Undecided	15	25,4
Agree	18	30,5
Strongly agree	5	8,5
	59	**100**

Organizational misbehavior (Robinson & Bennet, 1995; 2000 with few adjustments made after pretesting)

How often do you go against a battalion chief"s decision?		
	Frequency	*Percent*
Never	6	10,5
Very rarely	14	24,6
Rarely	11	19,3
Occasionally	14	24,6
Very frequently	11	19,3
Always	1	1,8
	57	**100**
How often do you work intentionally slowly?		
	Frequency	*Percent*
Never	32	57,1
Very rarely	19	33,9
Rarely	1	1,8
Occasionally	3	5,4
Very frequently	0	0
Always	1	1,8
	56	**100**
How often do you lie about your hours worked to get paid more?		
	Frequency	*Percent*
Never	46	85,2
Very rarely	7	13,0
Rarely	0	0
Occasionally	1	1,9
Very frequently	0	0
Always	0	0
	54	**100**
How often do you purposely break gear/equipment?		
	Frequency	*Percent*
Never	39	69,6
Very rarely	11	19,6
Rarely	5	8,9
Occasionally	1	1,8
Very frequently	0	0
Always	0	0
	56	**100**
Do you start spreading negative rumers about the Amsterdam-Amstelland Fire Service?		
	Frequency	*Percent*
Never	28	50,0
Very rarely	15	26,8
Rarely	4	7,1
Occasionally	4	7,1
Very frequently	4	7,1
Always	1	1,8
	56	**100**
Do you gossip about the battalion chief?		
	Frequency	*Percent*
Never	14	25,0
Very rarely	14	25,0
Rarely	7	12,5
Occasionally	15	26,8
Very frequently	4	7,1
Always	1	1,8
	56	**100**

Do you make deliberate mistakes?		
	Frequency	*Percent*
Never	50	89,3
Very rarely	2	3,6
Rarely	2	3,6
Occasionally	2	3,6
Very frequently	0	0
Always	0	0
	56	**100**
Do you cover up mistakes?		
	Frequency	*Percent*
Never	24	43,6
Very rarely	23	41,8
Rarely	4	7,3
Occasionally	2	3,6
Very frequently	2	3,6
Always	0	0
	55	**100**
How often do you endanger yourself by not following safety procedures?		
	Frequency	*Percent*
Never	25	44,6
Very rarely	18	32,1
Rarely	8	14,3
Occasionally	2	3,6
Very frequently	3	5,4
Always	0	0
	56	**100**
How often do you talk at the site of an incident with a co-worker instead of working?		
	Frequency	*Percent*
Never	18	32,7
Very rarely	19	34,5
Rarely	13	23,6
Occasionally	4	7,3
Very frequently	0	0
Always	1	1,8
	56	**100**
How often do you challenge a battalion chief"s decision?		
	Frequency	*Percent*
Never	7	12,7
Very rarely	14	25,5
Rarely	10	18,2
Occasionally	14	25,5
Very frequently	7	12,7
Always	3	5,5
	55	**100**
Have you ever endangered yourself or colleagues by not following an order from the Battalion Chief?		
	Frequency	*Percent*
Never	41	74,5
Very rarely	11	20,0
Rarely	2	3,6
Occasionally	1	1,8
Very frequently	0	0
Always	0	0
	55	**100**
Have you ever endangered other people than your colleagues by not following an order from the Battalion Chief?		
	Frequency	*Percent*
Never	42	76,4
Very rarely	10	18,2
Rarely	2	3,6
Occasionally	1	1,8
Very frequently	0	0
Always	0	0
	55	**100**
How many times have you entered a burning building against the orders of a Battalion Chief?		
	Frequency	*Percent*

Never	41	74,5
Very rarely	9	16,4
Rarely	1	1,8
Occasionally	1	1,8
Very frequently	3	5,5
Always	0	0
	55	**100**

How many times did have you acted as if you haven't heard an order from the Battalion Chief?

	Frequency	*Percent*
Never	40	72,7
Very rarely	12	21,8
Rarely	2	3,6
Occasionally	0	0
Very frequently	1	1,8
Always	0	0
	55	**100**

How many times did you present a fire smaller than it actually was, so a Battalion Chief was not called for?

	Frequency	*Percent*
Never	32	58,2
Very rarely	10	18,2
Rarely	5	9,1
Occasionally	5	9,1
Very frequently	3	5,5
Always	0	0
	55	**100**

SUPPORTIVE SUPERVISOR COMMUNICATION AS A MEDIATOR OF THE LEADER-MEMBER EXCHANGE AND SUBORDINATE PERFORMANCE RELATIONSHIP

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The focus of this research is on the relationships between leader-member exchange (LMX), supportive supervisor communication (SSC), and subordinate job performance. It was predicted that the relationship between subordinate ratings of LMX quality and supervisor ratings of subordinate performance would be mediated by subordinate ratings of SSC. Specifically, it was hypothesized that LMX would directly influence SSC, and SSC would directly influence two facets of contextual performance: interpersonal facilitation and job dedication. It was also hypothesized that job dedication would directly influence task performance, thus mediating the relationship between SSC and task performance. Thus, SSC was expected to mediate the relationship between LMX and contextual and task performance. Structural equation modeling results based on 243 supervisor-subordinate dyads from the banking industry provided substantial support for the proposed model.

Over four decades of research has increased our understanding of the relationship between leader-member-exchange (LMX), and employee performance, attitudes, and work behaviors. Specifically, high-quality LMX has been shown to have a positive relationship with subordinate task performance (e.g., Campbell & Swift, 2006; Chen, Lam, & Zhong, 2007; Lam, Huang, & Snape, 2007; Lee, Park, Lee, & Lee 2007; Michael, Harris, Giles, & Feild, 2005, 2009; Michael & Harris, 2010; Michael, 2011; Vecchio & Brazil, 2007; Wakabayashi, Chen, & Graen, 2005), satisfaction with supervisors (e.g., Greguras & Ford, 2006; Liden & Maslyn, 1998), and organizational citizenship behaviors (e.g., Ilies, Nahrgang, & Morgeson, 2007; Lapierre & Hackett, 2007; Wang, Law, Hackett, Wang, & Chen, 2005).

However, the definition and measures of LMX have changed over time, thus, making it difficult to draw any definite conclusions (Schriesheim, Castro, & Cogliser, 1999). In fact, what was once considered a unidimensional construct has now begun to be viewed as a multidimensional construct, and is frequently assessed using Liden and Maslyn's 1998 multidimensional LMX scale (LMX-MDM). Furthermore, of the 82 empirical and theoretical works published during the 1990s, the majority of the studies were in agreement regarding the

nature of the construct as being the quality of the exchange relationship between leader and subordinate at the dyad level of analysis (Liden & Maslyn, 1998). The present study follows this approach and examines LMX at the dyad level between supervisor and subordinate utilizing Liden & Maslyn's LMX-MDM scale.

Drawing from social exchange theory (Blau, 1964) and the norm of reciprocity (Gouldner, 1960), LMX focuses on the quality of the dyadic relationship between the leader (supervisor) and follower (subordinate) (e.g., Gerstner & Day, 1997; Graen & Uhl-Bien, 1995; Liden, Sparrowe, & Wayne, 1997). Furthermore, supervisors have been shown to confer favorable treatment upon subordinates with whom they have high-quality LMX relationships. In return, subordinates have been shown to reciprocate favorable treatment by engaging in extra-role, pro-social behaviors, and extra task effort (e.g., Greguras & Ford, 2006; Meyer, Stanley, Herscovitch, & Topolnytsky, 2002; Organ & Ryan, 1995; Settoon, Bennett, and Liden, 1996). While much of the LMX literature has primarily focused on subordinate reciprocation efforts, the present study suggests that, in addition to favorable reciprocation efforts by subordinates, high-quality LMX relationships may also promote favorable supervisor reciprocation efforts toward their favored subordinates. Specifically, supervisors may communicate more supportively with subordinates with whom they have high-quality LMX relationships, than with subordinates with whom they have low-quality LMX relationships.

Importance of Managerial Communication

The vital role that managerial communication plays in organizational functioning has received considerable attention in the organizational behavior and communication literature (e.g., Mayfield, Mayfield, and Kopf (1995), and has been referred to as the foundation upon which all organizational activity is based…"the very stuff of organizing…it is fundamental to the very constitution of, and essentially gives birth to organizing" (Cooren, 2000; Mumby & Ashcraft, 2006, p. 72). It's through communication that organizations come into existence and function (Cooren, 2006). Researchers have found managerial communication to have a positive relationship with subordinate job performance (e.g., Andrews & Kacmar, 2001; Goris, Vaught, & Pettit, 2000; e.g., Andrews & Kacmar, 2001; Goris, Vaught, & Pettit, 2000; Michael, Harris, Giles, & Feild, 2005, 2009; Michael & Harris, 2010; Michael, 2011), job satisfaction (e.g., Andrews & Kacmar, 2001; Goris, Vaught, & Pettit, 2000; Michael, 2011), organizational commitment (Putti, Aryee, & Phua, 1990), organizational climate (Muchinsky, 1977), and a negative relationship with turnover intentions (Gregson, 1990; Michael, 2011). Effective managerial communication has also been depicted as a source of strategic competitive advantage (Tucker, Meyer, & Westerman, 1996). Surprisingly, in a study concerning the skills most often the focus of management development programs, communication was found to be the most important management skill, but it also had the largest gap between perceived importance and the actual level of competency (Delahoussaye, 2001a, 2001b).

Research examining the relationship between managerial communication and subordinate performance has generally focused on task-related communication such as performance feedback and direction-giving communication (Andrews & Kacmar, 2001; Goris, Vaught, & Pettit, 2000). The present research, however, examines the LMX relationship between supervisor-subordinate, and the supervisor's supportive communications with subordinates, and the relationship between supportive supervisor communications and subordinates' contextual and task performance.

This study makes several significant contributions to organizational research. First, it addresses Mueller and Lee's (2002) petition for more research on variables central to communication and communication satisfaction in organizations. Second, it addresses Cooren's (2006) entreaty for more communication research focusing on how organizational interaction actually functions. Third, it responds to Graen and Uhl-Bien's (1995) appeal for more research across the three domains of leadership: leader, follower, and relationship. Fourth, by focusing on supervisor supportiveness in the exchange process, it addresses a topic on which "evidence is sparse" (Cropanzano & Mitchell, 2005, p. 885). Finally, this study provides a better understanding of the multidimensional nature of supervisor support and how it is demonstrated through communication exchange, and how it relates to employee contextual and task performance.

While supportive communication has been described as discourse that builds relationships (Bass, 1990; Whetton & Cameron, 1995) and demonstrates sensitivity to others, in the present research, it is also proposed that high quality LMX relationships promote supportive supervisor communication exchange between supervisor and subordinate. Specifically, supervisors are more likely to communicate supportively with subordinates with whom they have high quality relationships. Thus, there may be a reciprocal relationship between SSC and LMX. However, in the present research, the focus will be on the direct relationship between LMX and SSC.

Supervisors may engage in supportive communication with their subordinates in a number of ways, such as providing praise and encouragement for their job performance and work efforts; discussing ways to increase their job satisfaction; encouraging their professional development; indicating concern for their feelings; actively listening to their opinions; expressing empathy and sensitivity to their needs. Furthermore, supportive communication may be the most important, direct, and immediate way that the supervisor may demonstrate support for subordinates on a daily basis. Perceived supervisor support (PSS) has been shown to relate to desirable employee attitudes and behaviors (e.g., Rhodes & Eisenberger, 2002). While not investigated in this study, SSC may be a potential dimension of PSS. In fact, SSC has been shown to have relationships with similar desirable employee attitudes and behaviors (e.g., Michael, 2011). While Graen and Uhl-Bien have departed from the traditional LMX assumption that a leader treats each of his/her subordinates differently within the workgroup (Schriesheim, et al., 1999), the present research is predicated upon this traditional assumption.

Theoretical Model and Research Hypotheses

Building off previous studies (e.g., Michael, Harris, Giles, & Feild, 2009), a model is tested in which SSC mediates the relationship between LMX and two facets of contextual performance: interpersonal facilitation and job dedication, and job dedication mediates the relationship between SSC and task performance. Thus, this study focuses on the relationship between high-quality LMX relationships and SSC, and how these dynamics in turn influence employee contextual and task performance.

LMX and SSC

LMX research suggests that supervisors have high-quality relationships with some subordinates (the in-group) that are characterized by the exchange of quality resources such as

information, support, trust, rewards, and effort (e.g., Liden, et al., 1997), and may have low-quality relationships with other subordinates (the out-group) characterized by the absence of quality resource exchanges (e.g., Dienesch & Liden, 1986). While much of the LMX literature has focused on the reciprocation efforts of employees, in the research reported here, it is proposed that supervisors may treat subordinates in high-quality LMXs more favorably than those in low-quality LMXs by more frequently communicating with them in a supportive manner. In fact, previous research suggests that high-quality LMX relationships leads to greater levels of SSC (Michael, Harris, Giles, & Feild, 2005, 2009; Michael & Harris, 2010; Michael, 2011). High-quality LMX relationships lead to supervisor-subordinate communication relationships characterized by greater degrees of openness, trust, and empathy (Mueller & Lee, 2002). High-quality LMX relationships can be considered "mature partnerships" that result in behavioral and emotional exchanges of loyalty and support (Graen & Uhl-Bien, 1995).

Using qualitative discourse analysis, Fairhurst (1993) examined the presence of 12 discourse patterns in dyads with varying degrees of LMX quality. Support and coaching discourse patterns were demonstrated more in medium to high-quality LMX dyads. In contrast, in low-quality LMX dyads, antagonistic and adversarial discourse was more evident. Clearly, supportive communication represents a prime strategy that supervisors can use to demonstrate support and reciprocate in high-quality LMX relationships.

Hypothesis 1: LMX is positively related to SSC.

LMX and Performance

Mature, high-quality LMX relationships are associated with a willingness by subordinates to engage in extra-role, pro-organizational behaviors (Graen & Uhl-Bien, 1995). In contrast, in low-quality LMXs, employee performance tends to be based on the official employment contract (Liden & Maslyn, 1998) and reflect authority-obedience relationships (e.g., Graen & Scandura, 1987). Consistent with the norm of reciprocity and social exchange theory, research suggests that high-quality LMXs are positively related to favorable employee outcomes, including higher performance appraisals, more challenging work assignments, higher levels of empowerment, greater compensation, and greater career progress (e.g., Dienesch & Liden, 1986; Duarte, Goodson, & Klich, 1994). Such outcomes are consistent with efforts to effectively and efficiently perform assigned job tasks (i.e., task performance) and engage in extra-role behaviors (i.e., contextual performance).

Contextual performance. Contextual performance (similar to organizational citizenship behavior) involves behavior that contributes to the maintenance, enhancement (Organ, 1997), and support of the broader organizational, social, and psychological context in which task performance and the technical core must function (Borman & Motowidlo, 1993). In Hackett, Farh, Song, and Lapierre's (2003) meta-analytic study, they report a mean correlation of .32 between LMX and OCB. If contextual performance and OCB are similar constructs, then LMX should be positively related to contextual performance. Furthermore, the proposition that LMX encourages contextual performance is consistent with Graen and Uhl-Bien's (1995) observation that high-quality LMX partnerships are characterized by a shift away from self-interest toward mutual interests. As such, contextual performance provides one way for employees to reciprocate high-quality LMX relationships. Finally, research has shown LMX to have a positive relationship with contextual performance (Michael, 2005).

Interpersonal facilitation. Interpersonal facilitation is one of two forms of contextual performance (Van Scotter, 2000; Van Scotter & Motowidlo, 1996) and refers to cooperative, considerate, and helpful behaviors that facilitate coworkers' performance (Van Scotter, Motowidlo, & Cross, 2000). Compared to subordinates in low-quality LMXs, subordinates in high-quality LMX relationships should be more likely to engage in cooperative, considerate, and helpful behaviors that benefit others (co-workers and supervisor). In fact, research has shown a carryover effect from positive LMXs to relationships with peers. Specifically, supervisors' differential treatment of subordinates has been found to positively affect coworker communication (Sias & Jablin, 1995), and employees in higher quality LMXs developed collegial and special communication relationships with their peers (Kramer, 1995). Moreover, subordinates in higher quality LMXs have been found to engage in greater information exchange, self-disclosure, and emotional support with their peers (Kram & Isabella, 1985). Finally, Lee's (1997) study, employees in high-quality LMXs perceived greater cooperative communication with peers.

Job dedication. Job dedication is the second form of contextual performance and involves self-discipline, initiative, effort, and persistence (e.g., working harder than necessary and asking for more challenging work; Van Scotter et al., 2000). It is expected employees in high-quality LMX relationships to be more dedicated than those in low-quality LMXs. Graen and Scandura (1987) proposed that in high-quality LMX relationships, supervisors get subordinates to help them on various tasks by offering desirable inducements such as influence and support. These inducements create obligations on the part of subordinates to reciprocate by working harder to satisfy supervisor requests or by engaging in extra-role behaviors beneficial to the supervisor, such as offering to help a supervisor complete an important project on time, or helping coworkers without being asked (Wayne & Green, 1993). Thus, LMX is expected to have a positive relationship with interpersonal facilitation and job dedication.

> *Hypothesis 2: LMX is positively related to employee interpersonal facilitation and job dedication.*

Task performance. Since the positive relationship between LMX and task performance has been well established in the literature (e.g., Campbell & Swift, 2006; Chen, Lam, & Zhong, 2007; Lam, Huang, & Snape, 2007; Lee, Park, Lee, & Lee 2007; Vecchio & Brazil, 2007; Wakabayashi, Chen, & Graen, 2005; Michael, Harris, Giles, & Feild, 2005, 2009), a formal hypothesis regarding this relationship will not be explicitly stated, but will be included in the model. However, Wang et al. (2005) found in their study of supervisor-subordinate dyads in China, that more than two-thirds of the variance in task performance explained by LMX was mediated through organizational citizenship behavior (OCB). If contextual performance and OCB are similar constructs, then it is expected that the positive influence of LMX on task performance will be mediated through high levels of effort as a result of high levels of job dedication. Thus, employees in high-quality LMXs will be encouraged to put forth greater effort in carrying out their assigned tasks. In fact, research has shown contextual performance to be positively related to supervisory ratings of employees' overall effectiveness (e.g., Piercy, Cravens, Lane, & Vorhies, 2006; Van Scotter & Motowidlo, 1996; Whiting, Podsakoff, & Pierce, 2008).

Hypothesis 3: Employee job dedication is positively related to employee task performance.

SSC and Employee Performance

Motivating language theory (Sullivan, 1988) suggests that differences in key employee outcomes such as motivation, job performance, communication satisfaction, and job satisfaction, are influenced by how supportive managers are in their communications with employees. In a study of coworker relationships, Settoon and Mossholder (2002) found that the relationships of coworker trust with perspective taking and interpersonal citizenship behaviors were mediated by coworker empathic concern. Since empathic concern is consistent with supportive communication, and interpersonal citizenship behaviors are consistent with contextual performance, it is proposed that SSC should also encourage contextual performance. Thus, SSC is expected to positively relate to employee reciprocated pro-organization, -supervisor, and -coworker behaviors. It is expected that high-quality LMX relationships encourage supervisor support through the exchange of supportive supervisor-subordinate communication. Furthermore, it is expected that SSC will have a more proximal, direct relationship with employee contextual performance than LMX. Thus, it is proposed that SSC will mediate the positive relationship between LMX and employee contextual performance.

Hypothesis 4: SSC is positively related to interpersonal facilitation, job dedication, and employee task performance.

Hypothesis 5: SSC mediates the positive relationship between LMX and contextual performance (i.e., interpersonal facilitation and job dedication.

Hypothesis 6: Job dedication mediates the positive relationship between SSC and task performance.

Method

Participants and Procedure

Supervisors and subordinates in 448 dyads, from 33 branches of six banks and credit unions in the southeastern United States, were invited to participate in this study. To encourage participation, all participants were given verbal and written assurances that their individual responses would be kept anonymous. Code numbers were used throughout the data collection process to facilitate the pairing of dyad members and to ensure that individual responses remained anonymous.

Supervisors were provided ample time during their work schedule to complete the questionnaires assessing their subordinates' task and contextual performance (interpersonal facilitation and job dedication). Once completed, they mailed the questionnaires back to the researchers. Supervisors evaluated an average (mean) of 4.91 (*SD* = 4.17) subordinates. Subordinates completed questionnaires regarding their perceptions of LMX quality and their supervisor's use of supportive communication. Questionnaires were administered in small group

sessions at each of the branches. Subordinates who missed the scheduled administration were delivered the surveys by a branch contact from the Human Resources department, and were given instructions to mail the completed surveys directly to the researchers.

To lessen the possibility of confounding, subordinates with dual roles of both supervisor and subordinate were omitted from the data set. Excluding these dyads reduced the number of population dyads across the organizations to 359 ($M = 59.83$; $SD = 68.91$). Of the remaining 359 dyads, 309 employees (86%) responded to the survey, and 78 of the supervisors (88%) answered 284 surveys (79%) assessing their employees' performance. Of the 309 employees who responded, 82% were female, 48% had 1 to 5 years tenure with the organization, 59% had 1 to 5 years job tenure in their current position, and 32% had 3 or more years of dyad tenure with the same supervisor. Of the 78 supervisors who completed the survey, 56 (72%) were female. Completed surveys yielded 243 dyad matches for a dyad-based response rate of 68%.

Measures

Scales assessing "extent" had a seven-point response format ranging from 1 (Never) to 7 (Very Great Extent). All other scales employed a seven-point response format ranging from 1 (Strongly Disagree) to 7 (Strongly Agree). Cronbach alpha reliability is reported for each scale.

Leader-member exchange (LMX). Graen and Scandura (1987) suggest that when LMX is assessed only once, subordinate assessments of LMX should be used because managers are more likely to provide socially desirable answers about their relationships with subordinates (i.e., that everyone is treated the same). Thus, employee assessments of LMX quality were used in this study. Liden and Maslyn's (1998) 12-item Leader-Member Exchange-Multidimensional scale (LMX-MDM) was used to assess employees' perception of LMX quality in terms of four dimensions representing contribution (subordinates willingness to contribute), loyalty (perceived supervisor loyalty to subordinate), affect (how much the subordinate likes the supervisor), and professional respect (how much the subordinate respects the supervisor's professional development). Sample items include "My supervisor is the kind of person one would like to have as a friend," and "My supervisor would come to my defense if I were 'attacked' by others." Following Liden and Maslyn (1998) suggestion the scale items combined to form a global measure of LMX. Thus, the items for each of the four subscales were averaged and these four subscales were used as multiple manifest indicators of a general leader-member exchange factor ($\alpha = .91$).

Supportive supervisor communication. Employees completed eleven items assessing the extent to which their supervisors communicated with them in a supportive manner. This scale consisted of six slightly modified items from Wiemann's (1977) Communicative Competence Scale, and five slightly modified items assessing "empathic language" from Mayfield, Mayfield, and Kopf's (1995) Motivating Language Scale. These items were used because they closely corresponded to our depiction of SSC, and the high reliability and validity previously reported with their use (e.g., Douglas, 1991; McLaughlin & Cody, 1982; Street, Mulac, & Wiemann, 1988; Wiemann, 1977). The three items from the Motivating Language Scale were slightly modified to more clearly describe various ways that supervisors might communicate with employees. Specifically, we replaced "shows me" with "expresses" and "provides." The modified items were "My supervisor"…"provides encouragement for my work efforts," "expresses concern about my job satisfaction," and "expresses trust in me." The original items

from the Communicative Competence Scale (Wiemann, 1977) stated how the subject (supervisor) communicated in general, or with others. These items were changed to specify the employee (participant) as the referent. The original statements were: "S…" "ignores other people's feelings," "listens to what people say to him/her," "S likes to be close and personal with people," "People can go to S with their problems," "S is sensitive to others' needs of the moment," and "S is supportive of others." The modified statements were: "My supervisor…" "expresses concern for my feelings," "really listens to my opinions," "works to build a relationship with me," "is willing to discuss my personal concerns with me," "expresses sensitivity to my needs," and "communicates with me in a supportive way." The survey instructions developed specifically for this study stated the following: "The statements below show different ways that your supervisor might communicate with you. Using the scale on the left, indicate the current extent to which your supervisor communicates that way with you" (α = .96).

  Contextual performance. Supervisors in each dyad completed Van Scotter et al.'s (2000) 15-item scale to assess their employees' contextual performance in terms of interpersonal facilitation (7 items) and job dedication (8 items). Sample items for the interpersonal facilitation scale include "This employee praises coworkers when they are successful," and "This employee helps someone without being asked." Sample items for the job dedication scale are "This employee persists in overcoming obstacles to complete a task" and "This employee puts in extra hours to get work done on time." Cronbach alpha reliabilities for interpersonal facilitation and job dedication were .89 and .88, respectively.

  Task performance. Supervisors assessed employee task performance using Williams and Anderson's (1991) 7-item scale. Sample items include "This employee performs tasks that are expected of him or her," and "This employee meets the formal performance requirements of the job" (α = .85).

  Control variables. According to convention (Tsui & O'Reilly, 1989; Howell & Hall-Merenda, 1999; Kacmar, Witt, Zivnuska, & Gully, 2003), job and dyad tenure were initially included in our analyses to control for their potential effects on subordinate performance. However, results did not show significant relationships between these variables so we excluded them from the final analyses.

Analyses

  EQS 6.1 (Bentler, 2010) statistical software, with robust maximum likelihood estimators (ML) was used to conduct confirmatory factor analyses (CFA) and structural equation modeling (SEM) to test the measurement and structural models, respectively. To minimize the potential for interpretational confounding, Anderson and Gerbing's (1988) two-step procedure was used to estimate the measurement model prior to simultaneously estimating the measurement and structural sub-models. James and Brett's (1984) approach was used to test for mediation, by comparing the hypothesized, fully mediated model with two alternative, nested models: a partially mediated model (hypothesized model with additional direct paths from LMX to interpersonal facilitation, job dedication, and task performance), and a non-mediated model (direct relationships between LMX and the three performance variables: interpersonal facilitation, job dedication, and task performance, and SSC was excluded from the model).

Results

Measurement models

The convergent validity of the construct measures was assessed by comparing the hypothesized measurement model in which the relations of the manifest variables (indicators) were specified, a priori to their posited underlying latent variables (factors), to four alternative models, described in detail in Table 2 (Anderson & Gerbing, 1988). Convergent validity was further assessed by examining the factor loadings of the individual measures on their a priori defined factors (Brown & Cudek, 1993). Finally, discriminant validity was assessed in terms of both traits (theoretical model factors) and methods (i.e., supervisor ratings and employee ratings).

The measurement model was constructed using multiple-indicators (Anderson & Gerbing, 1982; Hunter & Gerbing, 1982) to provide the most unambiguous assignment of meaning to the estimated constructs (Anderson & Gerbing, 1988). To reduce the total number of manifest indicators and parameters to be estimated relative to sample size (Hayduk, 1987), item parcels were created by taking the mean of several randomly selected items measuring the same construct (e.g., Marsh, Antill, & Cunningham, 1989; Bagozzi & Heatherton, 1994). Thus, the total number of items to be estimated was reduced to a manageable level, and produced indicators with higher reliability than could be achieved using the individual items (MacCallum, Roznowski, & Necowitz, 1992). LMX had four indicators representing the four dimensions of the LMX-MDM scale (i.e., affect, loyalty, contribution, and professional respect). SSC had four indicators, and task performance, interpersonal facilitation, and job dedication each had three composite indicators.

Structural Model

A series of Satorra-Bentler chi-square (SB-χ^2) difference tests (Anderson & Gerbing, 1988) were conducted to assess the soundness of our structural model, and test our study hypotheses. The multivariate delta method was used to test for mediation; a multivariate extension of the product-of-coefficients strategy (Preacher & Hayes, 2008). While there are many methods for estimating indirect effects in multi-mediation models, the preferred method is the multivariate delta method (Bishop, Fienberg, & Holland, 1975; Sobel, 1982, 1986) used in EQS 6.1 (Bentler, 2010) and other statistical software packages. This method has been shown to produce standard errors with the least amount of bias among several formulas for the standard error of the indirect effect (MacKinnon, Lockwood, Hoffman, West, & Sheets, 2002; MacKinnon, Warsi, & Dwyer, 1995), but must be used under conditions of multivariate normality. Specifically, the individual indirect effect paths, as well as the sampling distributions of the total and specific indirect effects, must follow a multivariate normal distribution. Thus, the extent of multivariate normality was examined.

Estimation and fit. Mardia's (1970, 1974) multivariate kurtosis coefficient indicated multivariate non-normality of the data ($g_{2,p} = 68.70$, $z = 21.07$), which is a common occurrence in many fields of research (e.g., Micceri, 1989). When this occurs, the chi-square statistic does not follow the expected chi-square distribution, but can be rescaled to approximate the referenced chi-square distribution using Satorra-Bentler's (1988, 1994) scaled chi-square test

statistic (SB-χ^2), which has been shown to be the best performing test statistic under a wide array of circumstances (Chou, Bentler, & Satorra, 1991; Hu, Bentler, & Kano, 1992). In fact, the SB-χ^2 statistic has been shown to more closely approximate the chi-square distribution than its non-scaled counterparts across a wide array of distribution types, and to perform extremely well under a wide range of non-normal and normal conditions (Chou & Bentler, 1996; Chow et al. 1991; Curran, West, & Finch, 1996; Hu et al., 1992). While this procedure corrects for multivariate non-normality, and produces correct "robust" standard errors (Bentler & Dijkstra, 1985), the value of the SB-χ^2 and other commonly used chi-square based measures of fit are directly dependent upon sample size (Anderson & Gerbing, 1988). Thus, in addition to evaluating the model using the SB-χ^2 statistic and the comparative fit index (CFI; Hu & Bentler, 1998, 1999), also used were the robust comparative fit index (RCFI), which is not dependent upon sample size, the root mean square error of approximation (RMSEA), and the corresponding 90% confidence intervals.

Table 1 presents descriptive statistics, reliability coefficients, and the correlations among the study variables. These results provide preliminary support for our study hypotheses. Specifically, LMX was positively related to SSC ($r = .87$, $p < .001$), employee interpersonal facilitation ($r = .39$, $p < .001$) and job dedication ($r = .36$, $p < .001$). Employee job dedication was positively related to employee task performance ($r = .80$, $p < .001$), and SSC was positively related to interpersonal facilitation ($r = .46$, $p < .001$), job dedication ($r = .37$, $p < .001$), and employee task performance ($r = .18$, $p \le .01$).

Table 1

Descriptive Statistics, Correlations, and Reliabilities

Variable	M	SD	1	2	3	4	5
1. LMX	5.82	.98	**.91**				
2. SSC	5.05	1.44	.87***	**.96**			
3. Interpersonal facilitation	5.14	1.00	.39***	.46***	**.89**		
4. Job dedication	5.16	1.01	.36***	.37***	.71***	**.88**	
5. Task performance	5.71	.87	.25***	.18**	.45***	.80***	**.85**

Note. $N = 243$ supervisor-subordinate dyads; reliability coefficients appear in bold. SSC = supportive supervisor communication; LMX = leader-member exchange.
**$p \le .01$. ***$p < .001$. One-tailed tests.

Convergent Validity

Table 2 presents the results of the measurement and structural model comparisons. The factorial (convergent) validity of the measures was assessed by comparing the hypothesized measurement model (model 1) to four, more parsimonious models made up of combined factors. Specifically, model 2 had four factors consisting of task performance, interpersonal facilitation,

and job dedication, and a single composite factor made up of SSC and LMX. Model 3 had three factors consisting of LMX and SSC, and a single composite factor containing task performance, interpersonal facilitation, and job dedication. Model 4 was made up of one composite factor made up of SSC and LMX, and a second composite factor made up of task performance, interpersonal facilitation, and job dedication. Model 5 was a one-factor model in which all five factors were combined into one factor representing general response (common method) bias (Barger & Grandey, 2006). Results show that the hypothesized five-factor measurement model not only fit the data well, it had a better fit than the competing models [SB-χ^2 = 163.95; (df = 109, $p < .01$); RCFI = .97; CFI = .97; RMSEA = .05; 90% CI = .03, .06]. The one-factor model had the worst fit with the data (ΔSB-χ^2 = 881.06; (Δdf = 10, $p < .001$); RCFI = .54; CFI = .57; RMSEA = .18) suggesting that common method bias did not explain the observed relationships, and thus was not a major concern in our study (Erdogan, Liden, & Kraimer, 2006; Podsakoff & Organ, 1986). Convergent validity was further assessed by examining the factor loadings of the individual measures on their a priori defined factors (Brown & Cudek, 1993). The loadings for the four LMX dimensions ranged from .58 to .89. The factor loadings for SSC ranged from .78 to .96, and those of task performance ranged from .72 to .90. The loadings for interpersonal facilitation and job dedication ranged from .79 to .86, and .65 to .87, respectively. Taken together, these results provide strong evidence of convergent validity for these measures.

Table 2

Measurement and Structural Model Comparisons

Model Factors	SB-χ^2 ΔSB-χ^2	df Δdf	RCFI CFI	RMSEA	90% CI
1. Five factors: Baseline measurement model	163.95	109	.97 .97	.05 .06	.03, .06 .04, .07
2. Four factors: Baseline measurement model with LMX and SSC merged into one factor.	227.56 63.62	113 4	.94 .95	.06 .08	.05, .08 .06, .09
3. Three factors: Baseline measurement model with task performance, job dedication, and interpersonal facilitation merged into one factor.	407.88 243.93	116 7	.85 .86	.10 .12	.09, .11 .11, .13
4. Two factor measurement model: LMX and SSC make up one factor, and task performance, interpersonal facilitation, and job dedication make up the second factor	460.84 296.89	118 9	.83 .84	.11 .13	.10, .12 .12, .14
5. One factor measurement model: All factors merged into one factor.	1252.31 1088.36	120 11	.43 .47	.20 .23	.19, .21 .22, .24

6.Theoretical structural model	246.12	115	.93	.07	.06, .08
			.94	.08	.07, .09
7. Fully mediated structural model shown	175.49	114	.97	.05	.03, .06
in Figure 1 (revised theoretical)	70.63	1	.97	.06	.04, .07
8. Partially mediated structural model:					
Model 7 plus direct paths from LMX to IF,	393.54	112	.86	.05	.03, .06
JD, and TP	147.42	2	.88	.06	.04, .07
9. Non-mediated structural model: Direct	596.87	116	.76	.13	.12, .14
paths from LMX to IF, JD, and TP.	421.38	2	.80	.14	.13, .15
SSC was dropped from the model.					

Note. $N = 243$ supervisor-subordinate dyads. LMX, leader-member exchange; SSC, supportive supervisor communication; IF, Interpersonal facilitation; JD, Job dedication; SB-χ^2, Satorra – Bentler scaled chi-square statistic (corrects for multivariate non-normality); RCFI, robust comparative fit index (not dependent upon sample size); CFI, comparative fit index; RMSEA, root-mean-square error of approximation; CI, confidence interval for RMSEA. Models 2 through 5 were compared to model 1. All SB-χ^2 values are significant at $p < .001$. Except for model 7, all ΔSB-χ^2 values are significant at $p < .001$.

Discriminant Validity

The discriminant validity of the measures was assessed by loading each set of indicators on their respective factors (traits), and loading all of the supervisor rated items on a sixth factor, and the employee rated items on a seventh factor (methods). To test for discriminant validity of the traits, the hypothesized factors were allowed to correlate freely, and the methods were allowed to correlate freely. Then this model was compared to a model made up of perfectly correlated traits and freely correlated methods. A significant change in SB-χ^2 (ΔSB-χ^2) and in practical fit RCFI (ΔRCFI) provides evidence of discriminant validity. Results indicate a significant ΔSB-χ^2 value, but a small ΔRCFI [ΔSB-$\chi^2 = 46$; ($\Delta df = 6$, $p < .001$); ΔRCFI = .02; ΔCFI = .02; ΔRMSEA = .02]. However, given the factors under study, these results are fairly consistent with previous construct validity research in the social sciences (Byrne & Goffin, 1993).

The discriminant validity of method effects was assessed by comparing a model with freely correlated traits (a priori hypothesized factors) and freely correlated methods (supervisor ratings and employee ratings) to a model containing freely correlated traits and perfectly correlated methods. A non-significant ΔSB-χ^2 (or minimal ΔRCFI) suggests a lack of discriminant validity and would thus suggest common method bias across the methods of measurement. Results show a significant ΔSB-χ^2 value and decrease in RMSEA, but, as before, the ΔRCFI was small [ΔSB-$\chi^2 = 12.76$; ($\Delta df = 1$, $p < .001$); ΔRCFI = .01; ΔCFI = .01; ΔRMSEA = .01]. Again, these results are consistent with previous construct validity research (Byrne & Goffin, 1993). Based on the strength of statistical (ΔSB-χ^2) and practical criteria, it is concluded that, while there was evidence of discriminant validity, it was stronger for traits than it was for methods.

The model comparison results presented in the lower half of Table 2 provide satisfactory support for the proposed theoretical model (model 6). Specifically, the fit indices exceed Bentler's (1990) CFI cutoff value of .90, and RMSEA is less than Brown and Cudeck's (1993)

suggested cutoff value of .08 or less [SB-χ^2 = 246.12; (df = 115, p < .001); RCFI = .93; CFI = .94; RMSEA = .07].

Next, a multivariate Lagrange multiplier test was conducted to determine if any of the fixed parameters in the theoretical model, if set free, would lead to a significantly better-fitting model (Byrne, 1994). Results from this test indicated that a path from job dedication to interpersonal facilitation would result in a better fitting model. When compared to the theoretical model 6, results indicate that model 7 in Table 2 was a significantly better fitting model [ΔSB-χ^2 = 70.63; (Δdf = 1, p < .001); RCFI = .97; CFI = .97; RMSEA = .05]. Specifically, the RCFI increased from .93 in model 6 to .97 in model 7, and RMSEA decreased from .07 to .05, respectively.

Mediation

In Table 3, we present the standardized indirect effects coefficients for the revised theoretical model. These results provide strong support for the revised, fully mediated model by showing significant indirect relationships between LMX and job dedication through SSC, and between LMX and interpersonal facilitation and task performance, through SSC and job dedication. Furthermore, SSC had significant indirect relationships with interpersonal facilitation and task performance, through job dedication, and a significant direct relationship with interpersonal facilitation, indicating that job dedication partially mediated the relationship between SSC and interpersonal facilitation (an unexpected result). The SB-χ^2 difference test results for model 9 show, that when compared to model 7, the removal of the mediator (SSC), had a profound negative impact on model fit, thus providing additional support for the inclusion of SSC in the model, and shows that SSC explains significant incremental variance in employee performance over that of LMX.

Tests of Indirect Relationships through Supportive Supervisor Communication and Job Dedication

		Indirect Effect Through		
Relationship	SSC, and SSC ⇒ JD	Supportive Supervisor Communication	Supportive Supervisor Communication & Job Dedication	Job Dedication
LMX ⇒ JD		.30		
LMX ⇒ IF	.40			
LMX ⇒ TP			.24	
SSC ⇒ TP				.27
SSC ⇒ IF				.21

Note. N = 243 supervisor-subordinate dyads. SSC, supportive supervisor communication; LMX, leader-member exchange; IF, interpersonal facilitation; JD, job dedication.
All indirect effects coefficients are significant at $p \leq .01$.

To test for mediation, a fully mediated model was compared to a partially mediated model (model 8) in which a direct path was specified from LMX to interpersonal facilitation, job dedication, and task performance. Results in Table 2 show that this model had a poor fit with the data [ΔSB-χ^2 = 147.42; (Δdf = 2, p < .001); RCFI = .86; CFI = .88; RMSEA = .10]. Next, a fully

mediated model was compared to a non-mediated model in which LMX had direct relationships with interpersonal facilitation, job dedication, and task performance, and SSC was excluded from the model. Based on these results, the non-mediated model was the worst fitting model [ΔSB-χ^2 = 421.38; (Δdf = 2, p < .001); RCFI = .76; CFI = .80; RMSEA = .13]. These results taken together provide strong support for the fully mediated model.

Figure 1 presents the standardized maximum likelihood parameter estimates of the structural paths for the revised theoretical model (model 7). All parameter estimates for this revised model were significant and positive. Next, the R^2 values associated with each equation were examined to determine the percentage of variation explained by the independent and mediating variables. LMX accounted for 75% of the variance in employee perceptions of SSC. In turn, LMX, SSC and job dedication explained 60% of the variation in supervisor ratings of employee interpersonal facilitation, while LMX and SSC explained 12% of the variation in supervisor ratings of employee job dedication. Finally, employee ratings of LMX and SSC, and supervisor ratings of employee job dedication explained 61% of the variation in supervisor ratings of employee task performance.

Figure 1
Standardized Solution for Final Structural Equation Model
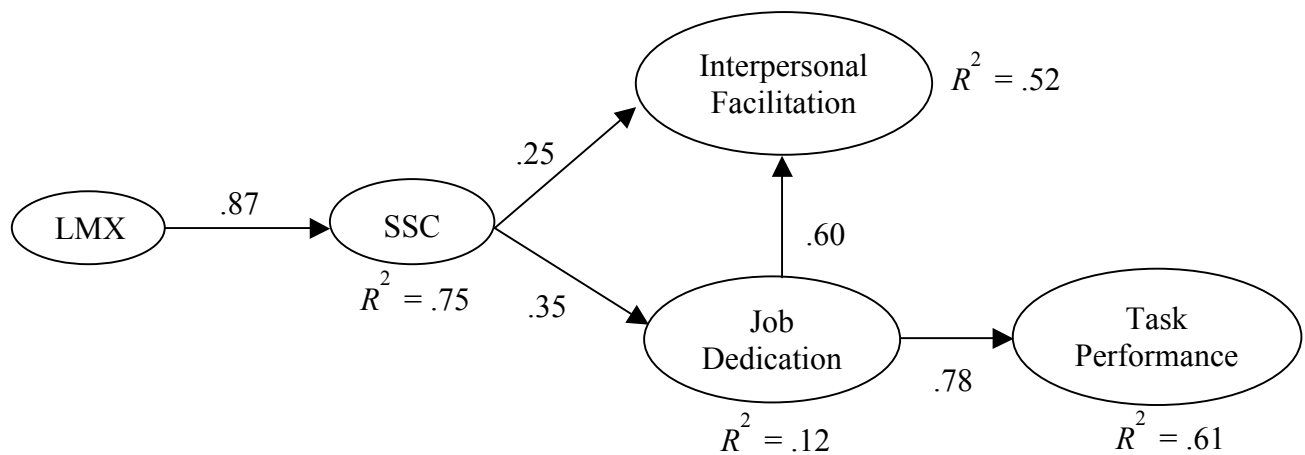
Note. N = 243 supervisor-subordinate dyads. LMX = leader-member exchange; SSC = supportive supervisor communication. All standardized path coefficients are significant at p < .001.

Discussion

The research reported here responds to Mueller and Lee's (2002) call for additional research on other variables central to communication and communication satisfaction in organizations, and to Cooren's (2006) appeal for more communication research focusing on how

organizational interaction actually functions. It also responds to Graen and Uhl-Bien's (1995) call for more research across the three domains of leadership: leader, follower, and relationship. Most importantly, these results provide initial evidence that high-quality LMX relationships may lead to supportive supervisor behaviors exemplified by supervisors' use of supportive communication with subordinates with whom they have high-quality relationships. This, in turn, influences follower behaviors in terms of contextual and task performance.

These results also provide substantial support for the contention that SSC mediates the relationship between LMX and employees' contextual performance in terms of interpersonal facilitation and job dedication, and that job dedication mediates the relationship between SSC and task performance. It is suggested here that LMX quality may encourage SSC, which in turn influences the employee's motivation to reciprocate the supervisors' favorable treatment with acceptable commodities of exchange, such as increased levels of interpersonal facilitation, job dedication, and task performance. It appears that subordinates may perceive SSC as being a result of the quality of the LMX relationship. It is likely that the LMX dimension of supervisor loyalty may positively influence subordinate perceptions of supervisor support which engenders subordinate support of the supervisor, as demonstrated through job dedication and interpersonal facilitation. Just as employee's affective commitment has been shown to relate to perceived supervisor support, employee commitment to a supervisor may be influenced by how loyal and committed the supervisor is to subordinates. SSC is the primary means for providing support and demonstrating loyalty and commitment, and employees appear to reciprocate supportive supervisor treatment through direct and indirect acts of kindness, benevolence, citizenship, and performance enhancement. While not examined here, it seems likely that beyond the initial encounter phase of relationship development, not only does LMX quality encourage SSC it is likely that SSC may in turn serve to nourish the supervisor-subordinate relationship. Thus, future research may benefit by examining the reciprocal relationship (a non-recursive model) between LMX and SSC over time.

Several compelling research questions arise: What is the relative value of SSC versus other forms of favorable treatment, and do they differ in terms of their influence on employee reciprocation efforts? Is SSC a dimension of the more general construct of perceived supervisor support discussed in the literature (e.g., Eisenberger, Cotterell, & Marvel, 1987; Gouldner, 1960; Rhoades & Eisenberger, 2002)?

This study also demonstrates the important role that contextual performance plays in overall task performance assessments. Contextual performance, particularly job dedication, may translate into assessments of task performance. The only difference between the hypothesized model and the better-fitting revised model was the addition of a direct link from job dedication to interpersonal facilitation. In retrospect, it is understandable how a supervisor's observation of an employee's job dedication behaviors (i.e., self-discipline, initiative, effort and persistence) might be perceived as causing or leading to interpersonal facilitation activities such as being pleasant, helping others, and other acts of benevolence. These results raise the possibility that, rather than being two discrete dimensions of contextual performance, interpersonal facilitation and job dedication might be causally related, particularly as assessed by supervisors. Do supervisors in fact perceive employee acts of interpersonal facilitation as behavioral manifestations of job dedication, such that they believe that employees help others because of their job dedication? Future research would benefit by explicitly focusing on the relationships between interpersonal facilitation, job dedication, and task performance. In particular, research should consider using

diverse assessors of these performance measures. In this study, all three forms of performance were assessed by supervisors. Assessments could also be made by coworkers, customers, or self.

Limitations

There are several limitations in our research that are worth noting. First, while we collected data from different sources, several adjacent constructs in our model were collected using common methods and respondents. SSC and LMX were both collected from subordinates. Employee contextual performance (i.e., job dedication and interpersonal facilitation) and task performance data were collected from each employee's supervisor. While our CFA results suggest that these constructs are unique, future research would benefit from utilizing different sources or methods for collecting theoretically adjacent constructs. While common method and same source concerns may generate caution in interpreting the results of portions of the model, the results still provide compelling evidence that employee assessments of LMX and SSC explained unique variance in supervisor ratings of employee contextual and task performance.

Another limitation was the utilization of a cross-sectional design rather than a longitudinal one, thus preventing us from making causal inferences. Also, our data were collected from dyads in only one industry. Future researchers should include multiple industries to increase generalizability, and if possible, utilize a longitudinal design to permit causal inferences to be drawn.

Conclusion

Graen and Uhl-Bien (e.g., 1991, 1995) have highlighted the importance of "leadership making," i.e., efforts to improve the level of LMX in organizations so as to reap the benefits of enhanced relationship quality. Our research suggests that high-quality LMX relationships encourage SSC, which in turn creates an overall supportive environment that translates into higher employee contextual and task performance. Unfortunately, communication is a leadership skill that many supervisors are lacking (Delahoussaye, 2001a, 2001b). From a leadership making and human resource management perspective, this research suggests that if supervisors are trained and encouraged to use more effective supportive communication strategies, organizations may reap the benefits of greater employee job dedication, interpersonal facilitation, and task performance.

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MAPPING THE LANDSCAPE OF SHARED LEADERSHIP: A REVIEW AND SYNTHESIS

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As can be seen from the substantial increase in the volume and scope of leadership publications over the last ten to fifteen years, leadership is a construct with important social and relational properties. Shared leadership in particular has attracted considerable attention from organization and management scholars, although there has been surprisingly little focus on the key structuring processes and mechanisms that enable shared leadership. The aim of this paper is to rectify this by identifying the critical factors and mechanisms which enable shared leadership and its antecedents and outcomes, and to develop a synthesized framework of shared leadership. The paper closes with a brief discussion of avenues for future research and implications for managers.

From Privileged Towards Shared Leadership

Over the last few decades, the adoption of shared leadership practices has been fueled by various forces, including intensified cycles of change and technological complexity, which imply that decisions made by a single leader will often be insufficient. This in turn has affected the contemporary organizational landscape, which has changed from being predominantly hierarchical to displaying a variety of configurations, ranging from intra-organizational ad hoc and/or horizontal structures to inter-organizational multi-firm networked clusters (either physical or virtual) of firms (Anand & Daft, 2007). Such organization arrangements often are not built upon a centralization of power and vertical chains of command associated with traditional hierarchies. Rather, they evolve around common interests, objectives and responsibilities. In such settings, coordination and mutual dependency operate in ways that make it difficult for any single decision-maker and/or firm to monopolize power or authority. Thus, from the perspective of the individual member of an organization, shared leadership involves increased participation in organizational decision-making processes and can be defined as "a simultaneous, ongoing,

mutual influence process" (Pearce, 2004, p. 48), "in which there can be several (formally appointed and/or emergent) leaders" (Mehra, Smith, Dixon, & Robertson, 2006, p. 233).

Overall, Pearce and Conger (2003) define shared leadership as "a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals of both" (p. 1). However, there is an abundance of different definitions of shared and distributed leadership in the extant literature as table 1 illustrates.

Table 1: Selected Definitions of Shared- and Distributed Leadership in the Literature since 1988, ranked according to the ISI Web of Science Article Citation Index

Code[a]	Authors	Definition / Concept	Sum of times cited[b]
DL	Gronn, 2002	Key defining criterion is conjoint agency (or concertive action, which are steps initiated by one individual and developed by others through the circulation of initiative) (p. 423). A distributed understanding is well aligned with the processes through which work is currently articulated as part of an emerging and ever-changing division of labor, due to task differentiation and reintegration. (…) new workplace imperatives are generating qualitatively different forms of interdependence between organizational personnel and that these have stimulated the adoption of distributed modes of work coordination (p. 425).	77
SL	Denis, et al., 2001	Strategic leadership as a collective phenomenon to which different individuals can contribute in different ways (p. 810). [Collective leadership means] not only multiple actors, but also a certain division of roles among them (p. 811).	69
SL	Pearce, et al., 2002	Distributed influence from within the team (p. 172) Lateral influence among peers (p. 176)	68
SL/DL	Haward, et al., 2003	A number of leaders within the team that is plural, democratic, or distributed leadership (p. 21).	49
DL	Spillane, et al., 2004	[DL] is the activities engaged in by leaders, in interaction with others in particular contexts around specific tasks (p. 5). Rather than seeing leadership practice as solely a function of an individual's ability, skill, charisma, and/or cognition, we argue that it is best understood as a practice distributed over leaders, followers, and their situation (p. 11).	42
DL	Day, et al., 2004	DL teams as a function of the processes associated with people working together to accomplish shared (p. 858). Team members participate in the leadership process, i.e., it is a shared, distributed process that creates a capacity for versatility and adaptability (p. 859).	33
SL	Sivasubramaniam, et al., 2002	Collective influence of members in a team on each other (p. 68). How members of a group evaluate the influence of the group as opposed to one individual within or external to the group (p. 68).	30
SL	Pearce, 2004	SL occurs when all members of a team are fully engaged in the leadership of the team and are not hesitant to influence and guide their fellow team members in an effort to maximize the potential of the team as a whole. Simply put, SL entails a simultaneous, ongoing, mutual influence process within a team that is characterized by "serial emergence" of official as well as unofficial leaders (p. 48).	29

SL	Ensley, et al., 2006	Team process where leadership is carried out by the team as a whole rather than solely by a single designated individual (p. 220).	22
SL	Carson, et al., 2007	SL as an emergent tem property that results from the distribution of leadership influence across multiple tam members. It represents a condition of mutual influence embedded in the interactions among team members that can significantly improve team and organizational performance. (p. 1218) SL is a relational phenomenon involving mutual influence between team members as they work toward team objectives (p. 1220).	21
SL	Mehra, et al., 2006	Shared, distributed phenomenon in which there can be several (formally appointed and/or emergent) leaders (p. 233).	16
SL	Pearce, et al., 2005	SL entails a simultaneous, ongoing, mutual influence process within a team that involves the serial emergence of official as well as unofficial leaders (p. 134).	11
DL	Woods, et al., 2009	Descriptively, then, DL allows for the possibility of plural sources of workplace influence (i.e. 1+leaders), and a range of modes of co-ordination and role interdependencies such as spontaneous collaboration between actors, synergistic partnerships (p. 440). DL is not generally thought of as a normative concept, in the sense that DL might be advocated as desirable, or construed as an ideal mode of practice (p. 441).	-
SL/DL	Hosking, 1988	Groups differ in the degree to which they value particular means, such as "distributed leadership," and this will also influence the nature and frequency of their negotiations (p. 160). (…) shared sense of social order, and therefore shared understandings about helping, reciprocity of exchange and so on. (p.162)	-

*Notes: a) * SL = Shared Leadership, DL = Distributed Leadership b) according to the ISI Web of Knowledge, data retrieved on the 12th November 2010*

Distributed leadership has been referred to as situations where leadership functions are shared (Brown & Hosking, 1986). Collective leadership in turn is here referred to as a leadership process in which a defined leader, or set of leaders, selectively uses skills and expertise within a collective, and effectively distributing elements of the leadership role as the situation or problem at hand demands (Friedrich, Vessey, Schuelke, Ruark, & Mumford, 2009).

Furthermore, there have been a multitude of approaches to the study of collective and shared leadership, including a focus on: partition of control in relation to joint ventures (Choi & Beamish, 2004; Rodriguez, 2005) and mergers and acquisitions (Wulf, 2004); social psychology and social movement organizations (Brown & Hosking, 1986); upper-echelon theory on top management teams (Carmeli, 2008); strategic change perspectives (Denis, Lamothe, & Langley, 2001); new ventures (Ensley, Hmieleski, & Pearce, 2006; Ensley & Pearce, 2001; Ensley, Pearson, & Pearce, 2003); socio-political perspectives on gain-sharing organizations (Collins, 1995); and discourse (Koivunen, 2007) and social network analysis (Mehra et al., 2006). Furthermore, as can be seen from table 2, a variety of concepts have been used interchangeably in the literature, which tends to cause confusion rather than clarity.

Table 2: Different concepts of collective forms of leadership in the literature

Concept	Author(s)
Shared cognition	Ensley & Pearce, 2001
Distributed leadership	Barry, 1991; Brown, et al., 2002
Participative leadership	Bass, 1990, in: Carte, et al., 2006; Collins, 1995
Relational leadership	Uhl-Bien, 2006
Participatory management	Wu, et al., 2001
Concertive action	Gronn, 2002
Collective leadership	Denis, et al., 2001; Hiller, et al., 2006
Collaborative leadership	Finch, 1977; Vangen, et al., 2003
Collaborative governance	Huxham, et al., 2000
Informal leadership	McCrimmon, 2005
Emergent leadership	Pearce, et al., 2000
Co-leadership	Sally, 2002
Dual leadership	Etzioni, 1965; Etzioni, et al., 1968
Split management	Choi & Beamish, 2004
Connective leadership	Klakovich, 1994, 1996

Despite the interest shown by organization and management scholars, surprisingly little attention has been given to the underlying organizational processes and mechanisms that enable shared leadership. Although scattered information is available in the existing literature, very few papers have tried to produce a more complete picture. The aim of this paper is threefold: to show, that the field of shared and distributed leadership is truly an interdisciplinary field, which has spread to many different fields; to identify critical underlying mechanisms which enable shared or collective leadership and to identify the antecedents and outcomes of shared leadership according to the literature review to develop a synthesized framework for managing the organizational issues associated with shared leadership on various organizational levels.

The remainder of the paper is structured as follows. Section 2 explains the methodology and terminology used in this study. Section 3 presents an analysis (including descriptive statistics) of the extant literature of collective and shared leadership. Section 4 presents a more detailed and focused analysis of the phenomenon of shared leadership from an organizational perspective, which identifies the main enabling mechanisms, followed, in section 5, by a synthesized framework of shared leadership, its major antecedents, coordinating mechanisms and outcomes. The final section discusses the limitations of the paper, its managerial implications and directions for future research.

Methodology

The aim of the review strategy adopted was to identify and categorize as many relevant and credible theoretical and empirical studies on collective leadership as to provide an overall conceptual clarity. The literature review was inspired by Brush (1992) and follows the guidelines set out by Hart (1998).

The primary source of the review was the ISI Web of Science (WoS), but the references were also cross-checked with the EBSCO, JSTOR and ELIN databases in order to include potential highly cited and relevant articles that may be published in journals not covered by the WoS. A Boolean (Boole, 2009 [1854]) search was carried out in title, key words and abstract including the following terms: "shared leadership," "distributed leadership," "distributive leadership," "collaborative leadership," "dual leadership," "co-leadership," "collective leadership," "connective leadership," "delegative/delegated leadership," "shared management," "distributed management," "participatory management," "shared governance," and "democratic leadership." While it is recognized that there may be some overlap between research focusing on team leadership and management, a cross-check revealed that, of the 224 publications using the term "team leadership" and "team management," only seven were actual duplicates of the papers selected for this review (i.e. Carson, Tesluk, & Marrone, 2007; Court, 2007; Faraj & Sambamurthy, 2006; Hiller, Day, & Vance, 2006; Jameson, Ferrell, Kelly, Walker, & Ryan, 2006; Sanders, 2006; Sivasubramaniam, Murry, Avolio, & Jung, 2002).

The initial search resulted in a total of 899 references (title, name of journal, ISBN, authors, keywords and abstract). To ensure scientific quality, the search was restricted to publications that had undergone peer review and been accepted in international journals with a traditional anonymous peer-review process. This criterion thus excludes articles published in national journals as well as books, book sections and conference proceedings from our search, which resulted in a total of 426 articles that met the peer review criteria. The abstracts of these 426 articles were then examined and discussed by the authors, which resulted in the exclusion of an additional 155 papers that did not address the topic of shared leadership in any detail but still somehow met the search criteria (a complete list of papers is available on request). Finally, an analytical reading (Hart, 1998) of the remaining 271 papers was carried out and these papers were systematically coded and categorized.

The analytical reading and coding was carried out according to a reading guide which contains 14 pre-defined categories as shown in table 3. Most of the categories contained sub-categories. For example, the category for "Research Design" contained the sub-categories "Nature of Study" (e.g. Empirical or Theoretical), "Research Design" (e.g. Experiment, Case Study, Survey, etc.). The reading guide ensured a consistent coding as well as the ability to code articles thematically.

Table 3: Reading Guide

1	Publication type	8	Type of study
2	Authors	9	Research design
3	Year of publication	10	Main theme
4	Title	11	Sub-theme
5	Journal	12	Central issues and purpose of the study
6	Academic field / Setting	13	Mechanisms enabling shared leadership
7	Origin of the empirical data	14	Brief resume of the main outcomes / results

Collective, Shared and Distributed Leadership Research: A Taxonomy

In figure 1, the total population of peer-reviewed papers in mainstream (high-impact) and specialized (low-impact) journals in the period of 1966-2008 has been tracked and categorized. The evaluation of mainstream and specialized journals was carried out by researchers in the respective academic disciplines (e.g. Organisation/Management, Health Care or Education).

Figure 1: Growth in the total number of publications (1966-2008), split between general and specialized journals
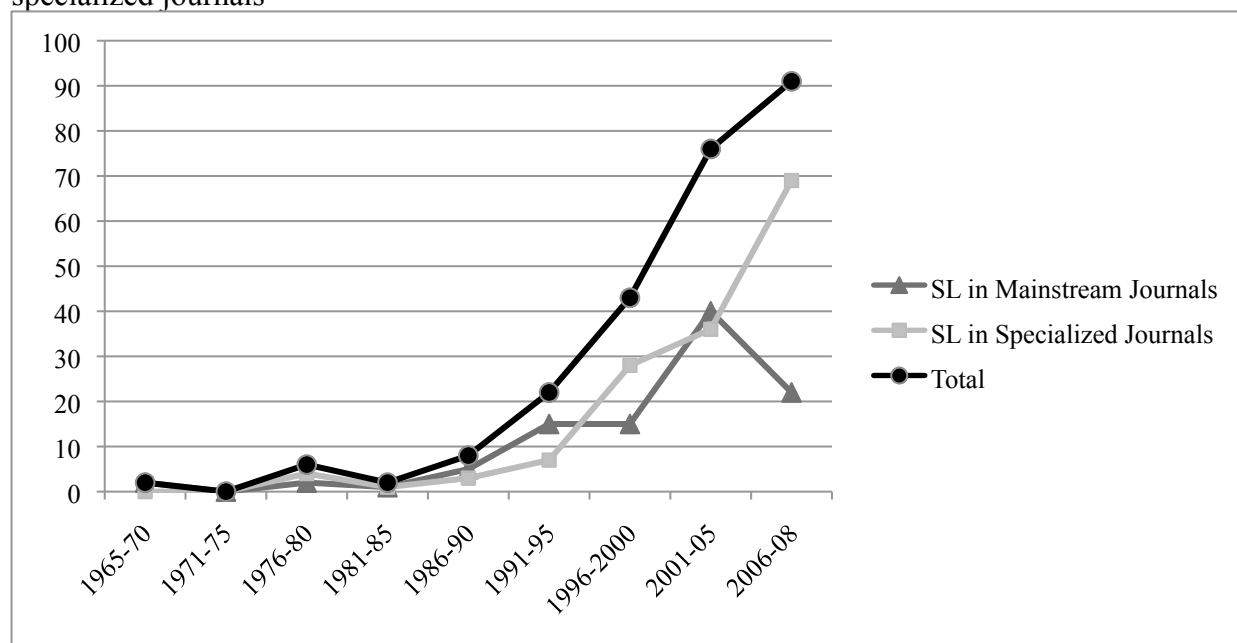
As can be seen from the growth in the total number of publications, there has been a rather slow development in the field from the mid-1960s up to the present decade. And although there has been renewed interest in shared leadership since the late-1990s, this appears to be relatively equally distributed between contributions to general and more mainstream journals (within Organisation/Management, Health Care or Education respectively) and more specialized journals. This indicates both elements of an emerging field (typically published in new and/or

more narrow and specialized journals) and a field approaching maturity (typically published in established and/or more broadly focused journals).

There are trends in the distribution of both theoretical/conceptual contributions and those that are primarily empirical in nature. Whereas the former are normally associated with abnormal science (Kuhn, 1962; 1970), the latter contain properties of normal science, i.e. they are concerned with carrying out tests and/or replicating existing studies. This distribution is shown in table 4 below.

Table 4: Distribution of contributions according to their disciplinary origin

Academic field / Setting	Code	Number	Percent
Organisation, Management, Economics	ORG/MAN	78	29 %
Health care, Hospital, and Nursing management	HEAL	74	27 %
Education and Educational Research	EDU	69	25 %
Public Administration (local and national)	PUBL/COMMU	26	10 %
Interdisciplinary studies	INTER	23	9 %
Law	LAW	1	0 %
Total		271	100 %

Origin of the empirical data in the literature

Journal		Number	Percent
Anglo-Saxon Countries (incl. Ireland)	Total	155*	87 %
(*of which 117 of 155 are USA)	ORG/MAN	31	
	HEAL	50	
	EDU	42	
	Other	32	
Europe (excluding UK)		8	4 %
Rest of the world		15	8 %
Total		178	100 %

Note: The table includes only empirical publications. The origin of the study refers to where the primary data was collected.

The distribution of papers according to their theoretical or empirical nature, thus, helps the assessment of the maturation of a field. Analyzing the extent to which an area transgresses disciplines allows for concluding whether the area in question indeed can be seen as a distinct field of inquiry or as a theme that is relevant to many disciplines and sub-disciplines. Moreover, new or young subfields seem predisposed to be conceptual in nature, aiming at introducing preliminary frameworks, definitions and taxonomies. In terms of methodological heterogeneity, the use of different quantitative and qualitative methods indicates both the degree to which the research is confined to tight paradigmatic constraints, and thus dominated by testing and replicating existing insight and studies, and the degree to which a subfield is open to different

and/or new methodological approaches, which is characteristic of fields with little or no paradigm dominance.

As can be seen from table 4, more than half of the articles use empirical data, which are both, of qualitative and quantitative nature. Only a small number of articles are based on theory development underpinned by first-hand empirical data or vice versa (T+E Mixed). In such cases, researchers are mostly occupied with testing existing concepts and theory, rather than developing new theory (a typically 'normal science' characteristic). One of the important internal scientific issues is the extent to which the discipline 'allows' the use of different methodologies which reflects the degree of internal scientific constraint. It can be argued that a mono-methodological orientation would imply a strong paradigmatic science, whereas the application of multi-methodologies suggests that the discipline is not paradigm-led. As the table also shows, the field of distributed leadership can be characterized by the use of a variety of research methods, albeit with a special preference for the use of (i) case studies, (ii) (large-n) surveys and (iii) mixed methods that typically combine either qualitative and quantitative data collection methods, or different qualitative methods such as interviews and observations. Furthermore, more specialized and/or technically sophisticated methods such as economics; modeling and/or simulation have so far not been used. This suggests that the research field of shared leadership has some clear interdisciplinary characteristics with considerable tolerance towards the use of different scientific methods of inquiry.

Finally, the research foci or themes of these sub-disciplines are analyzed and subsequently categorized to determine which are the most widely studied within the respective sub-fields. While specialized social science journals do not exclude the possibility for researchers with a different background, such as for example a political scientist publishing in an education-focused journal, revealing the relative distribution of contribution to an area across various journals, may help us to understand the influence of the field under investigation. Figure 2 shows the consolidated research foci (themes) according to their professional origin (PUBL, INTER, HEAL, EDU and ORG/MAN).

Figure 2: The distribution of contributions according to specific research foci/themes

	CAPA	CHALL	CHAN	COMM	DEF	HRM	MAN	ORG	PARTN	PERF	POLI	PSYCH	TEAM
■ORG/MAN	6	7	6	1	4	3	5	11	0	10	1	7	17
▪EDU	4	4	13	1	4	5	5	12	2	5	5	2	7
▪HEAL	4	3	20	0	0	16	5	9	1	7	0	0	8
■INTER	0	1	3	1	0	2	4	4	3	1	1	0	3
▪PUBL/COMMU	1	3	4	1	0	3	5	3	0	1	5	1	0
▫Total	15	18	46	4	8	29	24	39	6	24	12	10	35
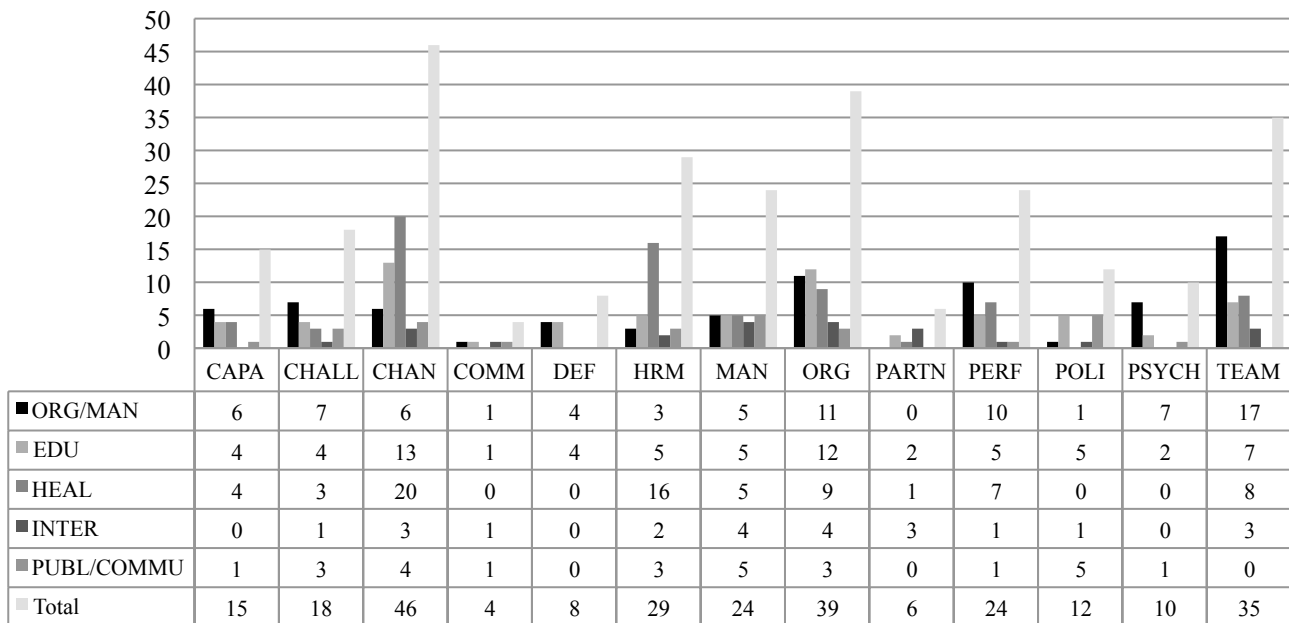
Legend: consolidated themes

CAPA	Capabilities: Manager/Leader traits, characteristics, behavior, skills
CHALL	Challenges, Gender, Difficulties, Barriers, Conflict
CHAN	Change, Innovation, Development, Process
COMM	Communication, Discourse
DEF	Definition, Concept
HRM	Human Resource Management, Learning, Job Satisfaction, Empowerment, Employee Involvement
MAN	Management, Management Styles, Managing, Strategy, Decision-making, Management/Leadership roles
PARTN	Networks, Alliances, Partnerships, Collaboration
ORG	Organizational Structure, Organizational Design, Ways of organizing, Culture
PERF	Performance, Effectiveness, Success, Quality assurance, (Continuous) Improvement
POLI	Policy, School reform
PSYCH	Psychology, Psychoanalysis, Cognition
TEAM	Team, self-managed

Most of the research themes of collective and shared leadership identified in the literature seem to originate from the field of ORG/MAN, which suggests that the field of leadership studies is much influenced by researchers investigating organizations from the private sector (for-profit organizations). Furthermore, ORG/MAN researchers are particularly represented in research with a focus on (i) teams (incl. self-management); (ii) organizational and team performance (incl. effectiveness and organizational success); (iii) organizational structure, organizational design and ways of organizing; (iv) psychology, cognitive and decision-making issues; and (v) capabilities of the leader(s), manager/leader traits, characteristics, behaviors and skills. The major themes in ORG/MAN differ considerably from those in the second largest stream of research of collective and shared leadership, namely the hospital and health care management field (HEAL). Within HEAL, the main focus lies on organizational change, organizational development, and the processes surrounding the implementation of shared leadership. Researchers often outline the process of shared leadership in hospitals, or describe and analyze how shared leadership and organizational development are implemented and

practiced in times of change. The research focus in the field of education management (EDU) is largely focused on new organizational structures, design and new ways of organizing, including organizational learning through a collective way of leading. In addition, there are a considerable number of studies on the effectiveness of a shared leadership model in schools/universities, where the potential success of the model is analyzed.

In summary, most research of collective leadership has concentrated on testing existing theory and concepts. Although this has a certain similarity to normal science and thus "monoparadigm-led" research, the shared leadership field indeed is also open to using different methods, and is not limited by internal paradigmatic/scientific constraints. Although the field is interdisciplinary, it is dominated by scholars from the organization and management, health-care, and education sector. This section has described the more technical aspects of the literature review. The following section discusses the current understanding and concepts of collective leadership.

Collective, Shared and Distributed Leadership Concepts and Definitions

Leadership can take place both at the individual and the collective level. In the former, leadership is referred to as self-leadership/self-management, which is the act of leading oneself to perform intrinsically motivating tasks (Manz & Sims, 1986). Although self-leadership is admittedly interrelated (Lovelace, Manz, & Alves, 2007) with shared leadership, it still remains an individual level concept proposing endogenous influences and this dimension of leadership will not be addressed further here. Shared leadership thus is a concept which includes different agents at the inter-individual level. Whereas self-leadership is associated with an individual's ability to get help from other organizational members in carrying out a common task, shared leadership involves dynamic social interaction during which the participants lead one another in attempts to achieve collective (group or organization wide) goals (Pearce, Manz, & Sims, 2008).

Gronn (2002) identified three forms of concertive agency that are associated with shared leadership: (i) spontaneously arisen collaborative modes of engagement, (ii) the development of intuitive understanding as part of close working relations between colleagues and (iii) various structural relations and institutionalized arrangements which may lead to distributed action (p. 429). In addition, conjoint agency has been introduced to describe how agents synchronize their actions by considering their own plans and those of their colleagues, and by using their sense of organizational membership (p. 431).

As observed above, the terms sharing and distributing are used interchangeably, which may cause some confusion. According to The Cambridge Dictionary (http://dictionary.cambridge.org/), to share an activity means that two or more individuals each do some of the activity. To distribute, on the other hand, means to give something to others, or to spread or supply. This implies that someone (a supra-individual) is responsible for giving, spreading or supplying — in this case, leadership responsibilities and/or tasks. We argue that sharing leadership implies that no single individual in the collective (team or department) gives or distributes all or part of leadership responsibility to anyone. That everyone in the collective has an equal opportunity to undertake leadership, and overall responsibility for leading the collective is shared and supported by everyone. Moreover, different leadership roles can emerge in a group, and these roles may differ in importance over time (Barry, 1991), even though leadership is fully shared. This means that no one is assigned a specific role or leadership responsibility; rather, these roles emerge. Of course, it might be possible to have a single leader

in a team or department who distributes (some) leadership roles and decision-making power to the other members. While this might be difficult to disqualify as distributed decision-making and localized shared leadership (on purely etymological grounds), under shared leadership (either localized in a team or department or organization-wide), it would (or should) be unthinkable not to share authority (decision-making power) completely among all participants.

Synthesized Framework of Shared Leadership: Antecedents, Agency and Outcomes

Surprisingly, given the relative dominance of contributions from organization and management researchers, we found in our review that few articles address the key factors, processes and mechanisms by which shared leadership is enabled and maintained. In the following, the focus will be narrowed in order to identify some of the key mechanisms of coordination at work during the practice of shared leadership. By doing so, we synthesize or weave together (Torraco, 2005, p. 362) these key mechanisms in order to develop an overall framework. The framework shows endogenous, agency, and exogenous antecedents contributing to the shared leadership phenomenon found in the reviewed literature.

Leadership generally is associated with influencing the direction of a deliberate and/or wanted movement. Leadership, it is argued, also involves a mutual dependency between members during the movement and related task performance and, contrary to hierarchical task assignment and coordination, shared leadership, involves autonomous, yet mutually interdependent task performance. By mutual interdependence is meant reciprocal dependence between two or more members, thereby allowing for overlapping and complementary responsibilities (Gronn, 2002). This complementariness enables interdependent organizational members to make use of the different technical and/or emotional strengths available (Gronn, 2002, p. 433). O'Toole, Galbraith, and Lawler (2002) have captured the essence of mutual interdependency as "the more interdependent the work of co-leaders the more input they should solicit from affected others, and the more they need to coordinate between themselves" (p. 79).

Mechanisms ensuring internal alignment include interdependence and coordination (Gronn, 2002). The coordination of knowledge sharing, for example, is achieved via the development of a common language, understanding and mindset, and the open-ended and flexible division of labour (Zhang & Faerman, 2007). Other mechanisms such as lateral (peer) influence (Pearce, 2004) and co-responsibility (Greenfield, Braithwaite, Pawsey, Johnson, & Robinson, 2009) have also been identified in the literature.

Furthermore, empirically validated characteristics of shared leadership can also be found in the literature. For instance, antecedent conditions leading to the development of shared leadership were recently investigated among a sample of 59 consulting teams by Carson et al. (2007). The internal team environment (manifested as a shared purpose and social support) and external coaching support, however, were found to be key factors likely to influence the development of shared leadership (Carson et al., 2007).

Other empirical studies have found that sharing leadership practices has important implications for discussion patterns and information-sharing in groups (Larson, Foster-Fishman, & Franz, 1998). In particular, these studies showed that information possessed by all group members (shared information) was brought into the joint discussion earlier, and was more likely to be mentioned overall, than privileged information possessed by only one member (unshared information). Moreover, they found that groups with a participative leader to a higher extent discussed information (both shared and privileged) than groups with a directive leader.
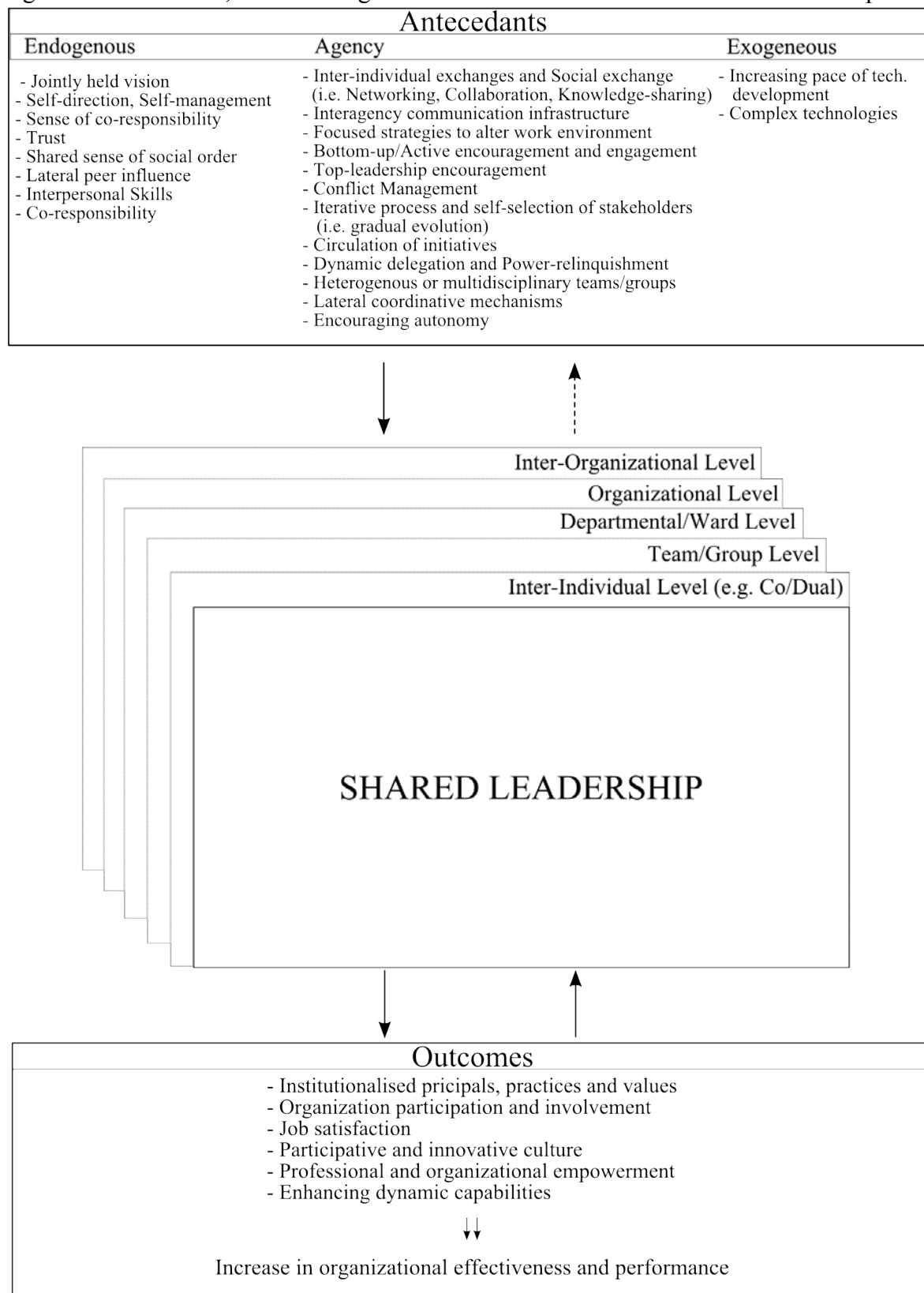
The adoption of shared leadership appears to be especially important in organizations that opt for continuous innovation (Pearce & Manz, 2005). More interestingly, the nature of the relationship tends to change from peer competition towards peer collaboration (James, Mann, & Creasy, 2007).

Differences in shared leadership structures have also been found to affect performance. The empirical study by Mehra et al. (2006) used social network analysis to investigate shared leadership in teams. Findings based on socio-metric data from 28 field-based sales teams showed that differences in shared leadership structures may affect team performance. A distributed-coordinated structure, for example, was found to be associated with higher team performance.

Efficient coordination and inter-individual influence, which have typically been studied in physical settings, suggest that context matters. Shared leadership has also been looked at in relation to virtual teams, which enables the researcher to determine whether a virtual context hinders team members' abilities to coordinate activities and influence others (Pearce, Manz, & Sims Jr., 2009). Longitudinal data were gathered over the course of a semester from virtual teams comprised of students from three North American universities. These data indicate that high-performing self-managed virtual teams demonstrated significantly more leadership behavior over time compared with their low-performing counterparts (Carte, Chidambaram, & Becker, 2006). In particular, these teams displayed significantly more concentrated leadership behavior focused on performance (producer behavior) and shared leadership behavior focused on keeping track of group work (monitoring behavior) than the lower performing teams (ibid.).

Departing from the literature discussed above, allows us to identify key antecedents, mechanisms and outcomes of shared leadership. In figure 3, we have sketched out a synthesized framework of the antecedents and outcomes of shared leadership. The antecedents are divided into endogenous, agency and exogenous factors. The summaries of the studies discussed in the section above show that shared leadership can take place at different organizational levels: (i) the inter-individual level (in the literature often referred to as co- or dual-leadership), (ii) the team or group level, (iii) the departmental level (in the hospital sector referred to as ward or unit level), (iv) the organizational level and (v) the inter-organizational level.

Figure 3: Antecedents, Coordinating Mechanisms and Outcomes of Shared Leadership

Antecedants		
Endogenous	Agency	Exogeneous

- Jointly held vision
- Self-direction, Self-management
- Sense of co-responsibility
- Trust
- Shared sense of social order
- Lateral peer influence
- Interpersonal Skills
- Co-responsibility
	- Inter-individual exchanges and Social exchange
	  (i.e. Networking, Collaboration, Knowledge-sharing)
	- Interagency communication infrastructure
	- Focused strategies to alter work environment
	- Bottom-up/Active encouragement and engagement
	- Top-leadership encouragement
	- Conflict Management
	- Iterative process and self-selection of stakeholders
	  (i.e. gradual evolution)
	- Circulation of initiatives
	- Dynamic delegation and Power-relinquishment
	- Heterogenous or multidisciplinary teams/groups
	- Lateral coordinative mechanisms
	- Encouraging autonomy
		- Increasing pace of tech.
		  development
		- Complex technologies

Inter-Organizational Level
Organizational Level
Departmental/Ward Level
Team/Group Level
Inter-Individual Level (e.g. Co/Dual)

SHARED LEADERSHIP

Outcomes
- Institutionalised pricipals, practices and values - Organization participation and involvement - Job satisfaction - Participative and innovative culture - Professional and organizational empowerment - Enhancing dynamic capabilities

Increase in organizational effectiveness and performance

Endogenous Antecedents

Endogenous antecedents appear among the individuals involved in collective and shared leadership. In order to enable shared leadership, group members need to have a joint vision, trust each other and have a sense of co-responsibility (Greenfield et al., 2009; James et al., 2007). Individuals need to circulate the initiative for tasks and responsibilities (Gronn, 2002), which creates a sense of co-responsibility within the team/group. Through partnerships and self-selection, leadership can be emergent and continuously negotiated and distributed across team/group members (Greenfield et al., 2009).

Furthermore, individuals must be able to take a leadership initiative, which in turn means that they must be capable of self-management and have a sense of self-direction (Brown & Hosking, 1986). In addition, a shared sense of social order and interpersonal skills are important endogenous antecedents of shared leadership, since these create a mutual understanding about helping each other and reciprocity of exchange (Brown & Hosking, 1986; Hosking, 1988).

Agency Antecedents

Agency antecedents are those activities that precede and facilitate shared leadership. Such agency antecedents include permission to select partnerships, which can lead to a more natural collaboration between all the parties involved (Greenfield et al., 2009). Processes of inter-individual exchange or collaborative interaction (i.e. networking, collaborating and knowledge-sharing) may support a shared leadership culture. One of the requirements of shared leadership is that both top management and team/group members (i.e. bottom-up) must encourage autonomy (Buchanan, Addicott, Fitzgerald, Ferlie, & Baeza, 2007).

Exogenous Antecedents

Exogenous antecedents are factors outside the control of the firm, i.e. external and given factors that are believed to influence shared leadership, such as the pace of technological development and associated technological complexity. A faster and more complex technology thus implies that management decisions incorporate more of the affected part of the process into the decision-making process. Similarly, the increasing trend towards flat organizations (and parts thereof) and longer and more formal education of the workforce are likely to affect the conditions for shared leadership.

Outcomes

The outcomes of shared leadership can be manifold. Shared leadership practices, for instance, can become institutionalized, so that sharing leadership responsibilities acquire an almost 'rule-like' status known from processes of institutionalization (Ulhøi, 2005) and become an embedded part of the organizational culture in question. Another possible outcome is a more participative and innovative culture in the organization (Buchanan et al., 2007), which would make it more nimble in times of change and faster technological development. In addition, diverse and/or multidisciplinary work teams increase creativity due to different perspectives, better ideas and less groupthink (Adler, 1997). Since the inherent nature of heterogeneous or multidisciplinary teams/groups requires different capacities, an organization's dynamic

capabilities can be positively influence by shared leadership. Here, potential emerging conflicts need to be formally managed to ensure that they can be resolved and the team/group can move forward (Reid & Karambayya, 2009).

Multiple studies suggest that shared leadership and the responsibilities this practice encompasses improve employees' job satisfaction, increase employee involvement and lead to greater professional and organizational empowerment, which optimally results in an increase in the organizational effectiveness (Burke et al., 2006; Klakovich, 1996; Upenieks, 2000; Varkey, Karlapudi, & Hensrud, 2008; Wells, Ward, Feinberg, & Alexander, 2008).

Implementing a shared leadership model also has its challenges and downsides. For example, in the absence of traditional leaders, who ensure that deadlines are kept and decisions are made. What is the incentive to accomplish tasks if these are not assigned a priori and there is no formal authority to control the output and make sure that targets are achieved? Similarly, we argue, that decision-making processes can be slowed down by a lack of clearly defined roles, responsibilities and areas of influence. Heterogeneity or diversity might also translate into mistrust within the leadership group due to stereotyping (Adler, 1997). Miscommunication due to language and translation problems can cause a lack of cohesion between group members and thus to ineffective decision-making (Adler, 1997). Consensus may thus be difficult to accomplish, which means that these teams become less effective and productive (Adler, 1997). Conflicts may also negatively affect the decision-making process and/or the effectiveness of the team (Hogler, Gross, & Byrne, 2009; Reid & Karambayya, 2009). Other research has pointed to leader corruption and power issues (Pearce et al., 2008) and a negative relationship between the cohesion construct, sense of belonging and cognitive conflict (Ensley & Pearce, 2001).

Implications

The demand for leadership does not necessarily disappear or become less simple because it changes from an individual to a collective phenomenon (Barry, 1991). Rather, we argue, the lack of any formal authority is likely to give room for increased power struggles and conflicts. Consequently, there is a need for a stronger appreciation and deeper understanding of key constituents of shared leadership practice. Longitudinal process studies would enable us to expand our understanding of the important micro-dynamics at play and to learn how to deal with emerging conflicts and/or leader corruption.

Recent research (Sarker & Schneider, 2009) has also found noteworthy cultural differences in the way shared leadership is approached and practiced. In a cross-cultural study involving information systems development in the US and Scandinavia, team abilities, contributions and knowledge transfer were found to be significant predictors of leadership emergence. More interestingly, this study also suggests that US and Scandinavian members do not use the same criteria for identifying remote team members as leaders (ibid.) Are some cultures more/less conducive to shared leadership? Additional theoretical and empirical work is thus needed to investigate the role of culture at both the organizational and national level.

The insights from the review and re-synthesis have some important implications. Upper-echelon managers can actively promote and encourage shared leadership in employee training and disseminate information about what has or has not worked well. Managers can also undertake the role of internal coach to help the collectives (e.g. production team, R&D team or project team) keep a clear and shared sense of direction. Furthermore, they can help reassure employees that organizational norms will continue to encourage and support shared leadership.

This paper also has some important limitations. First, due to lack of space and simplicity, our framework does not take into account the role of industrial sector, nature of technology, type of ownership, firm size and age, cultural characteristics or the human capital characteristics needed for shared leadership to be successful. However, we recognize that collective forms of leadership are far from immune to significant changes and/or variations across such factors, and that these should be addressed in future research.

It can, of course, be debated whether shared leadership and distributed authority are truly democratic since most organizations would probably recruit top managers who are not elected by those affected by their decisions. On the other hand, as argued by Gronn (2008), de-monopolizing leadership and widening the sources and numbers of organizational members involved in decision-making lays the groundwork for increased democracy.

Conclusions

It can be concluded that the total volume, breadth and scope of publications on shared leadership have increased significantly, especially over the last ten to fifteen years, which suggests that shared leadership is a dynamic and expanding field. Similarly, the growing number of articles on collective and shared leadership in the more prestigious, older and more broadly focused management journals suggests that researchers have not only achieved a high scientific standard, but also that it is a healthy and mature subfield that is becoming widely acknowledged in the broader community of management scholars.

The paper makes three major contributions to the literature. Firstly, it provides a comprehensive in-depth review and analysis and profile of the field of collective and shared leadership. Secondly, it identifies a number of key enabling mechanisms and micro-foundational properties of shared leadership and outcomes, thus helping to close some of the gaps in the literature. Thirdly, this article offers a synthesized framework of the coordinative mechanisms and outcomes of shared leadership which may apply on multiple organizational levels. If shared leadership is to be perceived as a truly collective phenomenon, then there is a need to replace the simplistic leader-follower dichotomy of leadership. And, as argued in this paper, individuals are often perfectly capable of playing both roles.

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SERVANT LEADERSHIP AND EMPLOYEE COMMITMENT TO A SUPERVISOR

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A relationship between employee commitment to a supervisor and reduced levels of employee turnover has been found in previous research studies (Vandenberghe & Bentein, 2009). Since turnover is often associated with high costs, understanding how to retain valuable human resource talent is of increasing importance. In this study, Fields and Winston's (2010) servant leadership instrument, Becker, Billings, Eveleth, and Gilbert's (1996) employee commitment to a supervisor scale, and Stogdill's (1963) supervisor initiation of structure subscale are used to measure the predictive effect of servant leadership on employee commitment to a supervisor, beyond the effect of a supervisor's task-oriented behavior. One hundred and forty nine of 207 fulltime employees from a university in the U.S. responded to a web-hosted survey that was distributed via email. A multiple regression analysis was conducted that controlled for employee age, employee tenure with the supervisor, employee gender, employee/supervisor gender similarity/dissimilarity, and supervisor task-oriented behavior. Servant leadership was found to have a significant ($p < .001$) effect on employee commitment to a supervisor, shown by an increased R-Square value of 0.224 (22.4%). This study adds empirical evidence to the construct validity of servant leadership theory and the positive influence said behavior has on employee commitment.

Employee turnover is significantly costly to employers, both in financial and non-financial terms (Davidson, Timo, & Wang, 2010; Hillmer, Hillmer, & McRoberts, 2004; Hinkin & Tracey, 2000; Karsan, 2007; Mukamel et al., 2009; O'Connell & Mei-Chuan, 2007; Parsa, Tesone, & Templeton, 2009; Waldman, Kelly, Arora, & Smith, 2010; Watlington, Shockley, Guglielmino, & Felsher, 2010). Supervisors have been found to be a significant factor, both directly and indirectly, in deterring employee voluntary turnover (Frank, Finnegan, & Taylor, 2004; Griffeth, Hom, & Gaertner, 2000; Kane-Sellers, 2008). Employee commitment to supervisors has been discovered to play a major role in employee retention (Vandenberghe & Bentein, 2009). Becker, Billings, Eveleth, and Gilbert (1996) found that employee commitment to supervisors is also positively related to job performance and is more strongly linked to performance than employee commitment to the overall organization is linked to performance. Since employee commitment to supervisors has empirically shown a relationship with higher employee retention and improved job performance, research of the factors that might cause

heightened employee commitment to the supervisor seems to be a worthwhile pursuit. This study seeks to examine whether or not the servant leadership behavior of a supervisor could be one of these influential factors.

Servant Leadership in the Literature

Investigation of servant leadership theory as a construct is needed because researchers of the theory have just begun the quest for empirical evidence and causal outcomes (Yukl, 2010) and the theory is not without its critics (Andersen, 2009) . Movement by researchers towards this end has commenced. In the last decade servant leadership has gained momentum not only among academics, but within the circles of organizational consultants and corporate leaders (Yukl, 2010). The reason for the recent attraction to servant leadership is most likely due to the ethical wavering and failures of top leaders in multiple industries (Liden, Wayne, Zhao, & Henderson, 2008; Yukl, 2010). Yukl (2010) suggests that the potential benefits of servant leadership behaviors are likely to be related with areas such as improved employee trust, loyalty, and satisfaction with supervisors.

Servant Leadership's Focus and Lack of Focus

Servant leadership's values and behaviors are focused on helping people (Yukl, 2010). The distinctive, central focus and base of servant leadership behaviors, as explained by Liden, Wayne, Zhao, and Henderson (2008) and Fields and Winston (2010), is serving the needs of followers. However, servant leadership theory has had multiple dimensions and constructs proposed and studied by researchers over the years. Russell and Stone (2002) found 20 servant leadership attributes in the literature (p. 147). Beyond these attributes, Fields and Winston (2010) identified 25 more servant leadership characteristics (p. 22). Table 1 provides a detailed list of the 45 servant leadership attributes listed between the two studies.

Table 1: Forty-five Servant Leadership Attributes Identified from Russell and Stone's (2002) Literature Review and Field and Winston's (2010) Literature Review

Russell & Stone's Lit. Review	Fields & Winston's Lit. Review
appreciation of others	altruism
communication	authentic self
competence	behaving ethically
credibility	caring for others
delegation	conceptual skills
empowerment	covenantal relationship
encouragement	creating value for the community
honesty	creating value for those outside the organization
influence	developing others
integrity	emotional healing
listening	forming relationships with subordinates
modeling	goal-setting
persuasion	helping subordinates grow and succeed

pioneering	humility
service	leader's agapao
stewardship	persuasion mapping
teaching	putting subordinates first
trust	responsible morality
visibility	servant-hood
vision	shared decision making
	team-building
	transcendent spirituality
	transforming influence
	voluntary subordination
	wisdom

Servant Leadership's Progress as a Construct

Yukl (2010) explicates that although most of the evidence regarding the effects of servant leadership has been conceptual and qualitative in nature, recently validated instruments and quantitative studies have begun to move the servant leadership construct from the conceptual to the empirical. For example, Fields and Winston (2010) sought to simplify the servant leadership construct and design and test a simplified measurement tool to assess the servant leadership construct. The 45 attributes of servant leadership itemized in Table 1 above show the level of complexity to which the servant leadership construct has arrived as researchers have sought to explore this leadership phenomenon. Some of the dimensions of servant leadership have overlapped with other leadership theories, which often confuse the servant leadership construct's distinctiveness (Fields & Winston, 2010; Liden, et al., 2008). The pursuit for construct validity and for reliable and validated instruments, such as seen in Fields and Winston's (2010) study, brings a refreshing clarity to the servant leadership construct and heightened hopes for more concrete and clear exploration of the theory.

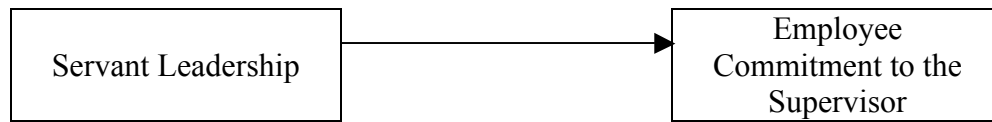## Servant Leadership and Employee Commitment

A positive relationship between servant leadership and employee commitment has been conceptually proposed (Jacobs, 2006; Russell & Stone, 2002; Van Dierendonck, 2010). Although limited in number, servant leadership theory and employee commitment has begun to be qualitatively studied by such researchers as Ebener and O'Connell (2010) and Winston (2004), and empirically confirmed by investigators such as Hu and Liden (2011) and Liden, Wayne, Zhao, and Henderson (2008). However, the relationship between servant leadership and employee commitment *to a supervisor* has not been quantitatively researched in the academe.

Statement of Problem, Purpose of Study, and Model

The dearth of research in the literature on the relationship between the variables of employee commitment to a supervisor (WeiBo, Kaur, & Jun, 2010) and servant leadership (Yukl, 2010) beckons investigation. The purpose of this empirical study is to explore the question, "What impact does the servant leadership behaviors of a supervisor have on employee

commitment to the supervisor, beyond the effect of the task-oriented actions of the supervisor?" The research model, as seen in Figure 1, examines servant leadership behaviors of the leader as perceived by the employee as an independent variable that has a positive relationship with the dependent variable of employee commitment to the supervisor as attested to by the employee.

Figure 1: Research Model

Hypothesis

The hypothesis for this study is: Servant leadership uniquely and positively contributes to employee commitment to the supervisor after controlling for task-oriented behaviors of the supervisor and the demographic variables of employee age, employee/supervisor gender similarity/dissimilarity, and tenure of the employee as a subordinate to the supervisor. In other words, employees will be more committed to supervisors that exhibit higher levels of servant leadership behaviors than supervisors that exhibit lesser levels of servant leadership behaviors, after controlling for the effects of task-oriented behaviors of the supervisor, and the four demographic variables. Further theoretical reasoning for this hypothesis will now be presented. Yukl (2010) described the landmark organizational studies conducted by the University of Michigan in the early 1950s to have found the relations-oriented behaviors of leaders, such as helping to develop subordinates and further their careers, as highly effective in leading groups to improved levels of production. Yukl (2010) likewise referenced the landmark studies conducted by Ohio State University in the 1950s as showing a positive correlation between a supervisor's level of consideration of employees and employee turnover rate. In other words, supervisors that exhibited higher levels of consideration of employees to a certain critical point retained more of their employees; thus, a lower voluntary turnover rate existed among the followers of said supervisors. Winston (2004) theoretically proposed, building upon the work of Patterson (2003), that a leader's foundational concern for employees that is manifest in servant leadership relational behaviors towards employees will cause and inspire employee concern for and commitment back to the leader.

Liden et al. (2008) explained from the literature that a servant leader develops long-term relationship with employees, and the relationship literature has shown that the behaviors a relational leader (such as a servant leader) exhibit results in employees replicating the behaviors of the leader. Thus, since the focus of the servant leader is to serve and develop followers, which requires a level commitment to the follower, would it not seem probable that a similar service and commitment back to the leader would result? Liden et al. (2008) empirically found a correlation between servant leadership behaviors and employee organizational commitment. Based upon the empirical findings and theoretical premises from the literature, this study expects to find that a higher employee commitment to the supervisor (similar to Winston's (2004) theoretical proposal) to be inspired by and positively connected to the initiating relational behaviors of a servant leader towards followers.

Lastly, the Ohio State and University of Michigan studies referenced above found that a leader's relational behaviors and task-oriented behaviors are behaviors that make leaders

effective (Yukl, 2010). This study measured supervisor task-oriented behaviors as part of the control variables and analyzed how they relate to employee commitment to the supervisor in comparison and contrast with the effects of the relational-oriented behaviors of servant leadership on employee commitment to the supervisor. Servant leadership, which penetrates the human higher-order need for relationship beyond task-oriented engagement with supervisors, is expected to be shown to result in a higher and more positive effect on employee commitment to the supervisor than simply engaging employees in a task-oriented manner.

Research Method

Sample

A university located in the southwestern region of the United States with 207 fulltime employees participated in this study. One hundred and forty nine university employees responded to this study's survey, representing a 72% response rate. Fifty two percent of respondents were female and 41.6% were male, while 6.7% of respondents' gender was unreported. Fifty eight percent of all respondents reported having supervisors that were the same gender as themselves, while 33.6% did not and 8.1% chose not to respond. A cross-tabulation analysis revealed that 52.6% of women and 23% of men have female supervisors. The age-group demographics were: 18-30 years old (18.1%), 31-45 years old (24.8%), 46-60 years old (32.9%), above 60 years old (16.1%), and not reported (8.1%). The tenure of respondents working for their current supervisor was reported as follows: less than 1 year (29.5%), 1-3 years (40.3%), 4-5 years (11.4%), more than 5 years (11.4%), and not reported (7.4%). The sample group is made up of both staff and faculty. Adjunct faculty were not included in the sample. One hundred and eighteen out of the 149 employees, who responded to the survey, actually filled out the survey without any missing values; thus, these 118 surveys were used when running the statistical correlation and multivariate analyses.

Measures

Servant leadership. Fields and Winston (2010), together with a panel of experts on servant leadership theory, formulated a new servant leadership scale to empirically research the distinctive behavior of the servant leadership construct. The single dimension tool, detailed in Table A1, seeks to measure the distinctive behaviors of servant leadership that focus on the leader's service to and development of followers (Fields & Winston, 2010). Fields and Winston's (2010) instrument was successfully used to test the servant leadership distinctive through a sample of 456 employees across multiple industries. The scale's reliability was confirmed in Fields and Winston's (2010) study by an exploratory factor analysis that resulted in a Cronbach coefficient alpha of 0.96. This current study employed Fields and Winston's (2010) tool due to its parsimonious, single dimension approach and its initial showing of psychometric validity. The reliability scale statistics were run on the instrument again. Only surveys where respondents completed all the items for the corresponding instrument being assessed were utilized, which was the standard also used to analyze the reliability of the other two instruments employed in this research. The servant leadership scale had an alpha of 0.96 in this study's sample.

Employee commitment to supervisor. Becker et al. (1996) sought to understand the potential relationship between employee "commitment as a multidimensional phenomenon and performance" (p. 465). The theoretical framework upon which the study was constructed included a literature review, the multiple and varied targets (individuals, groups, occupations, professions) within an organization of an employee's commitment, and the bases (motivations) of an employee's commitment to the targets. The bases, building upon Kelman's (1958) work, are divided into three types: compliance, identification, and internalization. Becker et al.'s (1996) study found that employee commitment to supervisors was more strongly linked to performance than employee commitment to the overall organization. Becker et al.'s (1996) data collection method was conducted through two separate surveys, the second of which is applicable to this research study.

Becker et al.'s (1996) second instrument included nine questions and four scales to measure *foci and bases of commitment*. The nine questions were used to measure employees' identification with their supervisor and internalization of the same values of their supervisor. The same instrument was used to measure employee identification and internalization with the organization overall. Five questions measured employee identification and four questions measured internalization with each foci. Becker et al.'s (1996) study also utilized and analyzed both of these dimensions as one dimension, which together represented the overall commitment of an employee to the supervisor. When tested for scale reliability in Becker et al.'s (1996) initial study, the one dimension scale returned an alpha of 0.89. In this study, Becker et al.'s (1996) one dimension instrument, shown in Table A2, was used to measure overall employee commitment to the supervisor and had an alpha of 0.92 in this study's sample.

Control variables. Becker et al.'s (1996) study controlled the variable of employee duration of employment with their current employer, thus duration of employment with employer while under the supervision of the supervisor is controlled in this study. Becker et al.'s (1996) study also controlled for respondents age and gender and since these two demographic variables have been shown to often affect employee commitment, these two variables are controlled for in this study. The demographic variable *employee/supervisor gender similarity/dissimilarity* was also included because it was thought that the difference between genders might influence the level of employee commitment to the supervisor. The four demographic control variables were included at the end of this study's survey. Gender was reported as *male* or *female*. Employee/supervisor gender similarity/dissimilarity variable was asked about via the question: "Is your supervisor's gender the same as your gender?" Respondents answered either *yes* or *no*. To control for age, respondents were asked to report to which of the following age groups they pertained: *18-30 years old, 31-45 years old, 46-59 years old*, or *above 60 years old*. Employees were asked how long they worked for their current supervisor, whereby respondents were asked to select from one of the following answers: *less than 1 year, 1-3 years, 4-5 years*, or *more than 5 years*.

Supervisor task-oriented behaviors that clarify roles and task expectations are also controlled for since employees look to supervisors for task clarification and goal direction, which servant leadership theory does not measure since servant leadership theory primarily focuses on the relational aspects of the leader with followers. A subscale section of Stogdill's (1963) *Leader Behavior Description Questionnaire* VII (LBDQ VII) called *Initiation of Structure* that is made up of ten questions is used to control for supervisor task-orientation behaviors since the LPDQ VII has been used extensively and consistently found to be a valid and reliable measurement

scale (Black & Porter, 1991; Selmer, 1997; Yukl, 2010). Table A3 lists the 10 questions from the LPDQ VII that are incorporated into this study's questionnaire. Stogdill's (1963) LBDQ VII instrument's leadership dimension of *initiation of structure* returned an alpha of 0.89 when assessing the tool's reliability in this study's research. Table 2 shows the alpha scores for the LBDQ VII and the two other instruments, along with the corresponding data used for the statistical calculation.

Table 2: *Instrument Alpha Scores, N of Items, and N of Valid Cases, N of Excluded Cases*

Instrument	Alpha	N of Items	N of Cases and %	
			Valid	Excluded
Servant Leadership	0.96	10	118	0
Supervisor-Related Commitment	0.92	9	118	0
LBDQ VII: Subscale - Initiation of Structure	0.89	10	118	0

Data Collection Procedures

All three instruments described above, together with questions to gather data on the control variables mentioned, were combined into one electronic survey in Survey Monkey. After discussions with university leaders, it was agreed upon that the best means for distribution would be an email invitation from the researcher to his colleagues to participate in the study. The researcher's invitation was distributed to faculty and staff of the university via university email accounts by the provost, along with a note from the provost encouraging employees to participate. In order to maintain confidentiality of the respondents, the survey was generated via the researcher's personal Survey Monkey account and all surveys were returned by the respondents via the respondents' submission of the survey at the Survey Monkey website. The survey was open for 15 days with two reminder emails sent before the closing deadline: one on day 4 and one on day 15 in order to encourage participation. The pleasant surprise of rapid response by employees to the initial email invitation occurred. Within the first hour, 50 out of 207 employees had taken the electronic survey. After 24 hours, 94 employees had completed the survey. By the end of the survey period, a total of 149 respondents had participated in the survey.

Results

Descriptive Statistics and Correlations

Multiple regression analysis was conducted in order to analyze to what extent the level of servant leadership predicts employee commitment to a supervisor, while taking into account the control variables of this study's model. As seen in Table 3, the descriptive table from the multiple regression analysis output, utilizing the listwise deletion option, reduced the amount of cases from 149 to 118 due to missing values on the returned surveys. However, for a study examining six independent variables and one dependent variable, a sample of 118 cases is considered sufficient to achieve adequate statistical power and potential generalizability (Hair, Black, Babin, Anderson, & Tatham, 2006).

Table 3 shows servant leadership had a significant and positive correlation with employee commitment to the supervisor (r = 0.72, p < 0.001). Likewise, a supervisor's initiation of structure was found to have a significant correlation with employee commitment to the supervisor (r = 0.55 p < 0.001). Servant leadership and initiation of structure was found to have a significant correlation (r = 0.67, p < 0.001) as well. There were no demographic variables found to have a significant relationship with any non-demographic variables.

Table 3: Construct Means, Standard Deviations, and Correlations

Variable	M	SD	1	2	3	4	5	6
1. Employee Commitment	4.51	1.33						
2. Gender	1.45	0.50	.05					
3. Gender Similarity with Supervisor	1.37	0.49	-.09	-.29**				
4. Age Group	2.44	1.01	.05	.15	-.02			
5. Tenure	2.08	0.96	-.08	.23*	-.17**	.26**		
6. Supervisor's Initiation of Structure	3.72	0.66	.55^t	-.05	-.12	.05	-.16*	
7. Servant Leadership	4.07	0.91	.72^t	.02	-.03	.14	-.03	.67^t

Note. N = 118 (listwise deletion of missing variables). Gender is coded 1 = female, 2 = male. Supervisor's Gender is coded 1 = yes, 2 = no. Age Group is coded: 1 = 18-30 years old, 2 = 31-45 years old, 3 = 46-60 years old, and 4 = Above 60 years old. Tenure is coded 1 = Less than 1 year, 2 = 1-3 years, 3 = 4-5 years, 4 = More than 5 years.
* p < .05. ** p < .01. ^{t} p < .001

Multicollinearity Analysis

Since a significant and high correlation (r = 0.67, p < 0.001) between servant leadership and supervisor's initiation of structure was found, the multicollinearity of the variables present within the regression results were examined by running the collinearity diagnostics in SPSS. Tolerance values of more than .10 and variance inflation factor (VIF) values below 10 indicate a lack of multicollinearity, indicating that the predictor variables are distinct and thus maintain their individual roles and ability to predict the effects on the dependent variable (Field, 2009; Hair, et al., 2006; Pallant, 2007). Table 4 shows the tolerance and VIF statistical values, which demonstrate the absence of significant multicollinearity that may affect this study's results.

Table 4: Regression Analysis Collinearity Diagnostics: Tolerance and VIF

Variable	Model 1		Model 2	
	Tolerance	VIF	Tolerance	VIF
Gender	0.90	1.12	0.89	1.12

Gender Similarity with Supervisor	0.90	1.11	0.89	1.12
Age Group	0.92	1.09	0.90	1.11
Tenure	0.85	1.18	0.84	1.19
Supervisor's Initiation of Structure	0.94	1.07	0.51	1.97
Servant Leadership			0.53	1.90

Note: $N = 118$. Dependent Variable: Commitment to Supervisor.

Regression Analysis

A hierarchical regression analysis was conducted to test the hypothesis and found the servant leadership model to have a significant effect ($p < .001$) on employee commitment to a supervisor, showing an increase in the R-Square value by 0.22 (22%) above the effects caused by the demographic variables of this study and supervisor task-oriented behavior (initiation of structure). The unstandardized (B) coefficients and the standardized Beta coefficients from the multiple regressions in Table 5 show that after controlling for the demographic variables and a supervisor's initiation of structure, a significant regression coefficient for servant leadership was found (B = 0.959, $p < 0.01$). Also, note on Table 5 that a supervisor's initiation of structure was not found to be significant when including servant leadership in the model. Based on the statistical findings described above, support was found for the hypothesis of this study that states servant leadership uniquely and positively contributes to employee commitment to the supervisor beyond the task-oriented behaviors of the supervisor.

Table 5: Regression Analysis Summary for Variables Predicting Employee Commitment to a Supervisor

	Model 1			Model 2		
Variable	*B*	*SE B*	*β*	*B*	*SE B*	*β*
Constant	.22	.90		.29	.74	
Gender	.18	.22	.07	.11	.18	.04
Gender Similarity with Supervisor	-.05	.23	-.02	-.18	.19	-.07
Age Group	.03	.11	.02	-.04	.09	-.03
Tenure	-.03	.12	-.02	-.09	.10	-.06
Supervisor's Initiation of Structure	1.10*	.16	.54*	1.89	.18	.09

Servant Leadership			.96*	.13	.65*
R^2		.31		.53	
R^2 Change		.31		.22	
F for Change in R^2		9.82*		52.82*	

Note: $N = 118$
*$p < .001$

Discussion

The sole purpose of this study was to examine the relationship between servant leadership behaviors of a supervisor and subordinates' commitment to the supervisor, as a blaring dearth exists in the literature regarding quantitative research around these variables. Through regression analysis, this study quantitatively found significantly strong support for its hypothesis that servant leadership behaviors of a supervisor uniquely and positively affect employee commitment to said supervisor. This finding was expected as servant leadership has been quantitatively found, although to a limited extent, to be related with employee commitment to the overall organization (Hu & Liden, 2011; Liden, et al., 2008). Likewise, servant leadership is a relational-based approach to leadership and relational-based leadership approaches have been found to affect other positive results such as improved employee performance and reduced employee turnover (Yukl, 2010).

The regression analysis interestingly showed supervisor initiation of structure (task-oriented behavior) as not having a statistical effect on employee commitment to the supervisor once servant leadership was introduced into the model. Perhaps, the reason behind this finding is due to the inferior effect of the initiation structure behavior when comparing it to the effect of servant leadership behavior. For example, could it be that when an employee has a boss who initiates structure, the employee responds to this behavior in a positive level of commitment; however, when an employee has a boss who also demonstrates a high level of servant leadership, the employee's commitment to the supervisor is overshadowed and motivationally dominated by the relational and inspiring behaviors of the servant leader?

Implications of this study's finding for practitioners have potential bottom-line effects. Managing and retaining valuable human resources and top talent is a topic commonly seen in the popular press and talked about in executive circles. Employee retention has been found to be linked to employee commitment to a supervisor; the higher employee commitment to a supervisor, the higher the level of retention. This study showed that servant leadership behaviors of a supervisor heighten employee commitment to the supervisor. The regression analysis showed that servant leadership fully mediated the relationship between a supervisor's initiating of structure with employee commitment to the supervisor; thus, emphasizing the essentiality of servant leadership as part of the equation for a supervisor's initiating of structure to have any significant effect on employee commitment to the supervisor. Based on these findings, practitioners might consider designing training and performance management interventions to

assist managers and leaders in understanding, developing, and demonstrating servant leadership behaviors when strategically attempting to reduce turnover costs and retain human resources that are increasingly needed in a highly competitive, knowledge-based economy.

Future Research

The findings from this study provide a stepping stone upon which to build future research on servant leadership and its causal outcomes. The possible avenues of future exploration that might be considered are many, several of which will be described here. First, future research might compare the level of commitment of employees who report having supervisors who exhibit a high level of servant leadership with the commitment of employees who report having supervisors who exhibit a high level of structure initiation and with employees who report having supervisors who exhibit both a high level of servant leadership and a high level of structure initiation. The purpose of such an exploration would be to seek answers to this study's finding regarding the statistically diminishing effect of initiation of structure on employee commitment in the face of servant leadership. Second, Becker et al.'s (1996) employee commitment to a supervisor instrument could be used to measure the commitment construct in two dimensions (employee identification with the supervisor and employee internalization of the values of the supervisor) and how these two dimensions are affected by the servant leadership behaviors of the supervisor. Third, other relational-based leadership styles, such as transformational leadership, might be introduced into a future research model to examine if servant leadership affects employee commitment to the supervisor above and beyond that of other relational-based behaviors. Lastly, similar studies might carry this study forward by researching this study's variables in other industries and cultural settings. For example, since this study was conducted at a higher-educational institution, it might prove valuable to explore the relationship between servant leadership and employee commitment to a supervisor in the business, governmental, and healthcare sectors to confirm whether or not the interplay between these variables are similar across industries.

Strengths and Limitations

The sample's number of respondents was robust and provided a more than sufficient amount of cases upon which to statistically compare the one independent variable, the five control variables, and the dependent variable (Hair, et al., 2006). The sample, however, was made up of employees from one private, non-profit higher-educational institution located in the southwestern region of the United States and as a result the generalizability of the findings across industries and other parts of the country are limited. For example, the initiating of structure by a supervisor in a corporate manufacturing operation might be more highly valued by employees and related with employee commitment to a supervisor due to the technical focus of such an environment, as contrasted with the more free-flowing, less-technical type of environment of a higher educational organization. Further, the study's sample was primarily made up of an ethnically homogenous group in one region of the country; therefore, the effects of diverse cultures upon the studied variables were not able to be controlled and as such the generalizability of the findings across ethnic cultures and regional cultures is limited.

Common method variance (CMV) and biases, according to P.M. Podsakoff, MacKenzie, Lee, and Podsakoff (2003), is a common threat to the findings of behavioral science research. This study took great strides to ensure anonymity of the respondents in order to improve the probabilities of employees answering in a way that accurately reflects their true perceptions of the items in the survey; however, the employment of instruments such as Crowne and Marlow's (1960) to control for respondent biases such as social desirability bias were not utilized. This study's instrument was intentionally designed to be answered within a minimal amount of time since respondents participated according to their free will. Ensuring a short amount of time required to participate in this study's research was thought to be an important aspect in acquiring such voluntary response. A second weakness in regard to CMV was the ordering of the scales in this study's survey. Each scale was presented as its own set of questions, instead of randomly mixing the items among all scales. According to Chang, Witteloostuijn, and Eden (2010), the presentation of an instrument's items in such a diverse manner assists in countering respondents' cognitive reactions to the items. Limitations, such as the ones documented here, might be helpful to consider by prospective doctoral students and scholars desiring to carry forward the research begun in this study.

Conclusion

This study's findings adds preliminary quantifiable evidence in building the empirical case for the positive effect that servant leadership has on employee commitment to supervisors who demonstrate servant leadership behaviors. In a general manner, this research likewise adds to the academe's quantifiable exploration of the servant leadership construct and its causal outcomes, which as Yukl (2010) noted, is still in its beginning stages. It is hoped that this study's findings will inspire and motivate researchers to investigate the relationship between servant leadership and other variables such as employee satisfaction with a supervisor, employee intention to remain with their employer, and employee performance. Lastly, this study's findings could potentially provide practitioners insight about a leadership approach that can be utilized in a way that results in decreased costs and developed competitive advantages that are not easily replicated by competitors.

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Dr. Shane Sokoll is a College of Business faculty member at Concordia University Texas in the city of Austin where he teaches and serves as director of the Bachelor of Arts Degree in Human Resource Management (HRM). The HRM courses for which he provides oversight are offered in traditional, accelerated, and online delivery formats. Dr. Sokoll holds a Ph.D. in Organizational Leadership with a major in Human Resource Development, a Master in Business Administration (MBA) with a major in HRM, and is a certified Senior Professional in Human Resources (SPHR). He has developed and taught courses such as Fundamentals of HRM, Principles of Management, Management Control Systems, Training and Development, International HRM, Organizational Staffing, Strategic Management in Human Resources, all of which incorporate a strong emphasis on leader/employee development and organizational outcomes. Dr. Sokoll's quantitative and qualitative research is presently focused on employee commitment, employee

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Appendix

Table A1: *Fields and Winston's (2010) New Parsimonious Measure of Servant Leadership Behaviors*

Items comprising a new parsimonious measure of servant leadership behaviors ($\alpha = .96$)

1. Practices what he/she preaches

2. Serves people without regard to their nationality, gender, or race

3. Sees serving as a mission of responsibility to others

4. Genuinely interested in employees as people

5. Understands that serving others is most important

6. Willing to make sacrifices to help others

7. Seeks to instill trust rather than fear or insecurity

8. Is always honest

9. Is driven by a sense of higher calling

10. Promotes values that transcend self-interest and material success

Response scale for extent to which this statement describes the behavior of a focal leader:

1 = definitely no; 2 = no; 3 = neutral; 4 = yes; 5 = definitely yes

Note. Adapted from "*Development and evaluation of a new parsimonious measure of servant leadership,*" by D. L. Fields and B. E. Winston, 2010. School of Global Leadership & Entrepreneurship. Regent University. Virginia Beach, VA.

Table A2: Becker, Billings, Eveleth, and Gilbert's (1996) Supervisor-Related Commitment Instrument

Items measuring *supervisor-related identification items* ($\alpha = .85$)

1. When someone criticizes my supervisor, it feels like a personal insult

2. When I talk about my supervisor, I usually say "we" rather than "they"

3. My supervisor's successes are my successes

4. When someone praises my supervisor, it feels like a personal compliment

5. I feel a sense of "ownership" for my supervisor

Items measuring *supervisor-related internalization items* ($\alpha = .89$)

6. If the wishes of my supervisor were different, I would not be as attached to my supervisor

7. My attachment to my supervisor is primarily based on the similarity of my values and those represented by my supervisor

8. Since starting this job, my personal values and those of my supervisor have become similar

9. The reason I prefer my supervisor to others is because of what he or she stands for, that is, his or her values

All items on one scale measuring *overall employee commitment to the supervisor* ($\alpha = .89$)

Response scale for extent to which the employee agrees with the statement:

1 = strongly disagree; 7 = strongly agree

Note. Adapted from "Foci and bases of employee commitment: Implications for job performance," by T. E. Becker, R. S. Billings, D. M. Eveleth, and N. L. Gilbert, 1996. *Academy of Management Journal,* 39(2), p.467. Copyright 1996 by Academy of Management.

Table A3: Stogdill's (1963) Leader Behavior Description Questionnaire Subscale - Initiation of Structure

Items measuring supervisor's initiation of structure, meaning clearly defines own role, and lets followers know what is expected.

1. Lets group members know what is expected of them

2. Encourages the use of uniform procedures

3. Tries out his/her ideas in the group

4. Makes his/her attitudes clear to the group

5. Decides what shall be done and how it shall be done

6. Assigns group members to particular tasks

7. Makes sure that his/her part in the group is understood by the group members

8. Schedules the work to be done

9. Maintains definite standards of performance

10. Asks that group members follow standard rules and regulations

Response scale for extent to which the employee agrees with the statement:

1 = Always; 5 = Never acts as described by the item

Note. Adapted from "Leader Behavior Description Questionnaire-Form XII," by R. M. Stogdill, 1963. Retrieved from http://fisher.osu.edu/supplements/10/2862/1962%20LBDQ%20Form%20XII.pdf, pp. 2-6.

THE EMERGING SIGNIFICANCE OF VALUES BASED LEADERSHIP: A LITERATURE REVIEW

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The emergence of the 21st century was plagued with extensive, evasive and disheartening leadership failures. Moral and ethical deficiencies were prevalent in many charismatic, dynamic and seemingly transformational leaders that had risen to prominence in both the public and private sectors. In response, leadership and management theorists began to place a renewed emphasis on the importance of ethics and morality in exemplary leaders, and a plethora of values based leadership (VBL) theories emerged. VBL behaviors are styles that have a moral, authentic and ethical dimension. This study examines the prevailing literature and research on the various constructs rooted in VBL. It identifies three constructs: (a) authentic (Avolio & Gardner, 2005; Gardner, Avolio, Luthans, May, & Walumbwa, 2005; George, 2003; Luthans & Avolio, 2003), (b) ethical (Brown et al., 2005), and transformational leadership (Bass, 1985; Bass, 1990; Bass & Avolio, 1990; Bass & Steidlmeier, 1999) that are considered the most emphasized behaviors in the VBL literature and examines the literature streams and progression of research for each of these VBL theories. The study identifies literature that supports that when these VBL behaviors are found in leaders, the leaders are evaluated as more effective by subordinates. The purpose is to provide a summary of the seminal VBL literature to date and provide recommendations for future research and study.

Values based leadership (VBL) evolved as a bi-product of the time and culture. The emergence of the twenty-first century was plagued with extensive, evasive and disheartening ethical leadership failures. Neither the public nor private sectors was immune as many leaders were exposed for immoral or unethical behaviors. Financial greed and corruption, corporate meltdowns, and spiraling unethical practices were revealed as financial scandals surfaced at prominent companies such as Enron, Tyco International, Adelphia, Peregrine Systems, WorldCom and others (Avolio & Gardner, 2005). In response, leadership and management theorists began to place a renewed emphasis on the importance of ethics and morality in exemplary leaders (May, Chan, Hodges, & Avolio, 2003; Luthans & Avolio, 2003; George, 2003; Avolio & Gardner, 2005; Brown & Treviño, 2006).

In the decades preceding, charismatic, transformational leadership was promoted, encouraged and developed as a strategy for increasing the effectiveness of leaders and

organizations (Bass & Avolio, 1994). As moral and ethical deficiencies became prevalent in many of the charismatic, dynamic and seemingly transformational leaders that had risen to prominence; scholars, practitioners and entire nations began to challenge the qualities needed for exemplary leaders. It became clear that in order to restore hope, confidence, integrity and honor to leaders and organizations, leadership theorist argued that entities needed to look beyond the persuasive lure of a charismatic, ostensibly transformational leader and ensure that leaders also possessed a strong set of values, morals and ethics. The result was an increased focused on the concept of VBL, which a decade later has become ubiquitous in both management and leadership literature.

Values Based Leadership Defined

In the leadership literature stream, VBL theories have received increased attention, in the past decade, as many charismatic and seemingly transformational leaders had emerged that lacked a moral, authentic and ethical dimension (George, 2003; Avolio & Gardner, 2005; Cooper, Scandura, & Schriesheim, 2005; Ilies, Morgeson, & Nahrgang, 2005; Brown & Treviño, 2006). VBL, like many evolving theories can have multiple definitions. Leadership authors (Bass & Avolio, 1993; Bass & Steidlmeier, 1999; Brown & Treviño, 2006; Gardner & Avolio, 2005) define values based leaders as those with an underlying moral, ethical foundation. VBL describes behaviors that are rooted in ethical and moral foundations. Examples of prominent VBL styles in the leadership research include spiritual, servant, authentic, ethical and transformational leadership.

Management literature has also addressed the need for morality and ethics in corporate leaders, with some researchers expanding the discussion of VBL to include a leadership style where there is a congruence of a leader's values with an organization's values (Fernandez & Hogan, 2002) or with the needs and values of all corporate stakeholders (Muscat & Whitty, 2009). Leadership and management theorists concur regarding the importance of the development and assessments of ethics and values in 21st century leaders.

This study examines the prevailing literature and research on the various constructs rooted in VBL. It identifies three constructs: (a) authentic (Avolio & Gardner, 2005; Gardner, et al., 2005; George, 2003; Luthans & Avolio, 2003), (b) ethical (Brown et al., 2005), and transformational leadership (Bass, 1985; Bass & Avolio, 1990a; Bass & Steidlmeier, 1999) that are considered the most emphasized behaviors in the VBL literature and examines the literature streams and progression of research for each of these VBL theories that have transformed the way the world looks at leadership. The research outlines that VBL is essential for leaders to be truly successful and effective (Bass; Bass & Avolio; Bass & Steidlmeier; Brown et. al.; Gardner, et al.). The analysis concludes by outlining literature gaps and providing recommendations for future study of VBL.

VBL Theories that Emerged after the Demise of Many Leaders and Organizations

A plethora of VBL constructs emerged or resurfaced in response to the tumultuous leadership failures at the onset of the 21st century. Table 1 outlines some of the ensuing theories that emerged as researchers, leaders and practitioners argued that leaders must be moral and possess inner ethical qualities and values.

Table 1: Emerging Constructs in Response to Ethical and Moral Deficiencies in Leaders (In chronological order based on first occurrence)

Values Based Leadership Theories	Author
Servant leadership	Greenleaf, 1977; Patterson, 2003; Parolini, Patterson, & Winston, 2009
Stewardship	Block, 1993
Connective leadership	Lipman-Blumen, 1996
Self-sacrificial leadership	Choi & Mai-Dalton, 1999
Authentic Transformational	Bass & Steidlmeier, 1999
Complex leadership	Regine & Lewin, 2000; Marion & Uhl-Bien, 2001; Knowles, 2001, 2002
Contextual leadership	Osborn, Hunt, & Jauch, 2002
Shared leadership	Pearce & Conger, 2003
Spiritual Leadership	Fry, 2003
Authentic leadership	Avolio, Gardner, Walumba, Luthans & May, 2004; Avolio, Luthans, F., & Walumbwa, F. (2004). Luthans, & May, 2004; Avolio & Gardner, 2005; Gardner, Avolio, Luthans, May, & Walumba, 2005
Ethical leadership	Brown, Trevino & Harrison, 2005; Brown &Treviño, 2006; De Hoogh & Den Hartog, 2008; Kalshoven, Hartog, & Hoogh, 2011.

Many of the emerging disciplines noted above are in the early stages of development. In many cases, research is rudimentary, and lacks a strong theoretical framework, empirical research and/or reliable and valid measures to establish a confirmed theory (Klemke, 2007). Among the emergent perspectives, researchers suggest that authentic (Avolio et al., 2004; Gardner & Avolio, 2005; Gardner et al., 2005; Luthans & Avolio, 2003), ethical (Brown et. al, 2005; Brown and Trevino, 2006), and authentic transformational leadership (Bass & Steidlmeier, 1999) have gained the greatest momentum in leadership literature and are exhibiting increased merits and interest from scholars and practitioners. Given the seminal importance of these three constructs in the VBL category, this review focuses on these three constructs as fundamental components of VBL research.

VBL and Leader Effectiveness

Research outlines that VBL has benefits beyond providing better organizational outcomes when moral and ethical principles are adhered to. Research has also demonstrated that transformational (Bass & Avolio, 1994), authentic (Avolio, Gardner, Walumba, Luthans, & May, 2004; Gardner & Avolio, 2005; George, 2004) and ethical (Brown et al., 2005; Kalshoven et al., 2011) leadership traits result in leaders that are more effective. George (2003) summarizes what happens when VBL are at the helm. George argued that leaders were needed that "lead with purpose, values and integrity; leaders who build enduring organizations, motivate their employees to provide superior customer service, and create long term value for shareholders" (p. 9) and that this would ultimately result in more effective leaders and organizations.

Historical Perspective: Leadership Literature

Prior to examining these three VBL constructs, it is necessary to review the foundational leadership literature that has influenced VBL constructs. The majority of the meaningful leadership research has been more recent. Yukl (2008b) outlined that prior to the 1990's there had been decades of leadership research with very limited progress on understanding how to identify and develop effective leaders. The past two decades, Yukl argues have seen both an accelerated rate of discovery, an increase in the richness, findings and applicability of the leadership field. Table 2 outlines the foundational leadership research that has had an impact on VBL research and literature.

Table 2: Seminal Leadership Literature Influencing Values Based Leadership Research (In chronological order based on first occurrence)

Study	Research, Findings and Relevance
Burns (1978)	**Transactional and transformational leadership proposed**. Burns is credited with initially proposing the theories of transactional and transformational leadership. Burns described transactional leaders as those who lead others in exchange for something of value. Burns compared transactional leadership with transformational leadership and noted that transforming leaders sought to appeal to and influence the moral values of the followers and inspire them to reform and revamp their organizations.
Bass (1985)	**Transactional and transformational leadership defined.** Bass defined the core leadership constructs of transformational and transactional leadership. Bass outlined how a leader can influence the motivation of individual followers and increase their performance.
Bennis & Nanus, (1985), Hogan, Raskin, & Fazzini	**Charismatic CEOs.** Bennis and Nanus identified that charismatic CEOs do not predict success of an organization. Hogan, Raskin, and Fazzini outlined that charisma can be

Study	Research, Findings and Relevance
(1990)	both a positive and a negative influence on followers, noting that charismatic CEOs do not have a higher propensity for avoiding poor financial outcomes.
Bass (1990)	**Impact of transactional leadership**. Bass argued that transactional leadership could result in mediocre performance as individuals performed at minimum levels, seeking to maximize the rewards for additional work completed.
Bass & Avolio (1990)	**Multifactor leadership questionnaire.** Bass and Avolio developed the multifactor leadership questionnaire (MLQ) to measure laissez faire, transactional and transformational behaviors in leaders. This measure is one of the most commonly used measures for transformational leadership.
Avolio, Waldman & Yammarino (1991)	**The 4 I's of transformational leadership.** Avolio, Waldman and Yammarino (1991) established the concept of the 4 I's of transformational leadership, which were idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration.
Bass & Avolio (1994)	**Developing transformational leaders and improving organizational effectiveness.** Bass and Avolio outlined ways to develop transformational leaders and improve organizational effectiveness. **Full range of leadership.** Proposed that the full range of leadership (transactional and transformational) applied to specific areas of leadership, management and organizational development. The researchers outlined that leaders that use a combination of both behaviors are able to increase their own effectiveness in addition to the organization's effectiveness.
Lowe, Kroeck, & Sivasubramaniam, (1996)	**Transformational leadership and subordinate motivation.** Examined a large number of research studies and provided support for the theory that transformational leadership enhances subordinate motivation and performance.
Hersey, Blanchard & Johnson (1996); Silverthorne & Wang (2001)	**Flexible Leadership.** Hersey, Blanchard, and Johnson (1996) highlighted the importance of business leaders and managers being able to adapt to the changing environment and select leadership styles that fit with the needs of the organization and subordinates. Silverthorne and Wang

Study	Research, Findings and Relevance
	(2001) outlined Leadership Behavior Flexibility (LBF) and argued that a leader's experience or the number of times they are placed in a leadership role adds to their level of behavioral flexibility. The study also noted that leaders who are behaviorally flexible are more likely to lead organizations that have positive organizational outcomes.
Conger & Kanungo (1998)	**Effectiveness of charismatic leaders.** The researchers outlined that charismatic leaders were more effective than non- charismatic leaders.
Yukl (1999)	**Transformational and charismatic leadership.** Outlined that often transformational and charismatic leadership is considered synonymous when in fact there are many differences between the two behaviors. Yukl argues that the constructs are distinct but overlapping. The study supports transformational leadership as having potentially positive outcomes and result in greater leader and organizational effectiveness. There is not the same empirical support for charismatic leadership improving organizational outcomes. Yukl calls for increased research and argues that transformational leadership does not always have positive outcomes and is highly dependent on the situation.
Bass & Steidlmeier (1999)	**Moral, ethical and authentic dimension of Transformational Leadership.** Re-emphasized that to be truly transformational, a leader must also be moral, ethical and authentic. Defined the term pseudo-transformational and the dark side of transformational leadership for leaders that had transformational behaviors, but lacked authentic, moral and ethical leadership.
Carless, Wearing & Mann (2000)	**Global Transformational Leadership Scale (GTL).** Carless, Wearing and Mann defined a transformational leader as one that: (a) communicates a vision, (b) develops staff, (c) provides support, (d) empowers staff, (e) is innovative, (f) leads by example, and (g) is charismatic. The researchers also developed, tested and validated a shortened measure for transformational leadership, the Global Transformational Leadership scale (GTL).
Osborn, Hunt & Jauch (2002)	**The Importance of the Situation or Organization in the Leadership Effectiveness Equation.** Osborn et al. reinforced the importance of the situation or organizational

Study	Research, Findings and Relevance
	context in leadership theory. This study reoriented leadership research and argued that effective leadership results not only from how leaders lead subordinates, but also the incremental influence of the leader as they navigate through the organizational system.
Avolio, Gardner, Walumba, Luthans & May (2004);Gardner & Avolio (2005); Gardner, Avolio, Luthans, May & Walumba (2005)	**Authentic Leadership.** These researchers identified the importance of authentic leadership. They outlined that to be truly impacting and beneficial to individuals, corporations and society as a whole, transformational leaders needed to possess some inner qualities beyond characteristics of effective charisma and transformational leadership. Authentic leadership qualities were defined and outlined as a critical attribute of 21st century leaders. See detailed outline of authentic leadership research in table 4.
Zhu, May, and Avolio (2004); Brown, Treviño & Harrison (2005); Brown & Treviño (2006)	**Ethical Leadership.** These scholars outlined the importance of ethical leadership and that ethical leaders are more effective; citing their proactive concern for the ethical behavior of their followers is the differentiating characteristic from authentic and transformational leaders. See detailed outline of ethical leadership research in table 5.
Yukl (2008b)	**Leader behavior and effect on the follower vary.** Stated that both leaders seek to motivate others to achieve common goals, but the behavior of the leader and the effect on the follower are different with each style.
Yukl, 2008a; Mumford, 2010; Yukl & Mahsud (2010); Hernandez, Eberly, Avolio & Johnson, (2011)	**Leadership literature has disparate and diverse findings.** Criticized leadership literature by arguing that it has presented disparate and diverse findings with regard to defining what a leader is and identifying what makes a leader more effective (Hernandez, Eberly, Avolio, & Johnson, 2011; Mumford, 2010; Yukl, 2008a; Yukl & Mahsud, 2010). For example, Hernandez et al. argued that one difficulty is the numerous and varied definitions of a leader when explaining leadership with some studies focusing on the leader's contribution, others on the followers, and others emphasizing the role of the situation or context.

Values BasesThis study examines in greater detail three VBL theories in the leadership literature stream. These include transformational, authentic and ethical leadership.

Transformational Leadership

Transformational leadership (Avolio et al., 1991; Bass 1985, 1990; Bass & Avolio, 1990; Bass & Steidlmeier, 1999; Burns, 1978) was the first and most noteworthy leadership style that explicitly incorporated an ethical and moral component in leader behavior. Many of the noteworthy studies on transformational leadership are summarized previously in table 2, as transformational leadership has been a foundational leadership construct for many of the other VBL theories.

Burns (1978) is credited with initially proposing the theories of transactional and transformational leadership. Burns described transactional leaders as those who lead others in exchange for something of value. Burns compared transactional leadership with transformational leadership and noted that transforming leaders sought to appeal to and influence the moral values of the followers and inspire them to reform and revamp their organizations. Bass (1985) defined core leadership constructs of transformational and transactional leadership. Bass also observed that while transformational leaders are more effective than transactional leaders, at motivating and empowering others, the most successful leaders combine the strengths of each of these styles. Bass (1985, 1990) clarified that authentic, transformational leadership necessitated a moral foundation. Bass (1990) also outlined how a leader can influence the motivation of individual followers and increase their performance.

Bass and Steidlmeier (1999) re-emphasized that for a leader to be transformational, they must be moral, ethical and authentic. The researchers noted that leaders that processed transformational qualities, but lacked authentic, moral and ethical behavior were in fact pseudo-transformational leaders. Avolio et al., (1991) outlined that a transformational leader was one who demonstrated, inspirational motivation, idealized influence, was intellectually stimulating and showed individualized consideration for each of their followers. A leader's charisma or ability to be a vision seeker, have idealized influence, and be confident and to set high standards for others to follow are behaviors of a transformational leader. When a leader is ethical and authentic, by definition, their values are morally uplifting, according to Burns (1978). A transformational leader augments an ethical/authentic leader's effectiveness by creating enthusiasm around the good, noble and excellent principles that ethical/authentic leaders possess. A leader that lacks vision, the ability to empower or charisma would find it difficult to enthusiastically transfer their enthusiasm for ethical and authentic behaviors to those that they lead. In other words, they may have great ideas, be very ethical and authentic, but would fail to create or transfer this vision or moral persuasion to others. A transformational leader that also is authentic and ethical is better able to translate their authentic, ethical behavior into action and vision the part of their followers.

Bass and Steidlmeier (1999) noted that the Inspirational Motivation of a transformational leader "provides followers with challenges and meaning for engaging in shared goals and undertakings" (p.188). In the Carless et al.'s (2000) model, inspired motivation is seen as leaders support and empower their staff. When a leader is transformational, they are better able to motivate and empower their subordinates. Brown et al. (2005) have demonstrated that ethical leaders are more effective. Avolio, Gardner, Walumba, Luthans, and May (2004) outlined that authentic leaders are also more effective than those who are nit authentic. When these leaders are also transformational and more effective at developing, supporting and empowering their staff, the effectiveness of their authentic and ethical qualities is augmented by the effectiveness that the transformational qualities produce. If a leader is simply authentic and ethical, but lacks this

positive empowering capacity, their authentic/ethical leadership effectiveness will have less of an impact.

Furthering ethical and authentic ideology is often an intellectual pursuit that requires leaders to challenge followers to a higher level of thinking and acting. In the Carless et al.'s (2000) model, intellectual stimulation is seen as leaders develop their subordinates. An authentic/ethical and transformational leader uses staff development and intellectual stimulation as a way to challenge, communicate and transfer these beliefs and values to others. Leaders that are ethical and authentic, but lack transformational behaviors, may have greater difficulty conveying intellectually challenging concepts to their followers. Or worse, a pseudo transformational leader that is confident and intellectually stimulating for amoral or unethical pursuits may, as Bass and Steidlmeier (1999) note, "influence ignorant, scared, angry, frustrated people for personal gain in the name of doing good for the entire nation or race" (p.189; Lockman, 1995).

The ability to be innovative and to lead by example are aspect of a transformational leader helps produce greater leader effectiveness of an authentic/ethical leader. As the authentic/ethical leader are innovative or model the way for their followers, the follower is more likely to respond to and listen to the leader's ethical, moral beliefs. Through coaching, mentoring and encouraging growth opportunities (Bass, 1985), transformational leaders develop and transfer the positive aspects of their authentic/ethical leadership to inspired, motivated followers.

Bass (1985, 1990) outlined that certain qualities make leaders transformational and this leads to greater leader effectiveness. Research has established that core ethical and authentic qualities in a person also result in improved leadership outcomes. When this transformational leadership is also present in one that is ethical and authentic, the goals of the organization become ethical, moral, not self serving, and focused on the well-being of the followers and organization as a whole. Authentic, ethical, transformational leadership provides an enthusiasm and support for that that is good and moral and fosters trust and enthusiasm.

In assessing the VBL component of transformational leadership, it appears to overlap significantly with other VBL constructs of authentic and ethical leadership. Brown and Treviño (2006) address the similarities of each of these constructs, but also identify the differentiating characteristics of each. Brown and Treviño's study is addressed in greater detail in a subsequent section.

Authentic Leadership

Avolio and Gardner (2005) noted that in turbulent times, leadership and its challenges become more difficult. The period that preceded the evolution of authentic leadership was an era plagued by corporate and political leadership failures (Avolio & Gardner). Enron, Worldcom, and Global Crossing were some of the examples where leaders fraudulently sought their own financial interest at the financial demise of many of their followers. In quantifiable terms, May et al. (2003) argue that the deception and unethical behavior of key corporate leaders at that time "conservatively cost the U.S. economy hundreds of billions of dollars," and shattered the confidence of corporate America as Worldcom and Enron corporate scandals erupted exposing a greed stricken culture and mindset that had been breeding for decades (p. 247). Scholars and practitioners (George, 2003; May, Chan, Hodges, & Avolio; Avolio & Gardner) began to call for a renewed focus on the need for examining and developing the ethical and moral inner qualities of leaders in response to this leadership crisis. Leadership consultant, Bill George articulates this

need as he comments on the call for leaders who exhibit a moral and ethical dimension. George (2003) states, "we need leaders who lead with purpose, values, and integrity; leaders who build enduring organizations, motivate their employees to provide superior customer service, and create long-term value for shareholders" (p. 9). George and his academic colleagues Avolio and Gardner (2005) argued that to address the moral and ethical decline, there was a need to "concentrate on the root construct underlying all positive forms of leadership and its development" which they labeled "authentic leadership development or ALD" (p. 316).

Authenticity, or being true to oneself, is a construct that dates back to ancient Greece, however, in the last decade, renewed interest in authenticity has emerged as practitioners (Gardner & Schermerhorn, 2004; George & Sims, 2007; George, Sims, McLean, & Mayer, 2007; George, 2003; May, Chan, Hodges, & Avolio, 2003) and scholars (Avolio, Gardner, Walumbwa, Luthans & May, 2004; Avolio & Luthans, 2006; Avolio & Walumbwa, 2006; Gardner et al., 2005; Luthans & Avolio, 2003; Ilies et al., 2005; Shamir & Eilam, 2005) examine the characteristics and impact of authentic leadership.

Avolio and Gardner (2005), among others, proposed the need for the development of authentic leadership as they observed the glaring deficiencies in the moral and ethical development of leaders. Practitioner, Bill George (2003), emphasized that authentic leaders were those who had a deep sense of purpose, possessed ethical and solid values, understood their purpose, lead with their hearts, established connected relationships and demonstrated self restraint and discipline. Gardner et al. (2005) described authentic leaders as those who had the ability to acknowledge their thoughts, emotions, needs, wants, preferences, and beliefs and act consistently with those inner feelings and beliefs. Harter, Schmidt and Hayes (2002) conclude that an individual's authenticity can be viewed on a spectrum and that individuals are capable of becoming more authentic as they seek to understand and articulate who they are and what they believe.

The Emergence of Authentic Leadership: A Call to Action

As a result, the construct of authentic leadership has been developing over the last decade. Two significant events occurred that are credited with transferring the theory of authentic leadership from an isolated idea to an emergent model of leadership. In 2004, the inaugural summit on Authentic Leadership Development (ALD) was hosted by the Gallup Leadership Institute at the University of Nebraska-Lincoln. At this conference, researchers and practitioners presented their theories and findings on theory of authentic leadership (Avolio and Gardner, 2005). Papers and presentations from this seminal event were then published in a special issue of *The Leadership Quarterly*, dedicated exclusively to the topic of authentic leadership. Table 3 outlines the progression of the construct of authentic leadership over the past decade.

Table 3: Foundational Literature on Authentic Leadership (In chronological order based on first occurrence)

Study	Research, Findings and Relevance
George (2003); George, Sims, McLean & Mayer (2007)	**Authentic Leaders create positive outcomes within an organization.** Outlined that there is growing evidence that supports that authentic leadership is preferred by subordinates, effective in creating positive work

	environments and achieving positive and enduring outcomes in organizations.
May, Chan, Hodges, & Avolio (2003)	**Identifying and developing authentic leaders**. Outlined the moral components and decision making processes of authentic leaders. Develop a model for authentic decision-making and behaviors in authentic leaders and outlined that organizations can develop authentic thinking, decision making and conduct in its leaders. Provided strategies for developing and promoting positive, ethical behavior in organizational leaders.
Luthans & Avolio (2003)	**Self-awareness and self-regulated positive behaviors in leaders and followers**. Luthans and Avolio suggest that authentic leadership occurs when self-awareness and self-regulated positive behaviors, on the part of both leaders and followers, are present, fostered, and nurtured which stimulates positive personal growth and self-development on the part of both the leader and follower. The authors conclude that "the authentic leader is confident, hopeful, optimistic, resilient, moral/ethical, future-oriented, and gives priority to developing associates to be leaders. The authentic leader is true to him/herself and the exhibited behavior positively transforms or develops associates into leaders themselves" (Luthans and Avolio, 2003, p. 243). **Authentic Leadership proposed as the root construct:** Luthans & Avolio also argued that authentic leadership was a "root construct" that "could incorporate charismatic, transformational, integrity and/or ethical leadership" (p. 4) They also argue though that each of these has differentiating characteristics and are distinct from each other.
Gardner & Schermerhorn (2004)	**Authentic Leaders have the capacity to unleash subordinate's full potential:** Gardner & Schermerhorn (2004) outline that the positive organizational behavior traits of individuals are inherent in their personalities. Authentic leaders have the capacity to unleash these behaviors in individuals realizing significant performance gains for the organization. The authors note that: "(a) motivation, (b) the potential for development, (c) the capacity for assuming responsibility, and (d) the readiness to direct behavior toward organizational goals are all present in people" are among the behaviors that authentic leaders are able to unleash in their subordinates.

Avolio, Gardner, Walumbwa & May (2004)	**How do authentic leaders influence follower attitudes, behaviors, and performance?** The article provides the initial foundation for examining how authentic leaders influence follower attitudes, behaviors, and performance. The authors use the model of positive organizational behavior (POB) to show the processes by which authentic leaders influence the attitudes and behaviors of their followers. The researchers outline that trust, hope, emotion and identification are behaviors that authentic leaders utilize to exert their influence over their subordinates. The study also theorized that authentic leaders are particularly interested in encouraging and empowering their followers to be impacting and make a difference.
George (2004)	**Authentic Leaders - The key to creating corporate lasting value:** George argues that new laws and regulations and throwing corporate criminals in jail will not solve the leadership crisis of the past decade. George contends that the public and private sector are calling for lasting change in our leaders. George's text *Authentic Leadership: Rediscovering the secrets to creating lasting value* recommends that new leadership must be sought to run our corporations as well as our private sector organizations. He contends that leaders must be driven by passion and purpose and not greed. George argues that our current leaders must be replaced by authentic leaders, who have five essential dimensions: purpose, values, heart, relationships, and self-discipline. George exposes the leader who seeks short-term financial strategies for the purpose of diving up stock prices for their own personal financial benefit. George argues that these leaders are destroying our corporations and our country. George contends that mission-driven companies, led by authentic leaders, will create much greater long-term stakeholder value than the firms that are exclusively profit seeking. George also provides strategies for developing the five essential dimensions of authentic leaders.
Gardner, Avolio, Luthans, Walumbwa & May (2005)	**Critical behaviors of an authentic leader are self-awareness and self-regulation:** As the construct of authentic leadership evolved, there were many definitions and descriptions of authentic leadership behaviors. Gardner et al. (2005) attempted to clarify, categorize and integrate the different perspectives that had emerged. The model presented argued that the critical behaviors of an

authentic leader were self-awareness and self-regulation. The researchers also outlined the dimensions of authentic self regulation to include: internalized regulation, balanced processing of information, relational transparency, and authentic behavior. The researchers outline that the factors that enable the development of authentic leader include the leader's personal history (family influences, early challenges, educational and work experiences, etc.), key trigger events (crises as well as positive trigger events), and positive role models (authentic leaders that demonstrated integrity, commitment to core ethical values and contributed to a positive organizational climate). The authors observed that positive outcomes for authentic leader-follower relationships included increased follower trust; workplace well-being; and genuine, sustainable performance improvement. The research concluded that in the 21st century, lack of knowledge is not our concern. Society, companies, and leaders have the necessary information to be authentic, moral and life giving leaders. Unfortunately, though, authenticity can be lost quickly and scholars and practitioners lack sufficient knowledge on how to develop authenticity in our leaders and their followers.

Gardner, Avolio & Walumbwa (2005)	**Authentic leadership necessitates an inherent and developed moral component***:* Gardner, Avolio and Walumbwa (2005) argued that for leaders to be authentic they must have high levels of moral development.
Ilies, Morgeson & Nahrgang (2005)	**Authentic leadership, self-realization and eudemonic well-being:** Ilies et al. (2005) defined authentic leadership in terms of self-realization or eudemonic well-being. The authors outlined authenticity as "a broad psychological construct reflecting one's general tendencies to view oneself within one's social environment and to conduct one's life according to one's deeply held values" (p. 376). Authentic leaders were characterized by those able to "express their true self in daily life, live a good life (in an Aristotelian way)," and in doing so the result is leaders that acquire self-realization or eudemonic well-being and are able to positively impact the eudemonic well-being of their followers (Ilies et al., p. 376). Included self-esteem, self-efficacy and self-development as dimensions of an authentic leader.
Shamir & Eilam (2005)	**Authentic leadership does not necessitate a high level**

	of moral development: Shamir and Eilam (2005) disagreed with Gardner et al. (2005) and intentionally omitted a leader's values and morality from their description of an authentic leader. Shamir and Eilam argued that a leader's ability to be "true to oneself" was the differentiating characteristic of an authentic leader and that high levels of moral development or ethical conduct were not critical dimensions for a leader to be considered authentic.
Michie & Gooty (2005)	**An individual's self transcendent values***:* Michie and Gooty (2005) suggested that inspirational leadership was unethical, as it relied on emotions instead of reason to motivate followers. Michie and Gooty proposed that development of authentic leaders included increasing an individual's self transcendent values and positive, other centered emotions.
Avolio & Garner (2005)	**Authentic Leadership Development:** Avolio and Garner theorized that authentic leadership could be developed in leaders. The authors suggested that increasing a leaders: 1) positive psychological capital (confidence, optimism, hope and resiliency) (Luthans and Avolio, 2003), 2) positive moral perspective, 3) leader self awareness, 4) leader self regulation, 5) improvement of leadership processes and behaviors 6) follower self-awareness regulation, 7) follower development, 8) moderating the impact of organization climates can lead to more authentic leadership and ultimately to improved, sustainable organizational performance, beyond expectations.
Novicevic, Harvey, Buckley, Brown & Evans (2006)	**Authenticity matrix for executive leadership:** Novicevic et al. (2006) addressed the definitions of authentic leadership and spent the majority of their efforts addressing a leader's ability or inability to be an authentic leader by properly balancing their individual responsibility with their responsibility to the organization. They developed the authenticity matrix for executive leadership. Novicevic et al. summarized the four quadrants of the matrix as follows: Failure of executive leadership reflects moral deterioration of the leaders who generally are unwilling to take personal responsibility and are indifferent to the impact of their actions on others and the entity as a whole. Crisis of executive authenticity is described as the immobility of executive management where emotional tensions, frustrations, lack of confidence

result in a leaders inability to complete actions that are in the best interest of the entity. Perfectionists, micromanagers can sometimes get trapped by this moral paralysis. Tragedy of executive leadership is described by Novicevic et al. when executive leadership morally disengages exhibits compromising actions. Leaders who fall into the tragic spectrum tend to be narcissistic, proceed in denial, and fail to take personal responsibility for their actions. The last and preferred quadrant, described as successful executive authenticity, is described by Novicevic et al. as a state where leaders are able to conform to the acceptable code of conduct within an organization and defer gratification, sedate impulses and act as Barnard (1939) described with "1) transparent honesty/character, 2) moral courage and 3) experienced-informed intuition" (Novicevic et al., p.72).

Avolio & Luthans (2006)	**The high impact leader: Authentic, resilient leadership that gets results and sustains growth:** Avolio and Luthans book outlines strategies for developing authentic, effective leaders within organizations. The text utilizes the Gallup Leadership Institute's innovative "positive strengths" as a foundation for its recommendations for developing leaders. It also outlines how to measure personal progress toward becoming a more authentic leader. The text contains many examples and facts derived from their proprietary Gallup poll data as well as innovative leadership-building tools. This manual was one of the seminal texts written on developing authentic, effective leaders.
Brown & Treviño (2006)	**Authenticity and self awareness:** Brown and Treviño summarize that "self-awareness, openness, transparency, and consistency are at the core of authentic leadership', as well as "being motivated by positive end values and concern for others (rather than by self-interest) is essential to authentic leadership" (p. 599). The researchers summarized that authenticity and self awareness were the behaviors that differentiated an authentic leader from similar constructs of ethical and transformational leadership.
Klemke (2007)	**Spirituality and Authentic Leadership:** Klemke proposes that that "spirituality and spiritual identity are at the core of authentic leadership" (p. 68). Klemke proposes a model of authentic leadership that places its foundation

	on the one's identity. Klemke outlines her belief that a leader's identity is composed of three interrelated systems, ones self-identity, leader-identity and the spiritual-identity.
Walumbwa, Avolio, Gardner, Wernsing & Peterson (2008)	**The authentic leadership questionnaire.** The authors developed the authentic leadership questionnaire (ALQ), a theory based measure for authentic leadership. The researchers established that authentic leadership is multi-dimensional model which consists of leader self-awareness, relational transparency, internalized moral perspective, and balanced processing. The study concluded that authentic leadership qualities provided stronger predictive validity for essential work related attitudes and behaviors above what could be explained by ethical or transformational leadership behaviors.
Luthans & Avolio (2009)	**Positive organizational behavior (POB) and Authentic Leadership.** The authors argue that leadership research should utilize the POB approach. The researchers use the construct of authentic leadership to demonstrate the importance of utilizing a POB methodology when further researching topics that have the potential for improving performance of leaders and within organizations. Luthans and Avolio also propose joining the authentic leadership and POB literature streams, as they argue this combined study could greatly enhance the development of leaders and increase the performance of leaders and subordinates within organizations.

Authentic Leadership - Convergence, Divergence and Next Steps

This paper has outlines the prevalent definitions and theories of authentic leadership. Practitioners, scholars and authors seemed to concur that there is a great need for authenticity and authentic leadership in our 21st century leaders (Avolio, 2005; Avolio & Gardner, 2005; Avolio. et al., 2004; George, 2003; House & Shamir, 1993; Klenke, 2007; Luthans & Avolio, 2003; Michie, and Gooty, 2005; Sparrowe, 2005). Researchers diverge on the definition of an authentic leader and what is required to access and develop authentic leaders. It is not unusual for a new construct to have a number of different theories and conclusions initially as scholars, researchers and practitioners wrestle with the many potential theories and truths surrounding a new construct. It is necessary and critical to continue research and analysis to further clarify the construct of authentic leadership theory and to expand our understanding how authentic leaders can be developed.

Ethical Leadership

The ethical leadership construct also gained increased momentum in the second half of the decade as scholars observed that a greater intersection of leadership and ethics was essential if our nation was to recover from the apparent epidemic of moral deficiency identified in its 21st century leaders (Brown et al., 2005; Treviño, Brown & Hartman, 2003; Brown & Treviño, 2006).

The increasing attention to the concept of ethical leadership, its origins and its outcomes is exemplified as several prominent academic and legislative organizations held special sessions, established task forces or initiated regulations to address the topic. These included: (a) a special ethics session of the Academy of Management, (b) the establishment an independent ethics task force by the Association to Advance Collegiate Schools of Business' (AACSB) ethics education division, (c) the Sarbanes–Oxley Act being passed into law and having regulated oversight and ethics provisions and (d) the revision of the U.S. Federal Sentencing Guidelines (Brown and Treviño, 2006).

Historically, "ethics" has been considered from a philosophical perspective. Research that evaluates and describes what ethical leadership is and the implications of leaders that lead ethically has been scant and fragmented prior to the extensive work of Brown, Treviño and Harrison (2005) and Brown and Treviño (2006) which were the seminal studies that launched the ethical leadership construct. Brown and Treviño argued that ethical leaders, like authentic and transformational leaders are "altruistically motivated, demonstrating a genuine caring and concern for people" and "are thought to be individuals of integrity who make ethical decisions and who become models for others (p. 600). According to Brown and Treviño, an ethical leader's proactive concern for the ethical behavior of their followers is their differentiating characteristic from authentic and transformational leaders. Ethical leaders communicate and place great emphasis on the establishment of ethical standards as well as accountability for adhering to those principles (Brown & Treviño). Foundational research on ethical leadership is summarized in table 4.

Table 4: Foundational Ethical Leadership Literature (In chronological order based on first occurrence)

Study	Research, Findings and Relevance
Bandura (1977); Bandura (1986)	**Social learning theory provides antecedents and outcomes of ethical leadership.** Ethical leaders are a source of guidance and influence their followers because their attractiveness and credibility as role models makes their followers want to emulate them. Ethical leaders are nurturing, caring, trustworthy and treat others fairly which garners positive attention resulting in followers being drawn to them.
Kirkpatrick & Locke (1991); Kouzes & Posner, (1993); Den Hartog et al. (1999)	**Perceptions of ethical characteristics in leaders predict perceived leader effectiveness.** Perceptions of a leader's honesty, integrity, and trustworthiness linked to how effective a leader is perceived to be.

Study	Research, Findings and Relevance
Treviño, Hartman & Brown (2000); Treviño, Brown, & Hartman (2003)	**Personal characteristics and ethical leadership.** This research revealed that ethical leaders were those that were honest, trustworthy, fair, made decisions based on principles, acted ethically in their professional setting and personal lives. This was defined as a moral person component of ethical leadership.
Treviño, Hartman & Brown (2000); Treviño, Brown, & Hartman (2003)	**Moral Manager.** This researched outlined that a leader's effort to influence the ethical behavior of their followers (being a moral manager) is an important aspect of an ethical leader.
Treviño, Hartman & Brown (2000); Weaver, Treviño, & Agle (2005)	**The Importance of Ethical Role Models.** The study identified ethical role modeling. Argued the importance of leaders having an ethical role model if they are to develop as ethical leaders.
Dirks & Ferrin (2002)	**Effective leadership and cognitive trust.** Leaders who are able to build cognitive trust with subordinates by being professional, dependable and showing that they care for those that work for them are evaluated as more effective leaders.
Brown, Treviño & Harrison (2005)	**Definition and Validation of Ethical Leadership.** This study proposed social learning theory (Bandura, 1977) as a theoretical basis for explaining ethical leadership. The researchers defined and validated the construct of ethical leadership by examining seven interlocking studies. They identified that "ethical leadership is related to consideration behavior, honesty, trust in the leader, interactional fairness, socialized charismatic leadership (as measured by the idealized influence dimension of transformational leadership), and abusive supervision, but is not subsumed by any of these" (p. 117). Their study also outlined that "ethical leadership predicts outcomes such as perceived effectiveness of leaders, followers' job satisfaction and dedication, and their willingness to report problems to management" (p. 117).
Brown, Treviño, & Harrison (2005)	**Ethical Leadership Scale (ELS).** Brown, Treviño, and Harrison developed a ten-item instrument to measure perceptions of ethical leadership. The Ethical

Study	Research, Findings and Relevance
	Leadership Scale (ELS) examined numerous studies to validate different dimensions of the construct. The researchers concluded that supervisory ethical leadership was "positively associated with, yet empirically distinct from leader consideration, interactional fairness, leader honesty, as well as the idealized influence dimension of transformational leadership" (Brown, Treviño, & Harrison, 2005, p. 117).
Brown & Treviño (2006)	*Identified similarities and differences between Ethical Leadership and related theories*. Brown and Treviño argued that ethical leaders, like authentic and transformational leaders are "altruistically motivated, demonstrating a genuine caring and concern for people" and "are thought to be individuals of integrity who make ethical decisions and who become models for others (p. 600). According to Brown and Treviño, an ethical leader's proactive concern for the ethical behavior of their followers is their differentiating characteristic from authentic and transformational leaders. Identified that transformational, authentic, spiritual and ethical leadership theories had many overlapping characteristics and that they shared an ethical component. The study identified similarities and differences of each of these.
De Hoogh & Den Hartog (2008)	**Ethical behavior is vital for organizations.** De Hoogh and Den Hartog outlined that ethical behavior is vital for organizations and lapses in ethics, on the part of leaders can have costly organizational consequences. The researchers outlined that organizations should take care in selecting managers who show integrity and act in an ethical manner, are not self serving or exploitive of others. De Hoogh and Den Hartog concluded when leadership is perceived as ethical, upper level management is perceived as more effective and subordinates express greater optimism about the future potential of the organization.
Copeland (2009)	**Ethical leadership and leader effectiveness**. Provided preliminary evidence that ethical leadership, as compared to authentic and transformational leadership, may be a stronger predictor of leader

Study	Research, Findings and Relevance
	effectiveness.
Kalshoven, Hartog & Hoogh (2011)	**Ethical Leadership at Work (ELW) measurement. Kalshoven et al. (2011) developed a** multidimensional measurement that provided additional insights on the antecedents and consequences of leaders who are ethical. Kalshoven et al. demonstrated positive relationships between ethical leadership and leader effectiveness by showing a significant contribution of ethical leadership behaviors and employee satisfaction, commitment, and leader and follower effectiveness. The ELW measures seven ethical leader behaviors: fairness, integrity, ethical guidance, people orientation, power sharing, role clarification, and concern for sustainability. ELW behaviors explained the variances in trust, organizational citizenship behaviors, and leader and follower effectiveness beyond the explanations provided by the ELS—a one dimensional measure. The power-sharing and fairness dimensions measured by the ELW predicted higher levels of organizational citizenship behaviors in followers.
Copeland (2013)	**A multivariate model that examined the leader, follower preferences and situational variables. This study** examined a multivariate model for predicting leader effectiveness that included both the assessment of the contribution of ethical leadership in predicting the effectiveness of a leader, as well as the impact of related variables that could moderate the relationship between a leader's ethical behaviors and leader effectiveness. Moderating variables included employee preferences and expectations for ethical leadership and the perceived ethical climate of an organization. The study examined leaders within the accounting profession. The research provided evidence that leaders who are ethical and transformational are more effective, and each of these behaviors can incrementally contribute to explaining and predicting the effectiveness of a leader.

Authentic, Ethical and Transformational Leadership

Brown and Treviño (2006) and Copeland (2009; 2013) examine the overlap and combined impact of leaders that possess multiple VBL behaviors. Brown and Treviño (2006) outline the similarities and differentiating characteristics of ethical leadership with constructs of spiritual, authentic and transformational leadership, which each have an ethical component. Table 5 outlines how these styles overlap and diverge.

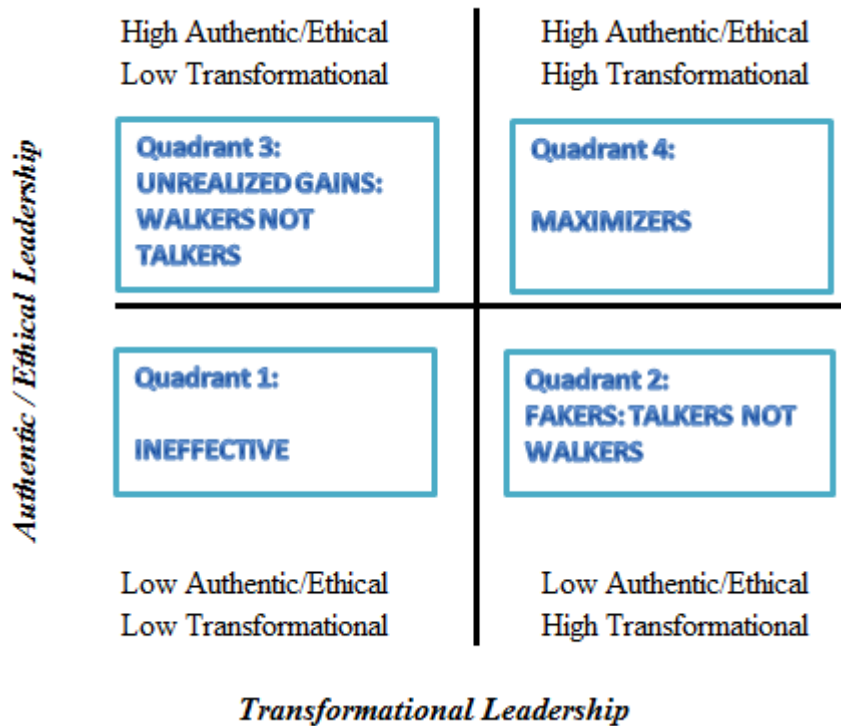Table 5: Ethical, Authentic, Spiritual and Transformational Leadership Characteristics:

Leadership Trait	Ethical Leadership	Authentic leadership	Spiritual leadership	Transformational leadership
Concern for others (Altruism)	X	X	X	X
Ethical decision-making	X	X		X
Integrity	X	X	X	X
Role modeling	X	X	X	X
Ethical leaders emphasize moral management (more transactional) and "other" awareness	X			
Authentic leaders emphasize authenticity and self-awareness		X		
Spiritual leaders emphasize visioning, hope/faith; work as vocation			X	
Transformational leaders emphasize vision, values, and intellectual stimulation				X

Source: Brown and Treviño (2006)

A Model - Outcomes Combinations of Authentic, Ethical and Transformational Leadership

Copeland (2009) extended Brown and Trevino's model of ethical leadership and proposed a model for the theoretical categorization of leaders based on the leader's combination of authentic, ethical and transformational leadership behaviors. Copeland suggests that these combinations place leaders in different groups or quadrants which summarize their potential for leadership effectiveness. Copeland's proposed model and outcomes are depicted in Figure 1.

Figure 1:

High Authentic/Ethical Low Transformational	High Authentic/Ethical High Transformational
Quadrant 3: **UNREALIZED GAINS: WALKERS NOT TALKERS**	**Quadrant 4:** **MAXIMIZERS**
Quadrant 1: **INEFFECTIVE**	**Quadrant 2:** **FAKERS: TALKERS NOT WALKERS**
Low Authentic/Ethical Low Transformational	Low Authentic/Ethical High Transformational

(Vertical axis: Authentic / Ethical Leadership)

Transformational Leadership

The model's proposed leadership outcomes are summarized in Table 6 as follows.

Table 6: Outcomes of a Combination of Authentic, Ethical and Transformational Leadership

Quadrant	Authentic/ Ethical	Trans-formational	Model Classification	Proposed Leader and Organizational Effectiveness
Quadrant 1	Low	Low	***Ineffective***	Fewer positive outcomes
Quadrant 2	Low	High	***Fakers:*** Talkers not Walkers	Misleading outcomes; Higher probability of negative results
Quadrant 3	High	Low	***Unrealized Gains:*** Walkers not Talkers	Fewer negative outcomes; long term outcomes not realized or maximized
Quadrant 4	High	High	***Maximizers***	Highest positive short term and long term leader effectiveness outcomes

The model theorizes the impact and outcomes when leaders possess different levels and combinations of authentic, ethical and transformational behaviors and is further explained as follows.

Quadrant 1: Ineffective Leaders. Leaders who fall into the first quadrant are classified as ineffective and are those that are described as possessing low levels of authentic, ethical and transformational leadership behaviors. Leader's who are authentic, ethical or transformational are found to be more effective, so leader's that lack these behaviors will inherently be less effective as compared to leaders that possess them (Bass, 1985; Bass & Avolio, 1993; Brown & Treviño, 2006; Copeland, 2009).

Quadrant 2: Fakers. Leaders in the second quadrant are fakers or in other words, talkers and not walkers. These leaders lack authenticity and true ethical behaviors, but possess some level of transformational leadership behaviors. Bass and Steidlmeier (1999) call these leaders pseudo transformational leaders, as they argue a leader must be authentic and ethical to truly be transformational. These pseudo transformational leaders possess charismatic characteristics, a component of transformational leadership, and seek to motivate and guide through rhetoric and promotion of their position. They are deficient in the ability to be in touch with their inner selves and lack a moral and ethical dimension. The leaders promote and require authenticity and ethics in others but fail to possess and model these behaviors themselves. In other words, they talk the talk but don't walk the walk.

Quadrant 3: Unrealized Gains. Leader's characterized as walkers and not talkers are those that have high levels of authentic and ethical leadership but lack transformational and charismatic leadership behaviors. These leaders experience unrealized gains as their lack of transformational leadership behaviors results in their inability to reap the returns that leaders with a combination of authentic, ethical and transformational behaviors experience.

Quadrant 4: The Maximizers. Copeland (2009) demonstrated that authentic, ethical and transformational leadership behaviors each made a separate and significant contribution to explaining the effectiveness of a leader. Leader's that were most effective were those that possessed all three behaviors. This model outlines that leaders in this forth quadrant are optimal and will have the most significant follower and organizational outcomes.

This matrix attempts to explain why ethical/authentic leadership coupled with a leader that is transformational has positive leader outcomes and why the absence of these behaviors has negative consequences or lower overall leader effectiveness. While the outcomes proposed by the model in figure 1 are not specifically researched in Copeland (2009), they provide a theoretical foundation for future analysis and may provide further theories that attempt to explain the outcomes of research that addresses leaders that are authentic, ethical and transformational.

The model suggests that a leader's style, values and ethic/authentic disposition influences follower behavior and impacts overall leader effectiveness. Explanation of each quadrant and the leader behaviors associated with that quadrant is further described in Table 7. This theory is provided as a potential hypothesis to be researched in the future, but is not specifically tested in this study.

Table 7: Explanations of Authentic, Ethical and Transformational Leadership Quadrants

Quadrant Proposition	Leader Outcomes
Proposition – Quadrant 1: Ineffective	***Low Ethical/Authentic; Low Transformational*** Lack of authentic, ethical and transformational leadership leads to minimized positive leader effectiveness.

Proposition – Quadrant 2: Fakers: Talkers, not Walkers

Leaders that are rated low on ethical/authentic evaluations, but possess high transformational traits (other than authenticity and ethics) are classified as pseudo transformational leaders and may be produce positive perceived outcomes in the short-run, but are observed to have lowered overall leader effectiveness as compared to quadrant 4 leaders and possess a higher propensity for negative leader outcomes.

Low Ethical/Authentic; High Transformational

Example 1: During the stock market crash of 2008, mistrust, skepticism and fear return to America, as our nation once again, faced the reality that self-serving, greed stricken business leaders salvaged their earnings while the many Americans had their retirements disappear. Market crashing headlines also included, invincible, untouchable financial giants, Bears and Sterns and Lehman Brothers exposed for placing their stockholders and client's assets and earnings at unprecedented, unacceptable levels of risk that lead to financial demise for many, as leaders were financially motivated to deliver outstanding and continued returns, at any cost. Leaders that lacked ethics and authenticity achieved perceived short-term positive outcomes, with devastating long term corporate and societal effects.

The pseudo-transformational leader leads followers down a path that is perceived as positive in the short term that results in negative outcomes in the long run. Subordinates and affiliates eventually lose confidence in and begin to mistrust the leader.

Proposition – Quadrant 3: Unrealized Gains: Walkers, not Talkers

High Ethical/Authentic; Low Transformational

Quadrant 3 leaders have core ethical and authentic leadership characteristics, but the absence of transformational qualities fails to optimize the transformation of these traits into maximized leader effectiveness, which is observed with the quadrant 4 leader.

Proposition – Quadrant 4: Maximizers

High Ethical/Authentic; High Transformational

Positive overall leader outcomes achieved and maximized. All the leader benefits achieved through the qualities of an authentic, ethical and transformational leader are combined, with few deficiencies. Progress is continual and steady, as there is no one step forward, two steps back phenomenon.

Table 7 provides interesting theories that require additional testing and validation. Copeland (2009) validated that leaders that had combined behaviors of authentic, ethical and transformational leadership were more effective and that each of the behaviors contributed incrementally to the leader's effectiveness. Copeland (2013) validated that leaders that had ethical and transformational leadership behaviors each significantly predicted leader effectiveness for leaders in the accounting industry.

Implications and Next Steps

VBL has received increased attention at the onset of the 21st century, as many powerful, successful and admired leaders were exposed for unethical and sometimes immoral practices. Researchers and practitioners were called upon to provide answers to why seemingly transformational leaders were being exposed as being in fact, pseudo-transformational. Professional and regulatory organizations were asked to put in place legislation and regulations to promote, develop and enforce ethical conduct. Despite this edict, research on VBL is lacking and what exists is rudimentary. The following areas of focus are proposed as seminal next steps.

Developing Morals and Ethics in Leaders

Future research is needed to determine if existing leaders can be trained, inspired and developed to be ethical and moral if they lack these inner qualities. Numerous researchers (Bass &Avolio, 1990b; Brown et al., 2005; Gardner et al., 2005) have proposed that these qualities can be developed, but there is not sufficient empirical data to argue that this is definitively true.

Methodologies for Developing Value Based Leaders

If research supports that VBL can be developed, future study is needed to outline methodologies for developing VBL in individuals. Longitudinal studies are then needed to determine that these leaders are as effective as those whose prior personal development included a foundation of morality and ethics.

Examination of Specific Industries and Positions

It is likely that results on existing studies may vary as different industries and individuals in different positions are studied. For example the relationship between leaders who are ethical, authentic or transformational leaders in the accounting, medical or public service professions and the leaders' effectiveness may differ. Copeland (2009) demonstrated that authentic, ethical and transformational leadership behaviors, each individually predicted the evaluation of a leader as more effective by subordinates in differing industries. Copeland (2013) demonstrated that ethical and transformational leadership behaviors, each individually predicted the evaluation of a leader as more effective by subordinates for professionals in the accounting industry. Continued study in varying industries would be useful to support the importance of establishing VBL in differing professions.

Examining VBL relationships at different professional ranks within an organization would also provide useful insights. For example, in the accounting industry, is the relationship between ethical leadership behaviors and leader effectiveness consistent between staff accountants and firm partners? Additional study would be useful in most professions.

Promotion of the Benefits of Developing VBL

Research has shown that leaders who are ethical, authentic and transformational and have an authentic, moral and ethical frame of reference are more successful as leaders than those who lack these values based qualities (Brown et al., 2005; Copeland, 2009). This fact needs to be

promoted among organizations and leaders and used as an impetus for those lacking these qualities to consider the merits of developing values and VBL behaviors.

Combinations of VBL behaviors

Future study is needed to determine if the theories outlined in figure 1 and tables 6 and 7 hold true. Minimal examination of the impact of combinations of VBL on predicting leader effectiveness have been assessed.

Increasing Ethical Behavior through Regulation and Legislation

Research is also needed to assist professions who have seen high degree of ethical leadership failures to determine what recommendations need to be implemented to improve the outcomes of leaders and organizations. An example of includes the accounting profession, which has experienced increased regulation and legislation as a result of ethical leadership failures over the past decade. Researchers need to assist professions, such as those in the financial industry on what is the recommended way for improving ethical leadership in the profession. To date, the attempt has been to make these improvements through legislation and regulation. There is little evidence that this effort is accomplishing the intended goal. For example, in 2002, the most noteworthy legislation, the Sarbanes-Oxley (SOX) bill was enacted in response to the long list of corporate and accounting scandals exposed at Enron, Tyco International, Adelphia, Peregrine Systems, WorldCom, and others. SOX was referred to as the *Public Company Accounting Reform and Investor Protection Act*. While, research suggests that SOX compliance has had a cost to the American economy of as much as $1.4 trillion dollars (Bhamornsiri, Guinn, & Schroeder, 2009), many argue that SOX has had little ability to change the mindset and characters of corporate leaders and has been inept at averting scandals and unethical decisions, which continue to cost investors billions of dollars, as share prices of the affected companies collapse. While the hope was that SOX would prevent future immoral and unethical leadership failures in the business sector, it appeared to be a band aid, as the regulation did not appear to eradicate the unethical practices of many business leaders. The plummeting market in 2008 and the exposure once again to unethical, self serving business practices at prominent companies, such as AIG, was a stark reminder that at best SOX and the revised vision and strategies in the corporate world, less than a decade later, were at best one step forward, two steps back. Our businesses and our nation require infusion of morality and ethics, which is a slow process and requires that those that lead organizations, embrace the development and promotion of ethical and moral behaviors. As evidenced, the financial and accounting profession is one that could benefit from research to assist in strategies for preventing unethical practices, as legislation and regulation do not appear to have been effective.

Conclusion

History has demonstrated repeatedly that leaders that lack ethical and value based dimensions can have serious adverse consequences on their followers, their organizations, our nation and the world. This analysis has examined literature and research to date on VBL. It summarizes the seminal studies that have lead to the development of VBL constructs. It examined in greater detail the most established VBL constructs; authentic, ethical and

transformational leadership. It outlined that leaders that exhibit authentic, ethical and transformational leadership are more effective than their counterparts that lack a values based dimension to their leadership. Lastly it provided recommendations for future research to promote the development and measurement of leaders who have morality, ethics, and authenticity as foundational behaviors to their leadership. Leadership and management research must continue this important pursuit to define, clarify, validate and develop the construct and application of VBL.

About the Author

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WHY THE POSITIONAL LEADERSHIP PERSPECTIVE HINDERS THE ABILITY OF ORGANIZATIONS TO DEAL WITH COMPLEX AND DYNAMIC SITUATIONS

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The 21st century competitive global environment is dynamic, complex, and multi-cultural, and necessitates a more rapid response to changes to survive (Rost, 1991). The most effective approach for dealing with this is to involve employees in the various leadership processes for the organization (Pearce & Conger, 2003; Raelin, 2003). However, the leadership role described is not the common view of leadership based on authority. Rather, the required leadership is based on everyday influence processes by anyone in the organization derived from knowledge and the recognition for the need for a specific change. This paper shows how the perpetuated perspective of leadership as something reserved for persons of authority actually inhibits the very organization behaviors called for by the complex and dynamic situations in which they work.

Leadership has been studied and debated for a number of years with many attempts to define what it means and how leadership theory should be developed and used in organizations. An extensive examination of leadership literature (Bass, 1990; Burns, 1978, 1998, 2003; Day, Harrison, & Halpin, 2009; Goethals & Sorenson, 2006; Greenleaf, 1977; Harter, 2006; Heifetz, 1994; Hickman, 1998; Hogan, Curphy, & Hogan, 1994; Hollander, 1992; House & Aditya, 1997; Jacobs, 1970; Locke, 1991; McCrimmon, 2006; Murrell, 1997; Northouse, 2004; Pearce & Conger, 2003; Raelin, 2003; Rost, 1991; Selznik, 1957; Stogdill, 1948, 1974; Uhl-Bein, 2006; Yukl, 2006) leads to two conclusions: (a) the predominant leadership perspective is based on authority positions with associated assumptions about appropriate leadership traits, characteristics, and behaviors and (b) everyday individual leadership behaviors in organizations have not been adequately addressed in the literature, and little is commonly understood about the factors that encourage and facilitate the leadership behaviors that support organizational effectiveness (Heifetz, 1994), particularly in complex and dynamic work environments.

Nature of the 21st Century Work Environment

The 21st century competitive global environment is dynamic, complex, and multicultural, and necessitates a more rapid organizational response to changes to survive (Rost, 1991). Many organizations currently operate in an environment where time is a critical resource (Brue et al., 2001; Butler, 1995; Stalk & Hout, 1990). More and more, organizations are challenged to change what they do and how they do it at a rapid rate in order to remain relevant and effective in the dynamic and uncertain world (Eisenhardt & Sull, 2001; Hannan & Freeman, 1984). This rapid rate of change and high uncertainty are well beyond the abilities of the individual manager to effectively deal with them and know what appropriate actions are required at any given time (Cashman, 2008; Childs & McGrath, 2001; Davis & Blass, 2006; Kaiser & Kaplan, 2007; Lombardo & Eichinger, 2000; McCrimmon, 2006; Pearce & Conger, 2003; Senge, 1990). Therefore, organizations operating in this environment require proactive involvement of employees in decisions previously reserved for executives and managers. As organizations increasingly face dynamic and complex situations, there is an increasing need for individuals not in positions of authority to be involved in decision making, solving problems, and acting on opportunities. Many organizations are distributing the essential leadership functions among different members of the team or organization (Yukl, 2006).

Specific Organizational Behaviors Required for the 21st Century

There are certain behaviors common to organizations successfully navigating the dynamic and complex terrain of the 21st century work environment. While this may not be an exhaustive list, and success is not guaranteed if these are pursued, there is ample evidence that traditional approaches to organization structure, planning, decision making, and problem solving are not sufficient to survive and thrive.

Adaptability, Flexibility and Agility

Turbulent environments have long been regarded as compelling organizations to deal with uncertainty more proactively (Lawrence & Lorsch, 1967; Stacey, 2001), to exploit change as an opportunity (Drucker, 1999) and to evolve their business processes and management philosophies frequently (Stalk, 1988; Eisenhardt, 1989; Strader et al., 1998; Senge & Carstedt, 2001). However, organizations often have difficulty changing strategy and structure (adapting) quickly enough for keeping pace with the demands of uncertainty and change (Hannan & Freeman, 1984; Eisenhardt & Sull, 2001).

Organizational agility has been defined as the 'the successful exploitation of competitive bases (speed, flexibility, innovation pro-activity, quality and profitability) through the integration of reconfigurable resources and best practices in a knowledge-rich environment to provide customer-driven products and services in a fast changing market environment' (Yusuf et al., 1999, p. 37). At the heart of the agility concept is speed and flexibility.

Brue et al. (2001) found that agile workforces have been claimed to capitalize on skills by proactively innovating their skill base just ahead of need. They argued that organizations need to scan their environment and interpret its dynamics continuously with a view to anticipating future skill requirements.

Collaboration, inside and outside the organization, are key to enabling agility, as well as empowerment and autonomy in decision making (Goldman & Nagel, 1993; Kidd, 1994; Van Oyen et al., 2001). Decentralization of decision making between mostly autonomous organizations have been found to facilitate speedy coordination and action (Gunasekaran, 1998).

Brue et al. (2001) identified several principal attributes of agile workers, as listed below:

- Responsiveness to changing customer needs
- Responsiveness to changing environment conditions
- Speed of developing new skills and competencies
- Speed of innovating management skills
- Effectiveness of cooperating across functional boundaries
- Ease of moving between projects
- Employee empowerment for independent decision making

While the need for agility and flexibility is generally not disputed, the positional leadership perspective creates a culture and paradigm where managers are expected to be the driving force behind the necessary changes (Morrison & Milliken, 2000). As previously discussed, managers are routinely late in recognizing the need for change. In many cases, most employees know the truth about certain issues and problems within the organization yet dare not speak that truth to their bosses. This is exacerbated by a 'don't rock the boat' mentality, or intolerance for dissent or questioning. Upward flow of information is filtered or discouraged, based on several factors: manager fear of negative feedback or manager implicit beliefs. In dynamic and complex environments, the employees closest to the work are the first to recognize the need for change, but are generally precluded or discouraged from voicing their views and exhibiting the very leadership behavior required of the situation (Morrison & Milliken).

Fostering Innovation

In addition to adaptability and agility, organizations dealing with complex and dynamic situations consistently perform better if they are able to foster and sustain innovation (Gundling, 2000). As Thomas Watson Jr. of IBM stated: "If an organization is to meet the challenges of a changing world, it must be prepared to change everything about itself except its basic beliefs as it moves through corporate life. The only sacred cow in an organization should be its basic philosophy of doing business" (Collins & Porras, 1994, p. 81) Indeed, the drive for progress is never satisfied with the status quo, even when the status quo is working well. It is an internal force that does not wait for the external world to indicate when it is time to change (Gundling, 2000).

Gundling (2000) argued that what is most consistently critical to the creation of value for commercial enterprises is innovation. Innovation occurs most often and is sustained in an environment where employees are empowered and encouraged to act on their own initiative. Innovation cannot be directed or managed. It occurs when and if employees are provided the freedom to follow an idea or hunch. According to Gundling, the company 3M emphasize sharing ideas and technologies to generate unexpected discoveries or realizations. Employees are encouraged to seek out input and perspectives from completely different parts of the company. Substance of 3M vision is based on the deep-rooted idea that one person with a bright idea and the willingness to work hard enough, can make a difference.

The successful innovative companies create the environment where innovation can and does occur repeatedly over many years. Kanter, Kao, and Wiersema (1997) stated there are three major components of innovation; invention (getting ideas), development (turning ideas into reality), and getting the product on market and making it a huge success. A striking aspect of one approach is the idea of placing most of the emphasis on empowering and enabling the employees rather than the profitability of the company. Executives of these companies recognize the first leads to the latter. The key to enabling innovation is based more on how the talented members of the organization are treated, rather than the craftiness in which the executives manage stock value (Gundling, 2000).

Gundling (2000) explained the 3M HR Principles to foster the culture of innovation: respect the dignity and worth of individuals; encourage the initiative of each employee; challenge individual capabilities; and, provide equal opportunity. He further explained that the concepts of innovation that fit 3M best are in fact the ones that reconcile and integrate alleged opposites such as incremental and breakthrough, established organizational processes and entrepreneurial skunk-works. Kanter, Kao, and Wiersema (1997) explained that networking, internally as well as externally, is a critical aspect of being an innovative company (p. 22).

There is an extremely important point to understand about this different perspective on innovation – it is not about the executives or senior managers. It is about the employees and how they are set free to explore and follow their hunches. It is about relying on the leadership of each employee, not just the executives. Just about anyone can be a key protagonist in building an extraordinary business. Invalid is the debilitating perspective that the trajectory of an organization depends on whether it is led by people ordained with rare and mysterious qualities that cannot be learned by others. All individual executives eventually leave the organization. Yet, innovative companies prosper over long periods through multiple life cycles of products (or services) and executives. Therefore, the positional leadership perspective stifles the very nature of what is required for an organization to be innovative.

Learning Culture

Kanter, Kao, and Wiersema (1997) stated that arrogance is a major enemy of innovation, as it precludes a willingness to learn (p. 27). The 21st century knowledge-based economy requires knowledge creation and sharing, not knowledge management. Learning is a critical element of adaption and agility. Without learning, individuals and organizations will keep doing what they did before; and fail. Frese (1997) notes that dynamic self-reliance is increasing in value as an employee characteristic necessary for success of 21st century organizations. The critical components of dynamic self-reliance are the ability "to acquire knowledge and skills by oneself and to self-start motivational processes" (p. 399). Knox (1993) argued that the accelerating pace of technological and social change makes ongoing workplace learning a requirement of most businesses. The ability to learn on the job is a necessary skill.

In the complex and dynamic workplace, self-directed learning is a key aspect for development of employees. (Smith, et al., 2007). Cho (2002) wrote, "adult learners who are self-directed are more likely to recognize the importance of interaction with others, to share others' knowledge, and to build new networks with others". The implication is that the primary thrust of employee development is not directive teaching, but, instead, the facilitation of learning. The goal of teaching, therefore, is to develop an employee to the point where he or she functions as

self-sufficient learning individual and may interact as equal with other employees and create, acquire and transfer knowledge within organization (French, Bell, & Zawacki, 2005).

Confessore and Kops (1998) argue that there is a link between the individual capacity for self-directed learning (SDL) and the organizational culture that enhances and prepares the foundation for that learning to occur. The characteristics that are reflected for SDL to happen in organizations in the literature are the tolerance for errors with an emphasis placed on innovativeness and creativity, a participative style of leadership and the delegation of responsibility to the individual for learning, support for learning initiatives that are linked into organizational goals and values, open communication that provides for collaboration and teamwork with both internal and external learning sources, and provisions to find opportunities and situations for individual learning to happen.

There is a strong theoretical and empirical basis to the position that SDL requires specific skills, a strong motivation and a lot of initiative from employees (Brookfield, 1986; Clardy, 1992; Watkins & Marsick, 1993). Foucher and Brezot (1997) found that many organizations have shifted to employee development approaches requiring a greater involvement of individuals in their own learning. Also, they found that implementation of a decentralized, participatory management style is conducive to the emergence and development of SDL in work environments. However, the dominant expectation that leadership is a manager or executive trait or behavior reinforces the idea that employees are not expected to show initiative and engage in learning unless told to do so. Unless employees are actively encouraged to engage in self-management and self-directed learning, few will take the risk.

Participative Decision Making

Pearce and Conger (2003) note that leadership previously was conceived around a single individual, called the leader (actually the manager or executive) and the vertical relationship between that individual and the subordinates, often called followers. Leading in the current change-seeking age is complex and challenging (Childs & McGrath, 2001) and increasingly beyond the capabilities of the individual manager or executive (Cashman, 2008; Pearce & Conger, 2003; Senge, 1990). As organizations increasingly face dynamic and complex situations, many are distributing the essential leadership functions among different members of the team or organization (Yukl, 2006).

Houghton, Neck, and Manz (2003) determined that decentralization of power, authority, and decision-making responsibilities provides organizations the flexibility and rapid response capabilities necessary to remain competitive in high-tech or service-oriented markets. Organizational power decentralization is creating unprecedented opportunities for organizational members at all levels to take greater responsibility for organizational performance as a whole (Shipper & Manz, 1992).

Fletcher and Kaufer (2003) wrote that new models of leadership recognize that effectiveness in working relationships do not depend on individual (positional) leadership but rather on leadership practices embedded in interdependencies at different levels within the organization. McCrimmon (2006) argued that taking empowerment to the next level by exorcizing dependency—where employees do not just wait for managers or executives to provide direction—is a form of leadership based on action and influence not on authority. Complex situations require this kind of influence leadership. Therefore, among the

organizational characteristics for effectively dealing with change and complexity are the acts of involving and facilitating others to engage in sharing change ideas (Cashman, 2008).

Pearce, Yoo, and Alavi (2004) provided evidence showing that shared leadership was a more powerful predictor of team performance than vertical or individual leadership. However, the leadership role described is not the common view based on authority; rather, the required leadership is based on everyday influence processes by anyone in the organization derived from knowledge and the recognition for the need for a specific change. They also found shared leadership to be a more useful team dynamics and perceived effectiveness predictor than vertical management. Burke, Fiore, and Salas (2003) wrote that shared leadership was found to be more effective than vertical leadership in increasingly complex organizations.

To Raelin (2003), the need for leaderful practice is based on the need for timely leadership. For a 21st century organization, leadership needs to be exercised when and how the situation requires, not when the manager is available. This perspective is more consistent with the needs of the 21st century environment. Raelin's mutual model of leadership incorporates everyone in leadership that transforms leadership from an individual property into a leaderful practice across the organization.

Raelin (2012) proposes that leadership be viewed as a practice, rather than as traits or behaviors of selected individuals. Although, even he falls victim Leaderful practice does not just merely present a consultative model of follower empowerment where executives allow managers to participate in executive decision making. Leadership, to Raelin (2003), is broadly distributed among sets of individuals, to include peers, where it is viewed as an activity rather than the attributes of a single individual who fills a position of authority. In this paradigm, leadership is not determined by authority, but instead by an individual's capacity to influence peers and by the leadership needs at a given moment or situation (Pearce & Conger, 2003). It is recognized that each member brings a unique perspective, knowledge, and capability to the team. This means that managers must be inherently collaborative and compassionate in order to enable the organization to take advantage of the unique talents of each member at the right time and place, and enable and facilitate leadership by all (leaderfulness; Raelin, 2003).

A less obvious point, raised by Raelin (2003), is that the focus should not be on how organizations, as a whole, change their view of leadership, but how every individual, especially managers, reconsider their perspective and understand leadership differently as an individual-influencing process. Each individual recognizes that they are responsible for the overall organizational success and act in a leaderful way to more effectively deal with complex and dynamic situations. This means that a well-developed sense of self in each member enables them to develop a deep consideration of others, thus being open to other's contribution at the right time.

Therefore, in this new model of leadership, some preparation is required for employees to assume responsibility and participate in leadership processes in their organization (Pearce & Conger, 2003; Raelin, 2003). The challenge is how to know if employees are ready to participate in the leadership process. Do they possess the required understanding and intention to participate in leaderful practice? When involving employees in the leadership process, the concern should be much less on leadership effectiveness, and more on the initiation of leadership behavior.

Raelin (2003) distilled readiness characteristics for leaderful practice to four principles that apply across individual, team, and organization: (a) be sure that leaderful individuals and communities have the necessary resources (financial and information) that will allow them to assume empowered decision making accountability, (b) add a learning component to prepare all

involved to assume shared responsibility, (c) ensure that there is a commitment to allow leaderful behavior to proceed without taking back control at the first misstep, and (d) be selective—leaderful practice should only be accorded to those ready to assume the responsibility. This distillation suggests that Raelin may be confusing some aspects of management with leadership, or at least not completely letting go of a paternal positional leadership perspective common in the dominant discourse view.

Leadership is Not Management, and Management is Very Important

A significant problem with the traditional leadership perspective is it contributes to the confusion about the difference between management and leadership, or that the distinction is even necessary. This confusion has facilitated missed opportunities for gaining significant insights into the leadership process (Heifetz, 1994). Because the confusion between management and leadership continues to this day, inquiries into leadership traits are unreliable in differentiating those traits associated with management from those associated with leadership. According to Rost (1991), many authors have distinguished between leadership and management (Graham, 1988; Jacobs, 1970; Katz & Kahn, 1978; Selznick, 1957; Zaleznik, 1977). Rost cited Selznick (1957) as the first who wrote that "leadership is not equivalent to office-holding or high prestige or authority or decision-making" (p. 130). He defined management as a relationship based on authority, and leadership as a relationship based on influence. Reicher, Platow, and Haslam (2007) considered leadership in terms of the ability to shape what followers actually want to do as opposed to management, which enforces compliance using rewards and punishments.

Jacobs (1970) argued that management "resides in the relationship between positions in an organization, and derived from consensually validated role expectations for the position incumbents involved" (p. 231). Leadership was described as an interaction between persons in which one presents information of a sort and in such a manner that the other becomes convinced that his or her outcomes will be improved if he or she behaves in the manner suggested or desired.

Rost (1991) described management as unidirectional authority and leadership as multidirectional relationships. He further summarized the distinctions. Leadership is about (a) the influence relationship, (b) leaders and followers, (c) intending real changes, and (d) intended changes that reflect mutual purposes. Management is about (a) the authority relationship, (b) managers and subordinates, (c) producing and selling goods and/or services, and (d) the goods/services resulting from coordinated activities.

Yukl (2006) described qualities of a manager as concern for "stability, order, and efficiency whereas leaders value flexibility, innovation, and adaptation" (p. 5). According to Yukl, managers devote more of their efforts to getting people to accomplish the task at hand by increasing performance, while leaders focus on gaining consensus relative to doing the right thing.

McCrimmon (2006) viewed management as an act of implementation and argued that managers can be enabling, supportive, and empowering, rather than just controlling. He also cited Magretta (2003) in writing that nothing would get done without organization and management. McCrimmon defined management and leadership as functions, rather than styles or traits. Even though disagreement still exists, viewing leadership through a non-positional perspective can facilitate the distinction between leadership and management.

Limitations of the Positional Leadership Perspective

Although many organizations assume the leadership needs to come from the top, the research of Collins and Porras (1994) found no evidence to support the hypothesis that great leadership is the distinguishing variable for agile and adaptive (innovative) organizations. New models of leadership recognize that effectiveness in working relationships do not depend on individual positional authority, but rather on leadership practices embedded in interdependencies at different levels within the organization (Fletcher & Kaufer, 2003). These new models conceptualize leadership as more of a relational process, a shared or distributed phenomenon dependent on social interactions and networks of influence. Therefore, among the characteristics for effectively dealing with change and complexity are the acts of involving and empowering others to demonstrate leadership behavior (Cashman, 2008). McCrimmon (2006) argues that taking empowerment to the next level, exorcizing dependency, where employees do not just wait for managers or executives to provide direction, is a form of leadership based on action and influence, not on authority. Complex and dynamic situations require this kind of influence leadership.

What drives success in the new complex, dynamic, and hyper-competitive world is rapid innovation and better ideas (McCrimmon, 2006). Complexity and rapid change render managers separated by multiple layers or distance ineffective or irrelevant. New ideas typically do not emerge from the top, but rather from the fringes or in the midst of interactions in the organization. However, the dominant leadership perspective expects ideas to come from management. Disempowered employees see thinking as the boss' job, and they are just there to do what they are told. They allow the boss to take away from them any responsibility for the success of the organization. This puts the full burden of the leadership responsibility on the boss. McCrimmon argued that conventional leadership theory is wrong and damaging. In that, it portrays leadership as an impossible combination of skills and traits, and then claims that anyone can learn to be like that. The truth is that leadership cannot be learned. What can be learned is the skill of communicating and persuasion, which makes the act of leadership more effective, easier or less risky.

The problem with the dominant perspective, as McCrimmon (2006) sees it, is the tendency to expect leadership (change ideas) only from authority figures leading executives to; dismiss the ideas or suggestions of potential rivals or subordinates perceived as a threat to sustaining their grip on power, and delay successor development. He wrote that "the paternal model of leadership is a colossal waste of human energy in a complex, competitive world where all employees must be fully functioning adults able to make independent, confident decisions" (p. 82).

Traditional leadership theory is the major obstacle to employee engagement and competitive advantage in the 21st century (McCrimmon, 2006). It holds up impossible acts to follow as the paradigm cases of leadership, then it defines leadership in terms of powerful, inspiring influencing skills and, finally, it says anyone can learn to be like that. Traditional leadership theory creates employee dependency on managers for direction, which hinders employee involvement in generation of new ideas and innovations. Waiting on mangers for change ideas takes too long, if it happens at all. The damage is missed opportunities. The dependency on manager direction, facilitated by manager tendency to 'protect their territory,' also tends to keep employees focused on the activities of their own unit, rather than the

organization as a whole. This further hinders employee ability to see situations where the status quo should be challenged or a new idea shared.

Survival in the complex 21st century requires challenging the status quo, something managers are not inclined to do if they want a promotion. Managers drive stability and efficiency in the effort to get stuff done at the lowest cost. Leadership is about challenging the status quo. Managers tend to focus on meeting goals and getting promoted. Generating new ideas is secondary at best. Even if someone has a good idea, if they don't have the courage to share it, there is no leadership. So, any actions to diminish the courage of the idea generation person will diminish the chance for leadership – and survival. It only makes sense that a person who thinks they are expected to share ideas will more likely do so than someone who thinks management is not expecting or does not desire them to share ideas.

McCrimmon (2006) notes that leadership literature is fixated on the person at the head of a group, studying what notable leaders do. This drives study to focus on personality differences, which, as McCrimmon argues, only addresses the effectiveness of leadership, not the initiation of leadership. Those traits attributed to hero leaders are charisma, strong vision, outgoing (extravert), etc. These are the behaviors that actually diminish or inhibit others from sharing ideas or challenging the vision of the hero leader. Looking to people with certain traits creates the conditions where we overlook others who may have exhibited the kind of leadership needed in complex and dynamic environments, but just did not act. Focus on positional leader also misses the point that there are two leadership domains; content and process. Content leadership promotes new products, services or markets. Process leadership promotes better ways to get the work done.

Leadership as an Influencing Process

McCrimmon (2006) and Raelin (2003) wrote that complexity demands leadership from everyone. Leadership is another important element of agility and adaption in an organization. Although many organizations assume the leadership needs to come from the top, the research of Collins and Porras (1994) found no evidence to support the hypothesis that great leadership is the distinguishing variable for agile and adaptive (innovative) organizations. This means a different kind of employee is needed for agility and adaption, not a strictly compliant one.

Employees need to develop a sense of responsibility, curiosity, and, above all, leadership to become innovation champions without senior manager intervention. Raelin (2003) provided some great insights on how to do this. He discussed what is required to develop individuals in an organizational structure towards more leadership in all, or what he called leaderful practice. He proposed a mutual model of leadership that incorporates everyone in leadership that transforms leadership from an individual property into a leaderful practice where leadership is distributed across all members of the organization.

Raelin (2003) described an alternative organizational approach to leadership where the classic approach for dealing with complex conceptual situations is shifted from only the highest levels to involvement of individuals at lower levels. This encourages all members to share in the process of deciding what and when changes are required and how to implement them. His model requires all members of the organization to exhibit flexibility and adaptability in dynamic environments, and offered recommendations for how individuals could be mentored to develop these characteristics. Raelin encouraged promotion of shared leadership, team work, and

collaboration on decisions, beginning with less complexity and graduating to the more complex situations as the team develops more capability and confidence.

Moving beyond Raelin (2003), McCrimmon (2006) described leadership strictly as an influencing process: not about or based on being in charge. He is critical of the dominant leadership perspective: as the drive to be the best or top person in an organization. McCrimmon argued that leadership "is an occasional act, like creativity, not a role. Leadership is an impact on a group that moves it to change direction (p. 31)." It can come from outside the group or from someone in the group.

McCrimmon argues further that taking empowerment to the next level, exorcizing dependency, where employees do not just wait for [the manager] to give direction, is what leadership is all about. He further argued that the only two requirements for showing leadership are; having a change idea worth saying, and having the courage to say it. He completely disassociates leadership from the person of authority, usually referred to in the organizational context as the supervisor, manager or executive. Each time a person persuades another to do something different, they are demonstrating leadership. Leadership has nothing to do with getting things done or being in charge. That is the role of management.

As leadership is an act, not a role, it is also very temporary, lasting only as long as it takes to convince another to act (McCrimmon, 2006). Once the other decides to act accordingly, the need for leadership is ended. He also emphasized that leadership is not based on any traits, but only on having something to say (a change idea) and the courage to say it. The intention to communicate a change idea (leadership) can range from a minor change to something very significant, requiring major change or transformation.

McCrimmon (2006) explains that we are working in the midst of a knowledge based existence, where it is not the possession of knowledge that matters. Rather, it is the ability to generate new practical knowledge or applications that have value to others. Therefore, leadership must be knowledge-based as well. New ideas, rather than brute force or personality, is the basis for leadership. Thought leadership is the triumph of substance over form, where substance is a new idea. Form is the way people express their ideas. So, McCrimmon is arguing that how people express their idea is much less important than the power of the idea itself. This is because, according to his idea of leadership, some ideas can be communicated by example or demonstration, rather than a well-presented argument. What matters is that the individual believes in their idea enough to have courage and persistence to share it.

According to McCrimmon (2006), courage is a trait, but also a type of motivation. Someone needs to really want to share an idea to overcome the innate desire to fit in with the group and take the risk to propose an idea that challenges the status quo. The most important point to understand is that leaders do not make decisions, they promote ideas. Managers decide and implement. McCrimmon actually argues that executives usually make decisions based on ideas presented or proposed to them. This perspective makes them followers, rather than leaders. And the ones proposing the ideas are the actual leaders. This is why the distinction between managing and leading is so important.

According to McCrimmon (2006), courage is a trait, but also a type of motivation. Someone needs to really want to share an idea to overcome the innate desire to fit in with the group and take the risk to propose an idea that challenges the status quo. The most important point to understand is that leaders do not make decisions, they promote ideas. Managers decide and implement. McCrimmon actually argued that executives usually make decisions based on

ideas presented or proposed to them. This perspective makes them followers, rather than leaders. The ones proposing the ideas are the actual leaders.

McCrimmon (2006) also argued that leadership cannot be developed; only fostered. Managers and executives are developed. The one factor related to leadership that can be developed is influencing skills. Good influencing skill is not critical to having leadership, but it does contribute to leadership effectiveness. An individual with poor influencing skills can still demonstrate leadership. They will just be less successful or have to exert more effort to have the same impact as someone else with better influencing skills. So, managers who think they want to develop leaders, can only develop individuals with better influencing skills. To have more leadership, organizations must foster leadership behavior, which involves empowering and encouraging individuals to share ideas.

Conclusion

Leadership has been extensively debated and studied without reaching a consensus for a common definition or theoretical basis (Gothels & Sorensen, 2006). While this ongoing debate sustains scholarly careers, an examination of the organizational characteristics and behaviors common among successful organizations shows that the sustainment of the positional leadership perspective is now proving unhelpful to organizations struggling to survive in a hyper-competitive, dynamic and complex world. A more serious investigation of leadership as an influencing process based on a change idea is warranted to make leadership studies relevant to organizations.

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FOSTERING TRANSFORMATIVE GLOBAL LEADERSHIP: AN UNDERGRADUATE LEVEL APPROACH

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In 2009, Joyce Osland wrote, "Given the impact and challenges of globalization, global warming and the current economic crisis, it is impossible to ignore the need for effective global leadership" (2009, p. 1). Once just a need within the international business community to train leaders who could "develop global strategies, expand into international markets and compete in the global marketplace" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 5), the need for global leadership has only intensified over the last two decades. Global leaders are now needed across the private, public and non-profit sectors. "Growth in 'global work', defined as situations in which workers collaborate across national boundaries, is unprecedented" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 5).

In 2003, a Rand Corporation study predicted a dearth of U.S. global leaders across the public, private and non-profit sectors (Osland, 2009). While colleges and universities have been urged to respond, higher education has always taken on the task of preparing young people to not only be productive, conscientious citizens, but also "to develop each new generation of leaders to better serve society" (Gehrke, 2008, p. 351). While the majority of global leadership development is coming from the business field (Osland, 2009), colleges and universities can be formidable agents in terms of growing a diverse pool of culturally competent leaders while simultaneously serving higher education's broader mission: transforming young people. "An effective college education includes experiences that challenge unexamined assumptions, sustain more complex understandings of oneself and others, and enables students to form commitments in a relativized world" (Parks Daloz, Keen, Keen, & Parks, 1996, p. 46). This article will outline a holistic undergraduate approach designed to prompt transformative global leaders' leadership learning for undergraduates.

A Global Leadership Framework

In 2009, Joyce Osland wrote, "Given the impact and challenges of globalization, global warming and the current economic crisis, it is impossible to ignore the need for effective global leadership" (2009, p. 1). Once just needed within the international business community to train

leaders who could "develop global strategies, expand into international markets and compete in the global marketplace" (Mendenhall, Reiche, Bird & Osland, 2012, p. 5), the need for global leadership has only intensified over the last two decades. Global leaders are now needed across the private, public and non-profit sectors. "Growth in 'global work', defined as situations in which workers collaborate across national boundaries, is unprecedented" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 5).

Although global leadership has emerged as a compelling field, "it continues to lack a specific, rigorous and widely accepted definition of the construct" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 3). Scholars have identified global leadership tasks, roles, behaviors and functions. Others have defined competencies, skills, assessment instruments and training programs. Most agree that there is a distinction between global leadership and global management as well as differences between global leadership and domestic leadership (Mendenahll, Reiche, Bird, & Osland, 2012). Several models have emerged such as Rhinesmith's Global Mindset, Brake's Global Leadership Triad, The Global Explorer Model and the Pyramid Model of Global Leadership. Still, efforts to define global leadership are largely ambiguous and consistently vague.

A process that is common to leadership studies also hinders global leadership. That is, in order to enhance empirical data gathering or methodological rigor, social scientists have dissected leadership down to narrowly defined components. "It is important to narrow one's definition of the phenomenon under study so as to be able to have a target that is manageable in terms of measurement" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 8). These parts are still labeled leadership even though they only reflect one portion or a targeted aspect of research (Mendenahll, Reiche, Bird, & Osland, 2012). As a result, leadership is frequently articulated by way of singular traits, behaviors, relationships, tasks or qualities when, in fact, leadership is a complex, socially constructed phenomenon.

Leadership cannot be acquired by completing a checklist. Nor can one developmental model fully distill it. Leadership is viewed differently across cultures. Further, the meaning of leadership varies from one country to another. Perhaps most salient in terms of framing leadership today is an acknowledgement of a shift in paradigms. Where conventional research once focused on the individual leader, more recent studies have centered on the process. Where traditional theories of leadership lauded a charismatic, authoritative figure that stood atop a hierarchical structure, contemporary models emphasize multi-level leadership, leadership without position and relationships, which serve as the interconnected tissue within organizations as well as large-scale global systems. Leadership today is a highly relational process that encompasses continuous self-reflection, an understanding of difference and significant action that benefits others.

Much like with leadership, global leadership cannot rely on models from individualistic, managerial, hierarchical or authority-based theories of the past. As Ken Otter (2009) writes, "These theories employ models and maps from the industrial era, which tend to view organizations as discrete entities acting on a detached and independent environment" (p. 3). Global leadership requires adaptive, relational and process-oriented models specifically because the challenges that shape the work of leaders within a global context is characterized by multiplicity, interdependence, great ambiguity as well as a steady state of flux.

Developing Future Change Agents

Global leaders are not simply individuals that hold global positions. Rather, they are change agents who are engaged in the process of influencing global communities to work towards shared visions and common goals (Mendenhall, Osland, Bird, Oddou, & Maznevski, 2008). Global leaders are individuals who "effect significant positive change in global organizations by building communities through the development of trust and the arrangement of organizational structures and processes in a context involving multiple stakeholders, multiple sources of external authority, and multiple cultures under conditions of temporal, geographical and cultural complexity" (Mendenhall, Osland, Bird, Oddou, & Maznevski, 2008, p. 17). Global leadership is "conceptualized to be a process that reflects how an individual engages in and fulfills global roles and responsibilities, and includes sense-making, the nature and quality of relationships that the leader holds with the people around them in a global context, and the mechanisms through which a leaders exerts influence" (Mendenhall, Reiche, Bird, & Osland, 2012).

While global leaders require techniques and skills, they are best served by a commitment to on-going self-examination, intercultural differences and the various contexts of leadership within international communities. Otter (2009) offers an inward and an outward orientation. The inward "recognizes the multiple dimensions of the human experience and capacities, embedded within a dynamic environment" (p. 3). This requires a steady examination of the individual, identities as well as cultures. The inward orientation is attentive to one's own inner development so that as a leader, one can respond to needs in a culturally relevant manner within rapidly changing environments. The outward is "animated by the purposefulness of the enterprise, which seeks to change its environment to improve its conditions" (Otter, 2009, p. 3). Prompted by leadership concepts that promote action, the outward orientation is the discovery process where inner passions manifest into purpose. Together, the interaction between the inward and the outward begets reflective learning that can produce compelling global change initiatives.

In 2003, a Rand Corporation study predicted a dearth of U.S. global leaders across the public, private and non-profit sectors (Osland, 2009). While colleges and universities have been urged to respond, higher education has always taken on the task of preparing young people to not only be productive, conscientious citizens, but also "to develop each new generation of leaders to better serve society" (Gehrke, 2008, p. 351). While the majority of global leadership development is coming from the business field (Osland, 2009), colleges and universities can be formidable agents in terms of growing a diverse pool of culturally competent leaders while simultaneously serving higher education's broader mission: transforming young people. "An effective college education includes experiences that challenge unexamined assumptions, sustain more complex understandings of oneself and others, and enables students to form commitments in a relativized world" (Parks Daloz, Keen, Keen, & Parks, 1996, p 46).

It is easy to extrapolate that study abroad programs or international internships lead to intensive growth as "personal transformational is more likely when developmental activities have a high degree of experiential rigor and a large number and valence of feedback sources" (Osland, 2009, p. 4). Global education programs have grown rapidly under this premise. Yet, preparing college students to be future global leaders must be done in an intentional as well as holistic manner that supports cognitive, developmental, and emotional growth. An understanding of intercultural competencies is essential as leaders across all sectors must be

trained for international environments where change is rapid, unpredictable and discontinuous. Global leadership techniques should be framed with culturally relevant leadership concepts that shape a philosophy, used to guide leaders in ethical, inclusive and value-based decision-making, rather than a prescriptive set of skills or behaviors. Finally, service or significant action for the betterment of an international community can shift inner passion outwardly into purpose. Such development takes time, is best done through experiential learning and should be multi-method in design (Osland, 2009).

A Transformative Approach

To account for an ambiguity inherent to the field, global leadership development for college students must be grounded in practical and action-oriented techniques as well as data-driven, theoretical models. Still, as Harry R. Lewis (2006) writes, "Universities have forgotten their larger educational role for college students. They succeed, better than ever, as creators and repositories of knowledge. But they have forgotten that the fundamental job of undergraduate education is to turn eighteen- and nineteen-year-olds into twenty-one- and twenty-two-year-olds, to help them grow up, to learn who they are, to search for a larger purpose for their lives, and to leave college as better human beings" (p. xiv). Global leadership programs that embed cognitive development, intercultural competency, global leadership knowledge, and civic engagement as a means of developing 'the whole person' are important, necessary, and have the capacity to be transformative.

Although research continues to evolve, leadership models remain somewhat steadfast in their linear forms or highly structured in order. Today's leaders must adapt, innovate, and change. Consequently, one model will not suffice. Though the struggle for precision is inherent to the study of leadership, leadership educators do a great disservice when they wield one theory, one model, or one singular definition. Contemporary environments demand multiple tools. This article offers an approach with four distinct but integrated processes. While all components are theoretically-based for assessment purposes, they are designed for a comprehensive development experience that evolves over the course of four years.

Undergraduate Development Approach

Meaning-making & self-authorship. A fusion of both psychosocial and cognitive-structural theories, Robert Kegan's Theory of Meaning-Making and Self-Authorship states that individuals organize their understanding of themselves, others, and the world in an increasingly complex fashion over the life span. Though this proposal favors meaning-making, which "differs from traditional cognitive processes in that it is an attempt to find connections and meaning across all dimensions of the human experience" (Gehrke, 2008, pp. 351-352), Kegan's five distinct orders of consciousness fails, at times, to appreciate the non-linear nature of developmental processes. Thus, self-authorship is a necessary and complimentary concept.

As Marcia B. Baxter Magolda (2003) writes, "Educators know that college students need to develop an internal compass to achieve complex learning. Critical thinking, the most agreed-upon goal of higher education, requires the ability to define one's own beliefs in the context of existing knowledge" (pp. 232-33). Equally important are enriching, meaningful experiences that beget personal development. Baxter Magolda identified three dimensions which answer three questions that are epistemological, intrapersonal and interpersonal. These questions are: *how do*

I know, *who am I*, and *how do I want to construct relationships with others*. These dimensions are intertwined, differ due to experience, and reoccur throughout one's life. Self-authorship is vital towards leadership development and supports psychosocial and cognitive learning.

Intercultural competency. Fullan (1999) explains why intercultural development is essential for college students who will move into professional environments. "Intensive human interaction involving people different than ourselves (diversity) provides us with an evolutionary advantage because, (a) interaction is essential to solving problems, and (b) diversity of interaction is most suited to discovering moral and effective solutions to problems presented by turbulent environments" (Fullan, 1999, p. 12). Specifically, global leaders must engage in important intercultural work that constitutes intensive examination of self, social identities and culture, which are then framed around leadership concepts so as to guide future leaders towards culturally-relevant choices, decisions and processes. Global leaders must gain an appreciation of working within and across difference, particularly within international communities. Global leaders understand that "homogeneous cultures may have little disagreement but they are also less interesting. Heterogeneous cultures risk greater conflict, but they also contain stronger seeds of breakthrough" (Fullan, 1999, p. 22).

This article would recommend utilizing the Intercultural Development Inventory (IDI) for assessment. The IDI is a statistically reliable, cross-culturally valid measure of intercultural competence adapted from the Developmental Model of Intercultural Sensitivity (Hammer, 2010a). This is a 50-item, theory-based instrument that is easy to complete (Hammer, Bennett, & Wiseman, 2003). Competencies will include an understanding of the ability to communicate across and a commitment to fostering inclusion amongst various identities which includes, but is not limited to, gender, race, socioeconomic status, ethnicity, nationality, age, ability, and religion. It is designed to measure and develop intercultural sensitivity, which refers to "the ability to discriminate and experience relevant cultural differences" along with intercultural competency, which is described as "the ability to think and act in interculturally appropriate ways" (Hammer, Bennett, & Wiseman, 2003, p. 422). The IDI can be used individually or in a group. The assessment must be integrated within cognitive and psychosocial development as well as leadership training as "the concept of culture has both an ideological component and a sociological one" (Heck, 2004, p. 82).

Global leadership development. Osland (2009) writes that "global leaders demonstrate some additional or expanded skills, such as boundary spanning, and have 'unlearned' some traditional leadership lessons that do not work outside culture" (p. 3). As research on global leadership evolves, simultaneously incorporating, as well as replacing a number of the prominent training models from the business world, scholars have emphasized global leadership techniques along with a global mindset as leadership in an international context is often characterized as "sailing into uncharted waters" and conceptualized as "extreme leadership" (Osland, 2009). This proposal would offer that there are both transactional as well as transformational elements required for comprehensive global leadership training.

As intercultural competencies improve, transactional global leadership techniques would be introduced. These transactional techniques are tangible, practical, and skill-based, and would include collaborating (identifying stakeholders), architecting (synchronizing organizations), entrepreneurship (innovative problem-solving) and systems-thinking (change for complex systems). Equally important are transformational global leadership development concepts, such as complexity, which is consistently used to characterize global leadership work. "Four dimensions or conditions continuously mutually interact in a nonlinear process that produces

ongoing multiplier effects which in turn produces, preserves and continually transforms complexity across the globe. These four conditions are: multiplicity, interdependence, ambiguity, and flux" (Mendenhall, Reiche, Bird, & Osland, 2012, p. 13). Transformational global leadership understandings combined with transactional techniques can offer comprehensive development for college students.

      Civic engagement. Jim Clawson writes that being a leader is not about a position or title, but about a point of view. "The leadership point of view has three elements: 1) seeing what needs to be done; 2) understanding all the underlying forces at play in a situation; and 3) having the courage to initiate action to make things better (Mendenhall, Osland, Bird, Oddou, & Maznevski, 2008, p. 131). Colleges and universities have a responsibility to prepare the next generation of leaders. These leaders are needed to tackle complex social challenges, economic uncertainty, educational needs, environmental issues and political conflicts. The tasks ahead are enormous, indeed. But as Braskamp, Trautvetter, and Ward (2006) write, "Just being busy is not enough for an authentic and purposeful life. Rather, an authentic and purposeful life involves connecting commitments and behaviors; a student selects activities that reflect a sense of self and purpose" (p. 19). Civic engagement is a critical component of developing student leaders for global work as it prompts social responsibility, fosters personal growth and provides a sense of purpose.

      "Appreciative inquiry is the study of what gives life to human systems when they function at their best" (Whitney, Tronsten-Bloom, 2010, p. 1). This approach is built on the premise that when strengths, successes, values, hopes and dreams are drawn out, the personal or organizational change can be transformational (Whitney, Tronsten-Bloom, 2010, p. 2). By combining a process of appreciation, value, and recognition with a series of questions or inquiry that fosters exploration, discovery, and learning, appreciative inquiry can serve as an effective change instrument. Instead of focusing on deficiencies or dialing into weaknesses, appreciative inquiry specialists leverage assets. "Hierarchies all too often exclude those people most significantly impacted. Appreciative Inquiry turns those hierarchies into knowledge-rich, relationally-inclusive, self-organizing enterprises" as it creates "a context for people to be included and heard throughout the difficult and challenging time" (Whitney, Tronsten-Bloom, 2010, p. 4). The 4-D Cycle (Discovery, Dream, Design, and Destiny) can be used to guide a conversation, a meeting or large-scale system change. It has been used by the public, private, and non-profit sectors to initiate change. Appreciative inquiry is an effective technique for student leaders who are invested in becoming global change agents.

Conclusion

      Leadership is socially constructed, culturally influenced, and defined within historical, social, and environmental contexts. Today's leaders must navigate rapidly changing markets, collaborate across compelling differences, and solve complex problems on a global scale. Widespread interconnectedness has called for academic, interdisciplinary, and applied understandings of leadership theory and intercultural concepts. In order to develop the next generation of social innovators, global citizens, and future leaders, this article outlines an innovative approach that infuses self-authorship, cultural competency, global leadership development, and appreciative inquiry techniques. This approach is designed to prepare leaders who will tackle significant social challenges, foster intercultural partnerships, build inclusive organizations, and work within various global communities with a cross-cultural skill set.

Ultimately, global leaders are change agents engaged in influencing international communities towards shared visions and common goals. Global leadership emphasizes an understanding of the relationships between leaders, followers, and the context of their environments, which are characterized by interdependence, ambiguity, and steady flux. Although developing such global agents at the undergraduate level can be challenging, a mainstay of any approach must be an on-going practice of examining beliefs and values, embracing work within and across differences, and aligning passion with thoughtful purpose, which begets authentic, culturally-relevant leaders who have the capacity to solve significant challenges. "The single most visible factor that distinguishes major cultural changes that succeed from those that fail is competent leadership" (Burke, 2008, p. 226). At the undergraduate level, such learning could lead to a natural reserve of leadership talent while transforming the agent during an essential development period.

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