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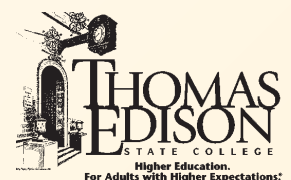
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John Mellon



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From the Editor

March 2010

Welcome to this sixth issue of the *International Leadership Journal*, an online, peer-reviewed journal available at no charge to researchers, educators, practicing leaders, consultants, and anyone else interested in exploring leadership and organizational issues. The journal emphasizes international perspectives and “bold new ways of understanding leadership and organizations” that derive from many different disciplines and knowledge domains and that include formal and informal organizations in diverse sectors.

Most importantly for this issue, I wish to note that the journal is now listed in *Cabell's Directory*, a service that was founded in 1978 “to help professors, graduate students and researchers to publish their manuscripts in academic journals.” This directory lends increasing legitimacy to the journal and will assist potential authors in locating us as a publication vehicle for their work.

Like previous issues, this sixth issue includes submissions that represent research, practice, and pedagogy. In addition, international perspectives are well represented in Densten, Gray, and Sarros' research article on leadership in upper echelons in Australian organizations; in Kaifi and Mujtaba's examination of the leadership of Afghan-Americans; and in Ives' look at the leadership of Christopher Fussner, an American global business leader in Singapore.

The issue demonstrates the ongoing concern among leadership scholars with transformational leadership, a perspective that has played a prominent role in our previous issues, perhaps most poignantly in the interview we conducted with James MacGregor Burns in our Spring/Summer 2009 double issue. To be sure, the theory and practice of transformational leadership have informed much leadership scholarship since Burns' initial discussion of “transforming leadership” in his book *Leadership* (1978). Few perspectives seem to have the appeal and the fecundity of transformational leadership. It is central to the articles by Densten, Gray, and Sarros and by Kaifi and Mujtaba in this issue, though it also runs like a theme through the entire issue.

The issue also demonstrates the applicability of both quantitative and qualitative approaches to leadership. While Densten, Gray, and Sarros make use of quantitative methods in their article, for example, Keebler, building on the work of Gareth Morgan, focuses on the relevance of metaphors for understanding organizations today. Watt provides an integrative look at the leadership literature in his examination of effective leadership and of the notion that “you only get what you put in.”

I might note, too, that the issue explores some of the challenges of exercising leadership in cross-cultural contexts. Ives, for example, looks at the leadership by

Fussner, a Westerner, in the context of China, while Kaifi and Mujtaba examine the leadership of Afghans who have located in the United States and been socialized to America. The journal encourages further exploration of international, cross-cultural, and multicultural perspectives.

Our interview with Cecily Ball focuses on leadership of an innovative master's program in "transformative leadership," an idea that is related to Burns' "transforming leadership" and to the ongoing concern with "transformational leadership." This unique master's program is based upon action research and the development of caring communities. It is located at Bethune-Cookman University, a historically black college steeped in service and civic participation.

Finally, the book review by Mellon focuses on marketing leadership in a context that is certainly relevant to international concerns—the hospitality and tourism industries.

This issue, like the first five, required the assistance of many capable people. In particular, I would once again like to mention the dedication of Cindy Mooney, who carefully edited and formatted the final drafts of the entire issue, and Joe Guzzardo, without whose help we could not sustain our ongoing Web page. Many thanks to them and to our contributing authors!

Joseph C. Santora

A handwritten signature in black ink, appearing to be 'JCS', written in a cursive style.

Editor

ARTICLES

Leadership Augmentation at the Upper Echelons of Organizations

**Iain L. Densten
Lancaster University**

**Judy H. Gray
James C. Sarros
Monash University**

This study investigated the augmentation effects of transactional and transformational leadership at the upper echelons of Australian organizations. The study surveyed 1,918 executives at the three most senior organizations' levels using the Multifactor Leadership Questionnaire (MLQ). Multiple regression analysis identified the leadership behaviors and background variables that were predictors of perceived effectiveness and extra effort. The results suggest that attributed charisma and inspirational motivation were able to augment laissez-faire and contingent reward for the leadership outcomes of perceived effectiveness and extra effort. The remaining transformational and transactional leadership behaviors were inconsistent predictors of augmentation among upper echelon leaders investigated. The study tests the adequacy and robustness of the MLQ at the upper echelons of organizations and provides directions for further research.

Key terms: augmentation effect, Australian executives, effectiveness, transactional leadership, transformational leadership, upper echelon

Many leadership theories derived from studies of leaders at lower levels of organizations have been applied to upper echelons. Day and Lord (1988, 212) asserted that "applying leadership theories developed at the lower levels to explain leadership at upper levels assumes isomorphism across levels that is probably not true." In contrast, Transformational Leadership Theory is reputed to have the capacity to be used at all organizational levels (Bass, 1985). However, the empirical testing of transformational leadership at the most senior organizational levels is sparse (Waldman et al., 2001), and, therefore, this study aims to address this deficiency in the literature by investigating the augmentation effect in upper echelons across multiple organizations.

Literature Review

While interest in leadership at the senior levels can be traced back to Barnard (1938) and Heller (1972), Zaccaro (2001, 7) asserted that “relatively little research has explicitly focused on leadership at the top organizational levels.” On the other hand, several researchers have proposed separate theoretical formulations for leadership at the highest levels (Bentz, 1987; Dubin, 1979; Jacobs and Jaques, 1987; Mumford et al., 1993a). Further, the importance of leadership at the top levels of organizations is controversial (Yukl, 2001). Some writers have argued that such leaders have little influence on performance (Meindl et al., 1990; Pfeffer, 1977) and that top leader involvement is exaggerated to explain events in a way that fits our assumptions and implicit theories (Calder, 1977). Other writers consider upper echelon leaders to be a major influence on organizational performance (e.g., Katz and Kahn, 1978) which according to Yukl (2001) is linked to the leaders’ competency and perceptions about the need for change. Katz and Kahn (1978) reinforce this idea by concluding that only the top echelons of leaders are really in a position to introduce changes in structure, while leaders at the lower levels are more concerned with the various functions required to ensure system effectiveness (Sashkin and Fulmer, 1988). O’Toole (2001) clarifies the relationship between leadership and effectiveness by asserting that upper echelon leaders institutionalize the key tasks and responsibilities of leadership into the systems, practices, and cultures of the organization to achieve effectiveness. These leaders achieve this organizational change by cascading their influence down through the various levels in the hierarchy and thus try to create leadership as an organizational trait that enables the achievement of significant gains.

Leaders at the upper echelon are required to take full responsibility for decisions which may extend beyond the organization (Jacobs and Jaques, 1987; Jacobs and Lewis, 1992). Consequently, a large proportion of leadership responsibilities that these leaders take on involves direct boundary management between the external and internal environments (Zaccaro, 2001). These leaders are at a strategic organizational apex where, according to Jacobs and Jacques

(1987), their primary business is the interaction with the external environment in order to produce a more rational (stable) environment for the entire organization. Consequently, leaders at these levels need to produce an adaptive environment by establishing a strategic direction and developing consensus and commitment among followers that supports the long-term organizational objectives. Thus, a key aspect of effectiveness for upper echelon leaders is their ability to manage boundary functions to achieve an adaptive environment.

According to Zaccaro (2001, 10), “many current theories of leadership either propose generic conceptual models that apply across organizational levels or restrict their focus to lower-level leadership.” Such leadership approaches deny the recognized qualitative differences between upper and lower levels of organizational leadership (Bentz, 1987; Jacobs and Jaques, 1987; Mumford et al., 1993b). Leadership at the upper echelons was seen by Barnard (1938) as having the two key elements of (a) coordination and maintenance of the organization as a whole, and (b) the establishment of purpose through the various organizational levels.

Understanding how leadership differs at various organizational levels is complex because the actual number of levels is a function of the size of an organization, decision time span, and requirements for each level to add value to both its higher and its next lower level (Hunt and Ropo, 1995). Hunt’s (1991) extended multiple-organizational-level model and later work by Phillips and Hunt (1992) and Zaccaro and Klimoski (2001) provide a theoretical framework that highlights the differences between upper echelon and lower levels of leadership. This model systematically extended the earlier work by Jacques and Jacobs and their associates (Jacobs and Jaques, 1987; Jacobs and Lewis, 1992; Jaques and Clement, 1991) on the Stratified Systems Theory or SST.

Zaccaro’s (2001) investigation of SST supports the existence of three distinctive levels or functional domains of organizational leadership, namely from the highest level down: strategic, organizational, and production or command. Each domain differs in terms of the operational environmental complexity and the time span for the conduct of leadership processes. The SST (Jacobs and

Jaques, 1987; Jacobs and Lewis, 1992) provides a comprehensive segmentation of organizational leadership within each domain and is consistent with established organizational theory (Zaccaro and Klimoski, 2001). The SST highlights the external demands on leaders and provides a clear delineation of leadership work and role requirements across organizational levels (Gardner and Schermerhorn, 1992; Gould, 1986; Hemman, 2000; Zaccaro and Klimoski, 2001). Seven strata are allocated within the three domains of organizational leadership. Each stratum defines not only the scope and scale of the work but the required cognitive processes of incumbents (Jacobs and Lewis, 1992), and thus provides guidance into understanding differences among the top three levels or strata of upper echelon leaders.

The two highest organizational leadership levels of the SST are within the strategic functional domain, namely Strata VII and VI. Individuals in these strata are focused on the "whole of world view" that involves helping the organization cope with the changing boundaries of the system, making rules, and affecting the operation of the whole system. Culture, values, and visions are set within this functional domain (Jaques and Clement, 1991). Stratum VII is the highest level within the SST, and involves the creation and integration of complex systems, organizing the acquisition of major resources, and creating policy. Individuals with titles such as chief executive officer (CEO) or operating officer would fit into this stratum. While these individuals can have a planning horizon up to 20 plus years, their effectiveness is contingent on a "leveraging off function" that enables competitive advantages to be generated from the complex talents of executive members within their corporate decision-making teams.

Stratum VI is the second highest organizational leadership level and involves overseeing the direct operation of subordinate divisions and the allocating of resources while applying policy. Individuals with the title of executive, as well as vice president, director, and board level professional, would fit into this stratum. Individuals within this stratum have a planning horizon of between 10 to 20 years and perform a "gearing function" that interlocks the CEO's action with the work and culture of each business unit (Jaques and Clement, 1991). The assessment

of their effectiveness is judged by how successfully they achieve this "gearing function."

The third highest organizational leadership level is Stratum V, which involves the direct operations of complex systems, the allocation of assigned resources, and the implementation of policy. Planning horizons for individuals in this stratum are between 5 to 10 years and they perform a 'linking function' within business units that optimize the alignment of business units' policies, rules and regulations, customs and practices, and values to the actual working behavior of each worker. Assessment of effectiveness for individuals within this stratum is judged by how they reduce confusion regarding the broader corporate context and its objectives, and the operation of their business unit. Individuals within Stratum V must run their business units within the limits set by the CEO and executives of strata VII and VI.

In summary, individuals within the three top strata of organizations perform different organizational leadership roles; in other words, CEOs perform "leveraging off functions," executives perform "gearing functions," and upper middle executives perform "linking functions." Consequently, it is reasonable to suggest that each may use leadership behaviors and judge their effectiveness differently. Such a conclusion would be consistent with Lowe, Kroeck, and Sivasubramaniam (1996) who have asserted that organizational level may moderate leadership behavior and effectiveness relationships. On the other hand, Bass (1985) has suggested that the Transformational Leadership Theory applies across all levels of organizations. A key dimension to his argument is the cascading effect, which involves the display of behaviors from upper level leaders increasing the probability that lower level leaders will display the same behaviors (Avolio and Bass, 1988; Bass and Avolio, 1990; Bass et al., 1987).

Bass' (1985) theory incorporates three types of leadership behavior, namely transactional, non-transactional, and transformational leadership. According to Bass (1985) leaders use transactional leadership behaviors when they pursue a cost-benefit or economic exchange with followers to meet their current material and psychic needs in return for expected effort. Transactional leadership

provides the foundation of the leader-follower relationship through the communication of key exchange dimensions and relationships. Transactional leadership has two main types of behaviors, namely contingent reward and management-by-exception. Contingent reward represents proactive leadership behaviors that clarify the link between reward and effort through negotiation, and management-by-exception represents passive leadership behaviors that are only used when the status quo is broken. Management-by-exception is closely associated with traditional, authoritarian, and bureaucratic leadership models, and has passive and active dimensions. The non-transactional leadership factor of laissez-faire represents leadership inactivity (Yammarino et al., 1993) and indicates the absence of leadership behaviors, the avoidance of intervention by leaders, or both.

Transformational leadership differs from both transactional and non-transactional leadership when leaders use behaviors that seek to raise the consciousness of their followers by appealing to higher ideals and values such as liberty, justice, equality, peace, and humanitarianism, and not to more base emotions such as fear, greed, jealousy, or hatred (Bass, 1985). There are five behavioral types of transformational leadership, namely: attributed charisma (i.e., leadership behaviors that encourage followers trust in the leader), idealized behavior (i.e., leadership behaviors that encourage followers to share common vision and goals), inspirational motivation (i.e., leadership behaviors that raise expectations and beliefs concerning the mission and vision), individualized consideration (i.e., leadership behaviors that delegate projects to stimulate learning experiences, provide coaching and teaching, and treat each follower as an individual), and intellectual stimulation (i.e., leadership behaviors that arouse followers to think in new ways and emphasizes problem solving and the use of reasoning before taking action). Bass and his colleagues developed and conceptualized these leadership behaviors into the Multifactor Leadership Questionnaire (MLQ).

The current study used three outcomes measured by the MLQ, namely perceived effectiveness and extra effort, and self perceptions of leaders'

satisfaction with their own ability and methods. Four areas of perceived effectiveness were measured: Meeting the job-related needs of followers, representing followers' needs to higher-level managers, contributing to organizational effectiveness, and performance. These measures of effectiveness are similar to boundary management functions, which is consistent with Gilmore's (1982) assertion that executives are engaged in a range of boundary management functions. Extra effort reflects the extent to which followers exert effort beyond the ordinary as a consequence of their leader (Bass, 1985). These leadership outcomes have provided a foundation for numerous studies (see Lowe et al., 1996). However, these prior studies cannot readily be generalized to upper echelon leaders because they involved mostly lower-level managers (Waldman et al., 2001).

Bass has attempted to provide leaders with a theoretical understanding of how broadly each of the leadership behaviors relates to the others. The transactional leadership behaviors of contingent reward, active management-by-exception, and passive management-by-exception provide the foundations for the establishment of an effective relationship between follower and leader. These transactional leadership behaviors are capable of achieving expected effort from followers. In contrast, the transformational leadership behaviors of attributed charisma, idealized influence, inspirational motivation, individualized consideration, and intellectual stimulation provide leaders with the capacity to motivate their followers beyond the expected effort achieved by the transactional leadership behaviors. Consequently, a key underlying principle of transformational leadership is what Waldman, Bass, and Yammarino (1990) termed the "augmentation hypothesis," where transformational leadership "augments" the influence of transactional leadership on organizational outcomes. In simple terms, while transactional leadership is expected to achieve expected effort from followers, transformational leadership encourages followers to go beyond this expected effort.

Transformational leadership accomplishes this extra exertion by developing followers, elevating follower concerns to higher-order needs, inspiring followers

to go beyond their own interests, and presenting a desirable future state. Several studies have investigated this augmentation effect at lower levels using hierarchical regression analysis (Avolio and Howell, 1992; Gellis, 2001; Hater and Bass, 1988; Seltzer and Bass, 1990; Waldman et al., 1990). Based on these studies, Zaccaro (2001) concluded that the augmentation effect of transformational leadership also applies at upper levels. In contrast, Lowe, et al. (1996) questioned whether transformational leadership has the same impact on effectiveness across all levels of the organizational hierarchy. Consequently, Lowe, et al. (1996) have suggested that research should be conducted to investigate whether the augmentation effect is evident at the upper levels of organizations. Further, previous investigations focused on the augmentation effect of transformational on transactional leadership and ignored the effect of transformational and transactional leadership on non-leadership (*laissez-faire*). Investigation of leadership augmentation relationships is necessary to improve our understanding of how a broad range of leadership behaviors can build on each other. Thus, the current study aims to examine the full augmentation effects by assessing whether transactional leadership moderates *laissez-faire* and whether transformational leadership augments transactional leadership.

The augmentation effect should differ by strata because the outcomes of leadership are different. For example, leaders at stratum VII are required to be successful in the creation and integration of complex systems, the organization of the acquisition of major resources, and the creation of policy. Leaders achieve successful outcomes by providing a frame of reference which others can use to guide their actions. How well these leaders provide a frame of reference for these outcomes is in part a function of leader effectiveness (Lewis and Jacobs, 1992) and could mean that leaders at stratum VII conceptualize and use leadership behaviors differently from leaders at other strata. For example, leaders at both strata VI and V provide different frames of references to be successful in the overseeing of the direction of subordinate divisions, the allocation of resources, and the application of policy. Further, Lewis and Jacobs (1992) suggest that leader effectiveness at a system level (i.e., Strata VII and VI)

results from a function of their cognitive abilities rather than from interpersonal competencies, technical skills, or even motivational and personality differences.

The study used the self-assessment version of the MLQ (5X) where upper echelon leaders recorded the frequency of their own leadership behaviors, assessed their own effectiveness, and gauged as a result of their leadership behaviors the perceived frequency of their followers exerting extra effort. In addition, upper echelon leaders recorded the frequency of their own satisfaction with their own leadership abilities and methods of leadership. Consequently, three research questions provided direction for this study: (1) Are the augmentation effects evident for leader effectiveness among upper echelon leaders? (2) Are the augmentation effects evident for extra effort among upper echelon leaders? and (3) Are the augmentation effects evident for leader satisfaction among upper echelon leaders?

Method

A stratified random sample of 5000 members was selected from the population of 21,461 members of the Australian Institute of Management. Mail-outs to the sample resulted in a final total sample of 1,918 usable responses (a 39 percent response rate).

Sample

There was a close similarity between the sample and the AIM membership when classified by state. In terms of type of organization, over a quarter (28 percent) were involved in service industries, 16 percent in manufacturing, and 12 percent in retailing/wholesaling. Only 6 percent were involved in information technology/communications and a further 3 percent in primary industry, including farming and mining. Around three-quarters of the sample (78 percent) were males and 22 percent were females, which was almost identical to the gender composition of the AIM membership. Over half of the respondents (58 percent) were aged less than 49 years and around one-third of respondents (32 percent) were aged 50-59 years. In terms of highest level of education attained, 10

percent of the sample had attended high school only, while over a quarter (30 percent) had undertaken post-secondary technical courses and a quarter (26 percent) had completed masters degrees. While 20 percent of respondents had been in their current position for under 18 months, 21 percent had been in their current position for between 18 months and 3 years, 25 percent for between 3 and 8 years, and one-third of respondents had been in their current position for more than 8 years. Although 22 percent had been an executive for less than 6 years and 20 percent had been an executive for between 6 and 12 years, more than half the sample (57 percent) had been an executive for more than 12 years. Almost half of the sample (27 percent) were at the top level of the organization (chief executive or operating officer), 23 percent were executives (vice president, director, and board level professional), and 30 percent were upper middle level (department executive, superintendent, plant manager, and senior professional staff). These respondent classifications are referred to as levels within this study.

Instrumentation

The study used the Multifactor Leadership Questionnaire (MLQ) Form 5X to measure transformational, transactional, and non-leadership behaviors. The shortened version of the 5X was used because items per factor are reduced (i.e., trimmed), which Podsakoff and Organ (1986) suggest is a remedy for reducing the likelihood of common method variance. Reliabilities for the self-assessed MLQ (5X) were established by Bass and Avolio (1990) and are as follows, with reliabilities for the same leadership factors established by this study shown in the accompanying sets of parentheses: Attributed charisma, 0.86 (0.67); idealized behaviors, 0.85 (0.68); inspirational motivation, 0.88 (0.78); individualized consideration, 0.86 (0.75); intellectual stimulation, 0.89 (0.74); management-by-exception (active), 0.76 (0.73); management-by-exception (passive), 0.85 (0.72); contingent reward, 0.85 (0.61); and laissez-faire, 0.81 (0.77). The leadership factors of attributed charisma, idealized influence, and contingent reward had reliabilities below .70 which raises concerns about the validity of these factors. These findings are inconsistent with the recent investigation of the MLQ

leadership factor reliabilities by Tejeda, Scandura, and Pillai (2001) which identified acceptable levels of internal consistency. The reliabilities of the three perceived leadership outcomes were effectiveness (.73), extra effort (.71), and satisfaction (.71). The leadership outcome of effectiveness was modified for the top leaders where the item “representing follower’s needs to higher-level managers” was removed. This item was judged as irrelevant for respondents in the position of CEO or Operating Officer and therefore only three items measuring effectiveness for top leaders had a reliability of .71. Respondents were assured that responses would remain confidential, which according to Howard (1994) increases reliability and validity of self-reports.

The means, standard deviations, and correlation matrix of the study were investigated. Analysis of variance was used to establish whether leadership behaviors and leadership outcomes differed among the upper echelon levels. Multiple regression was then employed to investigate the ability of independent variable sets (i.e., leadership and demographic variables) to predict two dependent variables (i.e., effectiveness and extra effort). The enter estimation method of multiple regression was used and provides an effective approach to identify significant independent predictors (Cohen and Cohen, 1983). Augmentation is evident when the transformational leadership factors add to the effect accounted for by the transactional leadership factors (Waldman et al., 1987). Each leadership outcome (i.e., effectiveness and extra effort) had a set of regression model equations across the three upper levels. Previous studies have only focused on the transactional and transformational leadership factors, while the current study entered the non-transactional factors and background variables to produce a more comprehensive investigation of the full augmentation model of transformational leadership. Laissez-faire was entered first because this behavior represents non-leadership and is expected to have no positive impact, thus enabling a baseline to be established. The transactional leadership factors were then entered followed by the transformational leadership factors, and then finally the demographic variables.

A multilevel analysis approach enabled leadership and background variables to be examined and the augmentation effects compared at each level. Standardized betas (β) are presented to allow comparisons between regression models, along with the regression coefficient (R^2), F ratio, and the Durbin-Watson.

Results

Table 1 presents the means, standard deviations, and correlation matrix for the study. The findings are consistent with the results of previous studies (e.g., Hater and Bass, 1988) which found that the factors of transformational leadership, transactional leadership, and non-leadership were significantly correlated. However, this study found that active management-by-exception was not significantly correlated with inspirational motivation or individualized consideration. No evidence of multicollinearity was found among the factors which suggests that undertaking multi-regression was appropriate (Tabachnick and Fidell, 1996).

Table 1: Means, Standard Deviations, and Correlations

Variables	Min	SD	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	
1. Age	3.17	.93																	
2. Education	5.26	1.20	-.06**																
3. Yrs cu postn	5.26	5.28	.40**	-.14**															
4. Yrs exe	13.35	9.32	.68**	-.09**	.50**														
5. Size	2.45	1.79	-.15**	.11**	-.19**	-.18**													
6. Laz-faire	.56	.52	-.04	-.01	.01	-.03	-.04												
7. Pass MBE	3.03	.57	.05*	-.05*	.10**	.08**	-.06**	.40**											
8. Active MBE	1.78	.79	.03	-.01	.09**	.08**	-.03	.14**	.19**										
9. Con Reward	3.21	.51	.12**	.02	.02	.09**	-.01	-.18**	-.06**	.11**									
10. Ind' Con	3.31	.47	.12**	.03	-.00	.07**	.02	-.12**	-.11**	.01	.51**								
11. Intell' Stim	3.19	.48	.09**	.08**	.02	.06*	.30	-.13**	-.12**	.08**	.39**	.49**							
12. Inspir' Mot	3.27	.54	.08*	.03	-.01	.03	-.05*	-.18**	-.13**	-.01	.49**	.41**	.42**						
13. Ideal' Infru	3.14	.56	.12**	.04	.02	.07**	-.02	-.10**	-.10**	.07**	.46**	.41**	.41**	.60**					
14. Att Charis	3.01	.52	.06*	-.03	.05*	.04	-.02	-.13**	-.04	.10**	.41**	.38**	.32**	.48**	.46**				
15. Effective'	3.31	.47	.08**	-.03	-.00	.03	-.02	-.28**	-.16**	.00	.43**	.41**	.34**	.50**	.38**	.48**			
16. Ex Effort	3.03	.57	.10**	-.00	-.03	.08**	-.02	-.13**	-.09**	.04	.46**	.45**	.40**	.53**	.45**	.50**	.53**		
17. Satisfact'n	3.27	.53	.08**	.00	.01	.03	.01	-.19**	-.18**	-.01	.36**	.41**	.34**	.40**	.36**	.45**	.58**	.50**	

Note: Leadership Behaviors and Outcomes: 0 = not at all, 1 = Once in a while, 2 = Sometimes, 3 = Fairly Often, and 4 = Frequently, if not always; Age 1 = less than 30, 2 = 30—39, 3 = 40—49, 4 = 50—59, 5 = 60+; Education 1 = High School, 2 = Technical School, 3 = Associates/Diplomas, 4 = Bachelors, 5 = Masters, and 6 = Doctorate; Size of organization: 1 = less than 100, 2 = 100—499, 3 = 500—999, 4 = 1,000—4,999, 5 = 5,000—9,999, 6 = 10,000 or more; *Correlation is significant at the 0.05 level (2 tailed); **Correlation is significant at the 0.01 level (2 tailed).

Table 2 presents a series of analyses of variance which reveal significant differences for leader effectiveness ($F = 12.64$, $p < .001$), extra effort ($F = 26.67$, $p < .001$), passive management-by-exception ($F = 29.82$, $p < .001$), contingent reward ($F = 17.21$, $p < .001$), intellectual stimulation ($F = 7.87$, $p < .001$), inspirational motivation ($F = 36.24$, $p < .001$), attributed charisma ($F = 18.52$, $p < .001$), and idealized influence ($F = 20.26$, $p < .001$) when classified by level. There were no significant differences among levels for three leadership behaviors, namely laissez-faire, active management-by-exception, and individualized consideration. To remain consistent with previous investigations of the MLQ, these factors were not excluded from the study.

Table 2: Analysis of Variance for Mean of Respondents Classified by Organizational Level

MLQ Factors	Organizational Level			F	Sig. Diff Groups
	1 N=558	2 N=376	3 N=939		
Effectiveness	3.38	3.35	3.26	12.64***	1-3,2-3
Extra Effort	3.17	3.35	3.26	26.67***	1-2,2-3,1-3
Laissez-faire	.57	.53	.57	.76	None
Passive Management by Exception	3.19	3.05	2.91	29.82***	1-2,1-3, 2-3
Active Management by Exception	1.81	1.72	1.80	1.11	None
Contingent Reward	3.31	3.20	3.12	17.21***	1-2, 1-3
Intellectual Stimulation	3.26	3.19	3.14	7.87***	1-3
Individualized Consideration	3.35	3.32	3.28	2.73	None
Inspirational Motivation	3.44	3.29	3.16	36.24***	1-2, 1-3, 2-3
Idealized Behavior	3.29	3.12	3.06	20.26***	1-2, 1-3
Attributed Charisma	3.14	2.98	2.94	18.52***	1-2, 1-3

Note: 1= Top Leaders; 2 = Executive; 3 = Upper Middle Executives
Original response categories for MLQ factors
*** $p \leq .001$

Table 3 shows the results of three hierarchical multiple regression models that predict effectiveness of leaders classified by level. Several predictors were identified across all levels (i.e., top, executive, and upper middle) which were laissez-faire ($\beta=-0.16$, $p<.001$; $\beta=-0.13$, $p<.01$; $\beta=-0.15$, $p<.001$), inspirational motivation ($\beta=0.19$, $p<.001$; $\beta=0.20$, $p<.01$; $\beta=0.19$, $p<.001$), and attributed charisma ($\beta=0.28$, $p<.001$; $\beta=0.26$, $p<.01$; $\beta=0.25$, $p<.001$). In other words, for leaders at all upper levels, avoidance of leadership responsibilities depressed effectiveness, while use of vision and perceptions of trust by followers in their leader increased effectiveness.

Table 3: Hierarchical Multiple Regression for the Prediction of Effectiveness by Selected Background Variables and Leadership Behaviors for Respondents Classified by Levels

	Top					Executive					Upper Middle				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
1 Age	.07	.06	.05	.02	.03	.15	.12	.12	-.08	.03	.05	.05	.05	.02	.01
Education	.09	.07	.06	.04	.05	-.03	-.03	-.03	-.04	-.01	-.09*	-.08*	-.08*	-.08*	-.07*
Yrs in current position	-.02	-.01	-.02	.00	-.03	-.04	-.05	-.05	-.05	-.05	-.03	-.01	-.01	.03	.03
Yrs as an executive	.06	.04	.05	.03	.03	-.21**	-.17**	-.17*	.15*	-.08	-.06	-.08	-.08	-.07	-.06
Size	.05	.04	.05	.06	.00	-.03	.01	.01	-.01	-.02	-.01	-.02	-.02	-.05	-.06
2 Laissez-faire		-.25***	-.22***	-.17***	-.16***		-.21***	-.19**	-.16**	-.13**		-.29***	-.28***	-.19***	-.15***
3 Passive MBE			-.13**	-.10*	-.05			-.07	-.07	-.04			-.07	-.05	-.03
Active MBE			.13**	.08	.05			.02	-.02	-.05			.10**	.02	.02
4 Contingent reward				.40***	.08				.27***	.10				.44***	.15***
5 Individual consideration					.18**					.05					.11**
Intellectual stimulation					.01					.12*					.08*
Inspirational motivation					.19***					.26**					.19***
Idealized behaviour					.00					-.02					.01
Attributed Charisma					.26***					.26***					.25***
R	.02	.08	.11	.26	.43	.03	.08	.08	.15	.33	.01	.09	.11	.28	.42
R ² Change	.02	.06	.03	.15	.17	.03	.04	.01	.07	.18	.01	.08	.02	.17	.14
Adjusted R ²	.01	.07	.09	.24	.41	.02	.06	.07	.12	.30	.00	.09	.10	.27	.41
Multiple R	.15	.30	.33	.51	.66	.17	.28	.28	.38	.57	.01	.30	.33	.52	.65
F	2.21	7.06***	7.00***	17.42***	24.24***	2.09*	3.42***	4.34***	6.03***	10.82***	1.55	11.17***	9.58***	27.83***	33.11***
Dubin-Watson					1.88					1.96					1.96

Note: Top Leaders = Chief Executive or Operating Officers; Executive = Vice President, Director, Board Level Professional; Upper Middle Executives = Department Executive, Superintendent, Plant Manager, Senior Professional Staff; Selected background variables entered were gender, salary, education, age, years in current position, years as an executive, and size of the organization; all transformational, transactional and non-leadership factors were entered; Effectiveness item: "I am effective in representing others to higher authority" was removed for Top leaders; * $p\leq.05$; ** $p\leq.01$; *** $p\leq.001$.

Each level also had unique predictors for effectiveness, namely, individualized consideration ($\beta=0.18$, $p<.01$) for top leaders, intellectual stimulation ($\beta=0.14$, $p<.05$) for executive leaders, and contingent reward ($\beta=0.15$, $p<.001$), individualized consideration ($\beta=0.11$, $p<.01$), intellectual stimulation ($\beta=0.08$, $p<.05$) and education ($\beta=-0.07$, $p<.05$) for upper middle executives. These findings confirm that contingent reward augments laissez-faire which in turn is augmented by several transformational leadership behaviors for the top and upper middle executive levels. Interestingly, neither passive nor active management-by-exception augment laissez-faire.

Table 4 (next page) shows the result of three hierarchical multiple regression models that predict perceived follower extra effort by leaders which was classified by their level. Similar predictors for each level (i.e., top, executive, and upper middle executives) were identified, namely individualized consideration ($\beta=0.12$, $p<.01$; $\beta=0.21$, $p<.001$; $\beta=0.13$, $p<.001$), inspirational motivation ($\beta=0.28$, $p<.001$; $\beta=0.21$, $p<.01$; $\beta=0.25$, $p<.001$), and attributed charisma ($\beta=0.24$, $p<.001$; $\beta=0.24$, $p<.001$; $\beta=0.22$, $p<.001$). In other words, upper echelon leaders' usage of vision, degree of trust, and mentoring behaviors predicted their assessment of the level of perceived follower extra effort expected from their followers. Unique predictors of extra effort for each level were also identified and these were years in current position ($\beta= -0.08$, $p<.05$), passive management-by-exception ($\beta=-0.15$, $p<.001$), intellectual stimulation ($\beta=0.12$, $p<.01$), and idealized behavior ($\beta=0.10$, $p<.05$) for top leaders; contingent reward ($\beta=0.14$, $p<.05$) for executive leaders; and years as an executive ($\beta=-0.07$, $p<.05$), contingent reward ($\beta=0.12$, $p<.01$), and intellectual stimulation ($\beta=0.13$, $p<.01$) for upper middle executives.

Table 4: Hierarchical Multiple Regression for the Prediction of Extra Effort by Selected Background Variables and Leadership Behaviors for Respondents Classified by Level

	Top					Executive					Upper Middle				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
1 Age	.04	.03	.01	-.05	.01	-.15*	.13	.14	.08	.01	.07	.07	.07	.03	.02
Education	.06	.05	.03	.02	-.03	-.03	-.03	-.03	-.04	-.00	-.06	-.05	-.05	-.05	-.04
Yrs in current position	-.08	-.09	-.08	-.06	-.08*	-.06	-.07	-.07	-.06	-.06	-.12**	-.11*	-.11**	-.07*	-.07*
Yrs as an executive	-.06	-.05	.06	.04	.03	-.05	-.03	-.04	-.02	.07	.04	.03	.02	.04	.05
Size	.08	.08	.09	.10*	.02	.03	.02	.04	.02	.01	.05	.04	.04	.01	.00
2 Laissez-faire		-.08	.01	-.06	.05		-.10	-.12	-.08	-.05		-.14***	-.14**	-.04	.01
3 Passive MBE			-.27***	-.23***	-.15***			.02	.03	.04			-.04	-.02	.01
Active MBE			.13	.07	.05			.08	.02	.02			.08*	-.01	-.01
4 Contingent reward				.40***	.02				.04***	.14**				.47***	.12**
5 Individual consideration					.12**					.21***					.13***
Intellectual stimulation					.12**					.00					.13**
Inspirational motivation					.28***					.21**					.25***
Idealized behaviour					.10*					.05					.01
Attributed Charisma					.24***					.24***					.22***
R ²	.02	.03	.09	.24	.47	.02	.03	.03	.17	.40	.02	.04	.05	.25	.44
R Change	.02	.01	.06	.15	.23	.02	.01	.01	.14	.23	.02	.02	.01	.20	.19
Adjusted R ²	.01	.01	.07	.22	.46	.00	.01	.01	.14	.37	.01	.03	.04	.24	.42
Multiple R	.14	.17	.30	.48	.69	.14	.17	.17	.41	.62	.14	.20	.22	.50	.66
F	1.86	2.00*	5.64***	15.79***	28.98***	1.14	1.51	1.40	6.92***	14.38***	2.76*	4.30***	4.00***	23.74***	34.82***
Dubin-Watson					1.95					2.07					1.81

Note: Top Leaders = Chief Executive or Operating Officers; Executive = Vice President, Director, Board Level Professional; Upper Middle Executives= Department Executive, Superintendent, Plant Manager, Senior Professional Staff; Selected background variables entered were gender, salary, education, age, years in current position, years as an executive, and size of the organization; all transformational, transactional and non-leadership factors were entered; * $p \leq .05$; ** $p \leq .01$; *** $p \leq .001$.

Table 5 (next page) shows the results of three hierarchical multiple regression models that predict satisfaction of leader classified by their level. Similar predictors for each level (i.e., top, executive, and upper middle executives) were identified, namely passive management-by-exception ($\beta = -0.14$, $p < .01$; $\beta = -0.12$, $p < .001$; $\beta = -0.07$, $p < .05$), individualized consideration ($\beta = 0.15$, $p < .01$; $\beta = 0.22$, $p < .001$; $\beta = 0.17$, $p < .001$), and attributed charisma ($\beta = 0.29$, $p < .001$; $\beta = 0.33$, $p < .001$; $\beta = 0.21$, $p < .001$). In other words, upper echelon leaders' use of negative reinforcement behaviors decreased their feelings of leader satisfaction while their use of mentoring and being highly regarded by their followers increased their feelings of leader satisfaction. Each level also had unique predictors for leader satisfaction, namely, inspirational motivation ($\beta = 0.11$, $p < .05$) and idealized behavior ($\beta = 0.10$, $p < .05$) for top managers; inspirational motivation ($\beta = 0.13$, $p < .05$) for executive leaders; and contingent reward ($\beta = 0.15$, $p < .001$) for upper middle executives.

Table 5: Hierarchical Multiple Regression for the Prediction of Satisfaction by Selected Background Variables and Leadership Behaviors for Respondents Classified by Level

	Top					Executive					Upper Middle				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
1 Age	.11	.10	.09	.05	.08	.21**	.18**	.19**	.15*	.09	.10*	.10*	.10*	.07	.05
Education	.10*	.09*	.08	.07	.07	-.02	-.09	-.03	-.03	.01	-.06	-.05	-.05	-.05	-.04
Yrs in current position	.04	.04	.05	.07	.04	-.00	-.02	-.00	-.00	-.00	-.11*	-.09*	-.09*	-.06	-.05
Yrs as an executive	.05	.04	.04	.03	.02	-.18*	-.16*	-.15*	-.13	.05	-.06	-.07	-.07	-.06	-.05
Size	.01	-.01	.00	.01	-.04	.00	-.00	-.01	-.03	-.03	.02	.01	.01	-.03	-.03
2 Laissez-faire		-.11*	-.03	.02	.02		-.12**	-.10	-.07	-.04		-.20***	-.17***	-.08*	-.06
3 Passive MBE			-.23***	-.19***	-.14**			-.15*	-.15*	-.12*			-.11**	-.09**	-.07*
Active MBE			.04	-.01	-.04			.02	.02	-.04			.08*	.01	.00
4 Contingent reward				.36***	.05				.25***	.03				.41***	.15***
5 Individual consideration					.15**					.22***					.17***
Intellectual stimulation					.06					.09					.07
Inspirational motivation					.11*					.13*					.08
Idealized behaviour					.10*					-.01					.03
Attributed Charisma					.29***					.33***					.21***
R ²	.04	.05	.09	.21	.39	.03	.05	.07	.13	.40	.02	.06	.07	.23	.33
R ² Change	.04	.01	.04	.12	.18	.03	.02	.02	.06	.27	.02	.04	.01	.15	.10
Adjusted R ²	.02	.04	.07	.19	.37	.02	.04	.05	.11	.37	.01	.05	.06	.22	.32
Multiple R	.19	.22	.30	.46	.62	.17	.23	.27	.36	.63	.14	.24	.27	.48	.58
F	3.35***	3.81***	5.59***	13.53***	20.43***	1.98*	2.99**	3.00**	5.32***	14.81***	2.52***	6.62***	6.33***	21.06***	22.54***
Durbin-Watson					2.01					1.93					1.94

Note: Top Leaders = Chief Executive or Operating Officers; Executive = Vice President, Director, Board Level Professional; Upper Middle Executives= Department Executive, Superintendent, Plant Manager, Senior Professional Staff; Selected background variables entered were gender, salary, education, age, years in current position, years as an executive, and size of the organization; all transformational, transactional and non-leadership factors were entered; *p<.05; **p<.01; ***p<.001.

Discussion

The current study investigated three levels of upper echelon leaders and the influence that their leadership behaviors had on perceived effectiveness and extra effort. The first research question focused on predicting the effectiveness of leaders and examined the augmentation effect. The study found three leadership behaviors—namely laissez-faire, attributed charisma, and inspirational motivation—formed the core predictors of effectiveness across all levels. Contingent reward was a predictor for top and upper-middle executive levels only. The negative relationship of laissez-faire with effectiveness was to be expected and supported the notion that non-leadership is detrimental to effectiveness (Bass, 1985). The results suggest that contingent reward counters this negative effect of laissez-faire by increasing leader and follower interactions that clarify the links between reward and effort at top and upper middle executive

levels. Such negotiating behaviors assist higher echelon leaders to boundary manage their organizations through boundary spanning activities that link the coordination of units of followers with the external environment (Jacobs and Jaques, 1987; Jaques, 1978). This finding is consistent with the leadership-by-contingent reinforcement literature (e.g., Podsakoff et al., 1982) and upper echelon theory (Waldman et al., 2001), which have identified this form of transactional leadership as an important ingredient of organizational effectiveness. Further, this finding should counter the contention that contingency models are not applicable to executive or strategic leadership (Zaccaro, 1998). The remaining transactional leadership behaviors of passive and active management-by-exception did not predict effectiveness at any of the levels. Management-by-exception is based on the contingent avoidance of punishment (Bass, 1985) and the results suggest that upper echelon leaders recognize the inability of punishment to increase effectiveness. Alternatively, the inability of either management-by-exception factor to predict effectiveness may identify the need for further conceptual and empirical development of these factors (see Densten and Gray, 1998). In summary, the only transactional leadership behavior that augmented non-leadership was contingent reward.

Two transformational leadership behaviors, namely inspirational motivation and attributed charisma augmented contingent reward's influence on effectiveness for top and upper middle executive levels. Both behaviors are involved in boundary management functions. Inspirational motivation accomplishes this function by providing the means to transmit future desirable states (e.g., vision), which provide frames of reference for collective actions. Zaccaro (2001) has recognized this function as the most critical element of organizational leadership that is specified by the SST. According to Jacobs and Jaques (1987; 1990), senior leadership support follower comprehension of information and events by presenting frames of references or causal maps which offer leaders the opportunity to raise expectations and beliefs concerning possible accomplishments. Therefore, the results indicate that leaders at upper

echelons use two specific transformational leadership behaviors to accomplish boundary management behaviors.

Attributed charisma was a predictor across all levels, which may indicate the desire of senior leaders to be accepted as believable and trustworthy. Both Hart and Quinn (1993), and Quinn, Spreitzer, and Hart (1991) have demonstrated the link between personal credibility and organizational effectiveness. This link is achieved by balancing competing demands which require leaders to display countervailing value orientations in order to be effective (Quinn, 1988). In other words, upper echelon leaders who can meet the external organizational demands while satisfying the internal follower demands (e.g., developmental needs of followers) achieve greater effectiveness. Consequently, attributed charisma relates to the competent balancing of multiple external and internal roles from which leaders want followers to recognize and gain confidence and trust in their abilities. Such a conclusion is consistent with Day and Lord's (1988) assertion that executive leadership theory should focus on substance rather than style and should recognize the analytical and perceptual abilities of leaders. Interestingly, idealized behavior, which is similar to attributed charisma, was not a predictor of effectiveness at any level, which suggests that the active display of role modeling behaviors are not recognized by these leaders as achieving effectiveness.

Individualized consideration and intellectual stimulation were inconsistent predictors of effectiveness across all levels. Individualized consideration was a predictor of effectiveness for top and upper middle executives but not for executives, while intellectual stimulation was a predictor of effectiveness for executive and upper middle executive level leaders but not for top leaders. These findings suggest that upper-middle executive leaders achieve effectiveness by using both individualized consideration and intellectual stimulation to achieve their "linking function" (e.g., optimize the alignment of business unit policies, rules, and regulations). However, top leaders and executives differ in how they achieve their effectiveness, and this relates to their unique functions. For example, top leaders achieve their "leverage off function"

by delegating projects to stimulate learning experiences, providing coaching and teaching, and treating members of their corporate decision-making teams as individuals, while executives achieve their “gearing function” by arousing followers to think in new ways and emphasizing problem solving, and by the use of reasoning before taking action. These differences in functions and their relationships to individualized consideration and intellectual stimulation should provide interesting avenues for further research.

The second research question focused on predicting perceived follower extra effort in order to examine the augmentation effect. Laissez-faire and active management-by-exception were not predictors of perceived follower extra effort. For leaders at the top level, transformational leadership behaviors augmented the transactional leadership behavior of passive management-by-exception, while only three of the five transformational leadership behaviors augmented the transactional leadership of contingent reward for executive and upper middle executive levels. Thus, the three leadership behaviors of individualized consideration, inspirational motivation, and attributed charisma formed the core predictors of perceived follower extra effort across all levels. These leadership behaviors are compatible with three of the four primary motivational processes which, according to Zaccaro (2001), are common to visionary and inspirational models of executive leadership. For example, individualized consideration relates to the motivational process of associating follower self-concepts with organizational outcomes (Shamir et al., 1993) and involves providing learning experiences that enhance follower self-esteem and extend their self-efficacy. Inspirational motivation relates to the motivational process of manipulating meaning and symbols that gives followers a sense of purpose (Bass, 1985; Schein, 1992). Attributed charisma relates to the process of impression management and image building where leaders encourage followers to have trust and to be confident in their abilities (House, 1977). However, the motivational process associated with modeling, which relates to idealized behavior, was only a predictor of perceived follower extra effort for leaders at the top level. This finding suggests that leaders at the top level are aiming to

motivate followers by modeling behaviors that are consistent with their corporate vision. The inability of idealized behaviors to predict perceived follower extra effort among executive and upper middle executives may suggest that leaders at these levels do not have sufficient confidence or presence to motivate followers to exert extra effort. The use of contingent reward by executive and upper middle executive levels, which was not evident at the top level, may counter this inability to motivate followers using idealized behavior by negotiating effort for rewards (i.e., contingent reward) to motivate followers. Interestingly, passive management-by-exception was only a negative predictor of perceived follower extra effort for the top level. This result may indicate that top leaders recognize these behaviors are inconsistent with their “leveraging off function” and are counter-productive in gaining follower extra effort. Finally, for leaders at the top level, years in current position was a negative predictor of perceived follower extra effort, which suggests that these leaders expect less extra effort by followers the longer these leaders are in their current position. Such a reduction in expectations could have important ramifications for organizational productivity.

The current study was unable to confirm the consistency of (a) all of the transactional leadership behaviors to augment the non-transactional leadership behavior of laissez-faire, and (b) all of the transformational leadership behaviors to augment the transactional leadership behaviors. However, the current study identified the transactional leadership behavior of contingent reward as being a key to understanding the augmentation effect on perceived effectiveness and extra effort.

Limitations

The current study is not without limitations. The study was delimited to the membership base of the Australian Institute of Management and may not be fully representative of Australian executives. Therefore, the findings should be viewed with some degree of caution in terms of their generalizability. The SST identifies leadership differences across levels based on the presumption that task complexity increases in a linear relationship with levels in organizations. In

addition, the SST makes an assumption of conformity within each level that, if void, may distort or misrepresent segments within a particular level. A further limitation is the non-comparisons of upper echelon leaders with low level leaders. The study relies on self-reports, which may be subject to common method variance (Spector, 1987). However, Paglis and Williams (1996) have demonstrated that the level of common method variance would need to be around 18 percent to 20 percent between observed relationships before common method bias would influence the findings, and recently Kline, Sulsky, and Rever-Moriyama (2000, 418) concluded that "it is unduly draconian to blindly state that self-report data are always fatally flawed or that self-reports should be discarded." Finally, several researchers (Conger & Kanungo, 1998; Yukl, 2001) have criticized the content and construct validity of the MLQ and, consequently, other more robust instruments may need to be used to validate and further advance the findings of this study.

Conclusion

This study provides partial support for the "augmentation hypotheses." The study raises concerns about the inconsistencies of several leadership behaviors to predict perceived effectiveness and extra effort. Individualized consideration, intellectual stimulation, and idealized behavior are recognized as key influencing behaviors for leaders at lower levels (Bass, 1985), but the current study does not support these relationships consistently in the upper echelons of organizations. Theoretically, these transformational leadership behaviors should all predict perceived effectiveness and extra effort. Consequently, how we currently conceptualize and measure these behaviors needs further development to increase the accuracy of their measurement in the upper echelons of organizations. Further, the inability of either passive or active management-by-exception to predict positively or negatively the leadership outcomes raises questions regarding their validity. Future research needs to clarify the "augmentation hypotheses" in relation to (a) the leveraging off function of top

leaders, (b) the “gearing function” of executives, and (c) the “linking function” of upper middle executives.

While Transformational Leadership Theory has provided important insights into higher echelon leadership, future research needs to further clarify the differences among leadership at various levels in organizations. Finally, the current study advances the investigation of the augmentation effect at the upper echelons of organizations and, in doing so, provides additional evidence of the distinguishing characteristics of leadership at the most senior levels. The study has practical implications in terms of the development of leaders at upper echelons. For example, the study raises research questions concerning: (a) what are the most effective leader behaviors for leveraging, gearing, and linking at the upper echelons? and (b) what leader behaviors need to be developed for leaders to be prepared for promotion to the next stratum? The study should encourage further research into identifying and clarifying the augmentation effect in a range of organizations and at various organizational levels.

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Transformational Leadership and the Impact of Socialization in the Afghan Culture: A Study of Behavioral Differences Based on Gender, Age, and Place of Birth

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Cultures tend to influence the behavior of individuals due to years of socialization and reinforcement of specific expectations. This research surveyed the responses of 300 Afghan-Americans to better understand their orientation toward transformational leadership based on gender, age, and place of birth. The respondents had high scores for transformational leadership orientation, with a statistically significant difference between the scores of male and female respondents. Younger respondents had a significantly higher tendency toward a transformational leadership orientation than their older counterparts. Finally, those who were born in Afghanistan had a higher transformational leadership score than respondents who were born in the United States. Suggestions, implications, and future research avenues are presented.

Key words: Afghanistan, Afghans, culture, gender, leadership, socialization

Today's competitive organizations demand transformational leadership. In an organization, leaders must believe in change, innovate continuously, recognize the need for challenge, and stress the importance of unity and collaboration. "In highly competitive, rapidly changing environments, caring and appreciative leaders are the ones to bet on for long-term success" (Kouzes & Posner, 2003, 78). The twenty-first century leader must be equipped with the right tools to be effective, empathic, and efficient in all aspects of the workplace. A study by Mujtaba and Kaifi (2009a) illuminated how Afghan leaders have comparatively higher scores on a relationship orientation, which in turn correlates with higher levels of emotional intelligence and better job performance. This finding corroborates a study by Kaifi (2008) which explains that most Afghans are natural transformational leaders partly because they have been influenced by

exemplary leaders like King Amanullah Khan (reigned 1919-1929), who fought for reform, modernization, and a prosperous vision for Afghanistan. The goal of having a clear vision of the future is particularly relevant to the present research because “it is common for transformational leaders to create a vision” (Northouse, 2004, 183) and, with that vision as a foundation, to continuously improve the organization.

While the controversy regarding whether leaders are products of nature or nurture is longstanding and ongoing, it is clear that all people are influenced by their years of socialization in specific cultures. For example, people like Dr. Martin Luther King, Jr. (African American) and Mohandas Gandhi (Indian) were socialized in high-context or collective cultures and focused on the well-being of all people in those cultures. Others, such as Walt Disney and Albert Einstein, were brought up in individualistic or low-context cultures, which may have influenced their perspectives on creativity and new ideas, as well as inventions that have also helped thousands of people around the world. While collective cultures encourage people to proceed cautiously and to take the needs of all people into consideration before acting, individualistic cultures tend to encourage more creativity, experimentation, and risk-taking (Mujtaba, 2007; Cavico and Mujtaba, 2008). Surprisingly, then, Afghanistan is a high-context, collective culture in which individuals have been encouraged to stand up for good causes even when other individuals may accept the status quo passively and resist efforts to change. Afghans have historically been socialized to take calculated risks by initiating a leadership style that demonstrates bravery and heroism for causes that involve the well-being of others in the community.

Since the influence of culture in a person’s early years of growing up tends to be longstanding, the socialization of Afghans might very well extend beyond the borders of Afghanistan and thus influence the lives of expatriate Afghans and their offspring—that is, second-generation Afghans who live abroad. This study is unique in that it focuses on the responses of Afghans who immigrated to the West and have lived there for at least two decades. Several decades of socialization in a Western culture might well influence a person’s behavioral

intentions and tendencies. Consequently, this research seeks to understand if there is a difference in transformational leadership orientation between people who were born in Afghanistan and people who were born abroad as second-generation Afghans.

Transformational Leadership and Reframing Organizations

Leaders come in many shapes, forms, and styles, and transformational leadership is one approach that has been useful over the past few decades in looking at diverse leaders. Northouse (2004, 182) argues that “transformational leadership has been widely researched from many perspectives, including a series of qualitative studies of prominent leaders and CEOs in large, well-known organizations” and that it “has also been the focal point for a large body of leadership research since its introduction in the 1970s.” In most organizations today, there is a high demand for transformational leaders because of rapid organizational changes due to technology, globalization, and competition. For example, radiology departments throughout America have implemented digital technology (digital imaging) that has replaced the analog technology (x-rays). During this organizational change, transformational leaders were tasked with successfully implementing this new technology, which is one example of why “organizations are quick to look for leaders who are great communicators, visionary thinkers, and who can also get things done and follow through” (Rath & Conchie, 2009, 7). It is important for a transformational leader to first understand the organizational culture and gain the trust of subordinates in order to effectively reframe static procedures, implement new strategies, and transform the organization so that it can compete successfully in today’s global economy. Pounder (2008) explains transformational leadership outcomes when reframing an organization:

Commonly, the effect of transformational leadership on subordinates centers on three leadership outcomes: (a) the ability of the leader to generate extra effort on the part of those being led, (b) subordinates’ perception of leader effectiveness, and (c) their satisfaction with the leader. (2)

In order for subordinates to be satisfied, effective, and loyal, transformational leaders must be able to influence subordinates because “transformational leadership involves an exceptional form of influence that moves followers to accomplish more than what is usually expected of them. It is a process that often incorporates charismatic and visionary leadership” (Northouse, 2004, 169). In today’s complex organizations, an effective leader must be able to assess, motivate, and build successful teams. Kearney (2008, 804) explains that “transformational leadership will engender positive effects on team performance only to the extent that the team members regard it as legitimate and appropriate that one person among them, the leader, occupies a privileged position.” This is true because “effective leaders help articulate a vision, set standards for performance, and create focus and direction” (Bolman & Deal, 2003, 340).

Transformational leadership has been associated with many qualities or skills. Efficacy, for example, has been linked to transformational leadership, as Walumbwa and colleagues (2008) explain:

In exploring the mechanisms and conditions under which transformational leadership weaves its effects on performance, our results showed that transformational leadership relates to follower identification with work unit and self-efficacy, which interacts with means efficacy to predict individual performance, thus representing a moderated mediation effect. (815)

Furthermore, transformational leadership requires an ability to “listen to opposing viewpoints within the organization as well as threats to the organization that may arise from outside the organization” (Northouse, 2004, 182). In addition, a transformational leader must be patient, competent, and able to identify corporate objectives. As organizations go through organizational change on a regular basis, transformational leaders must be able to evaluate diverse elements of the organization in order to effectively create an optimal work situation for both employees and administrators..

Bolman and Deal (2003) discuss four different possible frames that can be used by leaders—transformational or otherwise—to assess an organization. All four frames are relevant to transformational leadership and to this research. The four frames are the structural, political, humanistic, and symbolic. Each frame

encompasses different characteristics that shape the way an organization functions. Each frame also has unique qualities pertinent to different settings. The most commonly used frames in organizations are the structural and political frames. The structural frame is the most common because it relates to traditional hierarchical organizations where one person, the leader, exists at the “top.” The structural frame is often used in the military and in the private sector. In general, organizations that fit this frame tend to resist change or challenges to authority. The next most commonly used frame in organizations is the political frame. Organizations that are consistent with the political frame are often highly complex and can be described as a fierce jungle. People compete against one another for scarce resources, and this competition may cause confusion and chaos. These organizations are also characterized by the presence of coalitions, allies and enemies, dilemmas, and ineffective use of time. Government agencies are notorious for being political arenas where the motto “it’s not what you know, but who you know” rings true for many employees. The political frame is apparent in many organizations because of the scarce resources, such as promotions, growth opportunities, and incentives.

The humanistic organization focuses on making the organization fit the employees’ needs, because employees are the organization’s primary assets. A transformational leader who understands and embraces the humanistic frame will be able to motivate employees to strive for excellence, which can result in a boost in morale and productivity. Northouse explains that “this type of leader is attentive to the needs and motives of followers and tries to help followers reach their fullest potential” (2004, 170). If a sound leader understands how to satisfy employees, the organization’s morale will go up and employees will be more productive, effective, and efficient, resulting in increased profits and revenues. If upper management treats employees well, they will tend to treat their customers well, and this will result in higher employee and customer satisfaction. Many organizations in the twenty-first century are trying to become more humanistic.

The symbolic frame is a relatively new way of conceiving organizations. It includes organizational visioning and symbol making. Bolman and Deal (2003)

explain how the retailer Nordstrom's is well known for its outstanding customer service skills. All employees must understand that the customer is always right. For example, a female customer once returned a tire to Nordstrom, a company that does not even carry tires in its stock (Bolman & Deal, 2003, 245). Due to outstanding customer service and the organizational culture of pleasing the customer, the sales counselor accepted the tire and gave the woman her money back. The example is powerful in a symbolic sense: it demonstrates the importance of customer service and how Nordstrom's treats employees and customers with dignity and respect. All employees hear this symbolic "tire" story of outstanding customer service during their orientation and then begin to understand how important customer service is and how it benefits the organization. Such use of symbols frequently helps organizations become more successful and goal-oriented.

A transformational leader will have the power and ability to encourage reframing by allowing employees to voice their opinions and focusing on a labor and management partnership. Employees will finally have a voice and will be able to work in an environment where there is a balance of different frames and not just one dominating frame that can destroy an organization. Kaifi (2009a, 94) explains how using multiple frames to evaluate an organization will help a transformational leader understand complex issues within an organization and will result in continuous improvements.

As mentioned above, if employees are treated well, customers will be treated well, creating a chain reaction. Being able to analyze a problem from different perspectives and, more importantly, from multiple perspectives is the optimal strategy for transformational leaders of the future to become successful. Organizations will be more proactive and less reactive if they learn to use multiple frames.

The essence of reframing is examining the same situation from multiple vantage points. The effective transformational leader understands the importance of changing lenses regularly. Reframing offers the promise of powerful new options, but cannot guarantee a new strategy will be successful. Each frame offers distinctive advantages and each has its blind spots and shortcomings. (Bolman & Deal, 2003, 331)

Organizations often need to be reframed. Moreover, reframing may be particularly important to an understanding of non-Western organizations and leadership therein.

Afghanistan and the Afghans

Afghanistan, a country with a history that is both bitter and sweet, has become a center of world attention. Afghanistan's strategic location has enticed invaders to conquer the country time after time, and yet none has ever been successful in the long term. The past three decades of continuous war have left the country with a frail social, economic, and political infrastructure, one which is in desperate need of assistance.

In the mid twentieth century, Afghans began migrating to Europe and the United States for educational and professional purposes. The first wave of Afghan refugees arrived in the United States shortly after the former Soviet Union invaded Afghanistan in 1979 and initiated a 10-year war that resulted in millions of casualties. As a result, most Afghans have spent at least two decades in America. Afghans have successfully built networks and have opened restaurants and other small businesses. With the emergence of a generation of Afghan children raised and educated in the United States, the Afghan community has become a dynamic force with high standards and goals. Afghans are focused on becoming successful by obtaining advanced degrees and integrating into the Western culture while also keeping their own traditions.

The first-generation Afghans who have grown up in United States have been quite successful in pursuing their educational and entrepreneurial dreams in various industries. Afghan leaders from all professions have started to emerge. "There are currently many Afghan-American medical doctors, engineers, attorneys, professors, police officers, and many who work in either the private or public sectors of the workforce" (Kaifi, 2009b, 10). Many Afghans have also become strong leaders in their professions—e.g., Dr. Mohammad "Mo" Qayoumi, President of California State University, East Bay, and Dr. Abdul Wali, Chief of all physicians at Kaiser Permanente (the nation's largest Healthcare Maintenance

Organization). Many Afghans have become successful entrepreneurs, managers, executives, and educational leaders at various institutions throughout the Western world. As Afghans spend more time in America, more prominent leaders will gradually emerge, frequently, as many believe, because of King Amanullah Khan's influence.

King Amanullah Khan: Afghanistan's Transformational Leader

Walumbwa et al. note that "over the last decade, considerable research effort has been invested into understanding the processes through which transformational leadership positively relates to follower attitudes, behavior, and performance" (2008, 793). Many decades ago, however, there was an influential transformational leader named King Amanullah, the son of King Habibullah and the grandson of King Abdur Rahman. As documented in historical records, "On February 27, 1919, Amanullah was formally crowned" (Ewans, 2002, 87). King Amanullah and his soldiers defeated the British in a month-long war and gained the complete independence of Afghanistan during the third Anglo-Afghan war. Soon thereafter he became a national hero. King Amanullah was a strategic, visionary thinker and a change agent who was able to properly lead the country into a modern society. Scholars argue that "transformational leaders also act as change agents who initiate and implement new directions within organizations" (Northouse, 2004, 183). To be sure, King Amanullah was a change agent who initiated and implemented new directions in Afghanistan.

During King Amanullah's reign, Afghanistan flourished into an independent nation that focused on enhancing human rights, education, and promoting modernization. He understood the inequalities faced by women in Afghanistan and quickly worked toward granting them equal rights. Getting results is one indicator of effective leadership, of course, and "in the organizational world, an example of transformational leadership would be a manager who attempts to change his or her company's corporate values to reflect a more human standard of fairness and justice" (Northouse, 2004, 171). The King's ability to enhance the quality of life in the Afghan society will long be considered commendable and

admirable by the majority of the country's population. "For the first time [in Afghan history], a written constitution was written up, implemented, and promulgated" (Ewans, 2002, 93). The public was both astonished and surprised by the King's bold endeavors to make positive changes.

King Amanullah went on a grand tour with his wife, Queen Soraya, during which tour he visited India, Egypt, France, Germany, Britain, the former Soviet Union, Turkey, and Iran. This notorious tour exposed him to different cultures, lifestyles, and ideologies. Being a charismatic and visionary leader allowed him to accept, adapt to, and enjoy the differences that he and his wife encountered. The tour served several purposes and helped with his plans to modernize Afghanistan. The King treated the entire tour very seriously and worked hard to impress and attract his hosts in the development of Afghanistan and to obtain equipment, finance, and technical assistance.

The King also took steps to "reform the legal structure, creating an independent judiciary, a system of courts, and a secular penal code" (Ewans, 2002, 93). Furthermore, he promoted monogamy and enforced a minimum age for marriage. He also took steps toward a modern economy with tax reforms to help develop the country. His economic reforms included reassessing, reorganizing, and restructuring the current economy and stressed the importance of filtering out the corruption and nepotism that were the status quo after his reign. "Judgments of a leader's ethical posture," as Vecchio et al. note, "may play a particularly strong role in influencing follower satisfaction with the leader" (2008, p.79). In addition, the King was able to provide peace and stability in Afghanistan while forming strategic allies around the world. In 1920, for example, the Afghans and the Soviets signed a Treaty of Friendship which was Afghanistan's first international agreement since gaining full independence in 1919.

One of the first acts upon his return from the world tour was to call a *loya jirga* (grand assembly) in which the King requested the tribal leaders to appear with beards shaved and dressed in black coats with shirts and ties (Ewans, 2002, 95). At this *jirga*, he described his eye-opening tour to the tribal leaders and

stressed his determination to help Afghanistan catch up with more advanced nations. He had a dream, a dream of a modernized, socially reconstructed Afghanistan. "The transformational approach," Northouse argues, "also requires that leaders become social architects" (2004, 183). Soon after, Afghan men throughout Kabul were clean shaven, wore fancy caps, and dressed in Western attire. Women in Kabul were allowed to be unveiled in public for the first time.

King Amanullah understood the importance of education and the positive impact education has on a society. He established a number of schools, including some for girls with the help of Queen Soraya, and started to "send young Afghans abroad for higher studies" (Ewans, 2002, 93). Suddenly, Afghans were immersed in their studies and worked hard to receive scholarships to study abroad. Many Afghans traveled to the West during his time and received advanced degrees, returning thereafter to Afghanistan to help with the development process. To be sure, the King influenced the people of Afghanistan by empowering them to be transformational leaders in their own right.

Research Methodology

Afghan-Americans who participated in this study completed a modified MLQ 5X-Short (Multifactor Leadership Questionnaire) survey that was originally developed by Bass and Avolio (1995) for leadership studies. The survey instrument used for this study had eleven short questions (see Appendix A) designed for the focal population. Many transformational leadership researchers (Pounder, 2008; Kearney, 2008; Ling et al., 2008; and Jansen et al., 2008) have used similar instruments to study the leadership styles of various participants. For example, Pounder used a modified version of the MLQ Form 5X-Short which "involved a sample of instructors and undergraduate students in a Hong Kong university business school (2008, 2). His version of the Multifactor Leadership Questionnaire was modified for a classroom situation in order to better assess the styles of prospective leaders in that situation.

The questions were set up with a Likert scale response format, where a response of 1 meant "Never" and a response of 5 meant "Always." Questions in

the surveys asked respondents the following, for example: “I express with a few simple words what we could and should do,” or “I provide others with new ways of looking at puzzling things.” The respondents used the 1 to 5 response categories to indicate the extent of the words they might use to express their views on what the team can and should do. The higher the overall mean score for the items, the more likely it is that a given respondent has a strong orientation toward a transformational leadership style. Transformational leadership results can be expressed along a range from “Very low” to “Very high,” as presented in Table 1.

Table 1: Transformational Leadership Orientation Range

• 45-50	Very high range
• 40-44	High range
• 35-39	Moderately high range
• 30-34	Moderately low range
• 25-29	Low range
• 10-24	Very low range

The survey instrument was distributed to 1,200 Afghan-Americans using Facebook as a social-networking instrument to get good participation. Of the 306 surveys returned, 6 did not have some questions completed or were eliminated due to the fact that all questions were marked high or low. A total of 300 (which represents a 25 percent response rate) surveys were completed successfully by Afghans who live throughout the United States.

The research questions focused on the extent to which Afghans are transformational leaders based upon their mean survey scores. For this survey, the higher the overall sum of the scores, the more likely that the participant has a transformational leadership style.

The research hypotheses for this study are as follows:

Hypothesis 1: Male and female Afghan-Americans will have similar transformational leadership scores.

Hypothesis 2: Afghan-American respondents who are 26 years of age and older will have higher transformational leadership scores than Afghan-American respondents who are 25 years of age and younger.

Hypothesis 3: Afghan-American respondents who were born in the United States will have similar transformational leadership scores to Afghan-American respondents who were born in Afghanistan.

One background question focused on who is the most influential transformational leader of three possibilities: Martin Luther King Jr., King Amanullah Khan, and Mohandas Gandhi.

Results and Analysis

The responses of 300 Afghan-Americans demonstrate that their mean total transformational leadership score is 41.27 with a standard deviation of 4.26. These responses fall in the high range for a transformational leadership orientation.

The first hypothesis predicted that “Male and female Afghan-Americans will have similar transformational leadership scores.” As presented in Table 2, this study could not support this hypothesis since male scores fall in the high range and are significantly higher than scores of female counterparts.

Table 2: Transformational Leadership Score by Gender
Descriptive Statistics and T-test of Two Means

Gender	Mean	Standard Deviation	Sample Size
Males	44.7933	2.18689	150
Females	37.74	2.56049	150

$t = 25.64; p = 0.000$

The second hypothesis predicted that “Afghan-American respondents who are 26 years of age and older will have higher transformational leadership scores than Afghan-American respondents who are 25 years of age and younger.” As presented in Table 3, this study could not support this hypothesis, since younger respondents’ scores fall in the high range and are significantly higher than the older respondents.

**Table 3: Transformational Leadership Score by Age
Descriptive Statistics and T-test of Two Means**

Age	Mean	Standard Deviation	Sample Size
Younger	42.048	4.15	250
Older	37.36	2.097	50

t = 8.03; p = 0.000

The last hypothesis predicted that “Afghan-American respondents who were born in the United States will have similar transformational leadership scores as Afghan-American respondents who were born in Afghanistan.” As presented in Table 4, this study could not support this hypothesis since the respondents who were born in Afghanistan had a significantly higher score than the respondents who were born in the United States.

**Table 4: Transformational Leadership Score by Place of Birth
Descriptive Statistics and T-test of Two Means**

Place of Birth	Mean	Standard Deviation	Sample Size
Afghanistan	44.1	2.36	90
United States	40.0524	4.316	210

t = 8.37; p = 0.000

This study has demonstrated that Afghan-American respondents scored in the high range for having a transformational leadership orientation. Furthermore, there was a statistically significant difference between the scores of male and female respondents, with males having a higher orientation toward transformational leadership. Younger respondents had a significantly higher orientation toward transformational leadership than their older counterparts. Perhaps younger Afghan-Americans are more open to change for Afghanistan than their older colleagues. Finally, this study showed that those who were born in Afghanistan have a higher transformational leadership orientation than Afghan-American respondents who were born in the United States. Perhaps those who were born in Afghanistan have experienced the kind of teamwork that includes understanding and considering different perspectives, listening to others, and working with others in order to effect the collective and positive change envisioned by influential leaders like King Amanullah Khan, Mohandas Gandhi, and Dr. Martin Luther King, Jr. many decades ago.

On the question "Who is the most influential transformational leader?," a total of 296 of the 300 respondents selected King Amanullah Khan, demonstrating that even American-born Afghans are aware of the contributions and influential leadership of this great and visionary leader.

Implications and Limitations

Afghans seem naturally oriented toward transformational leadership, perhaps due to the fact that they have a higher need for visionary leaders. Or perhaps Afghans ideologically tend to lean toward transformational leadership because they are focused on relationships with their colleagues, peers, and customers.

Afghan respondents from a high-context culture of Afghanistan are more relationship-orientated. Interestingly, their task orientation score is also in the moderately high range. Therefore, managers and supervisors should feel comfortable in knowing that Afghan employees will complete the task at hand in a timely manner while maintaining a healthy relationship with their colleagues, peers, customers, and superiors (Mujtaba & Kaifi, 2009a, 120).

The Afghan culture places considerable emphasis on respecting elders because of their knowledge, wisdom, and experience, which explains why older transformational leaders are usually more successful in influencing the Afghan population. "With an older leader, the team may be more open to a leader's transformational behaviors, because the team members may be more accepting of the leader's special status" (Kearney, 2008, 805). This research has shown that young Afghan respondents are even more inclined to be transformational leaders than their older counterparts. In the twenty-first century, Afghans can actually be highly promising applicants for management positions because of their transformational leadership capabilities such as having a strategic vision, leading by example, and practicing high ethical standards. Vecchio and colleagues (2008) explain how, "[Bernard] Bass and his associates' views on morality relative to transformational and transactional leadership do suggest that transactional leaders would be expected to engage in unethical practices more so than transformational leaders" (79). Thus, it would seem that Afghan-Americans, who score relatively high on transformational leadership, will exercise ethical, collaborative leadership. Interestingly enough, Mujtaba and Kaifi (2009b) completed a research study on Afghans and ethics and concluded that, "Afghans who are 25 years of age and younger appear to disapprove of unethical decisions at the same rate as their older colleagues who are 26 years of age and above" (25). There is a strong connection between transformational leadership and the values and characteristics (ethical, relationship-oriented, and visionary thinkers) of the Afghan people.

There are some limitations to this study. One in particular is the modified MLQ 5X-Short (Multifactor Leadership Questionnaire) survey used for this research. This short survey can be combined with other more comprehensive instruments to enhance and confirm the results. Future studies can duplicate the research with a greater number of Afghan participants, who can be compared to other ethnicities. The fact that this study was conducted with a convenient sample population living in urban areas and with expatriate Afghans living outside of Afghanistan were additional limitations. This point is particularly salient

for Afghan-American respondents, who may have become more “Westernized” as a result of living and working in the West. Future studies might expand the research population to include respondents from Kabul, Kunduz, Logar, Herat, Qandahar, and other provinces within Afghanistan. Finally, future researchers should consider translating the survey instrument into Persian and Pashto languages in order to facilitate the test subjects’ preferred and dominant reading skills.

Conclusion

This study focused on the Afghan-American population to better understand their orientation toward transformational leadership. The results demonstrated that the respondents scored in the high range of transformational leadership orientation. Male and younger respondents along with those who were actually born in Afghanistan had a higher orientation toward transformational leadership than their counterparts. Afghans have transformational leadership orientations that are sought by many organizations today because “subordinates view the style positively in terms of effectiveness, satisfaction, and motivation to expend effort” (Pounder, 2008, 4).

The modern multinational firm can include a diverse workforce, with individuals who exhibit many different leadership styles. As such, “public administrators must be managers of diverse interests” and aware of “the relativity of values and the pluralization of society” (Cooper, 1998, 51). Clearly, Afghan-Americans bring diverse views and perspectives to the workplace and display an orientation toward transformational leadership that can help them function as ethical and respected leaders within their teams, departments, organizations, and communities.

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Appendix A Transformational Leadership Survey

- **Gender:** 1 - Male, 2 - Female.
- **Age:** 1– 18 to 25, 2– 26 and above.
- **Place of birth:** 1- Afghanistan, 2- America, 3- Other.
- Who would you consider the greatest/most influential transformational leader of all time?
 - 1) Martin Luther King Jr.
 - 2) King Amanullah Khan
 - 3) Mohandas Gandhi

The modified MLQ (Multifactor Leadership Questionnaire) Form 5X-Short measures your leadership capabilities based on different factors related to Transformational leadership. To determine whether you are a transformational leader, circle one of the following options that best describe how you see yourself (or the person that is being evaluated) regarding each statement. For each statement, you can indicate the degree to which you (or the person being evaluated) engage (s) in the stated behavior. A rating of 1 means Never and a rating of 5 means Always with the person demonstrating the specific behavior.

Questions	Never.....Always				
1. I express with a few simple words what we could and should do.	1	2	3	4	5
2. I provide appealing images about what we can do.	1	2	3	4	5
3. I help others find meaning in their work.	1	2	3	4	5
4. I enable others to think about old problems in new ways.	1	2	3	4	5
5. I provide others with new ways of looking at puzzling things.	1	2	3	4	5
6. I get others to rethink ideas that they had never questioned before.	1	2	3	4	5
7. I make others feel good to be around me.	1	2	3	4	5
8. I tell others the standards they have to know to carry out their work.	1	2	3	4	5
9. I call attention to what others can get for what they accomplish.	1	2	3	4	5
10. Others have complete faith in me.	1	2	3	4	5
Total Score:					

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Metaphors Used As Imagery to Describe Organization

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The use of metaphors is effective for conveying messages. Metaphors help people convey complex theories or ideas poignantly and colorfully so that the intended message, written or oral, is received. Two of Gareth Morgan's metaphors are discussed in this paper: organizations as machines and organizations as culture. This paper will provide insight into how imagery helps individuals understand organizations and the members of those organizations within metaphorical contexts.

Key words: imagery, metaphor, organization, organizational theory

Metaphors Used As Imagery to Describe Organization

This paper focuses on two of Gareth Morgan's (2006) metaphors identified in his *Images of Organization*. The two metaphors discussed will be organizations as machines and organizations as culture. The paper allows the reader to gain insight into how imagery helps individuals understand complex organizational theory. Morgan suggests that "the use of metaphor implies a way of thinking and a way of seeing that pervade how we understand our world generally" (4). This paper provides some of the basic principles and guidelines as to how metaphors are used in an organizational setting as well as in other organizational contexts. The organizational advantage gained by using Morgan's perspectives will also be identified and discussed in detail.

Defining Metaphor

Morgan explains that his book "is based on a very simple premise: that all theories of organization and management are based on implicit images or metaphors that lead us to see, understand, and manage organizations in distinctive yet partial ways" (4). This is a unique approach within the broad area of organizational theory and philosophy. Keebler (2009) suggests that traditional methods of communication might not be effective in today's organizational environment, since organizations are often characterized by a diverse workforce.

He argues, using Challenger (2006) as a point of departure, that “Challenger drew a correlation to the traditional understanding of the term ‘illiterate.’ Challenger suggested that the ‘future illiterates’ will be those who cannot learn, unlearn, and relearn. This definition provides insight into the expectations of the future workforce” (30). Organizational leaders need to seek alternative methods to convey their messages in order to be effective communicators with their diverse employee base, and the use of metaphors may provide that means. Parry (2008) indicates that “when people consciously build the use of metaphors into their discourse, they are being more effective leaders. People should recognize that metaphors are an important part of the colloquial language that they use all the time” (20). Parry suggests that effective leaders use metaphors as part of their normal communication with their followers.

To understand Morgan’s approach to organizations, we must first define what metaphors are and how they are used in a broad sense. Merriam-Webster defines a metaphor as “a figure of speech in which a word for one idea is used in place of another to suggest a likeness between them (as in ‘the ship plows the sea’)” (1997, 464). This definition may suggest how metaphors can be used in a contemporary setting. In *Images of Organization*, Morgan identifies eight metaphors for organizations. These metaphors are: organizations as machines; organizations as organisms; organizations as brains; organizations as cultures; organizations as political systems; organizations as psychic prisons; organizations as flux and transformation; organizations as instruments of domination. Through the use of these eight metaphors the mind develops a visual image for understanding complex theories and philosophies of organization.

Psychological Research Regarding Metaphors

Why use a metaphor? The answer is quite clear: to help us understand complex ideas and theories. Leetz (1997) believes that there may be neurological considerations in using metaphors. As he argues, “If the left side of the brain processes literal, sequential, and logical aspects of language, then perhaps therapists can apply metaphors to the right side of the brain” (47). This notion

has been explored by Gleitman, Fridlund, and Reisberg (2000). They suggest that “the attempt to describe the components of this more abstract type of thinking is relatively recent, at least in psychology. But other disciplines—including logic and linguistics—have wrestled with this issue for many years, and their progress provides crucial groundwork for psychological research in this domain” (258). This paper suggests that individuals may gain a greater understanding about organizations in particular through the kind of visual imagery provided by metaphors.

Historical Use of Metaphors

Some of the world’s greatest leaders have used metaphors to help convey an understanding of their ideas and messages. Perhaps most notable is Abraham Lincoln and his vivid use of metaphors. In a speech addressing the issue of slavery, Lincoln paraphrased Jesus’ words from Matthew 12:25: “A house divided against itself cannot stand. I believe this government cannot endure, permanently half slave and half free. I do not expect the Union to be dissolved—I do not expect the house to fall—but I do expect it will cease to be divided. It will become all one thing, or the other” (Leetz, 1997, 50). Clearly, this was one of the defining moments during Lincoln’s presidency. “A house divided against itself cannot stand” is a use of metaphor that has endured the test of time, from the Civil War until today.

In scientific research, metaphors are widely used. Lightman goes so far as to claim that “metaphor is critical to science. [It] serves not just as a pedagogical device ... but also as an aid to scientific discovery” (2002, 97). Metaphors are an extremely valuable tool in defining abstract ideas that are extremely complex in nature. Physicists use metaphors to help others gain an understanding of their theories and philosophies. Lightman argues that “we cannot avoid forming mental pictures when we try to grasp the meaning of our equations, and how can we picture what we have not seen?” (2002, 99). The answer is clear: We must start by using a frame of reference that our audience can understand and then develop our ideas or theories from that foundation.

Lightman notes that James Clerk Maxwell, a Scottish physicist working in the latter half of the 1800s, also understood that discussing complex abstract ideas with others had inherent problems. In his paper “On Faraday’s Lines of Force” (1855), he states:

The first process therefore in the effectual study of the science, must be one of simplification and reduction of the results ... to a form in which the mind can grasp them.... We must therefore discover some method of investigation which allows the mind at every step to lay hold of a clear physical conception, without being committed to any theory founded on the physical science from which that conception is borrowed, . . . (Maxwell, quoted in Lightman, 2002, 99)

The use of metaphors provides an effective way of communicating complex theories and ideas to an audience that may or may not have a general understanding of such theories.

Organizations as Machines

In *Images of Organization* Morgan discusses his interpretation of the metaphor of the organization as a machine:

Scientists have produced mechanical interpretations of the natural world, and philosophers and psychologists have articulated mechanical theories of human mind and behavior. Increasingly, we have learned to use machines as a metaphor for ourselves and our society and to mold our world in accordance with mechanical principles. (2006, 12)

This perspective holds true when researchers study how organizations function as machines. As Morgan (2006) notes, employees are expected to arrive and leave at specified times. In addition, most employees have a predetermined set of operations or duties to perform as part of their responsibilities. Furthermore, organizations are divided into different parts, each one having a specific role within the organization. Various departments utilize systems and computers to process organizational data. In fact, the very word *organization* is rooted in mechanical terms. It is, as Morgan says, derived from “Greek *organon*, meaning a tool or instrument” (2006, 15).

Morgan (2006) argues that the image of the organization as machine is the foundation for the bureaucratic organization. As Elkind points out, the

“bureaucratic organization is based on the creation of a fixed division of tasks, hierarchical supervision and detailed rules and regulations” (1998, 1719). Part of the metaphor, Morgan suggests, includes the notion that organizations employ a variety of systems and structures that they deem essential. To be sure, there exists a clear correlation between the two aspects of the metaphor—the machine and the organization. Morgan confirms this point, with a rather negative spin, by arguing that “the compartmentalization created by mechanistic divisions between different hierarchical levels, functions, roles and people tends to create barriers and stumbling blocks” (28-29).

To illustrate the metaphor at work, consider the structure of a typical human resources department. It can be compartmentalized, for example, based on the following functions: Benefits, Compensation, Employment, Labor Relations, HR Policies, Equal Opportunity Programs, Learning and Development Services, Talent Development, Client Relations, Medical, and Security. Within each function there are multiple tasks and processes associated with that function. For example, the employment and recruitment department may have the following responsibilities: recruitment and staffing; internal support to hiring managers and hiring support staff; transition of transferred employees and new hires; recruitment and staffing statistics; coordination of internships and new college graduate initiatives; employment process improvement initiatives; staffing management system access and inquiries. The implications of the metaphor, as expressed by Morgan but also by others, are that it is difficult for an organization to remain agile if it is framed or understood as a machine.

Scientific Method

In the early twentieth century, an American engineer named Frederick Taylor was at the forefront of organizational theory and structuring. Taylor designed and implemented an organizational theory that can be aligned with Morgan’s metaphor of organizations as machines. He used five basic principles. Morgan (2006) identifies those principles as: (1) shift all responsibilities for the organization of work from the worker to the manager; (2) use scientific methods

to determine the most efficient way of doing work; (3) select the best person to perform the job thus designed; (4) train the worker to do the work efficiently; and (5) monitor worker performance to ensure that the appropriate work procedures are followed and that the appropriate results are achieved.

At first glance this approach to organization may not look so terrible. However, the idea and practice of organization-as-machine have not endured well over a sustained period of time. Hickman (1998) argues that “the message is simple: If you are planning on staying in business into the next century, you had better consider teams. Otherwise, you will find yourself swimming upstream against the waves of change fueled by younger workers” (186). Though variations of the system may still be in effect, the failure of the management theory and practice of Taylor cannot be overstated. Morgan even claims that Taylor was fond of telling his workers, “You are not supposed to think. There are other people paid for thinking around here” (2006, 25). By today’s standards of ethical treatment in the workforce, this style of leadership would hardly be tolerated. Needless to say, Taylor has been viewed by most current scholars and practitioners, as well as by workers over many decades, as a villain. Nevertheless, Morgan seems to suggest that Taylor was underappreciated for the role that he played in the annals of organizational theories.

Mechanistic Difficulty Adapting to Change

Morgan claims that “mechanically structured organizations have great difficulty adapting to changing circumstances because they are designed to achieve predetermined goals; they are not designed for innovation” (2006, 28). An organization must train its people to accept change as a way of doing business in the twenty-first century. As such, change must be looked upon as a positive, not as something to fear but something to be embraced. A mechanically structured organization may be slower to react to both its internal and external environments, thereby negatively impacting its business viability.

Mechanistic Approach Discourages Initiative

Morgan (2006) says that “mechanistic organization discourages initiative, encouraging people to obey orders and keep their place rather than to take an interest in, and question, what they are doing” (30). Thus, this way of organizing negatively impacts employee motivation, a key concern for any organization. Organizational leaders should try to understand the mechanisms that enable a workforce to remain motivated and should reflect upon the various theories and processes associated with motivation. In all likelihood, the mechanistic approach can only negatively impact an organization’s workforce.

A mechanistic organization, as articulated by Morgan (2006), seems contrary to the kinds of effective organization suggested by recent studies in the fields of organization development and organizational leadership. Stewart, Manz, and Sims, for example, argue that “organizations are often structured around teams because teams have the potential to help workers become more productive. Efforts can be pooled, and employees with unique strengths can work together more effectively” (1999, 5). Similarly, recent studies demonstrate that employee empowerment and teaming are proving to be effective in promoting organization development and leadership. Bohlander, Snell, Sherman argue that “people have always been central to organizations, but their strategic importance is growing in today’s knowledge-based industries. An organization’s success increasingly depends on the knowledge, skills, and abilities of employees, particularly as they help establish a set of core competencies that distinguish an organization from its competitors” (2001, 639). Organizations need to value their employees as well as their ideas.

Mechanistic Approach Limits Human Capacity

Morgan believes that “the mechanistic approach to organization tends to limit rather than mobilize the development of human capacities, molding human beings to fit the requirements of mechanical organization rather than building the organization around their strengths and potentials” (2006, 30-31). Certo claims that “ethical managers strive for success within the confines of sound

management practices that are characterized by fairness and justice” (2000, 65). This paper suggests that there is an inherent need for people to act in an ethical manner. As such, the leadership of an organization must take into account the needs and expectations of the workforce. Organizational leaders must be given the most current training and tools to address organizational issues and concerns. Front-line managers are a critical component of an organization’s cultural understanding. Developing leaders in cultural diversity would be a prudent step that would enhance the productivity and effectiveness of an organization.

Mechanistic Organizational Setting

The workplace is influenced by personal biases. Atkinson, Smith, and Hilgard suggest that “when a baby is brought into this world, they are said to have a brain that is tabula rasa, a clean slate” (1987, 215). That means that all of their learning comes from their environment. If placed in a negative environment, they are likely to have negative learning experiences. The opposite also holds true: If placed in a positive environment, the odds are they will have positive learning experiences. This paper suggests that the same may hold true within an organizational setting. The workplace is an unnatural setting for us as human beings. Individuals may not have the luxury of avoiding people they dislike. This could add tension to the work environment and negatively impact an organization’s business goals.

Organizations as Cultures

Morgan’s “organization as culture” metaphor is based upon the idea that “organization is itself a cultural phenomenon that varies according to a society’s stage of development” (2006, 116). People have different values and backgrounds; as such, organizations should seek to use these differences for competitive advantage. Organizations should strive to have the employee base work toward a common vision. Schein, one of the leading proponents of looking at organizations as cultures, argues that “some cultural assumptions will be

perceived as helping the organization to achieve its strategic goals or resolving its current issues while others will be perceived as constraints” (1992, 148). Organizations must address any negative culture perceptions of various groups or individuals. To a large extent, organizations can impact cultural assumptions held by their employees through education and training.

Multigenerational Issues in Culture

Morgan points out that “in any organization there may be different and competing value systems that create a mosaic of organizational realities rather than a uniform corporate culture” (2006, 132). Organizations must evaluate and understand their cultural makeup. Barney claims that “more than 50 percent of the American workforce is over the age 40” (2002, 81). Organizational leaders of today not only have to deal with the most competitive marketplace ever, but they also need the skills to deal with multigenerational issues.

Piktialis argues that “age has become another ‘diversity factor,’ age related education is now part of diversity training, and managers are trained in how to better manage a mature and multigenerational workforce” (2007, p. 77). Leaders need to embrace diversity because the statistics show that diversity issues are not going away. Diversity issues also directly impact the culture of organizations. Organizations that embrace generational differences will be able to increase their organizations effectiveness and position themselves well in the global marketplace by retaining their employees and knowledge bases.

Diversity Shaping Culture

Diversity is a growing area of concern for leaders and managers. Focardi-Ferri defined diversity as—but not limited to— “age, ethnicity, gender, physical abilities/qualities, race, sexual orientation, educational background, geographic location, parental status, and religious beliefs” (2006, U91). Organizational leaders and followers are starting to receive training in diversity. Organizations have realized that when team members respect each other’s individual differences the productivity of the group increases.

Barney says that “of the 25 million people who entered the workforce during the 1990s, 85% were women and people of color.” In addition, “the fastest growing religion in America is Islam; Hispanics represent the fastest growing group in America today; and English is not the primary language for 31% of the U.S. population” (2002, 81). As such, organizations need to develop their leaders in these aspects of diversity, and the leaders themselves need to take an active role in fostering and harnessing diversity in order for an organization to excel.

Motivations of individuals within an organization can be quite different, even though those individuals may share the same group culture. Focardi-Ferri suggests that “diverse students are looking for employers who are open-minded about other cultures and receptive to learning about those cultures” (2006, U95). Individuals bring their backgrounds and experiences into the organizational culture. Leaders need to learn how to balance company policy with the group and cultural dynamics within an organization. They also need to address and identify individuals who not only have the required skill sets but will fit into the organizational culture that the business is seeking to promote.

An organization must make its work environment a place that attracts and retains employees. Based on demographic studies, in the current year—2010—the first Baby Boomers will reach the retirement age of 65. Some researchers such as Barney (2002) believe that many of these workers will remain in the workforce if the organizations meet their needs. In order to meet those needs, organizations must provide such things as phased retirements, virtual workplace environments, flexible work schedules, and part-time employee options. These are just a few of the growing needs of the current and future workforce. Deb VanderMolen, a work and life strategist for Steelcase Inc, indicated in an interview with Verespej (2000) that “we have several employees with 20 or more years who have switched to part-time work. It’s good for them to ease into retirement, but it is also good for us to retain their knowledge and skills” (97). Leaders need to act now in order to retain their employees; otherwise their organizations may face a brain drain that could severely impact their viability in the global marketplace.

Morgan believes that “under the influence of the cultural metaphor, leaders and managers come to see themselves as people who ultimately help to create and shape the meanings that are to guide organized action. This involves a major reframing of their roles” (2006, 143). Organizations must answer questions such as: Is the workforce empowered? Are employees accountable for their actions? Is collaboration a part of the environment? Does the organization have a clear mission? Are the organization’s accomplishments measurable? These are the types of questions that an organization needs to answer today in order to gauge its effectiveness at providing the type of work environment that is desirable to their current and future workforce.

Developing an Organization as Culture

Piktialis argues that “several industries, including healthcare, aerospace, power, education, and manufacturing, already face concerns about the immediate loss of experienced and talented older workers, as does the government sector” (2007, 77). Many industry leaders have started to develop business philosophies in critical areas of workforce development. General Electric markets its image as a cohesive team. Employees at every level of the organization—from warehouse workers to the general manager—know the mission and vision of the business and strive to achieve it. The GE annual report (2000) states:

That’s the value of the informal culture of GE - a culture that breeds an endless search for ideas that stand or fall on their merits, rather than on the rank of their originator, a culture that brings every mind into the game (GE Annual Report, 2000, p. 3-4).

Leaders need to value their employees by implementing their ideas and suggestions. Trust building is extremely important, of course, but it is difficult to accomplish and takes much time. After years of being adversaries in almost every aspect of organizational interaction, management and labor are now expected to work together harmoniously. For many organizations this change is difficult. Leaders must seek out individuals who are progressive and willing to work toward a shared vision. Boar says that “successful strategists think holistically and abstractly, accept ambiguity, work well within models, think in

metaphors, are opened minded, unbiased, humble, research oriented, curious, and worried” (1996, 273). This seems to be a high standard to achieve. However, with the ever-changing workplace environment leaders will have to exhibit many of these traits in order to remain successful and competitive. Moreover, organizational leaders will have to provide the necessary tools—including training, tooling, and education—followers will need to perform their jobs.

Morgan says that “a second major strength of the [culture] metaphor is that it shows how organization ultimately rests in shared systems of meaning, hence the actions and interpretive schemes that create and re-create that meaning” (2006, 142). Organizations must provide a shared vision in order to get buy-in from employees, reinforce a commitment to employee development and organizational bonding, build trust, and reinforce followers’ commitment. Ecclesiastes 9:17 may be apt here: “The quiet words of the wise are more to be heeded than the shouts of the ruler of fools” (Quest Study Bible, 2003, 959). Leaders must be wise when trying to build trust.

Effecting Organizational Change

Morgan says that “since organization ultimately resides in the heads of the people involved, effective organizational change always implies cultural change. Changes in technology, rules, systems, procedures, and policies are just not enough” (2006, 145). Leadership in organizations has historically been evaluated by its ability to manage costs rather than by its ability to manage human assets. But a major shift in focus has emerged within organizational perspectives in recent decades. Leadership, we now know, has a significant effect on organizational culture and climate. Burton and Obel argue, for example, that “climate measures trust, conflict, morale, equity of rewards, resistance to change, leader credibility and scapegoating” (2004,135). Each of these areas can be directly or indirectly impacted by leadership. It should be the focus of leadership to positively affect organizational climate in order to develop a harmonious and effective workplace. Mok and Yeung (2002) suggest that leaders must

understand the social processes that affect their staff in order to foster an organizational climate that supports employee empowerment.

Concerning organizational change, Morgan (2006), as noted above, suggests that organization resides in the minds of individuals and that changes in rules and procedures will not be enough to evoke organizational change. Therefore, leaders who put into place rules and procedures may impact organizational climate. Vaananen et al. argue that “unfair managerial procedures and poor organizational climate have been found to result in several negative consequences” (2004, 32) In order to avoid these negative consequences, an organization must achieve a competitive advantage by addressing organizational climate. Organizational focus must include the areas that support a positive organizational climate, such as those noted above by Burton and Obel.

In order to achieve competitive advantage, a corporation must be willing to change from the top down. Bohlander, Snell, and Sherman (2001) claim that “organizational capacity is the capacity of the organization to act and change in pursuit of sustainable competitive advantage” (2001, 127). The leadership team must be willing to provide the resources required to seek out the best talent and retain that talent. The retention of a skilled workforce is a critical link in the success of a company. With that in mind, the human resources function has expanded its role and has become a critical link for an organization to achieve its strategic goals.

Recruiting employees should become one of the most important jobs within the organization, and it must take into account the strategic mission of the company along with the corporate culture the company seeks to establish or develop. Bohlander, Snell and Sherman (2001) believe that “too often organizations try and save money by doing a superficial job of hiring. As a consequence, they run the risk of hiring the wrong people and spending more on training and/or outplacement, severance, and recruitment of replacement” (2001, 682). Organizations need to halt inept hiring processes and focus on the strategic vision of the business.

Competitive Advantage of Culture

Morgan argues that “the challenge of cultural change recognizes the enormity of this task because it involves the creation of shared systems of meaning that are accepted, internalized, and acted on at every level of the organization” (2006, 138). In order for an organization to achieve a competitive advantage, it must have the ability to embrace diversity. A leader’s interaction with followers should be supportive rather than dictatorial. Stewart, Manz, and Sims suggest that “organizations are often structured around teams because teams have the potential to help workers become more productive. Efforts can be pooled, and employees with unique strengths can work together more effectively” (1999, 5). A leader should provide all the necessary tools—e.g., training, tooling, education—that followers will need to perform jobs.

The functions and the interaction of an organization should be managed by teams and not by a leader alone. This will increase the level of personal pride and should provide a proactive and enjoyable work environment. With that in mind, leaders should seek to advance individuals from within the organization when possible because those individuals are already familiar with the corporate culture. Human resources management should seek leaders who are willing to empower staff members rather than dictate to them.

Conclusion

The use of metaphors is effective for conveying messages. Metaphors help people convey complex theories or ideas so that the intended message, written or oral, is received. Psychological patterns of the brain allow metaphors to be processed differently from regular communication. Amundson says that “the principal virtue of the visual medium [and a metaphor often *does* suggest a visual frame of reference] is that it allows the representation of objects in a two- or three-dimensional space, as compared with the one-dimensional sequence of verbal language” (1988, 391). Morgan’s metaphors, as set out in *Images of Organization* (2006), provide insight into how imagery—often visual—helps individuals understand organizations and the members of those organizations

within metaphorical contexts. This paper addressed two of those metaphors: organizations as machines and organizations as culture.

Morgan's metaphor of the organization as a machine provides some imagery to help us understand how organizations act as machines. There are, he suggests, many negative aspects to a mechanistic organization, particularly because "mechanically structured organizations have great difficulty adapting to changing circumstances because they are designed to achieve predetermined goals; they are not designed for innovation" (2006, 28). An organization's ability to respond quickly to changes in the internal and external environments may impact its business viability.

Morgan's metaphor of the organization as a culture draws from his definition: "organization is itself a cultural phenomenon that varies according to a society's stage of development" (2006, 116). Individuals have different values and backgrounds; as such organizations should seek to utilize these differences for competitive advantage. Organizations should strive to ensure that employees work toward a common vision. They should also provide a shared vision that will get buy-in from the employees. In order for an organization to achieve competitive advantage, it must embrace diversity and understand the cultural differences within the organization and the strengths those differences provide.

Morgan argues that "the use of metaphor implies a way of thinking and a way of seeing that pervade how we understand our world generally" (2006, 4). This paper has tried to provide some of the basic principles and guidelines as to how metaphors can be applied to an organizational setting. One of the primary conclusions was that organizational leaders must learn to understand the value of metaphorical thinking for the organizations they lead.

It is worth noting, finally, that specific metaphors may be more predominant or more useful in some national contexts or global regions than in other contexts or regions. Morgan's work (2006) focuses largely on American organizations. Likewise, the work of Schein (1992) and most other researchers who have examined organizational culture tends to focus almost exclusively on American organizations. Exploring the use of metaphors—organizations as machines,

organizations as cultures, and others—in other national and international contexts might be interesting and productive at this point.

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INTERVIEW

Dr. Cecily J. Ball by William Howe, Associate Editor, ILJ

ILJ Associate Editor William Howe (PhD, Stanford) had the opportunity to interview Dr. Cecily Ball at Bethune-Cookman University in Florida in February 2010.

Dr. Ball is the Program Coordinator for Graduate and Professional Studies and Assistant Professor of Leadership Studies in the Master of Science in Transformative Leadership (MSTL) Program at Bethune-Cookman University in Daytona Beach, Florida. Dr. Ball's background is primarily in education with a concentration in Divergent Learning, which explores the marginalization of students in the traditional classroom due to certain personality traits, learning styles, and perceptual tendencies. The area of Divergent Learning also closely examines non-traditional leadership roles inside the classroom as they relate to effective teaching and learning practices. Bethune-Cookman University is an historically Black, United Methodist Church-related university offering baccalaureate and masters degrees. The MSTL Program is a new (2006), unique, multidisciplinary, action research-focused leadership master's degree for working adults that includes an innovative online course of study focusing on values-based leadership for change among diverse workforces and a global economy. Dr. Ball can be reached at ballc@cookman.edu.

WH: What challenges have you faced with leading the MSTL program: budgeting, personnel, building, program, curriculum, anything?

CB: I have challenges, as a leader, with all those areas. Probably the biggest challenge is to find a happy medium where everyone can be happy. It's hard to find a road where everyone can be happy. Also, another challenge is when you have individuals come to you with their own agendas. That happens regularly, and of course I want to ensure that the decisions I make are in the best interest of everyone. Sometimes it's very difficult to make everyone happy at the same time. Morale needed some work when I came in because we were in a time of transition. There were hurt feelings by some people, so it was a challenge trying to get us back together as a team in which all members work on the same page.

WH: And how did you do that—how did you get everyone back on the same page given that they had different agendas and different feelings about the past?

CB: When I came in we just started plowing into the work we had in front of us and trying to make a new go of it. That did not work. What it really took was our coming together in a meeting with the Vice President of Academic Affairs and just letting some people express themselves freely. It was uncomfortable for many of us, but it was also very beneficial. That meeting helped us flush out where some of the hurt feelings were coming from. People's voices were heard, and after that we were able to say "Ok, now we're going to move on afresh from here." That really was very beneficial.

WH: **So you're suggesting that for leadership of such a program you need to focus on communication, allowing people to express themselves and participate actively, empowering them, and listening to them.**

CB: Absolutely, which is entirely consistent with the focus of our program on transformative leadership—letting everyone feel that their voice is important and that what they have to say is important. And of course their voices ARE important.

WH: **So you have to exemplify the very focus of the program in your own leadership.**

CB: Right. Yes, everything that we're teaching in terms of ethics and personality styles and learning styles, perceptions—all of that is very important to my leadership.

WH: **How is this program different from other leadership programs? How is it unique?**

CB: Well it's unique because we're talking about a different type of leadership. Usually, of course, one thinks of leadership in a traditional way—in some kind of top-down format. But that's NOT the way it is with our program. We have a different way of looking at leadership that is not specific to one career path or one discipline. We believe that leadership is pertinent to everybody, because in some way everybody takes on a leadership role no matter what they're doing. In that respect, we're very innovative.

WH: **So everyone can be a leader, and the program is based upon that premise?**

CB: Exactly. And that leads me back to my background in Divergent Learning, the area of my master's degree and a "cousin," we could say, of transformative leadership. My background is really transformative leadership as it happens in the classroom—looking at teachers and students and how a teacher leads or shares leadership in a classroom. My idea, given Divergent Learning, is to move away from traditional systems of teacher-centered, top-down teaching and

implement something much more empowering. When I teach, for example, I often refer to myself as “the learner in charge,” rather than as a teacher, because teacher and students are all involved in the learning together, and the learning process is very democratic. So I use a good deal of Divergent Learning to inform my conception of leadership, my connection with Transformative Leadership, and my own leadership style.

WH: So the school’s pedagogy or way of delivering learning echoes its philosophy of transformative leadership and empowerment.

CB: Yes, certainly. Empowerment is a big piece of our program, and within a specific classroom situation students need to feel empowered and in charge of their own learning experience. That’s huge for us. Much of Divergent Learning is about helping students understand that they are learners-in-charge, and the goal, with that in mind, is to let *them* frame their educational experience. For example, we constantly ask our students to reflect on what their learning is and how they can use it in their work and their lives. We don’t want learning to stop at the classroom door. So yes, our pedagogy does reflect our philosophy.

WH: How does the culture of Bethune-Cookman University as a whole play into the design and make-up of this graduate program in Transformative Leadership? Or, put another way, what was the stimulus for creating this program?

CB: Everything at BCU starts with our mission. We are a Christian institution, and we take that very seriously. Also, Transformative Leadership is a significant part of our President’s philosophy of leading the university, so in that sense the program draws from and reflects her leadership of the university as a whole. She has been interested in Transformative Leadership for many years and has written a book about it [T.K. Reed (2008). *The Caring Community: A Journey into the Spiritual Domain of Transformative Leadership*. International Caring Community Collaboratory: Port Orange, FL]. That’s her style, so obviously she wanted our buy-in on this and wanted us to understand how she leads the institution and how that kind of leadership can play out in a leadership graduate program. Clearly, transformative leadership is a huge piece of her mission and of the university’s mission. It all goes back to empowerment and to the fact that all the faculty and staff in the graduate program must serve the mission of the university, which emphasizes empowerment of all students and also looking at students as whole people. Another part of the university mission, I should note, is to be a caring community, and so we want the graduate program to be a caring community in its own right and to help students foster caring communities in their work and personal lives. Much of transformative leadership emphasizes the involvement of people in the work place or in the community, and we seek to involve our students in the graduate program in all of our activities, including decision making.

WH: Getting back to the challenges you mentioned earlier, you made note of handling different personalities and agendas. So how do you DO that?

CB: Most importantly, I try to be a very good listener. Remember, I'm new to the institution and new to my position here, so listening seemed extremely important to me at the outset and is still so now. I did NOT want anyone to think I was just coming in, taking over, and not taking into account the history of the university. I don't feel comfortable imposing my own agenda upon a program or its people, so I've tried to be a listener and to maintain an open door policy wherein anyone can come in at any time and let me know what's on their mind. I don't want to make decisions that would alienate anyone or make them feel that their voices were not heard or respected. I want everyone to be happy with the decisions we make and everyone to understand those decisions. Obviously everyone is not always going to feel that decisions reflect their personal interests, but I hope everyone will at least understand that decision making here is an inclusive process and that decisions reflect the input of all people. So I try to take all of the relevant information that contributes to a decision, understand the different perspectives, and gather all input before making a decision.

WH: What have you learned about yourself since you've taken on this role?

CB: I've learned that I can never be a top-down leader and that I believe wholeheartedly in Transformative Leadership and its importance and effectiveness. Again, too, understanding the correlation between Divergent Learning and Transformative Leadership has been extremely important to my ongoing growth as a leader and an educator.

WH: What about the possibility that leadership educators—at least in many programs—are supposed to exercise the “new leadership” of empowerment and developing caring communities but may have foibles and shortcomings and may not actually put into practice what they believe? Would that possibility surprise you at all?

CB: No, not at all. It's easy to fall into traditional ideas of leadership and to abandon efforts to provide something different and new. But I must say that this program has truly given me the opportunity to reflect on who I am as a leader, and I am happy with the kind of leader I can be in this program. If you had asked me a year ago if I wanted to be in a position of leadership, I would have said absolutely not, primarily because I thought of myself as being on the ground level, being actively involved, and working in a caring, collaborative, empowered community of learners. I wanted to be *in* a program, not *over* it. But now of course I am in a position where I am, in my administrative capacity, *over* things, so to speak. It's not easy being *over*, at least as some might perceive me, and at the same time trying to exercise and exemplify a new leadership that is *in* the process, supportive, caring, and fully understanding.

WH: So how would you define leadership at this point in your career, particularly given your experience and learning here in this position? Leadership is....

CB: Well, that's a very difficult question because leadership involves so many things. But perhaps above all else I would say that leadership needs to be democratic. Also, you have to keep the big goals constantly in mind and recognize that, though you may not always be able to keep everyone happy, you can help everyone understand and respect the decisions that are made.

WH: How do you balance empowering people, on the one hand, but also managing the day-to-day operations of the program, on the other?

CB: Again, if everyone understands the big goals and feels validated, respected, and supported, then it's easier to accomplish both the big goals and the day-to-day operations. When people feel empowered, they generally want to help and contribute to day-to-day operations and to the big goals. People know when they're valued and respected, and they will almost always do what is in the collective best interest if they know they are valued and respected and included as part of the decision-making process.

WH: What do the students in the program do for careers, or what have they gone on to do?

CB: Well, we have teachers, entrepreneurs, people in business, pastors, and people from almost every sector of society. This program's strength is really that it is relevant to people in any career because wherever you are you will inevitably find yourself in some type of leadership role. At least one of our graduates is now pursuing a doctoral degree in leadership, and we're very proud of him, particularly because he had a learning disability but was able to overcome that challenge and become one of the most dedicated students we have had in the program.

WH: What about the fact that the program is multidisciplinary in nature—it doesn't have a single disciplinary focus or base? Many people today wonder how they will advance in their careers or start a new career, so they're looking for a specific niche in which they can become competent or even an expert. And in this program, of course, they're receiving an education in an area—transformative leadership—that doesn't fit into the usual higher education categories or disciplines. Is that problematic at all?

CB: I wouldn't say problematic, but it has been a challenge in terms of recruitment because people want to know how the degree will affect their ability to move up a ladder in a specific career. People often look for specific certificates or diplomas that will bolster their career focus in a definite field, and transformative leadership is, by contrast, a broad concern that is pertinent to

many or perhaps even *all* fields. But once people understand what this program is about and they see how far reaching it is, then they're generally persuaded as to its relevance and usefulness.

WH: What are the primary values that inform this program?

CB: Empowerment—looking at leadership as a democratic process and involving everyone in that process. Also, ethics is huge for us, as is looking at issues from multiple perspectives.

WH: What qualities do you think a leader needs to lead a leadership program?

CB: I think they need to be responsive listeners and patient colleagues. And in a program like this one in particular, they need to be risk takers who can bracket old conceptions of leadership and be willing to forge new territory.

WH: Do you have any frustrations as a leader in this specific leadership program?

CB: Everything always falls on you as the leader, even though you are seeking to empower everyone. And as the program leader I am the person who must report to the program supervisors—that is, to the Vice President of Academic Affairs and to the President. Also, sometimes you have to go back to the drawing board. Needless to say too, all the day-to-day operational details devolve on me. Those are not frustrations. In fact, I enjoy all of that work. I guess I would say the situation involves challenges, not frustrations—and that's a good thing.

WH: It seems clear that you enjoy the challenges and are making the most of them. Thank you for your time, and best wishes to the program and to you as a leader.

PEDAGOGY

The YOGOWYPI Factor of Leadership: Leading with H.E.A.R.T.

Willis M. Watt

Leadership literature offers various views concerning the necessary competencies, skills, values, and behaviors needed for effective leadership. In this paper I suggest you only get out what you put in (YOGOWYPI) to leadership situations. To that end, the Facilitative Social Change Leadership (FSCL) approach is presented along with a discussion about encouraging leaders to apply H.E.A.R.T. (Bracey, Rosenblum, Sanford, & Trueblood, 1990) when dealing with coworkers. The transformative FSCL approach is a relational, change-oriented approach focusing on leaders and their ability to deal with followers on an interpersonal level. I contend adoption and implementation of this approach results in leadership that empowers leaders and followers to transform their relationships in the face of social change. This transformative foundation of leadership allows individuals to use their understanding leadership in order to influence others and to work with them toward achievement of interpersonal, group, and organizational goals.

Key Words: facilitative leadership, H.E.A.R.T. leadership, leadership theory/practice, social change leadership, YOGOWYPI leadership.

Introduction and Background

While it is certainly true that a scholar or leadership education expert—or for that matter any person—can readily find numerous definitions of the terms *leader* and *leadership*, the literature also offers a variety of viewpoints concerning the necessary competencies, skills, values, and behaviors necessary for effective leadership. For example, Olsen (2009) suggests that a key area of leader development involves an understanding of oneself—one's ability to manage oneself by behaving according to one's values; that is, to be a person of character with a sense of purpose and commitment. Attention to such issues is a foundational element of effective leadership. A leader's sense of self contributes to the ability to understand others and work with them toward the achievement of common goals. Further, it can be claimed that leadership is generally understood to be a dynamic activity that ultimately affects social and organizational change.

Bennis (1989) noted that learning to lead is “learning to manage change” (145). It has been suggested that “leaders create and change cultures” (Schein, 1992, 5). More recently, Crawford, Brungardt, and Maughan (2000) have gone so far as to claim that “conceptually defined, leadership is about creating change” (114).

In the mid-1980s while serving as the director of forensics at an NCAA Division II state university in the central plains, I was initiated into the fraternity of academic leadership in higher education. Over the next several years I worked long and hard to develop a knowledge base for effective leadership.

In the spring of 1988 I was called into the department chair’s office where he asked me to serve as the interim department chair while he was on sabbatical. I took advantage of the opportunity. In 1989 he shared the unfortunate news that he had been diagnosed with lung cancer. For the next three years I performed the role of surrogate department chair under the tutelage of my friend and colleague, Dr. James I. Costigan. I would sit with him as he discussed issues such as the interview process of a potential new faculty member, budget and annual reports, and supervision of curriculum and instruction matters. We would brainstorm about what needed to be done and how best to accomplish our mission. During the years Jim battled cancer, I progressively became more and more responsible for the leadership of the department. I began to take on more administrative duties and responsibilities. It was in this unofficial leadership role that I learned much about academic leadership.

So you ask, what did I learn about being a leader and what leadership is? Initially I learned that I did not know much about what it means to lead “in place” (Wergin, 2007). However, I did learn that effective leaders take the time to develop relationships. I learned that, as Keith (2001) claims, people really need our help even when they may resent receiving it, and since Keith challenges leaders, I decided to help anyway. And, I learned the meaning of the YOGOWYPI Factor.

To this day I do not know if Jim coined the Factor or read it somewhere or heard it said, yet during Jim’s final three years battling cancer I would sit in my office next to the classroom where he taught communication theory and life

principles to his students listening to his vast knowledge and wisdom. On various occasions he would talk about YOGOWYPI. At the time I did not comprehend or appreciate the concept of YOGOWYPI. (After all, YOGOWYPI was the name of Jim's dog.) Since that time, however, I have learned that it is an important leadership factor.

Having learned that and internalized it, I too became excited about it and wanted to share it with everyone I met. I found that YOGOWYPI stands for "You Only Get Out What You Put In." YOGOWYPI has become a part of what I try to apply daily in all aspects of my life and teach to my students.

I am not the only proponent of this concept. There are several individuals who give speeches, conduct seminars, and do training workshops based on the YOGOWYPI Factor. Drs. Lance Lippert and Mark Nuss as well as the highly sought-after motivational speaker Mr. Bill Cordes are among those who present the Factor and espouse its validity and importance in life generally and also specifically as it relates to effective leadership.

Although I had three years of mentoring by Jim, I admit that when I was appointed as a department chair, I did not feel I had the knowledge to be an effective leader. I began to read. *The Academic Chairperson's Handbook* (1990) by John W. Creswell, Daniel W. Wheeler, Alan T. Segren, Nancy J. Egly, and Kirk D. Beyer; *How Academic Leadership Works* (1992) by Robert Birnbaum; *Leadership Skills for Department Chairs* by Walter H. Gmelch and Val D. Miskin (1993); and, *Zapp! The Lightning of Empowerment* (1998) by William C. Byham are among the books I read in my effort to understand what leadership is and what it means to be a leader. Perhaps the most influential book I read was *Managing from the Heart* (1990) by Hyler Bracey, Jack Rosenblum, Aubrey Sanford, and Roy Trueblood. It was from my commitment to the YOGOWYPI Factor and the application of the H.E.A.R.T. (Bracey, et al, 1990) principles that I developed the FSCL approach to leadership.

Purpose

It seems to me that we have entered an era when our understanding of leadership effectiveness requires a fundamental shift in the way leadership is understood and practiced. Contemporary environments demand that leaders and followers work together. The Facilitative Social Change Leadership (FSCL) approach focuses on effective leadership that is relational, change-directed, and transformative. FSCL focuses on the individual as a leader and the leader's ability to deal with followers on an interpersonal level. In this article a discussion of the FSCL model is presented along with a look at the YOGOWYPI (You Only Get Out What You Put In) Factor and the principles of leading with H.E.A.R.T. (Bracey et al., 1990). By adopting and implementing this approach, I believe leaders will be more effective in empowering themselves and their followers to be transformative agents as they face ongoing social changes and the resultant social conflict in their interpersonal relationships, groups, and organizations.

Review of Leadership Theory Literature

Crawford, Brungardt, and Maughan (2000) note that historically it was thought that various personal traits enhanced a person's ability to lead. What Bass (1990) calls the Great Man Theory serves as an example of this type of thinking. Others like Ralph Stodgill believed that leaders were born with certain genes that gave them the leadership traits necessary to lead. Ultimately this approach expanded to include a set of skills or learned behaviors—e.g., physical characteristics, social background, intelligence, ability, personality, task related abilities, and social characteristics—that combine to make effective leaders.

Today's literature contains several contemporary approaches to leadership for the student of this discipline. One such approach to effective leadership is reflected in the Contemporary Traits Theory. Stephen R. Covey's 7-Habits of Highly Effective People (1991) presents a set of seven leadership habits (traits) which allow a person to be an effective leader. These habits are: (a) be proactive, (b) begin with the end in mind, (c) put first things first, (d) think win/win,

(e) seek first to understand, then to be understood, (f) synergize, and (g) sharpen the saw.

Another contemporary view set forth by Goleman, Boyatzis, and McKee (2004) indicates that effective leaders attempt to inspire others, arouse passion and enthusiasm, motivate, and create commitment. A leader's Emotional Intelligence Quotient (EQ) involves (a) self awareness, (b) self-regulation, (c) motivation, (d) empathy, and (e) social skills.

A popular view concerning leadership is the transactional leader approach. DuBrin (1995) indicates that transactional leaders complete transactions with coworkers by focusing on administrative work and giving rewards for good performance. Kouzes and Posner (1995) refer to this leader as simply a "manager" with a tendency to focus on the basic human needs identified in Maslow's hierarchy – physical, safety, and belonging needs. Hackman and Johnson (2009) suggest this type of leader is generally "passive" and establishes reward criteria while attempting to maintain the status quo.

Goldhaber (1993) notes Kurt Lewin, Ronald Lippitt, and Ralph White have researched leadership styles. They offer a continuum based on three styles of leadership: autocratic, democratic, and laissez-faire leadership. Goldhaber also discusses Rensis Likert's development of the Systems of Interpersonal Relations based on the nature of the relationships between leaders and followers: System 1, exploitative autocrats; System 2, benevolent autocrats; System 3, consultative, but deal with followers with high levels of control; System 4, democratic/team oriented. Goldhaber includes an overview of Douglas McGregor's Theory X and Theory Y. McGregor's approach is based on human motivation. He says Theory X leaders view workers as lazy, stupid, apathetic, and irresponsible, but that Theory Y leaders view workers as being self-directed and willing to work hard. Finally, Goldhaber shares the work of Robert Blake and Jane Mouton. They developed a model called the Managerial Grid. The grid has two dimensions – task (work) and concern (people). They indicated that leaders fall into one of five types: 1,9—country club leader, 1,1—impoverished leader, 5,5—leader seeks balance between task and concern issues, but will lean toward

task at times, 9/9—team management, and 9,1—leader stresses follower adherence to leader authority and expects obedience.

In 1970 Robert Greenleaf coined the phrase “servant-leader.” Servant-leadership suggests leaders ought to place a higher value on the needs of their followers than on their own needs. Joseph C. Rost claimed that in a post-industrial world successful leadership is based on the quality of the relationship between leaders and followers. He indicates leaders and followers must work together to bring about change. Margaret Wheatley, Peter Block, Max DePree, and James Autry are but a few of the leadership experts who support this approach. (Crawford, et al., 2000)

James MacGregor Burns (1978), in his book *Leadership*, coined the concept of transformational leadership. He says that leadership of a person can only be effectively exercised when people with certain motives and purposes mobilize during conflict in opposition with others so as to arouse, engage, and satisfy the motives of the leader’s followers. This is done in an effort to achieve mutually held goals. The transformational approach supports the idea that leaders must effect a change of the organization through what they contribute to it and to their followers.

Bass “provided a more expanded and refined version of transformational leadership” (cited in Northouse, 2007, 179). He grounded his thinking on the 1970s work of Burns and R. J. House. Bass suggests a continuum that goes from transformational to transactional to laissez-faire leadership.

Christopher B. Crawford, Curtis Brungardt, and Micol Maughan (2000) have identified key aspects of an effective transformational leader which include such dimensions as: (a) ethical, (b) charismatic, (c) inspirational, and (d) personal nature of the leader. They note that transformational leaders have the ability to grow the needs of their followers. These leaders seek to meet Maslow’s upper level needs: self-esteem and self-actualization. Despite Keith’s (2001) pessimistic warning that if we do good others are likely to accuse us of having secret and even selfish motives, transformational theory suggests leader morality is crucial to moving people to higher levels on Maslow’s hierarchy. That is,

leader's values are central to transcending the traditional leadership which is usually based on expertness, reputation, and elite control. A key point about transformational leadership is that it is a collective action for collective relief on the part of the leader and followers.

Bass (cited in Boyd, 2009) notes that the Transformational Leadership approach encapsulates a variety of key leadership principles: (a) individualized consideration by giving personal attention to subordinates, (b) intellectual stimulation that values the individual's intellect, encourages the imagination, and challenges the traditional ways of doing things, (c) inspirational motivation that involves envisioning an attractive attainable future aligned to individual and organizational needs, and (d) idealized influence that exhibits persistent pursuit of objectives, confidence in the leader's vision, strong sense of purpose, and relational trust.

Boyd (2009) suggests that transformational leaders help their followers reach their fullest potential. In the process they transform their little corner of society. He posits that a transactional leader exchanges rewards or recognition for performance, thereby resulting in the expected outcome. Often transformational leadership results in outcomes that exceed the expectations of both leader and follower. According to Boyd, transformational leadership facilitates understanding of oneself as a leader. The application of this approach suggests that an effective leader uses idealized influence to provide followers with a clear and compelling vision by being a strong role model that followers can trust. Transformative leaders create a shared vision and use inspirational motivation to set high expectations which build commitment to the group or organization. Such leaders are more likely to be able to motivate followers to surpass their own self-interest for the betterment of the group or organization. These transformative leaders stimulate and inspire their followers by challenging their personal assumptions. The followers, therefore, gain encouragement to look for and find innovative ways to solve group and organizational problems. Transformative leaders consider the individuals' needs because they realize that in order to create a

supportive environment they must listen to their followers and help them self-actualize.

The transformational leadership approach embodies individualized consideration that gives personal attention to subordinates. Also, it involves intellectual stimulation that values the intellect, encourages the imagination, and challenges old ways of doing things. Further, it includes inspirational motivation that involves envisioning an attractive attainable future that is aligned to individual and organizational needs as well as idealized influence that exhibits persistent pursuit of objectives, confidence in the leader's vision, strong sense of purpose, and relational trust. (Bass, cited in Boyd, 2009)

The Social Change Leadership Theory (SCLT) referred to in this paper began in the spring of 1993 at Fort Hays State University when a number of faculty members and staff developed a leadership education program. This approach focuses on the what, how, and why of leadership. It is about creating change – personal, organizational, and societal. It promotes the development of social change agents who address and solve community problems (Crawford, et al., 2000).

According to Crawford, et al. (2000), the theory has three foundational principles: creating change, collaboration, and civic leadership. SCLT is based on the belief that leadership is not what leaders do; instead, it is what followers and leaders do collaboratively for the common good. Creating change means that leadership should deal effectively with the differences between what is and what ought to be for all parties, resulting in organizational and cultural transformation. Leader-followers jointly serve as change agents seeking to bring about improvements or correct deficiencies. Collaboration is a centerpiece of successful leadership because it brings the parties together for collective action. Cooperation and the sharing of power are present in SCLT situations. Through this collaboration the various parties involved are empowered and positive social change is more likely to occur. Civic leadership involves a shift from goal attainment for individual, group, or organizational good to promoting the common good of society. Involved parties are focused on something bigger than

themselves. Such change agents participate in leadership to promote social concerns by involving individuals, groups, and organizations. Crawford et al. (2005) explicate the what, how, and why of SCLT leadership that seeks to create social change. It looks at a variety of issues in order to develop social change agents who are capable of effectively handling community problems.

Change

Twenty-first century leaders must survive in a rapidly changing environment. To be successful a leader needs to understand and effectively manage internal and external changes at the interpersonal, group, and organizational levels. It is essential for leaders to understand the phenomenon we call leadership. They need to employ effective ways of dealing with the chaos that surrounds the constant change in our world today. Leaders need to be able to effectively lead through ongoing changes in order to move forward, to achieve, to make progress, to accomplish the goals set for their groups and their organizations.

Crawford, et al. (2005) confirm that “real change is hard work” (161). They claim that transformational change does not happen until significant barriers and challenges are met. Further, they posit that sometimes the largest obstacle in bringing about change is the process itself because organizations have a tendency to protect themselves by providing organizational stability. Therefore, parties attempting to bring about change must “inject chaos into a controlled environment” (161), which brings with it the consequent conflict among and between interpersonal relationships, groups, and organizations.

Schein (1992) indicates that all human systems seek equilibrium. In his discussion of organizational and cultural change, he points out that effective leaders try to maximize their autonomy within their environment because coping, growth, and survival involve continuing the viability of the entity in the face of a changing society. He further states that “the function of cognitive structures such as concepts, beliefs, attitudes, values, and assumptions is to organize the mass of environmental stimuli, to make sense of them, and to provide, thereby, a sense of predictability and meaning to the individual” (298). It is important to note

that shared assumptions developed over time in groups and organizations provide stability and meaning because social cultures evolve over time. This evolution is one of the ways a group or organization maintains “its integrity and autonomy, differentiates itself from the environment and other groups” (p. 298).

Cameron and Quinn (cited in Falls, Jara, & Sever, 2009) offer a six step process for addressing the competing values frameworks within organizations. The process is intended to assist leaders in addressing organizational change. According to Cameron and Quinn, a leader must (a) facilitate consensus on what the current culture is, (b) facilitate consensus on the desired future culture, (c) determine what the changes will and will not mean individually and organizationally, (d) facilitate identification of illustrative stories or organizational narratives about the culture and changes within the culture from key stakeholders in the organization, in order to gain a comprehensive understanding of the organizational self-identities at stake, (e) develop a strategic action plan that takes this information into account, and (f) form a plan.

A diversity of viewpoints allows for new approaches to meet needs as shifts occur in the organization’s environment. Leaders need to accept the idea that their duties and activities are intended to serve the community as a whole inasmuch as they strive to create a shared vision and common purpose. Commitment by everyone is necessary. When leaders are committed to a facilitative approach to social change, then they are more likely to empower their followers. Empowered individuals, groups, and organizations are much more likely to accept the need to deal with change and commit to a selected path to accomplish that change. Complex organizational issues need to be addressed in a collaborative manner. The leader and followers must work together toward the achievement of the vision and goals of the organization. Often the transformative leader needs to develop a coalition of social change agents to successfully transform an organization. Thus, the effective leader works to form liaisons that empower individuals, groups, and organizations. In the face of constant change, transformative leaders must be willing to confront existing power structures with empowered followers to pull off the desired change.

Conflict

In light of conflicts that arise as a result of the changes facing leaders, the leaders need to learn to effectively manage conflict. The reality is that interpersonal conflict is normal, inevitable, and constant, and thus it is a problem facing leaders who generally lack an understanding or possess the skills requisite to effectively manage interpersonal, group, and organizational conflict.

According to Wilmot and Hocker (2001), interpersonal conflict is a struggle that has been expressed between at least two parties who are interdependently linked with perceived incompatible goals, scarce resources, and interference from other parties in accomplishing their goals. When the conflicting parties face interference or simply perceive it from one another they too often believe their goals are incompatible. The result is conflict. Conflict occurs because the parties' success is interdependently linked. Often a group member or someone in the organization suspects there are resources or rewards such as a choice assignment, promotion, or pay raise that is scarce or in a limited supply. While one or more of these prior conditions exist in a conflict, there is one more factor that must occur for a conflict to exist—there must be an expressed struggle between the conflicting parties.

Effective conflict management is based on an awareness of how we talk about it. Our talk influences the way we seek to manage conflicts when they occur within a group, department, or organization. Some common metaphors found in our talk reveal our view of conflict. Such metaphors include: (a) war, (b) explosion, (c) trial, (d) struggle, (e) act of nature, (f) animal behavior, (g) mess, (h) balancing act, (i) bargaining table, (j) brainstorming, (k) game, (l) tide, (m) dance, and (n) garden (Wilmot & Hocker, 2001).

Facilitative Social Change Leadership Theory (FSCL)

It should be noted that leadership education is more prominent in the United States today than in the past. Various colleges and universities have established a diverse variety of leadership programs. These programs seek to prepare students for leadership. Through such programs students learn about leadership

development and reach higher levels of developmental maturity in the areas of leadership skills, knowledge, and competence (Haber & Komives, 2009).

As part of the learning and training students of leadership receive, we need to teach them what effective leadership is and how to lead during times of change and while faced with a variety of conflict situations. Therefore, this paper seeks to inform the reader concerning the FSCL approach because “the first step is not action; the first step is understanding” (Gardner, 1990, *xiv*). As presented herein, FSCL is another way of defining and understanding the concepts of leader and leadership.

In 1996 Alexander Astin and Helen Astin of the UCLA Higher Education Research Institute stressed their belief that it is possible for all individuals to be leaders and to make a difference in society (Crawford, et al., 2000). FSCL supports this idea in that leaders who apply this approach are individuals who step up to the challenge of leading “in the right time and in the right place” (Shapiro, cited by Watt in Wergin, 2007). FSCL leaders are committed to meeting the needs of followers ahead of their own wants and needs in order to achieve social change at the interpersonal, group, and organizational levels in society.

As an eclectic leadership approach, FSCL borrows from and melds principles of Transformational Leadership Theory, Social Change Leadership Theory, and Social Change Theory as well as elements of the work of Tichy and DeVanna (cited in Northouse, 2004). FSCL is a leadership approach that suggests leaders can be more effective when they empower followers in a collaborative, ongoing process to deal with challenges that come from the conflicts arising from efforts to adapt to meet interpersonal, group, and organizational changes or shifts in internal and external cultures or environments of organizations and society.

A basic premise of this paper is that through the application of FSCL leadership principles, leaders can effectively cope with conflicts that develop as a result of social change and initiate interpersonal, group, and organizational change. A foundational question to be addressed in this process is, “How does the leader empower people to meet head-on and effectively deal with social

change?" In part, the answer to that question is covered by asking a second one, "What is best for my followers?"

FSCL leaders recognize the importance of listening to others, to both internal and external constituencies. Such leaders are attentive and attempt to clarify the will of the followers they serve. These leaders are empathic. They employ empathy as they seek to understand and recognize the needs of others. FSCL leaders recognize that on occasion they will need to provide healing for the emotional hurts experienced by individuals, groups, or organizations during periods of conflict. A practitioner of facilitative leadership is committed to being aware of others' needs and at the same time is sensitive to the ethical issues involved in social change situations. These leaders seek to motivate others, but they are careful to use persuasion based on mutually satisfying factors, not on their designated authority as leader. They further recognize the importance of conceptualization as a critical tool in setting a vision for social change. FSCL leaders have foresight. They look for those mutually satisfying outcomes that result in effective long-range planning through collaboration with their followers. Another dimension of the FSCL leader is the commitment to the principle of stewardship. Such leaders also recognize that the position of leadership is held at the will of their followers. A trust relationship must exist between these leaders and their followers. They understand the need to be committed to the growth of individuals. They see nurturing and training as vital elements of effective leadership. The FSCL leader is transformative because the individual attempts to build a strong sense of community resulting in a sense of belonging among all parties.

As stated above, FSCL leadership theory has been influenced by the work of Tichy and DeVanna (cited in Northouse, 2004). They offer a three-step process for dealing with social change. They indicate leaders must recognize "the need for change" (181). Unfortunately, too often too many people are too comfortable with the status quo way of doing things. They are not motivated to seek change and may actually resist it. Tichy and DeVanna encourage leaders to allow for "dissent" and let people "disagree" (182). In addition, they indicate the need to

create “a vision” (182) or “conceptual road map” (182). Finally, they point out the importance of leaders’ willingness to deal effectively with “institutionalizing changes” (182). They contend leaders must stress breaking down old structures in the process of putting in place new structures intended to improve conditions and take the organization in a new direction within a community.

The FSCL model (see Figure 1, next page) reflects that in Phase 1 leaders must take a stand based on their visions and established goals. They must follow the paths laid out before them. They must take action by seeking and implementing innovative changes in their interpersonal relationships, groups, and organizations. This must be done in spite of the various obstacles leaders face.

Initially FSCL leadership is based on leaders’ willingness to lead. Without individuals who are motivated to take action to produce social change, very little productive change can be achieved. Therefore, activity will continue to roll along unhindered, much to the pleasure and happiness of some within the organization. FSCL theory acknowledges the importance of the awareness that a change is needed in a particular circumstance. This means effective transformative leadership must initiate the needed change. Such needs for change result from either a perceived or actual problem. It may be an interpersonal, group, organizational, or broad societal issue. It could even be a perceived or a real weakness of a particular leader. Once aware of a need for innovative change, the transformative leader assumes responsibility to deal effectively with the situation. FSCL leaders know they must exercise responsibility to ensure appropriate action is taken to bring about the desired change.

During Phase 2 FSCL leaders are involved in gaining a clear understanding of the situation. They provide the necessary description of the problem, issue, or situation. In collaboration with their followers, they determine alternative ways of doing things. Once an alternative approach is selected, they seek assistance from coworkers. This process is enhanced by the development of coalitions. Coalition building supports the FSCL leader’s chance for success.

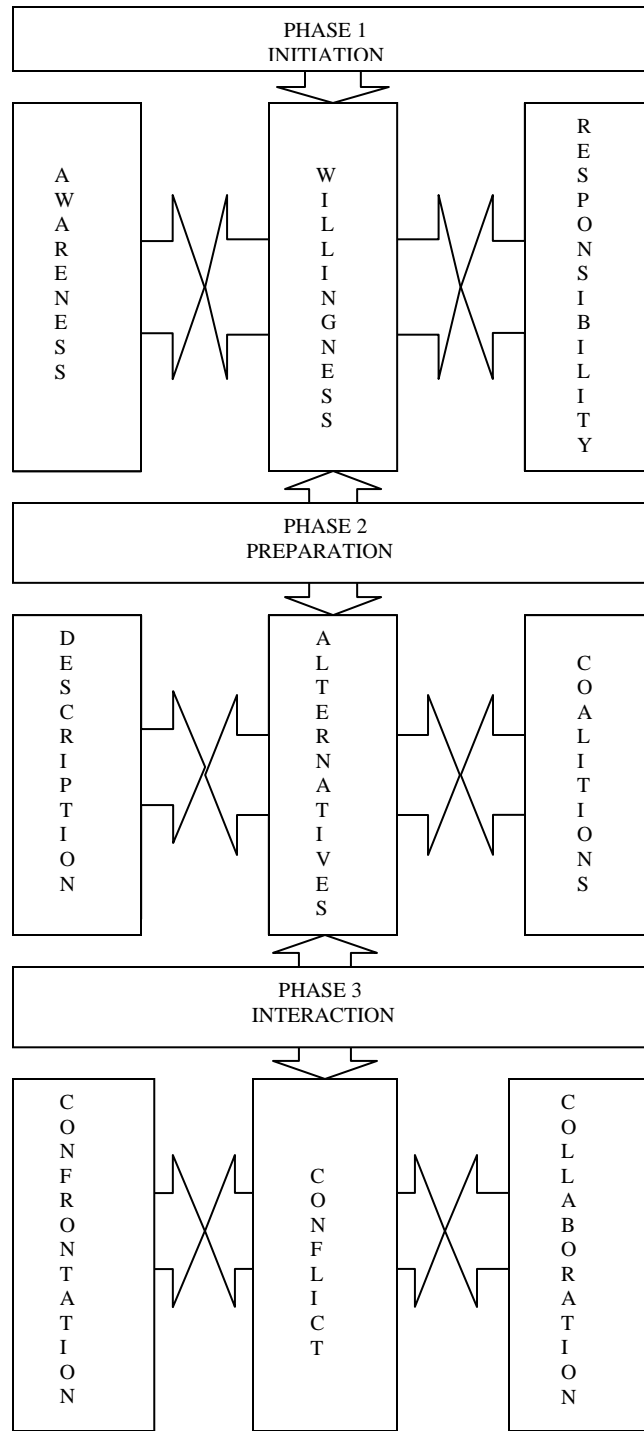


Figure 1: Three-phase facilitative social change process model

Phase 3 begins when transformative FSCL leaders confront the status quo. This confrontation obviously involves conflict—it could be personal at times because those who oppose the change as well as the higher powers that control the organization may not be supportive—within the group or organization. It was mentioned above that social change inherently brings with it conflict. Although social conflict is not necessarily comfortable, without conflict change is unlikely to occur so that the FSCL leader's vision and goals will be adopted. After a period of reach-testing during which the parties argue, reach-test, and support their own positions, group process theory suggests a period wherein conflicting parties tend to collaborate because there is a need to reach agreement in order to move forward for the betterment of the relationship, group, or organization. FSCL leaders know that when seeking institutionalization of a change it is necessary to modify current practices in favor of the new innovation. By working together, progress can be achieved and the desired change made. It is imperative for FSCL leaders to follow up the implementation of any change with periodic evaluation to ensure goal achievement.

Leaders in the twenty-first century are the avant-garde of massive social change. They recognize that too often traditional approaches for handling social change do not work. In fact, too often these approaches fail. It is the task of FSCL leaders to work with those who are not satisfied with the current state of affairs in their group or organization. Those transformative leaders who understand the FSCL approach recognize its applicability to effective leadership and are more likely to use a collaborative approach that includes the followers' involvement and participation in decision making. They are more inclined to promote positive, interactive relationships while following procedures, rules, and policies. A facilitative leader is able to promote among all the relevant parties thinking and activity that may be outside the box but which results in positive innovations. FSCL leaders recognize the value of learning from trial and error. They take risks in order to promote positive social changes at the interpersonal, group, and organizational levels.

FSCL leaders share many common beliefs. For one, they are often frustrated by the status quo. They are convinced the group, organization, or even the community at large can be improved through change.

In addition, FSCL practitioners are convinced they must be involved, and that they must involve others, in creating or responding to social change at the interpersonal, group, organizational, and societal levels. The importance of gaining the support of significant individuals and groups to promote social change is not lost on the FSCL leader. These transformative leaders realize that by empowering others they will create a corps of people who are willing and able to help in dealing with change. In other words, FSCL leaders promote a social movement that provides a depth of invaluable experience and knowledge. Facilitative-minded leaders recognize the importance of taking advantage of individuals, groups, and organizations outside of the leaders' group or organization because such entities often bring with them needed credibility. This added credibility helps bring about the desired change. Individuals and outside groups or organizations are likely to bring important information, data, experience, knowledge, potential resources, influence, and power to the efforts of FSCL leaders as they seek to influence social change.

As previously indicated, an FSCL leader accepts and understands that conflict is a normal part of human interaction. This type of leader recognizes that as a result of social change pressures, conflict actually should be considered an asset, not a negative factor. Differences of opinion or vision will emerge during the change process. FSCL transformative leaders know that sometimes there will be personal tensions among participants; thus, they seek to handle such controversy in a civil manner.

Keith (2001) in his paradoxical commandments warns leaders that honest and frank sharing of information makes a leader vulnerable. Yet FSCL-oriented leaders provide quality information and data to followers in order to empower them so they can be a constructive partner in dealing with change. This approach to information sharing often results in a shared vision and therefore corresponding strategies for addressing change are more likely to be successful.

When practiced, the FSCL approach enhances a sense of ownership among followers because they have been empowered by their leader. Because FSCL leaders realize the value of the potential gained from empowering others and understanding that, when dealing with change they are going to have to deal with people or factions that resist or even oppose the recommended change, collaborative practices are still inherently desirable. Empowerment is likely to motivate disenfranchised individuals, groups, or organizations to work toward the established goal or vision. To that end, Covey (2004) urges leaders to “find your voice and inspire others to find theirs” (26). Therefore, goals and visions can be more readily achieved with individuals, groups, or organizations working together with a unified focus.

When those who are working together on a project are committed to each other and the project, there is often a synergistic effect that is created and has the potential to produce extraordinary outcomes (Covey, 1991). Collaboration resulting from empowering others through the application of the FSCL approach can produce a shared desire to institutionalize the goal or vision. Adoption of a collaborative approach establishes an inclusive rather than exclusive dispersal of information, which affects the way social change is handled. Followers who experience success in achieving their goals through a synergistic collaborative process are more likely to adopt such a problem-solving process over the long haul. In essence, effective problem-solving processes ensure the ongoing survival of relationships, groups, and organizations.

YOGOWYPI Factor: Leading with H.E.A.R.T.

Maxwell (1993) clearly notes that “leadership is not an exclusive club for those who were ‘born with it.’ The traits that are the raw materials of leadership can be acquired. Link them up with desire and nothing can keep you from becoming a leader” (Introduction). Therefore, allow me to suggest five interpersonal characteristics I have found to be positively linked to effective leadership. The application of these characteristics, undergirded with the YOGOWYPI Factor, will allow for a transformative environment that involves the leader and followers in a

joint effort to accomplish change which may lead to personal, group, and organizational successes.

The H.E.A.R.T. (Bracey, et al., 1990) principles are an interpersonal approach for effective human interaction. Their management approach can lead to effective FSCL leadership. It consists of five interpersonal communication behaviors: H—hear and understand me, E—even if you disagree, please do not make me feel wrong, A—acknowledge the greatness/goodness within me, R—remember to look for my loving/good intentions, and T—tell me the truth, but with compassion. The H.E.A.R.T. principles promote a win/win synergistic collaboration that allows leaders and followers to successfully manage conflicts at the interpersonal, group, and organizational levels.

H.E.A.R.T. (Bracey, et al., 1990) is an excellent approach for dealing effectively with the interpersonal dynamics which are inherent in conflicts resulting from social change efforts. Over the years I have learned that three options are available when dealing with conflict. A person can: (a) try to change the other person, (b) try to alter the conflict conditions, or (c) try to modify one's personal attitudes and behavior. FSCL leaders know that option (c) is the only option totally within their control. Thus, it is more likely to bring about a desirable resolution in a conflict situation. And, this desirable resolution is more readily achieved when the leader is practicing the H.E.A.R.T. principles of human interaction.

The fact is that FSCL leaders are essentially good followers. They understand that they are not alone on an island, but instead must work with others to meet personal, group, and organizational goals. These transformative leaders recognize the need to be flexible enough to know when it is time to try a new procedure or implement a new policy or continue with the status quo. Too many people find taking a risk to be frightening; however, FSCL leaders undertake risks because doing so can be invaluable to goal and vision achievement, thereby benefiting the individual, group, and organization.

FSCL leaders are committed to the interpersonal relationships they have with their followers in their groups and organizations. This type of leader develops and

shares goals and vision or is willing to accept and internalize the group's or organization's vision and mission. An effective FSCL leader is a person who commits personal qualities, technical skills, and the ability to conceptualize situations toward ensuring personal, group, or organizational goal and vision achievement.

Covey (1989) points to the need to be proactive; leaders must be consistently looking forward to be successful. FSCL leaders are ready and able to deal proactively with any situation that arises from the natural, inevitable, and constant conflict resulting from human interaction. FSCL leaders expect it and they are able to manage it in a productive manner. They know that to some degree conflicts occur because people are not able to differentiate between task related conflict issues and their personal investment in a given situation. Effective FSCL leaders provide accurate information to their followers, group, or organization. They realize that such things as job performance and progress toward goal achievement are vital pieces of information that need to be shared with coworkers.

Communication plays a vital role in the achievement of interpersonal, group, and organizational goals. Effective communication requires leaders with not only effective speaking skills, but the ability to listen. Covey's (1989) Habit #5: Seek First to Understand, Then Seek to Be Understood is an effective way for leaders to deal with the demands involved in social change.

Roger D'Aprix suggests that leaders must be "loving in our organizational relationships" (cited in Goldhaber, 1993, 217). Keith (2001) indicates that too often people are not only illogical, but they can be unreasonable and self-centered. He says leaders need to love them anyway. FSCL leaders are committed to demonstrating their "love" for their followers. They realize the importance of "organizational love" and reflect that realization by letting their followers know they are respected by them and they give the coworkers the dignity they deserve.

Now for perhaps the most important aspect of FSCL leadership: I contend effective leadership begins with a correct mindset. That mindset should be

founded upon the YOGOWYPI Factor (You Only Get Out What You Put In). The truth is, as leaders, we only get out what we put into our relationships (that is, treat others as you want to be treated). The quality of one's relationships with others as well as the success of a group or organization is directly correlated to what you invest in the various relationships at all human relations levels. Another aspect of the leader's mindset involves the individual's willingness to lead. FSCL leaders are committed to serving others. These leaders are committed 100 percent to leading and practice the five principles of H.E.A.R.T. (Bracey, et al., 1990). I am convinced that this type of leading results in effective leadership. These two items help ensure an FSCL leader is able to influence not only personal situations but also the group or organization.

Leading via the YOGOWYPI Factor is an attitude that flows from a reasoned choice; it is the natural consequence of a leader's conscious decision. Amid the natural chaos caused by change and interpersonal conflicts, FSCL leaders employing the YOGOWYPI Factor and the five communication principles of H.E.A.R.T. (Bracey, et al., 1990) demonstrate effective leadership at the interpersonal, group, and organizational level. The use of or the failure to apply the FSCL approach determines whether personal and group as well as organizational goals are achieved by the leader and coworkers.

Conclusion

Despite all that has been written about leadership, the question remains: "What does it take to be an effective leader?" While I believe that at this time we do not have a definitive answer, it is my contention that the FSCL approach to leadership offers a viable model for promoting effective leadership. This is especially so when the leader possesses an attitude founded on the YOGOWYPI Factor. In addition, when the leader applies the H.E.A.R.T. (Bracey, et al, 1990) principles of interpersonal communication then FSCL promotes effectiveness. Therefore, please allow me to share several recommendations which I am convinced enhance an individual's ability to be an effective transformative FSCL leader.

These recommendations flow from my study and observation of the concept of leading in place which has been popularized by Shapiro (2005) and Wergin (2007). Shapiro (cited by Watt in Wergin, 2007) points out that “leadership is an action, not a title, and the ability to lead can be found in every person. Each of us must claim our authority to lead at the right time and in the right place” (169).

As an eclectic meld of various leadership approaches, FSCL can result in effective leaders who are highly transformative “in the right time and in the right place” (Shapiro, cited by Watt in Wergin, 2007). The FSCL leader is similar to the type of leader described in the work of Abu-Tineh, Khasawneh, and Omary (2009). They indicate transformational leaders are those who as a matter of principle challenge the process of doing things because they either create new ideas or support new ones. FSCL leaders are transformative because they demonstrate a willingness to challenge the system in order to implement innovations into actions resulting in new products, processes, and services. They are willing to challenge situations even when those situations test their abilities; the result is innovative ways of improving organizations.

As Abu-Tineh et al. (2009) suggest, transformational leaders are willing to change the status quo. An FSCL leader is the type of leader who experiments and takes risks by adopting new approaches involving how business is done. These transformative leaders recognize the need to be prepared and accept that some mistakes may occur because every error leads to a new opportunity for success. Rather than punish failures, they learn from their mistakes and those of others without shifting responsibility and blaming others.

Keith (2001) challenges leaders to give the world the best they have even when there is a significant likelihood their best efforts will be unappreciated. He says you ought to give your best even when you get kicked in the teeth for your effort to bring about change. It is this sort of leadership thinking that I am convinced is embodied in the FSCL approach. When a person steps up to lead in place (Wergin, 2007), it is essential for the individual to have a YOGOWYPI attitude founded on the H.E.A.R.T. (Bracey et al., 1990) principle of human interaction. This type of leader is more likely to be effective when employing the

FSCL approach. Such an individual is then more transformative in the interpersonal, group, and organizational arenas of leadership.

I have observed, thought about, theorized, and written about leadership over the past 40 plus years, and I am convinced we need to continue to study what constitutes effective leadership in order to provide greater clarity to what is an effective leader. I do not pretend to have found the ultimate answer to the question. By sharing my thoughts on an FSCL approach that is based on the YOGOWYPI Factor and one that employs the application of the five interpersonal communication principles of leading with H.E.A.R.T. (Bracey, et al., 1990), I am convinced we can promote more facilitative, transformative leaders to handle the social change challenges of the twenty-first century. Finally, I hope I have provided some insight regarding the literature concerning effective leadership. The characteristics presented herein are based on my leading in place in academic, business, church, community, and military environments in the United States.

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ESSAY FROM THE FIELD

Asian Fusion Leadership: An American Global Business Leader in Singapore

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Stonehill College**

Christopher Fussner is president, owner, and founder of Trans Technology Pte Ltd. (Trans-Tec), a leading independent distributor of surface-mount technology and semiconductor capital equipment in Southeast Asia. Headquartered in Singapore, Trans-Tec has additional offices throughout Asia in China, India, Indonesia, Malaysia, the Philippines, Thailand, and Vietnam.

Fussner founded Trans-Tec in Southeast Asia, creating a market by taking advantage of the web of states which form the Association of Southeast Asian Nations (ASEAN). Founded in 1967, ASEAN did not take on significance as an international business center until after the Vietnam War. The regional association has grown from its initial five members to the current ten states, with a Secretariat and Regional Forum. In its many forms it serves as a dynamic locale for IT industries and facilitates communication and consultations among states. Fussner saw this dynamic emerging early, and chose Singapore, the de facto economic and business center of the region, for his corporate headquarters.

Yet each of the ASEAN member countries offers differing kinds of business settings, while all are increasingly linked to the need to employ advanced IT capabilities. The Philippines, for example, thrives on back office and call center activities because of the widespread use of English by all educated citizens. Thailand is creating an increasingly diverse manufacturing base, including OEM components for white goods and automobiles. Vietnam is replacing China in key

areas of manufacturing and services where the control of labor costs is essential, but the work force must concurrently be skilled and well educated.

Using this ASEAN base, Trans-Tec has now moved on to serve clients and customers in the continental giants of China and India. Instead of rushing to these obvious large markets first, Fussner laid the foundation for long term growth by deepening his position in Southeast Asia, then moved on to compete in China and India from a position of intra-regional strength.

As Trans-Tec continues to expand into a player throughout the Asia-Pacific region, Fussner has balanced two equally necessary operating strategies and has melded them together. On the one hand, business throughout the region is increasingly driven by global norms and procedures, including standard international business law. These global norms allow Trans-Tec to maximize its operations throughout the region in markets of varying sizes and stages of development. At the same time, Fussner's long experience in developing countries has allowed him to conduct business with sensitivity to an Asian culturally "high context" style more in tune with local "village" lifestyles relying on a leader to which the workforce identifies as the source of guidance and security. Such complexity in viewpoint and styles has allowed Fussner to operate successfully in increasingly Islamic Malay cultures (Malaysia and Indonesia) while retaining his core of skilled and technically proficient overseas Chinese employees. This complex matrix of personal and corporate values lies at the heart of Fussner's success in this part of the world because of his ability to navigate through what at times are conflicting corporate values. As such, these skills represent two of Chris Widener's "Arenas of Success."¹ These abilities are delineated below in the section on employee remarks concerning Fussner's company leadership.

One of Fussner's core business strategies at Trans-Tec is to provide superior service to his customers both as an absolute corporate value and relative to competitors. One of his key undertakings has been to incorporate an educational component in his operations. Trans-Tec provides corporate training to technicians and engineers on the equipment that it sells. The company also

holds free seminars for customers. Each seminar focuses on a technological issue in the technology capital equipment field. What is unique about these seminars is that they are purely educational and not sales oriented. As a result they not only build brand (company) awareness but also general good will which is spread by word of mouth—an important element in the culture of Asian business. Another component of the company's education initiative has been the establishment of application centers that are a combination of labs, universities, and demo rooms. Fussner described the application center in Singapore as being more of a lab "where engineers come to us with their boards and components, and their problems in their process, and we work to provide them with the solutions." Fussner goes on to describe how the application center in Thailand is quite different and operates more like a university where people come in for training on equipment usage.

Fussner's commitment to education has been a lifelong endeavor. After a life-changing global adventure during his college years, Fussner returned home with a new focus on Asian studies. He graduated from George Washington University with an undergraduate degree in Asian Studies and History² and from the Thunderbird School of Global Management with a Master's degree in International Management. Fussner has maintained close ties with both schools throughout the years. He organized and directed Thunderbird's Southeast Asia Business winter term in Singapore and Thailand, taught in The Elliott School of International Affairs at George Washington University and serves on their Advisory Council, lectured in the Thunderbird Global Entrepreneurship program, served on the Board of Fellows for Thunderbird's School of Global Management, and funded Thunderbird's Southeast Asia Initiative which includes recruiting students, establishing business relationships, and strengthening the alumni network in the region.

Fussner's journey to success has been eventful. He began his international career in West Africa as a program assistant with Catholic Relief Services. After this initiation into real international life, Fussner was a Refugee Resettlement Officer in Malaysia with the Church World Service, where he was responsible for

the Vietnamese refugee resettlement process. His commitment to service and philanthropic work has continued to this day through his work on the Board of the Vietnam Education Foundation and his work and funding of a mobile medical clinic in Nepal that reaches out to about 40,000 people in the area. These activities represent the compassion necessary for modern interactive leadership, as represented recently in *Business Week*.³

After leaving Catholic Relief Services, Fussner proceeded to Asia where he was an English Teacher for the Hyundai Corporation in Seoul, Korea, and then on to Amistar Corporation, a high-technology equipment supplier in Korea and Singapore. Fussner was responsible for sales and service for Amistar's electronics manufacturing industry machines in Australia, the Far East, and India. Amistar would prove to be the impetus for starting Trans-Tec. After spending several very successful years at Amistar, Fussner was "re-orged" out of a position with the firm. This created the opportunity to use his entrepreneurial flair to start his own business, Trans-Tec. Leaving Amistar ended up being the best thing that happened to him and, in a true business irony, Trans-Tec currently has higher sales than Amistar and has been asked to represent Amistar's new product line.

Throughout his tenure at Trans-Tec, Fussner has been recognized as a visionary leader in the industry. Yet he has often called himself an accidental entrepreneur. After interviewing him and many of his 145 employees, one comes to realize that it is Fussner's unique skill set and leadership skills in particular that have propelled him to the top of his field. His charismatic personality has helped him to build important relationships necessary for doing business and being successful in Asia. Furthermore, interviews with employees uncover the keys to his business success. Through these employee interviews, five distinct themes emerge that help explain Fussner's success as a global entrepreneur and business leader. Employee interviews are often more telling and provide better insight than talking exclusively with a business leader. This is because a leader's followers can be more objective, rather than projecting the self-perceptions of an individual in a leadership role, which can often be distorted.

These Five Distinct Leadership Themes include industry expertise, exemplary customer service and supplier relationships, East-West fusion leadership style, critical personal and leadership attributes, and exceptional employee relations. Each of these areas is listed below, supported and amplified with direct quotes from employees.

Industry Expertise

- “Has technical expertise”
- “Knows every facet of the business”
- “Understands the trends in the industry along with product trends, which is key in this business”
- “Keen understanding of the suppliers and customer, the product, and new innovations”
- “Thinks globally but acts locally”
- “Understands the local business environment and the key competitors”
- “Looks for opportunities and is open to innovations”
- “Knows when and where to grow the business”
- “The Chris Factor: He responds to the subtle cultural differences that affect the bottom line and competes for the future”
- “Has a plan for both the short run and long run”

Exemplary Customer Service and Supplier Relationships

- “Differentiates his company from others in the market by offering the best service possible”
- “Listens to customers and understands what they need”
- “Understands a small company and their lingo”
- “Key ingredient is to educate and train customers and suppliers”
- “Focuses on relationship-building and having good relationships with customers and suppliers”
- “Knows what people really want and why”

- “Makes friends first and then comes business (more polychronic approach)”
- “Knows importance of *quanxi*, establishing relationships”
- “Takes a long-term view as trust takes time to build”
- “Does not distance himself from the customer or delegate this”
- “Runs a service for his customers where he offers free technology seminars and workshops”

East-West Fusion Leadership Style

- “Truly understands the Asian culture”
- “Combines Western style management with Asian style”
- “Knows the importance of trust and loyalty, which are important in business dealings in Asia”
- “Trans-Tec is so successful because of Chris’s serious grounding in an Asian culture”
- “He has learned from the Asian culture the importance of networking and tying customers to his product, and that has made him successful because he can create and maintain a large customer base”
- “People are first in business. He knows all the staff, personal backgrounds, etc (important in Eastern businesses in particular)”
- “He knows that successful business is done day by day and not quickly, which is typically more of a Western style”
- “Operates at both a local and global level”
- “Sometimes Western management comes to East Asia and tries to impose its bottom-line, profit-driven style and it does not succeed. Chris has never done this”
- “Chris is the only non-Asian guy that has made it in this industry (most of the competitors are Japanese and Chinese)”
- “Assimilates into the local community”
- “Stays up to speed with the culture and people”

- “Understands and is sensitive to cultural differences (customer and employee)”
- “Values and cherishes the contacts he has cultivated”

Critical Personal and Leadership Attributes

- “Big personality”
- “Flexible (important in many Asian cultures)”
- “Integrity and honesty”
- “Dynamic and charismatic”
- “Gets along with people”
- “Excellent problem solving and critical thinking skills”
- “Understanding nature”
- “Positive attitude”
- “Passionate about work”
- “Has vision”
- “Has a global view”
- “Sees the larger picture”
- “Takes time to balance his life by engaging in philanthropic endeavors”
- “High energy and outgoing”
- “Good global citizen”
- “Culturally sensitive”
- “Entrepreneurial spirit”
- “Philanthropic and caring”

Exceptional Employee Relations

- “Works with employees; thinks of them like family”
- “Intense loyalty to employees, and this loyalty is reciprocated”
- “Emphasis on working together and on teamwork, team building important”
- “Very generous with staff; takes care of his people”

- “Cultivated employees’ pride by bringing them along, trains them, listens to them”
- “Chris has learned how to dole out rewards on an individual basis, allowing for a high functioning and loyal organization”
- “Uses public praise”
- “Staff respects him; he is ready to jump in and help at any time”
- “Cares about staff”
- “Learns about business with his employees”
- “Will tell you if something is wrong”
- “Chris is a leader, not a boss”
- “Inspires loyalty”
- “Allows flexibility in managers; has guidelines but authority to implement is given (this empowers employees and is participative decision making in action)”
- “Always in the loop”
- “All employees treated equally”
- “Compassionate and personal leader”
- “Listens to employees and customers intently”
- “Has many long-term employees, has cultivated them”
- “Up and down management style, empowers those under him”
- “Leads by example and willing to help out whenever necessary”
- “Takes care of employees and is nurturing and respectful, and this extends to customers as well”
- “Keeps in contact with staff and has frequent company functions and get-togethers”
- “Friendly but hard working and inclusive company culture”

In conclusion, the “Trans-Tec Model” of international, cross-cultural leadership blends the results-oriented aspects of twenty-first century global business norms with the ongoing regional business culture of the Asia Pacific region. Having

grown the business in the earlier dynamic of the Southeast Asian region, Trans-Tec had a base of expertise as well as company/"brand" recognition to expand into the large continental markets of China and India. This mix provides the firm with a sound base for future growth and expansion into these large markets where the company's range of technology products and expertise is increasingly in high demand.

Equally important, Chris Fussner has continued to lead his company successfully in the current recessionary era by abandoning the passé extreme positional leadership style of the past (the strong leader model) while taking on a non-positional leadership style. At the same time, he critically has retained the courage to act in a constructive and necessary heroic leadership mode in two critical areas: "challenging the status quo and taking risks to champion a better way."⁴ This mix of complex characteristics has allowed him to emerge as an effective cross-cultural leader when more traditional leaders have experienced the difficulties of leading complex global businesses in today's uncertain world.

Endnotes

¹ See Chris Widener, "Arenas of Success," for details.

² These fields of study gave Fussner a spiritual dimension often overlooked in the classic leadership literature. See, for example, "Leadership, Tribal Spiritual Wisdom and the Leadership Talk" at www.actionleadership.com

³ Posted on *Business Week*, "Five Ways to Lead with More compassion, January 11, 2010 at www.businessweek.com/managing/content/jan2010/ca20100112_114319.htm. Also posted on the Harvard Business Review.

⁴ For details, see Mitch McCummon, "Is Heroic Leadership All Bad?" in *Ivey Business Journal*, January/February, 2010 at www.iveybusinessjournal.com/article.asp?intArticle_ID=881

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China, in co-directing a U.S. Department of Education Grant focusing on Canada, Ireland, and Portugal, and in developing team-taught learning communities with colleagues that involves taking students to Europe. Please direct any questions to Dr. Swanson via email at jswanson@stonehill.edu

BOOK REVIEW

Marketing Leadership in Hospitality and Tourism: Strategies and Tactics for Competitive Advantage (4th ed., 2007)

by Stowe Shoemaker, Robert C. Lewis, and Peter C. Yesawich

Published by Prentice Hall, Boston MA

Cost: \$117.80, Pages 688

Reviewed by John Mellon, Assistant professor of Business and Marketing at Misericordia University, Dallas, PA.

In an attempt to provide a variety of perspectives on the subject of marketing leadership for the hospitality industry, each chapter of this book begins with an interview of a hospitality industry executive. Interviewees include Bruce J. Himelstein, The Ritz-Carlton Hotel Company; John Shields, Hyatt Hotels; David Norton, Harrah's Entertainment; and Jennifer Ploszaj, InterContinental Hotels & Resorts. All of these industry leaders are widely recognized in their own fields, but their diverse perspectives on strategies and tactics for hospitality industry competitive advantage development have never before been brought together within the pages of a single publication. Their contributions bring an international flair to the book.

The authors of this book effectively present a fertile mix of ideas across academic and professional disciplines on this important topic. They take a long-range perspective rather than an operational how-to approach because marketing is long-range for any organization that seeks survival and growth.

The goals of the book are to provide multi-disciplinary perspectives on marketing leadership and also to understand questions surrounding strategy development for competitive advantage. The book goes into detail about the potential benefits of a marketing strategy that begins and ends with the customer.

Furthermore, the book stresses that the hospitality customer is also purchasing an experience. Customers are buying not only rooms or meals, but memories. The role of marketing leadership is to help define and create these memories. Generic marketing books do not cover such material.

The book is filled with real-world industry examples of franchised, multinational, and independent restaurants, hotels, and resorts, illustrating how hospitality organizations' leaders use marketing to shape the corporate effort that produce action plans. The Web-based exercises of this fourth edition encourage readers to seek current information on the topic under discussion, and the tourism marketing applications features present examples of how leadership is used to develop tourism. The book is an important tool for the internship student seeking to succeed in this field, as well as for the management trainee required to make marketing leadership directional suggestions, and/or for the executive who needs to study the marketing leadership activities of the competition.

Within the six content areas of the book, the authors offer strong, clear, practical leadership advice on how to become a significant economic force in the field. This is especially true of Part III, the Marketplace section, which includes consideration of understanding individual customers, understanding organizational customers, and understanding the tourist customer and the tourism destination. This section reviews consumer decision making, customer segmentation, and the influences of destination marketing strategies and alternative consumer evaluations. Today the key to marketing leadership is to understand the customer. The future marketing leader will conclude that this section of the book provides compelling perspectives on consumer needs and wants and on consumer behavior.

Part V, Functional Strategies, focuses on highlighting, branding, market positioning, the communications mix, and interactive marketing focus. This section of the book details the architecture and media needed to effectively reach the consumer and also demonstrates how the marketing leader can embed the brand in consumers' minds, impress distinctive position functional benefits, and persuade customers to purchase.

One of the most important facets of marketing leadership, as the book notes, involves moving beyond the economic issues and drawing on considerable industry and academic experience to present the critical marketing plan. This is spelled out clearly in Part VI, which offers a synthesis of the field and includes clear, practical advice.

Functional, detailed information within the book may be of value within an intense upper level undergraduate or graduate-level marketing leadership management course that seeks to provide direction for students and leaders to contribute to the national and international economy. Given the range of issues covered in the book, it is apparent that construction of marketing leadership strategies is an extremely complex process that is relevant to both public and private organizations and that involves detailing marketing leadership design, construction, and operations.

All of the information within *Marketing Leadership in Hospitality and Tourism: Strategies and Tactics for Competitive Advantage* can be used to construct marketing management course objectives at both the undergraduate and graduate level. For marketing faculty, then, it is a valuable resource.

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