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How to Identify and Instill Qualities of a Transformative Leader:

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How to Identify and Instill Qualities of a Transformative Leader:
What the World Needs Now is Love

A DISSERTATION SUBMITTED TO THE FACULTY OF THE
COLLEGE OF EDUCATION, LEADERSHIP AND COUNSELING OF
THE UNIVERSITY OF ST. THOMAS
ST. PAUL, MINNESOTA

By

Susan Rae Spray

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How to Identify and Instill Qualities of a Transformative Leader:
What the World Needs Now is Love

We certify that we have read this dissertation and approved it as adequate in scope and
quality. We have found that it is complete and satisfactory in all respects, and that any
and all revisions required by the final examining committee have been made.

Dissertation Committee

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11 October 2017

Final Approval Date

ii

Acknowledgement

I have incorporated in this writing bits and pieces of some of the political and social context of why I think leadership directed toward promoting the common good is so critical at this point in time. I will let Mr. Bruni's comment make the broader point for me.

> "The refusal to grant victors legitimacy bundles together so much about America today: the coarseness of our discourse; the blind tribalism coloring our debates; the elevation of individualism far above common purpose; the ethos that everybody should and can feel like a winner on every day."

Frank Bruni, The Cult of Sore Losers, April 26, 2016, *New York Times*, Op-Ed Contributor

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Abstract

This review investigates the psychological foundations of leadership theories to discover what skills enable effective leaders to lead across sectors and decades with a focus on organizational leadership. The research questions explore the ability of these leaders to consistently address conflict and challenges effectively regardless of context (public/private); and to explore the notion that such leaders are not necessarily born, and that these leadership practices can be developed. With a focus on the transformational, authentic, academic, social entrepreneur, and cross-organizational leadership theoretical models, the undergirding to these theories is explored through the influences of personality characteristics and traits, as well as the moral and ethical components involved in the development of these leaders. Three prominent community leaders are profiled to demonstrate how aspects of personality and experiences provide the how and why behind these leadership theories when applied to actual circumstances.

Chapter 1: The Why and Conceptual Background

Leadership is a concept that gets taken apart, analyzed for its various practices, and is then placed into a structure in order to provide interventions that instill these leadership traits in individuals toward a desired outcome to suit the leadership needs of the day. There is a push to debunk the concept that leaders are born, and that instead anyone can be a transformative, engaging leader, once the behaviors are uncovered and put into practice. Robert Hogan (1994), states that you ask any subordinate what an effective leader is, or is not, and they will tell you. Even James MacGregor Burns (1978) in his classic book on *Leadership*, noted that, "Leadership is one of the most observed and least understood phenomena on earth"(Burns, 1978, p.2).

At the risk of stating the obvious, why a study on leadership now? A look to the headlines on any particular day provides an answer to this question. There is the dysfunction at Wells Fargo in 2017 among mid-level and lower-level employees who were faulted by investigators for covering up the scheme of going along with sales gaming ploys. This was where bankers tinkered with customer accounts. "Employees feel they cannot make sales goals without gaming the system…the incentive to cheat is based on the fear of losing their jobs." Carrie L. Tolstedt, the former head of the retail branch networks, saw her department "as a sales organization, like department or retail stores, rather than a service-oriented financial institution." Turnover in Ms. Tolstedt's department was as high as 41 percent in 2015 (Kingson & Crowley, 2017, p.1).

In the end, "what doomed Wells Fargo was a predictably toxic mix: A combination of aggressive sales goals and lax executive oversight 'coalesced and failed dramatically'" (Kingson & Cowley, 2017, p.3).

And yet another *New York Times* headline asks, "How Badly Must a C.E.O. Behave Before His Pay is Clawed Back?" Leadership at United Airlines is cited, not for how it handled the dragging of a passenger off a plane, but for a federal corruption investigation of its former chief executive, Jeffery Smisek (Morgenson, 2017, p.1). And finally, we find out, "Why Companies Like Uber Get Away with Bad Behavior." In this account from the *New York Times*, no company can match "its lawsuits and embarrassing exposés chronicling maltreatment of its employees, contractor drivers and competitors, and deceiving local law enforcement, tax collection and other government agencies" (Stross, 2017,p.1). When bad behavior is the behavior of choice from certain CEO's, the concept of success is altered, along with a focus on short term gain.

So where are we to go from here? My research has led me to investigate the practice of transformational leadership, and its related practices of authentic and academic leadership styles, for their association with functioning organizations poised to succeed over the long term. They are also cited as the leadership practices best suited for responding to times of change and crisis—to circumstances with less than linier problem solving options.

Where are these leaders? Through a critical review of the literature, this review seeks to first uncover what psychological traits, attributes, habits, and backgrounds can be viewed as developing an effective, transformative leader that these leadership models follow. If not born, then how are inner and outer characteristics impacted that result in an inspirational, transformational leader?

Next, this review further explores the leadership theories that result in transformational, authentic and inspirational academic practices once these personality and psychological patterns are identified. The newer concepts of social entrepreneur and multi-

sector (shared leadership) are introduced as these applications relate to transformational practice.

As reflected in the span of decades (1950-2017) represented by the resources consulted for this review, the search for an effective leader that moves a company, an organization, or a society to a better place, has been discussed and sought for over half a century. To demonstrate the theories, this review has identified three public sector leaders who have, or are bringing, positive change to their sector—and who show the leadership theories discussed in this study put in practice. Their presence demonstrates that effective leaders are out there, and that there can be effective leaders in the making.

Once there is a better understanding for what inspires a person to adopt successful leadership traits, we are then challenged to enable them to flourish. Providing a platform for this type of leadership may be as important as assessing what makes these leaders who they are. Leadership is a social concept, it does not exist in isolation.

Researcher's Journey

Given the evolving crises in board rooms across the nation, my particular interest in transformational leadership is based on the accomplishments of a mentor of mine, Willard (Sandy) Boyd. I suspect that his leadership style exemplifies in many ways the transformational theory of leadership. His career has been one with few, if any, leadership crises. He is not a short-term thinker.

His career began as a faculty member at the University of Iowa, where he went on to become the dean of the law school (that is now named after him), and to ultimately hold the presidency of the university. From there he left academia to head the Field Museum in Chicago.

He returned to Iowa to retire in his former campus town. Since returning he has served as the interim president of the university, and the interim/acting director of its art and natural sciences museums. He again taught in the school of law that bears his name. He formally retired from teaching in the law school in 2015. In 2016, at the age of 89, he for the most part retired from his external obligations to write his memoir.

How is it that one individual is capable of leading—and being viewed as a leader—in multiple capacities, over time? In looking at his approaches to various challenges, he was able to manage and contain, if not resolve, conflicts that existed or popped up in a variety of contexts. While he didn't act alone, he has definitely been at the head of the table in most of these instances. Of interest to me is whether such a respected approach to problem solving, as viewed by others, has come from his training in law, or is it an outcome and outlook created in tandem with some other influences in his development and training? Will I find that his behaviors are innate, and cannot be taught?

This is where personality plays a significant role, and my training in psychology will be helpful in accessing the personality traits that are being discussed in the literature as impacting leadership behaviors. In searching for answers to where such leaders come from I hope to discover how new transformative leaders can be formed and recognized for placement in addressing today's leadership challenges.

Statement of the Problem

In times of crisis and change as we have seen played out on a national and international scale during the last decade, individuals like Boyd, who were respected faculty in their respective fields and administrations, were brought to problem solve the issues of the day. It

does not seem to matter whether the issues mesh with their former disciplines or areas of professional expertise, they are looked to for leadership and guidance in new situations.

These individuals are expected to know what to do at such times of crisis to remedy what isn't working. In fact, these individuals don't need additional training to know how to respond to the new situation at hand. It is a concept I have run across, that a leader is a leader.

An initial purpose in this review is to define what is leadership, and what the criteria for accessing an effective leader are. Additionally, what are the attributes and traits of effective leaders, and how they are developed will be examined. An exploration of the specific leadership theories of transformational, authentic and academic leadership will lead into profiles of actual transformative leaders. As previously noted, from my review it is these leadership practices that are cited as appropriate models to assume in leading during uncertain times.

Research Questions

Hogan (1994), states that you ask any subordinate what an effective leader is, or is not—they will tell you. As a subjective assessment, I am interested in what are the leadership practices that put someone in the effective leadership column?

To better understand what personality and experience components combine to result in an effective leader, this review looks to psychological and theoretical findings in describing this process.

1. What contributes to building the core characteristics of a transformational leader, and those of the related profiles of authentic and academic leadership practices?

2. If capable of being developed, then what interventions and behavior changes exist that enable anyone to become a transformational, authentic, leader?

Purpose of the Review

Given what some have termed as a crisis of leadership, how do we return to a culture that values motives and actions in support of achieving the common good for what is today a far reaching and diverse community of needs—the global "we"?

The purpose of this review is to critically access the personality traits and attributes aligned with a transformative leadership practice. It will look to evaluate the effectiveness of transformational, authentic, and academic leadership models in practice, and then illustrate these findings through an introduction to the performance of three high profile leaders in the public sector.

The goal is ultimately to promote the development of leadership practices that serve a broader purpose; and to identify those practices that seek to minimize friction and gridlock rather than to cause them. The research questions will be used to explore whether these kinds of outcomes can be predicted from the models discussed, and how personality theories reviewed ultimately impact leadership style.

Critical Literature Review Framework and Study Organization

A critical review of the literature was conducted on published research on transformational leadership models and traits as primarily described in the last two decades. This review first systematically collected information from the scientific perspective of the psychological and personality foundations of leadership practice. Related to personality, the issues of morality and ethics as they impact leadership practice were also explored. The attributes of specific leadership models that includes transformational, authentic, and academic leadership theories are then defined as they relate to the personality findings. There is a discussion of the concept of social entrepreneurs, and multi-sector leadership as relatively new leadership concepts that

have emerged in tandem with the emerging concepts of technological and societal change and innovation and their leadership challenges.

The organizing theme is what is defined as "effective transformative leadership," which is an approach to leadership that is not based on a top down approach to leading, but is instead an engaging and inclusive leadership practice that the literature reveals leads to success.

To locate sources for this study, a review of the literature used the key terms: leadership, transformational leadership, authentic leadership, academic leadership, leadership and personality, leadership traits, leadership and innovation, and theories of leadership.

Data come from the literature as well as through published interviews and biographies of a select group of public sector leaders that I have discovered through my research. These latter resources provide insights to the practitioners' personality and behavioral traits that are exhibited through their leadership practices. What attributes and actions support their effective leadership styles as measured by the performance of the organizations that they lead—and it is this success in their leadership that brought them to my attention to profile as part of this study.

As a test of validity and generalizations, my use of numerous scholarly studies and meta-analyses of data, provide documented results surrounding established leadership theories and criteria that can be generalized.

In terms of confidentiality, the public status of the identified subjects (public sector leaders) makes this concern null. Their actions, behaviors and accomplishments are in the public domain. The literature consulted surrounding their leadership activities comes from published sources.

My recent completion of a degree in psychological counseling has informed the nature of material that was looked to in the realms of psychology and personality traits that have been aligned with various leadership models in helping to define them.

Background on the Concept of Leadership

Leadership is a relatively modern concept, not appearing in the literature until the nineteenth century. Previously, labels such as head of state, chief, or king were used to differentiate the ruler from the general population—a very top down (and male) concept of leadership. As Clark and Clark (1990) found, "it is only since the mid-20th century that the word leadership has been incorporated in modern discourse. In this short period of time, many definitions of leadership have been developed to address the many different situations in life to which it may pertain" (Clark & Clark, 1990).

Throughout these several decades, scholars and practitioners have not been able to clarify or agree exactly what leadership is, because most of what is written about leadership has to do with its peripheral elements (traits) and content (professional expertise/context) rather than with the essential nature of leadership as a relationship. Even Burns (1978), in his classic book on *Leadership*, noted that, "Leadership is one of the most observed and least understood phenomena on earth"(Burns, 1978, p.2).

Leadership has been described as a focus of group processes, a matter of personality, an exercise of influence over others, an instrument to advance goals, a method of motivation for the achievement of goals, a form of persuasion, and various combinations of each of these. Clark and Clark (1990) go on to describe effective leadership as a process in which there is reciprocity and the potential for two-way influence and power sharing. They put forward that real leadership relies on mutual responsiveness and dependency—a relationship.

In consulting some of the articles from the last decade, I have come across what is a common misperception in defining leadership as the belief that the concepts of management and leadership are the same. They are often used interchangeably. Hersey, Blanchard and

Johnson (2001), argue that there is a discernible difference in the two. They suggest that

leadership is a much boarder concept than management. Bennis (as cited in Hersey, et al., 2001)

differentiates the extremes of management and leadership as follows:

> The manager administrates; the leader motivates. The manager is a copy; the
> leader is an original. The manager maintains; the leader develops. The
> manager focuses on systems and structure; the leader focuses on people. The
> manager relies on control; the leader inspires trust. The manager has short-
> range view; the leader has a long-range perspective. The manager asks how
> and when: the leader asks what and why. The manager has an eye on the
> bottom line; the leader has an eye on the horizon. The manager imitates; the
> leader originates. The manager accepts the status quo; the leader challenges
> it… (p.9)

Rost in his 1993 work, *Leadership in The Twenty-First Century*, comments on this when

he says, "Management is an authority relationship (contractual power) between at least one

manager and one subordinate who coordinate their activities to produce and sell particular

goods and/or services (Rost, 1993, p.145). For Rost (1993) managers are to be exclusively

concerned with the operational side of a given enterprise. They are the "custodial caretakers" of

an organization. Their purpose and focus is transactional in nature. They are concerned with

how things get done. As Bennis envisions leadership in his compare and contrast paragraph,

Rost also feels leadership's focus is "conceptual and directional and is primarily concerned with

the *what* and *why* things get done" (Rost, 1993, pp. 140-141). This distinction between

managers and leaders is discussed at various points in this review.

Again, in reference to Burns, Rost concludes that "leaders, in contrast to their followers,

are obligated to operate at higher need and value levels. In fact, a leader's role is to exploit

tension and conflict within people's value systems and play the role of raising people's

consciousness" (Rost, 1993, p. 143). A more recent take on the manager versus leader

discussion comes from Jay Walker, chairman of Walker Digital. In a recent interview he

commented that, "management is the art of accomplishing objectives through others, and that's different from leadership, which is more the art of inspiring others and getting them to want to do things" (Bryant, 2017).

Hogan and Kaiser (2005), whose additional work is cited in this study's chapter on foundations of leadership practice, continue to work in support of narrowing the concept of leadership. The intent of their article in helping to form a definition of leadership, is to make three points.

> The first is that leadership matters; it is hugely consequential for the success of organizations and the well-being of employees and citizens. Second, when conceptualized in the context of human origins, it becomes clear that leadership is an adaptive tool for individual and group survival. We believe that, in essence, leadership primarily concerns building and maintaining effective teams; persuading people to give up, for a while, their selfish pursuits and pursue a common goal. Our final point is that the personality of a leader affects the performance of a team; *who we are determines how we lead* (emphasis added)" (p. 170).

From there they define personality as concerns two major elements; generalizations about human nature (what people are like way down deep), and systematic accounts of individual differences (which differences are important and how they arise)" (Hogan & Kaiser, 2005). This approach is very much in line with how this review seeks to understand the leadership attributes of its cited public sector leaders, and how these 'differences' impact their effectiveness across the various organizations they have taken on to lead over time. Hogan and Kaiser go on to note that, "effective leaders are skilled at building relationships and acquiring status." And that to understand personality, it can be "defined from two perspectives; how a person thinks about him-or herself; and how others think about that person" (Hogan & Kaiser, 2005, p. 171).

Leadership competencies. In looking at leadership competencies, Hogan and Kaiser (2005) identify four broad classes: intrapersonal skills (regulating one's emotions); interpersonal skills (building and maintaining relationships); business skills (planning, budgeting, etc.); and leadership skills (building a high-performance team). What is interesting about these competencies, is that they are developmental. In parallel to the phases of developmental psychology, intrapersonal develops first; interpersonal next. In terms of business skills, these develop when a person enters the work environment; and leadership skills are linked to maturation and experience. They are also in order of hardest to train to easiest to acquire (Hogan & Kaiser, 2005).

Again, basing success on the performance of a team, Hogan and Kaiser look at several surveys that evaluate the effectiveness of leaders on a number of markers. From this they conclude that in terms of leadership making a difference, "the general model is that leader personality influences the dynamics and culture of the top management team, and the characteristics of the top management team influence the performance of the organization…literature on employee satisfaction shows that what satisfaction means, is in essence, satisfaction with supervisors" (Hogan & Kaiser, 2005, p. 174). They add that, "personality predicts leadership style (who we are determines how we lead); leadership style predicts employee attitudes and team functioning; and attitudes and team functioning predict organizational performance" (Hogan & Kaiser, 2005, p. 175). Hogan (1994) repeats his belief that what we bring to the table is what we have to work with in leading, although he does support training on certain leadership skills, and views changes in behavior as possible the further we get out from our core behaviors and patterns, as in the developmental model he outlined.

In their survey of the literature, Hogan and Kaiser have provided several components of what effective leadership looks like, observed how personality may impact how we lead, and fully support the concept and importance of leadership to an organization's success. In their work there is the importance of personality on leadership style, and this could be viewed as something innate, yet also something that changes due to experiences and skills accumulated over time. They project that personality determines what leadership style is assumed—what best fits your skin—yet leadership style is what impacts those supervised, led, and otherwise positioned to succeed.

Leadership across organizational levels. With Hogan and Kaiser (2005) I have been looking at instances of leadership at a point in time and context. DeChurch, Hiller, Murase, Doty and Salas (2010) take their initial findings of leadership across levels, to focus on how leadership actually occurs within organizations. The authors note, "Organizational effectiveness hinges on coordinated leadership being enacted from leaders residing within multiple hierarchical levels, it is their leadership that shapes crucial individual-, team-, unit-, and organizational-level outcomes" (DeChurch, et al., 2010, p. 1069).

"While leaders at all organizational levels facilitate coordination, at lower levels the coordinative behavior is direct, whereas at higher levels it involves increasingly indirect actions such as the establishment of operating procedures in routinely coordinative patterns…very little leadership research is aimed at explaining how individual activity is synchronized and collectively harnessed in a manner that ultimately translates into team, unit, and organizational effectiveness" (DeChurch, et al., 2010, p. 1070).   They go on to observe the "least well empirically-understood aspect of organizational leadership happens in the middle place, the

location where upper-level initiatives are transformed into unit-level programs which shape front line leadership" (DeChurch, et al., 2010, pp. 1078-1080).

Why the importance of the middle space? DeChurch, et al. (2010) cite others' work that has identified "middles" as the "key linking mechanisms for strategy and operations in organizations," and as such represent a "unique type of leader; their effectiveness hinges on both upward and downward influence" (DeChurch, et al., 2010, p. 1081). This space and how it interprets its role came to haunt the upper leadership in the initial 2016 Wells Fargo crisis involving the misuse of customer accounts.

And in an area of great interest to this study, DeChurch and her colleagues found transformational research as a "particularly promising approach to understanding leadership in teams and units." They see the dimensions of this form of leadership behavior to be "potent driver of team-level emergent states and processes. Behaviors such as idealized influence and inspirational motivation ought to have effects on the formation of positive team and unit-level properties such as cohesion, identity and efficacy" (DeChurch et al., 2010, p. 1082). In concluding their remarks, the authors see opportunities for "coming to a richer understanding of the complex phenomena of leadership and its effects." And that leadership processes "enacted from and impacting upon outcomes at various levels of the organization interact with one another, and together form a complex arrangement of leadership dynamics whose totality ultimately determines organizational effectiveness" (DeChurch, et al., 2010, p.1083).

From this, the take away is that a measure of effective leadership is not just assessing the impact of who is at the top, but how their leadership impacts the complex hierarchy of leadership levels every organization has. So as these definitions are distilled along with otient

information consulted for this work, an understanding of leadership's essential nature has been furthered with this brief discussion of the concept here.

The Concept of Leadership Used for This Review

For the purposes of this study, leadership will be defined in accordance with a transformative themes found in Clark and Clark (1990), Hersey et al. (2001), Rost (1993), and Hogan and Kaiser (2005) "…leadership involves persuading other people to set aside for a period of time their individual concerns and to pursue a common goal that is important for the responsibilities and welfare of the group," (Clark & Clark, p.493); this is then peppered with Rost's sentiments that "leadership does not exclusively reside in the leader (Rost, 1993, p. 43). Rather it is a dynamic relationship between leaders and followers alike. Leadership is always plural and relational; it always occurs within the context of others, as it does for DeChurch (2010) and her group. Further, Rost sees the 21st century as fundamentally different from what has come before. Rost believes that the 21st century will produce a new series of core values and aspirations; such as: "collaboration, common good, global concern, diversity and pluralism in structures and participation, client orientation, civic virtues, freedom of expression in all organizations, critical dialogue, qualitative language and methodologies, substantive justice and consensus-orient policy-making process" (Rost, 1993, p. 181). Succinctly, Rost puts this as, "Leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (Rost, 1993, p. 102). This is from twenty years ago. We continue to look for these leaders today.

At the end of this review, the goal is have a better understanding of how personality, traits, and morals shape leadership practice, and how these specific leadership theories contribute to producing effective, flexible leadership within the context of 21st century

complexities. With this, I hope to find whether transformative leadership traits are as much

nature as nurture; and if as much one as the other, what the implications are for teaching

leadership concepts, such as transformational leadership practice, to a new generation.

Our definition confirms that leadership is more than management, and that in many

ways who we are impacts how we lead. This review seeks to uncover who and what plays a role

in developing new leaders. And most importantly, what will pull potential leaders into

expanding their influence and strategies in directions that produce success, and places them at

the head of the table.

Chapter 2: Psychological Foundations of Leadership

Personality and Trait Theories of Leadership

In this section a number of studies will be reviewed that deal with the personality and individual observed traits of leaders, and identifies these traits as part of leadership development. As stressed by DeChurch et al. (2010) in the previous chapter, personality and its attached behaviors are closely linked to leadership styles. And as this is aligned with the intent in this dissertation, this chapter explores what makes the transformational leader transformational from the inside out. To be explored are the ethos of other related leadership theories, such as authentic and servant practices. The resources here focus on the personality traits and behaviors associated with identified leadership theories discussed in the next chapter. This interest in what is behind leadership behaviors began as theorists looked to examine why someone is viewed as a leader, and performs as one.

A number of the articles in this chapter deal with emerging leadership, and concepts of effective leadership. This will not only help in potentially nurturing new leaders, it may provide a push to helping individuals realize their role to play. Included with this is a section on the influence of morals and ethics in leadership practice as these areas' impact on behavior and decision-making have entered into some of these trait discussions.

The Emergence of the Five-Factor Personality Framework

Judge, whose initial work with Bono (2000) is regarded as one of the first teams to find a common way of positioning leadership traits using the Big Five, or five-factor personality model. Both prominent names in the field of leadership research, they have found a linkage between personality and transformative leadership in this initial study, and the degree to which the five-

factor model of personality is related to defining transformational leadership behavior in particular.

Judge and Bono begin their article with a history on transformative leadership as first suggested by Burns in 1978, who linked this to charismatic leadership. They then move to Bass (1998) who identified the four dimensions of transformational leadership. According to Bass these are: Idealized influence (referred to as charisma), and it is this trait that is viewed by Bass as the single most important leadership dimension. Inspirational motivation involves articulation of a clear, appealing and inspiring vision to followers. Intellectual stimulation involves stimulating followers' creativity by questioning assumptions and challenging the status quo. Individual consideration involves tending to and supporting the individual needs of followers (Judge & Bono, 2000, p. 751). The authors add that in spite of the research behind these characterizations, it is unclear to them if this is a theory of traits or a behavior theory of leadership. Charisma suggests a trait. "Thus it is possible that facets of transformational leadership, such as charisma, are traits or at least are influenced by traits. Even if one considers transformational leadership to be a behavior theory, the origins of the behaviors are unclear. There is surprisingly little research to help answer the question, "Are transformational leaders born or made?" (Judge & Bono, 2000, p. 752). This question looms large as leadership styles are examined. The goal is to get away from the 'great man' theories of the past, the kings who have ruled, and to look toward interventions and experiences that produce leaders who succeed by getting their subordinates to want to succeed.

In going through a comparison of transformative leadership traits/behaviors and the Big Five (Neuroticism, Extraversion, Openness to Experience, Agreeableness and

Conscientiousness), Judge and Bono report their results, with numerous references to additional study results included in their narrative.

In their initial examination of the personality trait of Neuroticism, there is a negative correlation as self-confidence is an essential characteristic of transformational leadership. Neuroticism is characterized by anxiety, fear, moodiness, worry, envy, frustration, jealousy, and loneliness. Individuals who score high on neuroticism are more likely than the average to experience such feelings as anxiety, anger, envy, guilt, and depressed mood.

In the initial examination of Extraversion, the consensus was that this strongly relates to social leadership. In addition, articulation and emotional expressiveness have been shown to be characteristics of charismatic leaders. With this is dominance, inferring that dominant individuals take the initiative in social settings, introducing people to each other and being socially engaging. They cite a report from Bass (1998) on the results of a study that found sociability was significantly correlated with transformational leader behavior. Moving on to Openness to Experience, the authors think there is a good chance this will be linked to transformational leaders as "they need to be creative and original." Openness to Experience correlates with divergent thinking. The authors point out that the meaning of transform is to change, the "ability to embrace and champion change lies at the heart of transformational leadership…leaders who score high on measures of Openness to Experience could be expected to provide more intellectual stimulation, as Openness to Experience is related to intellectuality" (Judge & Bono, 2000, pp.753-754).

The high rating of Agreeableness was a surprise to Judge and Bono, as in other studies this has not correlated with emerging and effective leadership studies as it indicates modest, nonaggressive behaviors. Here the authors find that charismatic leaders have been described as "generous and concerned for others. Transformational leaders give special attention to

neglected group members"…and according to Bass (1998) "for the transformational bond to endure with followers, the leader must make a link to them…to mentor successfully, one needs empathy." And the primary motivational orientation of agreeable individuals is altruism—concern for others" (Judge & Bono, 2000, p. 754).

For the last factor, Conscientiousness, Bass thought that self-determination would be a likely characteristic of transformational leaders, because achievement and self-discipline are major components of this personality behavior. According to the authors, "the empirical data, do not appear to support this argument…in fact studies have found a negatively correlated relationship with charisma. In light of this, the authors offer no hypothesis regarding the relation of Conscientiousness to transformational leadership" (Judge & Bono, 2000, p. 754).

The meta-analytic findings that Judge and Bono cite clearly indicate that transformational leadership is effective in influencing both subordinate perceptions of leadership effectiveness, and organizational outcomes. "Although evidence demonstrating a link between transformational leadership behaviors and business units' outcomes is impressive, it would be useful to know whether transformational leadership behavior results in supervisors evaluating the leader as more effective…there is also the need to study transformational leadership in broader settings than is true of many of the contexts for a number of studies cited" (Judge & Bono, 2000, pp.754-755).

Judge and Bono, as a result of these findings, link transformational leadership to a number of outcomes: "we predict that transformational leadership is positively related to subordinate satisfaction with the leader; and at its best, transformational leadership involves and inspires the pursuit of transcendental goals, leading followers to identify with a cause beyond their own immediate self-interests" (Judge & Bono, 2000, p. 755). The authors then

conducted their own study involving over 500 subjects, using a personality survey to assess their perceptions of transformational leadership.

The results of their survey indicated that Agreeableness displayed the strongest relationship with transformational leaders. Extraversion also displayed significant relations with facets statistically significant. They were also able to confirm that Neuroticism was not related to transformational leadership (Judge & Bono, 2000).

Judge and Bono state that the point of their study was to link leader personality to transformational leadership behavior. Transformational leadership theory is purported to be a behavioral theory and assumes that transformational behaviors can be learned. At the same time, the theory acknowledges that behavior differences in transformational leadership can be traced to background characteristics. They note that the present study's correlations are not so large as to indicate that transformational leaders should be considered a trait theory, the results do indicate that the behaviors are predicable from several personality traits.

As Judge and Bono sum up their findings, they stress the importance of transformational leaders, as subordinates who rated their leaders as such were more satisfied and motivated, and expressed commitment to their organizations. Also, they correlate with the findings of Bass "that wherein transformational leaders add to the effects of transactional leaders, transactional leaders cannot substitute for transformational leadership" (Judge & Bono, 2000, p. 757-759). In terms of the study's implication, the authors offer that "when the two major findings of this study are put together, certain personality traits predict transformational leaders, and transformational leadership is related to various outcomes most organizations value—they suggest that organizations might benefit from selecting leaders on the basis of certain personality traits" (Judge & Bono, 2000).

Judge and Bono close noting that their study makes a contribution to our knowledge of transformational leadership in that it is the first to demonstrate relationships between the Big Five dimensions of personality. Furthermore, because these results were obtained on a sample of leaders from approximately 200 different organizations including private industry, publicly held companies, and government, they are confident that the positive outcomes associated with transformational leadership are broadly generalizable (Judge & Bono, 2000).

This study by Judge and Bono was important as a meta-analysis of what is known of leadership behaviors, and taking the next step to evaluate these behaviors against the standard of the Big Five personality grid. It offered a way of assessing these behaviors within a common personality scale. The pair would go on to collaborate as a team, and with others, in further explorations of this linkage. The goal of their work was to provide leadership theorists with a common language when describing leadership behaviors.

A Return to the Five Factor Model and Transformational Leadership Theory

With the use of the five-factor personality model Judge and Bono (2000) offered researchers a common structure to build their leadership theories on. The work of Judge and Bono offers a testable format to assessing effective leadership traits, and better identifying the facets of leadership development. Their work is widely cited by many articles in this area of leadership and leadership development.

In this new study by the team, their meta-analysis on traits uses the five-factor personality model as it can be used to describe the more salient aspects of personality. Judge and Bono (2004), seek to uncover what traits correlate with leadership emergence, and leadership effectiveness. They define these as historically defined within the literature. Leadership emergence is associated with someone being perceived as leader-like; and

leadership effectiveness refers to a leader's performance in influencing and guiding the activities of his or her unit toward achievement of its goals (Judge & Bono, 2004).

Judge and Bono briefly touch on the 'great man' hypothesis as giving rise to the trait theory of leadership. Like the great man theory, trait theory assumed that leadership depends on personal qualities of the leader, but unlike the great man theory, "it did not necessarily assume that leadership resided solely within the grasp of a few heroic men" (Judge & Bono, 2004, p. 765). Using the works of several well-known leadership authors, such as Bass (1998), Stogdill (1948), Hogan and Hogan (1995), Yuki (1989) and Mann (1959), among a handful of other prominent names in the field, they created a table listing the dominate leadership traits each of these authors identified. These traits number as few as four with Hogan to as many as ten for Bass. Regarding this comparison, the authors note, "It is telling that, except for self-confidence, no common traits emerge as related to leadership in a majority of those reviews" (Judge & Bono, 2004, p. 766). In fact only two of the ten lists they cite didn't include self-confidence, although one of these listed 'extroversion-related.'

Judge and Bono (2004), think that until their survey in 2000, "one of the biggest problems in past research relating personality to leadership is the lack of a structure in describing personality leading to a wide range of traits being investigated under different labels…accordingly, in this study we use the five-factor model of personality as an organizing framework to estimate relations between personality and leadership (Judge & Bono, 2004, p.766). Judge and Bono are aware that the five-factor model is often viewed as a rather coarse description of personality. The components of the five-factors are, again: Neuroticism, Extraversion, Openness to Experience, Agreeableness and Conscientiousness. The authors do agree that even if rather broad measures, "the Big Five traits have been found to be relevant to

many aspects of life, such as subjective well-being" (Judge & Bono, 2004, p.767). They note the common opinion within personality researchers who feel that for an adequate understanding of personality, "it is necessary to think and measure more specifically than at this global level of behaviors [represented by the Big Five]" (Judge & Bono, 2004, p. 768).

Starting with the Big Five's Neuroticism, the authors refer to Bass (1998) and his review that indicated that all studies on the relationship of self-confidence—indicating low Neuroticism—to leadership were uniform in the positive direction of their findings.

In testing the trait Extraversion, the authors find studies supporting a concept of this trait being most associated with leaders emerging within a group, and strongly related to social leadership. This factor carries with it the "characteristics of extraverts, i.e., active, lively and often restless." These behaviors, in particular, are linked to entrepreneurs.

Openness, is found to correlate with divergent thinking and is "strongly related to both personality-based and behavioral measures of creativity" (Judge & Bono, 2004, p. 768). And as other articles consulted have mentioned, creativity appears to be an important skill of effective leaders in terms of sparking innovation and solving non-linear problems.

With Agreeableness, unlike their earlier study, there seems to be an ambiguous finding in whether there is a relationship between this and leadership. Although charisma, and its relation to be agreeable, is thought to be part of the leadership profile in several articles. And the positive affect linked to transformational leadership practice is discussed later in this chapter.

In citing other studies, the authors Judge and Bono note that Conscientiousness is related to overall job performance, and from this you could say there is then a link to leadership

effectiveness. With this factor linked to tenacity and persistence, the conclusion is that there is a strong correlation between this factor and effective leaders.

Going into their method for their literature search, Judge and Bono further refine their five-factor model to include facets of three of the factors--neuroticism, conscientiousness and extraversion. These facets are in order; self-esteem and locus of control, achievement-orientation and dependability, and dominance and sociability (Judge, & Bono, 2004).

In a discussion of their results, the authors found a strong correlation of leadership with the trait Extraversion, in fact, the strongest indicator of the five traits. Next were Conscientiousness, and then Neuroticism (negatively) and Openness to Experience. Agreeableness, as noted, was the weakest correlation of the five. In terms of linking lower order personality traits' factors, these displayed moderately strong correlations with leadership in terms of sociability, dominance, achievement and dependability (Judge & Bono, 2004).

In the authors' further analysis of their work, they note that Bass in 1990 posed two pertinent questions regarding trait theory and leadership, these were: (a) What traits distinguish leaders from other people? and (b) What is the magnitude of those differences? Judge and Bono feel there is little consensus in answering those questions and go on to repeat their findings of strong multiple correlations between the Big Five traits and the leadership criteria which to them suggests a good basis for examining the dispositional predictors of leadership. However, they are aware that "many reviewers of the literature consider trait theory to be obsolete or only applicable in certain situations" (Judge & Bono, 2004, p. 773). They go on to argue that in using the five-factor model to organize myriad traits, "the present study sheds considerable light on the dispositional basis of leadership."

In discussing the options for future research, Judge and Bono think that they "have a relatively poor idea of not only which traits are relevant, but why." They speculate that Extraversion "may be related to leadership because extraverts talk more, and talking is strongly related to emergent leadership...Implicit views of leaders include aspects of both sociability (out-going) and assertiveness, (aggressive, forceful), or extraverts could be better leaders due to their expressive nature or the contagion of their positive emotionality." Likewise, "open individuals may be better leaders because they are more creative and are divergent thinkers, because they are risk takers, or because their tendencies for esoteric thinking and fantasy make them more likely to be visionary leaders "…and finally, "Conscientiousness is related to leadership because conscientious individuals have integrity and engender trust, and because they excel at process aspects of leadership, such as setting goals, or because they are more likely to have initiative and persist in facing obstacles." They also believe there are "many situational factors that may moderate the validity of personality in predicting leadership" (Judge & Bono, 2004, p. 774).

"In short, our results may simply indicate a close correspondence between the way we see people's personalities and our stereotypical conceptions of the characteristics of leaders" (Judge & Bono, 2004, p. 775).

What is important about the previous section is that Judge and Bono have provided a structure for researchers to gauge what they see in the field, with a methodology for how to explain it in a common language of agreed upon personality traits. The pair also recognizes and interjects the gray areas that the Big Five represent, and suggests how to look deeper within these markers for the nuances that make a person a leader. Up until the time these studies were published, there had been a mixing of how behaviors were described as was demonstrated in

the way behaviors were labeled among the prominent writers in the field. Authors all used a different set of descriptors for leadership behaviors in their research that made it hard to determine what was the behavior they were describing, let alone, what was behind the behaviors they were observing. With Judge and Bono's work, there is now a methodical way of describing and attributing leadership behaviors.

An update of the Big Five model and transformational leadership effectiveness. In a response to the broad strokes that the Judge and Bono framework was often criticized for, we can fast forward to 2015, and the work of Deinert, Homan, Boer, Voelpel and Gutermann (2015). Their meta-analysis of 58 studies, shows "Big Five personality traits are directly linked to transformational leadership sub-dimensions, and are indirectly linked to leader performance" (Deinert, et al., 2015, p.1095).

The intent of their study was to "examine the multi-dimensionality of transformational leadership (something Judge and Bono hinted at), by examining personality traits as antecedents and performance as an outcome of transformational leadership's four sub-dimensions" (Deinert, et al., 2015, p. 1096). These are, idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration.

In linking personality to transformational leadership, Deinert, et al. (2015) refer to research that has shown that personality traits have a "profound influence on people's motivation, behaviors and perceptions, including their values, social behavior and organizational citizenship behavior" (Deinert, et al., 2015, p.1097). This implies that leaders who focus on idealized influence show role modeling behavior, those who show inspirational motivation try to motivate people to perform beyond expectations, those who provide intellectual stimulation challenge their followers to be creative and innovative, and those who focus on individualized

consideration care about their followers' needs. Deinert, et al. are interested in whether certain sub-dimensions of transformational leadership affect outcomes differentially. Their main focus is on leadership performance, and its possible linkage to personality traits.

The authors sought to update current knowledge on the role of leader personality in shaping transformational leadership and leader performance. "Our meta-analysis updates the one by Bono and Judge (2004), since we include more recent research, investigating all the transformational leadership sub-dimensions, and extend the relationship between the Big Five and transformational leadership to leader performance by testing a comprehensive theoretical model. Our meta-analytical findings support and extend the idea that it is important to consider the different sub-dimensions separately, as we found differential dispositional antecedents and outcome relations in respect to the transformational leadership sub-dimensions….for instance, we found that agreeableness is positively related to idealized influence, inspirational motivation and individualized consideration, but not to intellectual stimulation" (Deinert, et al., 2015, p.1108).

It is interesting that the Judge and Bono structure is still valid, since in the time since their breakthrough research there have been several attempts, such as those by Deinert, et al. to look at the more finely defined sub-dimensions of personality to more fully explain leadership behaviors. And the fact that agreeableness is not linked to intellectual stimulation should not be a source of worry, although motivation is linked to stimulation, so their findings present perhaps more questions than good answers.

The next section of Deinert, et al.'s work is a breakdown of their findings against each of the Big Five factors. From this they summarize that their findings "stress the differentiation between the different transformational leadership sub-dimensions that should become

standard in leadership research, because they are differentially related to personality traits.

Since most studies and meta-analyses still operationalize transformation leadership as an overall

measure, [or construct], it is an important aspect to take into account in future research. A clear

illustration of the problems associated with combining the sub-dimension into an overall

construct can be found in our findings on conscientiousness and neuroticism and their different

effects on the transformational leadership sub-dimensions. Future research using this

separation approach could provide a deeper understanding of transformational leaders and its

nomological network, which would contribute to the development of a theory pertaining to

which combination of different sub-dimensions actually feed into an overall transformational

leadership measure" (Deinert, et al., 2015, p.1110). What their study shows is that there is no

one path toward leadership emergence or development. The nuances that Judge and Bono

recognized, and how theses combine in performance, is still somewhat unpredictable in how

they impact leadership styles. It does point to the influence of experience, education and other

interventions on leadership development.

To concur with other findings, Deinert, et al. found the relationship between

transformational leadership and leader performance is in line with previous research on leader

performance. They also agree with previous research that the direct effects of "extraversion,

openness to experience, and conscientiousness significantly enhances leaders'

performance…and that understanding the significance of focusing on a few important distinct

personality traits in the selection process could help organizations improve their often-used

procedures to identify the best performing leaders" (Deinert, et al., 2015, p.1110).

In their closing comments, Deinert, et al. echo what others have said or hinted at, that

transformational leadership is a combination of behaviors, and not characterized by one specific

personality trait, or that they "execute one specific leadership behavior, but that different combinations of personality traits linked to certain leadership behaviors contribute to success." They also mention the "unreflective declaration of transformational leadership as being universally good. Conversely, transformational leadership might foster negative outcomes such as narcissism or poor decision-making. Another point of criticism is that most of the research does not consider contextual factors" (Deinert et al., 2015, 1111-1112).

Yet transformational leadership often results in how an individual responds to crisis or change, the influence of contextual factors that Deinert et al. mention. It is the person who rises to the fore due to their ability to navigate the changing circumstances and who use the unknown to their, and their organization's, advantage. They have also narrowed the factors that may matter most in selecting leaders—that certain behaviors aligned with extraversion, openness to experience, and conscientiousness—are factors linked to effective leadership behaviors and help to explain such outward behaviors as charisma. The literature often mentions the importance of the social skills a leader brings to their practice, and how this influences and impacts subordinates.

Something else that they uncover is that transformational leadership may not universally be for the common good. The personality traits that they align with this leadership style could produce an influential leader whose vision misreads the future, to their failure, as well as, the failure of the group or organization they are leading. This might be the case if the leader isolates him/herself to some degree. However, as a more social and engaging type of leadership style, I would see those around him/her having input and influence in decisions that are made that could help to avoid false leadership moves.

The special case of the social entrepreneur and the Big Five. In terms of entrepreneurs, when using the Big Five factors, it is their high scores in Extraversion and Openness to Experience that single them out as innovators within the sector. This, according to a study by Leutner, Ahmetoglu, Akhtar and Chamorro-Premuzic (2014). These traits also included high affinity with Conscientiousness and Optimism (Leutner, et al., 2014).

Regarding Agreeableness, with entrepreneurial enterprises, a low correlation here is due to often few employees, and often due to the risk context of the entrepreneurial environment, the ability to manage stress and ambiguity might be what contributes to the success of an endeavor – not necessarily one's [perceived] interpersonal skills (Leutner, et al., 2014). This is demonstrated in the case of Uber, the car rental enterprise, and its ability to be successful with its stockholders despite its leadership's reputation for bad behavior toward its employees and attitude toward local rules in the cities' in which it operates (Stross, 2017).

In the case of entrepreneurial contexts, where industries associate this with innovation, there is an expressed need to select employees based on their creative and opportunistic outlooks, using psychological testing, and that "personality is a valid predictor of employee job performance"(Leutner, et al, 2013, p. 58). It is the ability to use extreme risk and uncertainty as assets that sets the entrepreneur apart. As Jay Walker describes this, "a manager's job is to develop people to work with. It's about process. I'm not a strong process person…like any entrepreneur, I'm highly adaptable. You work with what you've got, not with what you want. And what you've got is often an incomplete set of facts, an insufficient amount of capital, an insufficient amount of knowledge about the key things you need and insufficient people to do that job. Other than that, welcome to the job" (Bryant, 2017, p.3).

In the case of the social entrepreneur, we have the individual who seeks to make a difference in the public sector using money to attack old ideas and practices, in order to reveal new ways of thinking about how to solve society's problems.

Leadership Emergence

These preceding thoughts on leader effectiveness by both Judge and Bono (2004), and Deinert, et al. (2015), leads into the premise of the next study by Smith and Foti (1998), who cite, "the explicit acknowledgment of the role of followers in the leadership process and suggest that individuals emerge as group leaders by fitting the shared conceptions of followers. People appear to share a set of general beliefs about the characteristics (e.g., decisive, determined, and intelligent) related to leadership in diverse situations. Leaders may make traits and behaviors salient, but perceivers also must notice them" (Smith & Foti, 1998, p. 147). This is the issue of context that Deinert et al. mentioned.

Smith and Foti (1998) looked at the domain of emergent leadership in their study using the personality variables dominance, intelligence and general self-efficacy. This is due in part to "recent research that has shown that traits are important in two respects. First, that there is a set of traits generally associated with leadership perceptions or the emergence of leaders. Second, traits are important as perceiver constructs, helping followers to notice and understand leader behaviors" (Smith & Foti, 1998, p. 148).

Smith and Foti start their study with a discussion of the importance of cognitive factors associated with leadership, where it has been found in several reviews that intelligence is often the trait with the strongest relationship to leadership emergence, along with dominance, the latter contributing to an individual's tendency to assume the role of a leader. Other traits mentioned by the authors were empathy, independence, ambition and likeability. As facets of

the Big Five, they feel this supports their interest in the link between traits and perceptions of leadership (Smith & Foti, 1998).

On the topic of self-efficacy, they use a concept of general self-efficacy, or GSE, and define it as "the expectation that one can successfully perform a behavior necessary to produce a desired outcome." As such, it has been regarded as a "global trait, relatively stable, that changes over time with an accumulation of success and failure." They relate research that has shown that those with high GSE scores "exhibit more effort and persevere for a greater length of time on a variety of tasks, and with this is displayed self-determination, behavioral controls, and motor performance" (Smith & Foti, 1998. p.149). The issue of self-confidence has been mentioned before as important in discussions of leadership emergence. The conclusion is that a person's belief in themselves and their capabilities is an important, perhaps necessary, underlying trait for leading others.

For their study Smith and Foti use a person approach. What this involves is using a pattern of variables relevant for the problem under consideration (leadership emergence). In this approach it is the interaction among the variables involved, where the person and not the variable is the basic unit of observation that is important. Their variables, intelligence, dominance and general self-efficacy, were chosen based on theory and past empirical research. Next, every individual is characterized based on the pattern of the selected variables; and finally, individuals are grouped based on their personality patterns and attempts are made to differentiate among individuals based on these sub-groups (Smith & Foti, 1998, pp. 149-150). They used the Wonderlic Personnel Test (for intelligence), the dominance subscale of the Personality Research Form, and the General Self-Efficacy Scale with a pool of 160 male undergraduate students for their focus group.

"The next step was to conduct a three-way analysis of variance in which the pattern variables and their interaction terms were included in a model predicting leadership emergence." This was done to demonstrate that all three traits are important to, and interacted in, the pattern predicting emergence. Those high in all three traits "received higher emergent leadership ratings than those low in only one of the three." And as they note, in previous studies, dominance and intelligence have been shown as positively associated with leadership. What their study adds, is the inclusion of self-efficacy as it "was shown to be correlated, to a higher degree than even dominance, with leadership ratings and rankings "(Smith & Foti, 1998, p.157). This demonstrates that all three traits are critical to leader emergence. General self-efficacy is generalized across situations as it is an accumulation of experiences of success and failure that are instrumental in supporting one's confidence on individual tasks. It has also been shown to increase effort, and perseverance across domains. Thus it is likely that future research will demonstrate that the pattern used in this study is predictive of leadership emergence across tasks (Smith & Foti, 1998).

The authors feel they have made an important contribution to the discussion, and that future research should try different patterns with "the goal of finding the one or ones that demonstrate the strongest relationship with emergent leadership" (Smith & Foti, 1998, p.157). This study clearly supports the concept of self-confidence, like intelligence, as being important components of any leader profile. It also points to a discovery that it is the interaction of a constellation of traits that produces certain leadership qualities, like perseverance. What is remarkable about this survey is that Smith and Foti found that missing any one of the three traits impacted an emerging leader's perceived performance. This points out the complexity in determining what developmental occurrences contribute to someone taking on certain leadership qualities such as those associated with transformational leadership behavior.

However, it does point to leadership as a skill that can be obtained once these qualities are uncovered.

The researcher Zaccaro (2007) takes a similar position to Smith and Foti's (1998) in his study of trait-based perspectives of leadership. He puts forward the belief that, "combinations of traits and attributes, integrated in conceptually meaningful ways are more likely to predict leadership than additive or independent contributions of several single traits." He continues to explore what he sees as "trait patterns reflecting a stable tendency to lead in different ways across disparate organizational domains" (Zaccaro, 2007, p. 6). This is particularly interesting to this study, to understand how the individuals I have identified seem to be able to assume leadership in various contexts, a shortcoming of some studies that was mentioned by Judge and Bono (2004).

The review of his article with regard to context, reveals Zaccaro's interest in the traits that a person brings to a situation. He explores what impact context has on triggering various leadership responses. This is important as he explores how leadership demands change depending on the context.

The Importance of Context to Leadership Effectiveness

Zaccaro in this study looks at the importance of traits in accessing leadership practice. He observes that for much of the 20th century, researchers discarded trait-based approaches to explain leadership, and that it wasn't until the 1980s when "models of charismatic and transformational leadership rose to prominence in the leadership literature that traits reemerged. These models, while recognizing the important role of the situation in leadership, pointed once again to the extraordinary qualities of individuals as determinants of their effectiveness. More recently, a number of studies have linked personality variables and other

stable personal attributes to leader effectiveness, providing a substantial empirical foundation

for the argument that traits do matter in the prediction of leader effectiveness." He continues,

"leadership represents complex patterns of behavior, likely explained in part, by multiple leader

attributes, and trait approaches to leadership need to reflect this reality," as well as, "the

integration of leader attributes, and how the joint combination of particular leader

characteristics influence leadership behavior" (Zaccaro, 2007, p. 6). To the question raised by

Deinert et al. (2015) Zaccaro is interested in how the situation is "a corresponding source of

significant variance in leadership" and that, "individual leaders (nonetheless) can be effective

across situations demanding very different leadership approaches" (Zaccaro, 2007, p.7).

After a discussion of the distinction between trait-like individual differences (e.g.,

cognitive ability) and state-like individual differences (e.g., self-efficacy), Zaccaro mentions this

distinction as a way of explaining how "some leader attributes will be more stable and across

situations in their influence, while others will be more situationally bound…and how leadership

attributes may differ in their sensitivity to situational factors and their proximity, and influence

leadership behavior." He mentions the iconic researcher Stogdill's (1948) review at this point,

and his finding of the stable leader qualities he identified as "decisiveness in judgment, speech

fluency, interpersonal skills, and administrative abilities" (Zaccaro, 2007, p. 7).

There is an effort to better understand what is nurture versus nature in these

discussions, and what Zaccaro is trying to establish is that leaders are not born, and that instead,

effective leaders can be developed. As he says, "The enduring quality of leader attributes does

not mean that they are immutable. Some leader attributes, particularly those described earlier

as state-like, can be altered substantially through maturation, experience, and targeted training

interventions. Indeed, the acquisition of leader skills and expertise occurs mostly through

experiences and training and often exhibits a constant evolution in effective leaders" (Zaccaro, 2007, p.9).

This is a very important concept, the belief that leadership qualities can be altered through maturation, experience and targeted training interventions. The idea that leaders can be formed, and are not necessarily formed based on certain innate qualities. The fact that Zaccaro sees leader characteristics as developing through external influences is important to debunking the belief that extraordinary leaders are a fluke of nature who just are. As more research uncovers what experiences and interventions lead to certain behaviors, the closer we are to learning how to best influence emerging leaders to lead.

There is much discussion about leader traits that are not be to be considered in isolation, but rather as integrated constellations of attributes that influence leadership performance, that would get at a developmental sort of obtainment. "Understanding leadership requires a focus not only on multiple personal attributes, but also on how these attributes work together to influence performance." Resonating with what Judge, et al. (2002) found, that "the qualities that differentiate leaders from non-leaders are far ranging and include not only personality attributes but also motives, values, cognitive abilities, and social and problem solving skills, and expertise" (Zaccaro, 2007, p.8).

He goes on to say that the offered definition of leader traits "rests on the [observed] characteristics that distinguish effective leaders from non-leaders—effective leadership represents one form of high performance." How this kind of performance is distinguished from others is the "inherently social nature of leadership—and that this may be the key factor that contrasts this form from other forms of high performance." Successful and effective leadership means, "fundamentally, influencing others by establishing a direction for collective effort and

managing, shaping, and developing the collective activities in accordance with this direction"

(Zaccaro, 2007, p. 9). This is the concept of a vision that many transformational leaders view as a

fundamental first step in providing direction, and it is what they consider as a means to engage

collective effort to achieve.

Zaccaro goes on to discuss the importance of situation. Others have remarked how

effective leadership styles in one situation, may not work in another. And some have even said

that the transformational style of leadership works best, and perhaps only, in times of crisis.

Zaccaro instead suggests that leader effectiveness reflects, "an ability to respond appropriately

across different dynamic organizational requirements. To do so, leaders need to be able to

display an array of different approaches and styles to leadership" (Zaccaro, 2007, p.9). This

resonates with Jay Walker's self- observation that he is adaptable as an entrepreneur (Bryant,

2017, p.3).

Zaccaro cites previous discussions of leadership traits as assuming a constancy, and

behavior patterns that remain more or less constant, or stable, across different types of

situations. This is coming from people such as Stogdill (1948). What Zaccaro offers is that "traits

and attributes of the leader that promote an ability to adapt and change one's behavior as the

situation changes. These attributes include cognitive complexity, cognitive flexibility,

metacognitive skills, social intelligence, emotional intelligence, adaptability, openness, and

tolerance for ambiguity" (Zaccaro, 2007, pp.9-10). As an underlying trait, intelligence plays a

significant role in the manifestation of these types of attributes, again a trait many researchers

have cited as a common and critical accessory to effective leadership.

Zaccaro has developed a leadership model of attributes and performance where he

distinguishes distal (embedded) attributes as being personality, cognitive abilities, and motives

and values; and proximal (situation bound) attributes such as problem solving skills,

expertise/tactical knowledge, and social appraisal skills. He bases his model on research that

has shown, "how multiple traits are combined in optimal ways to jointly influence leadership,

and that "effective executive leadership is derived from an integrated set of cognitive abilities,

social capabilities and dispositional tendencies, with each set of traits contributing to the

influence of the other—and that persons who emerge as leaders in one situation also emerge as

leaders in qualitatively different situations" (Zaccaro, 2007, pp.10, 12). His trait definitions in this

model are based using several studies' consensus on what each includes, i.e. cognitive

capabilities include general intelligence, cognitive complexity, and creativity. He has argued that

in general theories of leadership there is a "need to specify more clearly how context shapes the

performance requirements for leaders and how attributes of leaders promote consistent

effectiveness across varying organizational requirements" (Zaccaro, 2007, p. 13).

> In his concluding remarks, Zaccaro notes that certain personal attributes promote how
> leaders learn and grow from experience—traits such as openness to experience and risk
> tolerance can determine the likelihood that individuals will approach and accept
> developmental or stretching assignments. Also, cognitive and motivational attributes,
> such as metacognitive skills, self-regulation skills, mastery motives and learning goal
> orientation may influence how much knowledge and information a leaders derives from
> his or her experience (p.13).

From this analysis, it is believed that in general intelligence and experience are

significant attributes impacting the behavior of a versatile and effective leader. What is perhaps

the biggest concept to come out of this work is the idea that leaders are formed by their

experience and targeted trainings, and that it is their openness to change, in themselves, and

within a context, that is important. How they interpret their experience is also important, in that

they learn from it. The insight from this research is that successes and failures have lessons to

teach to those who are open to learning from their experiences.

The Introduction of Emotional Intelligence and Self-esteem

Emotional intelligence (EI) or emotional quotient (EQ) is the capacity of individuals to recognize their own and other people's emotions, to discriminate between different feelings and label them appropriately, and to use emotional information to guide thinking and behavior. It might otherwise be called empathy. In a continuation of the influence of emotions may play on the transformational leadership construct, this next study uses the Big Five as the premise from which the researchers look for how intelligence, personality and emotional intelligence impact transformational leadership's managerial performance, and effectiveness.

Cavazotta, Moreno and Hickmann (2012), while looking at the importance of intelligence to leadership, acknowledge that "previous research has indicated that intelligence and certain personality traits of leaders seem to be related to transformational leadership and leadership efficacy, many doubts persist specifically regarding emotional intelligence" (Cavazotta, et al., 2012, p. 443).

A number of studies Cavazotta, et al. (2012) cite maintain that emotional intelligence can be understood as "cognitive intelligence applied to emotional questions. While intelligence concerns the ability that an individual possesses to assimilate information and knowledge and apply them in various contexts, emotional intelligence is related to the ability to perceive emotions, understand them and apply them to situations that arise"—and that "the more relational aspects there are in an activity, the more emotional intelligence will be required of the individual who will be put in charge. Thus, leaders who have the ability to perceive their emotions and understand their impact on their actions, and on those of others, should have a greater probability of providing effective leadership" (Cavazotta, et al., 2012, p. 445).

The authors used the Big Five plus emotional intelligence in their analysis of their data. Their results were in line with other studies, in that intelligence, openness to new experiences, managerial experience, and conscientiousness again showed close correlation with transformational leadership behaviors. However in adding emotional intelligence to their assessment, contrary to what they had hypothesized, "the new predictor had no statistically significant effect on transformational leadership or performance—however when considered alone, emotional intelligence seems to be statistically related to transformational leadership." They go on to explain that "we had enough power in this study to detect significant effects, the null finding for the hypothesis pertaining to emotional intelligence should be understood in its own right, and as a plausible result from investigative research in a field that is still maturing"(Cavazotta, et al., 2012, pp. 451-452).

In discussing their contribution of their study to the field, they feel that their results clearly support "the relevance of intelligence as a predictor of transformational leadership and organizational outcomes." And that more process research could uncover more "specific implications of intelligence-driven capacities such as creative problem solving and strategic thinking" (Cavazotta, et al., 2012, p. 451).

Again, in support of the influence of emotional intelligence on leadership behaviors, Cavazotta, et al. cite the negative influence of neuroticism for leadership performance in managerial roles to suggest that a leader's emotional stability might be even more relevant for the achievement of goals in such a context than thought before"—and that "future research based on strong metrics and research design will be able to verify when, how, and how far emotional intelligence and other emotion-related constructs contribute to effective leadership in organizational settings" (Cavazotta, et al., 2012, p.453).

Intelligence is again cited by this study as an important leadership attribute for how it impacts problem solving and strategic thinking. The fact that the importance of emotional intelligence wasn't easily teased out in their analysis, nonetheless pointed to the need to better understand the importance of one's ability to perceive and understand the impact of their actions on others in providing effective leadership. Again, the role of maturation, including being in control of your emotions, would lead one to think that emotions are important to leadership behaviors.

This is an area needing more research as a person's ability to self-regulate would seem to be an important skill when faced with challenges and obstacles that could arise in the course of an organization's operation.

Isolating self-esteem's role in leadership effectiveness. Just as emotional intelligence is considered an antecedent to the Big Five personality factors, self-esteem is also among the sub-set of personality attributes that is linked to transformational leadership behaviors. The concept of self-confidence has been discussed as an important underlying trait, a global sort of behavior found in effective leaders. In the study by Matzler, Bauer and Mooradian (2015), their work was to investigate whether transformational leadership behavior is a function of the leader's own self-respect and his/her evaluation of being capable, significant and worthy. It also tested whether transformational leadership is related to innovation success" (Matzler, et al., 2015, p. 815). The researchers concur that since transformational leadership requires followers to trust, admire and identify with their leaders, it follows that "leaders with high self-esteem are more likely to transmit positivity and enthusiasm to their followers" (Matzler, et al., 2015, p. 816).

In referring to recent meta-analyses by a variety of researchers on the topic of transformational leadership, Matzler et al. (2015) think it strange that there is little research on

the antecedents of transformational leadership, "that is, on questions of why some leaders are more likely to engage in transformational leadership than others. Only recently have researchers begun to explore individual differences as antecedents of transformational leadership behavior" (Matzler, et al., 2015, p. 817).

With the focus of Matzler, et al. on self-esteem, they go on to define it. "Self-esteem is defined as an individual's overall self-evaluation of his/her competences—determinants of self-esteem include: signals from the environmental structure to which one is exposed, messages received from others in one's social environment, and one's feeling of efficacy and competence derived from his/her experiences" (Matzler, et al., 2015, p. 818).

As self-esteem relates to transformational leadership and personality traits, they note from its definition that "leaders develop and articulate a shared vision and set high expectations that motivate, inspire and challenge followers (inspirational motivation), and that in order to paint such a positive picture of the future and gain follower's trust, leaders need to be free of anxiety." In terms of the trait intellectual stimulation, the authors point out that "leaders that view themselves as competent, capable, and in control of their work are more motivated to actively seek new challenges and to find new ways to conduct work which influences intellectual stimulation behaviors" (Matzler, et al., 2015, p. 818).

An aspect of leadership that was new to this discussion was the focus on innovation. This is especially topical at this point in time when C.E.O.'s are being pushed out for not moving fast enough in the face of changing industry dynamics. Since transformational leaders are often found when the status quo is in question, the group cites recent surveys that support innovation as "central to the thinking about transformational leadership, as the whole concept was developed around leaders that consistently strive at transforming the existing state of affairs"—

they continue, "empirical research found that transformational leaders put more emphasis on innovation than transactional leaders, who focus more on in-role behavior and less on the stimulation of novel activities" (Matzler, et al., 2015, p. 819).

The Matzler group's survey involved 411 entrepreneurs and managing directors of small to mid-sized companies in Austria. Matzler, et al. hypothesized two main effects in their research: a positive relationship between self-esteem and transformation leadership, and a positive relationship between transformational leadership and innovation success. In presenting their results, they found that self-esteem is positively related to transformational leadership. "We found empirical support for this hypothesis and its contribution to the relatively sparse literature on the antecedents of transformational leadership behaviors. We introduce a variable that helps to explain why some leaders are more likely to engage in transformational leadership than others--We also hypothesized and confirm empirically that transformational leadership is positively related to innovation success. The result confirms previous studies, and numerous studies which have found that transformational leadership influences employee creativity" (Matzler, et al., 2015, pp. 823-824).

Matzler, et al. conclude that "there is abundant literature on the positive effects of transformational leadership, but little research on the antecedents. With this study we have shown that the leader's self-esteem is related to transformational leadership behavior. This has some important managerial implications (Matzler, et al., 2015, P. 825). The literature has identified a number of dispositional antecedents to organizational self-esteem, e.g. general self-esteem, emotional stability, or general self-efficacy. In selecting leaders, these dispositional factors could be considered.

"Transformational is one of the most influential contemporary leadership theories. As we have shown in our study, not all individuals hold the predispositions required to become a transformational leader. Inspiring and challenging followers, acting as a role model, intellectually stimulating employees, and instilling a sense of confidence in their followers, require a certain degree of self-esteem" (Matzler, et al., 2015, p. 825).

Yes, a belief in one's self does not seem like an unrealistic expectation to have for someone heading an organization. This is especially true when putting forward a vision that takes an organization from point A to point B and on to point C. Matzler, et al. were able to find strong links for the importance of general self-esteem, along with emotional stability, in providing the confidence to lead.

As Judge and Bono predicted, Matzler and his team have provided some helpful insight into the identification of behaviors, traits and practices that contribute to these leadership profiles, and in particular, the transformational leadership profile. The Matzler group's work provides additional insight into what expectations on performance might be tied to this leadership practice, such as innovation.

The Problem of Measuring Leaders' Effectiveness

The point of understanding leadership behaviors is for how they affect leadership performance. All of the previous studies have been concerned with what traits and personality profiles combine to result in an effective leader. To bring this into clearer focus, Hogan, Curphy and Hogan (1994) explore what is known about leadership effectiveness and the role of personality. In this study, the focus is on personality's role in defining leadership and observes that, "leadership is persuasion, not domination; persons who can require others to do their bidding because of their power are not leaders. Leadership only occurs when others willingly

adopt, for a period of time, the goals of the group as their own (Hogan, et al., 1994, p.493). At this point in time, the authors feel that "effectiveness concerns judgments about a leader's impact on an organization—focusing on typical behaviors and ignoring effectiveness is an overarching problem in leadership research" (Hogan et al., 1994, p. 494).

And to the question of whether leadership matters, the authors conclude that the best way is to "ask consumers of leadership, i.e., a manager's direct reports. Several patterns of behavior are associated with subordinates' performance and satisfaction. Conversely, reactions to inept leadership include turnover, insubordination, industrial sabotage and malingering" (Hogan, et al., 1994, p. 494). The result of inept leadership was demonstrated in early 2017, by the senior and mid-level leadership at Wells Fargo that led to staff illegally tampering with customer accounts in order to meet sales goals (Kingson & Cowley, 2017, p.2).

The authors are aware of "measures of cognitive ability and normal personality structured interviews, simulations and assessment tools predict leadership success reasonably well. Nonetheless, many organizations seem either unaware or reluctant to take advantage of these psychological selection services. As a result, first-line supervisors are often chosen from the workforces on the basis of their technical talents rather than their leadership skills." So why aren't psychologists more involved in the process of executive selection? The authors' reasons range from having empirical research too narrowly focused, "to not understanding the political realities surrounding the selection [process]" (Hogan, et al., 1994, pp.494-495).

Hogan et al. (1994) think the more appropriate way to measure leadership is in terms of "team, group, or organizational effectiveness—because subordinates are in a unique position to judge leadership effectiveness" (Hogan et al., 1994, p. 495). What leadership characteristics do they feel are most important? Research from three studies they cite point to a leader's

credibility or trustworthiness as the single most important factor or traits. Added to this analysis, is the difference observed between the perspectives of a supervisor and a subordinate of a manager's performance. The boss looks for competence, while the subordinate's ratings of a managers' overall effectiveness "were largely influenced by judgments of integrity…agreeing in effectiveness, although evaluating on different aspects of performance" (Hogan et al., 1994, p.495).

Hogan and his fellow authors are interested in the 50 percent failure rate among senior executives. Reasons they cite for this are due to invalid or incomplete methods of search firm nominations, background checks and interviews as the way most executives are evaluated for leadership positions. They promote the use of standardized and well validated methods developed by psychologists that are used in only a tiny fraction of cases. "We believe the less valid methods continue to be used due to candidates for executive positions often refusing to submit to psychological assessment" (Hogan et al., 1994, p. 496). However, evaluation tools such as the Myers-Briggs Type Indicator is one that many individuals are familiar with or have taken that does provide some insights into personality type.

To this last point, it would seem that a transformative leader would welcome knowing more about what makes up their leadership style in terms of insights assessment tools might provide. Could it be inferred that the insecure would refuse psychological assessment? Hogan offers perhaps a way around this refusal tendency.

Hogan, et al. refers to the Big Five personality model as a contemporary foundation structure for Stogdill's 1948 work on personality and emergent leadership traits he identified as a means to identify someone perceived as leader-like when there is only limited information about that person's actual performance. Stogdill (1948) concluded that the measures of

dominance, extraversion, sociability, ambition or achievement, responsibility, integrity, self-confidence, mood and emotional control, diplomacy, and cooperation were positively related to emergent leadership (Hogan, et al.). These are skills repeated by several other more contemporary authors they mention in this section, leading to what they call an implicit leadership theory. This is related to other people's preconceived notions of what leaders should be like. "Specifically, most people seem to regard intelligence, honesty, sociability, understanding, aggressiveness, verbal skills, determination, and industriousness as important aspects of leadership, regardless of the team tasks or situation" (Hogan et al., 1994, p.497).These are for the most part observable behaviors, uncovered without testing.

In forecasting leadership potential, the authors think that the best way is to use "a combination of cognitive ability, personality, simulation, role play, and multi-rater assessment instruments and techniques." And that "terminological confusion has obscured the usefulness of personality measures for assessing leadership potential and that the Big-Five model substantially enhances our ability to integrate this research" (Hogan et al., 1994, p. 498).

They point to "several lines of evidence that show that certain personality dimensions are consistently related to leadership effectiveness" (Hogan et al., 1994, p. 498). Again referring to Stogdill and his work from 1974, the personality dimensions of surgency, emotional stability, conscientiousness, and agreeableness were positively related to rated effectiveness. From this the authors touch on charismatic leaders in that they have "substantially higher promotion recommendations or performance appraisals ratings from superiors; satisfaction, morale or approval ratings from subordinates, and levels of team performance." Several surveys they cite report that charisma ratings are "positively correlated with self-confidence and personal

adjustment, feminine attributes and nurturance, and the need to enact change" (Hogan et al., 1994, p. 498).

Returning to why leaders fail, they cite research completed on themes associated with leadership failure, and found these failed executives had an overriding personality defect or character flaws that alienated their subordinates and prevented them from building a team. So how do leaders build a dedicated team?

The authors feel a leader's personality impacts team performance. Hogan and his colleagues have shown that leaders with higher surgency scores communicate more with team members, which increases the possibility that the team understands its goals and the performance standard required to achieve it. In addition, this tendency positions these leaders as better able to build alliances with people outside of the team, which allows them to secure necessary resources not otherwise readily at hand.

Hogan et al., (1994) realize that leadership is related to the group in question. "One can speculate that the qualities needed to form a group may be different from those required to maintain it. Thus leaders with higher surgency, intellect, and emotional stability scores may be more successful in organizations designing new products or services, whereas leaders with higher conscientiousness scores may be more effective in organizations having established products, services and procedures. Almost foretelling the challenges of leadership in the 21st century, Hogan, et al. (1994) remark in closing that they "know little about the requirements of managing creativity" in looking at the needs of the workforce of the new millennium. They believe that successful organizations will increasingly rely on innovation and the development of new products and services that depend on the performance of their "investigative and artistic teams" (Hogan et al., 1994, pp.499-500).

With a better understanding of the personality components of an individual's effective leadership practice, tools for how to better assess how these leaders are identified and selected, was a very important take away from the Hogan, et al. study, as was the ability to observe behaviors in situ. Perhaps as more instances of leadership failure occur here and abroad, more thought will be given to the methodology used in the selection of leaders by their boards and other stakeholders, regardless of the political realities present.

Too, the study's realization that different leadership skills are needed within different context also points to the asset cognitive flexibility provides in such situations. The need to tolerate ambiguity is tied to what they see as an increasing need to manage creativity, and its ties to the concept of innovation that has entered the conversation.

We have learned from the introduction of Judge and Bono's (2004) innovative use of the Big Five personality markers that there is a way to talk about and access leadership behavior in a common language. That introduction of how we talk about leadership theory has developed a way to determine interventions and experiences that help in the development of transformational leaders. As Zaccaro (2007) outlined, leaders are not necessarily born, and we can learn much from our experiences. We now know what markers to look for, and as Hogan et al., (1994) has suggested, we should use what we have learned to better assess the potential of those seeking the C-suite and other leadership positions. The issue remains, that we are not applying what we know in the identification of new leadership, and only a few others are taking up the transformative model for their own.

This discussion has shown us the psychological traits that contribute to certain behaviors and outcomes that follow the transformational leadership model. And we have begun to understand how accessories to the Big Five, like self-esteem, contribute to building

leadership behavior. What else influences a leader's vision in pursuit of growth? Is there a role

for morals and ethics to influence leadership performance that is part of this psychological

make- up? The next section looks into the impact of ethics and morals, two concepts perhaps

lacking in the leadership practice on display with the Wells Fargo example we have previously

discussed. At Wells Fargo there was a focus on the short term with no thought for the cost of

the long term implications this behavior would bring.

Morality and Ethics as Aspects of Leadership Practice

Now that the personality basis of certain leadership traits has been examined in the

previous section, this discussion considers the moral/ethical side of leadership. Many of the

theories point to ethics and morals forming the net under the transformational and authentic

behaviors being discussed—the values comment that has been mentioned. The bigger issue is

whether, like some leadership behaviors, morality in the 21st century is contextual, and perhaps

even malleable.

How much of the leadership on display today could be cast as moral? As ethical? If these

concerns are eroding from our public servants, is a focus on today, and short term gain, clouding

the need for the longer vision that comes with transformative leading, taking into account the

immediate, mid-range and long term scenarios of what could be and is?

Ciulla, now professor emerita, was at one time a senior fellow at the Wharton School at

the University of Pennsylvania. Her focus on the relationship of ethics to leadership can be

found in this compilation of essays she edited, where she seeks "to offer the reader hands-on

insights into the ethical dynamics that make the heart of leadership tick" (Cuilla, 2014, p. xix).

In her book *Ethics, the Heart of Leadership* (2014), she concludes that ethics and

morality are essential components of true leadership since without them a leader cannot be

trusted. She goes on to say that if a leader is trusted, followers will go to extraordinary lengths

to provide extraordinary performance. Trust, for her, is the essential element that enables

leaders and followers to work collaboratively towards a common goal (Ciulla, 2014).

So it is this concept of morals and ethics as they relate to leadership practice that led to

an article by Pinker (2008), a cognitive scientist, psychologist, linguist, and science author. He is

Johnstone Family Professor in the Department of Psychology at Harvard University, and is

known for his advocacy of evolutionary psychology and the computational theory of mind. In

this article on the "Moral Instinct," (*The New York Times Sunday Magazine,* 2008), his conclusion

is that perceptions mold the moral reputations of leaders. He talks about us being "vulnerable to

moral illusions as the ethical equivalent of the bending lines that trick the eye on cereal boxes

and in psychology textbooks. Illusions are a favorite tool of perception scientists for exposing

the workings of the five senses, and of philosophers for shaking people out of the naïve belief

that our minds give us a transparent window on the world" (Pinker, 2008, p.1).

He says that now there is a sixth sense, the moral sense. That there is a distinctive part

of our psychology for morality. The question is how moral judgments differ from other kinds of

opinions we have on how people ought to behave (Pinker, 2008).

The first hallmark of moralization according to Pinker is that the rules it invokes are felt

to be universal. The other is that people feel that those who commit immoral acts deserve to be

punished. He sees that many behaviors have been amoralized, switched from moral failings to

lifestyle choices. As examples he cites "bums and tramps are now homeless. Drug addiction is a

disease, and syphilis was rebranded from the price of wanton behavior to a sexually transmitted

disease, and more recently a sexually transmitted infection. Whether an activity flips our

mental switches to the moral setting isn't just a matter of how much harm it does. People tend

to align their moralization with their own context, what makes sense for where they are, for who they interact with" (Pinker, 2008, p.4). Pinker sees our socio-political sphere influencing our moral settings. This is increasingly true as we look at the use of Twitter and other public outlets to marginalize and otherwise attack groups and people. Yes, in real time, words have real consequences and travel swiftly.

The psychologist Haidt, whose work Pinker consults in this work, puts forward that people don't generally engage in moral reasoning, but moral rationalization: they begin with the conclusion, [influenced] by an unconscious emotion, and then work backward to a plausible justification. In line with this, Pinker consulted the work of anthropologists, and counts five universal themes of morality emerging from their work: harm, fairness, commitment (or group loyalty), authority and purity and suggests that "they are the primary colors of our moral sense. Not only do they keep reappearing in cross-cultural surveys, but each one tugs on the moral intuitions of people in our own culture" (Pinker, 2008, p.8).

Pinker sees these five spheres, or themes, as having deep evolutionary roots. For him, this brings us to a theory of how the moral sense can be universal and variable at the same time. For Pinker, "The five moral spheres are universal, a legacy of evolution. But how they are ranked in importance, and which is brought in to moralize which area of social contexts—sex, government, commerce, religion, and so on—depends on the culture." As he noted earlier, it is the socio-political context we are in that determines what we do or don't tolerate as the right thing to do (Pinker, 2008, p. 9-10). The difference between ethics and morals can seem somewhat arbitrary to many, but there is a basic, subtle, difference. Morals define personal character, while ethics stress a social system in which those morals are applied. This is how Pinker (2008) envisions morality coming into play within the leadership construct.

Culture and Ethical Leadership

If our moral compass has deep evolutionary roots, why should culture matter? "The institutions of modernity often question and experiment with the way activities are assigned to moral spheres." In terms of how morality impacts leadership, Pinker sees a reputation for fairness and generosity as an asset. And that in the long run, reputation can be secured only by commitment, by walking the talk. Leaders and individuals are moral not because of what it brings them, but because that's the kind of people they are. "Moral realism points us in a moral direction, and then gives us the tools to determine when the judgments of our moral sense are aligned with morality itself…It is the insights of rational individuals that make a truly universal and unselfish morality something that our species can aspire to" (Pinker, 2008, p. 13).

To take what Pinker (2008) has outlined, and align it with transformational leadership, the authors Turner, Barling, Epitropaki, Butcher and Milner (2002), cite "a growing body of research that shows transformational leadership has benefits for organization functioning, and that transformational leadership could be related to high levels of moral development. To be more specific, this reasoning is related to subordinates' perceptions of their leaders' transformational leadership behaviors" (Turner, et al., 2002, p.304). This aligns with the observations of Pinker regarding reputation; it's the observed nature of behaviors in how reputations are earned. It is not a case of 'do as I say, and not as I do.'

Remarking on the developmental model of Kohlberg (1969, 1976), Turner, et al. (2002) focus on Kohlberg's stage theory of cognitive moral development to explain how people think (or reason) about interacting with their social environment. Kohlberg proposed that "people's present moral capacity incorporates problem-solving strategies learned at earlier stages and

that a gradually larger repertoire of perspectives and social options is available to people as they develop" (Turner, et al., 2002, p. 305).

The Turner group elaborates on the consequences of this concept, and proposes that "leaders with more complex moral reasoning will be able to draw on more sophisticated conceptualizations of interpersonal situations, are more likely to think about problems in different ways, and are cognizant of a larger number of behavioral options" (Turner, et al., 2002., p. 305). Taking this one step further, they propose that "leaders with more complex moral reasoning are more likely to value goals that go beyond immediate self-interest and to foresee the benefits of actions that serve the collective good" (Turner, et al., 2002, p.306).

Agreeing with other authors cited in this chapter who have seen the personality nuances that accompany the Big Five model in better describing the source of leadership behaviors, Turner's group concludes that "cognitive moral development needs to be examined in conjunction with other personal qualities (e.g., emotional self-regulation, capacity to act against pressure from others) and environments' characteristics to understand how moral reasoning translates into action" (Turner, et al., 2002, p. 309).

The idea of developmental stages related to leadership development makes sense as authors such as Zaccaro (2007) spoke of the developmental nature of leadership due to experiences, focused trainings, and other interventions experienced through one's career. It helps to explain how focused trainings in particular can change behaviors over time, and linking cognitive moral development to issues of self-regulation, and the ability to keep calm under stress. Those responses that come with (learning from) experience and maturation can be seen to add the moral anchor to transformational behaviors.

The Role of Empathy

With the concept of an embedded moral compass to guide us, and the conclusion that behaviors can be learned and developed in leadership practice, is this discussion on the role of empathy in leadership development. In the article "Empathy is a Choice," Cameron, Cunningham and Inzlicht (2015) discuss this role.

In researching the practice of transformative leadership and personality traits, empathy, especially with authentic leadership, was mentioned as a component exhibited by these and other related leadership theories. Cameron et al. (2015) define empathy as a choice we can be made to feel.

"One death is a tragedy. One million is a statistic," Cameron and his colleagues observe, and go on to say that, "It's a troubling finding because, recent research has demonstrated, many of us believe that if more lives are at stake, we will—and should—feel more empathy and do more to help. Empathy seems to fail when it is needed most. In addition, our empathy is dampened or constrained when it comes to people of different races, nationalities or creeds" (Cameron, et al.,2015, p.1).

Cameron, et al. quickly link this to a matter of morality when they ask about the relationship between the two. "Traditionally, empathy has been seen as a force for moral good, motivating virtuous deeds. Yet a growing chorus of critics, inspired by findings like those above, depict empathy as a source of moral failure" (Cameron, et al., 2015, p.2). The difference between ethics and morals can seem somewhat arbitrary to many, but there is a basic, subtle, difference as Pinker observed**.** Morals define personal character, while ethics stress a social system in which those morals are applied.

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Cameron and his colleagues explain that, "While we concede that the exercise of empathy is, in practice, often far too limited in scope, we dispute the idea that this shortcoming is inherent, a permanent flaw in the emotion itself. Inspired by a competing body of recent research, we believe that empathy is a *choice* that we make whether to extend ourselves to others. The 'limits' to our empathy are merely apparent, and can change, sometimes drastically, depending on what we want to feel" (Cameron, et al., 2015, p.2).

Cameron et al. cite recent studies in which it was discovered that when people learned that empathy was a skill that could be improved, as opposed to a fixed personality trait, they engaged in more effort to experience empathy for racial groups other than their own. "Empathy for people unlike us can be expanded, it seems, just by modifying our views about empathy "(Cameron, et al., 2015, p.3).

In conclusion, Cameron, et al. find that there are many situations in which empathy appears to be limited in its scope, but this is not due to a deficiency in its expression. "In our view, empathy is only as limited as we choose it to be" (Cameron, et al., 2015, p.3). It is interesting that not only can one be trained to be more empathetic, it can also be calibrated based on the circumstance or context one finds themselves in. It was interesting to note that the extent of one's interaction with others determines the degree to which it is used as well.

Empathy's link to emotional intelligence. Our discussion of empathy has led back to a consideration of emotional intelligence and its role in transformative leadership development. In a meta-analysis of linkages between transformational leadership and emotional intelligence, the authors Harms and Crede (2010) cite research that positions "elements of emotional intelligence, such as empathy, self-confidence, and self-awareness as core underpinnings of visionary or transformational leadership" (Harms & Crede, 2010, p. 5).

Harms and Crede (2010) are the first in this review who look at the biographical

background factors of transformational leadership in defining it. This includes experiences of

parents taking an active interest in the development of their child, high parental moral

standards, and whether or not individuals enjoyed school and their prior work experience. In

addition to the psychological factors and traits that have been linked to this style of leadership

in this study, the importance of early secure attachment is mentioned by Harm and Crede as

well.

Harms and Crede in their definition of emotional intelligence follow closely that given by

Cavozotta, et al. (2012) as a set of verbal and non-verbal abilities that enables a person to

recognize and work with their own and others' emotions to cope with environmental situations.

In presenting the results of their literature search, they speculate that the interest in concepts of

emotional intelligence have something to do with the need to consider that "leadership theory

and research have not adequately considered how leaders' moods and emotions influence their

effectiveness as leaders." In addressing the previous issue of whether emotional intelligence is

to be regarded as a trait or ability, they were able to confirm that when evaluated as a trait, the

validity of a link to transformational leadership was higher than when compared to a link to an

ability (Harms & Crede, 2010).

In their concluding statement, Harms and Crede feel that the breadth of their study

does provide significant evidence in support of discounting emotional intelligence as a core

construct of transformational leadership; however, they feel that "the evidence does not rule

out that emotional intelligence may contribute to successful leadership at some level"(Harms &

Crede, 2010, p.13).

In this chapter on the personality and behaviors associated with transformational and its related leadership theoretical practices, how such leaders have developed has been studied for decades. It has been demonstrated through this review that the foundations of this type of leadership are based in personality traits, early experiences, ethics and morality; and that there is a role for empathy and emotional intelligence to explain some of the resulting behaviors. Each of the above studies has demonstrated the underlying psychology of our actions; and the moral underpinnings of our humanity that impact the kind of leader we will become. And in line with Zaccaro's (2007) belief that experience and education contribute to leadership formation, an important take away for me from this discussion is the concept that leadership can be viewed as a developmental process over time, and learned.

The next chapter in this review looks at leadership theories that have been identified around these behaviors, and how the attributes of transformational, authentic, academic and other configurations of practice guide organizations and people to effect positive change.

Chapter 3: Theories of Leadership in Practice

Aspects of Transformational Leadership Theory

In this section, the focus will be on the definition and positioning of transformational leadership as a leadership style. This will include an exploration as to why it is believed to be an effective leadership approach and in what contexts it may work best.

The authors on this practice, like Bass (1997) and Burns (1978), talk about the use of transactional leadership behaviors in particular serving as a temporary assist to transformational leadership behaviors. In an article by Hay (2006) regarding contexts of stability and volatility, he explores what contributes to the distinctions between the two behaviors as the focus of his work.

Referring to the 'bible' on leadership, Hay quotes Burns (1978) who "distinguishes between ordinary (transactional) leaders who exchange tangible rewards for the work and loyalty of followers, and extraordinary (transformational) adaptive leaders who engage with followers and raise consciousness about the significance of specific outcomes and new ways in which those outcomes might be achieved—Burns contrasted transactional and transformational leadership believing that they lie at opposite ends of a continuum" (Hay, 2006).

The focus of transactional leaders is to maintain stability rather than to promote change within an organization. To achieve this end, transactional leaders exhibit the following characteristics: they work with team members to determine unequivocal goals and make certain workers get promised rewards for achieving those goals; they exchange rewards (and promise of rewards) for worker efforts; they respond to the immediate self-interests of followers if those interests can be met while the job is being done (Hay, 2006).

Transformational leadership is associated with more enduring leader-follower relationships based on trust and commitment, with an emphasis on new values and alternative visions of the future that surpass the status quo. To this, Hay identifies interdependent components of transformational leaders involving idealized influence through the use of: individualized consideration; inspirational motivation, intellectual stimulation; and performance beyond expectations (Hay, 2006).

To be more precise, Hay observes that transactional leadership maintains the status quo, while transformational leadership is leadership of change, important in times of distress and rapid and destabilizing change. And to be even more precise, Hay notes that in contrast to self-interest, transformational leadership asks its followers to set aside their self-interests for a time in order to support the common good (Hay, 2006).

With this putting into context where transformational leadership is found, the focus of the next section concerns where these individuals come from.

Where do Transformational Leaders Come From?

In numerous articles it is said that leaders are not born, and that like all the leadership styles, transformational leadership behaviors can be taught or acquired. On this topic of leadership development, Mason, Griffin and Parker (2014) look at the psychology and behavior associated with the transformational leadership practice with a goal of helping to cultivate it. The authors use cognitive theory in their exploration of transformational leadership theory to focus on three attributes of transformational behavior they identify as: self-efficacy, perspective taking, and positive effect.

Social cognitive theory provides a framework for understanding the change in psychological attributes and change in behavior an individual undergoes. It has been proposed that "socio-structural factors such as training interventions affect behavior largely through their impact on psychological mechanism of the self-system. Thus there should be a reciprocal relationship between change in leader's psychological attributes and change in their leadership behavior" (Mason, et al., 2014, p.175).

The attribute self-efficacy is important because it influences choice behavior, direction of effort and performance. As previously discussed, "belief in one's capability as a leader will be necessary for effective performance as a leader." In the context of transformational leadership, "we believe leaders would need high self-efficacy in order to challenge existing ways of doing things, generate confidence in an organizational vision, and behave in a way that is congruent with internal values even when there are strong pressures to do otherwise" (Mason et al., 2014, p.176). Often these strong pressures to do otherwise are in the form of short-term solutions to long-term issues.

Perspective taking is also important for the development of transformational leadership behaviors. Perspective taking involves adopting another person's viewpoint. As this impacts transformational leadership, "perspective taking helps leader to articulate a vision that appeals to followers, stimulates intellectual engagement among followers, and shows how they are considerate of the unique perspective that his or her followers and associates possess" (Mason et al., 2014, p. 176). As an example, 360-degree feedback interventions are used to support leadership development. The results raise awareness of how an individual's leadership behavior is perceived, and which aspect of their leadership style either needs solidifying or modifying.

The third psychological attribute they are testing is positive affect. This impacts leader's emotional reactions and in particular, their positive affect that is critical in supporting and sustaining their development effort. As has been discussed earlier in this review, "The immediate effects associated with positive affect eventually build more enduring personal resources through the development of social bonds, self-insight and knowledge" (Mason, et al., 2014, p. 177). As discussed earlier, the behaviors of self-confidence, empathy and positive outlook have all been cited as part of a transformational profile.

Testing Psychological Attributes Subject to Change

The participants in the Mason, et al. (2014) study were part of a year-long leadership development program. A total of 56 individuals completed the program, 40 were male, and 16 were female. The age range was 30 to 59, and the mean length of tenure with the company was five years. Using pre-and post-training and 360 degree feedback testing, "the participants' psychological characteristics were also assessed at roughly the same time as their transformational leadership behavior" (Mason, et al., 2014, p. 178).

In sharing the results, there was significant improvement in supervisor's rating of transformational leadership behavior from pre-training to post-training. The distribution from their study showed some reliably stable profiles over time and others showed substantial improvement over time. "Leader's self-efficacy, perspective taking and positive affect at the outset of training were not related to the extent to which their transformational leadership behavior changed over the training period (as rated by supervisors, team members, and peers)" (Mason, et al., 2014, p. 184). However, Mason et al. found that leaders who were participating in a transformational leadership development intervention exhibited both psychological and behavior reactions, and that these reactions were inter-related such that leaders who

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experienced more positive psychological reactions were also more likely to exhibit positive

behavior reactions. This finding reveals the importance of considering leaders' psychological

well-being when attempting to promote change in leader behavior (Mason, et al., 2012). This

again points to the importance of the frame of mind that a supervisor/leader approaches

training with, in that it has been shown to impact the effectiveness of the training interventions.

  The impact of a positive outlook on leadership practice. These findings demonstrate

that positive affect was the attribute most reliably associated with change in behavior. This is a

rational conclusion in that positive affect provides resources to support change by "broadening

one's cognitive focus, stimulating play and exploration, and facilitating social relationships."

Positive emotions also activate the ideal self (Mason, et al., 2012, p. 186-187). Implications of

the study offer that promoting positive affect in the training environment was the attribute

most reliably associated with change in leadership behavior. This is a rational conclusion in that

positive affect provides the pathway through which the effect of leadership interventions can be

strengthened (Mason, et al., 2012).

  This study is important if one of the objectives of this work is to uncover methodologies

for acquiring transformational behaviors. The evidence is growing to support the conclusion that

transformational leaders are not necessarily born. The evidence is building that transformational

leaders can be developed.

  As the leadership practice associated with change, some question whether

transformational leadership actually impacts subordinates' productivity. Studies have shown

that this leadership style does positively impact how subordinates view their work. However,

this also spills over into whether a subordinate's engagement with their work necessarily

translates into greater productivity. If the leader has shown an interest in the work of

subordinates, and provides for the continued growth of the individual, what follows is a more motivated subordinate in achieving the vision.

Does Transformational Leadership Impact Productivity?

Not only is the transformational leader thought to be accomplished in their role, Tims, Bakker and Xanthopoulou (2011) investigate the impact of whether transformational leaders enhance their followers' daily work engagement and productivity. This group uses a daily diary study to assess whether and how a supervisor's leadership style influences subordinates' daily work engagement, and whether optimism and self-efficacy play a role in subordinates' level of work engagement and performance. In fact, they undertake this study in response to the current literature in which "work engagement has gained momentum because of its predictive value for job performance" (Tims, et al., 2011, p. 121).

Next to work engagement, the authors "treat transformational leadership, self-efficacy and optimism as both traits and day-level factors." In support of Mason et al. (2014), this team says, "It is important to note that transformational leadership, self-efficacy and optimism, have shown to be malleable and sensitive to training and learning, implying that they may fluctuate within the same person depending on external stimuli" (Tims, et al., 2011, p. 122).

After a brief review of leadership styles that include transactional and laissez-faire (or no leadership), the authors chose to monitor transformational leadership, defined as leadership that transforms the norms and values of the employees, whereby the leader motivates the workers to perform beyond their own expectations. A central aspect of this leadership style is the inspiring vision of the supervisor. Again, the four components of transformational leadership are, as has been identified from the personality profiles of the model, "inspirational

motivation, idealized influence, individual consideration, and intellectual stimulation" (Tims, et al., 2011, p. 122).

In predicting that the transformational leadership style enhances employees' work engagement, Tims et al. cite research that has shown that "employee's feeling of involvement, cohesiveness, commitment, potency, and performance are enhanced by the transformation leadership style. An employee who receives support, inspiration and quality coaching from the supervisor is likely to experience work as more challenging, involving and satisfying, and consequently, to become highly engaged with the job tasks" (Tims, et al., 2011, p.123).

Taking this reasoning further, Tims, et al. speculate that transformational leaders have a positive impact on their follower's engagement due to the leader's inspiration and stimulation that may enhance employees' personal resources. Personal resources are aspects of the self that are generally linked to resiliency. For their study, they are focusing on two typical types of personal resources, self-efficacy and optimism (Tims, et al., 2011).

The re-emergence of self-efficacy. Self-efficacy was selected by Tims et al. as this group of researchers believe that transformational behaviors of promoting high expectations, and offering mastery experiences to their employees, boosts employee's efficacy from the positive feedback they are provided for their efforts and performance. In a similar vein, optimism may be enhanced by the transformational leadership style—again citing existing research, the authors project that, "these findings imply that transformational leaders provide challenging and optimistic views about the future that motivates employees to perceive the future optimistically, too" (Tims et all, 2011, p. 123).

The results of the Tims et al. study supported the positive relationship between day-level transformational leadership and day–level work engagement, as well as the role of day-

level optimism as a full mediator in this relationship. From a practical viewpoint, the results of

this study confirm that a resourceful, positive, work environment, as created by

transformational leaders, is an important prerequisite for an employee to be engaged. "The

transformational style of the supervisor seems to be highly important, because it boosts

employees' optimism and in turn enhances their work engagement" (Tims, et al., 2011, p. 129).

The team goes on to suggest that organizations invest in transformational leadership training for

their leaders, citing a field study by Barling, Weber and Kelloway, from 1996, that found that

transformational leadership training had an effect on the perceptions of the subordinates. From

the study, participants perceived their managers as high on intellectual stimulation, charisma,

and individual consideration than subordinates of managers in the control group, who received

no training. Tims, et al. conclude, that it is "conceivable that the positive effect of

transformational leadership does not stop after the enhancement of work engagement, but that

it may also enhance employees' performance. Since transformational leaders encourage their

employees to perform beyond their own expectations, it is likely that their followers will

perform better" (Tims, et al., 2011, pp. 129-130).

What Tims, et al. provided is not only a roadmap for how transformational behaviors

can be acquired, they show that the work environment with a transformational leader results in

higher performing subordinates. Thus, while many view transformational leadership as one

appropriate for prompting change, in the Tims, et al. study, the change was in individuals'

relationship to their work and subsequent level of productivity in achieving the goals set for

them.

The next model under discussion, and one that is in many ways closely aligned to transformational leadership, presents a leadership style that impacts subordinates' engagement with their work in what could be assumed are static or established work environments/settings.

The Introduction of the Concept of Servant Leadership

It can be observed from this discussion that one leadership practice often flows into another closely related one as in the case of servant, transformational and transactional leadership styles explored by Ronquillo (2011). In this article, Ronquillo's survey of servant, transformational and transactional leadership styles looks toward a new way of leading (within a multi-sector context). This study is specifically of interest for how his findings may relate to leadership needs in academia, as a special case.

Ronquillo begins his survey with a definition and history of Servant Leadership. This concept of leadership is associated with Robert Greenleaf, a former manager at AT&T. Greenleaf defined this concept as "the servant-leader is servant first, it begins with the natural feeling that one wants to serve" (Ronquillo, 2011, pp. 345-346). So unlike self-interest driven leadership models, this focuses on a commitment to serve others. Greenleaf believed the primary purpose of business organizations should be to create a positive impact on their employees and surrounding community. Greenleaf developed this model feeling that "colleges, universities and seminaries fail in preparing young people for leadership roles in society and that leadership among a new generation is needed to address the leadership crisis" he saw around him (Ronquillo, 2011, p. 347).

Much like the transformational leader, the servant leader's provision of meaningful work for subordinates is as important as providing a quality product or service for the customer. Another transformational behavior is to lead by engaging subordinates in a shared vision, the

servant leader empowers followers instead of using power to dominate them. In a third parallel

is the importance of trust, with actions consistent with values that is found in both practices.

Ronquillo reproduces ten core characteristics of the main tenets of servant leadership

based on Greenleaf's writings. These are: listening; empathy; healing (as in overcoming

personal obstacles); awareness; persuasion (as opposed to authoritative approaches);

conceptualization (a holistic approach); foresight (based on experience); stewardship;

commitment to the growth of people (nurture); and building community (the concept of setting

examples for others in a diffusion of leadership) (Ronquillo, 2011).

Research sources Ronquillo uses for his study point out the importance of values in

constructing the servant-leader profile. "Since values are an important part of every individual's

psyche as they are the underlying thoughts that stimulate human behaviors...since values are

prescriptive, they play an important role in determining the choices we make. Values are

enduring standards that collectively form the value systems of our lives" and that of the Servant

leader practice (Ronquillo, 2011, p.346).

In discussing current research around this model, Ronquillo found that there seems to

be a consensus that the theory does not seem to have evolved much from what Greenleaf put

forward in 1977. A study in 2006 found five factors of an original eleven dimensions tested

(much like the ten above) that were descriptive of servant-leader behaviors without losing much

of Greenleaf's original intent. These are: altruistic calling, emotional healing, persuasive

mapping, wisdom, and organizational stewardship (Ronquillo, 2011). For the most part it seems

this leadership practice is a more philosophical topic in leadership studies. In terms of its use in

practice, the author indicates that "leadership consultants and intra-organizational training

programs provide a way for the diffusion of the servant leadership concept among practitioners,

which largely makes up for the lack of work done by academicians" (Ronquillo, 2011, p. 347).

Many of the characteristics of servant leadership are found in the transformational leadership

practice, and this may explain why it does not garner the attention of other practices in

leadership discussions.

For its use as a model in nonprofit organizations, Ronquillo finds no evidence in the

literature for service leadership's effectiveness in this sector even though he sees it "as a natural

fit," especially for social service organizations. He goes on to caution that "it is not a natural

leadership style for everyone, and may not be best practice for every organization." Again,

adding that organizations with a central mission and one "focused on social responsibility seems

a logical fit, as Greenleaf placed heavy emphasis on social responsibility in his original concept of

servant leadership" (Ronquillo, 2011, pp. 347-348).

Ronquillo does observe that even though transformational and transactional leadership

styles have been positioned as distinct processes, increasingly it is agreed that effective leaders

employ several types of leadership practices at various times in an organization's operation,

and, as noted, aspects of servant leadership can be found in other leadership models as well.

In terms of the needs of the nonprofit organization, the author provides a laundry list of

examples for internal concerns that include: interacting with a board, staff, volunteers,

members and users—where the leader has to inspire, encourage and unite behind a common

mission. Externally, concerns include donors, policy makers, the media and others the leader

needs for financial resources and legitimacy (Ronquillo, 2011). These are tasks based on the

concept of social responsibility and are in line with what a university president encounters in

running an educational institution. Colleges and universities do have a social responsibility to

educate.

Ronquillo ends his article noting, as was Greenleaf's mission, that "old methods of leadership that are dated and ill-suited for the ever-changing nature of the 21st century nonprofit organizations are being set aside for newer, more innovative, groundbreaking techniques. The vitality of many nonprofit organizations is tied to a leaders' ability to thoughtfully guide them through times both prosperous and turbulent. Tactics of servant and transformational leadership are becoming increasing important in nonprofit organizations" (Ronquillo, 2011, p. 352). This conclusion is in keeping with Tims, et al. (2011) and the value of engaged, thoughtful leadership's impact on productivity and growth.

Another leadership practice that may fall somewhere between the transformational and servant practices is that of the authentic leader, a practice that like Greenleaf's was formed by a for-profit leader, in response to what its practitioner saw as a crisis in leadership.

Aspects of Authentic Leadership Theory

In this section a relatively new concept in leadership theory, closely linked to the transformational and servant leadership models discussed, is presented next by one of its high profile practitioners.

Authentic leadership is an approach to leadership that emphasizes building the leader's legitimacy through honest relationships with followers. This is a relationship which values followers' input and is built on an ethical foundation. Generally, authentic leaders are positive people with truthful self-concepts who promote openness. A prominent theory of authentic leadership views it as composed of four distinct components: 1. Self-Awareness (Know Thyself); 2. Relational Transparency (Be Genuine); 3. Balanced Processing (Be Fair-Minded); and 4. Internalized Moral Perspective (Do the Right Thing).

Bill George on being authentic. Bill George, the former CEO of Medtronic, is a proponent of authentic leadership, having written a book on it, as well as several articles appearing on this practice in the popular press. In George's first chapter from his book entitled, "Leadership is Authenticity, Not Style"(2003), he clearly lays out his philosophy on what constitutes an authentic leader.

> "Not long ago I was meeting with a group of high-talent young executives at Medtronic. We were discussing career development when the leader of the group asked me to list the most important characteristics one has to have to be a leader in Medtronic. I said, 'I can summarize it in a single word: authenticity'" (George, 2003, p. 2)

George continues that, "After years of studying leaders and their traits, I believe that leadership begins and ends with authenticity. It's being yourself; being the person you were created to be" (George, 2003, p.10). He observes that this is not what most of the literature on leadership says, nor is it what the experts in corporate America teach. He has found that they develop lists of leadership characteristics one is supposed to emulate, and describe the styles of leaders and suggest that you adopt them. To George, this is the opposite of authenticity. "Authenticity is about developing the image or persona of a leader. Unfortunately, the media, the business press, and even the movies glorify leaders with high-ego personalities. They focus on the style of leaders, not their character. In large measure, making heroes out of celebrity CEOs is at the heart of the crisis in corporate leadership" (George, 2003, pp. 10-11).

The Work of Avolio and Gardner on Authentic Leadership

While George (2003) often speaks from experience, rather than scholarship to support this theory, authentic leadership has been compared to transformational, charismatic, servant and spiritual leadership theories by other researchers. Avolio and Gardner (2005) are among the

first researchers to explore the characteristics of authentic leadership development in the literature. In their article on authentic leadership development, they seek to define and follow the development of authentic leadership using the analytical tools of studies on established leadership forms, such as transformational leadership. The authors view the challenges of the 21st century (technical, market-driven, ethical, global competitive, etc.), as precipitating a renewed focus on restoring confidence, hope and optimism; being able to rapidly bounce back from catastrophic events and display resiliency; helping people in their search for meaning and connection by fostering a new self-awareness; and genuinely relating to all stakeholders within an organization or non-profit sector (Avolio & Gardner, 2005).

In their study of this emerging field of leadership theory, Avolio and Gardner (2005) seek to differentiate authentic leadership from what we judged to be closely related leadership theories, including charismatic, transformational, spiritual and servant leadership. They hope to "offer diverse but complimentary and challenging perspectives on what might constitute authentic leadership, authentic followership, and their respective development—Our central premise is that through increased self-awareness, self- regulation, and positive modeling, authentic leaders foster the development of authenticity in followers, in turn, followers' authenticity contributes to their well-being and attainment of sustainable and veritable performance" (Avolio & Gardner, 2005, p.317).

In how an authentic leader develops, they cite the work of Shamir and Eilam (2005) who advance a life stories approach. Shamir and Eilam are prominent names in the authentic leadership development discussion, and a review of the article where they talk about life stories is included later in this section.

"As such, a leader's life story reflects the degree of self-knowledge, self-concept clarity, and person-role merge he or she experiences, and provides followers with cues for assessing leader authenticity" (Avolio & Gardner, 2005, p. 318). They contrast this cognitive focus with the work of Michie and Gooty (2005), "who explore the effects of values and emotion on leader authenticity. Specifically, Michie and Gooty assert that self-transcendent values (e.g., universal values, such as social justice, equality and broadmindedness; benevolent values, such as honesty, loyalty and responsibility) and positive other-directed emotions (e.g., gratitude, goodwill, appreciation and concern for others) play a fundamental role in the emergence and development of authentic leadership. This latter approach, the authors feel, "brings to the forefront of theory building the importance of emotions to understanding leadership and followership" (Avolio & Gardner, 2005, p. 318). In consulting the work of Michie and Gooty (2005) cited by Avolio and Gardner, the focus on emotions relates to the emotional intelligence previously discussed, that is now considered a trait/ability associated with transformational leadership theory discussions.

In accessing the concept of authentic leadership, Avolio and Gardner conclude that it has been conceived as practiced by self-actualizing people having strong ethical convictions. The authors tie this assessment to humanistic psychology as it provides the intellectual heritage for thinking about authentic leadership development. This relationship with the self-aspect of the theory involves the concepts of "owning one's personal experiences be they thoughts, emotions, needs, wants, preferences or beliefs, processes captured by the injunction to 'know oneself' and further implies that one acts in accord with the true self, expressing oneself in ways that are consistent with inner thoughts and feelings" (Avolio & Gardner, 2005, pp. 319-320). George (2003) does put forward the concept of finding and following your true north, as he

further defines this leadership concept in his own writings and behaviors that are for the most part, again, based on his personal experiences.

Even with the self-referential nature of authenticity, the Avolio and Gardner offer the insight that we are social creatures and the meanings we assign to the self are "clearly influenced by the reflected appraisals of others. From this, the self both shapes and is shaped by social exchanges with others" (Avolio & Gardner, 2005, p. 320). This provides another link to concepts such as the 360-degree review in providing insights into how a leader is perceived.

This leadership concept puts a much more pronounced emphasis on ethics, and social context than the transformational leadership descriptors. It revolves around a sense of self that is starting to appear in other related leadership theories with their consideration of self-efficacy in identifying aligned traits. Having a good sense of one's self has been discussed previously. The next section returns to the psychology behind this leadership theory as regards the self.

Another look at the role of positive psychology in authentic leadership's development.
Avolio and Gardner trace the conceptual roots of authentic leadership to "positive psychology"—and note that there is some "disagreement how best to define the constructs of authentic leader, authentic leadership, and authentic leadership development" (Avolio & Gardner, 2005, p. 320). Avolio, Luthans and Walumbwa (2004) in another study defined authentic leaders as "those who are deeply aware of how they think and behave and are perceived by others as being aware of their own and others' values/moral perspectives, knowledge, and strengths; aware of the context in which they operate; and who are confident, hopeful, optimistic, resilient, and of high moral character" (Avolio, et. al., 2004). In this study involving Avolio, "the related construct of authentic leadership in organizations is defined as a process that draws from both positive psychological capacities and a highly developed

organizational context, which results in both greater self-awareness and self-regulated positive

behaviors on the part of leaders and associates, fostering positive self-development." These

definitions have been criticized as being too broad, and by including traits, states, behaviors,

contexts and attributions makes for measurement difficulties across so many domains (as

contrasted with the intent of the Big Five structure of Judge and Bono). The authors agree, and

feel that it is the nature of this leadership theory, and think it is necessary to be broad in order

to "fully understand what constitutes authentic leadership development—one of the initial

intents in defining authentic leadership as a construct was to make it multi-dimensional and

multi-level" (Avolio & Gardner, 2005, pp. 320-321).

Avolio and Gardner in their work share the concerns of the researchers Shamir and

Eilam (2005), who advanced a narrower focus with their definitions. Shamir and Eilam posit the

following four characteristics of authentic leaders: (1) rather than faking their leadership,

authentic leaders are true to themselves (rather than conforming to the expectations of others);

(2) authentic leaders are motivated by personal convictions, (rather than to attain status,

honors, or other personal benefits); (3) authentic leaders are originals, not copies—that is they

lead from their own personal point of view; and (4) the actions of authentic leaders are based

on their personal values and convictions. Shamir and Eilam also introduce the construct of

authentic followership, which is achieved by "followers who follow leaders for authentic reasons

and have an authentic relationship with the leader" (Avolio & Gardner, 2005, p. 321).

The authors agree that authentic leadership development involves complex processes,

and that it is unlikely to be achieved through a more focused training program—since authentic

leadership development involves ongoing processes whereby leaders and followers gain self-

awareness and establish open, transparent, trusting, and genuine relationships, which in part

may be shaped and impacted by planned interventions (Avolio & Gardner, 2005).

Avolio with Luthans (2003), in their paper on positive development, described an initial

framework for authentic leadership that includes the positive psychological capacities of

confidence, optimism, hope and resiliency as the personal resources of the authentic leader.

"These positive psychological states heighten the self-awareness and self-regulatory behaviors

of the leader as part of a process of positive self-development. The authors feel that within this

self-development, there is an inherent ethical/moral component." In support of this inclusion to

the model, they cite the work of Bass (1985), who included a moral perspective in his model of

transformational leadership (Avolio & Gardner, 2005, pp.322-324).

To further define the concept of self-awareness and authenticity in this discussion,

Avolio and Gardner (2005) offer that it is when "self-awareness relates to self-regulation that it

can lead to the sense of consistency for how the self is the same self through the disparate

events of one's life so that the unity of character becomes evident" (Avolio & Gardner, 2005, pp.

324-325). This is an important concept that through all the changes in behavior that life's

experiences may bring, there is still a unity of character that is maintained.

In looking at the composite behaviors of authentic leaders, Avolio and Gardner (2005)

talk about these individuals as leading by example. This is viewed as a way of influencing and

developing subordinates —the processes of "identification, positive modeling, emotional

contagion, supporting self-determination, and positive social exchanges go a long ways toward

explaining how authentic leaders influence followers, i.e., the leadership component of

authentic leadership" (Avolio & Gardner, 2005, p. 326). In terms of subordinate development, it

is one of the central components of authentic leadership that both leader and staff develop over

time as the relationship between them becomes more authentic. Where the authentic

leadership development differs from transformational leadership is that the leader may not

actively set out to transform the follower into a leader, but may do so simply by being a role

model for followers. In authentic leadership patterns the development process is more

relational, where both follower and leader are shaped in their respective development (Avolio &

Gardner, 2005).

Authentic Leadership as a Valid Application

It might be said that authentic leadership indicates a more subtle, almost passive way of

leading and developing others. The concern for researchers is whether authentic leadership is a

valid application in the 21st century context of rapidly changing contexts, a demand for quick

results, and in general, high expectations. Even though the authors think this sort of leadership

practice addresses these demands head on; much of the way this leadership model develops is

over time—and not every work situation allows for the time to enable leaders and their

subordinates to gel to the satisfaction of all.

How does context align with authentic leadership? They quote the researcher Perrow

(1970), who stated that: "leadership is a dependent variable which depends on something

else—that something else is the historic context in which they [leader] arise, the setting in which

they function—They are an integral part of the system subject to the forces that affect the

system—In the process leaders shape and are shaped." It follows that, for leaders and followers

to be effective, leaders must promote an inclusive organizational climate that enable

themselves and followers to continually learn and grow. This is what is otherwise referred to as

transparency, and refers to the trust and honesty embedded in the values of this leadership

practice.

The introduction of a root construct. In how authentic leadership is differentiated from other leadership theories, Avolio and Gardner (2005) state that authentic leaders are "more generic and represent what we would term a root construct. What is meant by this is that a root construct forms the basis for what constitutes other forms of positive leadership design. As an example, vision is a central component of several theories of leadership. As this translates in the authentic visionary leader, "authenticity does not guarantee accuracy of prediction, but it does over time provide the impetus for followers to be more engaged, aware and intelligent about the direction being set so that they can contribute their best views and questions about the desired future state" (Avolio & Gardner, 2005, pp. 328-329). The authors go on to suggest that authentic leadership practices can be incorporated into transformational, charismatic, servant, spiritual or other forms of positive leadership. "However, in the case of transformational leadership, authentic leaders may or may not be charismatic." They quote Bill George, and his sense that "such leaders build enduring relationships, work hard, and lead with purpose, meaning and values, but are not necessarily described as charismatic by others," which has been defined as an important component or characteristic of transformational leadership (Avolio & Gardner, 2005, p. 329). The commonality, or root, to these various practices in the authors' view is this positive leadership design and a forward direction.

In a comparison to charismatic leadership, Avolio and Gardner add that, "while charismatic leaders employ rhetoric to persuade, influence, and mobilize followers, an authentic leader energizes followers by creating meaning and a positive socially constructed reality for themselves and followers" (Avolio & Gardner, 2005, p. 330). They are rather dismissive of a comparison to servant and spiritual leadership theories noting that while there is a tie between the self-awareness/regulation found in authentic leaders, for them servant leadership theory has been largely non-theoretical and not grounded or supported by empirical research. This is in

agreement with Ronqullio (2011) who noted the lack of scholarship around this theory (Avolio & Gardner, 2005).

The authors end this discussion with the question, so why authentic leadership? "We believe authentic leadership can make a fundamental difference in organizations by helping people find meaning and connection at work through greater self-awareness; by restoring and building optimism, confidence and hope; by promoting transparent relationships and decision making that builds trust and commitment among followers; and by fostering inclusive structures and positive ethical climates" (Avolio & Gardner, 2005, p. 331). It is nonetheless often grouped with the practices of transformational leadership in particular, as much as the authors seem to infer that transformational leadership is still a somewhat top-down leadership practice as compared with authentic leadership's more inclusive structures.

And where did authentic leadership theory come from? With respect to the history of authentic leadership development theory, Avolio and Gardner have briefly discussed some of the conceptual roots (e.g., humanistic psychology) and theoretical foundations (e.g., positive psychology) for the constructs of authenticity, authentic leadership, and authentic leadership development. In looking at where this comes from, they conclude that doing so, "may potentially enrich our understanding of more specific forms of leadership." For instance, Avolio and Gardner believe the effectiveness of participative, achievement-oriented, transactional, supportive and other forms of leadership are likely enhanced if the leader's actions are genuine and focused on the development of the self and others. To this, we are reminded that authenticity involves being true to oneself, not others, and "when realized in authentic leadership, it shifts to the leader's relationships with others because all leadership is relational at its core" (Avolio & Gardner, 2005).

In looking at the psychological sources mentioned as contributing to authentic leadership theory, humanistic psychology is defined as a psychological perspective that emphasizes the study of the whole person. Humanistic psychologists look at human behavior not only through the eyes of the observer, but through the eyes of the person doing the behaving (McLeod, 2015).

And with regard to positive psychology that Avolio & Gardner mention, this is defined as the scientific study of human flourishing, and an applied approach to optimal functioning. It has also been defined as the study of the strengths and virtues that enable individuals, communities and organizations to thrive (Gable & Haidt, 2005).

And, since all leadership theories seem to have as their goal, enhanced performance of an organization, authentic leadership's goals are not different. Avolio & Gardner hope that with continued theory building and systemic testing of the propositions they have advanced, that this "will enhance the understanding, prediction, and application of the positive impact that authentic leadership development can have on meeting today's and tomorrow's challenges of meaningful sustainable performance" (Avolio & Gardner, 2005, p. 334). It is interesting that the newly appointed head of Ford Motor Company, a recently changing iconic company, self describes his leadership style as authentic. This self-assessment has much to do with the concept of transparency in a broader corporate world where increasingly a failure to disclose is more the norm.

In an article by Cooper, Scandura and Schriesheim (2005), more emphasis is placed on how this leadership style develops. The authors realize that, "We know that there is considerable interest in the question of whether or not the training and development of authentic leaders can be effective—and whether or not it can be developed by training"

(Cooper, et al., 2005, p. 476). Again, the question of nature or nurture in this leadership's

construct and development. As Bill George has remarked, you come to leadership as who you

are.

       The concept of trigger events to promote authentic growth. Cooper et al. (2005)

suggest that authentic leadership is not like other areas of leadership for which competency sets

might be acquired in traditional training programs. "To begin thinking about how to develop

authentic leaders, we must think outside the parameters of traditional leadership training.

Specifically, the four major issues with any authentic leadership development intervention must

address are: (1) ensuring that the program, itself, is genuine, (2) determining how 'trigger

events' can be replicated during training, (3) deciding whether ethical decision-making can be

taught, and (4) (if these first three issues can be addressed) determining who should participate

in authentic leadership training" (Cooper et al., 2005, p.477).

       On the topic of creating genuine interventions (trigger events), Cooper et al. offer some

ideas. They touch on the concept of personality and the Big Five characteristics such as

emotional stability that may impact the potential of certain individuals for becoming authentic

leaders. "Various demographic variables may also play a role. One that seems particularly

relevant is age. For leaders to be able to reflect on trigger events, they must have had the

opportunity to experience such events in their lives" (Cooper, et al., 2005, p. 484).

       Cooper, et al. end this train of thought with the observation that, "our reading of the

authentic leadership literature suggests that important life events that trigger personal growth

and development could be an important component of authentic leadership development"

(Cooper et al, 2005, p. 484). As Cooper, et al. explore life experiences, the trigger events these

authors describe do not necessarily need to be traumatic, in fact, "they can involve a positive, if

deeply challenging experiences." Also, the ability to overcome adversity and become stronger "is one of the attributes of exceptional business leaders. They define the 'crucible of leadership' as a transformative experience through which an individual comes to a new or an altered sense of identity—interviews with top executives reveal that most could recount stories of critical life events that shaped their ability to lead others. These individuals show an ability to learn from experience, and insight through self-awareness that is characteristic of authentic leaders. Thus, the notion that trigger events facilitate leadership development seems to have merit" (Cooper et al., 2005, p. 485).

"Alternately, trigger events may also be the culmination of smaller events which accumulate over time until a threshold level is reached which evokes behaviors that are characteristic of authentic leaders. Authentic leadership may thus be evolutionary as well as revolutionary—it is the interaction of the trigger event and personal insight that produces behavior change. As with many leadership interventions, not every manager may respond, but the differences between those that do and do not will be a critical aspect of early intervention studies" (Cooper et al., 2005, pp. 485-486). It is this ability to learn from experience, that this leadership definition sees awareness of our experiences as important for that reason.

Regarding ethical behavior that is imbedded in this leadership concept, the degree to which ethical behavior can be impacted in adults is not a certainty. "In fact, it is questionable whether any adult behavior can be changed over the long-term. Research on training and development indicated that training programs rarely produce long-term documented effects on behavior—Thus, the degree of effectiveness that can be expected as result of formal, planned training programs may fall considerably short of the mark than might be required to justify the expenditures for authentic leadership development training. Importantly, if the intervention's

effects are not lasting, the intervention probably would not be considered genuine" (Cooper, et al., 2005, pp.486-487). If the trigger events are discovered as a person looks at their life experiences, the issue of genuineness is solved, as is the staying power of one's own experiences.

Can an authentic leader be developed through interventions and training? And is this a case of nature impacted by experience, rather than training. The authors note that moral or ethical behavior may be difficult to alter in adults. Also, authentic and ethical behavior may be highly context-dependent. They again cite Avolio, Gardner, Walumbwa, Luthans and May's research (2004) that mentions a supportive organizational context as essential for the long-term effect of authentic leadership development to be realized. This leads Cooper et al. to the socialization process as an "over-arching framework for designing genuine interventions to develop authentic leaders. This model is notable because it emphasizes the critical role of candidate selection, describes behavioral change trigger events and training reinforcement, and also stresses the pivotal role of context"(Cooper et al., 2005, p. 488).

"This process involves eight interrelated steps: (1) careful screening and selection of subjects for the socialization process; (2) development of a humility-inducing experience which essentially 'unfreezes' the subject and makes them open to new understanding and learnings; (3) in-the-trenches training that teaches the subject a set of core competencies, norms and values; (4) development and employment of a reward system that appropriately rewards (reinforces) what is being taught; (5) a system of shared values and sense-making that justifies the sacrifices involved in abandoning old ways and learning new; (6) a folklore that is told and subtly reinforces the core values and norms that are being taught; (7) role models that act consistently with the new ways being taught the subjects; and (8) systematic de-selection of

subjects (throughout the process) who do not make satisfactory progress with respect to competency, norms and values" (Cooper et al., 2005, p. 489).

In concluding their study, Cooper et al. reflect that while "other leadership distinctions may depend on the execution of a skill-set, such as charisma, the distinction of authentic leadership rests heavily on perceptions of morality" (Cooper et al., 2005, p. 490). Yet is authentic leadership an all or nothing distinction, or a matter of degree? And finally, is it necessary to introduce a new leadership construct, in order to understand whether or not it is important that leaders be self-aware, or have positive psychological capacities? Could we gain the same insights by studying the characteristics in relation to existing frameworks? This gets at what some others have mentioned as dipping into other leadership theories (such as transactional) depending on the changing contexts of leadership needs.

To respond to the socialization process that Cooper et al. sees as a means of developing authentic behaviors, the next study continues to explore the concept of trigger events, and mapping your experiences through life-stories as part of the self-awareness component of this construct, and the development of values and ethics in guiding a leader's outlook is included this work as well. Using the concept of reflection, Shamir and Eilam's (2005) suggestions are quickly summarized below.

The importance of trigger events in providing a life story. Shamir and Eilam's (2005) work as mentioned in Avolio and Gardner (2005) puts forward that "life stories can provide leaders with a 'meaning system' from which they can act authentically, that interprets reality and acts in a way that gives their interpretations and actions a personal meaning." Importantly, "this implies a shift of focus from the current emphasis on the development of skills and

behavior styles to an emphasis on leaders' self-development, and especially to the development of their self-concepts through the construction of life stories" (Shamir & Eilam, 2005, p. 396).

In their article, Shamir and Eilam describe the behaviors of the authentic leader as "being themselves (as opposed to conforming to others' expectations)—[and that] they lead from conviction." They add that "authentic leaders are interested not only in being all that they can be, but also in making a difference" (Shamir & Eilam, 2005, p. 397). As noted in other work, authentic leaders are originals, and "the process through which they arrive at their convictions and causes is not through imitation, but through a process of internalization based on their personal experiences, they hold values to be true because they have experienced them" (Shamir & Eilam, 2005, p. 397).

They identify the following attributes of authentic leaders as: the role of leader is a central component of their self-concept; they have achieved a high level of self-resolution; their goals are self-concordant; and their behavior is self-expressive (Shamir & Eilam, 2005, pp. 398-399). Adding more information to these components of the theory, the authors conclude that their concept of authentic leadership development includes: the development of a leader identity as central to the person's self-concept; the development of self-knowledge and self-concept clarity, including the clarity about values and convictions; the development of goals that are concordant with the self-concept; and increasing self-expressive behavior, revealing consistency between leader behaviors and self-concept. This emphasis on self-concept (i.e., self-awareness) stems from the belief that "stable self-conceptions act like a rudder of a ship, bolstering people's confidence in their ability to navigate through the sometimes murky seas of everyday life" (Shamir & Eilam, 2005, p. 399).

Continuing to put this leadership theory in context, Shamir and Eilam recognize that leadership is always a relationship between leader and followers, however, they suggest a fuller role for followers, and that in addition to authentic leaders, authentic leadership includes authentic followership as well. This plays out as followers "who have no illusions or delusions about the leader, and who have a realistic view of their leader's strength and weaknesses" (Shamir & Eilam, 2005, pp. 400-401).

Life stories inform identities. Life stories express the storytellers' identities, which are products of the relationship between life experiences and the organized stories of those experiences. The research supports the notion that "personal narratives are people's identities because the life-story represents an internal model of 'who I was, who I am (and why), and who I might become.' Identity is a story created, told, revised and retold throughout life—as a self-narrative. [The narrative method views individual descriptions, explanations, and interpretations of actions and events as lenses through which to access the meaning which human beings attribute to their experience.] How does this impact self-awareness? Shamir and Eilam see the development of self-knowledge in terms of a life story as providing the authentic leader with self-concept clarity because it organizes life events into a gestalt structure that establishes connections between those events so that the person's life is experienced as a coherent unfolding process. Furthermore, the self-story provides the authentic leader with a 'meaning system' from which to feel, think and act. It enables him or her to analyze and interpret reality in a way that gives it a personal meaning (Shamir & Eilam, 2005). Knowing what you stand for and what you value is critical. Moreover, self-awareness is needed in order to develop the other components of authentic leadership.

In particular, leadership development using life stories include coming out of struggle, or trigger events, and are usually ordeals that transform the person. In addition, because they are usually stories of victory over enemies or debilitating circumstances, they attest to the existence in the leader of many qualities that are considered necessary for leadership—strong will, self-confidence, proactivity, ability to take on big challenges and cope with difficulties, independence, and toughness (Shamir & Eilam, 2005). This serves as a definition of resiliency, too. It is by constructing these life stories that the trigger events are identified and are given the significance due based on the influence realized from the individual's actions in response.

To summarize, Shamir and Eilam see that authentic leader development can be conceived of as the development of role-person merger, self-knowledge, self-concept clarity, self-concordance and self-expression in the leadership role—the life story conveys the leader qualities, including both strengths and weaknesses, explains the leader's values, convictions and justifies his or her vision and claim for leadership (Shamir & Eilam, 2005). As for the implication of this study, the authors support their findings that the life-story approach to authentic leader development supports the development of self-knowledge, self-concept clarity and the internalization of the leader's role into the self-concept achieved through the construction of life-stories. Again, in this regard, it is a different approach from most leadership development programs that tend to focus on the acquisition of concepts, skills, and behaviors either in courses and workshops or though on-the-job experiences, mentoring and coaching. This difference in focus implies that the development process is highly personal and furthermore may have to be largely natural in order to be authentic. Where positive psychology plays a role in being not only one of the forerunners of this leadership theory, "counseling can also provide a means for assisting people to develop their potential to become authentic leaders through a

guided reflection process—reflective thinking. Reflective thinking is the process of creating and clarifying the meaning of experience in terms of self" (Shamir& Eilam, 2005, p. 410).

The role of role models. Linked directly to George, Shamir and Eilam suggest that similarly to the life-story outcomes, making use of role models can contribute to self-knowledge and self-concept clarity "as you reflect on the reasons for choosing these models, the feelings associated with these choices, and the motive and value reflected in the them. Thus, a leader may start to define or re-define themselves through their role models" (Shamir & Eilam, 2005, p. 411). Shamir and Eilam note that "processes of aided leader development described here are personable and probably or appropriately performed in individual counseling. And in fact, not all managers can become authentic leaders through such processes and many are likely to benefit from such help only in certain stages of their life or career" (Shamir & Eilam, 2005, p. 414). This comments on the need for a certain degree of maturation, and some of a life-lived to reflect back on, a process critical to building self-knowledge and awareness in this leadership model. They also comment on the self-reflective process "as perhaps not applicable in all cultures either because it violates norms of privacy or intimacy, or because it focuses on the individual and relies on a relatively independent and interdependent concept of self "(Shamir & Eilam, 2005, p. 414).

Recognizing that a leader needs an audience, the authors also remind us that authentic leadership development is not performed only in the leader's head. "Authentic leaders find their voice by acting in the world, receiving feedback, and reflecting on the consequences of their actions" (Shamir & Eilam, 2005, p. 412). In the study of transformational leadership, the literature never cast explicitly this model as a leadership theory based on positive psychology and personality traits, as has been the case in this study's scan of articles on authentic

leadership. Ethical behavior also presents more predominately in the behaviors of authentic

leaders, while (as noted) morality and ethics are implied in transformational leadership

discussions of underlying attributes impacting behaviors, too.

Embedded in this leadership theory is the sense that the leader develops, and that the

leader continues to develop over time, with this growth and development based on adapting to

new circumstances and experiences—and most important—making sense of these experiences

and learning from them, if not being changed by them. Leaders shape circumstances, and at the

same time, are shaped by them. Another concept is that this is not necessarily a top-down

theory of a leader and followers, and that authentic leaders can be found at multiple levels

within an organization simultaneously. Many authors point out the need for leaders throughout

an organization, not just at the top. And the importance of these 'middles' was demonstrated by

Wells Fargo in the gaming of customer accounts as performed by members of its sales force—

when such 'middles' were in short supply.

Just as theorists have said that transformational leaders sometimes dip into the

transactional leadership behaviors to best address events, the last group of authors in this

chapter has put both ethical and transformational leadership in with authentic leadership as an

array of leadership options from which to mix and match. All of these leadership theories come

with the potential to produce a positive impact on organizations' people, and overall

organizational performance. It is interesting that in comparing leadership options, it has

previously been mentioned that transformational leadership description with its focus on

working the vision seems almost a top down approach with leaders and subordinates; while the

authentic leadership description focuses on shared process of self (inner)-development and

growth throughout all levels of an organization.

Aspects of Academic Leadership

Why a focus on academic leadership? The literature views this as a separate form of transformative change. In my experience, mentors like Willard Boyd have spent much of their careers in academia, and what, if any are the particular challenges of academic leadership as they may relate to the leadership theories discussed so far?

Rowley and Sherman (2003) in their article on this particular leadership challenge, position leadership as necessary to enable organizations to translate goals and objectives into accomplishments. They observe that colleges and universities are a different case, "with unique challenges because leadership has to be applied in a variety of different settings, including administrative departments, academic departments, and in student and faculty organizations." What is perhaps unfortunate for universities is that often persons in leadership positions did not set out to be there, "Many faculty members thus end up in both managerial and leadership roles without ever having aspired to them" (Rowley & Sherman, 2003, p.1058).

As different as the authors cast the academic setting, they do concede that "one can view the entire campus as having some similarity to professional service firms." However, where there are similarities, there are also significant differences. "Specifically, the professional staff members in an academic department, the faculty, have far more autonomy in doing their work (especially in leading their classrooms,) than do the attorneys, accountants, and others in their respective firms." The authors nonetheless can show where the decision-making process in academia is similar to organizations outside the campus. These shared responsibilities are: "identification of desired outcome conditions, the determination of one or more alternatives, and the evaluation of the alternatives to select the most desirable one" (Rowley & Sherman, 2003, p. 1059).

To guide the academic leader, there are common considerations that should guide the activities of all academic managers. "Ensuring that the functions of planning, organizing, and implementing are applied appropriately to all problems, challenges and opportunities. These functions can serve as broad guides to decisions when the other issues discussed are taken into consideration" (Rowley & Sherman, 2003, p. 1060).

There are also the various stakeholder issues to consider, from faculty, to unions, to students, staff, parents, and the broader community. The authors stress the need for honesty in leadership responses made, and that leaders need to involve stakeholders in the decision-making process. This is very much like authentic and transformational leadership practices in terms of transparency characteristics as associated behaviors, although the authors do not interject leadership models within this article.

"One major characteristic of the academic environment is the challenge created by the fact the leader is not only a leader, but also an immediate peer." Due to this repositioning of peer relationships, the authors have talked about honesty in actions, and the matter of "trust, and how it must be earned." The developmental aspects of authentic leadership where the followers also take on authentic behaviors is a goal of the authors when they note that collegiality flows both ways in these situations (Rowley & Sherman, 2003).

The authors conclude that "problems are inevitable in human organizations, and academic leaders need to ensure that their positions of leading engage learning as a focal part of their leadership if they want to be effective in responding to the changes that ensue—[and] the opportunity to serve and be involved in meaningful change can be invigorating" (Rowley & Sherman, 2003, pp. 1062-1063). This again relates to authentic leadership development that

talks about the process of learning from experience, and that leading is an ongoing, changing, process over time. This makes sense for a context that is premised on learning.

Observations from university presidents. An author who appears in much of the academic discussion is Theodore Hesburgh, a former president at Notre Dame. He writes about his own academic leadership experiences to "establish a few clear characteristics of academic leadership, so that we may be able to understand it better" (Hersburgh, 1988, p.5).

Hesburgh starts his conversation with the concept of vision. "The leader must know clearly what he or she wants to achieve and, even more important, must have the ability to articulate the vision in equally clear words and images—Somehow the leader must join clarity of mind to warmth of heart to make his or her vision not only come to life but also be espoused by all those people who are essential to realizing that vision" (Hersburgh, 1988, p. 6). He goes on to observe that, "The true leader seeks out the competent and persuades them to join in the exciting endeavor. The leader promises them a free field of creative activity, makes them feel needed and welcomes them as essential to the vision" (Hersburgh, 1988, p.6).

In what could be a description of transformational leadership behaviors, Hersburgh continues, "The leader never loses sight of the total vision, even though he or she is always pressing forward on the particular front where immediate progress is possible. Somehow, the whole dream begins to take shape and the institution moves forward toward the whole organic, unified goal of total excellence" (Hersburgh, 1988, p. 7). For Hersburgh, this will not happen unless the leader makes goals clear, so that during times of frustrated hopes, having several steps in the achievement of goals prevents the overemphasis on one aspect of the institution which could pervert and fracture the total vision if allowed to happen.

In addressing contemporary leadership, Hersburgh recognizes a change in the kind of leadership an increasingly shrinking world needs, it is no longer a top down proposition. "Leaders today must be both prepared and free to perform their role. By prepared I mean deeply knowledgeable about the past, widely informed about the present, and capable of understanding and influencing change; and by free, I mean willing to substitute the common good for their own." He quotes the historian and philosopher Hichem Djait who refers to "the forces of modernity that are confronting and challenging the world's great civilizations more than those civilizations are confronting and challenging one another" (Hersburgh, 1988, pp. 11-12). Institutions of higher learning are in many ways the holders of what constitutes civilization and its values.

While he sees what leadership is needed, Hersburgh doesn't offer answers as to where these academic/world leaders come from and are formed. He doesn't name the leadership theories that mirror the behaviors he discusses. From this discussion, transformative and authentic leadership constructs could describe what is behind the actions and behaviors Hersburgh has outlined here.

The author Stephen Trachtenberg, also a university president, attempts to describe where academic leaders might come from and how they are formed with his article proposing an apprenticeship approach to academic leadership. After asking the question of whether leadership can be taught, he goes on to wonder how do you prepare a university president?

The challenge of group dynamics. Taking a cue from Hersburgh's threat to civilization scenario, Trachtenberg, the 15th president of George Washington University, also remarks on the "pervasive deterioration in academic discourse and advocacy that affects the university president even more strongly, because he or she sees it daily (Trachtenberg, 1988, p. 39).

Related to the authentic leadership theory, Trachtenberg establishes his belief that "role models are vital to academic leaders who need to cope with what is rather euphemistically termed 'group dynamics.'" The need to cope with group dynamics makes it mandatory for the successful leader to develop a high degree of empathy—in order to influence those who are seeking to influence him or her [the leader shaping and being shaped, from authentic leadership theory]. Trachtenberg notes that the ability to empathize in this way is probably inborn, although it can be sharpened over time. Certainly ego-based needs must be moved to the back burner while the other person's ego becomes the focus" (Trachtenberg, 1988, p. 39).

Trachtenberg ends his piece calling for a "curriculum for leadership that begins as early as the age of five or six; an educational process that teaches the young and the not-so-young to recognize the difference between their own very real selves as distinct from the environment around them" [self-awareness of the authentic leader theory]. Holding on to oneself "is a goal very appropriate for those leading in the modern world. It is also the only basis for becoming an effective leader" (Trachtenberg, 1988, p.41).

Trachtenberg has given insight to the kind of behaviors leadership needs to effectively lead in our modern world, and within the context of academia. His views show an alignment with some of the attributes of authentic leadership with his mention of self-awareness, and the recognition that leaders shape while being shaped by events and circumstance. The next author

returns to Hersbugh's concept of vision front and center as he, too, looks at various leadership constructs from the office of university president.

What Leadership Models Apply to the Academic Context?

Some leadership models are aligning with many of the behaviors of the academic leaders discussed so far. The next article is about the ingredients for success, and the author James Daughdrill (Rhodes College) observes that for university presidents, the ability to lead is crucial, and for him leadership is defined as "a unique amalgam of attitudes and skills—and what we call leadership is a mix that requires different talents at different times." There are four major ingredients that he "believes are essential to the leaders of a college or university: a passion for the institution, a commitment to stewardship, a clear but far-reaching vision, and the courage of one's convictions" (Daughdrill, 1988, p. 81).

In what reflects the authenticity in the authentic leadership model, Daughdrill talks about the difference in academic leadership. "I believe being the leader of a college or a university demands a stronger concentration of feeling and passion than is true in business. To me a college presidency is a calling much like that of a minister. It requires a love for the institution, its history, traditions, people, ideals and values. It is a passion that consumes one's thoughts, fills one's dreams, invades every moment and shapes every conversation. It is an emotion that cannot be faked. The president is too visible to mask true feelings for long." These are references to authentic leadership behaviors with the focus on values and the authentic self.

Taking traits from transformational leadership, Daughdrill talks about charisma and inspiring followers. In continuing his thoughts on the connection between the leader and the institution, he interjects that "an enduring and consuming love for the institution affects not only the leader's ability to lead but also everyone else's ability to work together—only if an

individual possesses this passion or love for the institution can he or she effectively ignite this

emotion in others, inspiring their support and commitment to the educational enterprise"

(Daughdrill, 1988, p.82). This relates to the authentic leader developing authentic followers; or

the transformative leader engaging others to put their self-interest aside.

Circling back to the concept of a vision, another transformational trait, Daughdrill sees

the leader's role as that of a generalist in a community of specialists. "Organizing the specialists

around a vision that gives focus and meaning to the common enterprise. The most important

job of a leader is to have a dream that is in some way ennobling—to state it precisely and

repeatedly—and to interpret this vision to others who can achieve it by working together. Vision

unites and inspires the enterprise and motivates its people. If you consider the many leaders

throughout history, in almost every instance you can state their visions or their dreams in a

sentence or two. More important, those leaders could do so, too" (Daughdrill, 1988, pp. 83-84).

Again, followers who set aside their self-interest for a time, a part of the transformational

leaders' construct, follows in what is discussed happening here.

The last author in this group speaks to reflections, and of course, reflecting is part of the

life-story exercise used in authentic leadership development.

Someone who may be familiar to local readers, is Magrath's comment on college

presidents (as a former president of the University of Minnesota, 1974-84). He sees university

presidents as "leaders in one of our society's most difficult and exhilarating positions. I certainly

have learned some lessons over the years, and one is that there is no single preferable

leadership style. Even more important, leadership is highly contextual—flowing out of time,

place, circumstance and opportunities that are seized" (Magrath, 1988, p. 99).

Again with a link to the behaviors of authentic leaders, Magrath (1988) says that, "True leadership is not shown on any issue, much less on a single issue. True leadership is shown by chief executives who—day in and day out, on issues large and small—exercise their best judgment, consistent with their own moral values, and what serves the university they are privileged to represent" (Magrath, 1988, p. 100).

What is leadership? For Magrath it is making decisions, "done cheerfully, willingly and without false modesty; to take stands, whether they are judged right or wrong by others; and who are open and accountable to the people they serve"…"It is hard work, but it is one of the most worthy enterprises that I can image" (Magrath, 1988, p. 103). This is the concept of being sure of your convictions, another nod to authentic leadership behaviors and traits.

This section on academic leadership moves from the thoughts of some practitioners, to end with a review of a book done by pair of frequent contributors to organizational leadership challenges. In this case, the authors focus on the challenges of academic leadership.

The book, *Presidential Leadership: Making a Difference* (1996)*,* by Fisher and Koch, was meant to be a guide for college presidents to use, and as a reference for the boards they report to. The focus here is on what the authors believe are the behavioral attributes of a successful college president. The authors are interested in the traits of a charismatic and transformational leader, rather than the transactional model (or others) in assessing academic leadership effectiveness.

In their discussion of transformational leadership traits and behaviors, Fisher and Koch mention the power of charismatic individuals. "Charismatic leaders have an extraordinary ability to inspire trust, loyalty, confidence and performance. This distinctly transformational characteristic is measurably the single most important dimension of leadership" to them in the

academic context (Fisher & Koch, 1996, p. xii). "Virtually all psychologists, sociologists, political

scientists and even historians would agree that the ability to influence or control is one of the

most important aspects of human life. Indeed, leaders are simply people who are more

consistently powerful than others—everyone attempts to be influential" (Fisher & Koch, 1996,

p. 9).

The authors explore whether effective college presidents are different from effective

corporate, political, or military leaders. They found that increasingly, the answer appears to be

"no"; if there are any differences, they exist in shades rather than clear contrasts. In general, a

leader is a leader is a leader. All leaders, then, play off the same general themes even though

their personal styles and mannerisms may differ (Fisher & Koch, 1996).

The transformational and transactional constructs of leadership in the academic

sector. Fisher and Koch (1996) briefly discuss the attributes of both the transactional and

transformational constructs of leadership. Their definition of a transactional leader is one

associated with being "in command" and ultimately being viewed as successful, and presenting

as a nondestructive leader, who met the challenges of the day. Because transactional leaders

ordinarily do not carry with them a strong agenda or vision, they often rely upon the less

effective power forms—coercion and reward. Transactional leadership is unlikely to stimulate

extraordinary performance from individuals for long periods of time. In contrast, their definition

for the transformation leader positions these leaders relying primarily on legitimate, expert and

especially referent or charismatic power. The transformational leader provides vision, instills

pride, inspires confidence and trust, expresses important goals in simple ways, promotes

intelligence, and treats everyone individually (Fisher & Koch, 1996, pp. 25-26).

In discussing the implications for transactional versus transformational leadership, the

authors believe that the literature on leadership supports their view that charismatic leaders—

who also use expert power and have been granted legitimacy—as the most effective leaders. Fisher and Koch grant that the notion of transactional leadership holds sway in many minds as the "best" kind of leadership because it conforms to many individuals' ideas of proper democratic, participative organizational behavior. Transactional leadership is entirely appropriate for many situations in life—yet challenging times are not surmounted by transactional leaders who "emphasize the means rather than the ends—the process rather than the results. The literature tells us that change and visible progress require charismatic leadership that is dynamic and risk-taking in approach" (Fisher & Koch, 1996, p. 54).

The role of charismatic behaviors. Charisma and public presence are neither genetic nor intuitive, but simply the ability to inspire trust and confidence. Bass, in his authoritative *Bass and Stogdill's Handbook of Leadership* (1990) concludes that charismatic behavior can be taught and learned and a public presence developed. Charismatic leaders have a positive self-image that grants greater self- confidence (Fisher & Koch, 1996). Many factors contribute to charisma: sincerity, appearance, focus, confidence, wisdom, courage, sensitivity, discipline, vision, reliability, and strength. After reviewing almost every published study on the subject, Fisher and Koch conclude that these traits fall under three principle categories: distance, personal style, and perceived self-confidence (Fisher & Koch, 1996).

The key, then, to the question of charisma, is less one of what particular style enables one to be charismatic, and more one of do we understand and appreciate the critical role that charisma plays in leadership. Thus, presidents of either sex must realize that some behaviors tend to diminish charisma. For example, extensive empirical evidence indicates that social distance is perhaps the most important determinant of charisma and transformational qualities. When distance disappears, effectiveness declines. "Whether male or female, a president should

take this into account in cultivating a style that is both effective and comfortable" (Fisher & Koch, 1996, p. 95).

In their research, Fisher and Koch (1996) found that effective academic presidents are greater risk-takers than their representative counterparts. "They are not reckless; rather they act out of informed insight rather than rigidly from documented strategic plans. They identify opportunities, analyze the information at hand, consult others, and then make a decision. They are willing to take prudent or calculated risks again and again in order to retain momentum" (Fisher & Koch, 1996, p. 59).

Moreover, these presidents try to surround themselves with exceedingly able people who are futurists and often unconventional (Fisher & Koch, 1996). This is also something discussed by the university president's consulted in this work, although in terms of context, where this falls within the leadership theories is often buried, and is something that doesn't get talked about much.

Fisher and Koch were intent on focusing on transformational leadership characteristics in their work, and while there were suggestions very much in contrast to the authentic leadership behaviors, there were some that were very much in line with this leadership theory. As Magrath (1988) noted, one leadership theory does not fit all when it comes to the unpredictability of organizational governance. Several years ago Father Theodore Hesburgh, then president emeritus of the University of Notre Dame, was named the most effective college president in the U.S. What from his philosophy lead to this distinction? Father Hesburgh paused and answered simply, "The vision." Indeed, no single characteristic is so common in outstanding academic leaders as it helps to plot the course of the institution over time.

The Need for More Scholarship of Leadership Practices in Academic Contexts

There is the sense in these resources that effective academic leadership is a practice that borrows from predominately the authentic and transformational leadership practices. There are the transparency issues of authentic characteristics; the vision needs to focus and engage a variety of stakeholders in these institutions from the transformational characteristics; and the need to be everywhere and nowhere as aligned with visionary leadership practice. In general, this is one leadership application that had few resources to consult, perhaps due to the use of other leadership constructs in its practice.

The take away from this discussion of academic leadership is that it is not so different from other forms of leadership. That said, if there is one distinguishing feature, it is that it involves more passion and commitment to an institution that might be measured as emulating from other applications. It may be that academic leadership may be viewed as more of a type, or special application, of either the authentic or transformation descriptions.

And in terms of the concept of self-drive found in authentic leadership, the next leadership model is one that puts this concept front and center.

Aspects of the Social Entrepreneur

In looking at the leadership needs of the 21st century, this next section will focus on two growing practices the social entrepreneur and that of shared leadership within the sector as a means of strengthening an approach to whatever challenge a group is facing. It is how leadership works with leadership across organizations to facilitate change and progress.

Where the shared leadership concept is about pooling resources, the social entrepreneur is a leadership style often based on an individual, rather than group, in its approach to addressing change. This concept of leadership has grown with the increasing focus

on the importance of technical and global enterprises. It is most often aligned with promoting innovation in achieving social change.

Just as in the leadership styles of the transformative and authentic leader, the social entrepreneur has been described as "a behavior [that] occurs in accordance with an individual's personality, it is plausible to expect individual differences in entrepreneurship to be, at least in part, a function of an individuals' personality" (Leutner, et al., 2013, p. 58).

Opportunity recognition and exploitation. Leutner, Ahmetoglu, Akhtar and Chamorro-Premuzic (2013) in their exploration of the entrepreneur's relationship to the Big Five personality traits, have found that behaviors consistently identified with entrepreneurial success are opportunity recognition, opportunity exploitation, innovation and value creation"(Leutner, et al., 2013, p. 58).

Like the previous discussions of researchers wanting to add finer dimensions to the Big Five traits in our review of transformative and authentic leadership profiles, Leutner and his fellow researchers in their article explore the more "narrow personality traits of: need for achievement, self-confidence, innovativeness, stress tolerance, need for autonomy and proactive personality" as contributing to the personality formation of entrepreneurs (Luetner, et al., 2013 p. 59).

The roles of self-determination and independence. Brandstatter (2010), in his paper, like the Luetner group (2013), assesses the personality aspects of entrepreneurship, and finds these "basic characteristics of the entrepreneurial role: initiating a life of self-determination and independence (Emotional Stability); finding new opportunities and way of structuring an developing the enterprise (Openness to Experience); hard-working and persistent in goal striving (achievement motivation component of Conscientiousness); establishing a social network

(Extraversion); and taking the risk of failure (risk propensity, possibly a combination of

Emotional Stability, Openness and Extraversion). He goes on to say that these personality traits

include abilities, (e.g., general intelligence as well as numerical, verbal, spatial, or emotional

intelligence), motives, (e.g., need for achievement, power, or affiliation), attitudes, (including

values), and characteristics of temperament as overarching style of a persons' experiences and

actions [the complete Big Five] (Brandstatter, 2010, p. 223). Brandstatter also refers to specific

theories of behavior, such as locus of control, self-efficacy, and a proactive personality, as

applying to this leadership profile.

In exploring how one decides to become an entrepreneur, Branstatter observes that, "It

is assumed that jobs characterized by specific demands and opportunities attract people

characterized by specific talents, motives and personality traits—In respect to performance

orientation as a cultural dimension one could say that entrepreneurs are more susceptible to

the cultural influence of high performance orientation than managers" (Brandstatter, 2010, pp.

224-225).

In evaluating a leadership style for its effectiveness, he has found that the risk

propensity personality aspect of an entrepreneur is the only one that is a good predictor of

intentions, "but irrelevant for performance" (Brandstatter, 2010, p. 226). Brandstatter

concludes that, "There can be little doubt any more that personality traits contribute

substantially to the way entrepreneurs think, what they aim for, what they do, and what they

actually achieve. The influence of personality traits may be stronger with entrepreneurs than

with most other professions, because the entrepreneurial role provides more freedom in

choosing and changing the environment as well as in acting according to personal preferences

and goals"(Brandstatter, 2010, p. 229). While the intent and values of the social entrepreneur

may align with existing leadership theories, it is the more aggressive approach of the social

entrepreneur that sets it apart from these other leadership patterns in practice.

A Goal to Solve Social Problems

And in the special case of the social entrepreneur, Sastre-Castillo, Peris-Ortiz and

Danvila-Del Valle (2015) in their article exploring what makes the social entrepreneur different,

talk about the distinctions of this form of entrepreneur profiles. "Social entrepreneurs engage in

a variety of activities, but always for the purpose of helping to solve social problems such as

illiteracy, the integration of minorities, drug addiction, environmental pollution, and so on"

(Sastre-Castillo, et al., 2015, p. 349). In addition, in the case of the social entrepreneur, "the

creation of sustainable social value is a key characteristic that differentiates them from well-

meaning individuals who simply engage in charitable works" (Sastre-Castillo, et al., 2015, p.350).

In a further case of differentiation, Sastre-Castillo, et al. observe that not all

entrepreneurs think and work the same way; "the action they undertake will depend on the

economic, cultural and social context in which they find themselves and on the process they

want to develop. Furthermore, each entrepreneur pursues different results and has different

knowledge and motivation—social entrepreneurs are seen to combine commercial skills with

social objectives and purposes" (Sastre-Castillo, et al., 2015, p. 351).

The Origin of the Social Entrepreneur Leadership Concept

The first reference to the term social entrepreneur dates from 1984, and the first group

of studies defined social entrepreneurs as 'people who solve social problems.' Various authors

have emphasized the concept of social value creation for these individuals and attribute social

entrepreneurs with the priority objective of creating any type of social values, using innovation,

risk and the creation and diffusion of social values to bring social well-being to the community. Other authors Sastre-Castillo, et al. cite emphasize that "social entrepreneurs aim for deep transformations and changes in society on a large scale." They go on to report that "social entrepreneurs are a specific type of entrepreneur who seeks solutions for social problems by building, evaluating and pursing opportunities that permit the generation of sustainable social value, achieving new stable balance between direct action by nonprofit organizations, firms and governmental organizations" (Sastre-Castillo, et al., 2015, pp. 352-353).

This group of researchers has found evidence that people with higher education levels, multiple job levels, and employment and business experience are more likely to be social entrepreneurs. They found evidence that although the literature makes it clear that men have more general entrepreneurial attitude than women, most studies find that women tend more to social projects than men.

In a discussion of additional traits, the authors have found that social entrepreneurs tend to be happy, extroverts, interested in politics, they collaborate with volunteering activities, and are more liberal than other people—they are usually kind, open to ideas and are more highly self-demanding in job performance than other individuals. Of these traits, kindness is the most outstanding characteristic (Sastre-Castillo, et al., 2015).

In this leadership category, there are several obvious overlaps with the attributes of a transformational leader in the sense that a social entrepreneur is open to new ideas, and able to deal with change. There is also the sense of a vision, and putting aside self-interests for a common goal. There is the sense of being an original as in the case of authentic leaders. And finally, there is a relationship to the multi-sector leader profiled in the next section, in that entrepreneurial enterprises are often interdisciplinary in structure, engaging multiple sectors

and interests in approaching an issue. In a world where no one solution is enough, having the

broader vision of the social entrepreneur and multi-sector collaborator practices seem in line

with the needs of the times.

 Aspects of Leadership in Multi-Sector Collaborations

In a somewhat new approach to leadership, the work of Sun and Anderson (2011) looks

at the building the civic capacity of transformational leadership behaviors. This is related to the

need for contemporary leadership to be skilled in "guiding multi-sector collaborations." Their

goal is to augment transformational leadership with "an additional construct called 'civic

capacity,' consisting of civic drive, civic connections and civic pragmatism." They stress that a

new leadership model is not needed as a result (Sun & Anderson, 2011, p. 309).

The nature of problems plaguing modern society cannot be solved by any single actor or

organization. "Instead, effectively addressing such public problems requires the collaboration of

organizations from multiple sectors, including governmental organizations, not-for-profit

organizations, business and community groups. Such multi-sector collaborations entail the

involvement of multiple leaders drawn from the collaborating organizations who have no formal

authority over each other" (Sun & Anderson, 2011, p. 309). This form of leadership is described

as, "integrative public leadership, collaborative leadership, inter-organizational leadership and

collaborative governance." For the purposes of their work, they use the label integrative public

leadership, "defined as leadership necessary to bring 'diverse groups and organizations together

in semi-permanent ways and typically across sector boundaries, to remedy complex public

problems and achieve the common good'" (Sun & Anderson, 2011, p. 309). Just as academic

leadership could be viewed as a facet of transformational and authentic leadership practices, it

follows that the multi-sector collaborator is another special case of existing leadership

characteristics. This varied context of addressing societal issues relates to the cognitive flexibility a leader who often needs to adjust to more fluid circumstances as we have discussed earlier in this review.

Leadership skills for a collaborative network setting. To describe more fully the context of these leadership needs, the Sun and Anderson (2011) say that "in collaborative networks leaders and managers face the need (not only) to inspire, mobilize and sustain their own agencies, but also engage numerous other partners in their problem-solving efforts—scholars writing about integrative pubic leaders have asserted that traditional leadership theories are inadequate to explain the leadership processes and behaviors found in such public contexts involving multi-sector collaboration." They go on, "unlike traditional leadership theories that assume a leader-follower relationship, integrative public leadership generally involves situations where there is no such relationship between the collaborating partners. Furthermore, others suggest that unlike the contexts addressed by traditional theories of leadership, in which employees typically have shared goals and objectives; the actors in a multi-sector collaboration often participate for diverse reasons, with each actor focusing on a variety of individual goals and interests that only partially intersect" (Sun & Anderson, 2011, p. 310).

When discussing individuals who frequently hold important leadership roles in multi-sector collaborations, this individual can have "enormous influence over what happens, whether they are formally appointed as leaders or emerge as dominant players or champions when other participants recognize their abilities and allow them to perform the needed leadership roles—the legitimacy to lead in this context is generally conferred on those who can 'make things happen'" (Sun & Anderson 2011, p. 310).

It seems that the work of Burns (1978) is never too far from where many of these researchers go for their inspiration. Sun and Anderson are no different in that they cite Burns "original conceptualization of transformational leadership that includes a strong civic component that was subsequently omitted from Bass (1997) and his colleagues' four-dimensional model—we develop this aspect of Burns' original conceptualization by introducing a construct called 'civic capacity,' and theorize that it consists of three components; civic drive, civic connections and civic pragmatism. Furthermore, we distill the literature on integrative public leadership into four elements—integrative thinking, integrative behaviors, integrative leadership resources, and integrative structures and processes. This allows us to theorize about how the dimensions of Bass's transformational leadership style relates to integrative public leadership, and to make the argument that civic capacity is a necessary addition in order to fully explain effective integrative public leadership today" (Sun & Anderson, 2011, pp. 310-311).

In a further discussion of Burns (1978) the authors cite his comments 'leading by being led.' These are the leader's self-actualizing qualities turn outward. As Burns elaborates, "it requires a commitment to a process in which leaders and followers together pursue self-actualization" (Sun & Anderson, 2011, p. 311). This references earlier comments on a leader shaping and being shaped in the process of leading found in authentic leadership theory.

In terms of the moral factors that the authors claim Bass takes out of Burn's work, Sun and Anderson refer to empirical studies that show that leaders "who exercise more universal moral principles in their moral reasoning, where the individual is considered more important than any inanimate property or the organization, are seen to be more transformational—and transforming leaders are therefore seen to use less instrumental reasoning in their moral judgments (i.e. applying laws and social norms). Here, the authors further add that, "according

to Burns, an orientation toward public values is the most important value that should be

embraced by transformational leaders. Transformational leaders define public values that

embrace the supreme and enduring principles of a people. Such an orientation produces leaders

with the capacity to engage in activities involving the public good" (Sun & Anderson, 2011, p.

312).

Four Higher-order Behaviors of Transformational Leadership

In pursuing their hypothesis, the authors argue that the four higher-order behaviors of

transformational leadership are highly relevant to the context of multi-sector collaboration.

They suggest that transformational leadership operates from a base of referent power, where

transformational leaders use their inspirational motivation and idealized influence (i.e. their

charisma) to accomplish goals rather than the use of hierarchical authority" (Sun & Anderson,

2011, p. 312).

The authors synthesized the literature on integrative public leadership with a focus on

non-commercial collaboration, staying in the public sector, looking to a number of empirical

studies. "These studies have shown how integrative public leaders can catalyze multi-sector

collaborations through the use of structures, processes, their character, and behavior." What is

important here is that, "the behaviors or actions of the integrative leader, and the leader's

reputation and characteristics are critical in catalyzing collaborations." This is done, the authors

say, 'through integrative thinking, integrative behavior, and integrative leadership resources"

(Sun & Anderson, 2011, p.314).

In relating integrative (systems) thinking to transformational leadership, Sun and

Anderson found that the "higher-order behaviors of transformational leadership promote such

integrative thinking in multi-sector collaborations. Transformational leaders are able to think

systemically and encourage others to approach problems differently and be generative or explorative in their thinking" (Sun & Anderson, 2011, p. 314). Additional match ups with higher-order transformational leader behaviors is the integrative behavior that refers to an integrative public leader's ability to "foster temporary or semi-permanent connections in order to achieve common public goals" (Sun & Anderson, 2011, p. 314). Here the authors compare the inspirational motivation component of transformational leaders to show that it is "directly relevant to inspiring the necessary vision and value-based leadership in order to transcend differences between partners, to help resolve major issues, conflicts and setbacks, and to ally the different identities together" (Sun & Anderson, 2011, p. 315). Boyd has practiced integrative behaviors in his role heading the Field Museum in Chicago, with several external connections he made during his tenure there.

The next component of integrative public leadership involves the "moral desire to serve the community, the required expertise to engage in public issues, and the connections to important external agencies as part of it." In this component, they do not see these behaviors providing a link to transformative behaviors, however, they do note "the expertise and knowledge base that they see as part of social capital of past interactions (experience) and connections to important outside stakeholders and potential collaborators" of this skill. Where Burns (1978) talks about leadership for the common good, this meshes with serving the community. These behaviors/outcomes are based on seeing opportunity—that could involve identifying and engaging new collaborators and stakeholders—as in the integrative case (Sun & Anderson, 2011, p. 315).

In the end the Sun and Anderson think that the transformational model needs to be augmented with 'civic capacity' to explain successful integrative public leadership in capturing a

relationship with transformational behaviors (Sun & Anderson, 2011, p. 315). Perhaps additional research will show that some of the antecedents of transformational leadership behaviors, and also the occasional use of transactional behaviors based on context, might address this portion of their leadership model, bringing the two closer together along all points of comparison. As the authors note, "we contend that instead of developing an entirely new theory, the transformational leadership style only needs to be augmented by what we call ' civic capacity' in order to explain successful integrative public leadership" (Sun & Anderson, 2011, p. 316).

Sun and Anderson further define civic capacity as "the combination of interest and motivation to be engaged in public service and the ability to foster collaboration through the use of one's social connections and the pragmatic use of processes and structures"—the three components at the individual level are "civic drive, civic connections, and civic pragmatism" (Sun & Anderson, 2011, p. 317). The authors also make an important distinction for the strong connection to transformational leadership in that such leaders engender trustworthiness and honesty, and as such, meet the threshold level of trustworthiness required to be engaged as an integrative public leader.

In discussing the future of the linkage of integrative public leadership and transformational leadership, the authors talk about the behavior complexities of integrative leaders, since they are required to perform roles differently depending on the situation. "Since leadership in multi-sector collaborations can be shared or transferred among participants, these civic capacity components might be split up among multiple leaders. Therefore, similar to our consideration at the individual leader level, civic capacity can also be argued to be a group-level construct."

With this the authors discuss the integrative thinking and behaviors that require cognitive, social and behavioral complexity. An individual who is more cognitively or integratively complex uses a greater number of dimensions for analysis, weighs more complex alternatives, and in their estimation "engages in more sophisticated causal speculation when interpreting external stimuli" (Sun & Anderson, 2011, p. 318)

They also mention other leadership styles that might be explored, and particularly the authentic leadership style is of interest to them. For Sun and Anderson, "authenticity is not an either/or situation and leaders can be either more or less authentic. It can be argued that more authenticity is required in a multi-sector public collaboration context, and that the attributes of an integrative public leader are also considered as essential traits and characteristic of being authentic in leadership" (Sun & Anderson, 2011, pp. 319-320).

Sun and Anderson close their remarks with what they see are the leadership needs that are "motivational rather than autocratic, and value-based rather than purely transactional." They continue observing that "strategic business leaders today need to embrace both an economic as well as public (or social) agenda. The growing trend demands a new leadership orientation and skills. It requires a new form of ambidexterity which is the ability to balance shareholder value with social/public value. Such ambidexterity goes against the traditional view that public leadership is necessarily different from business leadership, but will be needed more and more as the distinction between public and business becomes increasingly blurred" (Sun & Anderson, 2011, p. 321).

Again, citing the Wells Fargo issue in 2017, the employees and leadership in the end did not take into account the social context of their actions. As they randomly manipulated their customers' accounts in order to succeed, they failed to acknowledge what the consequences

might be for those who were impacted by their actions. A sense of winning in one context at the cost of another.

The complexity of a social context for leadership practice. Mumford, Zaccaro, Harding, Jacobs and Fleishman (2000) discuss the leadership skills for a changing world with an emphasis, like Sun and Anderson (2011), on complex social problems. Mumford, et al. (2000) start their focus with the issue of influence. "Leaders must not only exercise influence, they must decide when, where, and how influence will be exercised to bring about the attainment of social goals." They refer to the development of "many theories that have been proposed describing the kind of behaviors that make effective leadership possible—theories of behavior styles, transformational or charismatic leadership, and leader-member exchange" are examples they provide. These theories "all have in common a focus on certain behavior patterns and the implication of these patterns for leader performance." In contrast, they put forward that "leadership can be framed not in terms of specific behaviors, but instead in terms of the capabilities, knowledge, and skills that make effective leadership possible" (Mumford, et al., 2000, p. 12).

In this article, Mumford, et al. describe a "capability model for understanding leader performance in organizational settings, considering both skill and knowledge requirements, as well as the development and expression of those capabilities over the course of leaders' careers" (Mumford, et al., 2000, p. 12). Mumford et al. do have social goals in mind with this article, and the question to keep in mind is how these discussions can impact what goes on in for-profit contexts, as has been done at Medtronic and Ford, both complex, multi-sector companies.

The introduction of a systems theory approach to problem solving. Mumford, et al.

(2000) asks "what must the leader do to facilitate group maintenance and task

accomplishment?" For this, the researchers turn to systems theory, that "defines an

organization as a collection of subsystems that operate together to provide products and meet

the goals of various constituencies under a socio-technical transformation process" (Mumford,

et al., 2000, p. 13).

First, the authors talk about organizations that must "balance the tendency toward

stability, brought about by prior investment, interdependencies among systems, and people's

habits; with the need for change to cope with shifts in the environment, technology, and

available resources. Second, although they might work together to bring about products or

services, the loosely linked subsystems that comprise organizations may not agree on goals or

strategies for coping with change. Third, organizations must not only cope with objective

performance demands and the bottom line, they must recognize the unique needs of the people

who comprise the systems" (Mumford, et al., 2000, p. 13).

Change, and more change. Mumford, et al. talk about environmental change, subsystem

differences, and the diversity of human beings that "result in organizational contexts defined by

complexity, conflict and dynamism. To survive and prosper, organizations must control conflict,

position themselves to adjust to change, and choose the best paths to goal attainment. Thus, a

leader's performance is a function of whether he or she can identify goals, construct viable goal

paths, and direct others along these paths in a volatile, changing socio-technical environment"

(Mumford et al., 2000, p. 13).

How are a leader's problems different? "Leadership represents a complex form of social

problem solving…one way they differ from more routine problems is that the complexity,

conflict and change characterizing organizations ensure that leaders are presented with ill-defined problems." Still another way multi-sector leaders' problems differ from more routine kinds of problems is that they tend to be novel. "Leadership becomes more crucial when one must develop and guide adaptive responses to new or changing situations" (Mumford et al., 2000, p. 14).

Getting at some behaviors of transformational leadership without referencing them, Mumford et al. discuss leaders needing to "develop and implement solutions in a distinctly social context. Solutions are often developed interactively or with the help of key subordinates, peers and supervisors. The need to develop and implement solutions with and through others places a premium on social skills. In this sense, it is clear that communication of a shared vision and flexibility in its implementation may represent necessary components of effective problem solving in organizations" (Mumford et al., 2000, p. 15). The authors are trying to distill leadership skills, and note that while "the focus is on the problem, it is important to recognize that experience, knowledge of the job, and the nature of the organizational environment and the leader's understanding of it shape the way leaders represent the problem, the kinds of information they look for, and the type of concepts being applied" (Mumford et al., 2000, p. 15).

Leader capabilities that the authors identify to help with problem solving include "wisdom and perspective taking that enable leaders to 'go outside themselves' to assess how others react to a solution, identify restrictions, develop plans, and build support for implementation—accordingly, a knowledge of the organization, key constituencies and operational requirements appear to be important influences on performance during this phase of problem solving" (Mumford, et al., 2000, p. 17).

The need for divergent thinking skills. Going a step further, Mumford, et al. (2000) look to the influence of creative problem solving skills. These solutions are based on "divergent thinking skills, which are positively correlated with leader performance." In terms of the cognitive skills necessary for this problem solving level, Mumford et al. turn to traditional models that assume that creative problem solving involves "a complex set of skills—and that the skills represent unique capacities reflecting something above and beyond general intelligence" (Mumford, et al., 2000, p. 18). "These kinds of appraisal and perspective-taking activities are most commonly discussed under the rubric of wisdom. Among the capacities that appear related to wisdom are self-objectivity, self-reflection, systems perception, awareness of solution fit, judgment under uncertain conditions and systems commitment" (Mumford, et al., 2000, p. 19). The self-reflection capability is an activity aligned with the authentic leadership practice, for example.

Ill-defined and non-linear problems. As mentioned earlier by Mumford, et al. The efforts of making a change are not necessarily linear and many changes may be associated with a number of unanticipated, perhaps problematic consequences. These observations suggest that skills such as identification of restrictions, analysis of downstream consequences, coordination of multiple activities and sensitivity to relevant goals may all play a role in leader performance. "Leaders must not only be able to formulate a plan that works within the context of the organization, they must also be able to implement this plan within a distinctly social context, marshal support, communicate a vision, guide subordinates and motivate others" (Mumford, et al., 2000, p. 19). They observe that numerous studies and surveys have found that "people who emerged as leaders in this context displayed substantial behavior flexibility, being capable of changing behavior in accordance with the demands of the situation. In defining the concept of knowledge as one of the skills/resources involved in problem solving, the authors

refer to knowledge of this type might be assumed to be accumulated over a period of time. This again points to a leadership practice that develops over time as implied by authentic leadership characteristics. The authors also note that the reason knowledge is often downplayed in contributing to leadership performance is that it is often confused with information. What they seek to clarify is that "knowledge is not simply an accumulation of bits of information. Instead, knowledge reflects a schematic organization of key facts and principles—studies that contrast novices and experts within a domain indicate that experts typically have more concepts or schema available, that are organized on the basis of underlying factors that permit them to more accurately diagnose and assess the implications of different pieces of information" (Mumford, et al., 2000, p.20).

In the authors' discussion of skills and application, Mumford, et al. conclude that knowledge has received little attention for the role it plays in leadership performance. It emerges over time as a function of education and experience. Here they again say that leadership is not the province of a few gifted individuals. "Instead, leadership is held to be a potential in many individuals—a potential that emerges through experience and the capability to learn and benefit from experience" (Mumford, et al., 2000, p. 21). Something also aligned with the skills of an authentic leader.

The group views intelligence as the individual characteristic most often and consistently associated with leadership. Citing several studies, "the rate with which people acquire abstract, principle-based knowledge structures is influenced by intelligence—as are the acquisition of complex problem-solving skills." Added to this, Mumford, et al. add that divergent thinking is also "a necessary precursor to effectively defining and solving novel, ill-defined problems "(Mumford et al., 2000, p. 21-22).

In ending their paper, Mumford, et al. talk about the higher levels of creative problem-solving skills and complex social judgment skills that are increasingly required as leaders move through their careers, and that "organizations need leaders who can manage resources, market products, direct day-to-day work, and drive the organization into the future. These differences in the focus of leadership roles may not only give rise to distinct skill patterns, but may also create the need for leadership teams where a variety of different types of capabilities can be brought to bear in solving significant organizational problems" (Mumford, et al., 2000, pp. 25-26). In proposing teams, the integrative public leadership model discusses leading across several sectors and the respective leadership issues involved in that context. This also speaks to the need for talented people at all levels of the organization to help in implementing the vision/mission of the group.

Mumford et al. sum up their work as having provided a new model of organizational leadership that is a "skills-based model—distinctly based on a cognitive foundation that ultimately depends on one's capabilities to formulate and implement solutions to complex (i.e. novel, ill-defined) social problems—The skills needed are: creative problem solving skills; social judgment skills; and social skills. Application of each of these skill sets is associated with various forms of knowledge. Knowledge and skills grow as a function of experience as leaders progress though their careers" (Mumford, et al., 2000, pp. 26-27).

Like the integrated model, this one has a social, rather than a commercial focus, although the authors end their discussion with a business oriented description of knowledge forms. The personality traits used in a review of transformational leadership behaviors that map over the Mumford et al. skill sets are intelligence, conscientiousness, and agreeableness. There are connections to both the transformational model and integrated model in the underlying

intent of this skills-based, problem solving, leadership model proposed here. The authentic

model also was aligned with many of the concerns Mumford, et al. raise. This parallels the work

of the duo of Sun and Anderson (2011) who pointed out in their analysis that multi-sector

leadership is to be considered as a facet, or type of application of transformational leadership

practices.

The Results of This Critical Review of Leadership Theories and Their Sources

I have looked at the psychological patterns that result in leadership behavior. The next

step was to see how these behaviors fit with leadership theories that have developed as the

result of observing successful leadership behavior—noting that a variety of contexts impact the

demands placed on leadership in response. As Hogan (2003) has observed, ask any subordinate

what is an effective leader—we know it when we see it.

What has been discovered through this review, is that leadership is malleable. To be

effective it has to align with a changing horizon in order to stay on course. As Hersburgh (1988)

observed, it is the vision that provides the overarching direction, it is the vision that steadies the

course when rough patches appear. It is this ability to lead across changing contexts that has

intrigued me in watching the actions of Boyd as a mentor in my life. For what is behind their

behavior, the literature has produced many attributes, antecedents and behaviors that are

acknowledged in these articles. The list: resilience, persistence, emotional intelligence,

authenticity, self-control, self-awareness of values and beliefs, adaptability, intelligence, vision,

charisma, self-confidence, and transparency are scattered among the skills and traits a

contemporary leader needs to successfully guide organizations and people through change.

From the foundations and theories examined thus far, there is a commonality for the

type of leadership these researchers feel the world needs now; and it is the identified behaviors

and attributes most closely aligned with the behaviors of the transformational/authentic leader,

along with the dexterity of the social entrepreneur/multi-sector leader, that seem positioned as

a response to the leadership challenges of 2017 and beyond.

Chapter 4: Three Public Sector Leaders

In this final chapter, information on Willard Boyd and two other contemporary leaders, Cheryl Dorsey and John Brademas, was gathered in an exploration of their leadership practices. All three are regarded as successful leaders by those around them, and have been acknowledged for their leadership through a variety of different venues in the way that they (with the exception of Boyd) came to my attention. Their profiles here will help to illuminate this discussion of leadership theories and development. These three individuals were identified based on the leadership behaviors they exhibit in leading their organizations in the public domain. Information for this chapter comes from the subjects' writings, speeches, interviews, other biographical information, and when available, the comments of others on their leadership that includes some press coverage of their actions.

These leaders were chosen as they exemplify the concept of what is called effective leadership in the 21st century. They all operate in a variety of contexts within the public sector. In looking at how they have interfaced and led within their organizations, the attributes of the transformative and authentic leadership styles fit as an overlay to their professional stories. These are the two leadership theories that have been identified by numerous studies as the kind of leadership behaviors that respond successfully to changing leadership demands. The leadership stories of these three individuals exemplify the psychological and developmental profiles of transformational/authentic leadership practices, even as they are altered somewhat by the concepts of social entrepreneurial and multi-organizational leadership challenges of this century.

Cheryl Dorsey Social Entrepreneur

Representing a relatively new leadership profile, is Cheryl Dorsey, who is considered to be a pioneer in the social entrepreneurship movement. She is president of Echoing Green, a global organization "seeding and unleashing next-generation talent to solve the world's biggest problems." The social venture fund has awarded more than $22 million in startup capital to 400 social entrepreneurs in 30 countries since 1987 (www. echoingreen.org, 2015). Her work in the public sector came to the attention of her alma mater Harvard, along with several organizations that have engaged her as a keynote/ guest speaker or as the topic of an alumni feature article. The Independent Sector organization called her a transformative leader as part of a panel of her peers displaying this leadership style. The fact that she is a young woman of color was another reason she was of interest to me, especially in an area dominated by men for the most part.

Prior to leading this social impact organization, Cheryl was a practicing social entrepreneur and received an Echoing Green Fellowship in 1992 to help launch The Family Van, a community-based mobile health unit in Boston. Knowing what it means to work without a net, she became the first Echoing Green Fellow to head the social venture fund in 2002 (Stuart, 2004). She is known for her courage to take risks for the benefit of the common good. She has been categorized by others as a transformative leader for her ability to foster social change through the work of others, as well as the change that occurs through her own deeds.

Dorsey's work in the social sector. In describing her first interaction with Echoing Green she relates that, "It was 1990, and black babies were dying at three times the rate of white babies in inner-city Boston, home to some of the world's top hospitals." As a Harvard medical student, Cheryl had been hearing about racial disparity in infant mortality and thought it "an

egregious affair." So when Nancy Oriol, a Harvard faculty member, suggested working together on a solution, she joined the project, postponing her internship and residency in pediatrics (Medoff, 2009).

"Nancy and I, two women of color, thought, 'How can our most vulnerable citizens not be getting a chance at life?'" she recalls. The two launched Family Van in 1992. The mobile health program served 1,292 Boston residents of all ages that first year and now serves about 7,000 annually, doing its part in helping to close the infant mortality gap (Medoff, 2009).

Of her Echoing Green experience as one of its fellows, she remembers it as, "an unparalleled community of young people going against the grain, trying to take on really tough problems with a real commitment to actually trying to solve them." This thinking on the part of her, and her peers, is in line with the vision component of transformative leadership traits. She completed her internship and residency, then left the established medical profession. Cheryl had a vision to close the mortality gap in her city, and joining with a mentor, led a team of medical providers out into the streets of Boston. Her work in Boston is based on her recognition that the only way change occurs is if people become involved. In many ways this is also in line with authentic leadership traits, as she is true to her values (Medoff, 2009).

Dorsey to head Echoing Green. Concerning her appointment to head Echoing Green, she said, "The organization transformed my life. It made sense for someone who really understood the program to take over the reins."

Dorsey says she entered the nonprofit sector because she "has a long-standing interest and concern about equity issues in society…Having grown up as an African American in our society, you become very sensitive to political, social, and economic inequities" (Harvard Magazine, 2004).

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She was inspired by leaders such as Martin Luther King Jr. and Nelson Mandela, along with her own parents, who both taught at inner-city public schools in Baltimore. Dorsey describes her parents as "compassionate, kind and committed educators who helped generations of kids grow and learn and become questioning, thoughtful adults." She was taught by their example to believe in the profound power of education. "For people without means, education is a vital tool for advancement in society," she says (Stuart, 2004).

One of the hardest lessons she's had to learn is patience. "Anyone involved in social change work knows you measure change in terms of years and generations. Social change is a marathon and not a sprint," she says. "But it can feed your soul like few other endeavors. Echoing Green Fellows inspire me every day to stay committed and determined to improve our communities. They inspire me to stay true to our vision" (Stuart, 2004).

She was recently asked to respond to a few questions about her organization and her role as a social entrepreneur as a featured speaker for the SOCAP/15 conference in October of 2015. In response to what is unique about Echoing Green's role in the world of social entrepreneurship, especially now that the field is experiencing such rapid growth, she explained, "Our capital goes where the talent is, whereas a lot of investment dollars follow business plans or scale propositions. It is our belief that when we invest in next generation leaders, we are really making a bet on finding and supporting transformative and disruptive leaders who will fundamentally change the way we address and solve social issues" (SOCAP/15, 2015).

She continues, "So I think our focus on talent, as well as the patience and risk tolerance of our capital, continue to be differentiating factors for us. Philanthropy in general is seen as a sort of risk capital to bring to bear against major social issues, but I've been shocked over the years that there is still not enough capital that invests early, patiently, and takes risks for

potentially huge rewards. That is a piece of why I believe, now almost 30 years down the line, there continues to be a critical role for Echoing Green" (SOCAP/15, 2015).

When asked about the growing hybrid model of quasi for-profit/non-profits, she is well aware of the need to plot a course for survival as a growing enterprise. "Starting in 2006, we started to see about 15% of our applicant pool proposing for-profit or hybrid social enterprises and that number has only continued to grow. About 40-50% of our applicant pool is now comprised of those proposing for-profits or hybrids. Because we get in excess of 3000 proposals for our Fellowship from 150 plus countries around the world, we have thousands of data points about early stage social enterprise. For the past couple of years we've been working with USAID and a couple of other partners to help build out our pipeline for early stage social innovators in emerging markets around the world" (SOCAP/15, 2015).

Concerning this collaboration, she said, "We are about to release, in partnership with USAID, a white paper called *Deviation from the Standard: Funding and Supporting Emerging Social Entrepreneurs.* It looks at some of the data from our Fellowship applicant pool to codify and analyze what we are seeing (SOCAP/15, 2015).

She goes on to observe that, "Investors have trouble understanding the risk profile of social enterprises. There is a lack of transparency about where you as an entrepreneur should go for your particular business model, and it's important to be in the right network and have the right connections to get to the right investor at the stage you need it when you need it. The data from *Deviation from the Standard* underscores these points."

On the topic of social impact investors, like Echoing Green, there is a perception among social entrepreneurs that they are often constrained in various ways that actually makes them less risk tolerant and slower moving than pure private funding. To this she responds, "Yes. In

most ways, what we do is in response to the support that we think the best in class, next generation social entrepreneurs, need" (SOCAP/15, 2015).

She goes on to suggest that, "We must educate not only social entrepreneurs, but also the broader field about what impact investing means for the business as well as the investor. I think that there is also the opportunity for supporting ecosystems that bring entrepreneurs and investors together and also leverage Echoing Green networks, because I do think networks are key drivers of seed funding. We're also working on figuring out how we can facilitate seamless connections and hand offs to next space funders when entrepreneurs finish an experience like Echoing Green. We're asking ourselves, how are we codifying this marketplace in a way that more traditional for-profit actors have done?" (SOCAP/15, 2015). This gets at non-linear thinking and cross organizational issues raised as some of the leadership concerns of the transformative leader in the 21st century.

Dorsey's public sector honors and appointments. Dorsey is viewed as an accomplished leader and entrepreneur, and has served in two presidential administrations as a White House Fellow and Special Assistant to the U.S. Secretary of Labor (1997-98); Special Assistant to the Director of the Women's Bureau of the U.S. Labor Department (1998-99); and Vice Chair for the President's Commission on White House Fellowships (2009-2016). Cheryl serves on several boards including the Harvard Board of Overseers and the SEED Foundation. In addition to her medical degree from Harvard Medical School, she completed a Master's in Public Policy from the Harvard Kennedy School and received her Bachelor's degree in History and Science, magna cum laude, from Harvard-Radcliffe Colleges. This shows a variety of experiences and accomplishments, some of which could be viewed as positive 'trigger events' in constructing a life-story or time-line in the authentic leadership model.

She is the recipient of numerous awards for her commitment to public service, including the Pfizer Roerig History of Medicine Award, the Robert Kennedy Distinguished Public Service Award, the Manual C. Carballo Memorial Prize, and Middlebury College Center for Social Entrepreneurship's Vision Award. She was also featured as one of "America's Best Leaders" by *US News & World Report* and the Center for Public Leadership at Harvard Kennedy School in 2009, as one of The Nonprofit Times' "Power and Influence Top 50" in 2010 and 2011, and was named as one of "America's Top 25 Philanthropy Speakers" by the Business of Giving in 2016 (www.echoinggreen.org., 2015).

Cheryl is certainly a new version of the transformational leader, now under the guise of social entrepreneur. Regarding her disillusionment with her medical residency at a children's hospital in D.C., she remembers asking, "At the end of the day, what had I really done? Maybe I'd helped one kid temporarily, but I hadn't addressed the underlying problems. There's a need for [hands-on care], but there's also a need for people working for systemic change. Investing in innovative leaders with great ideas, goes a long way toward closing the gaps in society" (Stuart, 2004). It is this leadership behavior that is very much in line with the practitioner's personality. Her co-launching a medical van shows a tolerance for stress and ability to take on the risk of failure in addressing what she sees as an issue of inequality. As an extrovert, her push to build social networks are all part and parcel to defining this leadership construct.

Cheryl is a change agent of the 21st century. With her public appointments, her many awards, and her profile in the sector as someone who fosters change on a certain scale, how does her leadership behavior compare with those of a change agent from the 20th century, John Brademas, Indiana Congressman and N.Y.U. President. Mr. Brademas is another individual who has distinguished himself in the public sector—his obituary was a feature story in both the *New*

York Times and the *Washington Post*—there is a room in a hall at Oxford named in his honor, among other recognition he received during a life-time of service to the common good.

John Brademas Public Sector Leader

John Brademas, has been characterized as a "political, financial and academic dynamo" who served 22 years in the U.S. Congress and more than a decade as president of New York University. He is known as an advocate for education, the arts and a liberal agenda (McFadden, 2016).

Referring to the assessments in other parts of this study that a "leader is a leader is a leader," Mr. Brademas liked to say that "being a university president was not much different from being a congressman: You shake hands, make speeches, remember names and faces, stump for a cause and raise money relentlessly." The difference, he said, "is that you do not have to depend on voters to renew your contract every two years" (McFadden, 2016).

John as Congressman in Washington. Mr. Brademas was the Democratic representative from Indiana. He served in that capacity from 1959 to 1981, where he was known as Mr. Education and Mr. Arts. He sponsored bills in the mid-1960s that created the National Endowment for the Arts, and the National Endowment for the Humanities. He was the chief author of the Education for All Handicapped Children Act of 1975. He wrote the law that created the Institute of Museum and Library Services. He helped to write campaign finance laws, and funding for federal aid for elementary and secondary education through such programs as Project Head Start, the National Teachers Corps, and college tuition aid and loan programs.

He became the majority whip, the House's third-rankings official, and was re-elected 10 times in a mostly conservative district, winning up to 79 percent of the vote. He lost his seat in the 1980 Republican landslide that elected Ronald Reagan president (McFadden, 2016).

John as president of N.Y.U. After leaving Congress, Mr. Brademas lobbied hard for the N.Y.U. job, and as president from 1981 to 1992, transformed the nation's largest private university from a commuter school into one of the world's premier residential research and teaching institutions (McFadden, 2016).

When he took over the N.Y.U. job he had no experience running a large organization. Yet he was viewed as a leader. His skills as a politician and fund-raiser were honed in a number of congressional and civic responsibilities he has held. His admirers came to believe he was "a natural university president." For a person to be tagged with the phrase, 'admirers' says something about his personality. He was no doubt a charismatic leader, a prominent component of the transformative leader.

Jay Oliva, N.Y.U.'s vice president of academic affairs, recalled that, "No one hit the ground running as well as Brademas. All his instincts were university president" (McFadden, 2016). Brademas talks about how his own education and "degrees from two great universities, along with his legislative record in support of education, that his being at N.Y.U. is acceptable" (McFadden, 2016).

John and stakeholder networks. From accounts of his actions, the university became his passion. Meeting with N.Y.U's stakeholders, he learned of the institution's strengths and weaknesses. He joined corporate and foundation boards. He was chairman of the Federal Reserve Bank of New York, and the New York Stock Exchange. He courted the local leaders of New York, across sectors, in addition to N.Y.U. alumni. He lobbied in Washington on behalf of

education and arts programs. All of these actions reflect a person with a vision, and a perceived pathway toward its achievement.

When he stepped down as president, he had raised $800 million for N.Y.U. and nearly doubled its endowment to $540 million. He recruited top scholars from around the country to join the faculty; and added new fields of study. Somehow, in New York City, he was able to enlarge the campus, and added 11 residence halls, providing housing for half of the undergraduates. He also established N.Y.U. study programs in Cyprus, Egypt, France, Israel and Japan (McFadden, 2016).

With so many accomplishments, he would have the kind of defining moments, if not "trigger events," to create a life-story that would establish him as an authentic leader. This seems especially likely a label for the consistency of his achievements in his actions and focus on the common good. As noted, he is also a leader with a vision for whatever enterprise he finds himself involved in.

John's life stories. Searching for information on him online, the result was the discovery of his story, as written by him at some unspecified date. Simply entitled "John Brademas" the pages are numbered, but not dated. There is a note in the text that the year is 2008, when he is 81.

The narrative, that almost reads like a transcript, starts with his early biography. He says that he grew up in a family for which education was very important. His father (who was a Greek immigrant) "used to say that he would not leave his children much money, which was true, but he said, 'I will leave you all a first class education'" (Brademas, 2008, p. 1).

Brademas joined the Navy after high school and was dispatched after boot camp to

Oxford, Mississippi, where he spent his freshman year at the University of Mississippi. "I had

never lived in a completely segregated society before, but I had remembered how my father

told me how the Ku Klux Klan, which was powerful in Indiana in his day, boycotted his restaurant

in Mishawauka (IN) because he was not a WASP. He said that his father's experience made him a

strong champion of civil rights. "In my last campaign, Coretta, (Dr. King's widow), campaigned

for me" (Brademas, p. 1, 2008).

After the Navy, Brademas went on to Harvard on the G.I. Bill, and received a B.A. in

political science. He did a year of graduate school at Harvard and then won a Rhodes scholarship

to Oxford. There he studied Spanish and became interested in Spain from a childhood memory

of reading a book on the Maya that had fascinated him. He decided his doctoral thesis would be

on Spain, and a 20th century anarchist movement (not Marx related). Through a contact he

made, he ended up traveling through Europe, meeting with members of the movement in exile.

He produced his dissertation in the fall of 1953 (Brademas, 2008, p.2).

Six months later, back in Indiana, he was the Democratic nominee to Congress. He lost

with 49 percent of the total votes, "so he knew he would run again." In the interim he joined the

campaign staff of Adlai Stevenson. He also became a one-man political science department at

St. Mary's, across the road from Notre Dame (Brademas, 2008, p.3).

In 1958 he was first elected to Congress. He relates a time when there were deals to be made. He remarks that in the creation of the John Brademas Center for the Study of Congress upon his retirement from N.Y.U., that it is a bipartisan entity. At the time he was in Congress, "if a Senator or a Congressman is skillful, and if the political forces at the time make action possible, that Senator or Congressman, without picking up the telephone to call the White House, can write the laws of the land, and I did and others did. It is very difficult even for informed Americans to understand Congress, so we have established this center to focus on understanding, and to encourage both public and scholarly understanding of the role of Congress in making policy" (Brademas, 2008, p.6).

He also strengthened the international studies offerings at N.Y.U. stemming from his time in Congress when he introduced a bill that President Johnson signed, to establish the International Education Act that Congress never funded. He blames our issues with Iran, Iraq and elsewhere are due to our ignorance. It is the, "Ignorance of the histories, the cultures, the languages, the societies of these countries" (Brademas, 2008, p.7). They now encourage N.Y.U. students to spend at least one year aboard. As he left academia, in his remarks to undergraduates, he said, "I find in Washington Square a tremendous sense of diversity, vitality and excitement, products of the enlivening mixture of New York University and New York City. With all its troubles New York City is still the place to be. And N.Y.U. is still the place to get an education" (McFadden, 2016).

Always an advocate for access to education, another insight from these materials is his Methodist background, with its "strong commitment to social justice." He reflects on his time at Harvard's Union Theological Seminary, that also affected "my attitudes toward politics because in effect, and to be brief about it, in the social order and the political order, the goal should be

justice, with particular concern for those who may not enjoy the benefits of most persons" (Brademas, 2008, pp.9-10). Here Brademas shares the concern of Dorsey on issues of inequality and social justice—as well as the respect for the power of education. Both individuals were/are grappling with issues much larger than their own self-interest. Brademas talks about starting his political career, and always being sensitive to the areas of civil rights and poverty. He relates a comment by Lyndon Johnson, who used to say, "My problem is not doing what is right, but knowing what is right" (Brademas, 2008, p.20).

John as a transformational leader. Due to the values and self-awareness Brandemas exhibits, there are aspects of authentic leadership practice reflected by his career. However, his visionary behavior may best be described as fitting the profile of the transformational leader. He is a visionary, based on the legislation he put forward, helping to create the bulk of the social legislation of the 1960s and 1970s; along with the expansion he was able to achieve in N.Y.U.'s presence and global reach, starting as a commuter school for the region, and now a top research institution (his vision). Using his charisma and passion, he was able to bring people along with his vision. As someone who sought to collaborate (his call for renewed bipartisanism), he definitely was able to engage and achieve the participation of donors, politicians, and peers and subordinates in achieving the goals and aspirations he set for himself and others. It seems he was never content with the status quo. There is also a strong moral fiber going through his actions as well.

Like Brademas who changed the direction of an academic institution (and nation as a member of the House), and Cheryl who views education as the way to change one's fate, the final public sector leader in this chapter has been a champion of education and the social sector throughout his long career.

Willard Boyd and Growing Up

It is the leadership profile of Willard Boyd that formed the basis for the discoveries in this study as to what makes leaders like him who they are, and how do we emulate them for the common good.

Boyd's father was a veterinarian on the faculty of the University of Minnesota, and his family grew up near the university's agriculture school campus in St. Paul. The elder Boyd frequently traveled the state teaching more efficient methods of livestock management. The younger Boyd occasionally accompanied his father on these road trips, watching him work with often desperate people with a kindness and decency that never wavered. Those trips profoundly influenced the future university president's life. "It instilled in me at a very young age the importance of public service and the value of giving people the tools that make their lives better," Boyd said in recently discussing his childhood (Snee, 2016a). "People would say they were glad to see him because he was glad to see them. I hope people will be glad to see me" (Advancing Iowa, 2016).

Now 89, Boyd formally retired from teaching in 2015. He is currently working on his memoirs. "I'm thinking about the next thing I'm going to be doing. It's what's ahead that counts. I'm always eager to do new things" (Advancing Iowa, 2016). The leader who shapes and is shaped by what they lead.

Boyd and the University of Iowa

Boyd came to the University of Iowa in 1954 as a law professor after earning degrees from the University of Minnesota and the University of Michigan, and practicing law in

Minneapolis. He served as the university's 15th president from 1969 to 1981, when he left to become president of the Field Museum of Natural History in Chicago.

After retiring from the Field Museum, he returned to Iowa as a law professor in 1996, and served a number of roles after his return including, interim president in 2002-2003, interim director of the Museum of Art, 2010 (O'Leary, 2016). The three activities which he says meant the most to him during his university tenure are: the years he spent teaching at the law school, his time as faculty advisor to the Iowa Law Review and his work for the Larned A. Waterman Iowa Nonprofit Resource Center, in Iowa City (Advancing Iowa, 2016).

The University grew exponentially during Boyd's 12-year presidency, adding new buildings, new faculty and new researchers, expanding its outreach to the state while increasing its national and international status. His goal, Boyd said, "Was to make the University of Iowa a premier public university so that all Iowans could have access to excellent opportunities in higher education" (Snee, 2016b).

A leader with a vision. Boyd is respected for his transformational and philanthropic leadership. Total enrollment increased from 14,480 when he entered UI administration as vice president of academic affairs in 1964, to 26,464 when he left for the Field Museum. Boyd also oversaw building projects that nearly doubled the size of campus. One of the biggest physical changes was the growth of University of Iowa Hospitals and Clinics, which at the time he became president still centered on the original 1927 building. The building had grown so antiquated it no longer met minimal patient needs.

Boyd and the UIHC director, John Colloton, went before the state's Board of Regents to request a $500,000 allocation to improve the health campus. Funding was provided for the Boyd

Tower (named in 1981), and the Roy J. Carver Pavilion. In another building appropriation, the

Boyd Law Building opened in 1986 (Snee, 2016b).

As the current dean of the Iowa law school said, "We are not merely housed in a

building named for him; we have been shaped by his values and his commitment to service and

to Iowa" (UI Foundation 2016). At the dedication of the law school building 400 people

attended a reception honoring Boyd for his outstanding service to the university and his career

as a leader in professional education (Hines, 1986 p. 1172).

Willard Boyd never had much time for formalisms as University of Iowa president. He

and his family stayed at their off-campus address rather than moving into the Presidents House

for much of his tenure. And he preferred to be called by his nickname, "Sandy" (O'Leary, 2016).

He is known for expressing himself in as few words as possible. Make your point, then stop

talking—a philosophy best summed up by the title of a collection of his presidential

commencement addresses published by the university's Center for the Book: *Never Too Brief*.

His commencement addresses were famous for their brevity.

A commitment to social justice. Boyd's presidency was also marked by a commitment

to human rights, fairness and welcoming people from all races and cultures to the university.

Phil Hubbard was appointed vice president of student services in 1971, the first black vice

president in the Big Ten; and May Brodbeck, dean of the faculties (now known as vice president

of academic affairs/provost) became the highest-ranking woman at any coeducational university

in the U.S. at the time (Snee, 2016b). No doubt the behavior of his father with Minnesota

farmers influences his empathy, and support for talent.

Like Brademas, Boyd is a great patron of the arts, boasting once that the university had

the largest art collection in the Big Ten and he enabled a new Museum of Art to be built to

display it. He put the arts at the heart of a university's educational and research mission (Snee, 2016b).

"I think his lasting contribution to the university has been his support for the arts," Dr. Fethke, the dean emeritus of the Tippie College of Business recently commented. "The arts are often the areas and programs that must be subsidized to thrive, and I believe Sandy was willing to allocate university resources to the support of the arts at a critical point in university history" (Snee, 2016b)

His presidency, being 12-years long, was not without controversy. The Iowa campus did not experience violence or property destruction during the late 1960s and early 1970s, an era of campus unrest. "In large part, this was because Sandy maintained a high degree of presidential visibility at all times," the emeritus dean of the law school remembers. "He kept in close contact with law enforcement officers, he regularly made himself available to hear the grievances of disgruntled students, and he recruited a group of trusted faculty volunteers to walk the campus to help keep the peace during the peak of the national disorders" (Snee, 2016b).

Boyd remained available to most anyone, even during the height of the anti-war tumult. A law faculty colleague remembers how difficult it could be to walk across campus with him. "Students would always call out his name and say 'hi' to him. Everyone respects Sandy from the students to the regents" (Snee, 2016b).

He was known across campus for his frequent hand-written thank –you notes and small gifts to faculty, staff, and students expressing his appreciation for their work and how well they represented the university (Snee, 2016b).

Boyd as a national leader. In his world outside Iowa, Boyd has been influential as well.

In the profile of the San Francisco State University president (Robert Corrigan), he is asked to list any mentors. His response: "I had one early on, when I was on the faculty at the University of Iowa. Willard Boyd, then president, showed me how to deal with people, how to handle complex situations and to focus on priorities. He went on to be president of the Field Museum in Chicago" (SF Business Times, 1999).

Boyd and the Field Museum of Natural History

As president of the Field Museum, Boyd was recognized for his contributions to museums. In 1989, he received the Charles Frankel Prize, though the National Endowment for the Humanities. The prize honored five people "who have made exceptional efforts to educate the public in the humanities." Charles Frankel (1917-1979) was an assistant secretary of state for educational and cultural affairs and was the first president and director of the National Humanities Center (Yasui, 1989).

Boyd was praised by then President Bush for making "world-renowned collection available to more Americans each year. Museums see themselves as schools and Sandy Boyd has been a real leader in bringing this transformation about" (Cawley, 1989).

In bringing new life and meaning to the galleries of the Field, one of the innovations was a reinstallation of an Egyptian tomb. A news clip on this describes the exhibit, "St. Paul native Willard L. Boyd, Field Museum president, and his staff have done an astonishing job of turning part of the museum's main and basement levels into a showcase of ancient Egyptian artifacts." Boyd has wanted to do the display for several years. A major reason for the exhibit is to "help foster greater understanding of a remarkable civilization that can provide a meeting ground for visitors of all contemporary cultures," Boyd said. "We think this will be the most exciting, imaginative Egyptian exhibit anywhere" (Flanagan, 1988).

Boyd was hired by the trustees of the Field Museum to provide a facelift and new attitude about exhibits. The board needed a good fund raiser. College and university presidents happen to be among the most skilled fundraisers around, so that is where the Field board of directors decided to look. They settled on Boyd, a choice that puzzled many in the museum world at first. Boyd proved to be successful both as a fund raiser and as a museum executive, and gained the admiration of the museum industry (Mullen, 1996).

Multi-sector collaboration. He proved adept when political backing of federal funding for basic scientific research began to fade in the 1980s, and lack of funding threatened to shrink the museum's research. Boyd forged strong links with researchers at the University of Chicago and the University of Illinois at Chicago to offset the loss in federal support. The museum has continued to be a world-class research center as a result (Mullen, 1996).

It was Boyd's vision to create the museum campus. Moving Lake Shore Drive in Chicago is in the realm of the impossible, yet it happened in order to link the three museums. "This is one of the pivotal moments in the city's history with respect to the lakefront, "said Boyd. "Not in perhaps 100 years has there been an opportunity like this to do for the south side of the lake what has occurred in Lincoln Park." City planners met with various citizen groups for almost three years while considering what course to take in moving the drive (Becker, 1994).

A return to Iowa. With the museum campus completed, Boyd decided to return to the University of Iowa. Having built a reputation nationally as a leader in museum studies, he returned once more to Iowa City and academia. Once back in Iowa, his national reputation still pulled him into various places. In 2003, he was appointed to an eleven-member Cultural Property Advisory Committee that advises the U.S. president on importing materials from other countries. The group reviews foreign government requests for U.S. import restrictions on

cultural property originating in other countries. Such restrictions are intended to reduce the

illegal trade in materials considered culturally, archaeologically or historically important to other

countries (Associated Press, 2003).

Boyd in retirement. Boyd co-founded the Larned A. Waterman Iowa Nonprofit

Resource Center (INRC) in 2001 to strengthen the organizations that improve the lives of

thousands of Iowans every year. A consulting firm to non-profit organizations, the INRC takes

advantage of Boyd's extensive knowledge of non-profit management and law to help new non-

profits in the state organize and to help existing non-profits meet their state and federal

regulatory obligations.

"We need to recognize the vital role our charitable non-profit organizations play in the

social and economic vitality of our communities," Boyd observed. "We, as citizens, need to carry

on the great American tradition of supporting them through the contribution of our time as

volunteers and our financial wherewithal" (Boyd, 2008).

A friend commented that, "Sandy devotes enormous time and energy to the Iowa

Nonprofit Resource Center, making it one of the university's most successful efforts to reach out

to citizens of Iowa engaged in charitable activities and volunteer work" (Snee, 2016b).

His long term colleague, a fellow dean and faculty member of the law schools said,

"From my 53 years of knowing and working with him, I would rate Sandy's contribution to the

university as by far the most important of all University of Iowa presidents since the great

burgeoning of higher education post-World War II. Sandy's 12-year length of presidential service

was much longer and more eventful than any of the other six presidents to serve. His abiding

commitment to human rights stands out, along with his warm personality" (Snee, 2016b).

Viewed as a transformational leader by others. Among those who know him and have worked with him, Sandy Boyd has been called a transformational leader. Charismatic as a fund raiser and negotiator; he is visionary in what he inspired people to do in both Iowa and Chicago, clearly exceeding expectations in diverse contexts. The steadiness, or consistency of his behavior also speaks to authentic leadership practices of reflection and self-knowledge. The various critical events in his life that parallel the trigger events found in the development of authentic leadership practice, provides for his continued growth as a leader. In any case, he is on the positive side of the scale in terms of his behavior, and through this study there is a much better appreciation for where his ability to lead comes from.

I chose to focus on these three public sector leaders as they are all consumed by something larger than themselves in their behavior. All follow/followed a path to leave this world better than they found it through their accomplishments—the museum campus in Chicago—the legislation that was created in Washington—the babies that were saved in Boston. None of them achieved their success without the following of others to support them in the implementation of their visions.

Having spent most of my career in academia, I was most interested in leaders who either led in such a context as Sandy and John did, and who, like Cheryl, see education as the vehicle for changing an individual's course in life, as I do.

This focus on three remarkable leaders, has revealed how each approaches, and succeeds to inspire others and alter the status quo. From my research I can conclude that all three exhibit the behaviors of transformational and authentic leaders. As for what links them to one another, I think I can say it is the value they all place in education. They all grew up in

homes where education—learning—was valued. In addition, one of the discoveries of this

review was the concept of a civic component to the transformational leadership model to bring

it into the 21st century that all three exhibited at some point in their careers; and the concept of

the social entrepreneur who samples from both the transformational and authentic profiles

discussed in working for the common good.

Chapter 5: Discussion and Concluding Statement

There certainly is a crisis in leadership today. The headlines cited at the beginning of this work speak to a failure in ethics, a failure in respecting the other, a lack of thinking of the common good, or of those issues that lie beyond self-interest or the bottom line. As the dates on my sources reflect, this is not something so new, and why is that so? As I have found, there is research that shows that transformative and authentic leadership behaviors, in particular, are the forms of leadership that take organizations and businesses toward success in times of change and uncertainty. Why are examples of these sorts of leadership patterns so few and far between? There is Cheryl Dorsey with her take on social entrepreneurship in affecting social change; and Jim Hackett, who was interviewed as an authentic leader in 2012 taking over at Ford Motor Company in 2017. Yet we have Uber and Wells Fargo headlining, even if it is to demonstrate what not to do in leading an organization.

I have my mentor in Dr. Boyd, and before this study, it was his empathetic approach to leading, of thinking of the other, of thinking of consequences, that led me to try to understand why some people lead this way, and is it possible to see more of this kind of leadership in who leads us now?

At this juncture in my journey I was able to put a label on the behaviors I was watching, and was able to explore how transformational and authentic leaders develop. I have become more aware of the impact divergent interests and backgrounds individuals bring to bear on a given issue or situation determine how it is addressed under their leadership. I wonder in developing leadership, what can be achieved that addresses the concerns and interests of most

in a way that improves situations. Society today seems to be anything but people on the same page. How do you get to win-win in the partisan world we seem to currently find ourselves in?

My research has not taken a linear route. It has ranged from the personality, or psychological basis for leadership behaviors, to leadership theories based on the behaviors of identifiable individuals who are known to have been effective leaders. It is through a dissection of their behaviors that the basis for such theories as transformational, authentic and servant leadership theories developed.

The Question of Whether Leaders are Born or Made

There is always the question of whether leaders are born or made. Many transformational leaders talk about early experiences with role models who instilled in them a sense of social consciousness, justice and the responsibility of privilege. Is there something about their openness to the influences that is different in how these experiences affect their future selves? Why do they take on leadership challenges instead of working, alone, skillfully at their desks in some other role?

As my review of the literature has uncovered, almost everyone says leaders are made, and can be made. In fact, one of the primary goals of this review is to discover the interventions and trainings that result in transformational, authentic leaders. However, from my explorations into personality, it seems to me that certain individuals are pre-prepped to take on the role of leader, and to then run with it. This is definitely an area needing more study, as even the theories talk about innate traits like intelligence as being an overarching, theory-spanning component of effective, innovative leaders.

The specific research issues I looked at in beginning this review were:

1. What contributes to building the core characteristics of a transformational leader, and those of the related profiles of authentic and academic leadership practices?

2. If capable of being developed, what interventions and behavior changes exist that enable anyone to become a transformational, authentic, leader?

For the first question, the literature would direct you to the Big Five personality factors that describe and provide a road map to describe what transformative, and authentic behaviors look like from a psychological assessment. Transformative and authentic leaders score high in the areas of extraversion, openness to experience, and conscientiousness; and while agreeableness was at times cited as a weakness, it was linked to traits like charisma, a leading characteristic of transformational leaders.

Why are these particular leadership models of such interest to researchers to understand? Perhaps it is because theoretically these forms of leadership are cast as effective in leading people and organizations toward achievement, even during challenging times.

With the knowledge that many leaders fail to lead, and based on these findings, there is the suggestion that more psychological testing, or observations of candidates' behaviors occur as part of the assessment process for who is selected to fill the corner office—that it is not just the resume or the head hunter's recommendation that are needed to ensure that an individual will lead an organization toward success.

For the second question, of whether transformational leaders can be developed, my review of leadership theories says, yes, and lists several attributes that can be nurtured or otherwise acquired and were found to give a leader the foundation they need to respond to the

challenge of upending the status quo—or responding to one that has been upended. The

research reviewed has demonstrated that these attributes include: resilience, persistence,

emotional intelligence, authenticity, self-control, self-awareness of values and beliefs,

adaptability, intelligence, vision, charisma, self-confidence, and transparency. These are the

nuanced Five Factors described as characteristics that are scattered among the skills and traits

the literature finds a contemporary transformational leader needs to develop in order to

successfully guide organizations and people through change. Interventions like the 360 degree

review, and life stories constructions, are among the methodologies used to promote the

attributes of transformative and authentic leadership development. With this, is the process of

self-reflection and learning from experience that are viewed as supporting this kind of

leadership growth.

Where do the public sector leaders cited in this work fit? I would concur that Sandy

Boyd exhibits many of these transformative leadership attributes over the course of his career.

There are two examples of this that particularly exemplify some of these traits as he exhibits

them. The first is when he reached out to the researchers at the universities of Chicago and

Illinois to augment his research team at the Field Museum; and the second when he engaged

the leadership at the Shed and the Adler museums to create the museum campus along Lake

Shore Drive. He exhibits not only the visionary, problem solving, and charismatic skills listed

above of the transformative leader to move the University of Iowa and the Field Museum to the

top rankings in their respective contexts, but also the multi-sector collaborative skills he exhibits

that is a growing area of leadership research in a time of shifting resources and issues among

shifting constituencies and stakeholders.

John Brademas was said to be suited for academic life from his life in politics, exhibiting the leader is a leader concept of my research. Like Boyd who led across sectors. Brademas was able to change his vision from creating groundbreaking legislation, to changing a commuter school into a major research institution. Those who watched him transform N.Y.U., said he seemed born to lead a university.

Cheryl has a vision for something bigger than herself as well, in that she went from changing the lives of babies in Boston, to fueling the change agents of the 21st century. Even though she seems to operate alone as an entrepreneur, she exhibits the knowledge that change comes about from a social process, and not in isolation, or as the actions of a lone champion.

The role of psychology in leadership identification and formation. It was a bit of good luck that one of the articles I initially consulted is the leading study on the relationship between personality and leadership. As research matured in leadership theory, it was the matching of leadership behaviors to the Big Five personality factors, through the work of Judge and Bono (2000, 2004) that gave researchers a common tool for assessing leadership behaviors in their work, better facilitating a dialogue on how leadership practices are identified and developed.

It was the work of Judge and Bono that also helped to define which of the Big Five seem the closest aligned with transformational behaviors. Progress was made for determining what makes these leaders tick from their observed behaviors. As noted, it was Judge and Bono's work that uncovered the significant role that intelligence plays in a leader's ability to judge a situation and respond with the necessary direction and support of followers. As previously noted, the example I have given of Boyd thinking to partner with the major research institutions in his midst (Chicago and Illinois), enabled the Field Museum to continue its first class research

reputation, and to successfully counter the loss of federal funding that at one time supported it. It is also an example of creative problem solving, and engaging external collaborators, that were attributes cited as winning leadership behaviors in addressing the challenges of the 21st century.

Zaccaro (2007) talked about the ability to alter leadership styles (such as the mixing of components of transformational and transactional styles of leading), and I think of Boyd's ability to lead a class, lead a school, lead a university and lead a national museum. Extraversion was also a Big Five factor that was found to be linked to leadership emergence, in that moving to take the lead in a group takes a certain amount of self-confidence and self-esteem as both Smith and Foti (1998), and Matzler, et al. (2015), found in their exploration of some of the antecedents that have begun to be identified around the Big Five factors. It is in looking more specifically for what enables one individual to assume transformational leadership behaviors that has begun to emerge in the literature. For me, it is this more recent look into characteristics such as self-esteem and emotional intelligence that begin to provide some answers to what differentiates an effective leader from an ineffective one. I found it instructive in Hogan's view (2003) that effective leadership persuades and engages others in a vision/cause (as does transformational), in contrast to leadership that uses dominance to impact followers' performance.

Many of the theories promoted are based on the concepts of positive psychology, and point to values and beliefs forming the net that is under many of the transformational and authentic behaviors being discussed.

And maybe the bigger issue is whether morality in the 21st century is contextual, and perhaps even malleable as Pinker (2008) in his essay questioned. While the leadership theories under review in this dissertation are very concerned with moral and ethical leadership

behaviors, how do we think about the common good in this context? Whose common good are we concerned with, and whose should we be?

The role of intelligence and education. One of the practitioners I write about, Cheryl Dorsey, would say that education is the Rosetta Stone for those who are not part of the increasingly narrow main stream of who succeeds and who does not. While Andy Stern (a union leader) would say education doesn't matter, the high regard for education was something all of the cited public sector leaders have in common. The practice of learning seems an important one, as these leaders pay attention to lessons learned in their development. The research pointed out that of all traits, intelligence was the single overarching skill leaders benefit from, whatever practice they follow. Cheryl Dorsey may be surfacing yet another transformative leadership theory with her social entrepreneur label. The organization she heads, with socially directed venture capital, certainly is a form of 'paying it forward' in seeking to grow social change agents—the mentoring of others that transformational and authentic leaders practice.

Cheryl has been labeled as a transformational leader, while she self identifies as an entrepreneur. I am very excited at the opportunities her outlook presents in growing new, transformative, leadership. This is an area of social engagement and leadership that should be followed more closely for its transformational effects on emerging leaders.

What Does It All Mean?

This all said, my goal in this work was to learn for myself what attributes I might better develop to mirror more closely that of Boyd, and so impact my leadership practice, and my role as a mentor to others. At this stage in my career, through this review I have come to better

understand what it means to grow the next generation of leaders and it is one of the ways to direct what I have learned.

So for me, the process of self-reflection aligned with the authentic leadership model is part of this process that I see as important to my continued growth as a leader/mentor. One thing my experiences have taught me, and that I have witnessed other leaders go through, is that answers are not easy. There is a wonderful quote in my text from Lyndon Johnson who realized that, "Doing what's right isn't the problem. It's knowing what's right."

While I have seen that change can be achieved with broad strokes, I am also aware of the small-scale responses, in that one person is a start—the need for a catalyst to push the first domino over and start the process of change—something I think Cheryl understands with her work at Echoing Green.

When I think of whether Boyd or Brademas were viewed as radical in the visions they had for their respective organizations, it brings up the question, what is a vision? It is something transformational and authentic leaders are expected to produce? Is it meant to be some radical departure from the status quo? A vision may question the status quo, although I have to think that the visions of these two men and what they sought to achieve were developed in response to what they thought could actually be accomplished based on the status quo they were dealing with. I am also aware that all of these public sector leaders know that you are only as good as those around you, and it is the talents and efforts of those around you that will realize the dream.

To put contemporary leadership in closer context, another contemporary commentator on the topic I have mentioned is Andy Stern, emeritus president of the Service Employees

International Union. Referring earlier to his views on education, in remarks he made a few years ago on the American Dream, he said that "we need to grasp how profound the changes are that are going on in our world. This is not our fathers' and grandfather's economy. It is 24/7, not 9:00 to 5:00. It is international, not national anymore. No single generation of people has ever witnessed so much change in a single lifetime, and this revolution is televised, it is Google-ized, it is digitized. It is on your screen, in your face, 24/7. It is relentless, it is unending, and it is far from over" (Stern, 2006).

An issue that someone like Stern presents to me, as a challenge to my role as a leader/mentor, is that he sees the problem in America is not about growth. . .change is inevitable, but progress is optional. As previously noted, for him education is not the structural answer to America's economic problems, and he forecasts that only eight of the thirty fastest growing jobs in America will require a college education by 2012 (Stern, 2006). What Stern failed to appreciate is the difference education can make in life style changes that have nothing to do with employment, but with a life led.

So it is not only the pace of our world, it is the complexity of the context that we find ourselves in that impact leadership. A transformational leader cannot be consumed by the near term, and must take the longer vision, and scan a much wider horizon for what is next, and for which direction to take. The growing economic inequality in the United States, the growth/progress issues Stern raises, is a true concern for how concepts like social justice will come to the forefront on both national and international levels.

Leadership in Addressing Today's Issues

In 2016, I spent a considerable amount of time looking into the issue of oligarchy, and how that concept has cropped up in the discussion of the distribution issues, the 21st century's inequality gaps. There is also the lingering issue of the lack of compromise that covers so much of the way people and organizations interact in 2017. To illustrate this point is the partisan response of Congress to the Supreme Court vacancy created with Justice Scalia's death in 2016—not filled until the spring of 2017.

What is telling is that many of the scholars I consulted were looking into these leadership models because they felt that contemporary leadership behaviors need to change. This is stemming from work initiated as early as the 1990s. Rost (1993) looked to the 21st century as something different, as did Smith and Foti (1998).

I have discovered the theories for what results in an effective leadership practice on paper, and I now know some of the interventions that can help grow effective leadership. At issue is that there seem to be too few individuals with whom to share this knowledge, there seem to be maybe a few, who are ready to implement this knowledge in today's diverse global context. These are among the issues presented for future research and discussion. Who is there, and who will, step forward to be the change agents that get us back to talking with one another again? Who will be the change agents that take advantage of our diversity, and who rallies us as Americans around a shared vision for continued growth and development? Who thinks about the common good, and how it is achieved? In the 24/7 world that Stern (2006) presents, will it be the social entrepreneur Cheryl Dorsey and others like her who with venture capital will finally

break through the gridlock of partisan bias by supporting an army of change agents to address social and political challenges?

What is it that attracts individuals to unsettling times to provide interventions that get an organization back on course, even if on another track? There are many attributes, antecedents and behaviors that are acknowledged in the research presented here. The list of traits, again: resilience, persistence, emotional intelligence, authenticity, self-control, self-awareness of values and beliefs, adaptability, intelligence, vision, charisma, self-confidence, and transparency. These are the skills and traits the research has identified as what a contemporary leader needs to successfully guide organizations and people through change.

So where do we go from here? Bill George recently complained that Mike Fields, former CEO at Ford, and who was let go after three years, had not been given "enough time to do that kind of job" (Fuhrmans & Lublin, 2017, B2). Yet Field's successor is Jim Hackett, a self-identified authentic leader (Bryant, 2012, BU2). In taking over at Ford, Mr. Hackett observed that, "Anytime you are dealing with future, it's ambiguous—until you prove it" (Vlasic, 2017, A1).

In terms of what affects an organization or company's goals, researchers are agreed on the effectiveness of the transformational and authentic based leadership models as the nature of leadership that is being called for; and this review has confirmed that transformational leaders and the like are not necessarily born, and that leadership is a developmental process that can be influenced. The question remains of who, in our 24/7 world, will take the time to develop, and provide an effective response to the leadership challenges of 2017 and beyond? Again, will Cheryl be joined by others who use wealth to create positive social change like those of our Industrial Revolution sought to do—the Carnegies and the Rockefellers? Will Mr. Hackett be given the time to turn Ford around to meet the transportation needs of the future?

This research has given us the tools to identify emerging leaders, along with how to support their leadership development. The question remains in the discovery of who will chose to fill the 21st century's leadership needs using the support that is available to help them lead.

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