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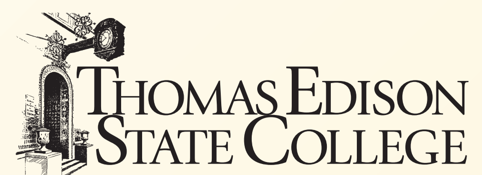

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From the Editor

February 2014

Welcome to this 17th issue of the *International Leadership Journal,* an online, peer-reviewed journal. This issue contains four articles and one practice piece.

In the first article, McLean and Smits posit an integrated model of executive-level information systems (IS) leadership that identifies and discusses four key roles of the IS leader: technologist, enabler, innovator, and strategist. They argue that, to be successful, today's CIO needs to balance these four multidimensional roles through a combination of transformational and transactional leadership.

Aspland and Patel discuss the challenge of balancing creativity and compliance within Australian higher education while enabling faculty to lead and recommend effective strategies for more productive and enabling work environments in the university setting.

Moskovich and Achouch present a case study of an Israeli kibbutz factory's experience with a new leader from outside the kibbutz and the changes brought about by his transformational leadership style. The study is just one example of how Israeli kibbutzim, once the symbol of collectivism, have introduced new styles of leadership to meet competitive capitalistic challenges as a result of environmental influences.

In the last article, Dannar argues that ethnocentrism is the most significant barrier to going global. He notes that leaders who embrace the idea of interconnectedness can more easily develop three essential competencies required to excel in a boundaryless world: inquisitiveness, perspective, and character.

Finally, Kerns and Ko present a practitioner-friendly action role framework that integrates and organizes the vast array of managerial leadership competency competencies. The framework consists of five action roles—director, focuser, linker, influencer, and well-being impactor—that are each defined by a set of five behavioral practices.

Please let us know your thoughts and feel free to submit articles for review. Enjoy!

Joseph C. Santora

Editor

ARTICLES

Management, Leadership, and the Roles of the CIO*

Ephraim R. McLean and Stanley J. Smits
Georgia State University

"Management" is said to deal with *complexity,* and "leadership" is said to deal with *change*. Nowhere is change more evident than in the organizational use of information technology. This article, based upon a review of selected literature on leadership and a series of in-depth interviews with senior information systems (IS) executives, posits an integrated model of executive-level IS leadership. This model identifies and discusses four key roles of the IS leader: technologist, enabler, innovator, and strategist. The implications of each role are explored and the consequences that are likely to occur if each role is not properly executed are described.

Key words: CIO, information systems, leadership, management

This article is based upon decades of structured dialogue concerning the evolving managerial and leadership roles of the chief information officer (CIO). The dialogue was initiated in the early 1990s in an attempt to establish a baseline for a prospective longitudinal study that would track graduates from a national sample of colleges and universities as they began their information systems (IS) careers. To create a baseline for the career progression of these recent graduates, we conducted in-depth interviews with IS executives to assess the knowledge, skills, and abilities (KSAs) that enabled them to progress from career entry to their present executive-level positions. They reported an evolving set of KSA requirements and role enlargements as their organizations became more and more reliant on information technology to provide and maintain a competitive advantage (McLean & Smits, 1994). Dialogue about the developmental nature of executive-level IS leadership continued for another decade via a CIO Executive Roundtable, sponsored by Georgia State University's Department of Computer Information Systems and led by the senior author of this article.

In 2010, a new phase of this dialogue was initiated when the senior author presented an updated CIO role and function paper in Lima, Peru, at the

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Sustainable IT Collaboration Around the Globe Conference sponsored by the Americas Conference on Information Systems (AMCIS) and the Association for Information Systems (AIS), the premier global organization for academics, students, and practitioners specializing in information systems. That international conference, and several since then, have produced lively Q&A discussions following the paper presentations and follow-up correspondence as the CIOs in attendance continued the dialogue. This article attempts to capture this dialogue as an example of how the managerial and leadership roles of the CIO have progressed as the global business environment has become increasingly reliant on state-of-the-art information systems and the enabling information technology.

The Challenge of Leading the IS Organization

Leadership and management, innovation and improvement—these and other terms are often used interchangeably—and, although closely related, there are subtle and important differences between them. Leadership and innovation are intimately linked in a continuous cycle of cause-and-effect relationships. As Kotter (1990) notes, “effective leadership produces useful change” (103), while “more change always demands more leadership” (104). But innovation must be harnessed; it must be used to meet the organization’s goals while at the same time recognizing the need for stability, order, and efficiency (Asby & Miles, 2002; Herold & Fedor, 2008). Changes in technology, global competition, deregulation of markets, downsizing, renewed emphasis on quality, and countless other dynamic forces require a balanced response that demands both strong leadership *and* strong management. Kotter points out that “strong leadership with weak management is no better, and is sometimes actually worse, than the reverse” (103).

Information systems leaders have played important roles in the transformation of their organizations and, in turn, have themselves been changed by these transformations. IS leaders have done more than contribute to a “reengineering” of business; the successful ones have experienced a reengineering of their own roles as well. It would be unrealistic to think that IS leadership roles would remain

static in dynamic business environments where information technology has been busily changing everyone else's roles. On the contrary, as business has become more reliant on innovations in information technology to solve their problems of competitiveness and efficiency, the role of the IS leader has grown in importance and visibility.

New demands for innovation and efficiency have led to role expansion and growth to the point that IS leaders are now being called upon to engage in a complex mix of leadership and management functions in order to attain a balance between innovation and stability as well as effectiveness and efficiency in their organizations. Gibson and Birkinshaw (2004) note that organizations must become "ambidextrous," requiring them to be equally adept at innovation—"exploration"—and efficiency—"exploitation"; and the need for this ambidexterity applies to senior IS management as well.

An Overview of Leadership

Leadership—the use of non-coercive influence to direct and coordinate the activities of group members toward goal attainment—has fascinated humankind for centuries, but has only recently been subjected to systematic scientific inquiry (Barker, 2001). And this inquiry has not been altogether smooth. The decades of the 1930s to the 1950s saw scholars trying to isolate the traits that distinguished great leaders from everyone else. But the underlying concept of being "born to lead"—or to follow—was too deterministic for a culture built on concepts of equality and unlimited opportunity, so trait theories were replaced in the 1950s and 1960s by behavioral theories that postulated that one could be taught the behaviors that distinguished successful leaders from others. Since the late 1970s, those behavioral theories have been thought of as too simplistic and have given way to contingency theories—based on the notion that circumstances play a key role in determining whether or not one will succeed as a leader.

While each of these various theories of leadership invariably attract critics that point out their conceptual weaknesses and the methodological flaws in the research supporting them, publications about leadership number in the tens of

thousands. For example, Cawsey and Deszca (2007) reported that a Google search on the topic of organizational change yielded over 110 million hits, of which leadership is an important subset. Despite the well-documented problems encountered when trying “to comprehend and integrate the diverse theories and often inconsistent findings” (Yukl & Van Fleet, 1992, 147), however, several useful findings have begun to emerge.

First, comprehensive assessments of leadership theory and research by Yukl and others (Yukl, 2010; Yukl & Van Fleet, 1992) have helped to bring into sharper focus some useful findings from among the variety of theories and research that bridge the gaps between these various perspectives. While each of these perspectives provides a part of the picture, an emerging composite view is beginning to clarify the complexity of traits, skills, and behaviors needed to describe leadership (Javidan, Dorfman, de Luque, & House, 2006; Liden & Antonakis, 2009; Mumford, Zaccaro, Harding, Jacobs, & Fleishman, 2000; Zaccaro, 2007).

Second, without negating the importance of these traits, skills, and behaviors, of equal or greater importance is how the situation faced by the leader impacts what is done, how it is done, and the results obtained (Herold & Fedor, 2008). This is particularly important for the research presented in this article because we believe that the IS function and the technologies and structures that support it have sufficient “situational uniqueness” to warrant the study of IS leadership as a special class of leadership with corresponding unique characteristics.

However, the issue of the importance of executive leadership pales in comparison to the controversy regarding the differences, if any, between the concepts of *management* and *leadership.* The scorecard is about even between those authors making no distinction between them and those contending that they are fundamentally different. While we accord management and leadership equal importance, we agree with Kotter’s (1990) contention that “leadership and management are two distinctive complementary systems of action” (103). His descriptions of management and leadership are paraphrased as follows:

- **Management** is about coping with *complexity* through planning and budgeting, organizing and staffing, controlling and problem-solving. Without good management, complex enterprises tend to become chaotic in ways that threaten their very existence.
- **Leadership** is about coping with *change* through setting a direction, aligning people to a vision of an alternative future, and empowering and motivating them to meet the challenges created by the vision.

From our perspective, executive-level IS leadership can be described as follows:

- *Power* is the capacity to exert influence, and *leadership* is the successful exercise of power to accomplish organizational goals. IS leaders rely on multiple sources of power, including the legitimate power stemming from their positions, the expert power they derive from their knowledge of information technology, and the personal power they acquire through their alliances and relationships with other executives and managers.
- The leadership function is multidimensional and dynamic, and IS leaders are called upon to emphasize different dimensions of their roles as the circumstances in their organizations and the larger environment change.
- There are two types of leadership that are essential for ensuring the vitality of the IS function: *transformational* leadership to produce innovation and effectiveness and *transactional* leadership to produce stability and efficiency.
- And finally, IS leadership roles have been evolving in tandem with the evolution of information technology in business and have been taking shape through a process of role integration.

An Integrated Model of IS Leadership

The model presented here has its origins in a longitudinal study of IS careers (McLean, Smits, & Tanner, 1991; Smits, McLean, & Tanner, 1993). This careers research had two components: a prospective study and a retrospective study. The prospective component involved a seven-year longitudinal study of over

1,000 recent IS graduates from 38 colleges and universities that assessed the factors associated with their career progression, job satisfaction, and organizational and professional commitment. The retrospective study was based on in-depth interviews with 35 senior IS executives focusing on the KSAs and career choices and processes that helped them achieve their executive positions. The career development interviews and the various forms of structured dialogue that followed via a CIO Executive Roundtable were combined with the relevant leadership literature, resulting in the model of executive-level IS leadership presented here. Since 2010, this model has been presented to a number of senior IS executive audiences, both in the United States and abroad, and has been further refined to reflect their inputs.

We identified two approaches to the study of leadership that seemed most parsimonious: one depicting the four major role dimensions present in varying degrees in IS leaders—an interactive, interdependent, Integrated Model, and the other depicting the historical progression of IS leadership roles—a Growth Model. Each approach, however, recognizes four roles of IS leadership: technologist, enabler, innovator, and strategist.

Table 1: The I/S Leadership Roles

Leadership Roles	Description
Technologist	Uses technical expertise to develop and maintain cost-effective information systems, advises business managers regarding matters relating to information technology, stays abreast of emerging technological developments, and projects their potential impact on the IS function and the business.
Enabler	Works closely with the user community to help them maximize the business uses of their present IS capabilities, networks and communicates with users to understand their present and future IT needs, and acts as their advocate within the IS organization.
Innovator	Strives for leading-edge IT processes by reengineering existing systems, updating existing technology, retooling the IS staff; and creating an environment for experimentation and innovation.
Strategist	Serves as the boundary-spanner between the IS function and business strategists to ensure that the business is aware of the strategic opportunities made possible through IT and that the IS organization is ready to provide support and leadership for new business initiatives.

Figure 1 depicts these roles and their relation to the organization and the demands of the business. The vertical dimension, depicting the business demands facing the IS manager and the organization of which he or she is a part, ranges from the relatively placid and stable to those of extreme turbulence and rapidly changing requirements. The horizontal dimension represents the primary focus of attention of the IS manager, which can be on either the IS organization and the information technology that underlies the delivery of IS services, or on the business itself and the relationship between IS and the users and managers in the host organization. Like any framework, each cell represents only an indication of central tendency; the boundaries are considerably blurred.

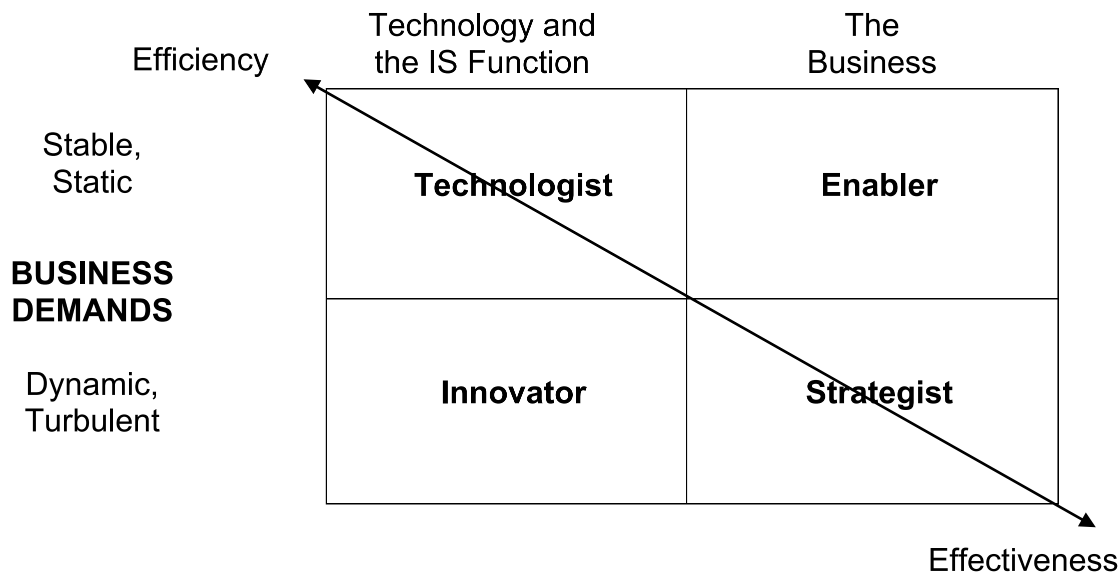

Figure 1. The Business–IS Framework

The Integrated Model

Building on the above framework, the Integrated Model of IS Leadership is presented in Figure 2 on the next page. It is a graphical representation of the following aspects of IS leadership:

- IS leadership requires focus on both technology and the people who use it to achieve organizational efficiency and effectiveness.

- IS leaders are required to engage simultaneously in transactional (complexity) and transformational (change) leadership to ensure that the organization's needs for both order and innovation are met.
- Organizations face both stable and dynamic business demands, thereby experiencing periodic needs for transformation: "unfreezing," changing, and then "refreezing" (Lewin, 1964; Thietart & Forgues, 1995).
- Four dimensions or roles of IS leadership emerge as essential for the long-term success of businesses in the highly-competitive, global marketplaces of today. As described above, they are technologist, enabler, innovator, and strategist. These IS leadership roles are interdependent, with changes in one triggering reciprocal changes in the others.

The role diffusion caused by attempts to integrate these four leadership dimensions make it increasingly difficult for a single IS leader to handle all of the required responsibilities. It may be that specialization will be required, with a team approach needed to discharge the multidimensional responsibilities assigned to the IS leadership function. In fact, the use of teams at senior levels in the organization may become as common as lower-level multifunctional teams are today.

FOCUS OF ATTENTION

TYPES OF LEADERSHIP	Technology and the IS Function	The Business
Transactional (Managing complexity; producing stable, reliable systems	**Technologist**	**Enabler**
Transformational (Instituting change; creating innovation)	**Innovator**	**Strategist**

Figure 2. The Integrated Model of IS Leadership

Growth Model

The IS organization and the role of the CIO have evolved in parallel with information technology's development of increasingly more meaningful applications. For many pioneers and early adapters (to use Rogers's, 1983, terms), the technology was little more than a curiosity. Few people in the 1970s and early 1980s had the vision to see where it was headed.

In the 1970s, IS leaders were challenged to master the technology, find out what it was capable of doing, and learn how it could be applied. Their progressive success in doing so through the 1980s gave them a firm grasp on their role as *technologists*—a role that persists to this day and is of such importance that the role of chief technology officer (CTO) has emerged as a separate position, one that serves in partnership with the CIO.

Having mastered the technology in the 1980s, IS executives entered the 1990s ready to function as *enablers* and create the business partnerships needed to maximize the use of the technology. At this point, even the late majority and laggards (to use Rogers's, 1983, terms again) had adopted information technology and were busy putting it to use. But a curious event happened on the way to the future. Bolstered by their success as technologists and enablers, IS leaders felt ready to begin functioning as business *strategists,* that is, to help their organizations use information systems for strategic advantage and to play a proactive role in shaping that strategy. Few of them, however, had prepared for this final role to the necessary degree. Rather than going directly to the fourth role of strategist, they needed to engage in a reengineering of the IS function to introduce the innovations necessary to support the organization's strategic direction (Hammer & Champy, 1993), thereby adding the dimension of *innovator* to their previous roles as technologists and enablers. In other words, the route to the strategist role is through the innovator role, not directly from the enabler role.

Figure 3 shows the dynamic nature of the IS leadership role and its growth over the last three decades. First, organizational acceptance is gained through the role of technologist and then solidified through the enabler role as partnerships with users are created by providing reliable systems and cost-effective

applications of information technology for the business. But the dynamic environment of the 21st century calls for more than mere improvement; it demands dramatic innovation, that is, the reengineering of the core processes of the business through the use of information technology. Therefore, the IS leader will only move to the strategist role after he or she has successfully reengineered the IS function and is ready to assist in the reengineering of the business itself.

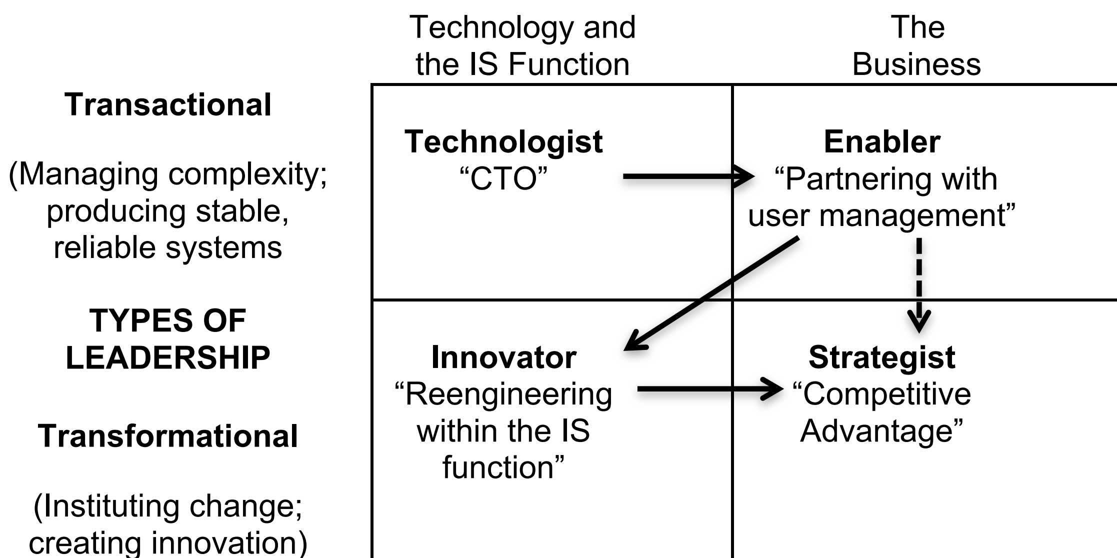

Figure 3. The dynamic nature of IS leadership roles

Discussion and Implications

"Leaders manage attention through a compelling vision. . . ."
—Warren Bennis (1989)

"The last thing IBM needs right now is a vision."
—Louis V. Gerstner Jr. (July 29, 1993)

Leadership theorists argue that no vision leads to no future, while advocates of strong management contend that inadequate management threatens efficiency and ultimately brings into question the long-term viability of the enterprise.

We want to broaden this question a bit and apply it to the future of the IS organization: What are the possible consequences of not fulfilling each of the managerial-leadership roles for the IS organization; that is, of technologist,

enabler, innovator, and strategist? What problems are created by each role's absence or ineffectual execution?

Technologist

Advocates of the CTO position would argue that this role is the *raison d'etre* for the existence of the IS organization. Beginning with the introduction of the IBM 360 series of computers in 1963, there were nearly two and a half decades of having a single dominant technology platform in place. Although other vendors grew and prospered, many under the IBM umbrella, it was the overwhelming and long-standing dominance of IBM technology that allowed early IS managers to mature in their roles as technologists. Although there were many changes during this era, there was still enough time to "get it right," and to master and apply the technology to key operational functions.

In the last two decades, all of this has changed. Software firms like Microsoft have emerged to challenge the once-almighty IBM. Networked and client-server architectures are replacing mainframe-based platforms. Object-oriented design approaches are causing radical changes in the way systems are constructed. Software as a Service (SaaS) offers opportunities in "the Cloud." Each of these changes brings new opportunities but, at the same time, demands new understandings. IS executives who have left technology behind in their quest for forming "partnerships" with top management and creating "information systems for competitive advantage" will find themselves ill-prepared for leading the emerging IS organizations of this decade. If they do not reenergize their roles as technologists, or form a strong team to provide these needed technology leadership skills, the subsequent role of innovator, with its almost continuous need to reengineer the information services function, will be nearly impossible to achieve. Companies without strong technological leadership will be blindsided by their competition and fall increasingly behind in their ability to master new technological developments.

Enabler

It has long been said that IS managers need to think more like businesspeople

and less like technicians. However, technical mastery, in and of itself, is of little use to a business; to be useful, it must be applied to serve business needs and to solve business problems. Thus, information technology can be thought of as a business enabler—the means by which business efficiency can be improved, costs reduced, and revenues enhanced. The CIO, in this enabler role, provides a vital link between the available technology and systems and the desired business results and outcomes.

However, this enabler role can only be achieved by building a strong relationship or partnership with the user community and its management. But this partnership must be built upon more than mere good relations; it must reflect a strong record of service. Are the systems upon which the business must rely dependable and reliable? Are requirements for new features or functionality being met in a timely and accurate fashion? Does a climate of confidence and trust exist between the IS organization and the business of which it is a part? Simply put, is the IS organization being well managed? This is sometimes referred to as “T Leadership.” The top of the T represents breadth—in this case, having broad business knowledge and understanding—and the leg of the T represents depth—having deep mastery of information technology.

If this enabler role is not mastered, a serious credibility gap can occur. Confrontation rather than cooperation will be the norm. Differences and disputes will escalate and the resolution of problems will become increasingly more difficult. In time, user management may choose to “go their own way” by attempting to build their own “shadow,” or private, systems, by demanding the ouster of the CIO, or even by outsourcing the IS department to “the Cloud.”

The importance of building a strong partnership with the business users cannot be overemphasized in the enabler role. Without such a relationship in place, it is virtually impossible to move to the next roles.

Innovator

The area of IS innovation is receiving increased attention. In their roles as innovators, CIOs are challenged to create and sustain an internal IS organization that facilitates creativity and innovation. Some even suggest that “CIO” should

stand for "Chief Innovation Officer." Simply put, they need to develop the type of "learning organization" advocated by Senge (1990). Environments that stimulate and sustain innovation are characterized by visionary leadership, team problem-solving and shared learning, experimentation, and the absence of structural barriers that prevent networking and boundary spanning (McLean & Smits, 1993).

CIOs can stimulate innovation in at least three general ways. First, they can reach back to their expertise in information technology to *articulate a vision* of the changes such technology can make in the core functions of the organization and use their experience as managers of this technology to map a course from the present situation to a desired future state. Senge (1990) calls this the leader's roles as "designer" and "teacher." By exercising these roles, they create policies, strategies, and structures that facilitate translating emerging technologies into valuable business tools.

Second, they can use this creative tension to create a climate for innovation. This is accomplished through *creating a shared vision*—getting people to align their personal visions with the leader's vision, thereby attaining the synergism and commitment needed for sustained, constructive change. They can also begin to use team approaches and experimentation for problem solving and generative learning. If team approaches and experimentations are adopted, it will require changes in performance appraisal and reward systems and a greater tolerance for the temporary inefficiencies caused by such experimentation.

Third, they can *foster the early adoption of technology*. In Roger's (1983) terms, this means that, as "pioneers," CIOs must identify and seek out the influence leaders in their user communities to serve as early adopters and thus champions of an innovation, thereby ensuring its success.

Obviously, the starting point for a CIO's successful implementation of the innovator role is his or her capacity for vision. But how does one acquire "vision"? Senge (1990) suggests that success in this area is proportional to the executive's capacity to engage in systems thinking—to "focus less on day-to-day events and more on the underlying trends and forces to change" (15). He suggests that

would-be leaders need to develop the following new skills:

- *Seeing interrelationships*, not things, *and processes*, not snapshots—avoiding seeing the world in static terms and attempting linear explanations of what are actually systemic phenomena.
- *Focusing on areas of high leverage*—finding “where a change, with minimal effort, would lead to lasting, significant improvement” (15).
- *Avoiding symptomatic solutions*—foregoing quick fixes to “keep the pressure on everyone to identify more enduring solutions” (15).
- *Acquiring systems-thinking skills* instead of merely reacting—“Many charismatic leaders manage almost exclusively at the level of events. They deal in visions and in crises, and little in between” (10).

In summary, CIOs can do much to improve the environment of the IS organization for innovation, albeit, perhaps, at some expense to their roles as managers, where stability and efficiency are the hallmarks of success.

What happens to CIOs who do not stimulate and sustain creativity? If their companies are in slow-changing industries, the negative consequences may be only minimal or moderate. However, these are the exceptions, not the rule; and if their companies are competing in dynamic—and global—markets, several serious negative consequences could result from the lack of innovation. First, they may fail to help stem their companies’ loss of market share; second, they could lose internal credibility and reinforce existing tendencies to outsource essential IS functions; and, finally, they could escalate a drift toward obsolescence and stagnation. The often-paraphrased options are familiar: “Lead, follow, or get out of the way.” Creating a healthy environment for innovation may be the only way to position one’s organization to lead.

Strategist

In their emerging roles as strategists, CIOs have two challenges: first, to make sure that the IS organization is aligned with, and ready to play a key role in, its parent organization’s future; and second, to help ensure its parent organization is ready to play a key role in its marketplace. “Information systems for competitive advantage” or “strategic information systems” have become almost hackneyed

phases. However, like most overused slogans, they have a basis in fact. Some companies *are* achieving substantial strategic gains through the use of information technology. On the other hand, many companies are not.

As Preston, Leidner, and Chen (2008) point out, in those cases where strategic gains have been realized, it is because strong IS leadership has been in place. Each of the four leadership roles are active, either in the person of the CIO or, possibly, in the IS leadership team. When this is true, the CIO can then function as a strategist, in partnership with the other top management strategists (i.e., marketing, finance, production, etc.), and under the overall leadership of the organization's chief strategist, the CEO.

If the CIO is absent as a strategist, IT-based opportunities may be overlooked and new strategic initiatives missed. Because "you don't know what you don't know," the effects of the absence of IS strategic leadership may go unnoticed for a while. With existing systems well managed and users happy, the very effectiveness of this transactional IS leadership may blind top management to the need for transformational IS leadership. Lulled by "if it ain't broke, don't fix it," companies would be well advised to heed the adage: "If it ain't broke—there's still time to 'fix' it."

Looking to the Future

As discussed above, the complexity of the role of the CIO and the sophistication and use of information systems have evolved in tandem during the organizational transformations of the last several decades. We have attempted to forecast, in a broad sense, the changes in organizations and concomitantly in the roles and functions of the CIO. In the future, the CIO's main challenges will be primarily in two roles: innovator and strategist. These roles will further complement each other as organizations realize, as Grant (1996) contends, that knowledge is their most strategically significant resource and that the organization's ability to develop and sustain competitive advantage is directly related to its capacity to master knowledge management (Bresman, Birkinshaw, & Nobel, 1999). Organizations that stay ahead of their competitors are "faster and more effective

in exploiting change" and "have greater creative and innovative capability" (Grant, 2002, 228). Such organizations are "learning organizations," to use Daft and Marcic's (1998) terminology, and they excel at managing their knowledge assets (Li, Shen, & Xi, 2010).

Knowledge management, the systematic leveraging of information and expertise to improve organizational performance, involves two major processes: knowledge generation and knowledge application (Grant, 2002). CIOs, functioning in their roles as innovators and strategists, are key players in their organization's knowledge-management function. Given that all organizations, regardless of the nature of its products or services, learn from experience and become more efficient and effective as their knowledge increases, it follows that knowledge management is a key to increased performance across industries.

Seeing that CIOs already play important roles in their organizations' knowledge management, how will the future be different from the present? We see acceleration in the importance of knowledge-driven organizational learning and, therefore, greatly expanded challenges for the CIO's performance as innovator and strategist. The principal challenge will be the demands made upon the CIO to fully understand the intricacies of the business itself, the environment in which it competes, and to envision how information/knowledge can shape the future of the organization. Thus we move far beyond today's reengineering of the firm and see demands for creativity and entrepreneurship on the part of the CIO as he or she also becomes the CKO—the Chief Knowledge Officer—and helps guide the organization to its future by identifying, capturing, refining, analyzing, and applying the information necessary for the organization to achieve true competitive advantage.

Conclusion

We have attempted to capture the "dynamic complexity" of CIOs' multidimensional and emerging roles. We believe the real challenge for the CIO is to become what Gibson and Birkinshaw (2004) call "ambidextrous"; that is, to be equally adept at both "exploitation"—what we call *transactional leadership* and

"exploration"—what we call *transformational leadership*, and thereby maintain a balance among the roles of technologist, enabler, innovator, and strategist so that the acquisition of each new role does not disrupt the successful discharge of previously mastered roles. Similarly, when changes in the business environment disrupt this balance, efforts must be made to bring it back into harmony.

We are sometimes asked, in response to the exposition of our Growth Model, if the CIO of the 21st century must first start as a technologist, and then move to the enabler role, and so on. Our answer is no. It *is* possible to start in any one of the four roles; but without the mastery of the earlier roles, it becomes even more critical to ensure that the roles for which the new CIO has no experience are filled by members of his or her team who *are* experienced and have the mastery of the missing roles.

In closing, a number of key questions arise: Are the four roles, as characterized in our Integrated Model, the right four? Under what circumstances might one or more roles emerge as being dominant? How are role transition, consolidation, and integration managed? Are some roles harder to master than others? Is it possible for one person to excel in all four roles; and, if so, is it still possible for him or her to have the time necessary to discharge them all simultaneously? How are teams constructed to compensate for missing leadership skills in one individual? Are there differing career paths that lead to different role mastery? Will future demands for organizational learning and knowledge management strengthen or change the CIO's role complexity and focus? These and other questions we leave for the reader to ponder.

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Ephraim R. McLean, PhD, is a Regents' professor, holder of the G. E. Smith Eminent Scholar's Chair in Information Systems, chair of the Department of Computer Information Systems, and director of the Center for Health IT in the Robinson College of Business at Georgia State University. He previously served on the faculty of the Anderson School of Management at the University of California–Los Angeles and worked in industry as a computer analyst for Procter & Gamble. He can be reached at emclean@gsu.edu.

Stanley J. Smits, PhD, is a professor and chair emeritus of the Department of Managerial Sciences in the Robinson College of Business of Georgia State University; a visiting professor with the International School of Management in Paris, and a licensed psychologist. His research and teaching interests focus on leadership development, organizational culture, teamwork, and organizational change. He can be reached at sjsmits@bellsouth.net.

Enabling Leadership in Teaching and Learning: Balancing Creativity and Compliance Agendas in Australian Higher Education*

Tania Aspland
Australian Catholic University

Fay Patel
Deakin University

This article investigates the challenges experienced among leaders in research, teaching, and learning when they strive to meet compliancy norms in Australian higher education while also being expected to lead innovative practices in the design and delivery of scholarly teaching and research. The central question of concern here is: what type of leadership for teaching and learning in Australian higher education meets the demands of regulation but is also emancipatory, innovative, and makes a significant contribution to the field under study? Observed tensions that arise as compliance and creativity challenge leadership in teaching and learning are reported. Effective strategies for more productive and enabling work environments are recommended. The article also highlights critical issues and practices within university workplace culture and communication that require balance between creativity and compliance to ensure that leadership in teaching and learning is enhanced.

Key words: creativity and compliance agendas, empowering academics, leadership in university governance

University governance has recently moved away from a historical conception of the university as "a republic of scholars" to become more closely aligned to a portrayal of the university as a "stakeholder organization" (Bleiklie, 2009, slide 2). Further, the original 12th-century purpose of universities as the "emancipatory" saviors of societies (Staub, 2009) has been challenged by market regulation (Sheehy, 2010). This shift in focus raises serious questions about the quality of teaching and learning, the place of the university academics in contributing to social and public good, and the type of leadership that is emerging within the university in neo-liberal contexts that shape the regulation of universities in Australia (Meek, 2000). What is emerging is the coexistence of a number of binaries that lead to contestations, tensions, and dilemmas within leadership

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initiatives in the higher education sector. Examples of these dualities include the following:

- The university professes to uphold the academic freedom of intellectuals to generate knowledge for the betterment of society while government regulators allocate funding to a limited number of fields that are aligned with politically motivated national priorities.
- Universities profess to develop a desire for learning across a diverse community of students, but insufficient funding constrains innovative and pedagogically advanced engagement in learning.
- Universities are considered hubs of intellectual creativity and forums for the production of new and significant knowledge though mandated national regulatory discourses imposed upon universities have resulted in an ethos of compliance across the sector that stifles innovation, limits pedagogical engagement, and necessarily dictates performance orientation to ensure ongoing funding.

It is the third of these dilemmas that is addressed in this article. The central question of concern here—within the emerging context of regulation, compliance, and neo-liberalism in higher education, is: What type of leadership for teaching and learning meets the demands of regulation and at the same time, leads teaching, learning and scholarship but is also emancipatory, innovative, and makes a significant contribution to the field under study?

Limitations and Future Research

This article focuses on addressing the question of emerging regulation and identifying the tensions between compliance and creativity in academia. Other related emerging issues that may impact compliance and creativity in academia, such as compliance with outcomes-based assessment, comparative study between public and private institutions, and the role of accreditation agencies within and across disciplines lie outside the primary focus of this paper and are noted here as potential future research topics.

This article investigates the challenges that academic leaders in Australian higher education confront when they strive to meet compliancy norms while also being inclined and expected to lead innovative practices in the design and delivery of scholarly teaching and research. It reports on the noted tensions that become visible as leaders in teaching and learning struggle to balance compliance and creativity. Strategies are recommended to enable leadership in teaching and learning so that an empowered leadership can positively impact the work environment, university community, and the institution as a whole. Within the context of this article, the terms *leaders* and *leadership in teaching and learning*, *academic faculty* and *academic staff* are used interchangeably, when appropriate, to refer to teaching staff within faculties and across tertiary institutions. Tertiary institutions are also labeled higher education and more specifically, universities.

Defining Leadership in Higher Education

The corporate transformation of Australian higher education introduced a high level of "strategic planning, budgeting, staff appraisals and quality assurance measures" (Kenny, 2009, 630), which has resulted in higher education institutions prioritizing efficiency as a corporate organization over effectiveness in teaching and learning. Academic values and autonomy can become derailed within corporate-like higher education institutions where government funding is closely connected to educational policy and strategic agendas, which results in their accountability to the political shifts of government officials. Toma (2007) suggests that the corporate approach polarizes academic agendas. On the one hand, faculty leaders value corporate agendas that focus on management goals, while on the other hand, academics are concerned with enhancing teaching and learning and are inclined to explore innovative and creative options. However, an underlying tension remains between meeting the teaching and learning goals of an academic agenda while simultaneously bowing to the pressures of compliance with corporate rules and regulations.

It is well recognized (Anderson & Johnson, 2006; Marshall, 2006) that leadership development is a significant area of concern among higher education professionals. How to develop leaders and what models of development are considered favorable are among the questions raised. However, the emphasis is usually on administrative leadership and how supervisors; course coordinators; and heads of units, departments, and schools can be groomed to become more effective leaders.

According to Marshall (2006), "developing leadership is usually regarded as a separate activity from developing one's professional capability as a teacher and learner" (6). In fact, it was Schratz (2006; as cited in O'Donoghue & Clarke, 2010) who argued quite recently that leadership and learning "belong in different domains of pedagogical discourse and are associated with different protagonists in the process of education" (153). It is deemed necessary to widen the net in terms of developing leaders in teaching and learning by creating opportunities for teaching staff to best use their leadership skills in leading teaching and learning initiatives with confidence and professional adeptness. How to do so in a highly regulated industry is problematic.

Nevertheless, if universities are to uphold their status as leaders of innovation and change in an increasingly diverse workplace environment, it is imperative to develop leaders who are flexible and innovative. In the specific context of higher education, which is bifurcated by regulation and compliance versus innovation and creativity, the critique of leadership becomes a matter of high importance.

Kenny (2009) and other scholars (Clegg & McAuley, 2005; Patterson, 2001) contend that a combination of linear models of management, "tight control over policy, a competitive ethos, and the management of academics" (Kenny, 2009, 633), along with an alignment to federal funding agencies—and political and bureaucratic priorities—typify current Australian higher education. This highly inflammable potion of corporate priorities in an academic environment gives rise to tensions between the roles and responsibilities of academics as teachers and academics as leaders. In investigating the challenges facing teachers as leaders in a compliance-oriented higher education environment, it is important to identify

optimal strategies to encourage and support academics to lead quality teaching and learning in innovative and creative ways, thereby tipping the balance in favor of quality teaching and learning being the primary goal of higher education.

Defining *leadership* is complex because there are as many notions of leadership as there are multiple contexts in which leaders thrive or fail. Leadership in higher education in Australia is a key point of discussion and debate arising from a need to identify suitable projects and programs that will develop and support effective leadership. As Australian higher education takes on a corporate image and operates as a provider of a commodity with goals of client and customer satisfaction, increased profit margins, and the securing of funds for enhancement of higher education agendas, developing leadership is a high priority. The literature (Kenny, 2009; Toma, 2007; Yielder & Codling, 2004) broadly embraces leadership in management from a corporate perspective while less emphasis is placed on leadership in teaching and learning development across all disciplines and all levels of academic practice. In many institutions, leadership has emerged as a split or divided phenomenon with leaders prioritizing administrative management and appointing a sub-manager to lead teaching and learning. We argue that teaching and learning needs to be re-prioritized as central to the management of university faculties in a model where leadership is manifested as the confluence of foci on administration, research, and teaching and learning.

Onsman (2002) maintains that it has proved difficult to clearly define *leadership,* and although there is a vast literature on leadership traits and behaviors, little is known about what *leadership* is. At best, it is a desired quality in various professions. Onsman claims that "leadership is a higher purpose activity than mere management and where management directs, leadership inspires" (32). In this article, *leadership in teaching and learning in higher education* is defined as the combined skills, attitudes, and knowledge of academics for leading research, teaching, and learning in creative, inspirational, and critically reflective ways.

Middlehurst (1997) reviews six perspectives on leadership (trait theories, behavioral studies, contingency theories, power and influence theories, cultural and symbolic theories, and cognitive perspectives) that come from various disciplines and define 20th-century thinking. She claims that "leadership is thus as difficult to define in theory as it is elusive to capture in practice" (3). Toward the latter part of the 20th century, leadership in higher education has embraced an economic model of governance that borrows heavily from the service industry. This model also imitates the class-based society in which leaders autocratically regulated work practices and subordinates were expected to comply with the norms of the industry. The 20th-century notion of leadership continues to frame leadership within such a hierarchical model. Middlehurst's review of past perspectives on leadership suggests that leadership literature speaks to an autocratic leadership model that upholds authority. Higher education in Australia is especially beset with a hierarchical model that demands both compliance with norms and standards as well as creativity to advance research and innovative teaching and learning practices. In this current model, there is little or no recognition that university academics are leaders in their own right and, by their primary role and responsibilities, should be leaders of teaching and learning. They exercise a fair degree of power in the classrooms and influence a diverse group of individuals, yet such professional freedom is often reduced through performance review processes that foster compliance and regulation rather than individual professional autonomy. This model can be evidenced not only in Australia but also in many higher education institutions throughout the Western world and more increasingly in the developing world (O'Donoghue & Clarke, 2010).

In universities where a top-down governance model of leadership has traditionally been evident:

> transactional leadership is exercised when a leader and followers undertake, as it were, a transaction: from the followers, an agreement to work toward the achievement of organizational goals; from the leader, an agreement to ensure good working conditions or, in some way, satisfy the needs of followers. (Caldwell & Spinks, 1992, 49)

Universities have endorsed this form of leadership through the appointments of heads and deans who are perceived to be capable of and efficient in leading academics in alignment with the strategic plans of the organization. A hierarchical structure of accountability is encouraged within this paradigm, with bonuses and promotions often used by transactional leaders for subordinates who work within organizational expectations and exhibit high levels of performance. Burns (1978) notes that explicit and implicit contractual relationships are evident in such transactional working cultures in organizations, and formal statements about the conditions of employment, rules, regulations, benefits, and disciplinary codes are articulated through performance review policies and procedures (4).

Historically, it is evident that leadership of this type, which is seen primarily as an exchange of relationships (Homans, 1992) and the offering of reward or compensation for desired behavior, is reasonably effective under most circumstances. The downside of this model may well be that university academics who do not hold leadership positions will continue to feel unmotivated, with teaching, learning, and research outputs becoming a matter of tradeoffs, thus developing a culture of "every person for himself or herself" (Bass & Riggio, 2006, 103). Evidence shows that transactional leadership can become coercive and result in high levels of stress and feelings of victimization for some academics (Atwater, Camobreco, Dionne, Avolio, & Lau, 1997; Bass & Riggio, 2006; Lussier & Achua, 2004; Seltzer, Numerof, & Bass, 1989). It is argued here that leadership of this type can also promote compliance and stifle creativity. As Lussier and Achua (2004) note, "transactional leadership *seeks to maintain stability* [rather than promote change] *within an organization through regular economic and social exchanges that achieve specific goals for both the leaders and followers*" (358).

In contrast, transformational leadership encourages academic leadership that subscribes to a culture of mutual trust, collegiality, and a shared vision for the organization. Transformational leadership in teaching and learning inspires the

achievement of personal and professional success through high performance outcomes, proactive organizational change and renewal actions, shared visions, and practices and policies that nurture leadership. This model of leadership ensures high levels of satisfaction and commitment (Barbuto, 2005; Feinberg, Ostroff, & Burke, 2005; McCormick & Conners, 2001; Spreitzer, Perttula, & Xin, 2005). Hall, Johnson, Wysocki, and Kepner (2002) position trust and confidence as the central qualities of transformational leaders who aspire to guide and encourage academics to actively contribute to the leadership of the organization in their areas of strength. In this context, academics find their day-to-day work more meaningful and recognize their individual significance in building teaching learning and research success within their organizational unit (Hay, 2007; Kelly, 2003; Stone, Russell, & Patterson, 2003) without fear of disapproval or ridicule (Kelly, 2003; Stone et al., 2003). This conceptualization of leading enables leadership in teaching and learning that values creativity and accommodates compliance. Caldwell and Spinks (1992) reiterate that

> [transactional leadership] may not ensure that the organisation achieves at a level of excellence or, if a change in direction or new levels of achievement are desired, that these will eventuate. . . . Transformational leaders succeed in gaining the commitment of followers to such a degree that these higher levels of accomplishment become virtually a moral imperative. (49)

At this point in time, universities are required to rethink their purpose, not only in terms of building the nation, but also in terms of offering quality education that is both authentic and compassionate in a highly competitive context, both nationally and internationally. Kreber (2013) asserts that

> authenticity *in* and *through* (the scholarship of) university teaching is a striving for meaning, purpose and connectedness, aimed at creating a better world in which to *teach* and *learn* and, ultimately, a better, that is a fairer, more compassionate and sustainable, *world.* (13)

With the international student market in Australia under threat, universities are compelled to review their offerings for ways that will attract clientele who will sustain their future. We argue that if teaching and learning are to be one of the

quality indicators for university status, then leadership in the university must move away from the "Fordist" paradigm to a "post-Fordist" one in which the educational equivalent of flexible specialization, driven by the imperatives of differentiated consumption, must replace the old assembly-line world of mass production. (Whitty et al., 1998, 40). There is little evidence in Australian universities that this is the case.

While transactional leadership is sustained in the university sector, a number of dilemmas will continue to exist. Academic and managerial leadership (Yielder & Codling, 2004) are defined as two separate forms of leadership that seem to coexist, though Kenny (2009) claims that these have to be reconciled in order to eliminate conflicts and tensions between decision-making and managerial leadership practices and academic leadership governed by the norms and values of active academic leaders. Corporate leadership norms and values differ widely (with more emphasis on control and compliance with policy and regulation) from university-based academic values and norms (upholding engaging pedagogies, critical inquiry, and reflective practice). Universities have to find common ground in order for their institutional vision and employee profiles to gravitate toward the same aspirations and goals. According to Kenny, "critical approaches to learning do not fit well within hierarchical managerial structures" (634). The transfer and exportation of corporate goals to higher education institutions in Australia has overlooked the need for careful consideration of their diverse contexts and cultures and the necessity of being well regarded for their quality of teaching and learning and scholarship, as well as their administrative efficiency.

Managerial leaders who frame leadership only in terms of compliance with policy and regulations in an academic organization are currently stifling both the academic potential of employees and the institution. The original goal of higher education—to grow the creative capacities and aspirations of their academic staff—is being obliterated by parochial administrators through the bureaucratic structures of governance that permeate contemporary organizations. Twale and De Luca (2008) argue that the current governance structures that focus on performance enable the possibility of "imbalances of power and sustained

incivility" (69). Mandated centralized processes of performance management impact how academics work within an organizational unit (Blau, 1994). Higher education academic faculties become isolated and within each unit, the professional autonomy of the academic can diminish as administrative agendas take priority over discipline interests and teaching and learning. Managerial performance review processes are rationalized as transparent and equitable approaches to staff management that ensure staff accountability. However, as Wright (2005) declares, these processes, in reality, favor and reward certain pursuits and reward particular types of workers while paying lip service to the importance of teaching and learning.

It has been argued that performance reviews that are central to the managerial regulation of the university academic can also leave faculty feeling vulnerable, particularly if their strengths are in teaching and learning rather than research. Such vulnerability can also be characterized by academic incivility based on misinterpretations of or dissonance with what constitutes "good teaching" forcing academics to shift toward compliance and conformity in order to protect their tenure and/or to be perceived by their manager as cooperative.

> Ensuring conformity to organisational goals by pressuring others to alter their existing behaviours to align with what they hear, see, and perceive may call for uncivil action or bullying [by managers] . . . action that becomes normative. (Ironside & Seifert, 2003)

Twale and De Luca (2008) argue that administrative structures that are autocratic foster academic incivility and power imbalances that leave teaching staff demoralized. Leaders of this autocratic type have been described as self-centered, power-hungry workers who are territorial, desiring status, highly competitive, challenged by others, and pushed to extremes by a "survival of the fittest mentality" (Weiner, 2002, 57). Further, it has been shown that leaders of this type are often rewarded for their leadership prowess in the university (Zapf & Einarsen, 2003). One has to ask how this can be so in the workplace context of higher education, where academic freedom and autonomy are paramount to ongoing scholarship (Dziech & Weiner, 1990). It can be argued that such

aspirations are no longer possible while superordinate-subordinate relationships are generated and supported by management in the interests of the efficiency of the organization. This is increasingly the case for academics who present as stellar pedagogues in contexts where good teaching is less likely to be rewarded and research and scholarship is highly rewarded by management. This is especially the case in Australia, where the new Excellence in Research Australia (ERA), or research assessment framework, is currently being enacted.

While universities continue to be considered as hubs of intellectual creativity and forums for the production of new and significant knowledge, it can be argued that mandated national regulatory discourses imposed upon universities have resulted in an ethos of compliance across the sector that stifles innovation, limits pedagogical engagement, and necessarily dictates performance orientation to ensure ongoing funding

Enabling Leadership in Teaching and Learning for a New Era

University academic staff must reclaim their rightful place in higher education as leaders in teaching and learning. We argue that if academics are empowered and provided with the relevant resources, support, and the highest recognition as leaders in teaching and learning, they will influence the path of leadership in higher education in a phenomenal way in the 21st century.

Looking to the future, higher education institutions are charged with the responsibility of inspiring higher education leadership models that promote authentic teaching and learning. Chickering et al. (2006) contend that it is important to "strive for an authenticity that is kind, caring, and socially responsible" (8). Since universities are investing their funding (taxpayer dollars) in teaching, learning, and research, they are obliged to provide academics with an environment that is conducive to their academic well-being and harnesses their creative energies. Higher education administrators have a moral and ethical responsibility and accountability (to their academic and professional staff, learners, and the communities whom they serve) to provide the best opportunities for enhancing leadership in teaching and learning.

If universities are to be recognized as learning organizations (Senge, 1990) capable of attracting highly creative knowledge workers (Cortada, 1998), new orientations to leadership in teaching and learning are required; orientations that foster the coexistence of compliance and creativity through specific constructs of leadership. Two sources of empirical literature are instructive. We first turn to the VIEW model of leadership advocated by Bennis and Nanus (2003), which consists of four key processes. We then propose the five principles of leadership for learning developed by the Cambridge Network (CN) (2009) as a way forward in confronting the existing compliance/creativity dilemmas that are inhibiting the organizational health of academic units in the current university context.

The VIEW Model

Bennis and Nanus (2003) identify four key processes of leadership as attention through vision, meaning through communications, trust through positioning, and deployment of self through positive self-regard and wisdom. Each of these attributes has been fully explored by Jones and Kilburn (2005), but of significance here is the unique element of wisdom being noted as central to leadership, a quality that Sternberg (2003) argues is of the utmost importance to leadership in times of organizational change. We argue that wisdom of scholarship in its fullness is a foundational quality that university leaders require if they are to successfully manage organizational units characterized by the tensions associated with the interplay of the discourses of compliance and creativity. Vaill (1998) portrays the quality of wisdom—in this case, the wisdom of scholarship—as a way of thinking by leaders who are deeply immersed in constantly changing situations fraught with contestation and yet able to act wisely in ways that benefit all stakeholders.

As Jones and Kilburn (2005) note, leaders of this type can call on wisdom as a fulcrum that balances overconfident knowing and overly cautious doubt in order to balance the demands for organizational compliance with individuals' desire for autonomy and innovation. Weick (1998) portrays such wisdom as requiring leaders to demonstrate the qualities of attentiveness, resilience, and improvisation; qualities that are acquired through experiential knowledge and a

true understanding of higher education rather than through omnipotent leadership theory. Jones and Kilburn (2005) argue that leadership enacted through wisdom is characterized in a particular way. This interpretation has been adapted for the purposes of this article to argue that leaders who demonstrate a wisdom of scholarship

- uphold refined levels of consciousness of a unique nature in teaching, learning, and research in the contemporary contexts of higher education;
- juxtapose deep experiential knowledge of research, teaching, and learning with the administrative expertise to shape and lead the work of academics;
- reflect high levels of sensitivity to their personal power of choice and discernment and the power of choice of others with regard to expertise, autonomy, and professional practice in higher education;
- value the place of the internal locus of control that accompanies professional expertise and the centrality of self in distributing the leadership of organizations;
- sustain an open mind when interacting with and leading academic staff in relation to teaching, learning, and research;
- value the place of inclusiveness in striving toward the common good;
- are able to balance the interests of self, others, and the organization; and
- make decisions using honesty, logic, and reasonableness.

It is argued that leadership through the wisdom of scholarship invites new ways of thinking within academic units that juxtapose the organization with the individual through the confluence of vision, influence, organizational effectiveness, experiential knowledge, and innovation. However, as Srivastva and Cooperrider (1998) argue, “precisely at a time when we sense the need for wisdom is higher than ever it appears, paradoxically, to be less and less available” (3).

The Cambridge Network

The Cambridge Network (2009) proposes five principles of leading for learning that form a platform on which sustainable visionary leadership of this type can be built.

Principle 1: Maintaining a Focus on Learning as an Activity. O'Donoghue and Clarke (2010) argue that learning and leadership are mutually supportive of one another in educational institutions. While the cases that they present are situated in the schooling context, the academic faculty at Australian universities must surely see the relevance in this argument. If the core business of universities is learning, and, if the core focus of successful university leadership recognizes that universities are places of learning for students *and* staff, then it makes good sense to argue that the core focus of leadership in university faculties should be on learning, not solely on regulation.

While the global literature on higher education is currently overwhelmed by the importance of pedagogy; engagement; and the alignment of teaching, learning, and assessment, the literature on higher education management focuses on regulation, outcomes, and the efficiency of organizational leadership. We argue that this is the result of the bifurcation of the work of university academics into two worlds—one of teaching, learning, and research and one of performance review. This disjunction impacts the work of many academics as the demand for regulation surpasses their desire and commitment to innovation and creativity.

Principle 2: Creating Conditions Favorable to Learning. The CN highlights the importance of nurturing a culture that enables the growth and enhancement of learning as the core business of the organization. When tensions are generated through the clashing of the discourses on compliance and creativity, it becomes incumbent on university leaders to recreate organizational conditions that are favorable to learning. This principle celebrates the interplay of learning (and teaching), leadership, and organizational culture. Implicit in this principle is a shift from leadership focusing on reductionist concepts of compliance to focusing on growth and development that promotes efficacy and agency (O'Donoghue & Clarke, 2010, 155), creating conditions conducive to innovation and creativity.

O'Donoghue and Clarke are emphatic that an indispensable component of this culture must be trust and openness—the levers of cooperative action and social capital (Louis, 2007)—in contrast to the controlling power dimensions of leadership that foster regulations and compliance. These conditions, through a particular type of leadership, create spaces (intellectual, physical, social, and cultural) in which academics can be inspired to generate innovative and creative professional practices.

Principle 3: Creating a Dialogue About the Connections Between Leadership and Learning. In making explicit the critical connections between leadership, learning, teaching, and research through transparent, collegial dialogue, university leadership can place the scholarship of academic work (rather than the regulation of academic work) as the focus of the management of the organizational unit. The bifurcated process of separating management and academic work is confronted as learning is placed in the foreground and as leadership becomes a shared or distributed responsibility. Teaching and learning is no longer relegated to a sub-unit such as a teaching and learning committee. Rather, the sharing of values publicly through visible discussion and decision making leads to a scholarship of teaching, learning, and research that becomes the central to the management and administration within the unit. University academics are able to reclaim the leadership of research, teaching, and learning through critical dialogue within their community.

Principle 4: Sharing Leadership. This principle advocates that the wisdom of the university leader is best utilized through a distributed and transformational model of leadership for learning. As teams of academics come together in collaborative leadership, the collective wisdom of the unit is harnessed. As all staff members are encouraged to engage in leadership in their areas of expertise, and they are valued and respected for doing so, patterns of work are reshaped to promote teams of academic workers; comfortable critique and reconstruction of teaching, learning, and research; and the delegation of authority aligned with a vision of shared and transformational leading for learning.

Within this model, leaders in the university sector are required to ascertain a sustainable vision that shapes research, learning, and teaching for academic units as well as the policies, priorities, plans, and procedures pervading the day-to-day life of the unit (Beare, Caldwell, & Millikan 1989, 99). Leaders of this type call on the expert knowledge of academics within the faculty and refrain from focusing only on quantitative goals and outcomes, rendering regulation from the top-down unnecessary. Visionary leaders focus their attention on the way work is organized and, particularly, on how continuous learning is integrated into day-to-day activity (Sergiovanni, 1990). Leaders of this type, who value the wisdom of scholarship:

- enable high-performing teams (Stoner & Stoner, 2012) to achieve higher levels of excellence (Ng, 2008),
- facilitate conditions in which academics can better cope with ongoing global changes that impact organizations such as universities (Fidler, 1997),
- encourage good habits of professional engagement (Ritchhart & Perkins, 2008), and
- engineer organizational cultural transformations more effectively (Sashkin, 1996).

Principle 5: Fostering a Shared Sense of Accountability. The auditing discourse that permeates Australian universities is largely responsible for the shift of university leadership to a focus on regulation and compliance. University leaders and academics have become dutiful slaves to their auditing masters and, as a result, accountability rests firmly in the hands of university leaders. In a context of neo-liberal regulation, it is difficult to imagine how visionary leadership for learning can be anything other than a pipe dream. University leaders must confront this view of accountability as surveillance (O'Donoghue & Clarke, 2010, 159) if the Cambridge Network (2009) principles are to be effectively implemented. The Cambridge Network framework argues for a form of accountability that is shared and focuses on self-evaluation; evidence-based review of professional practices; and congruence between vision, values, and

practices. It is purported that such internal accountability provides the necessary results for the mandated accountability and reporting to external agencies.

Conclusion

This article aims to raise the critical consciousness of higher education academics and administrators and to initiate an inquiry into the suitability of the traditional notion of corporate leadership that has been integrated into Australian higher education. Such an inquiry could be significant in the international higher education landscape. It raises questions about "the widespread adoption of the corporate management paradigm" (Kenny, 2009, 632) that has clearly impacted and changed the nature of academic work (Marshall, 2006). We contend that the quality of scholarship is in jeopardy if academics are expected to respond purely as corporate employees without recognition of the critical and creative nature of their academic work. In Australian higher education, a new form of leadership based on the wisdom of scholarship is required if the compliance versus creativity dilemma is to be overcome.

While universities continue to be considered as hubs of intellectual creativity and forums for the production of new and significant knowledge, it can be argued that mandated national regulatory discourses imposed upon universities have resulted in an ethos of compliance across the sector that stifles innovation, limits pedagogical engagement, and relies on performance to ensure ongoing funding. The early framing of a proposed new model of leadership calls for the appointment of university leaders who are administratively adept but also capable of upholding a leadership commitment based on the wisdom of scholarship. Further, such leadership is to be aligned to the five principles of leadership advocated by the Cambridge Network (2009) with a shift to leadership for learning. The confluence of the wisdom of scholarship, leadership, and learning invites university academics to reclaim leadership in teaching and learning in higher education and reposition learning—rather than regulation—as the core of academic work. It is timely for university leaders and academics to collectively and visibly reconstitute the nature of academic work away from

market-driven commodification and compliance and return to the traditional mission of the university to improve the public good (Duderstadt & Womack, 2003). Giroux (in his interview with Tristan, 2013) reiterates the need to reshape higher education agendas from commodification to their core mission and poses an important challenge to Australian higher education and the international higher education network. He contends that it is time to reframe “education as a democratic project” so that learners are “engaged critical citizens willing to fight for a sustainable and just society” (question 6). Learners can only be inspired toward building sustainable societies through enabled leadership in teaching and learning.

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Tania Aspland, PhD, is the national head of education at the Australian Catholic University in Sydney, Australia. A leader in course development in the field of teacher education, Professor Aspland has also instigated new models of professional development within schools and universities, helping them to support curriculum development and leadership. She can be reached at tania.aspland@acu.edu.au.

Fay Patel, PhD, is a senior lecturer and team leader in the Deakin Learning Futures Course Enhancement Project at Deakin University in Melbourne, Australia. As an educational development consultant within an interdisciplinary and international context, Dr. Patel advises on learning and assessment design. She contributes critical perspectives on online learning, global engagement, and glocalization as an alternative to the internationalization of the curriculum. She can be reached at dr.fay.patel@gmail.com.

Transformational Leadership in a Kibbutz Factory: An Israeli Case Study*

Yaffa Moskovich
Zefat Academic College

Yuval Achouch
Western Galilee College, Acre-Israel

This article examines the effects of the manager's transitional style on organizational culture in the Bereshit factory. The study was conducted using qualitative research methods through interviews with 30 informants and analysis of documents from the kibbutz factory. The findings show that the manager's transformational leadership style caused cultural change in the kibbutz factory—from a collectivist culture into a far more capitalistic one. Today, the factory is managed along purely business lines with minimum obligations toward individuals. To achieve this, the new manager reshaped the organization by adopting an innovative and transparent approach, and initiated human change by firing the old generation and recruiting a new and younger staff. While in his perception he was promoting a homelike atmosphere, his new leadership style created friction and tension in the factory.

Key words: cultural change, kibbutz factory, transformational leadership

The processes involved in the development of capitalism and globalization have caused deep changes to the value system of Israeli society. Once a society dedicated to promoting the collective and national ideal, Israel is now committed to materialism and individualism, having abandoned its socialist and social welfare roots for a neoliberal capitalism (Samuel & Harpaz, 2004). Israeli kibbutzim, once the symbol of collectivism, have not escaped this upheaval and have sunk into a prolonged crisis in its wake (Palgi, 1994). Among numerous changes, Israeli kibbutzim have introduced new styles of leadership to meet competitive capitalistic challenges.

This case study describes the changes that befell the collective factory Bereshit in the aftermath of hiring a new general manager from outside the kibbutz from the perspective of organizational leadership style. The goal was to find what the cultural effects of transformational leadership style would be on a kibbutz factory.

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Transformational Leadership

Transformational leadership is a leadership style in which a leader possesses charisma and provides intellectual stimulation, inspiration, and motivation to followers (Avolio & Bass, 1988; Bass, 1988; Bass & Avolio, 1994; Burns, 1978; Yukl, 1989). Bass (1990) mentions three elements in transformational leadership: charisma, intellectual stimulus of the followers, and consideration of individual worker needs. *Charisma* is a fire that ignites the followers' energy and commitment beyond the call of duty (Klein & House, 1995). Popper and Ronen (1989) add another element in transformational leadership: the leader becomes an example and a role model to the followers. In this way, he or she inspires and educates followers to new beliefs and attitudes.

Interest in transformational leadership began in the United States during the 1980s. American organizations wanted to find out how a leader could implement internal change and accustom an organization to a turbulent environment (Yukl, 2006). The process of change affects the organization's structure, its culture, and employee commitment and motivation. Transformational leadership motivates followers to identify with the leader's vision. Under a transformational leader, subordinates are willing to sacrifice self-interest for the benefit of the organization. Transformational leadership has the ability to contribute to job satisfaction and to improve workers' performance in a range of sectors (Bass, 1990; House, Spangler, & Woycke, 1991; Podsakoff, MacKenzie, & Bommer, 1996). Under such conditions, a leader will fulfill organizational goals (Yukl, 2006).

Transformational leadership differs from transactional leadership. A transactional leader motivates workers through material incentives, while a transformational leader appeals to employee's ideals, values, and beliefs (Bass, 1988; Lyons, 2007).The latter promotes high standards and morals among the workers, unlike the former, who tries to buy the workers and seduce them through benefits. A transformational leader envisages the needs of his workers in terms of self-growth and fulfillment. Transformational leaders can successfully handle organizational change; they provide their employees with vision,

inspiration, and commitment to work (Kouzes & Posner, 1988). It is critical for a leader to motivate his or her group toward change (Kotter, 1995).

According to Bass and Avolio (1993), "transformational leaders change their organization's culture with a new vision and a revision of shared assumptions, values, and norms," (112). A transformational leader facilitates the promotion of a culture of autonomous group member behavior (Eisenbach, Watson, & Pillai, 1999) and has the ability to initiate, facilitate, and conduct organizational change (Warrick, 2009). The leader is successful when the employees are involved in the transformational process. A transformational leader creates a culture that supports organizational change, prevents resistance from organization members (Eisenbach et al., 1999), and is able to change the followers' goals and beliefs (Kuhnert & Lewis, 1987). Transformational leaders create a change in cultural values to reflect greater innovation (Pawar & Eastman, 1997). In turbulent environments, transformational leaders are more effective because they are more innovative and seek new ways of working, while producing effective and efficient answers to cope with disruptions resulting from change (Beugré, Acar, & Braun, 2006).

Kibbutz Industry

In the past, the kibbutz factory fell between two worlds with differing cultural underpinnings. As part of the wider Israeli economy, it needed to adhere to capitalistic principles, including price competitiveness and quality at home and abroad. But it was also subordinate to a system whose principles included equality and participation. This duality is best illustrated by the salary system: outside workers were paid salaries according to their work, while kibbutz member workers received the same pay as all other members, regardless of job, with the money being paid into the kibbutz coffers for later distribution to all its members according to perceived need. Similarly, the classic kibbutz value of informality was expressed by maintaining no distances between managers and line workers (no job hierarchy), and a lack of status symbols such as privately owned cars, since all were owned by the collective (Elmaliach, 2009; Palgi, 1994).

The kibbutz factory, like every organization, is subject to environmental influences and must adapt to new conditions. After the drawn-out crisis of the mid-1980s, the collective movement embarked on a process of radical change. While the first steps were completed by the mid-1990s, the cooperative foundations of the kibbutz had not yet been undermined (Rosner & Getz, 1996), but the second wave that spread throughout the kibbutzim from the 1990s on forced the government and the kibbutz movements to redefine the concept of "kibbutz" (Ben-Raphael & Topel, 2009). In this second wave, two profound changes stand out:

- The budget was no longer distributed among members according to the needs of families and individuals; instead, salaries reflected each member's contribution to the kibbutz economy.
- Collective ownership of kibbutz assets, such as dwellings and factories, was a thing of the past; private ownership with inheritance rights was the new reality.

By 2010, close to 75% of the kibbutzim had adopted a wage system, together with a system of ascription of assets (Getz, 2010). This signified the end of the cooperative kibbutz, wherein the kibbutz serves the group through a close integration of the socioeconomic institutions, and the change to the differential kibbutz, which recognizes the economic autonomy of its branches and is motivated by market competition and not by the commitment to members (Levi, 2001).

The Bereshit Factory

Kibbutz Bereshit was founded in 1940 by refugees from Germany and Austria, and the factory was built in 1947. The factory first produced household utensils, moving later to production of plastic items and filing and storage solutions. Today, the factory specializes in providing pipe system solutions for buildings. Over the years, the factory made a substantial financial contribution to the kibbutz, which entered the period of kibbutz upheaval in a relatively secure financial position. After a period of impressive growth at the start of the 1990s,

due both to acceleration in building and the influx of Russian immigration, the kibbutz entered a period of stagnation. The economic fortification of the 1980s and 1990s did not shield the kibbutz from the crisis that affected the collective movement. Other kibbutzim that had fallen into economic depression claimed that their situation resulted from the cooperative organization itself, and, therefore, there was no alternative but to privatize. In contrast, kibbutz Bereshit held that in view of what was occurring in the kibbutz movement, it was preferable to initiate the change from a position of economic power and not to wait for hardship to arrive, because then the change would be more painful and would incur social distress. Therefore, like the majority of the kibbutzim, Bereshit had, by 2003, undergone a process of change that led to the revocation of the collective budget method and the adoption of the salary method.

As happened in many kibbutzim, the process of change amplified the tensions between various social groups within the kibbutz (Rosner et al., 2004). Such tensions also found expression in complaints to the registrar of the collectives, dealing mainly with irregularities in the decision-making process. The global financial crisis of 2007–2009 undermined the factory's stability, culminating in losses for the year 2008 and the replacement of the manager at the end of the year. For the first time in the annals of the factory, a manager who was not a member of Bereshit, but of a different kibbutz that had already undergone privatization, was appointed. Currently the factory has 120 workers, only half of whom are kibbutz members.

Method

We conducted 30 interviews between 2009 and 2011 in two rounds. We interviewed the newly appointed general manager; senior factory managers; the accounts manager, the operations, production, and marketing managers, the engineering department manager, and the assistant manager of development. We also interviewed two retired general managers and veteran workers, as well as members of the workers' committee who had worked before and during the change process, and finally, senior factory secretaries. The analysis of these in

depth interviews, conducted only a few months after the new factory manager came on board, allowed us to identify the main issues at Bereshit following the managerial change.

After a year, we conducted a second round of semi-structured interviews with key factory workers and the general manager. The interviewees were selected using purposeful sampling to include workers from all levels, women and men, kibbutz members, and employees. In general, the researchers enjoyed the full cooperation of the interviewees, thanks to the general manager who granted the researchers complete access for the purposes of the study. Privacy was ensured through the use of fictitious names. While focused on the previously identified issues, the second round of interviews allowed for identification of new issues that had arisen during the ongoing process of transformation initiated by the new factory manager.

In addition to the interviews, we analyzed many factory documents, which included brochures summarizing the achievements of the factory; an organizational analysis report by an organizational advisor appointed by the managing director; and strategic reports for the years 2008 to 2010. Another important resource for analyzing the organizational culture was the monthly newsletter issued by the factory, describing central events in the life of the factory. To complete the picture, pertinent articles about the factory were gathered from the local daily newspapers.

Conclusions were drawn on both an inductive and deductive basis. The research was started as fieldwork based on interviews, document analysis, and observations in the factory. The categories that grew from the preliminary analysis directed the researchers in their additional round of data collection, as is customarily done (Glaser & Strauss, 1967; Strauss & Corbin, 1990).

The interviews and documents were analyzed using the topic analysis method (Shkedi, 2003), which is based on organizing, sorting, and arranging the data into categories that make them meaningful. This enabled us to interpret the data and build a narrative about the cultural change in the organization. As a gradual process of abstraction, the analysis also made it possible, in the last stage of the

process, to link the narrative to the theoretical literature on organizational culture for purpose of analytic generalization (Yin, 2013).

Results

In the aftermath of the crisis, the incoming general manager, representing all-encompassing reform, was helped by the organizational advisor who recommended changing the factory structure to one more professional and specialized (Bereshit Factory, 2009b). Interviewees made unflattering comparisons between the time before and after the new manager and his management style. The initial analysis revealed a number of topics that were central to the change of values and the attempt to create a new culture.

Innovative Leadership Style

The new general manager is very innovative and has implemented a lot of changes, in deep contrast to his predecessor. The former general manager, who served from 1996 to 2008, was described as conservative in his managerial style, concerned with preserving the status quo and being unwilling to change. He was portrayed as introverted and distant, and was inclined to involve only a limited inner circle of veteran kibbutz members in making decisions.

During his stewardship, no new products were developed; office lines continued to be produced even after the market showed that there was no longer any demand for products that had rapidly became obsolete following the massive penetration of computers into the office environment.

Innovation is important for the new general manager and has been expressed in different ways. First, the new manager noticed a complete absence of strategy in the factory. So he brought about 18 key workers together in a workshop to draw up a vision statement. Second, he established a managerial body comprised of seven people in professional and managerial roles. This group is the executive arm responsible for devising strategy based on the vision statement. The factory was modernized with the development of new products, and new technology was introduced through the acquisition of new production line equipment and computer programs for more efficient management, yielding

up-to-date information about production and marketing. In addition, a workshop on innovation led to the creation of a taskforce on modernization, which works continuously to come up with innovative ideas for the factory. For example, in the 2008 annual report, the manager stated his intention of initiating the production of greywater management systems (Bereshit Factory, 2009a). This concept of innovation is also reflected in the newly created vision statement: "Bereshit will excel in the development and production of innovative solutions offering added value to the customers" (Bereshit Factory, 2008b.)

Transparent Leadership Style

In contrast to their perception of the past, Bereshit workers today characterize the general manager style as being open and transparent, encouraging a remarkable level of worker participation. Information on whatever is happening in the factory and on marketing activity is disseminated in monthly workers' meetings. In these meetings, instigated by the general manager, outstanding workers are commended, and retiring workers are thanked. Another initiative of his, reflecting his desire to keep the workers constantly informed, is the monthly newsletter, *Hazerem Shel Bereshit* [Bereshit Journal], which summarizes the monthly meetings through words and photos. When he started, the general manager wrote that it was his intention "to publish a detailed biannual general manager's report so that the workers would be updated on this important asset; and in addition, from time to time to publish more limited bulletins" (Bereshit Factory, 2008a).

The workers also remarked on the new general manager's openness and accessibility and on his habit of visiting different departments each day and discussing matters with the staff. "You don't see a person who shuts himself up in his office and counts the money," said one worker. "You see someone who has the common touch, who comes and talks to you and gives you this sense of warmth, of security." On taking up his position, the general manager initiated an open-door policy in which the workers could talk to him without an appointment. In the words of one worker: "I can drop in, and he will receive me. If I had tried it with the previous manager, he would have hidden the papers on his desk as if I

had come to spy—not a good feeling." The new policy was also adopted by the human resources manager.

In contrast to such encouraging signs, several workers have distanced themselves from the new style of management and claim that the general manager, hypocritical and manipulative, merely displays an apparent openness. This would appear to be one of the reasons that a substantial number of workers do not attend the monthly meetings.

New Leadership Style: Implementing Human Change

The new general manager is young and, understandably, feels the need to rejuvenate the factory. The old kibbutz was devoted to socialistic work orientation, kibbutz members worked as long as they wanted and there was no official or standard retirement age. According to the new general manager, "the collective ideals maintained roles based on loyalty, even for those who did not effectively contribute to the factory." He believed that the former general manager had been kept on because he had been seen as a kind of "tribal elder," having filled various roles in his 30 years of service, including those held for long periods of time without rotation, such as finance manager and engineering manager. In his view, there was no such thing as retiring from a position. Hardly surprisingly, the new manager decided to enforce age-based retirement by the end of 2010.

Moreover, over the years, a number of veteran kibbutz members had entrenched themselves in management roles, creating an atmosphere of stagnation, of being "stuck in a rut." The one most suited to describe this was the general manager's secretary. According to her, "in the past, there was no reserve manager pool. No one in the kibbutz was being trained, but at the same time, no one from the outside was given a chance, and the majority of the managers were elderly."

By the end of 2010, the senior management and veteran workers had left the factory. The marketing manager had already retired in December 2009, and toward the end of 2010, both the national sales manager and one of the senior directors who had also served as general manager in the past retired; they were

followed by one of the veteran service staff, the finance manager, and the development manager (Bereshit Factory, 2010a, 2010b, 2010c).

New retirement norms do not go down easily among veteran kibbutz factory workers, who have a reverential attitude toward work and a strong sense of identity with, and a sense of collective ownership of, the assets of the kibbutz. Some workers considered the process unjust:

> I was working and suddenly, I wasn't working any longer. This kibbutz factory is not like normal factories where you can simply tell the worker that he has arrived at pensionable age and has to retire. No, I am a member; I have a stake here, like everyone else. It belongs to me far more than to someone who tells me to go home because I don't belong anymore, since he is not a member, merely an employee.

The general manager, however, has defended his policy as necessary for efficiency. "We have updated lines and changed workers," he says. "I have gone to great lengths to consolidate a new generation of workers and have met with the kibbutz youngsters in order to locate the next generation of workers."

Leadership Based on Universal Criteria

In the old-style kibbutz, social stratification in a factory resulted from ascribed status rather than on merit-based professional criteria. A worker would receive a senior appointment by virtue of being a kibbutz member more than by virtue of his professional competency. Thus the old management style was familial and primary, and there was no petty settling of accounts, according to the factory manager. "The trigger finger was a lot slacker, i.e., we did not rush to fire a kibbutz member." This loyalty to kibbutz members and the promotion of their interests above all led to serious economic damage. Before the new general manager was appointed, kibbutz members expected to receive preferential treatment. According to the human resources manager, the very fact of being a kibbutz member gave them such expectations. In contrast, the new general manager does not discriminate between members and other employees, as reported by the production manager: "Since the new general manager started, the factory has been clearly separated from the kibbutz and is today an economic business with equality between workers and no differentiation between members

and employees—something that is very important to the current manager." In an interview, the general manager agreed: "An organization depends on people and their positions in it. When I started, there was a veteran, cohesive staff of whom not all were suited to their jobs." This assessment is what led him to change the factory organization. The factory engineer, a kibbutz member, had no training for his position and preferred to resign rather than be compelled to leave. Similarly, the production manager was not suited to her position, according to the general manager, and moved to a different position. During the general manager's first year, a number of workers left or were compelled to do so, and others changed positions. These changes understandably led to feelings of unrest and uncertainty.

Since the new manager started, the slogan for taking on new workers has been "the right person in the right place." In the past, the factory had to adapt itself to the demands of the kibbutz and provide employment first to members—even if they had no appropriate training or experience. The new general manager is far more selective and demands that a candidate suit a position in terms of training or experience, as is the norm in the labor market outside the kibbutz. Members are given preference over an external candidate only if both have identical qualifications for the job. But, as the human resource manager notes, "18 months ago, we advertised for an assistant marketing manager, and two candidates from the kibbutz applied but were disqualified right at the start. In short, there is really no fit between the demands of the factory and the qualifications of members who apply to work here."

Leading Bereshit with a Familial Approach

Many of the workers we interviewed spoke of the factory as "home." The new general manager fosters this approach through meetings in which anyone could debrief him "on any subject to do with me or the company management" (Bereshit Factory, 2008a). This familial approach is also reflected in the factory's vision statement: "Bereshit will create a stable, dependable, and familial framework for its staff that will make them feel involved and committed to caring about their work" (Bereshit Factory, 2008b).

One of the central familial values is maintaining the aesthetic appearance of a home for family relaxation and enjoyment. Accordingly, the decision was made to upgrade the factory's appearance "to create a single entrance, to create an abode that would give staff a calm, comfortable, and enjoyable feeling" (Bereshit Factory, 2009c).

The familial approach is further promoted in the *Bereshit Journal* through the publication of personal stories, birthday congratulations, and accolades for outstanding workers. The newsletter is also used to acknowledge staff members who contribute to the success of projects so that a feeling of pride and solidarity is created. The message is that the factory is not merely a workplace, but rather a primary familial framework, a place in which to feel solidarity and kinship. Factory staff members send best wishes to those leaving, writing complimentary notes about their work and their contributions to the factory. When the previous general manager was relieved of his position, an entire issue of the monthly publication was devoted to him and his years of service (Bereshit Factory, 2008a). However, the question arises that if everything was so wonderful while he was leading the factory, why was the factory beset by difficulties and crisis? As in many families, the staff felt the need to present a united front, but as discussed earlier, the interviews revealed that the former general manager was deeply conservative and led the factory into stagnation and away from growth and regeneration.

Discussion

This case study shows that the new general manager is a transformational leader (Avolio & Bass, 1988; Bass, 1988; Bass & Avolio, 1993, 1994; Burns, 1978; Eisenbach et al., 1999; Warrick, 2009, 2011; Yukl, 1989, 2006). For instance, he encourages his workers not to smoke in the plant and thus create a better environment in the factory. The new young workers see the general manager as an example to follow. As a leader, he has had great influence in shaping the organizational culture in the factory. By recruiting workers who share his beliefs and attitudes, the new general manager has created an organizational culture

that suits the factory's needs (Beugré et al., 2006; Schein, 1985), ascribing to the following codes: honest reporting, professionalism, ambition, risk-taking, innovation, loyalty to the organization, solidarity, and collegiality. While a transactional leader uses rewards as an extrinsic incentive to motivate his workers, the Bereshit general manager motivates his workers mainly through intrinsic incentives, becoming a role model to his workers. His style cannot be considered reward-based, although he promoted innovative and hard workers. As a transformational leader, he has tried to change the organizational culture and adapt the factory to a capitalist orientation (Bass & Avolio, 1993; Eisenbach et al., 1999) to make the factory more compatible with environmental dynamics (Bass & Bass, 2008).

The more time passes, the more the general manager can succeed in recruiting new staff members who support him and his view of management. As manager, it is within his power to create the culture and ambience in the factory, but worker resistance does not disappear; instead, workers join the labor unions—the Histadrut. Committee members who rejected the manager's approach were fired and labeled "troublemakers." It should be emphasized that the general manager is supported by the kibbutz management, and he has their backing in carrying out personnel changes in the factory.

The monthly newsletter functions as a mechanism for informal normative supervision, since it is carried out indirectly and unperceived. The general manager's purpose is to strengthen social cohesiveness and loyalty to him and the factory. The newsletters announce upcoming outings, farewell parties and birthdays and report on topics raised in the monthly meetings. These events are commemorated in photos to tell the story of one big, happy family, with no mention of hidden confrontations or struggles. The newsletters have the ceremonial and symbolic function of serving as a platform for the factory's successful social events while also supplying pertinent internal and external information. On the one hand, staff and kibbutz members can learn about what is happening in Bereshit, and on the other, the newsletter serves as the factory's business card and display window to the outside world. The newsletter is a

selective source of information, in line with the new management's worldview, and is intended to guide staff members toward internalizing the "correct" Bereshit culture.

The openness (Bass & Avolio, 1993) of the general manager is perceived as counterfeit by some of the workers who resist the new policy, so they keep their distance from the general manager. In contrast, newly appointed staff members maintain close and frank work relations with him. One could therefore claim that the manager's openness is selective, according to the degree of acceptability of the worker in the manager's eyes.

The cultural change in the factory was intended as a way to cope with a changing competitive environment; in a capitalist society, it is difficult to run a factory on socialist lines. The culture of the new general manager is an outcome of the demands and expectations of his role. As an external manager, he has no ties to the kibbutz and is free to institute changes (Beugré et al., 2006; Kuhnert & Lewis, 1987; Palgi, 1994; Pawar & Eastman, 1997). He is unburdened by loyalty and personal commitment. Conversely, previous general managers, all kibbutz members, were unable to execute much-needed reforms because they could not fire a worker who was a kibbutz member. If the factory hadn't been experiencing difficulties, the kibbutz management would not have taken the extraordinary step of hiring an external general manager. This contradictory approach highlights the existence of organizational subcultures (Kunda, 2000; Raz, 2004), as indeed at Bereshit, there exist different groups of workers cohered around shared interests, values, and norms, forming subcultures as follows.

Management (middle and senior) accentuates the positive. These staff members identify with the general manager's new norms—capitalistic, achievement-oriented, and universal—that have become part of the dominant factory culture.

Veteran production employees constitute a different subculture that does not view the changes in a positive light, especially as some suffered in the wake of the changes. These workers, active on the workers' committee, recently joined

the Histadrut and forced the general manager to sign a collective work agreement.

Kibbutz members in junior positions criticize the uncertainty and negativity in the new organizational culture of the Bereshit factory. Being kibbutz members means that, by law, there can be no employer-employee relationships between themselves and the kibbutz branch they work in, and the Histadrut and the workers' committee cannot represent them. They are the weakest link, totally without power vis-à-vis the management.

In the aftermath of globalization, kibbutz society underwent far-reaching changes. From a pioneering, ideologically collective group at the vanguard of Israeli society, kibbutzim lost their exclusivity and embraced consumerism and achievement-oriented goals (Palgi, 1994; Samuel & Harpaz, 2004). Some of the kibbutz members have adopted the new values, while others adhere to the old, such as neighborliness and particularism toward kibbutz members, the traditional collective values.

The Bereshit factory can be seen as a microcosm of these cultural changes. Whereas in the past, significance was attached to the term *member of the collective* in a tribal, familial, and particularistic sense, the current reality has robbed the expression of all meaning. The elderly veteran member with his traditional rights has ceded his place to young professionals who can deliver the goods to the new management. The new manager has introduced a cultural change compatible with his conceptions but opposed to the interests of certain kibbutz members, and this inevitably has led to factory-internal conflict.

The new manager puts great emphasis on free market values, where there is no place for tribal loyalty or primary emotional sentiments. The dominant culture in the factory has adopted values of achievement, innovation, universalism, and transparency, all compatible with the capitalistic free market. This culture has no place for the egalitarianism of the past. The resentment felt by junior staff has resulted from the many-layered changes and is expressed both materially and symbolically. The division of roles that followed the appointment of the new general manager has strengthened the ranking system in the factory, in which

senior managers enjoy exclusive privileges. New vehicles distributed according to seniority, fancy offices, and more—all of these have upset the delicate balance that existed in the classic kibbutz factory. Kibbutz members in junior positions today hanker for days gone by, and cannot reconcile themselves with the new general manager's insistence on the image of "house" and "family."

As a kibbutz member himself, the general manager understands the power of long-standing symbols for enlisting support from staff as well as from kibbutz members who are not involved in the factory. Organizational ceremonies and familial images ease the passage from old values to new. Factory staff who are also veteran kibbutz members find it hard to adapt, particularly so when there is a personal price to pay. Moreover, the agreement between the kibbutz and factory management makes it harder for them to voice their dissent. It is particularly hard when factory staff members are also kibbutz members and, *ipso facto*, the factory owners. The alliance between the factory leader and the kibbutz management neutralizes any opposition within or without the factory walls.

It is important to point out that, in other factories, managers have also taken pains to preserve the image of factory as home and family. The factory-as-family narrative has become the accepted way for organizations to harness workers to management targets (Morgan, 2006). Together with this, one can construe the factory-as-family concept as the ideological offspring of Bereshit. After all, the early social collectivism in Israel was expressed through the idea of the group (the commune) as a substitute for the family (Fogiel-Bijaoui & Shefer, 1992). Managing the Bereshit factory by fostering the factory as family has a strong historical and cultural basis in the cooperative lifestyle. The appeal of the collective framework is stronger by far in the Bereshit factory than in non-kibbutz factories, where workers have no tradition of sharing everything. In fact, the collectivist tradition of the classic kibbutz probably helps the management wear down resistance to its organizational reforms.

We have found that the new leader of Bereshit has adopted a dual set of values that varies expediently. On the one hand, the factory no longer bows to collectivism: staff members are chosen on the basis of profitability, output, and

usefulness. On the other, workers are expected to be loyal and to feel a sense of collective commitment and responsibility toward the factory. Management's ethical codes are based on the capitalist world's values of universalism and materialism, but the general manager also expects staff to adhere to the old collective values. These are the image of the organization as home or family, so prominent in the factory of old, and the demand that workers relate to the workplace on the emotional basis of a primary relationship so that they can nurture it and feel that the factory's success is due to their unswerving allegiance and devotion. It is probable that the general manager, in his transformational style, with his intimate knowledge of kibbutz life, might well understand how to manipulate their collectivist values for the benefit of the factory.

The general manager's manipulative behavior also explains the problems he has experienced in establishing trust and commitment from his employees and veteran kibbutz workers in his aim of successfully leading organizational change (Kotter, 1995). He inspired in his vision only the senior managers in the factory, who understood the need for his radical steps (Kouzes & Posner, 1988; Lyons, 2007).

This study shows how difficult it is for transformational leaders to prevent resistance to cultural change. Although the literature emphasizes the role of the transformational leader in shaping his subordinates' views and norms (Eisenbach et al., 1999), the new manager has succeeded only in part since he could not change all his workers' viewpoints (Kuhnert & Lewis, 1987), although his position has enabled him to get rid of those who resisted his innovative steps (Pawar & Eastman, 1997). He has tried to become an example to his followers and a role model by hard work and effort, hoping to inspire and lead his employees to new beliefs and attitudes (Popper & Ronen, 1989). The new manager has the courage, innovativeness, and practical skills to implement the cultural change that was necessary to overcome organizational crises in turbulent environments (Beugré et al., 2006; Warrick, 2009, 2011; Yukl, 2006).

The new general manager acts as a transformational leader by motivating his workers and attending to his employees' ideals, values, and beliefs (Bass, 1988),

and succeeding in raising their standards and morals. But his veteran employees have not embraced his ideas, because their priority was to maintain their benefits and incentives and their work conditions became worse. Perhaps it can be said that the success of a transformational leader depends on maintaining basic material conditions, under which conditions the employees are more willing to cooperate. The general manager provides his employees with vision, inspiration, and commitment to work (Kouzes & Posner, 1988; Yukl, 2006), but he has had difficulties in achieving his goals in this factory, because many workers did not trust him, being afraid that the cultural change would cost them their positions.

Another finding of the study is that the general manager used power to enforce his ideas, in that he fired the veteran workers who resisted his policy. The change in the factory's workforce empowered his position, leaving open the question of whether a leader who uses coercive power can be considered a transformational leader. Most of his characteristics and behavior are compatible with the features of the transformational style as described above. However, his manipulative steps and authoritarian pattern of behavior cast a shadow over his transformational style (Moskovich, 2009).

Although the literature emphasizes the role of the transformational leader in overcoming resistance to change, Bereshit's leader acted in extreme conditions. In the end, he succeeded in overcoming resistance through coercion. His behavior was a combination of leadership styles, in that most of the time he behaved as a transformational leader, although he acted as a transactional leader when necessary. According to Bass and Bass (2008), transformational and transactional leadership styles, while different, may sometimes overlap. This case study is a good example of the combination of several leadership styles that vary according to organizational situations and conditions; this combination can be better understood through the contingency theory (Fiedler, 1967; Yukl, 2006). This theory explains leadership as an outcome of interaction between leader traits, employees' needs, and internal and external environmental organizational conditions. The new general manager acted in a highly uncertain environment,

but his charisma and experience helped him to overcome the complex organizational decline of the Bereshit factory.

Conclusion

The organizational change in the Bereshit kibbutz factory was successful from an economic point of view. When the new general manager was appointed, the factory was in crisis. The adoption of a (largely) transformational leadership style helped the factory recover from its organizational decline. The necessary steps implemented by the management eventually achieved their purpose by turning the factory into a profitable enterprise. These economic goals, however, were not achieved without social costs, such as harming kibbutz solidarity. The internal conflicts that took place in the factory reflect the struggles in the new-style kibbutz between members who want to preserve the old values and those who want to adopt capitalistic ones.

This case study illustrates the problems resulting from leading a factory in transformational style when organizational reform is involved, including downsizing and economical cutbacks. Maybe the touchstone for this kind of leadership style is the need for it to be carried out in a different way, to build trust and openness in a transparent atmosphere together with the workers, and to avoid unilateral steps. If not, it seems clear that manipulative behavior and hypocritical rituals will cause the transformational leadership style to fail. Future research should examine other kibbutz factories that have undergone the process of transformation, and to compare leadership styles employed there with those reported in this case study.

Practical Implications

- To overcome employees' resistance to change, it is important for a transformational leader to use open and transparent communication.
- In cases of organizational decline, a transformational leader needs to cooperate with the workers' representatives. Mutual understanding and

agreement between the transformational leader and workers can facilitate the implementation of painful and extreme reforms in organizations.

- Building trust between a transformational leader and his or her followers is the key factor in implementing cultural and organizational changes.

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Yaffa Moskovich, PhD, is a senior lecturer and head of the Behavioral Sciences Department at Zefat Academic College in Israel. Her expertise is in the field of political and organizational sociology. She is the author of numerous articles and a book about the Israeli Likud Party, *Disunity in Unity: Power Struggles inside the Likud Party from 1974 to 2002.* Her work focuses on organizational change and leadership in political parties, unions, and other organizations. Dr. Moskovich is currently researching leadership issues in a kibbutz factory and changes in its organizational culture. She received her PhD from Bar Ilan University. She can be reached at mosko777@gmail.com.

Yuval Achouch, PhD, is a lecturer in sociology at the Western Galilee College in Acre. He is also a fellow at the Institute for the Research on the Kibbutz and the Cooperative Idea, University of Haifa and is interested in the social outcomes of the change process in the kibbutz movement. He received his doctorate from Tel-Aviv University in 2005, and his doctoral focus was forms of identity amongst kibbutz members in an era of change. He is collaborating with Dr. Moskovich to investigate changes in kibbutz factories. Dr. Achouch is a member of Kibbutz Hanita. He can be reached at yuvala@wgalil.ac.il.

Going Global: Moving Beyond Ethnocentrism Toward Global Leadership*

Paul R. Dannar
Regent University

Globalization is no longer an abstract concept or something that only affects multibillion-dollar conglomerates. It is a real phenomenon shaping every corner of the world. Organizational leaders cannot continue to stick their heads in the sand, hoping that the "trend" toward boundaryless commerce will somehow dissipate or that a domestic niche market will be a competitive advantage. Leaders must go global; and to do so means breaking barriers, changing perspectives, and creating connections. This article presents ethnocentrism as the most significant barrier to going global. Globalization no longer allows the luxury of isolation, as everyone is connected by technology, cultural exchange, and international trade. Additionally, leaders who embrace the idea of interconnectedness can more easily develop the three essential competencies required to excel in a boundaryless world as described by Black (1999): inquisitiveness, perspective, and character.

Key words: character, competencies, leadership, learning, self-awareness

Increased globalization has created many challenges, including the need to design effective multinational organizations, identify and select appropriate leaders for these entities, and manage organizations with culturally diverse employees (House & Javidan, 2004). More than that, the acceleration of globalization has created a chaotic state of change as organizations in all sectors struggle to adapt to new paradigms of leadership in which tried and tested approaches may no longer be effective (Robinson & Harvey, 2008). To accomplish this mammoth endeavor of globalization, organizations need leaders who are not only comfortable in business and political environments, but who are also competent in cross-cultural awareness and practice (Northouse, 2010). Where do these leaders come from? How might they be developed? And what particular skills are necessary to thrive in a boundaryless and interconnected multicultural environment? Perhaps the more relevant question to ask, is there something keeping organizations from developing leaders with the competencies necessary to function in the global landscape?

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There are, of course, typical obstacles in any business endeavor, such as lack of business acumen, political issues, and government obstacles. These obstacles are fairly typical and do not possess any special constructs, as national leaders have been dealing with these types of issues successfully for decades. I submit that the primary obstacle for global leaders is the lack of a comprehensive worldview or, more specifically, the lack of intercultural competence. *Intercultural competence* is the management of interaction between people who represent different or divergent affective, cognitive, and behavioral orientations to the world (Holmes & O'Neill, 2012) attributable to national or cultural differences. Thus, it is clear that for an organization to become more successful, global leaders must develop competencies that stretch beyond any national boundary or company headquarters. Globalization, whether at the level of industry, business, or individual leader, is all about overcoming national differences and embracing the best practices from around the world (Morrison, 2000). Overcoming these barriers is no easy task, as domestic success tends to reinforce bad habits. In fact, national success is more insidious than one would anticipate, as the real danger lies in reinforcing habits that were once good, but have since lost their effectiveness. Thus an organization cannot simply devise a new plan or strategy using traditional national variables or paradigms that are easily quantifiable and perfectly suited for mass consumption. These variables no longer exist and, as Handy (1995) noted almost two decades ago, "we used to think we knew how to run organizations" (34). Perhaps we did back then, but now it is time to take the blinders off and see what the rest of the world offers.

Ethnocentrism: The Fastest Way to Failure

Ethnocentrism is the perception that one's own culture is better or more natural than the culture of others. People tend to give priority and value to their own beliefs, attitudes, and values, over and above those of other groups (Northouse, 2010). Northouse also notes that ethnocentrism can be a major obstacle to effective leadership because it prevents people from fully understanding or respecting the viewpoints of others. For example, as an American working in

Belgium for the North Atlantic Treaty Organization (NATO), it did not take long to discover that a purely individualistic approach to problem solving and overall leadership was ineffective, as many of the 28 nations that make up the organization have cultures that emphasize collectivity. Ethnocentrism has been linked to the development of prejudice and racism and, while these are very real concerns, the primary danger of ethnocentrism is a lack of awareness both of the self and of the broader world around us. Moving away from ethnocentrism requires what Rosen (2000) calls *personal literacy*, the foundations of which are self-awareness, self-development, and self-esteem. Some of these attributes seem like they might lead to more ethnocentrism; however, when developed together, they create the foundation necessary for people to unlearn old habits and then acquire and develop the essential competencies to become global leaders.

An Internal Foundation

***Self-Awareness*.** Self-awareness is more than just understanding one's strengths and weaknesses. Being self-aware is a critical aspect of becoming a global leader, as self-awareness allows us to understand our own and other's emotions. This awareness then further develops into perceiving, generating, and regulating emotions, which are things we generally do to maintain and improve relationships with others (Pizarro & Salovey, 2002). In a global context, self-awareness facilitates both empathy and self-management. In combination, these two components allow for effective relationship management (Goleman, Boyatzis, & McKee, 2002). Developing relationships is an essential aspect of leadership in any organizational endeavor. However, it is clear that global leadership is a more complex effort than domestic leadership. This additional complexity mandates that leaders at all levels be required to shift paradigms ahead of their followers; in other words, leaders create synergies out of the disparate values and cultures of the organization (Robinson & Harvey, 2008). Global leaders accomplish this by establishing the types of relationships that transcend culture, resulting from their ability to see situations through others' eyes (McCall & Hollenbeck, 2002).

It should be noted that culture affects the way in which self-awareness manifests itself. According to Rosen (2000), North Americans seek knowledge primarily from external sources, such as self-help books. On the other hand, Rosen notes that those from Eastern societies tend to look inward for awareness and meaning through yoga or meditation.

Self-Development. Successful global leaders focus on continual improvement of their leadership skills through the development of a positive career identity (Suutari & Mäkelä, 2007). This generally manifests itself, at least in the United States, through the desire to master a particular skill or having an overall motive to extend one's performance capabilities and openness (Mumford, Zaccaro, Harding, Jacobs, & Fleishman, 2000). Many who have studied global leadership, as well as leadership development in general, have concluded that a multidimensional approach—including examination, education, exposure, and experience (Cohen, 2010)—is the most effective way to develop effective global leadership. I consider experience to be the most beneficial dimension for the global leader, as it provides direct and current learning that serves to provide quality self-development. Experience involves acting or doing. It focuses on the organization and context. Experiences allow people to take measures of themselves (Hollenbeck & McCall, 2003) and enable leaders to use the beneficial aspects of each individual and culture in the organization for everyone's benefit.

***Self-Esteem*.** Self-esteem stems from people achieving comfort with themselves, knowing and accepting what they can and cannot control, and attaining the optimum levels of ease with their own levels and categories of power (Rosen, 2000). In a sort of paradox, a leader's self-esteem must be linked to self-regulation in that leadership is about service to others and must be offered in a way that bolsters follower esteem. Leaders who display self-esteem convey a sense of trustworthiness and calm, even in challenging circumstances. In stressful times, self-esteem allows leaders to remain cool, calm, and consistent; this predictable behavior provides a sense of stability for followers because they know what to expect and thus find it easier to communicate (Northouse, 2010).

Simply stated, a leader displays powerful self-esteem by instilling esteem in those with whom they interact.

Global Competencies

The research on global leadership competencies is characterized by a lack of consensus on concise definitions and classifications of the term *competency* (Jokinen, 1994). Perhaps this is due in part to the fact that global competencies are, in essence, values. For example; a competency that deals with diversity is often described as sensitivity to other races, cultures, nationalities, genders, and disabilities (Bonnstetter, 2000). This definition would certainly seem to be a value rather than a competency. If this is the case, developing this competency presents a formidable challenge as values tend to evolve over a lifetime (Bonnstetter, 2000). Leaders working cross-culturally in a global environment then have two major responsibilities. First, leaders need to understand their own cultural lens. Second, if leaders want to influence across cultures, they need to understand the cultural lenses of others (Irving, 2010).

Nevertheless, every leader must develop and enhance a set of core competencies to be successful in this ever-changing global environment. Organizations and leaders must avoid the trap of domestic success and the urge to force local business strategies that worked fine in one geographic area and culture into a new region and its culture. There is also no need to search for that elusive list of perfect competencies because, as McCall & Hollenbeck (2002) note, there is no universal global job on which to base such requirements. Since each position and individual is different, the learning experiences and resulting skills developed are different; however, the competencies developed in each experience can enhance the next experience. This is the goal: to develop a set of competencies that are transferrable regardless of culture; in other words, developing a global mindset. A *global mindset* is the ability to influence individuals, groups, organizations, and systems that have different intellectual, social, and psychological knowledge or intelligence from your own (Cohen, 2010). This suggests more than just an awareness of how people from different

cultures think and operate; it means being comfortable in just about any environment. A global mindset takes the values a leader already possesses, combines it with the foundation garnered through the three personal literacy attributes described earlier—self-awareness, self-development, and self-esteem—and puts them into practice. The result is a set of unified core competencies that creates three pillars essential for purposeful and successful global leadership: inquisitiveness, perspective, and character.

Competency Pillars

Inquisitiveness. Inquisitiveness allows a global leader to learn enough about local conditions to connect with people and make better-quality ethical decisions (Morrison, 2000). Global leaders are constantly curious and eager for knowledge. They actively seek new information, investigate the world, and challenge what other people generally take for granted (Black, 1999). Without inquisitiveness, an individual will never develop a solid understanding of global markets nor will they establish the type of vibrant internal relationships necessary to effectively access the resources of the global organization (Morrison, 2000). Whether in Asia, Africa, or anywhere else for that matter, global leaders connect with others in every part of the world because they always have their "antennas" out for fresh information (Black, 1999). Without an insatiable desire to learn, Black argues that a leader can easily miss out on key facts, important relationships, and critical connections that might result in a specific approach to a local market or identification of unique market trends. Inquisitiveness also ensures that a leader does not assume they have learned all they can about a particular region or culture. For example, lessons learned about Seoul, South Korea, in one decade will most likely not apply in the following decade, nor will lessons learned about South Korea be necessarily transferable to Germany. By engaging in the constant process of comparing and contrasting, leaders gain the critical insights they need in order to transform the way global strategies are conceived and executed (Black, 1999).

Perspective. Global leaders take advantage of perspective with the capacity to manage uncertainty. This perspective is derived from a combination of

experiential learning that comes from working and living abroad coupled with the ability to integrate this learning into their problem-solving techniques. Global leaders are particularly good at confronting the scarcity of quality data and deciding when to act and when to keep digging (Morrison, 2000). Acceptance of the unknown and its contradictions enables appreciation of cultural differences. This acceptance suggests more than just a simple awareness of how people from different cultures think and operate; it means being comfortable in that environment. This awareness serves as the catalyst for leaders to understand how people from different cultures view them and interpret their actions (Yukl, 2007). Perspective points to an understanding that leadership is a phenomenon that resides in the context of the interactions between leaders and followers and making leadership available to everyone (Northouse, 2010). This view allows a leader to view every interaction separately and thus less inclined to use the same techniques for every interaction.

***Character*.** The daunting challenge for global leaders is to earn the goodwill and trust of employees whose values and expectations can vary widely, so a leader’s personal character forges a critical dimension of global leadership (Black, 1999). The primary component of personal character is integrity, which has two levels. The first involves external activities carried out by a leader through which their company is inevitably evaluated by the outside world (Morrison, 2000). The second level is personal integrity: acting in a manner that reflects what is professed, telling the truth, and honoring commitments. Personal integrity allows a leader to create an organizational structure that builds people’s character and, more importantly, is the catalyst for creating and developing other leaders. The hope is that these new leaders will then continue the legacy of integrity as they build and enhance others. The cultural differences that permeate global business put significant pressures on leaders to develop a situational approach to integrity and ethics (Morrison, 2000). However, this approach is quite dangerous despite offering short-term advantages. It often ends up compromising leaders and organizations that are judged according to a higher global standard (Morrison, 2000) that is just as ambiguous and complex as global

leadership itself, making integrity and trustworthiness even more essential. Figure 1 on the next page is a graphical representation of how the foundational attributes of self-awareness, self-development, and self-esteem and the competencies of inquisitiveness, perspective, and character interact to create a global leader.

Figure 1. The three pillars of global leadership competency

Although making time to learn presents a real challenge for any global leader, the commitment to learning in general, and on the discussed pillars, constitutes the solid core—the essence of the ability to keep perspective and exhibit character—thus creating value in a hypercompetitive global landscape (Black, 1999). Moreover, embracing and developing these competencies can assist leaders in bridging the gap between various culturally specific concepts and expectations about leadership, work, (Brodbeck et al., 2000) and life in general.

Leadership Implications

When looking at the discipline of leadership studies, it is easy to see why a focus on intercultural competence is necessary for successful initiatives in the global context (Irving, 2010). However, intercultural competence is not something that automatically results when people from different nationalities and cultures are brought together (Spooner-Lane, Tangen, Mercer, Hepple, & Carrington, 2013). Each individual and experience is different, thus, the learning experiences and resulting competencies developed are different. Yet the goal remains the same: developing a global mindset.

To accommodate shifting needs, global leaders must be ever-vigilant in recognizing the need for adaptations of structure, systems, and processes within their organizations (Bonnstetter, 2000). To accomplish this, Bonnstetter asserts that global leaders must first remove fear, engender trust, and discern the true needs, interests, aspirations, and passions of people from a wide array of backgrounds. To accomplish this huge task, they must combine the competencies of inquisitiveness, perspective, and character into a synergistic whole. Is there a way to predict what this synergy might look like? Therein lies the issue, as the combination of these competencies will be different depending on the leader's attributes, strengths, and weaknesses; the context of the international assignment; the cultures involved; and the leader's previous experiences. One point is abundantly clear: inquisitiveness helps global leaders maintain their edge in a world that moves faster and grows larger, a world that is constantly shifting and changing both at home and abroad (Black, 1999). Perspective allows the global leader to embrace the duality of situations to arrive at better definitions of problems and opportunities, making choices based on these insights and acting in spite of significant uncertainties (Black, 1999). Character produces leaders who are superbly skilled at building trust and goodwill, both inside their companies and outside, and in the communities in which they live and work (Black, 1999).

Conclusion

Leaders who embrace the idea of interconnectedness and balance can more easily develop the three essential competencies required to excel in the chaotic world of globalization—inquisitiveness, perspective, and character. Together these competencies form the nontraditional—perhaps even unconventional—pillars necessary to produce a "renaissance leader." The renaissance leader creates context by making sure that everyone understands what they are trying to accomplish as an organization and how each individual fits within that framework (Hollenbeck & McCall, 2003). This approach puts a premium on diagnostic skill directed at both self and situation; such a skill is highly dependent on experiences, the kinds that allow one to take a measure of oneself (Hollenbeck & McCall, 2003), enabling leaders to use the beneficial aspects of each individual and culture in the organization for everyone's benefit. In other words, a leader can use these pillars to develop a global mindset, making him or her capable of more than simply being flexible and adaptable, but fully capable of dealing with robust environments rather than solely ambiguous ones. This is a leader with a global mindset: a leader who is open to and aware of cultural diversity with the intent of synthesizing diversity into a unique form that provides organizational excellence.

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Paul Dannar recently culminated a 30-year military career. For over 16 of those years, he served as an internal consultant concentrating on organization development for various military organizations at the operational and strategic level. He most recently served as a special assistant to the supreme allied commander of Europe and NATO. He is pursuing a Doctor of Strategic Leadership degree at Regent University (Virginia). He can be reached at pauldannar@gmail.com.

PRACTICE

Managerial Leadership Competencies: A Practice-Oriented Action Role Framework*

Charles D. Kerns and Kenneth Ko
Pepperdine University

Competencies are a core dimension in the study and practice of leadership. Numerous competency taxonomies have been proposed over the years without being integrated into a coherent and systematic framework that can guide the practice of management and leadership. After connecting management and leadership to advance the idea of managerial leadership, an action role framework that has been applied and refined with practitioners over the past three decades is offered. Some findings from applied research projects and field observations that utilize the action role framework are noted. Applied programs of research and study serve as examples of how practitioners and academics can collaborate to address topics relevant to the practice of managerial leadership. Some implications for future research and practice are offered.

Key words: action roles and practices, conceptual framework, competencies, effectiveness, managerial leadership

For managerial leaders to deliver desired organizational results and be personally effective they need to act competently. Boyatzis (2008) reminds us that the concept of competency-based human resources was offered by McClelland (1973) some four decades ago as an important component of performance. Over the years, the concept of managerial performance competencies has been extensively reviewed, and numerous taxonomies have been published.

Tett, Guterman, Bleier, and Murphy (2000) offer a hyperdimensional taxonomy of managerial competence that was developed after considering over a dozen other managerial performance taxonomies. Their work underscores the need to put forth managerial performance competencies that offer behavioral specificity rather than generalities. More recently, Yukl (2012), in an effort to describe effective leadership behavior and index learnings from years of studying managerial performance competencies, set forth a hierarchical taxonomy that

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includes four meta-categories (task-oriented, relation-oriented, change-oriented, and external) across 15 leadership behaviors. Morris and Williams (2012), after studying executives working in a more technical operating environment, identified 225 specific behaviors clustered into 54 areas that reflected six broad themes relating to managerial leadership competencies.

In addition to the more academic-oriented study of managerial leadership competencies, Boyatzis (2008) notes that most organizations with over 300 employees work with competencies as part of their approach to talent management. Many large and small consulting firms also promote and implement programs for assessing and developing competencies. These offerings may relate more generally to competency-based human resource management or, more specifically, to managerial leadership behavior and effectiveness.

In light of this extensive research and diverse offerings relating to managerial leadership competencies, a practitioner wanting to assess and enhance his or her competence is faced with a bewildering array of largely unintegrated approaches. The need exists for an approach to managerial leadership competencies that is embedded within a broader framework. This would allow competencies to be viewed within a broader managerial leadership context. Practitioners could benefit from having a more integrated perspective from which to view competencies and managerial leadership. Bridges are needed to connect what we know about leadership from scientific study with what practitioners need on the firing line (Kerns, in press).

This article offers a bridge in the form of a practice-oriented framework for viewing managerial leadership competencies. This framework is embedded within a more comprehensive system of managerial leadership that has been studied and practiced by the first author and colleagues over the past three decades to help clients achieve desired results. This current article will focus on the dimension of managerial leadership competencies within the broader system.

The heart of this framework centers around five action roles and the five associated behavior-focused managerial leadership practices that are associated

with each of the five roles. Each of the five action roles and related behavioral practices will be presented. However, we first offer a brief review of the debate over management vs. leadership will be offered and provide our perspective to clarify our use of the term *managerial leadership*.

Management–Leadership Debate

A debate concerning the differences and similarities between management and leadership has taken place for more than three decades. One group of debaters points out, in their opinion, the clear differences between management and leadership (Bennis, 1989; Kotter, 2006; Maccoby; 2000). In contrast, another school of thought espouses the similarities between these two concepts and highlights the interconnections between management and leadership (Conger & Kanungo, 1992; Hay & Hodgkinson, 2006; Yukl, 1999). Still others have formulated additional perspectives on the management-leadership relationships, and some have even called for more empirical investigation to help address this long-standing debate (Simonet & Tett, 2012; Toor, 2011).

In this debate, one often sees the two topics compared and contrasted in the ways noted in Table 1.

Table 1: Comparison Management vs. Leadership

Management	vs.	Leadership
Present-focused		Future-focused
Managing assets		Inspiring people
Stability-oriented		Change-oriented
Structured		Flexible
Commanding		Empowering

A multitude of lists and characteristics have been espoused by scholars and members of the popular press in an effort to compare and contrast these two concepts. In the end, for practitioners, this debate can be viewed as a largely interesting, yet relatively unproductive topic. This seems especially true since most business organizations employ less than 100 people, and it is folly to believe that enterprises of this size can hire leaders and managers separately.

Also, carrying on this debate does not seem to be a priority when studies of leadership effectiveness indicate that base rates of incompetency and ineffectiveness among organizational leaders is between 60% and 75% and that destructive leadership behavior accounts for many negative outcomes (Hogan, 2007; Schyns & Schilling, 2013). There simply appear to be more pressing topics, like management and leadership effectiveness, to be addressed by those wanting to positively impact the work of managers and leaders. To continue to debate this topic while leaders and managers are failing at such high rates seems impractical.

Further extending this discussion and debate is beyond the scope of this article. However, educators, researchers, and practitioners are encouraged to apply the term *managerial leadership* when addressing topics relating to management and leadership. In this article and more generally, we and our colleagues use this term as a synonym for management and/or leadership. There is simply too much overlap in practice between what managers do and what leaders do to make sustaining this debate worthwhile or useful to the practice and study of managerial leadership.

Action Role Framework

Concurrent with the investigation and publishing of various managerial performance competencies over the years, as previously noted, the first author has also developed and integrated a system for viewing managerial leadership. Embedded in this system is a competency framework consisting of five action roles along with five behavior-oriented practices for each of the roles.

This framework has been applied in many organizations over the past 30 years and has more recently been studied in numerous applied research projects (Kerns & Ko, 2010). The model integrates and organizes the bewildering array of managerial leadership competency taxonomies into a coherent framework that is practitioner friendly and conceptually tied to the extensive literature relating to managerial leadership competencies. We define a *competency* as an observable

behavioral practice area that is associated with a managerial leadership action role that can enhance and/or diminish the achievement of desired results.

In this framework, the five action roles are: director, focuser, linker, influencer, and well-being impactor. Each action role is operationally defined by a set of five behavioral practices.

Director Role

Managerial leaders throughout an organization need to appropriately *define and communicate a clear and motivating direction* at all organizational levels, including workgroups, departments, divisions, and the overall organization. People want to believe that the enterprise is headed in a positive direction and that they can be a part of its success. Without clear direction, an organization will simply drift without navigation; peoples' efforts and discretionary time will be spent dealing with the confusion and uncertainty caused by poor execution of the director role by managerial leaders.

A managerial leader needs to perform five behavioral practices in his/her role as director. First, people need to be oriented to the values of the organization, and managerial leaders need to ensure that individual and group behavior is aligned with these espoused values. Second, vision and mission need to be defined, documented, and communicated. Depending on their position within an organization, managerial leaders may execute different aspects of this behavioral practice. For example, a senior level managerial leader may likely be more involved with defining the vision, while a regional sales manager would be expected to effectively clarify the vision with his or her salespeople. Third, key results at all organizational levels need to be identified and cascaded effectively throughout the enterprise. Fourth, appropriate strategizing and action planning for appropriately executing the clear and motivating direction needs to occur as part of the director role. Finally, managerial leaders need to take action that enhances and reinforces the alignment of resources, especially people, with the direction. Closely associated with alignment is the requirement for managerial leaders to effectively communicate the direction.

Focuser Role

In the focuser role, managerial leaders must influence their people's behavior by giving it focus in order to get results. It is through focus that behavior is guided and has purpose and meaning within the organizational context. Results-minded managerial leaders help their people contribute to achieving important organizational results. Their people know where the organization is headed, how their job fits into the big picture, and which results really matter. With this understanding and knowledge in hand, an employee is able to take the necessary actions to achieve desired organizational goals.

People working at all organizational levels need to be clear and focused on what is important and doable. The managerial leader in the focuser role answers the question: "What do we focus on that is important and that we can influence?" The practices executed in the focuser action role help operationalize the direction. The five behavioral practices associated with the focuser action role are

- profiling and pinpointing performance targets,
- recruiting and selecting talent,
- recording and systematically tracking results,
- providing feedback and recognition, and
- evaluating and enhancing targeted outcomes.

Linker Role

An effective linker will promote the productivity of people by coordinating and integrating resources (especially people) to get work done and achieve results. The three primary purposes of linking are

- realizing greater achievement through cooperation, interdependent action, coordinated labor, and group motivation;
- creating positive attachment and commitment to company direction and culture; and
- optimizing the use of all organizational resources through effective coordination and integration of people with their work.

The linking and coordination of resources needs to be effectively accomplished by managerial leaders throughout an organization. The five behavioral practices that the linker effectively executes are

- strategically touching base with individuals, groups, and project teams to identify challenges and savor successes;
- managing teamwork;
- representing the group externally;
- allocating resources, including technology, competently; and
- coordinating internally, including the reinforcement of key alignments.

Influencer Role

An effective managerial leader is able to influence people using interpersonal influence skills to enhance performance and attachment to an organization. *Influence skills* are “people skills” critical to the execution of the influencer action role. The influencer uses influence skills to help set a clear and motivating direction, focus people on relevant and important matters, and coordinate and link organizational resources, especially people.

Our research and practice has identified five key behavioral practices that are undertaken by effective managerial leaders when executing the influencer role. These practice areas relating to interpersonal influence skills are consistent with the research findings and reviews of other authorities in the field (Caproni, 2011; Robbins & Hunsaker, 2012; Whetten & Cameron, 2010). In the end, those of us who study, teach, and practice the art and science of interpersonal influence agree substantially on the skills essential for a managerial leader to practice. The five behavioral practice areas in the framework presented here are

- self-awareness and control,
- high-impact communicating,
- understanding work preferences/styles,
- managing conflict and negotiating, and
- decisive problem solving.

Well-Being Impactor

Managerial leaders need to enhance their well-being as well as positively impact the well-being of their people. They need to be able to make themselves and their people happier at work in situationally appropriate ways. This action role was added to the other four in the framework within the past 10 years by the first author as a result of extensive study and participation in the positive psychology movement, especially relating to enhancing well-being in workplace cultures to increase happier high performance (Peterson, 2006; Robertson & Cooper, 2011). This line of study has also included the fields of positive leadership and positive organizational scholarship (Cameron, 2008; Cameron, Dutton, & Quinn, 2003).

In integrating well-being into the current framework, five behavioral practices have been introduced to managerial leadership in client organizations and studied in a number of applied research projects. The five behavioral practices that comprise this action role are:

- making work purposeful and meaningful (Kerns, 2013a),
- promoting and managing positivity (Kerns, 2011),
- fostering and managing work engagement (Kerns, 2013b),
- managing strengths (Kerns, 2010), and
- profiling and managing time perspectives (Kerns, 2012).

The five action roles and their associated behavioral practices are summarized in Table 2 on the next page. Taken together, this depicts the practice-oriented action role framework.

Table 2: Practice-Oriented Action Role Framework

Action Roles	Behavioral Practices
Director	• Orienting and aligning to values • Defining, documenting, and communicating vision and mission • Identifying and cascading key results • Strategizing and action planning • Enhancing and reinforcing alignment of resources
Focuser	• Profiling and pinpointing performance targets • Recruiting and selecting talent • Recording and systematically tracking results • Providing feedback and recognition • Evaluating and enhancing targeted outcomes
Linker	• Strategically touching base • Managing teamwork • Representing externally • Allocating resources • Coordinating internally, including reinforcement of alignments
Influencer	• Self-awareness and control • High-impact communicating • Understanding work preferences/styles • Managing conflict and negotiating • Decisive problem solving
Well-Being Impactor	• Making work purposeful and meaningful • Promoting and managing positivity • Fostering and managing work engagement • Managing strengths • Profiling and managing time perspectives

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Some Applied Research

Over the past 30 years, this action role framework has been applied in many client organizations, reviewed against an ongoing stream of research and conceptual papers published on managerial leadership, and studied by the authors and colleagues. Some of the findings and field observations from our most recent applied work are briefly noted to lend support to the practical utility of the action role framework.

We have, for example, recently conducted three national surveys. The three surveys sampled the following populations:

- Deans Survey: 95 deans and associate deans from business schools accredited by the Association to Advance Collegiate Schools of Business (AACSB)
- Executives Survey 1: 51 C-level executives of companies across diverse industries with at least $1 million of annual revenue
- Executives Survey 2: 103 C-level executives of companies across diverse industries with at least $1 million of annual revenue

Each of the respondents in all three surveys was asked questions about the five action roles across the following four dimensions:

- Frequency of use: How frequently do successful managerial leaders engage in executing this role?
- Effectiveness: How well do successful managerial leaders execute this role?
- Importance: How important is this role for being a successful managerial leader?
- Relevance: Is this role relevant to being a successful managerial leader?

Internal consistency tests were performed for all three surveys, and the results as reflected in Cronbach's alpha are depicted in Table 3.

Table 3: Cronbach's Alpha Values Across Three Survey Samples

Role	Deans Survey	Executive Survey 1	Executive Survey 2
Director	0.609	0.866	0.923
Focuser	0.831	0.921	0.915
Linker	0.845	0.932	0.923
Influencer	0.814	0.925	0.918
Well-Being Impactor	0.865	0.911	0.938

Almost every Cronbach's alpha value is either greater than 0.8, indicating good internal consistency, and/or greater than 0.9, indicating excellent internal

consistency. Only one Cronbach's alpha is less than 0.8—the 0.609 value for the director role for the Deans Survey. These high Cronbach's alpha values provide confidence in and support the results from these surveys.

Each of the five action roles scores high across all four dimensions associated with being a successful managerial leader as assessed in these surveys, i.e., frequency of use, effectiveness, importance, and relevance. This speaks to the value of each of these roles in being a successful executive. Deans valued the director and influencer roles more than executives. Executives valued the well-being impactor role more than deans. The main takeaway, however, is that deans and executives both see the value that each of these five action roles plays in being a successful managerial leader.

The scores for the survey were based on a scale from 1 to 5, with 1 being the lowest and 5 being the highest. All of the average overall scores from each survey were above 4.00: Deans Survey, 4.15; Executives Survey 1, 4.12; and Executives Survey 2, 4.02. Executives and deans not only view each of the five action roles as important but also perceive that successful managerial leaders need to perform well in each of the four dimensions.

Furthermore, we examined the Pearson correlation coefficients between the effectiveness scores of the five action roles from each survey. The executives had higher correlation coefficients between the five roles than did the deans. For the Executives Survey 1, the lowest correlation coefficient is 0.59, and for the Executives Survey 2, the lowest correlation coefficient is 0.56. In contrast, for the Deans Survey, the highest correlation coefficient is 0.57, and the remaining Pearson correlation coefficients are all below 0.50, with 0.27 being the lowest. In terms of perceived effectiveness, however, all of the correlations for all three surveys are statistically significant at the $p = 0.01$ level. (Please see Tables 4 through 6 on the next page for the correlation coefficients.)

Table 4: Correlation Matrix (Pearson) of Effectiveness Scores from Deans Survey

Role	Director	Focuser	Linker	Influencer	Well-Being Impactor
Director	-				
Focuser	0.57*	-			
Linker	0.40*	0.33*	-		
Influencer	0.48*	0.27*	0.46*	-	
Well-Being Impactor	0.47*	0.33*	0.41*	0.39*	-

*$p < 0.01$

Table 5: Correlation Matrix (Pearson) of Effectiveness Scores from Executive Survey 1

Role	Director	Focuser	Linker	Influencer	Well-Being Impactor
Director	-				
Focuser	0.73*	-			
Linker	0.73*	0.70*	-		
Influencer	0.74*	0.68*	0.73*	-	
Well-Being Impactor	0.59*	0.62*	0.77*	0.73*	-

*$p < 0.01$

Table 6: Correlation Matrix (Pearson) of Effectiveness Scores from Executive Survey 2

Role	Director	Focuser	Linker	Influencer	Well-Being Impactor
Director	-				
Focuser	0.60*	-			
Linker	0.60*	0.63*	-		
Influencer	0.58*	0.61*	0.56*	-	
Well-Being Impactor	0.61*	0.64*	0.59*	0.69*	-

*$p < 0.01$

These surveys, along with other applied research projects, field observations, and consulting engagements, have yielded support for the face validity and practical value of the five action role framework (Kerns & Ko, 2010). This applied work in a real-world setting is in keeping with the call for business leadership practices to help guide the study and development of leadership (Locke & Cooper, 2000). There is a need for business practice, research, and teaching to be more connected (Kerns, in press).

Greater interaction and collaboration among managerial leaders, teachers, and researchers will likely advance the goal of helping practitioners, business students, and consultants find relevant and useful connections between topics taught; real-world business concerns; and consumer-friendly, practitioner oriented-resources. Indeed, the design, development, updating, and application of the five action framework presented here is an example of how business excellence can be advanced by having three spheres of influence (business real-world practice, research, and teaching/leadership development) come together to advance the study and practice of managerial leadership (Kerns, in press).

Implications for Research and Practice

This work holds several implications for future applied research. First, it would be of interest to correlate the execution of the five action roles to employee perceptions of “good” and “bad” bosses (Schyns & Schilling, 2013). Second, our current work relating to construct validity of the action roles could benefit by being extended to additional industries and organizational settings. For example, the life sciences and consumer products industries would be of interest to explore using this framework. Third, research needs to continue in applied settings that employ the linkage research model as a way of examining the impact of the action roles on employee, customer, and organizational results. (Wiley & Campbell, 2006). Fourth, the work of Kerns and Ko (2010) needs to be expanded to include more detailed analysis of the specific managerial leadership practices associated with each of the five action roles. This analysis should include further exploration of the relationship between employee well-being/happiness and annual performance review ratings. Finally, it would be helpful to study the interaction of the five action roles across diverse situational contexts. These contextual settings may include comparison between rapidly changing business environments and more stable, less growth-oriented workplace cultures.

On the practice side, this article offers a number of implications for practitioners. First, practitioners are encouraged to use the language of action

roles rather than attempt to relate to the many laundry-type lists of competencies offered in the managerial leadership literature. When confronted with an undifferentiated list of competencies, practitioners may find it useful to align each competency offered to one of the five action roles offered here. Second, the execution of action roles can be linked to the achievement of desired results to help measure managerial leadership effectiveness. Third, this framework can be used to help design and guide managerial leadership development as it relates to enhancing skills in delivering competencies. Curricula can be organized around these five action role areas. Fourth, practitioners in alignment with the recent work on managerial leadership implicit theories should consider adapting this framework to fit their style and approach to leadership (Schyns, Kiefer, Kerschreiter, & Tymon, 2011; Schyns & Meindl, 2005). Rather than swallowing this framework whole, practitioners are encouraged to integrate their own preferences into this five action role framework of competencies. Finally, managerial leaders can utilize this framework to help them engage in self-reflection to assess themselves on each of the action roles and associated managerial leadership practices reviewed in this article.

Conclusion

Competencies represent an important dimension in the study and practice of managerial leadership. Over the years, competencies have been extensively studied, and a broad array of largely unintegrated approaches has emerged. This situation leaves managerial leaders in need of practical frameworks to help them assess and enhance their competencies. To provide practitioners with a practical way to conceptualize and understand managerial leadership competencies, a practice-oriented action role framework was offered.

This approach has the benefit of over three decades of study, development, and application in organizational settings. Practitioners, as well as applied researchers, are encouraged to adapt this framework to their work. Scholar-practitioners are especially encouraged to utilize this model to enhance the study and practice of managerial leadership competencies. Given the extensive

overlap between what managers and leaders do in practice, efforts to utilize and adapt this framework are likely best advanced outside the longstanding management versus leadership debate.

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Charles Kerns, PhD, is a professor of applied behavioral science at Pepperdine University's Graziadio School of Business and Management. He has more than 30 years of business, management, and consulting experience. Through his private consulting firm, Corperformance, he has implemented management and organizational development programs and systems to help companies from many industries maximize their results. Since 1980, he has taught in almost every program in the Graziadio School, first as an adjunct faculty member, then, since 2000, as a member of the full-time faculty. He has also served as the associate dean for academic affairs. Dr. Kerns holds a Diplomate, ABPP, in both Industrial-Organizational Psychology and Organizational-Business Consulting Psychology. He earned his PhD from the University of Maryland. His research and work focuses on helping managerial leaders and their organizations boost performance utilizing behavioral science frameworks and tools. He can be reached at charles.kerns@pepperdine.edu.

Kenneth Ko, PhD, is an associate professor of decision sciences at Pepperdine University's Graziadio School of Business and Management. He also serves as the director of measurement and analysis at Corperformance, where he studies and consults with organizations and their leaders. Dr. Ko has held managerial leadership positions at Hewlett-Packard and Pricewaterhouse Coopers, and he also worked as a management consultant for Strategic Decisions Group. He has also taught at Santa Clara University's Leavey School of Business and California State University–Fullerton's Mihaylo College of Business and Economics. Dr. Ko graduated from the University of California–Berkley with honors and from Stanford University with a PhD in Management Science and Engineering. His research focuses on applying management science models to improve the performance of managerial leaders and companies. He can be reached at kenneth.ko@pepperdine.edu.