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The mission of the *JVBL* is to promote ethical and moral leadership and behavior by serving as a forum for ideas and the sharing of “best practices.” It serves as a resource for business and institutional leaders, educators, and students concerned about values-based leadership. The *JVBL* defines values-based leadership to include topics involving ethics in leadership, moral considerations in business decision-making, stewardship of our natural environment, and spirituality as a source of motivation. The *JVBL* strives to publish articles that are intellectually rigorous yet of practical use to leaders, teachers, and entrepreneurs. In this way, the *JVBL* serves as a high quality, international journal focused on converging the practical, theoretical, and applicable ideas and experiences of scholars and practitioners. The *JVBL* provides leaders with a tool of ongoing self-critique and development, teachers with a resource of pedagogical support in instructing values-based leadership to their students, and entrepreneurs with examples of conscientious decision-making to be emulated within their own business environs.

Submission Guidelines for the *JVBL*

The *JVBL* invites you to submit manuscripts for review and possible publication. The *JVBL* is dedicated to supporting people who seek to create more ethically- and socially-responsive organizations through leadership and education. The Journal publishes articles that provide knowledge that is intellectually well-developed and useful in practice. The *JVBL* is a peer-reviewed journal available in both electronic and print fora (fully digital with print-on-demand options). The readership includes business leaders, government representatives, academics, and students interested in the study and analysis of critical issues affecting the practice of values-based leadership. The *JVBL* is dedicated to publishing articles related to:

1. **Leading with integrity, credibility, and morality;**
2. **Creating ethical, values-based organizations;**
3. **Balancing the concerns of stakeholders, consumers, labor and management, and the environment; and**
4. **Teaching students how to understand their personal core values and how such values impact organizational performance.**

In addition to articles that bridge theory and practice, the *JVBL* is interested in book reviews, case studies, personal experience articles, and pedagogical papers. If you have a manuscript idea that addresses facets of principled or values-based leadership, but you are uncertain as to its propriety to the mission of the *JVBL*, please contact its editor. While manuscript length is not a major consideration in electronic publication, we encourage contributions of less than 20 pages of double-spaced narrative. As the *JVBL* is in electronic format, we especially encourage the submission of manuscripts which

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utilize visual text. Manuscripts will be acknowledged immediately upon receipt. All efforts will be made to complete the review process within 4-6 weeks.

By submitting a paper for review for possible publication in the *JVBL*, the author(s) acknowledge that the work has not been offered to any other publication and additionally warrant that the work is original and does not infringe upon another's copyright. If the submitted work is accepted for publication and copyright infringement and/or plagiarism is successfully alleged with respect to that particular work, the submitting author agrees to hold the *JVBL* harmless and indemnified against any resulting claims associated therewith and further commits to undertaking all appropriate corrective actions necessary to remedy this substantiated claim(s) of infringement/plagiarism.

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- 2) The editor will submit the manuscript to two reviewers emanating from the field of the paper's topic, unless the submission is invited. Once reviews are returned, the editor may: a) accept the manuscript without modification; b) accept the document with specific changes noted; c) offer the author(s) the opportunity to revise and resubmit the manuscript in response to the reviewers' and editors' comments and notations; or d) reject the manuscript.

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Hershey H. Friedman – Brooklyn, New York, USA
Paul J. Herskovitz – Staten Island, New York, USA
The past three decades have been witness to a nascent but compelling body of literature on lessons in leadership for business derived from biblical narratives. The aim of this paper is to advance that effort. Specifically, this study considers the leadership of Zerubbabel, the governor of Judah who built the Second Temple on the ruins of the First, and that of Ezra and Nehemiah, who instituted reforms – religious, financial, and agrarian. When Zerubbabel arrived in Judah from Babylon, the walls of Jerusalem were breached and the land was filled with people hostile to the construction of the Temple. This paper discusses mistakes made by Zerubbabel as a leader, how Ezra and Nehemiah rectified these errors, and demonstrates what leaders of today can learn from the issues pertaining to the Second Temple period.
45. **IMPLEMENTING LEADER DEVELOPMENT THAT COUNTS**
Ryan Orsini – Washington D.C., USA
Effective leader development is too often the first casualty of high demands placed on leaders, from corporate America to the U.S. military. These entities' leader development programs and workforce feedback reveals insufficient strategies and competing priorities. Organizations succumbing to these obstacles unknowingly find themselves trapped in adverse cycles of leadership development, perpetuating undernourished talent and mediocre performance. This problem will not fix itself. Organizations must refocus efforts to understand and implement a leader driven, interpersonally focused, and culturally ingrained brand of leader development to maximize available talent and craft their envisioned organization.
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Shannon Yocum – Minneapolis-St. Paul, Minnesota, USA
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Health and wellbeing of employees has a direct correlation to organizational performance. It is essential that organizations and successful leaders prioritize the health and wellbeing of all employees – from the C-suite to entry level positions. As rates of stress, chronic illness, and unhealthy lifestyle choices continue to increase, it is imperative that organizations discover strategies that cultivate employee wellbeing. Employees with high wellbeing are more engaged, productive, and energized and directly affect a company's bottom line; it is in the best interest of employers to invest in human capital and wellbeing of employees. Health and wellness coaching demonstrates encouraging potential as a catalyst to optimize

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employee wellbeing. Rooted in science-based research with the foundation in relationships, communication, and connection, health coaches partner with employees as they build self-awareness around a holistic view of health. As employees increase self-awareness, they recognize the importance of managing stress and self-care, connect to their vision and values, take active steps towards change, and address barriers and obstacles. With these strategies, individuals build resilience as they gain energy, empowerment, and work towards positive growth. This paper outlines the challenges that leaders and employees are facing, describes health and wellness coaching, and provides a group coaching case study example that demonstrates how health and wellness coaching can foster employee wellbeing. This case study is important as it supports evidence that health coaching shows promise as a strategy to optimize employee health and wellbeing.

81. ORGANIZATIONAL CULTURE AND ETHICAL DECISION-MAKING DURING MAJOR CRISES

William E. Mumley – Nairobi, Kenya

By integrating various behavioral and ethical theories, such as Organizational Culture and the Social Construction of Knowledge, this research argues that emergency micro-cultures often emerge in times of crisis. Smaller, localized environments, permeated by this crisis culture, often produce an ethical myopia that corrupts wise decision-making. Unless insiders, either leaders or followers within a local setting, are able to meaningfully access ethical frames of reference existing outside the immediate context of the crisis culture, choices remain highly influenced by misaligned values distorted by proximate and introspective survival priorities with minimal regard for external or long-term ethical consequences. In this regard, Follett's (1949) concept of "the invisible leader," in which transcendent values for the "common purpose" of leadership are embodied, provides a potentially meaningful way forward in addressing this dilemma. Since social constructs significantly drive the values that influence decision-making (McLeod and Chaffee, 2017), respected, culturally rich, moral frames of reference that transcend the boundaries of the room emerge as important values clarifiers during important organizational decision-making, particularly in the midst of organizational crises.

93. HUMILITY, FORGIVENESS, AND LOVE – THE HEART OF ETHICAL STEWARDSHIP

Comfort Okpala – Greensboro, NC, USA

Cam Caldwell – Alexandria, Louisiana, USA

The purpose of this paper is to identify the nature and importance of ethical stewardship as a powerful contributor to the trustworthiness of leaders – focusing on humility, forgiveness, and love as three leadership qualities that are at the heart of ethical stewardship. We begin by defining ethical stewardship and equating it with Six characteristics of personal trustworthiness. Following that introduction, we explain why humility, forgiveness, and love are vitally important leadership qualities essential to becoming an effective ethical steward and include six propositions relating those three qualities to ethical stewardship. We then offer six insights about humility, forgiveness, and love that can assist those who wish to improve their ability to become ethical stewards to improve their success. We conclude the paper with a challenge to leaders to adopt ethical stewardship as their leadership paradigm.

105. MEANING MANAGEMENT: A FRAMEWORK FOR LEADERSHIP ONTOLOGY

Muhittin Oral – Istanbul, Turkey

Leadership is a multifaceted and complex subject of research and demands a sound ontological stance that guides studies for the development of more integrative leadership theories. In this paper, I propose the leadership ontology PVA (perception formation – value creation – achievement realization) and associate it with the two existing leadership ontologies: TRIPOD (leader – member – shared goals) and DAC (direction – alignment – commitment). The leadership ontology PVA, based on a new theory called "meaning management," consists of three circularly supporting functions: cognitive function to form perception, creative function to generate value, and communicative function to realize higher levels of achievement. The PVA is an epistemology-laden ontology since the meaning management theory allows one to make propositions that explicitly link its three functions with the leadership outcomes: perception, value, and achievement. Moreover, the PVA leadership ontology transcends and includes both the conventional TRIPOD ontology and the DAC ontology.

132. COEXISTING VALUES IN HEALTHCARE AND THE LEADERSHIP PRACTICES THAT WERE FOUND TO INSPIRE FOLLOWERSHIP AMONG HEALTHCARE PRACTITIONERS

Christopher W. Stewart — Denver, Colorado, USA

Healthcare delivery in the United States has a storied history that has led the American public to expect that their Health Care Practitioners (HCPs) will personally and professionally enact values such as altruism, benevolence, equality, and capability. A progressive set of events that involves the implementation of the market-based solution in the Patient Protection and Affordable Care Act has led healthcare organizations to become increasingly concerned with a conceptually different set of values. It has become more necessary for healthcare organizations to dedicate attention to market values (e.g., competition; productivity) as they operate in an environment that is commonly described as a \$3.3T industry. There is significant concern that important care values are being sacrificed as the U.S. health system becomes increasingly commercialized. It is also believed that HCPs are experiencing increasing levels of demoralization and burnout as a result of their inability to realize their personal and professional care value preferences. A qualitative investigation into the experiences of a selection of HCPs served to reveal how the administration in a large health system fosters compatibility among personal, professional, and market value priorities via an application of the tenets of values-based leadership. Study outcomes also feature implications for both the servant leadership and transformational leadership constructs.

153. LEADERSHIP BEHAVIOUR AND WORKER PERFORMANCE IN THE NIGERIAN CONSTRUCTION INDUSTRY

Kolawole Oyetunji — Lancaster, United Kingdom

John Adebisi — Newcastle Upon Tyne, United Kingdom

Nathaniel Ayinde Olatunde — Edo State, Nigeria

Leadership is a dynamic process in which an individual influences others to contribute to the achievement of an assigned task. This paper investigates leadership behaviour and its impact on construction workers' performance in Lagos, Nigeria. Purposive sampling technique was adopted to select 50 site-supervisors and 250 construction-workers involved in simple construction works. An investigation was carried out using a questionnaire survey method. The leadership variables investigated were ranked, regressed, and correlated to worker performance. From the primary data analysis, leadership behaviour, exhibited by supervisors, was found to influence the site workers' commitment to achieving the goal of the construction projects. The most exhibited leadership behaviour on the studied construction site is transformational leadership behaviour with an overall mean score of 4.09. There also exists a positive linear correlation of transactional leadership behaviour with construction worker performance. Findings revealed that the adoption of laissez-faire leadership behaviour results in negative correlation with construction worker performance. The study concludes that the success of construction projects depends on the project manager and its employees; leadership qualities, therefore, are critical to the construction industry participants to ensure the timely delivery of construction works.

171. MANY LAYERS OF VALUES-BASED LEADERSHIP

Joseph Hester — Claremont, North Carolina, USA

Our common recognition of leaders and leadership reveals an assortment of men and women, some who are who predisposed to service, some who are humble but forthright, and others who exert narcissistic tendencies coupled with authoritarian attitudes. All of these have been and are called "leaders." Hence, to unearth what is meant by "moral leadership" or "values-based leadership" (VBL) strains our understanding as many layers of value expose the diversity implied by the moniker "values-based."

187. MORALITY WITHOUT BORDERS – A VISION OF HUMANITY AS COMMUNITY

Joseph Hester — Claremont, North Carolina, USA

Don R. Killian — Gastonia, North Carolina, USA

Identity politics is on the rise, and not only in America, but throughout the world. It is an inherent nationalism, and when unbridled and unchecked, unleashes an exclusive ethic into society appealing, not to an expansive moral ought, but one that is narrow and provincial, condemning and vilifying. The fact of national diversity and the imprint of dissimilar value orientations often cause fear and insecurity among groups and sub-groups who are apt to condense their value-orientation vis-à-vis their national or cultural identity, promoting ethical relativism and neglecting core human values. With a diminishing of religion's consecrated and sanctified moral vision, many are falling upon an idealized version of national identity to

set the parameters of their moral horizon. This is often expressed as a “moral superiority” implying the dominance of certain traditions and customs over those of others. We must be reminded that autocracy, national or religious, can be a tool of anyone seeking moral supremacy.

Case Studies and Poetry

205. LIKE FATHER, LIKE SON: MODELLING MASCULINITY FOR THE ETHICAL LEADERSHIP OF PRESIDENT THEODORE ROOSEVELT

Elizabeth Summerfield – Melbourne, Australia

President Theodore Roosevelt is frequently portrayed as a rugged, hypermasculine cowboy. But this depiction ignores the powerful modelling for masculine leadership provided by his father, Theodore Roosevelt senior. A closer examination of the private and public spheres that framed the latter’s life offers another route into understanding the ethical and rational motivations that characterised his son’s progressive Presidency, not least in the area of natural resource management, where his policy innovations were both unprecedented and sustained over time. What emerges is a more complex portrait than the above stereotype, a leader who used his heart, head and experience to think and act in and on the world in wholes, rather than in self-contained parts. As systems thinking becomes increasingly recognised by governments as an essential tool for effective leadership, including in environmental problems, the mentoring of Roosevelt junior by Roosevelt senior offers a case study of its first principles for learning and leading ethically.

226. THE PASSION TO FLY AND TO THE COURAGE TO LEAD THE SAGA OF AMELIA EARHART – LEADING WOMEN INTO FLIGHT

Emilio Iodice – Rome, Italy

Truly a 20th Century leader, Amelia Earhart’s success was not only in breaking aviation records, but overcoming barriers for women. She set an example of courage, achievement, and not being afraid of envy, criticism, ignorance and indifference. Author Iodice explores this iconic figure in depth as a profound example of determination, commitment, and courage at a time where all societal expectations pointed to defeat and resignation.

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Jocelyn Chapman – San Francisco, California, USA

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Professor M. S. Rao, Ph.D. – Hyderabad, India

EDITORIAL
IN MEMORIAM



A Tribute to Richard G. Lugar

by Elizabeth F.R. Gingerich, Editor-in-Chief

On April 28, 2019, former U.S. Senator Richard G. Lugar died, leaving the world to mourn the loss of a superior leader and statesman. Often described publicly as non-confrontational, mild-mannered, and fiercely committed to developing America's foreign policy in a bipartisan fashion, Lugar spent six terms in the U.S. Senate, representing the State of Indiana.

I first made direct contact with Senator Lugar during the summer of 2007, shortly after it had been announced that several fossil fuel industries along the shoreline in Northwestern Indiana were dumping hundreds of gallons of ammonia-laced water directly into Lake Michigan on a daily basis – all without public commentary or appropriate regulatory intervention. In expressing my concern about these developments to him via email, the Senator conveyed his angst as well, additionally commenting that Indiana citizens must protect their own “Yosemite National Park.”

I was so moved by his communique that I asked if he would submit a writing to be included into the inaugural issue of the JVBL. Upon receiving a favorable reply, it turned out that not only did I eventually update his Congressional bio, but I was invited to Washington, D.C. to speak with him in person. I leapt at the chance and in late November of 2007, headed directly to the Russell Building. As the ranking minority member of the Senate Foreign Services Committee, Senator Lugar had been called to an emergency meeting; I was fortunately allowed to tag along.

It was during this hearing that I first learned of the US-Mexico “guns for drugs” criminal enterprise. Far from condemning Mexico, the Senator commented that he could understand why a head of household would resort to this kind of exchange to provide for the needs of his family. He could empathize with the reality of that situation. Upon hearing of his passing, these words resonated as news continues of the heartbreak of refugees at the Southern border – heads of household trying to escape both violence and disabling impoverishment to provide for the needs of their families.

Lugar, a corn farmer, was also the first individual I had come to know who advocated the development of biofuels – including the ethanol-based renewable fuel (E-85) – and strongly advocated the reduction of America's dependence on foreign oil and the development of new strategies for alternative sources of energy. He was one of the first

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high-profile representatives sounding the alarm to address matters of national energy security.

Lugar's worldwide acclaim originated from his calling attention to the threat of nuclear proliferation and potential planetary destruction. In this vein, he successfully co-sponsored the *Nunn-Lugar Cooperative Threat Reduction Act of 1991* which authorized \$400 million a year to be used for arms control purposes. He is credited with neutralizing over 7500 nuclear warheads, closing down 47 biological weapons centers, retraining thousands of weapons scientists, and preempting the distribution of fissile material which could have created thousands of nuclear bombs – all within the then imploding Soviet Union.

In January 2008, the Senator contributed a letter of welcome to the inaugural issue of the JVBL:

Dear Friends:

Valparaiso University is a recognized institution of higher education devoted to developing people who can navigate the interactions among financial futures, private lives, public duties, and spiritual cores. It is our good fortune that Valpo has taken the initiative to create the Journal of Values Based Leadership and advance understanding of ethical and moral leadership.

This journal will serve as a valuable resource for business leaders, academics and students in their pursuit of integrity, creditability and morality. The JVBL will inform and inspire its readers. I congratulate the JVBL on its inaugural issue and look forward to future publications.

Sincerely, Richard G. Lugar, United States Senator

His altruistic leadership and warm presence will be greatly missed.

– *Elizabeth F.R. Gingerich*

Senator Richard Lugar: Setting the Example for Bipartisan Leadership & Cooperation

by **RITCH K. EICH, THOUSAND OAKS, CALIFORNIA**

The April 28 death of longtime Indiana Republican Sen. Richard Lugar and the praise heaped upon him from both sides of the political aisle after his passing reinforce what many already knew but have seen too little of in recent years: that bipartisanship cooperation brings lasting success.

At a time when political divisiveness domestically is arguably at its worst, foreign relations with many of our allies are strained, and the United States is leaving many crucial international agreements, Lugar's legacy exemplifies what today's crop of presidential candidates and members of Congress should aim for: solving the nation's problems through collaboration, working with those from the opposite party with different viewpoints, and seeking solutions to problems important to Americans by working with our allies.

Lugar also proved that true leadership doesn't have to mean being loud, cruel, brash, boycotting historic events, or making grand speeches to Congress before a vote. Lugar was known for his modesty and at times annoyed his fellow Republicans when he went against his party on various issues like bringing sanctions against the white South African government for its apartheid policies.

Former Michigan Democratic Sen. Carl Levin said of Lugar following his death, "Dick Lugar was a truly decent and courageous man whose strong and steady voice for bipartisanship benefitted the U.S. Senate, our nation and the world for over three decades. His soft language and calm demeanor and his ability to ignore bluster and bombast in the search for pragmatic answers characterized a noble career."

Purdue University President and former Indiana Gov. Mitch Daniels, who served also as Lugar's chief of staff in the Senate, said, "Dick Lugar was not just the finest public servant I will ever know, he was the finest person. He embodied all we can hope for in our leaders: brilliance of mind, purity of motive, stainless in character, tireless in the pursuit of duty. Incomparably knowledgeable about the world, he was first and always a patriot, utterly dedicated to the security and wellbeing of his fellow Americans."

And President Barack Obama echoed those sentiments. "In Dick, I saw someone who wasn't a Republican or Democrat first, but a problem-solver—an example of the impact a public servant can make by eschewing partisan divisiveness to instead focus on common ground."

Lugar showed that bipartisanship collaboration with our international adversaries brings success. His most significant achievement, destroying weapons of mass destruction in

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the former Soviet Union through the Nunn-Lugar Cooperative Threat Reduction Act, was attained by teaming up with Georgia Democratic Sen. Sam Nunn and others. Nunn said in a statement after Lugar's death, "This generation and future generations can learn much from his example in the political world and in life."

Lugar was the 2005 recipient of the American Foreign Service Association Lifetime Contributions to American Diplomacy Award and the 2016 recipient of the J. William Fulbright Prize for International Understanding. The Queen of England made Lugar an honorary Knight Commander of the Most Excellent Order of the British Empire, and President Obama awarded Lugar the Presidential Medal of Freedom, according to the Lugar Center.

After he was voted out of office following six terms in the Senate, Lugar continued to call out the United States government for being dysfunctional because he wanted Congress to do better and to be held accountable. Lugar founded the non-profit Lugar Center, a think tank that studies and promotes better government as well as various global issues. His Bipartisan Index tracks for the public the frequency with which a member of Congress co-sponsored a bill introduced by someone from the opposite party as well as the frequency with which a member's own bills attract co-sponsors from the opposite party, to measure bipartisanship. The Lugar Center's research and policy statements aim to better the debate through civil dialogue and bring together people of differing ideologies.

American youth and future elected officials would do well to learn about modesty and the value of hard work from Lugar, who was an Eagle Scout, first in his class at Denison College, a Rhodes Scholar, a Navy officer and a two-time big city mayor before he went to Washington, D.C. They should also remember Lugar's legacy of intelligence, honesty, civility, humility, and cooperation as the Administration continues talks with our new adversaries in the weapons race, namely China and North Korea. Let's hope that the President, Congress, and candidates for public office understand that building bipartisan cooperation domestically and fostering teamwork internationally are necessary to achieve real, lasting results.

U.S. Leadership: 10 Leadership Attributes for the Next President

by Ritch K. Eich

By the time George H.W. Bush was elected the nation's 41st president, he had racked up an impressive résumé of career accomplishments. A former World War II navy pilot who flew 58 combat missions before being shot down in the Pacific, Bush later worked in the oil business, served in the House of Representatives, was appointed Ambassador to the United Nations, functioned as chief liaison to China, was appointed CIA director, and served as Ronald Reagan's vice president.

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Today's current crop of presidential candidates by contrast seems to lack this broad range of experiences. The United States faces an increasingly complex set of different national security and economic challenges from emboldened countries like Russia, China, North Korea, and Iran. Domestically, there is no shortage of contentious and divisive issues like immigration; a soaring national debt; climate change; racial harmony; women's reproductive health; and global trade. It will take a lot more than a law degree, experience as a prosecutor, and a few years in politics to gain the required savvy, wisdom, creativity, and experience to successfully handle the pressing issues of the day.

Already, several Democrats have announced they are running for president and there may be more. While youth has its advantages, there can be no substitute for relevant experience. Shouldn't we expect that candidates of both parties have a much broader range of experience? Here are 10 attributes I believe the next president should possess:

1. **An appreciation of the history, traditions, and norms of the country and its institutions while concomitantly invoking change when warranted:**

As both CEO of the country and the captain of the ship, the president sails in a particular direction, attempting to maintain a clear course while understanding the ever-perilous nature of the seas. The president must be steady and use restraint when appropriate. John F. Kennedy understood this.

2. **Acceptance of the role of a true public servant who puts the country before self or political party:** Gerald Ford was a man who didn't lie, kept his word, and had opponents but not enemies. While voters demonstrated their disapproval of his pardon of Richard Nixon at the ballot box, Ford knew that decision could well end his political career. He understood that the nation desperately needed to heal.

3. **Identification with the common man and woman:** Ideally, the next president will have humble roots and will relate to the issues facing everyday Americans. This was a large part of the appeal of Harry Truman, Richard Nixon, Ronald Reagan and Barack Obama, who were not born into millionaire families and lived like regular folks.

4. **Dedication to being a consensus-builder who reaches across party lines and international borders to build critically important alliances and agreements:** Successful presidents must be skilled in building trusted relationships with others outside one's immediate circle; history has shown that these alliances may one day be needed. This point also makes a good argument for a highly qualified, experienced female president, as many would opine that women are often more flexible than men, excel at networking, are less egocentric and more amenable to collaboration, and frequently have superior social skills. And, presidential candidates who have been governors, for example, have had to learn how to manage a large organization with both people and fiscal matters, grasp policy issues, work regularly with the federal government, negotiate with an often opposition state legislature, build a team of advisers and more.

5. **Commitment to the Rule of Law and maintaining Constitutional Checks and Balances:** Dealing with a difficult Congress comes with the territory and will require diplomacy, compromise, and patience in deal-making. The ability to work effectively with Congressional representatives to persuade them as well as the electorate in general about the wisdom of the president's proposed course of action is paramount, as Lyndon B. Johnson understood while working with former colleagues to pass the Civil Rights Act of 1964.
6. **Recognition of the importance of science, conservation, and the environment:** Climate change is real and nations have been acting and formulating policy based on these scientific facts for decades. National Parks are integral to sovereign identity and pride as millions of Americans, their children, and grandchildren relish the bounties they have to offer. The next president should strive to preserve these retreats, partially in homage to the legacy of Theodore Roosevelt who skillfully used the bully pulpit to inculcate the value and importance of these natural treasures.
7. **Composure and competence in the face of multiple exigencies.** Presidential aspirants would be well advised to familiarize themselves with how Franklin D. Roosevelt skillfully led us through the depression and World War II. Like every president before and after him, FDR made some egregious errors (such as denying asylum to thousands of Jewish refugees and ordering the internment of innocent Japanese-Americans), but he created a safety net from which countless Americans have benefitted ever since.
8. **Honesty and integrity imbued with a strong work ethic and a heightened sense of fairness and justice for all:** The president serves as the leader of the *entire* diverse nation. Abraham Lincoln was a leader who acted to bring justice and fairness to a large swath of America in the face of widespread opposition that nearly destroyed the young nation. Replicating the extent of Lincoln's moral leadership is likely impossible but future presidents must strive to consciously do what they believe is right. To succeed takes fortitude and a resolve to better the lives of all his or her fellow citizens. Without strength of character, humility, stamina, and integrity, any success will likely be short-lived.
9. **Skills in relevant areas like the military, intelligence, and the foreign service, to bring a wider perspective to the office:** George Washington, Thomas Jefferson, Woodrow Wilson, and Dwight D. Eisenhower all understood this and applied real-world skillsets to the presidency. A candidate with experience governing a state or running a large public company would understand what it's like to be answerable to multiple constituencies such as employees, shareholders, vendors, customers, and the media. Veterans, especially those with combat experience, often know the importance of using restraint, have learned to deal with ambiguity, have been in key leadership positions, have supervised millions of dollars of equipment, have effectively led diverse teams, have worked well under pressure, bring real-world maturity to the workplace and are decisive problem solvers.

10. **Superb fiscal management skills and dedication to the nation's long-term fiscal health:** Bill Clinton was the last president to significantly reduce the deficit and leave office with a budgetary surplus, something very few presidents have even attempted to do.

Eleanor Roosevelt once noted the importance of life's experiences. She said, "You gain strength, courage, and confidence by every experience in which you really stop to look fear in the face. You are able to say to yourself, 'I lived through this horror. I can take the next thing that comes along.'" Let's hope the candidates for U.S. president in 2020 from all parties rise to the call.

Ritch K. Eich, former chief of public affairs for Blue Shield of California, has published four books on leadership. A retired captain in the naval reserve, he served on Congressional committees for Sens. Carl Levin of Michigan and Dan Coats of Indiana. He holds a Ph.D from the University of Michigan.

Values-Based Leadership: *Creating a Culture of Hope*

by Joseph P. Hester
Member, JVBL International Editorial Board

“Hope instills possibility and possibility, vision”

If nothing else is written or spoken about values-based leadership, one should understand – in all its forms – values-based leadership encompasses the purpose of creating a culture of hope within institutions, businesses, governments, churches, and families. Hope carries the power of possibility and when enhanced by moral vision engenders the courage needed for the activation of leadership that is values-based. Using a Biblical metaphor, the Apostle Paul was able to activate his faith-vision through the energy his hope provided. Paul provided a clue, “faith, hope, and charity.” One should notice in Paul that “charity,” or activating the potential of values-based leadership, carries the greatest weight. Hope is positive as it is moral, seeking the betterment of humanity, all humanity. Although processed through skill and intention, the moral dimension of hopeful leadership is intrinsic, discovered within the hearts of leaders, and can neither be quantified nor set to the tune of artificial intelligence.

But, let’s be realistic. Institutions – secular and religious – are from time to time a sanctuary for our biases and not a dynamic force of moral transformation. Thus, we are tasked with renovating our attitudes and actions toward others. Ethical renewal is possible as our humanity beckons, for it is our capacity for introspection, self-judgment, and creating positive relationships that are urging our moral capability making us fit for living with others. This is our hope, expressed as a vision of the possible.

Now arching toward maturity and supported by continuous research, we have learned above all else that the intrinsic purpose of values-based leadership is to create within society and the institutions of society, a culture of optimism and expectation. And this is not merely a social aspiration as expressed by utilitarian thinkers, or a spiritual hope found in major religious institutions, but a moral hope urging servant, spiritual, transformational and authentic leadership practices. From the feminist ethic of care, to those providing good reasons for being moral, values-based leadership possesses a nurturing quality seeking to support, in positive and explicit ways, all who come within its definitive wicker.

Writing as a retired educator and one who was trained in theology and moral philosophy, I cannot speak for business or governmental leaders. I have been an educational leader

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-serving in the central office of a large school district and for a time, a church leader and university professor. Through trial and error, I learned how to lead. Experience was my teacher. I discovered that leadership requires skill and patience, courage and care. By watching and listening to others, I gathered the courage to identify my values and activate these while leading church members, students, and staffs. Looking back and examining my motives, I discovered that if we are attentive to the voices around us, we learn that in every society, culture, and civilization, there can be discovered those who embrace moral principles and ethical behaviors. Along the way, analyzing their commonalities and differences, I discovered that fairness, equality, honesty, and service to others were attitudes and actions desired by all. For me, at least, their activation in my work allowed my growth and, hopefully, that of others as well. Even in times of disagreement and failure, through moral consistency, challenging and supporting those in my care was a source of hope.

Although we are a nation of immigrants, we have discovered certain democratic and religious values we share with each other. Uncovering these values could be a way of uniting Americans in a common social order. This was an issue at the beginning of the American Revolution separating those in the New England states from slave holders in the South. It remains an issue today as we are divided politically revealing the shaky underbelly of American moral values, especially our doubts and our fears.

The struggle of living together, of finding a common ethic to guide us, remains a persistent moral task. We are challenged to become more open, taking in the values, traditions, and cultures of others and learning from them. Some don't want this; they have a desire to keep those who are different out of America, out of their schools and out of their churches. They want to build a wall and close the doors to gender and racial immigration. They represent what is called "a closed society." Closed societies are problematic because they are supported by two fallacies:¹

- *The Privacy Fallacy* occurs when we think the values and beliefs, we use in public discourse cannot be critically discussed by others. We assume that because matters of conscience are private in the sense of being unforced and unlegislated, they are also private in the sense of personal preference. But is the public sphere a "conscience-free zone"?
- *The Liberty Fallacy* claims we're free to believe anything we desire to believe without any consequences. There is an inner connection here to the *Privacy Fallacy*. Somehow, the democratic principle of *freedom of belief* has mutated into an unthinking assumption that matters of belief and opinion don't really matter; but they do. We discovered this during the Civil Rights Movement of the 1960s and we are re-discovering it in 2019 as many desire Confederate statues to be removed from public places and walls built to keep Hispanics out. Choosing not to interfere with the freedom of others, some have supposed that one's values are immune from critical public inquiry. Yet, when our values are applied in the public

¹ Dacey, A., *The Secular Conscience, Why Belief Belongs in Public Life* (Amherst, New York, NY: Prometheus Books, 2008).

square, we open ourselves to public scrutiny and criticism. Self-reflection and social adjustment are required.

Let's think carefully about this for when we broaden our moral view to include our friends, work associates, communities and nation, our tendency is to agree there are certain virtues and moral principles that should be widely followed. This seems to be commonsense because we share many values in our cultural heritage and most all of us express faith in the principles of democracy. But what are those values which we commonly share? In 2019, it is difficult to tell.

If nothing else, values-based leadership is challenged to create within corporations, churches, and governmental bodies a culture of hope imbued with a sense of decency, honesty, and integrity. Hope instills vision and values-based leadership is tasked with projecting a moral vision. As Arthur Schopenhauer says, "Our brains are not the wisest part of us. In the great moments of life, when a man decides upon an important step, his action is directed not so much by any clear knowledge of the right thing to do, as by an inner impulse—you may almost call it an instinct—proceeding from the deepest foundations of his being." This impulse Schopenhauer calls *"the great power of moral discernment: it is something that a man instinctively feels to be his salvation, without which he were [is] lost."*² Is moral discernment missing in our religious and political wranglings? Without a doubt, values-based leadership awakens us to a new awareness of others, to purpose, hope, and to creative possibility. This is its authenticity as a leadership practice, carrying with it the possibility and responsibility of moral transformation.

Joseph P. Hester is an independent scholar and regular contributor to the *JVBL*. His extended biography is provided, *infra*."

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² Schopenhauer, Arthur Op. Cit.



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Rebuilding of the Temple and Renewal of Hope:

Leadership Lessons from Zerubbabel, Ezra, and Nehemiah

Abstract

The past three decades have been witness to a nascent but compelling body of literature on lessons in leadership for business derived from biblical narratives. The aim of this paper is to advance that effort. Specifically, this study considers the leadership of Zerubbabel, the governor of Judah who built the Second Temple on the ruins of the First, and that of Ezra and Nehemiah, who instituted reforms -- religious, financial, and agrarian. When Zerubbabel arrived in Judah from Babylon, the walls of Jerusalem were breached and the land was filled with people hostile to the construction of the Temple. This paper discusses mistakes made by Zerubbabel as a leader, how Ezra and Nehemiah rectified these errors, and demonstrates what leaders of today can learn from the issues pertaining to the Second Temple period.

Introduction

The past three decades have been witness to a nascent but compelling body of literature on lessons in leadership for business derived from biblical narratives. The aim of this paper is to advance that effort. The concepts of servant leadership (Greenleaf, 1991), covenantal leadership (Pava, 2003), and spiritual leadership (Fry, 2003) all have their roots in the biblical tradition. Robert K. Greenleaf (1991) first introduced the concept of servant leadership in 1970. Lynch and Friedman (2013) use the Bible to demonstrate that adding a spiritual component –encouraging personal growth and incorporating social justice themes into the work environment– to the concept of servant leadership makes it more complete as a leadership theory. Scholars have examined the lives of biblical figures such as Abraham, Joseph, and Moses in order to extract important leadership lessons (e.g., Baron & Padwa, 1999; Birnbaum & Herskovitz, 2009; Feiler, 2004; Feiler, 2010; Fischer & Friedman, 2017; Friedman & Hertz, 2016; Friedman & Langbert, 2000; Herskovitz & Klein, 1999, 2000; Laufer, 2006; Maxwell, 2002; Morris, 2006; Wildavsky, 1984; Woolfe, 2002).

The United States and many other nations are facing a serious crisis of leadership (Annan, 2016; Pearse, 2018; Shahid, 2014; Veldsman, 2016; World Economic Forum, 2014). The public distrusts leaders of all kinds of institutions including business, education, religion, government, and health care. One CEO posits that “capitalism has been slowly committing suicide” by moving away from stakeholder capitalism and becoming the kind of selfish, predatory capitalism that only cares about top executives and investors (Leonhardt, 2019). Many CEOs have been more concerned about current profits than manufacturing safe, quality products which, in effect, means the long-term strength of an organization is being sacrificed for short-term goals (Friedman & Kass, 2018).

George (2011) highlights the fact that “[w]hen leaders focus on external gratification instead of inner satisfaction, they lose their grounding.” He notes that leaders must “reframe their leadership from being heroes to being servants of the people they lead.” Leaders who believe that the purpose of leadership is to achieve “power, prestige, and money” are at risk of losing their way and even end up “violating the law or putting their organization’s existence at risk” (George, 2011). Leadership at its core must be about ethics (De Hoogh & Den Hartog, 2008; Kouzes & Posner, 2010, pp. 15-20; Northouse, 2018, p. 342).

Larry Fink, an investment manager at Blackrock responsible for \$six trillion in investor funds, has been urging CEOs to ensure that their companies did more than earn profits (Sorkin, 2019). It was crucial for the corporate world to also make a “positive contribution to society.” Fink writes that “profits are in no way inconsistent with purpose. Purpose is not the sole pursuit of profits but the animating force for achieving them.” He further stated that “[w]ith unemployment improving across the globe, workers, not just shareholders, can and will have a greater say in defining a company’s purpose, priorities and even the specifics of its business.”

Businesses have increasingly adopted a “doing-well-by-doing-good philosophy” (Kolhatkar, 2017). Blackrock has been introducing socially responsible funds that exclude industries such as coal, firearms, and tobacco (Sorkin, 2019). There is now a website that ranks America’s most “just” companies, defined as organizations that are “ethical, honest, and fair, and [behave] this way when it comes to its employees, customers, shareholders, and the environment, as well as the communities it impacts locally and around the world” (JUST Capital, 2019). It behooves firms to especially concentrate on “mission and purpose” because a recent Gallup poll indicates that is what millennials are motivated by, rather than by remuneration alone (Robison, 2019).

This paper studies the leadership of Zerubbabel (a contraction of two Hebrew words, *zarua b’Bavel* which means “conceived in Babylon”) who initiated the building of the Second Temple on the ruins of the First and then mysteriously disappears from the biblical record. Despite his considerable role in establishing the Second Commonwealth, Zerubbabel has been condemned to posthumous oblivion: “Zerubbabel is well known to biblical scholars specializing in the Persian period yet of minor notice to today’s average

worshipper, be he Jewish or Christian” (Lewis, 2005, p. 301).³ In addition, this paper also examines the leadership of Ezra and Nehemiah who completed Zerubbabel’s task and ensured the survival of the nascent polity with circumscribed political powers. We argue that the work of Zerubbabel was a necessary but insufficient condition for the revival of Judaism; the reforms — such as the remission of debts — of Ezra and Nehemiah were vital in establishing the Second Commonwealth on a base of social justice. Recent work in economics have recognized the need for a state to be tethered to a moral foundation and have called for the crafting of an ethical society (Collier, 2018; Stiglitz, 2019).

This paper calls attention to critical weaknesses of Zerubbabel as a leader and how his defects were corrected by Ezra and Nehemiah. Zerubbabel focused on the construction of the Second Temple without providing the security of a city wall. More serious still, was his failure to foster ethical values and principles of social justice in his flock. After all, a Temple is meaningless if there is no social justice. The problem of pointless sacrifices to God was emphasized by prophets such as Isaiah (1: 1, 17): “Why do I need your many sacrifices? Says the Lord... Learn to do good, seek justice, strengthen the oppressed, render justice for the orphan, plead for the widow.”

Without the ethical teachings and reforms of Ezra and Nehemiah, Zerubbabel would have been responsible for building a useless structure that did little to strengthen the values of the Jewish people. Leaving Judah before the task was complete for a better position as exilarch in Babylon is not what one expects from a great leader.

The Discrepancy of Approximately 166 Years Between the Two Calendars

There is a discrepancy of about 165 years between the chronology in the Seder Olam Rabbah, a second-century rabbinic chronological text, and that of the secular historians. According to the rabbinic chronology, the Second Temple stood for 420 years (from 348 or 350 BCE to 68 or 70 CE). There were four Persian kings — Darius the Mede, Cyrus, Ahashverosh (variant spelling, Ahasuerus), and Darius the Persian — and the Persian Empire spanned only 52 years (369 BCE to 317 BCE). Modern historians believe that the Persian Empire lasted for approximately 206 years and there were 10 Persian kings: Cyrus, Cambyses II, Darius I, Xerxes I (likely the Ahashverosh of the *Book of Esther*), Artaxerxes I, Xerxes II, Darius II, Artaxerxes II, Artaxerxes III, and Darius III. Thus, the Second Temple stood from *circa* 516 BCE to 68 or 70 CE, a total of 585 years. A key problem with Seder Olam Rabbah is that “[l]ike other rabbinic scholars, he believed that Zerubbabel (sixth century BCE), Malachi, Ezra, Nehemiah (all fifth century BCE), and Simon the Just (third century) were all contemporaries” (Rosenthal, 2007; for dating issues regarding the rebuilding of Jerusalem, see Edelman, 2005, pp. 80 -150).

³ One reason he has not been totally forgotten by lay people is that his name appears in the *Ma'oz Tzur* (O Mighty Rock), a song/liturgical poem recited after lighting the Hanukkah candles. The relevant phrase in the song is “When at Babylon’s demise Zerubbabel came — at the end of seventy years I was saved.”

Sinensky (2019) discusses five major approaches that have been used to explain the discrepancy between the two chronologies. He notes:

The rabbinic view raised a number of acute difficulties, including the biblical references to a variety of Jewish leaders and Persian monarchs who seemed to live in periods spanning more than 52 years. To resolve these dilemmas, in numerous instances the Talmud conflates seemingly distinct personalities. Malakhi was Ezra or Mordekhai (Babylonian Talmud, Megilla 15b). Zerubavel, a leader of the first wave of aliya, was Nechemia (Babylonian Talmud, Sanhedrin 38a). Cyrus, Artaxerxes and Darius were one and the same (Babylonian Talmud, Rosh Hashana 3b). While this pattern follows the larger midrashic tendency to conflate various biblical personalities, in regard to Shivat Tzion the trend is especially pronounced (Sinensky, 2019, para. 7).

The two chronologies – rabbinic and secular/academic – are from Steinsaltz (2018, p. 3) and are below (*Tables 1 and 2*).

Important Dates⁴

Table 1: Chronology of Events According to the Sages (Seder Olam)

Source: Steinsaltz (2018, p. 3)

King	Year BCE	Main Events	Prophets of the Era
Nebuchadnezzar	422	Destruction of the First Temple	Jeremiah, Ezekiel, Daniel
Cyrus the Great (3 years)	370	Conquest of Babylon by Cyrus the Persian and Darius the Mede Founding of the Persian Empire Edict of Cyrus Return of Zerubavel (Sheshbatar) and Yehoshua the High Priest to the Land of Israel Rebuilding of the altar and laying of the foundations of the Second Temple (Ezra 3:10)	
Ahashverosh son of Darius the Mede (14 years)	367	Death of Cyrus Temporary cessation of work on the Second Temple due to political interference by Israel's enemies (Ezra 4)	
	363	Crowning of Esther as queen of Ahashverosh, in the third year of his reign	
	354	Haman's plot and downfall	

⁴ This paper uses the dates of academic historians.

Darius (Artahshasta, 36 years)	353	Suppression of a revolt in the city of	Haggai, Zechariah
	348	Completion of work on the Second Temple (Ezra 6:15)	
	347	Return of Ezra to the Land of Israel (Ezra 7)	Malachi
	334	Appointment of Nehemiah as governor Rebuilding of the walls of Jerusalem and renewal of the Covenant (Nehemiah 10:1)	
	318	Conquests of Alexander the Great	

Table 2: Chronology of Events According to Most Historians

Source: Steinsaltz (2018, p. 3)

King	Year BCE	Main Events	Prophets of the Era
Nebuchadnezzar	586	Destruction of the First Temple	Jeremiah, Ezekiel, Daniel
Cyrus the Great	550	Founding of the Persian Empire	
	539	Conquest of Babylon by Cyrus	
	538	Edict of Cyrus Return of Zerubavel (Sheshbatar) and Yehoshua the High Priest to the Land of Israel	
	537	Rebuilding of the altar and laying of the foundations of the Second Temple (Ezra 3:10) Temporary cessation of work on the Second Temple due to interference by Israel's enemies (Ezra 4)	
Cambyses	530	Succeeded Cyrus as Emperor	
	525	Conquest of Egypt	
Darius the Great	522	Beginning of reign with the suppression of a revolt in the city of Babylon and in Persia	Haggai, Zechariah
	520	Resumption of work on the Second Temple (Ezra 4:24–6:14)	
	516	Completion of work on the Second Temple	
Xerxes (Ahashverosh)	486	Accusations against the inhabitants of Judah and Jerusalem (Ezra 4:6)	Malachi
	483	Crowning of Esther as queen of Ahashverosh, in the third year of his reign	

	474	Haman's plot and downfall	
Artaxerxes (Artahshasta)	458	Arrival of Ezra in the Land of Israel (Ezra 7)	
	445	Appointment of Nehemiah as governor Rebuilding of the walls of Jerusalem and renewal of the Covenant (Nehemiah 10:1)	
Alexander the Great	331	Conquest of the Persian Empire by Alexander	

Cyrus Encourages the Rebuilding of the Temple

This First Temple, built by Solomon, was destroyed by Nebuchadnezzar, King of Babylon in the year 586 BCE. Jeremiah (29:10) prophesied that the exile would last 70 years: "For thus said God: After 70 years for Babylon have been completed, I will attend to you and I will fulfill for you My favorable promise, to return you to this place."

In 539 BCE, Cyrus invaded and conquered the Babylonian Empire. He defeated the Babylonians in battle and became the king of the Achaemenid Persian Empire. Cyrus encouraged the rebuilding of the Temple (see Ezra 1: 1-4). Planning for the building of the Second Temple began with Sheshbazzar who was the governor after 538 BCE.

King Cyrus removed the vessels of the Temple of God, which Nebuchadnezzar had removed from Jerusalem and placed in the temple of his gods. Cyrus, king of Persia, had them removed by the hand of Mithredath the treasurer, who then counted them over to Sheshbazzar, the prince of Judah (Ezra 1: 7-8).

Several commentators (e.g., Ibn Ezra, Ralbag, and Metzudos) assert that Sheshbazzar was the Persian or Chaldean name for Zerubbabel. Others, such as Rashi claim that Sheshbazzar is Daniel. Schiffman (1991, p. 36) believes that Sheshbazzar was Zerubbabel's uncle and succeeded him as governor in 522 BCE. In any case, there was too much turmoil in Jerusalem and Sheshbazzar was not successful.

According to Schiffman (1991, p. 36), between 538 and 522 BCE, Zerubbabel left Babylon with a group of exiles numbering 42,360 (Ezra 2:64). This is a small number, indicating that the majority of the Jews living in the Persian Empire preferred to stay in the diaspora rather than go on a dangerous journey to rebuild a distant homeland in economic distress and surrounded by hostile peoples.

Among the dignitaries who came to Jerusalem with Zerubbabel were Jeshua, Nehemiah, Seraiah, Reelaiah, Mordechai, Bilshan (Talmudic scholars say that Bilshan is another name for Mordechai), Mispar, Bigvai, Rehum, and Baanah (Ezra 2:2). Many commentators state that Mordechai is the same person who appears in the *Book of Esther*. If so, he must have left Jerusalem to return to the diaspora, probably when construction of the Temple was halted. If Nehemiah is the same Nehemiah who authored the Book of Nehemiah, then he also left Jerusalem. Jeshua, son of Jozadak, the High Priest is also referred to as Joshua (e.g., see Haggai 1:1, 1:12; Zechariah 3:1, 3:3, 3:6, 3:8).

Disruption of the Rebuilding of the Temple

The city of Jerusalem lay in ruins and had few inhabitants. Israel had been split into two kingdoms in the time of Rehoboam, son of Solomon. The Southern Kingdom of Judah consisted of the tribes of Judah and Benjamin, and the Northern Kingdom of Israel consisted of the other Ten Tribes. The Ten Tribes were exiled first. The Assyrians conquered the Northern Kingdom in 722 BCE, dispersed the Ten Tribes, and brought in various foreign groups. The Ten Tribes disappeared, and the scholarly consensus was they assimilated.

Before the Temple was built, Jeshua the High Priest, Zerubbabel, and their brethren erected an altar so that they could immediately offer burnt offerings upon it. Commentators suggest that the purpose of the sacrifices was either to request God for protecting them from the surrounding hostile people (see commentary of Ibn Ezra) or to thank God for watching over them on the long, arduous journey from Babylon to Judah. They then observed the festival of Tabernacles (Ezra 3:3-4).⁵

The Samaritans, who believed in pagan deities along with the God of the Jews, wanted to help with the construction of the Temple. The Jews rebuffed their offer of assistance, and consequently the Samaritans vigorously opposed the building of the Second Temple, going so far as writing libelous letters to the Persian authorities (see Ezra 4).

The construction of the Temple was halted for about 18 years, and it was not until the ascension of Darius I to the Persian throne that the rebuilding was resumed. In the second year of King Darius, the prophet Haggai urged the Jews to erect the Second Temple (Haggai 1:1). The Temple was completed about 515 BCE. Scripture states (Ezra 6:15): “This Temple was completed on the third day of the month of Adar during the sixth year of the reign of King Darius.”

The Second Temple was modest and unassuming compared to the First Temple. The older people who remembered what the First Temple looked like were crying; the younger people were joyous and sang:

With praise and thanksgiving they sang responsively to the Lord: He is good; his benevolence towards Israel endures forever. And all the people gave a great shout of praise to the Lord, because the foundation of the house of the Lord was laid (Ezra 3:11).

⁵ There is a discussion in the Talmud to explain how sacrifices were allowed to be brought before the Temple was actually constructed.

Rabba bar bar Hana says that Rabbi Yochanan says: Three prophets ascended with them from the exile: One who testified to them about the size and shape of the altar, and one who testified to them about the proper location of the altar, and one who testified to them that one sacrifices offerings even if there is no Temple, provided that there is a proper altar (Babylonian Talmud, Zevachim 62a; translation by Sefaria.org).

It is surprising that the names of Zerubbabel and Joshua the High Priest are not mentioned at the inauguration of the Temple: “Then the children of Israel, the priests, the Levites and the rest of the exiles celebrated the dedication of the Temple of God with joy” (Ezra 6:16). One possible explanation is that this is because Zerubbabel was planning on leaving for Babylon right after the dedication ceremonies.

Question about the Need for Fasting

Chapter 7 of the Book of Zechariah sheds light on the reason for the destruction of the First Temple. During the fourth year of King Darius’s reign, corresponding to 518 BCE, Zechariah was asked the following question by the leaders of Judah who remained behind in Babylon. They made an inquiry concerning the observance of fast days that were instituted to commemorate the destruction of Jerusalem and the Temple. The most important fast day was Tisha B’Av (literally, the 9th day of the month of Av) in remembrance of the destruction of the Temple. The people living in the diaspora questioned the wisdom of fasting given that the Second Temple was being rebuilt.

God’s answer was that He does not seek the people’s fasting and mourning. Fasting is not imitating the way of God since He does not eat or drink. The people made a “precious land a desolation” by persisting in their evil ways:

This is what the Lord of Hosts says: Administer true justice, perform deeds of loving-kindness, and show compassion to one another. Do not oppress the widow, the orphan, the stranger, or the poor person. Neither shall any of you think in your hearts of wronging one another. But they refused to listen and they turned a rebellious shoulder and they made their ears hard of hearing (Zechariah 7: 9-12).

Zechariah declared that God’s message was that the Jews caused the fast and the mourning through their iniquity; what God desires is not fasting but transforming Jerusalem into a “city of truth” through justice and righteousness so that He could return to it (Zechariah 8: 3). God assured the people that the day would come when all four fast days would become days of joy.

Completion of Temple

As noted above, the Temple was finished around 515 BCE (Ezra 6:15). The prophets Haggai and Zechariah prophesied to the Jews that they would be successful in building the Temple and that it would not be disrupted again (Ezra 5:1). Hearing this, Zerubbabel and Jeshua “arose and commenced to build the Temple of God in Jerusalem. And the prophets of God were with them and assisted them” (Ezra 5:2). The prophecy that “Zerubbabel’s hands laid the foundations of this Temple and his hands shall complete it” (Zechariah 4:9) was fulfilled.

At the dedication of the First Temple built by Solomon, the *Shekhina* (Divine Presence) manifested itself. There was fire that came down from heaven to consume the burnt offering and the “glory of the Lord filled the Temple” (II Chronicles 7:1-2). At this inaugural ceremony of the Second Temple built by Zerubbabel, Scripture makes no mention of fire coming down from heaven and the glory of the Lord filling the Temple.

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The Talmud makes the point that the *Shekhina* did not rest in the Second Temple (Babylonian Talmud, Yoma 21b). Levy (n.d.) provides various reasons as to why the *Shekhina* did not rest on the Second Temple. Levy (n.d.) also points out that the dedication of the Second Temple is discussed in a “mere four verses” (Ezra 6:15-18). Compare that to the length of the description of the consecration of the Tabernacle, the portable Temple used when the Israelites left Egypt, in Leviticus 9 and Numbers 7 and the sanctification of Solomon’s Temple (66 verses – I Kings 8 and II Chronicles 5:2 – 7:1).

The Talmud suggests a reason that God did not manifest Himself at the dedication of the Second Temple: He was upset that only a small fraction of the Jews ascended to the Holy Land. Most remained behind in the diaspora.

Reish Lakish, who lived in Israel, was swimming in the Jordan River when Rabba bar bar Hana, who was a Babylonian, came and gave him a hand to help him out. Reish Lakish said to him: God hates you Babylonians, as it is written (Song of Songs 8:9): “If she be a wall we will build a silver turret upon her; and if she be a door we will cover her with cedar panels.” This is the meaning of the verse as it applies to the Jewish people: Had you rendered yourselves a solid bloc like a wall and all ascended to Israel in the days of Ezra, you would have been likened to silver, which is not subject to decay, in the sense that you would have merited experiencing the Divine Presence in all its glory. But now that you ascended like doors, and only some of you came to Israel, you are likened to cedar, which is subject to decay, and you merit experiencing only partial revelation of the Divine Presence (Babylonian Talmud, Yoma 9b; translation based on Sefaria.org and ArtScroll translations).

Disappearance of Zerubbabel

Scripture states that following the construction of the Second Temple, Ezra emigrated from Babylon to Judah in 458 BCE. He brought a letter from King Artaxerxes authorizing him and the Israelite exiles residing in the Babylonian kingdom, to travel to Jerusalem. Ezra was described as a “priest who has mastered the Book of the Law of the God of Heaven [i.e., the Torah]” (Ezra 7: 12). Ezra was given authority by the king to punish anyone who does not fulfill the law of God (Ezra 7:26). Ezra appointed 12 other priests to take care of the Temple’s treasures (Ezra 8: 24-30), even though he was a priest himself. There is a gap from the period when the Temple was completed until the arrival of Ezra (from approximately 515 BCE to 458 BCE). Little is known about what happened in that time period. Ezra found that the problem of intermarriage between the returned exiles and the Samaritans had become widespread and recognized that his task was to revive the spiritual and moral lives of the people. The question is what happened to Zerubbabel.

The Malbim, a 19th century biblical exegete, expounding on Haggai 1:1, citing the commentary of Don Isaac Abarbanel (1437-1508) explains that Zerubbabel would have been the Messiah had the Jews merited it (see Abarbanel on Haggai 2). Many of the prophecies actually hinted that he was a potential Messiah who would bring all the Jews back to Israel. Indeed, during the second year of King Darius’s reign, the prophet Haggai

exhorted the Jews that the time had come to rebuild the Second Temple. However, only a small number of Jews left Babylon for Judah so they were not worthy of complete redemption. This is why the prophet Zechariah affirmed (Zechariah 4:6): “This is the word of God to Zerubbabel saying: ‘Not through military force nor through strength, but only by My spirit.’” Zerubbabel was not supposed to wage war against the Persians and have himself crowned king since the time was not right for the Messiah. God would use His spirit to convince Darius to allow the Temple to be rebuilt.

Walzer (2012, p. 65) points out that Zerubbabel “harbored hopes for a restoration [of the Davidic dynasty] after the return from Babylonia.” But this did not happen. Zerubbabel was not crowned as king; his position was only that of governor working for the Persians, and he returned to Babylon after completing the Second Temple. This explains his abrupt “disappear[ance] from the historical record.” The shortcomings of the Jews that made them unworthy of redemption included intermarriage with foreign, idol-worshipping inhabitants of the land, desecration of the Sabbath, and the unwillingness of the majority to leave Babylon for Judah.

The Yalkut Me’am Lo’ez, an 18th Century commentary on the Bible in the Ladino language, also underscores that because the Second Temple was inferior to the First Temple, and it was apparent that the Messiah had not come, several prominent people – Daniel, Mordechai, and Zerubbabel – left Israel (Yalkut Me’am Lo’ez, Zechariah 7:10). The Talmud (Babylonian Talmud, Yoma 21b) discusses the five differences between the first and second Temples. The Second Temple was lacking the *Aron* (ark), *Kaporet* (ark cover), *Cherubim* (these three count as one); fire from Heaven; the *Shekhina* (Divine Presence); *Ruach HaKodesh* (spirit of prophecy); and the *Urim Vetumim* (a parchment with the ineffable name of God written on it that was embedded within the folds of the breastplate (*Choshen*) of the High Priest).

The Yalkut Me’am Lo’ez lists factors that made it clear to the people that the Messiah had not arrived (Zechariah 7:1), including the fact that the ingathering of all the exiles had not taken place. Moreover, much of the Holy Land was occupied by Samaritans and other non-Jews. The people also were aware that Zerubbabel was not a King of Israel but simply a governor who had some powers but the Persians were the true rulers of the country. There was also an awareness that the Divine Presence did not manifest itself. The Holy of Holies was an empty chamber without an ark.

Zerubbabel was disappointed that he would not be the Messiah, but was assured that one of his descendants would fulfill that role and build the Third Temple. Abarbanel sees the prophecy of Zechariah 4: 9 that “Zerubbabel’s hands laid the foundations of this Temple and his hands shall complete it” as a prophecy referring to Messianic times when Israel will be governed by descendants of Zerubbabel and Joshua the High Priest.

This prophecy in Zechariah (6:12-13) is difficult to understand, and commentators disagree as to its interpretation. The words uttered by Zechariah were:

And you shall speak to him [Joshua the High Priest], saying, So said the Lord of Hosts: Behold, there is a man whose name is the Shoot (Tzemach), who will spring up out of his place and build the Temple of the Lord. And he shall build the Temple of

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the Lord, and he shall bear majesty and he shall sit and rule on his throne. And the priest (kohen) shall be on his own throne and a counsel of peace shall be between the two of them (Zechariah 6: 12-13).

Because Zerubbabel never had a crown placed on his head, Abarbanel and other commentators regard this as referring to Messianic times. This verse may hint that had the people been deserving, Zerubbabel would have been crowned as the Messiah. Of course, this could not happen once Zerubbabel left for Babylon.

This passage from Haggai in which Zerubbabel is referred to as God's servant also intimates that Zerubbabel could have accomplished considerably more than just building the Second Temple.

Tell Zerubbabel, governor of Judah, that I am going to shake up the heaven and the earth. I will overthrow royal thrones and destroy the power of the foreign kingdoms. And I will overthrow chariots and their drivers; horses and their riders will fall, each by the sword of his brother. On that day, declares the Lord of Hosts, I will take you, O Zerubbabel the son of Shealtiel, My servant, and I will make you like my signet ring, for I have chosen you, declares the Lord of Hosts (Haggai 2: 21-23).

This prophecy of Haggai revoked that of Jeremiah cursing Jeconiah to be childless (Jeremiah 22:30). The Talmud makes the point that God had his vow annulled by the Heavenly Court (Babylonian Talmud, Sanhedrin 38a); otherwise, Zerubbabel would not have been born. He was a grandson of Jeconiah, penultimate king of Judah. God has his oath nullified after Jechoniah repented when he was in a Babylonian prison. The Talmud uses wordplay to indicate that Shealtiel, father of Zerubbabel, is a contraction of two words: *sha'al El* (God asked).

Zerubbabel, in fact, never destroyed the "power of the foreign kingdoms" as prophesied by Haggai (2:22) because he did not become the Messiah. Zerubbabel and Joshua the High Priest might have restored the Davidic monarchy, and all the exiles would have returned to a prosperous, secure, and independent Israel. As it happens, Ezra and Nehemiah did much to make the Holy Land prosperous and safe. Thousands of exiles did eventually return from the diaspora. In the times of the Hasmonean dynasty, the Jews achieved independence for a while.

Sellin (1898) suggests that Zerubbabel was actually treated as the Messiah by the people and was crowned as King of Judah but was then executed by the Persians. The latter would not have been happy with his royal and messianic pretensions and seen this as a rebellion. Some claim that the Persians did not execute him but removed him as governor (see Goswell, 2010). This approach answers the question of what happened to Zerubbabel, however Abarbanel's solution is more plausible. If Zerubbabel was executed (or removed from office) by the Persians, it would have been noted in Scripture. According to *Seder Olam Zuta*, a ninth century work that is based on and continues the chronology of *Seder Olam Rabbah*, Zerubbabel returned permanently to Babylon in order to assume the position of exilarch, lay leader of the Jewish community in Babylon. Eisenstein (1935) and Hirsch and McLaughlin (1906) both state that there is a Jewish

tradition that Zerubbabel went back to Babylon. The apparent reason for Zerubbabel's departure was that he was not crowned the Messiah.

As an aside, there is a seventh century, medieval apocalyptic work, the *Book of Zerubbabel*, that describes the revelation Zerubbabel receives from the angel Metatron regarding the final redemption, i.e., the Third Temple. It was probably composed during the period when the Byzantine Empire was fighting with Persia over control of the Holy Land. Two new figures are described in the Book: Hephzibah, mother of the Messiah, who is an important warrior and Armilos, son of Satan (Reeves, 2013). Abraham Ibn Ezra in his commentary on Exodus 2:22, underscores the point that the *Book of Zerubbabel*, like many other apocryphal works, is not reliable. Despite this, Reeves (2013) asserts: "Sefer Zerubbabel's importance for the history of medieval apocalypticism cannot be overstated."

Ezra Arrives in the Holy Land

There is some controversy as to the date Ezra arrived in Jerusalem. He did not come alone and was accompanied by thousands of people. The verse states that he arrived during the seventh year of the Persian King Artashast's reign (Ezra 7:7). Artashast is usually translated as Artaxerxes I, but some believe that he arrived during the reign of Artaxerxes II. Wright (2005) discusses the problems with dating Ezra's arrival and concludes that Ezra came to Jerusalem in 458 BCE and Nehemiah arrived 13 years later in 445 BCE. Angel (2009) also accepts those as the dates when Ezra and Nehemiah arrived in Jerusalem.

The return of the Jews from exile would have been of little value if the people returned to their old ways. It was crucial to rebuild Jerusalem on a foundation of social justice and ethical monotheism. Had Ezra and Nehemiah failed in this mission, the Jewish people may have disappeared 2,500 years ago.

The first major challenge that confronted Ezra when he arrived in Jerusalem in 458 BCE was that "the people of Israel, the priests and the Levites, have not separated themselves from the people of the land.... For they have taken from their daughters for themselves and for their sons, and mixed the holy seed with the peoples of the land" (Ezra 9:1-2). One of the most dramatic and intense episodes in the *Book of Ezra* is the crisis over intermarriage (Ezra 9:2). Mixed marriages between Jewish men and foreign, pagan women was not a small issue since the women marrying Jews did not give up their idolatrous beliefs for monotheism. Ezra was a person of vision and understood that these women posed a threat to the future of the Second Commonwealth. Ezra knew that the Jews were given a "brief moment" or a temporary reprieve by God (Ezra 9: 8) and that there was no guarantee that the "surviving remnant" would be allowed to stay in the Holy Land if they continued their wicked ways. The children were unaware of the Torah and their heritage, with many not even speaking Hebrew. The Jews were becoming more like Samaritans.

This may explain Ezra's strong reaction upon hearing that it was not only the common people who had intermarried: The priests, Levites, and the officers did so too. Moreover,

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the Jews were doing the same “abominations” as the Canaanites, Hittites, Perizzites, Jebusites, Ammonites, Moabites, Egyptians, and Amorites (Ezra 9: 1-2). Scripture (Ezra 9:3) states: “And when I heard this, I rent my garment and robe, tore out the hair of my head and beard, and sat forlorn and bewildered.” Ezra began to weep and referred to “our iniquities” and that “we have forsaken Your commandments” (Ezra 9: 6-10). Ezra understood that the Torah had to become the blueprint for the Second Commonwealth. By taking responsibility and including himself in his criticism of Jews, he was able to get all the people to cry. Shechaniah said to Ezra:

We have been unfaithful to our God by marrying foreign women from the peoples around us. But in spite of this, there is still hope for Israel. Now let us make a covenant before our God to send away all these women and their children, in accordance with the counsel of my lord and of those who fear the commands of our God. Let it be done according to the Law (Ezra 10:2).

The medieval French-Jewish commentator Gersonides (also known as the Ralbag), opined that Ezra did not want to have an ugly confrontation with the people over the issue of mixed marriages. This would have been a battle that would have negative outcomes for all sides. It is likely that the people would not have listened to Ezra had he publicly berated them over this issue. His approach of using an emotional appeal was considerably more effective. Ezra was attempting to establish a new polity — actually, “a community with limited autonomy which would be grateful and loyal to Persia” (Margalith, 1991) — built on morality and spirituality. Fighting with the people over this may have resulted in resistance. Intermarriage was a sensitive issue because it is not easy banishing a beloved wife even if she wanted to continue worshipping pagan deities. Ezra’s approach, which involved including himself in the “iniquities” and showing the people how painful this was to him was a better way. A good leader knows when it is better to use moral suasion than threats. By indicating that he was part of the people and not invoking his authority, he accomplished his goals.

The *Book of Ezra* ends with the people agreeing to banish their foreign wives. The Talmudic sages admired the accomplishments of Ezra and compared him to Moses. The Talmud states (Babylonian Talmud, Sanhedrin 21b): “Had Moses not preceded him, Ezra was worthy for the Torah to have been given to Israel through him.” Both were moral and spiritual leaders and ensured that the Second Commonwealth would be established on a strong foundation.

Arrival of Nehemiah

Nehemiah, cupbearer for the king of Persia, arrived in the Holy Land 13 years after Ezra in 445 BCE. Scripture states that “he wept, mourned, fasted, and prayed” when he heard how badly things were going for the remnant of Jews that were in Jerusalem. The breached wall was just one of many problems that needed a leader (Nehemiah 1: 2-5). In ancient times, walls provided security for the city against invaders. Scripture recounts:

They [Hanani and the men of Judah] said to me, “Those who survived the captivity and are back in the province of Judah are in great misery and disgrace. The wall of Jerusalem is broken down, and its gates have been burned with fire.” When I heard

these words, I sat down and wept and mourned for days, and I fasted and prayed before the God of heaven (Nehemiah 1: 3-4).

He was permitted by the King Artaxerxes to depart for the Holy Land. The broken wall of Jerusalem was not the only problem Nehemiah faced. The problem of intermarriage reappeared. It seems that despite Ezra's accomplishments, the Jewish men again gave in to temptation and were marrying the idolatrous, foreign women (see Gersonides commentary on Ezra). Nehemiah was now the governor of Judah and took a different approach than Ezra to the problem:

Also in those days, I saw men of Judah who had married women from Ashdod, Ammon, and Moab. Half of their children spoke the language of Ashdod or the language of one of the other peoples and did not know how to speak the language of Judah. I quarreled with them, and I cursed them, and I beat some of the men, and I pulled out their hair. I made them take an oath in God's name and said: "You are not to give your daughters in marriage to their sons, nor are you to take their daughters in marriage for your sons or for yourselves." Was it not because of marriages like these that Solomon king of Israel sinned? Among the many nations, there was no king like him. He was beloved by God, and God made him king over all Israel, but even he was led into sin by foreign women (Nehemiah 13: 23-26).

The verse states that Nehemiah "pulled out *their* [the people's] hair," whereas Ezra pulled out his *own* hair. Some scholars attribute these differing approaches to a difference in leadership styles (Angel, 2009; Coggins, 2012). A simpler explanation is that Ezra had to deal with a new problem. He solved it in a way that did not cause any strife. This fix lasted for several years before reappearing on Nehemiah's watch. Ezra's softer approach generally did not work, and some men succumbed to marrying pagan women. Nehemiah, on the other hand, took a hardline approach to the mixed marriage issue.

One of Nehemiah's first tasks was to rebuild the city wall around Jerusalem. This was a daunting undertaking given that the Jews had many enemies such as Sanballat the Choromite, Tobiah the Ammonite, and Geshem (Nehemiah 2:19) who conspired to attack the Jewish workers (Nehemiah 4) during construction. Nehemiah had to station guards to protect the workers and "[t]hose building the wall and the carriers burdened by the loads did the work with one hand while the other held a weapon" (Nehemiah 4:11). The wall was speedily built in 52 days (Nehemiah 6:15). Foreigners were so impressed with how fast the wall was constructed that they attributed it to Divine Providence (Nehemiah 6:16).

Nehemiah had to deal with another serious situation: the exploitation of the poor Jews by the wealthy in the Jewish community he was desperately trying to rebuild. It is worth observing that the debtors had to bring their children "into bondage" in order to pay off their debts:

And there was a great cry of the people and of their wives against their brothers the Jews. For there were those that said: "We, our sons, and our daughters, are many: therefore, we must buy grain for them, that we may eat, and live." And there were

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those that said: “We have mortgaged our fields, vineyards, and houses, that we might buy grain, because of the famine.” And there were those that said: “We have borrowed money for the king’s taxes, and that on our fields and vineyards.” Now, our flesh is as worthy as the flesh of our brothers, our children as worthy as their children: yet, see, we bring into bondage our sons and our daughters to be servants! Some of our daughters are brought to servitude already: neither is it in our power to redeem them; for other men have our fields and vineyards (Nehemiah 5: 1-5).

Nehemiah understood that without social justice, the Jews would have no future. He succeeded in convincing the nobility to remit the debts and restore the forfeited fields of the poor. This type of financial and agrarian reform was unheard of in its time, and represents one of the earliest examples of progressive land reform. Nehemiah did not place heavy tax burdens on the people as did his predecessors (Nehemiah 5:15) and was known to host a huge number of people at his table daily (Nehemiah 5:17).

Public Reading of the Torah on Rosh Hashanah (Jewish New Year)

After the wall was built and Nehemiah resolved the difficulty posed by the crushing debt of the people, the Jews asked Ezra to bring the Torah and read it for them (Nehemiah 8). This occurred on the first day of the seventh month, i.e., Rosh Hashanah. At the first public reading of the Torah, Ezra read the Torah from a wooden platform so that everyone could hear him. The people were weeping when they heard the words of the Torah (Nehemiah 8:9). They began to realize that they were not obeying its laws. Nehemiah, Ezra, and the Levites told the Jews not to mourn or weep for this was a joyous day.

The people were told to go home and eat a sumptuous meal with sweet drinks. They were further advised to make sure to send food to those who had nothing prepared to eat (Nehemiah 8: 10). The people repented on the 24th day of the month and bound themselves with a curse and oath to follow the Torah of God that was given through Moses (Nehemiah 10:30). Thus, Ezra and Nehemiah were successful in having the Jews commit themselves to living a life based on the Torah. Ezra and Nehemiah caused a spiritual awakening and religious revival that stand in marked contrast to the less successful efforts of the great prophets such as Isaiah and Jeremiah.

Ezra and Nehemiah wrote the *Omana*, the “first constitution in any people’s history,” an [endeavor] “proved everlasting” (Weisel, 1991, p. 130). The *Omana* described in Nehemiah 10 was a lasting covenant that declared that the people would obey God’s law. Hope for the future of the Jews, then, was renewed. The first signature on this document was that of Nehemiah; Ezra’s signature was not on it, one theory being that Azaryah is Ezra (Weisel, 1991, p. 131).

Nehemiah was not averse to using force. This is illustrated by the issue of the desecration of the Sabbath. The Jews were conducting commercial activities on the Sabbath such as “treading on winepresses,” “loading their donkeys,” and selling produce (Nehemiah 13: 15). Nehemiah quarreled with the dignitaries of Judah over this violation (Nehemiah 13: 17). He stationed his youths over the gates to ensure that no one could

enter the city on the Sabbath to conduct business. When he saw that merchants were congregating outside the walls of Jerusalem to conduct business, he warned them that he would send his army against them, thus successfully putting a stop to Sabbath desecration (Nehemiah 13: 21).

The Great Assembly

Both Ezra and Nehemiah were key members of the Great Assembly (*Anshei Knesses HaGedolah*), founded by Ezra, that established many of the customs Jews have today. It served as a legal body and consisted of 120 people. Some of the accomplishments of the Great Assembly include (Wein, 1995, pp. 13-15; 2012):

- Closing the biblical canon – the 24 books that make up the Hebrew Bible
- Composing the words that make up the key prayer recited three times daily, the Amidah (the *Shemoneh Esrei*, 18 blessings) as well as surrounding prayers. This prayer is still used today.
- Developing a permanent calendar so that Jews all over the world know when to celebrate holidays.
- Changing the Hebrew alphabet from Old Hebrew (Paleo-Hebrew) to the familiar current form.
- Establishing a system of education in Israel and a Sanhedrin that could act as a supreme court for all of Jewry.

Sacks (2009) argues that the synagogue was a revolutionary concept and made possible by the formulation of prayers by the Great Assembly. What was unique about the synagogue was that its portability, it could be built anywhere in the world as a place of study and prayer. Once prayer replaced animal sacrifice and did not require a Temple, Judaism became a religion that could survive anywhere. Wein (2012) observes the following about Great Assembly:

They not only closed the breaches in the physical walls of Jerusalem, built the Second Temple and set the foundation for the Second Commonwealth (the Second Temple era), but set the spiritual foundation and built the spiritual walls of the nation for the foreseeable future lasting to this day (Wein, 2012, para. 2).

Conclusion

The major accomplishment of Zerubbabel was the building of the Second Temple. However, this achievement would have been of little value if the Jewish people had disappeared because of intermarriage with foreign, idol-worshipping inhabitants of the land. Without the efforts of Ezra and Nehemiah, the Jews would have assimilated and joined the pagans inhabiting Judah. Ezra and Nehemiah put into place a system that would last for hundreds of years until the Romans destroyed the Second Temple in 68 or 70 CE. Even after the destruction of the Second Temple, the policies established by Ezra and Nehemiah ensured the survival of the Jewish people in many different social and political climates throughout the diaspora. When Ezra and Nehemiah started their reforms, any small mistake could have derailed their efforts.

Zerubbabel did not recognize the importance of establishing the Second Commonwealth on a foundation of righteousness and justice. This paper contends that by leaving the Holy Land for Babylon, he made it clear that if he could not be crowned as the Messiah, there was no point in his staying. He did not realize that building the Second Temple was only the first step. Without social justice and ethical values, would be a purposeless structure. The more crucial undertaking, even more important than building the Temple, was working with the people to teach them the values of the Torah. They both understood that the Temple was not sufficient; the Torah had to become the blueprint for the Second Commonwealth.

Friedman and Kass (2018) describe the “substance over form” problem that is a serious issue in measuring the true performance of leaders. CEOs and politicians should be more concerned with the long-term viability of their organizations. Instead, they tend to be more interested in expansion rather than safety and reliability. This means that sometimes the long-term strength of an organization is sacrificed for short-term goals. Congress has been known to spend huge sums of money on bridges to nowhere.

The infrastructure of the United States is in trouble because of such short-term thinking. Ten percent of all bridges (58,495 out of 609,539) in the United States are considered structurally deficient (Cardno, 2016). The American Society of Civil Engineers [ASCE] has identified 17% of American dams (15,498) as potentially dangerous (American Society of Civil Engineers, 2017). Politicians would rather invest in something new rather than maintaining and repairing old infrastructure (Friedman & Kass, 2018). Zerubbabel suffered from this problem. He must have felt that the construction of the Second Temple was sufficient. Repairing the wall and getting the people to renew their covenant with God was only of secondary importance and could be left for others. Zerubbabel placed the entire Second Commonwealth at risk by not staying in Israel.

Sacks (2017) posits that a major idea contained in Deuteronomy is that a civilization will fail when it loses its spiritual bearings and compassion for the poor. According to Sacks (2017), one of the Torah’s greatest insights was that only faith, righteousness, and morality could save a society from decline and fall:

Inequalities will grow. The rich will become self-indulgent. The poor will feel excluded. There will be social divisions, resentments and injustices. Society will no longer cohere. People will not feel bound to one another by a bond of collective responsibility. Individualism will prevail. Trust will decline. Social capital will wane (Sacks, 2017, p. 2).

Ezra and Nehemiah were spiritual leaders and did not use their positions for personal enrichment. They viewed their primary role to build a nation on a foundation of ethics and social justice.

The lesson learned from Zerubbabel is that a leader must be concerned for the long term. Without a wall surrounding the city, the Temple could easily have been destroyed. Zerubbabel should not have left for Babylon after building the Temple. At the very least, he should have stayed in Judah to secure the city and work with the people to transform Jerusalem into a “faithful city” and “city of righteousness” (Isaiah 1: 26). A Temple can

become meaningless if the people are unjust and do not care for the poor and the helpless.

The work of Ezra and Nehemiah – the agrarian and financial reforms and the authorship of a constitution based on the values of the Torah – was the underpinning of a just and ethical society. It was because of the vision, moral clarity, and leadership of Ezra and Nehemiah that a local construction project started by Zerubbabel in a provincial backwater of the far-flung Persian Empire resulted in the revival of Judaism and ended in a call for social justice.

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Implementing Leader Development That Counts

Abstract

Effective leader development is too often the first casualty of high demands placed on leaders, from corporate America to the U.S. military. These entities' leader development programs and workforce feedback reveals insufficient strategies and competing priorities. Organizations succumbing to these obstacles unknowingly find themselves trapped in adverse cycles of leadership

development, perpetuating undernourished talent and mediocre performance. This problem will not fix itself. Organizations must refocus efforts to understand and implement a leader driven, interpersonally focused, and culturally ingrained brand of leader development to maximize available talent and craft their envisioned organization.

Introduction: The Team's First Casualty Is Usually Leader Development

Competing demands on organizational leaders are absolutely destructive to talent development. These demands overload and derail even our best over time. The disruptive effect is similar to the freefall experience of U.S. military airborne operations. Upon exiting the aircraft traveling at 130 knots, the jumper freefalls six seconds as the main parachute deploys. In this turbulent stage there is complete sensory overload. The only appropriate action is inherently individual and short sighted—to keep a tight body position until the shock passes. Similarly, today's leaders are consumed with day-to-day operations, reports, mergers, and reviews. Just like the jumper, leaders must prioritize the immediate, and not the surrounding talent.



A U.S. Army parachutist holds a tight body position upon exiting the aircraft as the parachute inflates (Clark, 2018). The sensory overload is akin to overwhelming priorities facing today's leaders.

As the parachute fills with air, now seconds from impact, the jumper can at last gain awareness of the sky and ground. Overwhelmed with priorities, leader and jumper alike are likely to find themselves in unexpected or unwanted territory, drifting toward hazards. At this point, it is too late for major course correction. The team's underdeveloped leaders cannot adequately deliver in these conditions. Still short on fully actualized talent and long on competing tasks, leaders trapped in this adverse cycle must again reassume a tight body position. Effective leader development is the casualty once more. It is in this moment leaders realize their team is not making the leaders

they want and need for their organization.

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Defining the Problem: The Adverse Leader Development Cycle

Leadership development is lacking in both the military and civilian sectors. The Center of Army Leadership Annual Survey of Army Leadership (CASAL) examined the quality of leader development using survey data from across the force covering 2005-2016. In the ten-year survey, ‘Develops Others’ consistently ranked as the poorest leadership attribute across all leader cohorts with less than two-thirds rating their supervisor as effective and nearly one-fifth rating their supervisor as completely ineffective (Cavanaugh et. al., 2016, 89). In similar studies, Korn Ferry repeatedly found ‘Develops Others’ among the lowest of 67 ranked managerial skills (Orr and Sack, 2009, 9). Likewise, a Society for Human Resource Management study revealed over one-third of HR professionals rated leader development as ‘a little’ to ‘not at all’ effective with nearly half reporting necessary improvement to participant engagement (“Leader Development,” 2016, 7).

This development gap is neither malicious nor deliberate. Rather, it is the result of constrained leaders and the breakdown of strategy to connect vision, leader, and subordinate preferences. These constraints incentivize short term performance over long term growth, creating results-based cultures and impersonal leader development systems. This near sightedness leaves organizations trapped in a cycle of adverse leadership development perpetuating underdeveloped leaders. As commonly occurs in organizational crisis, leaders face an apparent paradox whereby the right short-term actions are fruitless in the long run (Drucker, 2009, 3).



Contributing Factor 1: Competing Priorities. The first key obstacle facing today’s leaders is scarce time driven by competing organizational priorities. CASAL captured this effect with 25% of active duty respondents reporting workload stress as a serious challenge—a number that steadily rose across the survey’s history (Cavanaugh et. al., 2016, vii). This trend coincides with the Army’s adoption of the Sustainable Readiness Model (SRM) that transitioned the force from repeated low-intensity deployments in Iraq and Afghanistan

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to readiness for larger, full-spectrum conflict (Lopez, 2017). SRM greatly increased median Brigade Combat Team readiness, but at the cost of increased time constraints. This reduced the resources available, especially time, to develop talent. Leaders protect and allocate subordinate time based upon entrenched organizational culture, and if needed personal conviction. In perpetually stressed environments, cultures begin to focus on day-to-day results. As a result, leader development is increasingly volatile and inconsistent, reliant on the beliefs of individual leaders rather than consistent systems. Regardless of the organization, successful leaders will have to manage a growing list of priorities without a growing list of resources; leadership development will likely only occur on their own time.

Contributing Factor 2: Strategy Breakdown. A second obstacle to leader development is poor organizational strategy. To be most effective, an organization's leadership development plan links both the strategic outlook and the changing desires of its workforce. This connects and enforces ends, ways, and means at each level. Leader and participant ownership is strongly correlated to this strategic connection ("Leader Development," 2016, 8).

Yet too many teams show a deliberate break between strategic vision, leader, and subordinate preferences. Like any other facet of the organization, a team's strategic assumptions on leadership development must match the changing environment. However, organizations are often unable to adapt their business theories to evolving reality (Drucker, 2009, 7). Forty-eight percent of HR professionals reported the need to improve the team's leader development support to corporate strategy—a staggering figure reflecting this key structural breakdown ("Leader Development," 2016, 21).

The Army Leader Development Strategy (ALDS) exemplifies how an originally holistic strategy can fall short by failing to align with the evolving desires of its workforce. ALDS and supporting Army leadership manuals combine for an incredibly holistic development regimen. The strategy features three developmental pillars training, education, and experience across three component domains including institutional (such as professional military ethic schooling), operational (time in deploying units), and self-development (U.S. Army, 2013, 10). ALDS captures key actions and attributes within each pillar and domain, guiding development throughout a leader's career.

However even the best development strategies can grow inadequate when not aligned with reality, in this case changing employee values and expectations. Army leaders prefer to work with other leaders strong in personal interaction skills such as role modeling, coaching, teaching and mentoring. An Army officer survey conducted by RAND identified these desired characteristics as second to only operational experience (Schirmer et. al., 2008, 24). This Army trend follows larger societal norms. Meaningful interpersonal relationships are commonly the missing piece for the entire millennial generation (Sinek, 2016). In world of high employee turnover and flattened hierarchies, information sharing replaces authority to garner worker loyalty (Drucker, 2009, xv). While not intended to be all encompassing, ALDS efforts underplay the critical effect of coaching relative to its evolving employee preferences. Unlike the overall conflicting priorities and constraints, organizational leader development doctrine at each level shows the greatest promise for

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positive action. For instance, ALDS can more accurately reflect the desires of the force by adding a fourth developmental pillar ‘coaching’ to formally require Army leaders across all domains to provide coaching, teaching, and mentoring to soldiers at every organizational level. Due to this strategic mismatch of preferences and execution, it is no wonder that Army leader development quality is marked by inconsistency (Schirmer et. al., 2008, XIX).

The opportunity cost incurred by these obstacles against efficient leader development programs is exceedingly high in future environments. Deloitte’s 2018 Global Human Capital Trends Report projects an expanding role for organizations from normal business enterprise to social enterprise. Businesses will compete in environments characterized by an increasingly hyper-connected and empowered population searching for new sources of societal leadership (Agarwal et. al., 2018, 2-7). Similarly, the U.S. Army Multi-Domain Battle Concept projects how the Army envisions land warfare from 2025-2040. The concept describes an increasingly complex and contested operating environment occurring above and below the threshold of armed conflict (U.S. Army, 2017, 5-7). In this future setting, teams must reorganize for constant change by improving their ability to systematically innovate (Drucker, 2009, 55). Organizations must recognize and break the Adverse Leader Development Cycle or risk going into these future environments with an inadequate and overtaxed cadre of trusted leaders.

Defining Components of the Solution for Frontline Leaders

As former Army Chief of Staff General Raymond Odierno once noted, an organization’s people are its competitive advantage to negotiate challenges with positivity and efficiency (Odierno, 2015, 9). While frontline military and civilian leaders cannot solve competing priorities or strategic breakdowns, they are still the organization’s lubricant that protects its people and accomplishes its goals. Leaders can implement better development procedures while operating decentralized within their team through three broad, interrelated components to succeed in the evolving future environment:

- #1 *Leader Driven*—providing purpose, foresight, follow through, and example.
- #2 *Interpersonally Focused*—empower through coaching, teaching, mentoring.
- #3 *Culturally Ingrained*—developmental culture facilitating mutual trust.

Component One: Leader Driven. A leader’s impact on talent development is central in adapting to the organization’s environment. Ninety percent of HR professionals believe it important to program effectiveness (“Leader Development,” 2016, 8). This is seconded in the military where changes in leadership have “...a profound effect on the content, frequency, and quality of leadership development activities” (Schirmer et. al., 2008, XVII). Leaders, not HR specialists, must bring purpose and own the development of talent as much as the results. Ironically, driving leader development also entails ceding control and empowering others. Leaders exhibit Charles Duhigg’s “leader modeling” both individually and in groups by actively listening, admitting mistakes, and resolving conflict in open discussion (Duhigg, 2016, 69). Teams with proven leaders that personally drive talent growth at multiple organizational levels maximize powerful in-group effects within the workforce. “Winners understand that learning, teaching, and leading are inextricably

intertwined...It is hard-wired into everything they do” (Tichy, 2007, 14). The most successful teams expect managers to lead by developing others.

Component Two: Interpersonally Focused. Successful organizations will focus on individualized coaching, teaching, and mentoring. Interpersonal leader-to-leader development is the most impactful and efficient use of scarce leader time. HR professionals label coaching (70%), leader-to-leader development (68%), and mentoring (60%) as three of the top four most important development methods of the near future (“Leader Development,” 2016, 9). These methods are key, especially for young leaders, to overcome the large skill and identity transitions necessary from an individual contributor role to leadership and managerial positions today (Cast, 2018, 42). Without interpersonal feedback, even the best talent risks derailing future performance (Cast, 2018, 13).

Coaching, teaching, and mentoring are most influential when leaders seek to develop talent “without boundaries,” treating subordinate’s personal and professional outcomes in equal esteem (Campbell, 2017, 62). This developmental mindset enables the leader to understand their people, what is truly monumental to them, allowing leaders to better anticipate how others react and empower leaders to deal with conflict (Campbell, 2017, 133). Interpersonal development does not replace technical professional development required for specific roles. Rather, it is the primary means by which a team facilitates and delivers its talent development. Interpersonal development drives more positive externalities. Leaders can better manage workforce relationships that extend outside the organizational structure such as the customer or host-nation population. Further, this connection eases the ever-expanding automation and globalization that separate leader, worker, and consumer (Agarwal et. al., 2018, 7-8).

Component Three: Culturally Ingrained. Finally, successful programs must be part of a larger developmental culture facilitating mutual trust. A culture is derived from collective norms—unspoken group consensus—which develop over time to define appropriate behavior and serve essential roles in the shaping team member experiences (Duhigg, 2016, 45-46). Psychological safety is one such norm that acculturates strong team member behavior. Mutual trust and respect between members and echelons of a team enable individual action without fear of reprisal (Duhigg, 2016, 50). Trust optimizes individual risk taking within groups to best facilitate collaboration. Military and civilian research supports the importance of mutual trust. CASAL found mutual trust between senior and junior leadership is the largest factor to active duty leadership satisfaction (Cavanaugh et. al., 2016, 10). Google’s Project Aristotle reported psychological safety, or mutual trust, as superior to all other group productivity components, including individual talent (Duhigg, 2016). Psychological safety will be essential for subordinate and leader to implement interpersonal development, in particular to give and accept feedback, make mistakes, and improve in a timely manner. Organizational cultures that embrace leadership development as an expectation rather than aberration, as a process rather than event, will find sustainable talent growth. Driven by engaged leaders and focused on its people, a team’s leader development program can become a culturally engrained value to be truly leveraged as competitive tool over time (Tichy, 2007, 132).

Implementing the Solution for Frontline Leaders

Given the high costs of talent failure, leaders must take action to prevent cycles of adverse talent development. This requires concrete, tactical action by leaders. Leaders can negotiate known problems and integrate components of future successful talent development while decentralized into their piece of the organization through four steps:

- #1 *Commit to a Leadership Framework Model*—guide yourself and your team.
- #2 *Identify the Impactful Inputs*—understand your people and what is important.
- #3 *Make the Time*—invest in your people with powerful events.
- #4 *Identify the Measures of Effectiveness*—assess, learn, and grow.

Step One: Commit to a Leadership Framework Model. The first step to implement better leader development is to commit to a leadership framework. Frameworks provide focus and expectations to senior and junior leader alike, establishing leadership standards to measure developmental and performance needs. When linked with the higher organization's leadership development plan, frameworks can fill voids left by strategic gaps. Leaders can start with a known framework or adapt multiple models such as the U.S. Army Leader Requirement's Model: Character, Presence, Intellect Leads, Develops, Get Results (U.S. Army, 2013, 7) or Patrick Lencioni's Ideal Team Player: Humble, Hungry, and Smart (Lencioni, 2018, 153). Ideally an organization chooses a model to best fit the culture and people. A team's leadership model works best when driven by a shared vision, personalized to the collective future, and communicated throughout the organization. Leaders further democratize the developmental experience and establish culture by building this framework with subordinates. Once established, the framework becomes a guide for both leader and team to focus scarce resources through turbulent days and competing priorities.

Step Two: Identify the Impactful Inputs. Leaders identify critical inputs to better understand their people and each other given known scarce resources. Impactful inputs facilitate 'teachable moments' that allow both leader and subordinate to draw and deliver higher levels of understanding from their experiences (Tichy, 2007, 62). The biographical sketch is one method that cuts the learning curve for both leader and worker, facilitating interpersonal development and a developmental culture. The sketch is a personal narrative shared between supervisor and subordinate focusing on powerful information such as passions, fears, crucibles, goals, personality type, and communication preferences (Campbell, 2017, 123-124). It is a tool of trust, allowing both sides to offer transparency early in the working relationship. The sketch also serves as a guided self-reflection exercise between leaders. Similarly, the 360-assessment allows team members to receive feedback tailored to the organization from all levels to truly see themselves. These assessments are best conducted when the team knows they are confidential, regular, and developmental not evaluation focused. Again, leaders drive this process by sharing their results to establish the environment of mutual trust and debriefing each team member on their individual results (Henschel, 2018). High impact inputs cut the learning curve for high tempo organizations and provide the foundation for interpersonal development within the team.

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Step Three: Make the Time. Leaders must set aside time to invest in their people. Talent development requires predictable and visible placement on a leader's calendar to both fight off the urgent and broadcast commitment. Events include leader offsites, group project reviews, or counseling sessions. Of these, one-on-one coaching and counseling sessions between senior and junior leader are central to any program. Leaders review performance, focus goals, build self-awareness, uncover potential, and identify developmental barriers as part of personalized developmental plans (U.S. Army, 2012, 7-10). These sessions also offer the opportunity to gain team member commitment on expected future challenges. Leaders do this by individually addressing concerns and soliciting input, thereby aligning both the plan and team. Coaching and counseling sessions are maximized when leaders practice good listening techniques, displaying empathy and energy through informed questions to unearth assumptions and garner deeper, more influential results. Dan Coyle explains this phenomena as follows: leaders must "listen like a trampoline" by absorbing and adding energy to the dialogue (Coyle, 2018, 162). Leaders can harness similarly powerful teaching moments informally during daily work. These opportunities offer regular feedback and extend influence outside the normal rank structure. High impact events form a team's interpersonal development core.

Step Four: Identify the Measures of Effectiveness. Finally, leaders identify measures of effectiveness to evaluate their program. Tailored to their team's leadership vision and framework, program evaluation allows even the smallest segment of the company to assess, learn, and grow by charting the progress of desired outputs. This helps an organization approximate its capacity for future innovation, an elusive but necessary requirement (Drucker, 2009, 104).

Each component of the leader driven, interpersonally focused, and culturally ingrained leader development brand is measurable. For example, a program's leader driven quality can be determined from the relative weight that coaching ability carries on performance reviews. Next, a team's interpersonal focus is measured through the quality of junior leader counseling with their subordinates as teams commit and learn better techniques. Finally, organizational culture is assessed through climate surveys and focus groups to measure collective psychological safety and mutual trust. As these examples show, a proper assessment strategy blends objective sources such as survey data with subjective sources such as focus groups and senior leader observation to provide a holistic program evaluation.

Sound assessment criteria and program evaluation inform future changes for even lower level leaders. These changes can be small tactical tweaks to improve successive iterations such as a refined personnel on-boarding system. More importantly, these changes can also signal major strategic change for those listening, allowing leaders to see reality, mobilize resources, and guide necessary transformation (Tichy, 2007, 34). Those teams unable to adequately check the organization's pulse risk falling back into a cycle of adverse leadership development that perpetuates underdeveloped leaders and mediocre performance.

Conclusion: Sustaining Success in a New Reality

The inability to develop talent will continue to hinder future envisioned organizations, but with stakes higher than ever. Leaders can overcome the cycle that strangles talent and perpetuates mediocrity by committing to grow their people. In these times of uncertainty, the ultimate leadership test is "...whether he or she teaches others to be leaders and builds an organization that can sustain its success" (Tichy, 2007, 3). Successful teams that create leaders stockpile the cohesion and innovation necessary for any future challenge. As the missions of both corporate and military teams grow increasingly complex, an incredible uncertainty hangs over future employee and employer relations. In this new reality, leaders everywhere should ask themselves the following: why will my team choose to follow me into the unknown?

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Health Coaching Case Report: **Optimizing Employee Health and Wellbeing in Organizations**

Abstract

Health and wellbeing of employees has a direct correlation to organizational performance. It is essential that organizations and successful leaders prioritize the health and wellbeing of all employees – from the C-suite to entry level positions. As rates of stress, chronic illness, and unhealthy lifestyle choices continue to increase, it is imperative that organizations discover strategies that cultivate employee wellbeing. Employees with high wellbeing are more engaged, productive, and energized and directly affect a company's bottom line; it is in the best interest of employers to invest in human capital and wellbeing of employees. Health and wellness coaching

demonstrates encouraging potential as a catalyst to optimize employee wellbeing. Rooted in science-based research with the foundation in relationships, communication, and connection, health coaches partner with employees as they build self-awareness around a holistic view of health. As employees increase self-awareness, they recognize the importance of managing stress and self-care, connect to their vision and values, take active steps towards change, and address barriers and obstacles. With these strategies, individuals build resilience as they gain energy, empowerment, and work towards positive growth. This paper outlines the challenges that leaders and employees are facing, describes health and wellness coaching, and provides a group coaching case study example that demonstrates how health and wellness coaching can foster employee wellbeing. This case study is important as it supports evidence that health coaching shows promise as a strategy to optimize employee health and wellbeing.

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Introduction

Our lives have been drastically altered over the last two decades. The rapid speed and advancement of technology has changed the nature of work. Work demands have encroached upon personal time resulting in the challenge to maintain a work-life balance. Lifestyle choices are becoming increasingly difficult to manage. Additionally, the political landscape and world events have conditioned us to live in a hypervigilant state. All of this is creating a cultural and societal shift, the likes of which has not been witnessed before and it is deeply affecting the health and wellbeing of employees as well as the holistic bottom line of organizations.

Alarming statistics are making headlines. Life expectancy for Americans has dropped for the third consecutive year in a row, a dismal trend (Murphy, Xu, Kochanek, & Arias, 2018). According to a recent Gallup poll, Americans are the among the most stressed-out people in the world. About 55% of adults experienced stress “a lot of the day” prior, compared to 35% of citizens globally (Ray, 2019). According to Dr. Anderson, CEO of the American Psychological Association, 75% of healthcare costs are related to chronic illness – and the key driver is stress (Martin, 2012). Unhealthy and stressed employees are estimated to cost businesses up to \$300 billion a year (American Institute of Stress, 2014).

As a society, we are in desperate need for innovation and transformation. According to the American Medical Association President, Dr. Barbara McAneny, “The trend of declining life expectancy in the United States is deeply concerning and demands an all-hands-on-deck approach to reverse course” (McAneny, 2018). Health and wellness is not an isolated healthcare issue - it deeply affects all aspects of our lives, especially the workplace. Jim Purcell, former CEO of Blue Cross and Blue Shield of Rhode Island, states, “Employee wellness is very much management’s business... It is clear that the workplace is the optimal opportunity for employee wellness efforts” (Purcell, 2016).

Forward-thinking, successful leaders and organizations understand that it is essential to support employee health and wellbeing to maintain an engaged, productive workforce to enhance business performance. Additionally, strong, effective leaders address and model their own wellbeing while taking an active role in supporting employees as they manage the ebb and flow of life.

In the course of this paper, we will discuss the current state of employee health and describe how a decrease in employee wellbeing affects a company’s financial performance. Furthermore, we will describe the benefits of enhancing employee wellbeing and will illustrate how health and wellness coaching is an effective strategy to support leaders and the workforce. Lastly, we will highlight a case report in which group health coaching was aimed to support busy leaders as they took active steps towards cultivating their own wellbeing. The research suggests that when all employees are healthy and well, organizations increase performance.

Current State of Employee Health: Chronic Illness

Employers are faced with skyrocketing healthcare costs because of chronic illnesses and stress related conditions. According to the CDC, “Chronic diseases are common, costly, and debilitating, and they can often be prevented” (National Center for Chronic Disease Prevention and Health Promotion, 2017). Based on a RAND study in 2014, 60% of Americans had at least one chronic condition and 42% had multiple chronic conditions (Irving, 2017). Chronic conditions include heart disease, diabetes, obesity, back pain, anxiety, and arthritis and are often difficult to manage. Lifestyle behaviors such as healthy nutrition, adequate sleep, moderate physical activity, managing stress, and avoiding tobacco can help reduce the likelihood of chronic disease or improve quality of life for those already affected by a chronic condition. Surprisingly, in a 2016 study published in the Mayo Clinic Proceedings, however, less than 3% of Americans meet the basic characteristics of a healthy lifestyle (Loprinzi, Branscum, Hanks, & Smit, 2016).

Stress

Defining stress is important as we understand the consequences of unresolved and unmanaged stress. According to the Mayo Clinic,

Stress is an automatic physical, mental, and emotional response to a challenging event and normal part of everyone’s life. When channeled positively, stress can lead to growth, action and change. But negative stress can lessen your quality of life (Mayo Clinic, 2017).

This definition describes stress as a normal aspect of being human. Positive stress can increase focus, motivation, and can help us discover success. The stress threshold for individuals is highly personalized; an individual’s sense of control or decision-making ability can affect how someone handles stress (*Workplace Stress*, 2017). When the stress cycle is not interrupted, chronic stress develops and leads to unhealthy behavior. Chronic stress can impact daily functioning as it affects sleep patterns, food choices, weight, physical activity, mental health, emotional regulation, and relationships. The lifestyle choices affected by stress, in turn, can affect workplace productivity and engagement.

Not only is our lifestyle behavior affected by chronic stress, stress is strongly linked to illness and disease. According to the Cleveland Clinic (2015), stress is linked to 6 of the leading causes of death: heart disease, cancer, lung ailments, accidents, cirrhosis of the liver, and suicide. Chronic stress affects nearly every system of the body – if stress is not managed, it will wreak havoc on our bodies. If individuals are not managing stress, the negative health consequences will appear in the workplace.

Anxiety and Depression

If left unchecked and unmanaged, stress can lead to anxiety and depression. According to the World Health Organization, more than 300 million people suffer from depression and anxiety which costs the U.S. economy \$1 trillion in lost productivity due to absenteeism and lack of engagement (*Mental Health in the Workplace*, 2017). It is

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estimated that 12% of all workers have been diagnosed with depression during their lifetime (Witters, Liu, & Agrawal, *Wellbeing*, 2013). Unchecked mental health issues can lead to serious concerns. The Journal of the American Medical Association's (2018) recent report describes that "deaths of despair" (deaths by drugs, alcohol, and suicide) are increasing amongst white, middle-class workers and is affecting the overall U.S. mortality trends. However, research suggests that employers who promote mental health and support people with mental health concerns are more likely to reduce absenteeism, increase productivity, and benefit from associated financial gain (*Mental Health in the Workplace*, 2017).

Burnout

Unchecked stress not only leads to mental and emotional health concerns, but can also result in burnout. Burnout results from excessive and prolonged stress and is regarded as a state of emotional, physical, and mental exhaustion (Smith, Segal, Robinson, & Segal, 2018). Symptoms of burnout can include disengagement, feeling of helplessness, loss of motivation, and exhaustion. Burnout diminishes job performance and translates into billions of dollars in losses annually to U.S. employers. Interestingly, a study conducted at Yale University in collaboration with the Faas Foundation revealed data that one out of five employees reported high engagement *and* high burnout. Essentially, highly skilled *and* motivated employees are also experiencing stress and frustration. This particular group of top talent had the highest turnover which indicates that companies are at risk of losing top-performing employees when stress and burnout symptoms are not addressed (Seppala & Moeller, 2018).

Absenteeism

Absenteeism is a direct result of suboptimal employee health and wellbeing and can significantly affect an organization's bottom line. Circadian, a workforce solutions company, reported that absenteeism costs about \$3600 per year for hourly workers and \$2650 for salaried employees. For a company with 500 shift workers, this can result in about \$1.3 million of lost productivity (*Shift Work & Absenteeism: The Bottom Line Killer*, 2014).

Financial Impact

The body of literature is striking: chronic illness, stress, mental health, and burnout affect employees' health and wellbeing *and* impact a company's financial output. A Health and Human Service Report shows that healthcare premiums have *doubled* since 2013 (Health and Human Services, 2017). In an interesting report, General Motors spent more money on employee's healthcare than it did on the steel to manufacture vehicles (Blanding, 2015). According to Gallup, there is a significant disparity between health-related costs for employees who thrive and those who suffer. Employees who maintain optimal health and wellbeing pose a 62% lower cost compared to those with sub-par treatment. For an organization that employs 10,000 people, this amounts to nearly \$30 million (Robison, 2012). Tom Rath, leader and researcher with Gallup, and Jim Harter, Ph. D, Gallup chief scientist, describe that the health care costs of a 60-year-

old with high wellbeing are *lower* than those for a 30-year-old with low wellbeing (Robison, 2012). Goh, a researcher who developed a mathematical model that assesses the impact of stress and negative outcomes, summarizes it well: “The workplace is where we spend a lot of time – a third of our day. It’s an avenue for stress and an avenue for ameliorating stress, and by and large the costs are borne by employers” (Goh, Pfeffer, & Zenios, 2016). Clearly, it is in the best interests of leaders to foster employee health and wellbeing – it generates a win-win situation.

Employee Wellbeing

Before going further with making the case for improving employee wellbeing, it is important to define what “wellbeing” is. According to the Earl E. Bakken Center for Spirituality and Healing at the University of Minnesota, wellbeing is defined as “A state of balance or alignment in body, mind, and spirit. In this state, we feel content; connected to purpose, people and community; peaceful and energized; resilient and safe” (*Wellbeing*, 2018). Wellbeing includes health, but is multidimensional and evolves as individuals proactively and positively make choices to reach their full potential. With this broader definition of wellbeing – which bridges the mental, emotional, physical, and spiritual realms – organizations and employees can recognize the value of a holistic approach.

The Center for Disease Control and Prevention (2018) recognizes an expanded view of wellbeing as well. Wellbeing has taken priority so much so that the CDC measures Health Related Quality of Life (HRQOL) of U.S. citizens. HRQOL measurements are important from a public health perspective to mobilize prevention and promote healthy behaviors. The workplace is in a primary position to affect wellbeing outcomes.

Not only has the health industry recognized the importance of a holistic approach to wellbeing, but organizations and leaders see it as a significant factor as well. The 2018 Deloitte *Global Human Capital Trends* (2018) suggests that employee wellbeing has become a strategic priority and responsibility to leaders of organizations. Innovative tools to promote mental health, mindfulness, sleep, and stress management are becoming important to support employee wellness. According to the authors, “*It is also a growing expectation among the talent companies most want to recruit, access, and retain. No longer an optional or narrowly focused element of the rewards menu, well-being is now front and center as a business imperative for leading, high-performance companies* (Agarwal, Bersin, Lahiri, Schwartz, & Volini, 2018).

Danielle Harlan, PhD, researcher, and CEO of Center for Advancing Leadership and Human Potential, stated that one of the struggles of leaders themselves is making their own health a priority. As work and stress accumulates, it is often difficult to make healthy choices (Prichard, 2017). Improving health and wellbeing is critical for all employees since it can create a ripple effect throughout the organization.

Undeniably, there is a correlation between an employee’s health and organizational performance. As a result of this growing body of literature, it is important to provide a greater understanding of the benefits of enhancing employee health and wellbeing.

Research and literature support that wellbeing boosts employee engagement, retains top talent, and improves productivity/performance – which collectively result in a return on investment (ROI) (Witters & Agrawal, *Well-being Enhances Benefits of Employee Engagement*, 2015) (Rothausen, Henderson, Arnold, & Malshe, 2017).

Engagement, Performance, and Retention

Gallup has found that wellbeing and engagement are critical keys to employee performance. In a survey which measured five elements of wellbeing – purpose, social, financial, community, and physical health – it was discovered that those who reported higher well-being and high engagement are 30% more likely not to miss work in any given month (Witters & Agrawal, 2015). Furthermore, the study indicated that engaged and healthy employees were 45% more likely to report higher levels of adaptability to change and 59% less likely to look to change jobs (Witters & Agrawal, 2015).

Additionally, Gallup measured wellbeing and disease burden for specific chronic illnesses including high cholesterol, depression, and diabetes. Gallup created categories of overall well-being as “thriving, struggling, or suffering” (Ott, 2010). According to 2009 results, the annual disease burden cost for those who were thriving was \$2,976 per person and \$7,393 for those that were struggling or suffering – a 60% difference in cost (Ott, 2010). As healthcare premiums continue to be a significant cost to employers, utilizing health and wellness coaches may be one of the best ways to invest in human capital.

In another study on turnover and retention, authors developed a framework and used analysis to understand the role of identity and wellbeing in the workplace. Their findings demonstrated that retention has close ties to psychological wellbeing and how one manages six categories in life: purpose, growth, positive relationships, mastery, self-acceptance, and self-determination. When employees experience a balanced amount of resources, they are able to achieve wellness (Rothausen, Henderson, Arnold, & Malshe, 2017).

Furthermore, according to survey results by more than 500 business leaders throughout the U.S., these employers recognize that health influences productivity by 62% and performance by 60% (Health Enhancement Research Organization, 2015). Health and wellness coaching specifically targets this opportunity and aims to increase employee’s physical energy and improve mental and emotional health; this allows employees to focus on their tasks and are motivated to perform well (Albrecht, 2016).

Health and Wellbeing Coaching

Because of the increased need for wellbeing solutions in the workplace, leaders are discovering new strategies aimed at enhancing employee wellbeing. Health and Wellness Coaching (HWC) is one intervention that can be utilized as a catalyst to support employee wellbeing. According to the International Consortium for Health and Wellness Coaching:

Health and Wellness Coaches partner with clients seeking self-directed, lasting changes, aligned with their values, which promote health and wellness and, thereby, enhance well-being. In the course of their work, health and wellness coaches display unconditional positive regard for their clients and a belief in their capacity for change, and honoring that each client is an expert on his or her life, while ensuring that all interactions are respectful and non-judgmental (2018).

Framework

HWC is an emerging, transformational field focused on creating a shift on how individuals view health and wellness. When a whole-person approach is utilized, integrated strategies can help employees attain healthier behaviors (DeVries, 2010). Emphasizing prevention and proactive behavior, health and wellness coaches use research-based best practices to empower clients as they make steps towards change. National standards have strengthened the health coaching profession and in 2017, the initial wave of National Board Certified Health and Wellness Coaches (NBC-HWC's) passed the first HWC examination. Currently, close to 2000 individuals have obtained NBC-HWC credentials. At a time when leaders are faced with soaring healthcare costs due to chronic illness, stress, and burnout, HWC may help cultivate employee wellbeing.

Health and wellness coaching is not abstract idealism, it is science-based and grounded in human connection. Coaches partner with clients as they build self-awareness, recognize patterns of behavior or thinking, uncover obstacles, recognize the connection between vision, values, and purpose, and develop motivation for change. HWC has foundations in the fields of counseling, positive psychology, appreciative inquiry, prevention research, solution-based therapy, and motivational interviewing (Preston, et al., 2014). Health coaches and psychotherapists draw on similar frameworks and models which include self-determination theory, transtheoretical model, social cognitive theory, self-efficacy model, and nonviolent communication techniques. Additionally, health coaches pull from the latest findings in neuroscience, mindfulness, and the mind/body connection (Jordan & Livingstone, 2013).

Health Coaching Skills

The cornerstone of coaching is building the relationship between the coach and the client. Establishing trust and rapport fosters an environment where clients feel safe and empowered to change and grow. Mindfulness, holding positive regard, expressing empathy, maintaining confidentiality, and helping clients discover their own answers are crucial to the relationship (Moore, Tschannen-Moran, Silverio, Larsen, & Compton, 2010). Additionally, there are core coaching skills that are consistently found throughout different coaching models. The skills include active listening, open-ended inquiry, and perceptive reflections (Moore, Tschannen-Moran, Silverio, Larsen, & Compton, 2010). Michael Arloski, a pioneer in wellness coaching describes how coaching evokes transformation. "Coaching is so much about change. A change in behavior, in performance, in accomplishment, in attitude, and belief. Wellness, real wellness is about personal growth and maximizing human potential" (Arloski, 2014).

Self-Awareness

An essential element of HWC is creating an alliance with the client as they develop self-awareness. Self-awareness is the ability to notice feelings, thought patterns, and physical sensations, and to hone into habits, patterns of behavior, and ways of living and being in the world. Self-awareness extends to a person's understanding of goals, strengths, weaknesses, values, beliefs, purpose, and meaning (Goleman, 1996). According to Bill George, former CEO of Medtronic and Senior Fellow at Harvard Business School, "Self-awareness is the foundation of authenticity, and thus it is at the center of your compass. You develop it by exploring your life story and then understanding the meaning of your crucibles" (George, 2015).

There is significant literature on the importance of building self-awareness, especially for leaders managing a team. Anthony Kjam, CEO and Managing Partner and Founder of Cue Ball and author, describes that cultivating self-awareness is the best thing leaders can do to improve their effectiveness. It allows leaders to project conviction, stay open to new ideas and opposing views, and embrace vulnerability while leading with humility (Tjan, 2012). Self-awareness enhances Emotional Intelligence (EQ) which allows an individual to recognize and understand emotions in oneself and the ability to apply this awareness to manage relationships. This is especially important for leaders as to not allow emotions to control behavior and become "emotionally hijacked" (Bradberry & Greaves, 2009). Health and wellness coaches use tools and strategies to support clients as they cultivate self-awareness. The expected outcome includes optimizing emotional intelligence and self-awareness and ultimately improving the health and wellbeing of valued employees.

Individual and Group Coaching

Health and wellness coaching can be delivered both individually and within a group setting. The majority of literature and research on health and wellbeing coaching has centered around individual health coaching, however, group coaching is also showing potential. Group coaching is cost effective for organizations, creates a "sense of community" to support positive change and engagement, encourages accountability, and may help foster overall wellbeing of the members (Armstrong, et al., 2013). Though there are few differences in how health and wellness coaching is delivered individually versus a group, the core foundation of the profession remains the same.

Case Report

As a way to promote a healthy lifestyle and manage stress, group health and wellness coaching was offered to leaders of a large health care organization in the Midwest. This case report is relevant to organizational leaders because it provides a concrete example of how coaching can assist employees as they manage stress, cultivate holistic wellbeing, and take active steps towards attaining positive behavior change and growth.

Method

The non-profit, metropolitan-based healthcare organization that participated in group health and wellness coaching employs over 30,000 people and offers a system-based framework in promoting health and wellbeing. The target recruitment audience for the virtual health and wellness group consisted of employees who had participated in a leadership development cohort. Marketing was delivered to potential participants as “Juggling it all: Health Coaching for the Busy Leader.” The intention of the group was to improve general wellbeing and lifestyle within a group of leaders who are managing change and stress. Interestingly, the facilitators received over 20 inquiries from leaders about group participation. Clearly, this type of group was needed. After timing criteria was established, it was determined that eight individuals were able to commit to five group sessions which were held remotely using a web conferencing platform. Two senior health and wellness coaching graduate students facilitated the coaching sessions.

Cohort

The co-facilitators conducted 1:1 interviews with the participants prior to the initial group meeting. The employees were asked screening questions such as, “What prompted you to enroll in group health and wellness coaching?” and “What are your health and wellness goals?” Additionally, the facilitators answered employee questions or concerns, discussed confidentiality, logistics, and commitment. The ages of the cohort ranged from 31 – 52 and included six women and two men. Interestingly, all eight members worked in different buildings across the metropolitan region. The participants identified as managers/leaders of various departments including the positions of clinic manager, cardiopulmonary manager, IT disaster recovery, and regional manager. Several participant-generated themes became apparent: improving work/life balance, developing stress management strategies, increasing self-care, focus on healthy living, the desire for accountability and lasting change, and learning tools to disseminate to staff. After the initial interviews, the cohort was sent confidentiality and consent forms (Appendix A & B) and a Perceived Stress Survey (PSS - Appendix C).

Session Summaries

While each group session was distinct, the facilitators stayed with the initial intent of the group which included strategies for stress management, incorporating balance, improving lifestyle choices, and cultivating overall health and wellbeing. During the first and second sessions, focus was on building cohesion and trust, raising awareness of members’ current health and wellbeing, discovering values, and exploring health and wellbeing vision. The group members shared reflections on areas such as the importance of self-reflection, building in time for self-care, releasing guilt, giving up control, and making themselves a priority. A few participants began to experiment with setting action steps.

During the third and fourth session, the theme of energy management was explored. The group reflected on energy drains and energy renewal using a holistic lens (Schwartz & McCarthy, *Manage Your Energy, Not Your Time*, 2007) and discussed how to foster

energy by connecting to their meaning, values, and purpose. Topics such as busyness, noticing shifts, reframing, and expanding perspectives were covered. The cohort shared thoughts about being emotionally available for others, checking expectations, noticing thought patterns, and increasing physical activity. The members scaled their confidence and motivation and then arrived at action steps by developing SMART goals (Moore, Tschannen-Moran, Silverio, Larsen, & Compton, 2010). SMART goals encompass Specific, Measurable, Action-based, Realistic, and Timely behavioral objectives which are scaled specifically to each person based on intrinsic value. Though the cohort expressed feeling high levels of stress, members stated they felt better about their goals and had something to work towards.

During the final session, the facilitators summarized the session themes of work-life balance, self-care, energy management, SMART goals, obstacles, and small steps. Members discussed motivation, challenges and barriers, prioritizing, getting “out of my head,” and celebrations for meeting goals. Throughout the sessions, members consistently were engaged in the group process by participating in discussions, offering empathy and understanding to other group members, were open to learning, and demonstrated vulnerability. The chemistry of the group established a cohesive experience.

The group coaching experience is presented in the graphic summary below. The figure illustrates key elements that were evident in each coaching session and their flow (see *Figure 1* and *Appendix E*).

Figure 1: Group coaching timeline summary – illustrates the group coaching experience by each session.

Pre-group coaching interviews	<ul style="list-style-type: none"> • Focus - Explored focus areas for each member and hopeful takeaways from group coaching • Assessment - Each member completed Perceived Stress Scale (PSS), Health and Wellness Wheel (HWW), confidentiality and consent forms • Emerging themes - Work/life balance, reduce stress, healthy living, increase motivation, create lasting change around lifestyle choices, adapting to change, introduced idea of self-compassion
Session 1	<ul style="list-style-type: none"> • Focus - Establishing group ways of working, create connection, discussion of Health and Wellness Wheel, noticing gaps, discuss what balance/juggling it all means to each person • Coaching Tools - Appreciate Inquiry (AI), Four Pillar model of HWC, Health and Wellness Wheel • Emerging themes - Building awareness around the HWW, being intentional with choices, prioritizing healthy eating and activity, building motivation, expanding group connections • Takeaways - Increase self-awareness, self-compassion, desire to be more well-rounded, increase self-care and motivation
Session 2	<ul style="list-style-type: none"> • Focus - Explore new insights from HWW exercise, introduce energy management, turning off auto-pilot, connect to values • Coaching tools - Mind, body, breath awareness, AI pertaining to energy management • Emerging themes - Need for balance, importance of self-care, living this 'one life', refocus energy • Takeaways - Importance of relaxing, giving up control, stick to core values, refocus energy, soul searching, feelings of empowerment
Session 3	<ul style="list-style-type: none"> • Focus - Energy management, balance, living one life - relate to values • Coaching tools - Mind Map tool - expanding perspective on energy drains and energy renewal, group members created action step around goal (SMART goal) • Emerging themes - Focused on mental, emotional, physical, and spiritual realms • Takeaways - Increase physical activity, get outdoors, mental check-ins, nutrition awareness
Session 4	<ul style="list-style-type: none"> • Focus - Discuss SMART goals and action steps, challenges, and obstacles • Coaching tools- Utilized MI and AI concepts around goal setting, reframing/expanding perspective • Emerging themes - Hectic pace of life, care of others before oneself, being busy and including self-care, small steps and short term goals • Takeaways - Accepting help, feelings of relief and calm, excited, importance of self-care, SMART goal was helpful
Session 5	<ul style="list-style-type: none"> • Focus - Closing the coaching relationship, recap, challenges/barriers to goals, building resiliency • Coaching tools - Utilized AI, ladder exercise/scaling on SMART goals, envisioning • Emerging themes - Feeling motivated, prioritizing, getting "out of my head", accountability, sharing intention, breaking down goals into smaller stages is helpful • Takeaways - Vision to move forward in relationships, "I'm not alone", increase self-care and relaxation, being self-aware is important, re-energizing, utilize resources, give deliberate focus on goals

Coaching Theories/Skills/Tools

The Four Pillar model of health and wellbeing coaching—which includes mindful presence, authentic communication, self-awareness, and establishing a safe space – was kept as a framework for all coaching sessions (Lawson, 2015). Additionally, several other theories and tools were used as the group moved forward from exploration to making changes. At the beginning of each session, the coaches introduced grounding exercises as a way to reset and focus, bringing forth the concept of mindfulness. The check-in questions invited reflection, provided a “pulse” of each member, and represented an opportunity to build group cohesion and trust. Using elements of Motivational Interviewing (MI) added value to sessions to increase self-awareness, build and emphasize individual strengths, and demonstrate active listening skills. The spirit of MI was also utilized as the coaches recognized stages of change, readiness, resistance, and used scaling to measure confidence and motivations towards the implementation of action steps (Wagner & Ingersoll, 2013). Additionally, Appreciative Inquiry (AI) was utilized to allow the cohort to discover where they are, dream about where they would like to be, design a plan, and discuss how to deliver lasting change (Orem, Binkert, & Clancy, 2007). AI was integrated into the sessions using a health and wellbeing wheel, reflection, discussion, and mind-map. Additionally, applying Peter Drucker’s concept of SMART goals was helpful in developing clarity, focus, and motivation towards behavior change (Harvard Business Publishing Staff, 2017).

Evaluation Tools

Each leader completed *The Perceived Stress Survey* (PSS) prior to our first session and after the final session. The PSS is a validated assessment tool which was developed in 1983 and is designed to measure self-determined individual stress levels. The 10 question scale measures thoughts and feelings on how different situations affect perceived stress (Cohen, 1983).

Subjective evaluation tools were utilized for the cohort as well. Shannon Yocum, one of the facilitators, adapted Michael Arloski’s Life Wheel (Arloski, 2014) and developed a Health and Wellbeing Wheel (HWW – Appendix D). Members were invited to measure their satisfaction in ten categories: career, finance, health, friends, family, personal growth, relaxation, fun/joy, mental/emotional, and spiritual. This discovery tool provided a unique model to indicate to clients where they were and invited them to visualize where they would like to be. Additionally, the facilitators invited the leaders to use a mind-mapping technique during session three to creatively brainstorm and explore the topic of energy renewal and energy drains, utilizing a holistic perspective. A mind map is an engaging tool that organizes thoughts, creates associations, and generates new ideas (Knight, 2012). After completing two mind maps, the group was then invited to create initial action steps with which the members could experiment.

Quantitative Outcomes

The group coaching outcomes showed positive change and growth. The PSS scores 0 - 13 as low stress, 14 - 26 moderate stress, and 27 - 40 high perceived stress. Results

prior to our first session ranged from 10 -20 with the average 16.25. After the final session, members completed the PSS again and the results ranged from 7 – 24 with the average score of 14. Six of the members decreased their perceived stress, while two members post group showed an increase in stress. One member with a newborn who returned to work recently noticed an increase in stress and shared via email, “... last time I took it (PSS) I was fresh out of maternity leave and didn’t have as much on my plate yet at work. Now I’m back into the trenches and am struggling to keep up again.” She reported that participating in group coaching has prompted her to take an hour during the work day to “step away from the chaos” and focus on her health and wellbeing. The other member was still recovering from a flooded office, relocation, and then return to her office space. The feedback from several of the participants reinforced the perspective that ongoing health and wellness coaching could be beneficial to them as they continue to encounter ongoing obstacles and stress.

Each leader completed the HWW prior to the first group meeting and then posted the last group. Members expressed that the wheel increased their self-awareness of who they are, what they value, and where they would like to be in the various categories. Numbers on the wheel ranged from 1 - 10, with 1 being low and 10 being high. Several members indicated “closing the gap” in several categories between the first session and final session. For example, one participant scored herself at 3 for mental and emotional health and would like to see herself move towards 7. Another participant scored himself at 4.5 for relaxation and was working towards improving to an 8. By the end of the five sessions, all the members increased their scores in several of the wellbeing categories.

Qualitative Outcomes

Lastly, a qualitative survey was delivered to the group one week after the last session. When asked what new self-awareness they gained from group coaching, responses included:

The importance of prioritizing time for myself. How important balance is. How much I’m neglecting my own health, relaxation, personal growth, and mental health. When I have a motivation/venue/environment that encourages me to deliberately focus on a personal goal, I can easily achieve it.

Responding to how self-awareness has impacted their health and wellbeing, members responded,

It has reduced my stress levels and increased my abilities to respond to issues in a positive and productive manner. I feel more energized than I did. I am more proactive. I’ve been able to set and reach some small and health and well-being goals, it inspires me to keep up the momentum!

Personal Experience and Perspective

Though the following paragraph represents interpretation, I (Yocum) feel it is important to share my personal perspective of the group coaching experience as I was one of the facilitators. Our group covered many topics related to health and wellbeing. It is difficult

to put into words the subtle nuances, group dynamics, energy exchange, and “ah-ha moments” that occurred in the group, however my biggest takeaway from the group is that I noticed their increased understanding of the importance of taking care of themselves so they could be more effective leaders and co-workers as well as better engaged with family and friends. This tangible experience has convinced me that now, more than ever, people need active listening, authentic communication, and time to self-reflect to reconnect to vision, values, and purpose. People are looking for connection personally and professionally. I truly believe that by creating an alliance with the participants, members felt non-judged, safe, and could explore what is going on within. To put it simply, the inside-out approach of health coaching fostered momentum for change. I felt honored and humbled to hear their takeaways and vision during the final session:

I am not alone; my vision is to increase relaxation and accept help. I learned to make time to mindfully and meaningfully connect to myself, environment, and others. My vision is to give deliberate focus on what affects my energy. Being self-aware is important; doing things to reenergize and spend energy on myself are my takeaways. Vision moving forward: practice self-care when things are out of my control – then I'm able to have better self-realization.

Discussion

The leaders who participated in group coaching were able to gain self-awareness through a holistic approach of health and wellness, understand the importance of self-care/stress management, explore energy management, create SMART goals, experiment with action steps, and address barriers and obstacles. While the individual members gained new perspectives, they were also able to empathize and collaborate with other members while gaining energy and motivation from each other as they moved towards positive change. Though health and wellness coaching is not yet standard in all organizations, this case study supports the advancement and importance of coaching as an encouraging intervention to foster employee wellbeing.

Strengths

The strengths of health and wellness coaching for individuals in organizations correlates well with current research. Though health and wellness coaching has become a “best practice” as an avenue for health promotion and maximizing behavior change effectively (Chapman, Lesch, & Baun, 2007), it is still an emerging field. As chronic diseases continue to rise and account for 70% of U.S. deaths, health coaching can be a utilized strategy to promote healthy lifestyle behaviors such as nutrition, increasing physical activity, weight management, and medical adherence (Olsen & Nesbitt, 2010). As stress levels of employees continue to rise, employers are incorporating stress management interventions as a component of wellness initiatives (Richardson, 2017). Analysis of various stress management interventions and approaches such as mindfulness, relaxation, and cognitive-behavioral theories suggest that multimodal interventions are effective in improving individual health and reducing stress (Tetrick & Winslow, 2015). Several prominent and respected organizations have recognized the importance of

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mindfulness practices. Google, Aetna, Target, and General Mills invest in mindfulness programs as they realize the positive impact that reflection and thoughtfulness can bring to the organization (Schaufenbuel, 2015). Health and wellbeing coaching centers around those very tools, strategies, and theories.

Health Coaching Effectiveness Research

As literature on health and wellness coaching grows, research on coaching effectiveness is increasing. In a meta-analysis, the authors evaluated coaching effectiveness in organizational settings for individual outcomes. Study outcomes were categorized into performance/skills, wellbeing, coping, work attitudes, and goal-directed self-regulation. Results indicate that coaching has significant positive impact in all categories (Theebom, Beersma, & van Vianen, 2013). In another study published by the Mayo Clinic, researchers studied the potential benefits of coaching on quality of life (QOL) within five wellbeing domains: mental, physical, emotional, social, and spiritual. Participants completed 12-week-in person wellness coaching. Results present that individuals reported significant improvements in QOL and psychosocial functioning. Interestingly, at a 24-week follow-up, participants maintained this improvement (Clark, PhD, et al., 2014). Another recent study demonstrates how positive and negative coaching interventions affect the brain by evaluating participants' fMRIs. Results reveal that when coaching centers around an individual's strengths, goals, and dreams, it activates the parasympathetic nervous systems which has been shown to enhance behavioral change and motivation (Jack, Boyatzis, Khawaj, Passarelli, & Leckie, 2013).

Limitations

There are limitations of this group health coaching case that should be mentioned. While overall the group improved their perceived stress scores, the coaches were unsure if individuals had the tools and motivation for long-term change and sustainability because it was not possible to perform a longer-term follow-up assessment. This experience has sparked curiosity about whether, after group coaching, individual health and wellness coaching would be additionally beneficial to members as they continue to work towards growth and change. As aforementioned, time was a limitation. Perhaps more time (length, frequency, and coaching duration) could prove even more helpful to the leaders as they continue to face the challenge or opportunity of "juggling it all." Lastly, one other potential limitation exists. How effective is virtual coaching versus in-person coaching? Because virtual coaching is relatively new, it is an area that would benefit from further research. As health and wellness coaching continues to create credibility as a profession, more exploration of the limitations is essential.

Conclusion

There is no magical remedy to fix the complexities that people face on a daily basis; stress, lifestyle choices, and chronic illness will continue to affect individuals. Therefore, looking to upstream strategies to enhance employee wellbeing is a critical concern. This case report is important because it provides a snapshot of real-life struggles and obstacles that *all* employees face; leaders are no different than entry-level employees.

Nonetheless, the dynamic approach of health and wellness coaching has shown traction for cultivating and supporting leader and employee wellbeing. Organization performance and stability is directly influenced by human capital. Ultimately, when leaders focus on their own wellbeing, it becomes mutually beneficial: what is good for the employee is also good for the organization. Forward-thinking companies and leaders see the need for a radical shift in how they are approaching health and wellness and are able to visualize the connection between employee performance and wellbeing. Health and wellness coaching might be the critical key to bridge the gap between the current state of employee health and optimal business performance.

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About the Authors

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Karen Lawson, MD, ABIHM, NBC-HWC, an assistant professor of University of Minnesota's Family Medicine and Community Health, is Co-Director of Integrative Health Coaching at the Earl E. Bakkan Center for Spirituality and Healing (www.csh.umn.edu). She is a physician, board-certified in both Family Medicine, and Integrative and Holistic

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Medicine. She was the 2003/5 President of the American Holistic Medical Association, and a founding Diplomat of the American Board of Integrative and Holistic Medicine. Non-medical trainings have included mind-body techniques (e.g. MBSR), yoga, dance/movement therapies, nutrition, homeopathy, and a 20-year study of shamanic practices. Dr. Lawson is active in undergraduate and graduate medical education; teaches in the Center's graduate courses; and, since 2005, founded and directs the MA and graduate certificate programs in Integrative Health and Wellbeing Coaching. Karen is a co-founder and executive leader of the *National Board for Health and Wellness Coaching* (www.nbhwc.org).

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Appendix A

The clients, whose health and wellness coaching story comprises the case in this Concept Analysis and Case Report, have signed a Consent Form which is stored in a secure server file at the University of Minnesota, Bakken Center for Spirituality and Healing.

CONSENT FORM

**For Group Health Coaching
Provided by the University of Minnesota
Master of Arts in Integrative Health and Wellbeing Coaching Program**

Background:

You are agreeing to participate in Integrative Health and Wellbeing group coaching. This group coaching is facilitated by one or more graduate students currently enrolled in a required Health Coaching course of the University of Minnesota Master of Arts in Integrative Health and Wellbeing Coaching Program.

Group coaching sessions are audio recorded, de-identified and documented in written notes. These de-identified records are securely stored electronically for a period of up to seven years, after which time they are permanently deleted. The stored records may be reviewed by the Group Coaching Course instructors for quality purposes, and are used by a student to complete the Group Coaching Course requirements. A student enrolled in the Master of Arts in Integrative Health and Wellbeing Coaching Program may subsequently use the stored group coaching course records to complete requirements for the Master's Program Capstone Project course.

I ask that you read this form and ask any questions you may have before agreeing to participate.

This group coaching is being facilitated by: Megan Lundahl and Shannon Yocum, graduate students in Health and Wellbeing Group Coaching (CSpH 5709), one of the University of Minnesota's Master of Arts in Integrative Health and Wellbeing Coaching Program courses. Supervision for this student is provided by Deb Olson olso3768@umn.edu and Theresa Nutt tanutt@umn.edu.

The purpose of this group coaching is to:

1. Provide you with the opportunity to increase your awareness and confidence in managing your health and wellbeing.
2. Provide the graduate student(s) with experience in facilitating group coaching and gathering information to complete assignments for coursework in their graduate program.

Selection: You are selected as a participant in group coaching because you personally choose to participate.

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Procedure: If you agree to participate in group coaching, I ask that you do the following: Consistently participate in a total of **five 75-minute group coaching sessions**, facilitated once a week for five weeks. The sessions are documented in de-identified and securely stored audio recordings and written notes that are used to complete course assignments. **By agreeing to participate in group coaching, you also give consent to be recorded for educational purposes only.** You have the option to withdraw from coaching at any time for any reason.

Risks and Benefits:

Participating in group coaching has no known risks.

If your de-identified coaching information is used to complete the Master of Arts in Integrative Health and Wellbeing Capstone Project Case Report assignment, completed in the final course of the Master's Program, the Case Report will be made available to you, if you so choose.

Confidentiality:

All recorded and written content of the group coaching sessions will be held confidential (except in the case you express intent to harm yourself or another). All confidential records are securely stored, and used solely to complete course assignments.

If you participate through an employment site, the content of your coaching will not be shared with your employer or for any purpose outside of academic needs.

Group coaching participants will disclose only their first names during coaching, and sign an additional agreement to hold confidential any and all information shared during group sessions by any and all participants.

If your coaching information is used to complete a Case Report which is subsequently published, the Case Report will not include information that will make it possible to identify you as a subject.

Voluntary Nature of Participation:

Your decision whether or not to participate in group coaching is entirely up to you, and will not affect your current or future relations with the University of Minnesota. If you agree to participate in group coaching, you have the option to withdraw from coaching at any time, for any reason, without affecting those relationships.

Contacts and Questions:

The students conducting this coaching are Megan Lundahl and Shannon Yocum. The coaching is being facilitated as required to complete assignments for the Master of Arts in Integrative Health and Wellbeing Coaching Program courses indicated below:

- X CSpH 5709: Health and Wellbeing Group Coaching
- CSpH 8191; Independent Study (optional)
- CSpH 8701: Master of Arts in Integrative Health and Wellbeing Coaching Capstone Project

You may reach the instructor of the Course by phone: 612-624-5166. This is the main number for the Master of Arts in Integrative Health and Wellbeing Coaching Program, Center for Spirituality & Healing, at the University of Minnesota.

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You may email the Program: Erin Fider, Student Services and Academic Programs Coordinatorfider002@umn.edu. The Program Director is Karen Lawson, MD, lawsonk@umn.edu.

Contacts and Questions, continued:

You may ask any questions you have now. If you have questions later, you may contact the group facilitators:

Megan Lundahl lunda019@umn.edu
Shannon Yocum yocum016@umn.edu

You will receive a copy of this form to keep for your records.

Statement of Consent:

I have read the above information. I have received answers to my questions. I consent to participate in Integrative Health and Wellbeing group coaching, and to be audio-recorded.

Signature _____ Date _____

Signature of Student _____ Date _____

Signature of Student _____ Date _____

Appendix B

**Confidentiality Agreement
For Group Health Coaching
Provided by the University of Minnesota
Master of Arts in Integrative Health and Wellbeing Coaching Program**

Background:

You have agreed to participate in Integrative Health and Wellbeing Group Coaching. This group coaching is facilitated by one or more graduate students currently enrolled in a required Health Coaching course of the University of Minnesota post-baccalaureate Certificate in Integrative Therapies and Healing Practices-Health Coaching Track, or the Master of Arts in Integrative Health and Wellbeing Coaching Program.

By signing this Confidentiality Agreement, you agree to maintain the confidentiality of all information communicated by other clients during Group Coaching. You also agree not to share information that leads to the identification of others in the group.

I ask that you read this Confidentiality Agreement form and ask any questions you may have before signing.

Contacts and Questions:

This group coaching is being facilitated by: Megan Lundahl and Shannon Yocum, graduate students in Health and Wellbeing Group Coaching (CSpH5709), one of the University of Minnesota's Master of Arts in Integrative Health and Wellbeing Coaching Program courses. Supervision for this group experience is provided by Theresa Nutt and Deb Olson.

You may ask any questions you have now. If you have questions later, you may contact the group facilitators: Megan Lundahl – lunda019@umn.edu or Shannon Yocum – yocum016@umn.edu.

You will receive a copy of this form to keep for your records.

Statement of Agreement:

I have read the above information. I have received answers to my questions. I agree to hold confidential all information communicated to me by other Integrative Health and Wellbeing Group Coaching clients, and not to share information that leads to the identification of others in the group.

Signature of Participant _____ Date _____

Signature of Student Facilitator _____ Date _____

Signature of Student Facilitator _____ Date _____

Appendix C

Perceived Stress Scale

A more precise measure of personal stress can be determined by using a variety of instruments that have been designed to help measure individual stress levels. The first of these is called the **Perceived Stress Scale**.

The Perceived Stress Scale (PSS) is a classic stress assessment instrument. The tool, while originally developed in 1983, remains a popular choice for helping us understand how different situations affect our feelings and our perceived stress. The questions in this scale ask about your feelings and thoughts during the last month. In each case, you will be asked to indicate how often you felt or thought a certain way. Although some of the questions are similar, there are differences between them and you should treat each one as a separate question. The best approach is to answer fairly quickly. That is, don't try to count up the number of times you felt a particular way; rather indicate the alternative that seems like a reasonable estimate.

For each question choose from the following alternatives:

0 - never 1 - almost never 2 - sometimes 3 - fairly often 4 - very often

- _____ 1. In the last month, how often have you been upset because of something that happened unexpectedly?
- _____ 2. In the last month, how often have you felt that you were unable to control the important things in your life?
- _____ 3. In the last month, how often have you felt nervous and stressed?
- _____ 4. In the last month, how often have you felt confident about your ability to handle your personal problems?
- _____ 5. In the last month, how often have you felt that things were going your way?
- _____ 6. In the last month, how often have you found that you could not cope with all the things that you had to do?
- _____ 7. In the last month, how often have you been able to control irritations in your life?
- _____ 8. In the last month, how often have you felt that you were on top of things?
- _____ 9. In the last month, how often have you been angered because of things that happened that were outside of your control?
- _____ 10. In the last month, how often have you felt difficulties were piling up so high that you could not overcome them?

Figuring Your PSS Score

You can determine your PSS score by following these directions:

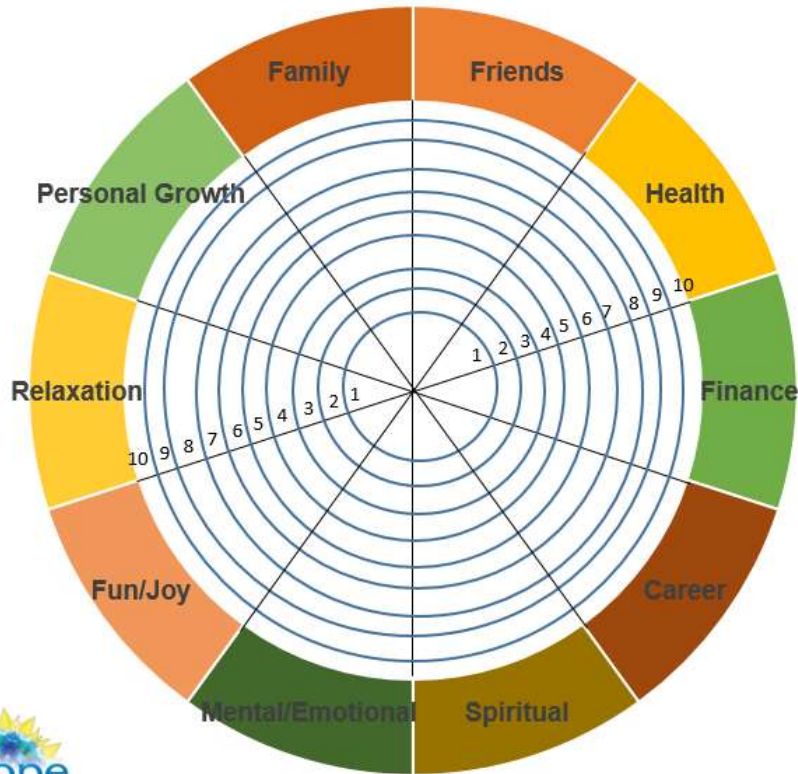
- First, reverse your scores for questions 4, 5, 7, and 8. On these 4 questions, change the scores like this:
 $0 = 4, 1 = 3, 2 = 2, 3 = 1, 4 = 0.$
- Now add up your scores for each item to get a total. **My total score is _____.**
- Individual scores on the PSS can range from 0 to 40 with higher scores indicating higher perceived stress.
 - ▶ Scores ranging from 0-13 would be considered low stress.
 - ▶ Scores ranging from 14-26 would be considered moderate stress.
 - ▶ Scores ranging from 27-40 would be considered high perceived stress.

The Perceived Stress Scale is interesting and important because your perception of what is happening in your life is most important. Consider the idea that two individuals could have the exact same events and experiences in their lives for the past month. Depending on their perception, total score could put one of those individuals in the low stress category and the total score could put the second person in the high stress category.

***Disclaimer:** The scores on the following self-assessment do not reflect any particular diagnosis or course of treatment. They are meant as a tool to help assess your level of stress.*

Appendix D

Health and Wellbeing Wheel



** Kaleidoscope Health and Wellness Coaching is a private coaching practice established by Shannon Yocum, one of the facilitators of the group coaching case study.*

Organizational Culture and Ethical Decision-Making During Major Crises



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Abstract

By integrating various behavioral and ethical theories, such as Organizational Culture and the Social Construction of Knowledge, this research argues that emergency micro-cultures often emerge in times of crisis. Smaller, localized environments, permeated by this crisis culture, often produce an ethical myopia that corrupts wise decision-making. Unless insiders, either leaders or followers within a local setting, are able to meaningfully access ethical frames of reference existing outside the immediate context of the crisis culture, choices remain highly influenced by misaligned values distorted by proximate and introspective survival priorities with minimal regard for external or long-term ethical consequences. In this regard, Follett's (1949) concept of "the invisible leader," in which transcendent values for the "common purpose" of leadership are embodied, provides a potentially meaningful way forward in addressing this dilemma. Since social constructs significantly drive the values that influence decision-making (McLeod and Chaffee, 2017), respected, culturally rich, moral frames of reference that transcend the boundaries of the room emerge as important values clarifiers during important organizational decision-making, particularly in the midst of organizational crises.

Introduction

In Ibsen's (1882/2018) classic 19th century theatre production, "An Enemy of the People," the protagonist of the play discovers significant contaminants in the waters of a local hot springs renowned for its curative benefits. The town leaders, up to this point genuinely committed to the benevolent beliefs, values and practices of health and wholeness for their visitors, suddenly find themselves facing a crisis that threatens the welfare of their community. Health concerns for prospective bathers at the springs are now pitted against socio-economic concerns for the local economy if they are warned off. The plotline flows out of the emerging ethical debates that arise because the values, practices, assumptions and priorities of the leaders and citizens have shifted significantly under the pressures of the crisis. The social culture has changed because the status quo ethos that prioritized values and practices of positive health and well-being now regard the implications of those norms within the current circumstances as a significant threat. The "good" doctor who discovers the health crisis and chooses to

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maintain his ethical commitment to protect the tourists at the expense of the town becomes “an enemy of the people.”

The research of Pascual-Ezama, Dunfield, Gil-Gomez and Prelec (2015) indicates that it remains extremely difficult to assume an ethical mantle that carries with it a meaningful risk of becoming “an enemy of the people” when confronters face the prospect of antagonizing close colleagues whom they hold in high regard, even affection. The desire to be in the “in-group” and the corresponding fear of relegation to the “out-group” has been shown to powerfully influence values and behavior. This is particularly true within the compact boundaries of smaller social contexts like departmental meetings, board rooms or task-forces (Pillai, Hodgkinson, Kalyanaram, and Nair, 2016). More remote axiological influences arising from formalized ethical policy statements or external socio-cultural networks often lack the moral weight necessary to overcome the peer influence in the room. Many times, values are not simply violated, they are more precisely rationalized into submission to alternative values and practices more cooperative with the socially constructed consensus. As Dr. Stockmann, Ibsen’s 19th century protagonist observed, “considerations of expediency and justice turn morality and justice upside down” (Ibsen, 1882/2018, p. 86).

Corporate Culture and Organizational Scandal

The Wells Fargo Bank has, until recently, enjoyed a lofty reputation for excellent management, wise leadership, and ethical practices. Fortune Magazine celebrated them as the most admired bank of 2014 and continued to rate the bank among the most admired companies in 2015 across a number of factors including quality of management, and quality of products and services (Fortune Editors, 2015). The virtuous intentions of their official core values provide a noble frame of reference intended to inspire and guide the priorities and practices of the company within time-honored ethical values. Their official code of conduct proclaims in no uncertain terms: “We’re committed to the highest standards of integrity, transparency, and principled performance. We do the right thing, in the right way, and hold ourselves accountable” (*Our Code of Ethics and Business Conduct*, 2019, p. 5).

However, Wells Fargo’s carefully constructed value statements now stand in cynical judgment over what a U. S. Senate report brutally called a “culture of deception and deceit” at the bank (Examining Wells Fargo’s Unauthorized Accounts and the Regulatory Response, 2016, p. 19). The same hearing record describes “a work environment characterized by intense pressure to meet aggressive and unrealistic sales goals” (p. 1). Under serious threats of job loss, bank employees were coerced to sell at least eight banking products (savings accounts, credit cards, overdraft protection, etc.) to each Wells Fargo customer under the glib rationale of then CEO, John Stumpf, that “eight rhymes with great” (p.1).

The bank’s own organizational audit revealed that Wells Fargo employees were opening multiple accounts for existing customers without their knowledge by falsifying client authorizations, sometimes even forging their signatures (Shearman and Sterling, 2017). As a result, thousands of clients blindly paid (or were penalized for not paying) various

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fees, interest payments, and penalties. Customer credit scores suffered. Wells Fargo core value statements, so-named precisely to represent foundational ideals genuinely held in high regard, clearly failed to protect the organizational decision-making processes from blatant violations of ethical, even legal, normative prescriptions. What happened?

The immediate tendency is to blame the unsavory personal vices of individual Wells Fargo leaders. CEO Stumpf and the head of community banking, Carrie Tolstedt, were both eventually fired by the board of directors for their arrogance, greed and power-lust (Frost and Giel, 2017). Even so, despite the prevalence of ethical malfeasance among particular executives at Wells Fargo and other corporations in recent years, Gino (2015) has observed that many organizational scandals are often driven by “unethical actions committed by people who value and care about morality” (p. 107). Baron, Zhao and Miao, (2015) similarly argue that leaders are normally guided by positive virtues. Even Wells Fargo, writes Pastin (2018), apparently with a straight face, “was trying to run an ethical business” (para. 1).

Even so, recent corporate scandals reveal the emergence of “a cognitive process that deactivates moral self-regulation, thus enabling individuals to behave in ways inconsistent with their own values” (Baron, Zhao and Miao, 2015, p. 107), especially during crises. Kocher, Schudy and Spantig (2017) have found that managers who normally behave ethically are more likely to demonstrate dishonesty within an organizational context where emerging group values rationalize moral compromise as an appropriate way forward under prevailing pressure-cooker conditions. The inclination to quickly blame organizational malfeasance on “bad apples” appears to be an overly simplistic explanation (Searle and Rice, 2017). Something more complex is going on.

Organizational Culture and Ethical Policies

In this regard, Meyer (2017) describes increasing scholarly support for analyzing ethical misconduct under the more comprehensive rubric of organizational culture. Schein’s (2016) updated research into organizational culture continues to offer a robust theoretical framework within which to examine corporate decision making. An organization’s culture operating as a multi-dimensional web of influence emerges as a totality far greater than the sum of its parts. Individual leaders and followers matter, as do particular policies, but ultimately it is the integrated network of the organizational culture that drives decisions. Guiso, Sapienza and Zingales (2015) note that “proclaimed values appear irrelevant” (p. 60) to actual practices unless they emerge as an accurate reflection of the existing corporate culture during particular decision-making moments.

Much of the leadership literature credits Peter Drucker for creating the phrase “Culture Eats Strategy for Breakfast” (Whitzman, 2016). However, Ellinas, Allen and Johansson (2017) note that the wisdom-rich quotation was actually a widely used “public domain” maxim in search of an author. Drucker simply beat out Jack Welch (also credited as a source) in the court of pundit opinion as its preferred source. It is not surprising then that other leadership and management writers provide the quote with much of its clarifying commentary.

Schein (2016), who states that “culture determines and limits strategy” (p. 377), provides a description of organizational culture that many academic scholars and institutional practitioners regard as significantly useful (Hogan and Coote, 2014). Schein writes:

The culture of a group can now be defined as a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to those problems (p. 18).

Schein’s (2016) definition helps us see more clearly that “Drucker’s maxim” elevates the influence of the culture: the interrelated tapestry of thoughts, perceptions, and feelings of those within the organization, to significantly higher levels of power than do isolated strategic plans or formalized policies. These softer axiological dynamics interconnect, hold together and drive organizational decisions forward to a significantly greater degree than do the more sterile influences of a solidly framed strategic plan. In this regard, Schein claims that the “dynamic processes of culture creation and management are the essence of leadership and make you realize that leadership and culture are two sides of the same coin” (p. 3). The prevailing organizational culture will consume any directives, processes, policies, plans, prescribed values and/or mission statements that exist out of alignment with the actual prevailing values on the ground.

Crises Often Reshape Organizational Culture

When organizations face crises serious enough to threaten significant institutional damage, a “state of emergency” mindset often emerges (Campbell and Goritz, 2014). It seems that desperate times sometimes call for desperate cultures. On a personal level, I have participated on a university senate at a graduate school in Nairobi, Kenya that enjoyed a long-standing reputation for faithfully demonstrating its core values of integrity, transparency and accountability. However, in the midst of a sudden and crippling financial crisis in 2014 we began to heatedly debate heretofore clear-cut ethical guidelines. Should we inform our PhD students that our program had been denied accreditation until we were able to comply with sizable government requirements that could take us years to fulfill? Ought we disclose to the Kenya Revenue Authority our discovery that we had illegally withheld payroll taxes for the previous two plus years without passing the funds on to the government? Reasonable arguments anchored in a passionate agenda to protect the school from exacerbating our financial crisis and to shield our organizational brand as we struggled to survive began to sound (and feel) practical, courageous, even moral. In the face of the concrete realities of these crises, counter appeals to abstract notions of integrity and accountability seemed like naïvely foolish idealism.

Although my experience at the college took place within the sub-culture of the University Senate, Schein (2016) maintains that branches, departments, boards and other smaller contexts within an institution also exhibit distinct cultural dynamics. Van Rooij and Fine (2018) note that Wells Fargo had a highly decentralized organizational structure in which

departments functioned as interconnected but relatively autonomous entities. These silos provided corporate divisions with significant insulation from broader organizational critique. The normal paradigms of the larger organizational culture designed to preserve positive ethical actions: core value statements, codes of behavior, best practices, noble slogans, melted under crisis heat. A distinct “state of emergency” organizational culture characterized by rhetoric grounded in Katz’ (1992) classic “ethics of expediency” emerged. Campbell and Goritz (2014) note that when facing crises, leaders often justify toxic behavior with ends-justify-the-means axiology rationalizations and “desperate-times-call-for-desperate-measures” practices. This tendency was heightened at Wells Fargo by the decentralized values and practices within the localized culture because they were isolated from whatever positive influences remained in the broader cultural influences of the larger organization. Within the silos of decentralized departments, leaders could act unhampered in their use of “crisis ethics” (McConnell, 2010) to elevate survival values among their sales force in order to drive decisions at odds with more global ethical ideals.

Cultural Norms Drive Ethical Values and Practices

Although Wells Fargo was not experiencing any major crisis at an institutional level, Morris (2016) writes of a “boiler room” culture, particularly within the sales departments of the bank. Driven by senior and middle management, nearly impossible performance standards supported by unscrupulous tactics were implemented as respectable organizational norms. One former salesperson described the extent of the toxicity as “a systemic thing that was taught. It’s the sales culture” (para. 4). Far beyond the isolated problems of a few rogue managers, employees were regularly barraged with twisted moral reasoning to describe the additional products being deceptively foisted onto customers.

Appealing to ethical norms that could only sound meaningful inside the deluding cultural matrix of Wells Fargo, managers challenged sellers with the high-handed exhortation: “If you don’t meet your solutions you’re not a team player” (Arnold, 2016, para. 22). The dishonest practices at the bank were being promoted among the sales persons as pseudo-virtuous “solutions” for the greater good of “the team.” When crisis values dominate, even the use of guilt can be cynically employed to drive unethical behavior.

The executives promoting the toxic culture at Wells Fargo had also somehow managed to convince themselves to a significant degree that what they were doing was ethical within the context of their organizational culture. CEO Stumpf, defending the banks practices, boldly proclaimed in a memo, “In any case, right will win and we are right” (Colvin, 2017, para. 33). In this regard, Van Rooij and Fine (2018) observed that Wells Fargo had “normalized deviancy” (p. 16). Both leaders and followers justified the ethics of their practices by effectively resetting the paradigms of the values that drove their behavior. During his testimony before Congress, Stumpf interrupted a detailed exchange saying, “I care about outcomes, not process” (Ochs, 2016). The toxic values and practices on display, having become part of the localized emergency culture, became a fearsome gauge for the sales staff against which personal success or failure could be both

cognitively and affectively evaluated. In a desperate effort to keep up, employees bought into the departmental narrative arguing that emerging unethical practices (means) could be justified on the basis of the prospect of the “greater good” in terms of individual and corporate results (ends).

The research of Regan and Sachs (2017) observes “the crucial link between organizational culture and individual behavior” (p. 53). This link helps explain how survival values elevated formerly questionable practices to a level of perceived moral legitimacy within a shifting organizational culture. Previously clear issues of right and wrong, such as those formalized in core value statements and corporate ethics policies, became sincerely muddled – not simply defied.

Employees are naturally socialized to follow the behavior of those around them, often irrespective of their personal beliefs. Employees may even tend to internalize organizational norms by accepting the organizational culture as their own. As such, socialization and internalization determine the ethical direction employees take as individuals and as a collective (Premachandra & Filabi, 2018, p. 19).

The complex web of influence acting through the organizational culture upon individual decision-making created real moral dilemmas at Wells Fargo that remained genuinely difficult to resolve.

The Social Construction of Reality

Seminal research by Berger and Luckmann (1966) into the social construction of knowledge and values argues that a person’s sense of reality: what is true, important, good, and beautiful (or not) about the nature and meaning of phenomena, develops through socially mediated interpretations of one’s experience in the context of interactions with those who surround us. In other words, our values and beliefs and ethical paradigms are meaningfully shaped by our complex cognitive and affective interaction with the small and large cultures around us. Because perceptions of reality are so significantly influenced by the social construction of reality, the organizational cultures in which these formations occur become foundational to the quality of decision making. During crises, as survival values rise above principle-centered guidelines, organizational culture protectively shifts in defense of the status quo and an emerging “crisis ethics” (McConnell, 2010) increasingly drives institutional practice. Top-down abstract principles of organizational behavior stripped from the sensation and intensity of the interactive cultural experience of context and consequence, lose their moral appeal when the sky is falling. As the mythical Peter Drucker might say, “Culture eats strategy (even ethical strategy) for breakfast.”

The social construction of one’s knowledge and sense of reality at work within the proximate organizational culture exercises powerful influence over the individual. Those who have the moral tenacity (and temerity) to stand up against the developing pseudo-virtuous consensus within the organizational culture often find themselves not only at odds with the group, but at war with themselves. Research conducted by Cailleba and Petit (2018) explores the moral ambiguity that often accompanies efforts to ethically navigate within prevailing cultural values and practices. The guilt associated with

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violating the abstract norms of ethical codes and best practices collide with feelings of shame accompanying the existential reality of “out-group” status attributed to anyone opposing the often-reasonable arguments of highly respected friends, colleagues and superiors. Even so, the socializing influence of organizational culture upon the individual does not require a collapse into determinism.

Organizational Culture and “The Invisible Leader”

The concept of the invisible leader describes an organizational mindset, articulated in the mid-20th century by Follett (1949/2013) in which the “common purpose” emerges as the ultimate leader. This perspective, in addition to providing benefits to other organizational processes, also provides an ethical heuristic arising from a more inclusive global consciousness toward the values and agendas of the organization’s vast array of stakeholders, most of whom exist “outside the room” of the decision-making micro-culture. Follett describes this framework:

Leader and followers are both following the invisible leader – the common purpose. The best executives put this common purpose clearly before their group. While leadership depends on depth of conviction and the power coming therefrom, there must also be the ability to share that conviction with others, the ability to make purpose articulate. And then that common purpose becomes the leader. And I believe that we are coming more and more to act, whatever our theories, on our faith in the power of this invisible leader. Loyalty to the invisible leader gives us the strongest possible bond of union, establishes a sympathy which is not a sentimental but a dynamic sympathy (p. 55).

Had the Wells Fargo sales executives and followers kept this “common purpose” as their invisible leader, all the stakeholders of the bank: clients, customers, prospects, employees, shareholders, even executives, would have been factored into the decision-making ethos.

Maroosis (2008) notes that Follett’s idea of the common purpose serving as the ultimate leader creates an innovative dynamic of “reciprocal followership” in the leadership process. Since both the leaders and followers take responsibility for accomplishing the common purpose, followers also emerge as important influencers in organizational leadership. Leaders, acting as reciprocal followers of the invisible leader, remain under the influence of followers who are also actively engaged in the common purpose. When organizational members, both leaders and followers, follow a meaningful narrative of the common good, one that extends beyond the micro-culture in the room, this mindset can provide a stabilizing influence when the localized organizational culture descends into crisis ethics. The reality of the “invisible leader” can meaningfully emerge in decision-making conversations so that the established, more comprehensive ethical values and practices of an organization can compete meaningfully.

Fighting Organizational Culture with Organizational Culture

The implications of the social construction of knowledge and its power to influence the perception of reality within the organizational culture mean that the paradigmatic

strength of a person's practice-driving values must be greater than those provided by propositional statements of institutional ethics. Virtue must arise from within a web of support provided by an actively rich cultural context. The state-of-emergency organizational culture that threatens a group with toxic values and practices must be met by an equally vibrant organizational culture that follows the invisible leadership of the common purpose. Culture consumes mere strategy and principles. Core values, right practices, and ethical policies fundamentally require Schein's (2016) supporting tapestry of beliefs, values, thoughts and feelings, even when they arise from outside toxic environments, to be effective ethical drivers within an organization and its sub-groups.

Alternatives to the powerful crisis culture in the room require the imposition of an equally powerful culture outside the room, one that supports the common purpose of the invisible leader. For organizations to survive the threat of significant ethical crises, transcendent "common purpose" paradigms must remain accessible to those within the crisis smitten emergency culture. Enron whistleblower, Sherron Watkins, drew upon the meaningful cultural narratives surrounding the struggles of Martin Luther King and Alexander Solzhenitsyn (Swartz & Watkins, 2003). WorldCom's Cynthia Cooper similarly found a vibrant cultural frame of reference outside her collapsing micro-culture in the lush tapestry of her family culture (Cooper, 2009). These meaningful webs of beliefs, values, thoughts and feelings strengthened their commitment to the common purpose and invisible leader beyond the room. My own convictions at the small college suffered long battles of ethical uncertainty because the prevailing "ends justifies the means" rationalization framed immoral (even illegal) choices as ethically preferable. It was not until I began to bring the alternative culture of my transcendent values and practices from the Jesus narratives of my faith community to bear upon the culture in the room that I began to see my way clear and decide accordingly.

Conclusion

Courage is important (Howard, Farr, Grandey, & Gutworth, 2017). Principles are important (Covey, 1991). Yet, courage and principles without the cognitive and affective processes of socially constructed ethical perception provided by more comprehensive alternative organizational cultural paradigms remain inadequate. Healthy counter-cultural ethical perception comes first, then principles, and then moral courage. Individual integrity to stand firm against the headwinds of a toxic organizational culture remains possible. However, apart from a meaningful connection to a strong alternative organizational culture "outside the room" of the toxic emergency culture, individuals and groups remain alarmingly vulnerable to the social construction of narrowly localized toxic values and practices along with their destructive consequences.

Organizations have long valued individuals of moral courage and personal integrity as their leaders and followers. However, corporate history has shown that during times of crisis when survival values are extraordinarily elevated, courage and integrity are often not enough. The answers to basic questions of right and wrong remain elusive when consequences during a corporate emergency become complicated. This paper argues that individuals within an institution or one of its sub-cultures have a fundamental need

to maintain meaningful connections to ethically rich cultures that offer alternative frames of reference (extended family, social organizations, religious institutions, service clubs, etc.). Such exposure offers the rich cognitive and emotional support of alternative organizational cultures outside the influence of the ethical turbulence disrupting the localized cultures within the vortices of corporate crises.

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Humility, Forgiveness, and Love – The Heart of Ethical Stewardship

In their best-selling and widely respected book, *The Leadership Challenge*, James Kouzes and Barry Posner (2016) include “Encouraging the heart” as one of the Six universally important leadership behaviors necessary for leaders and organizations to be optimally successful. As leaders struggle to increase employee commitment and improve organization performance, they often overlook the reality that the trust that they seek to build is the byproduct of their own personal trustworthiness (Schoorman, Mayer, & Davis, 2007). It is this personal trustworthiness that influences the hearts of followers (Kouzes & Posner, 2003). Leader trustworthiness is a function of individually discerned (“perceived” used three times in this sentence) and ethically-based personal qualities that are perceived through the subjective mediating lens of each employee (Clapham, Mayer, Caldwell, & Proctor, 2014; Caldwell & Hayes, 2007) and are understood at both the rational and emotional levels (Fishbein & Ajzen, 2015). Because trustworthiness is such an ethically-based concept, leaders who seek to influence and inspire others can exponentially increase followership by becoming ethical stewards who demonstrate by their actions that they are worthy of follower trust (Hernandez, 2008 & 2012).

The purpose of this paper is to identify the nature and importance of ethical stewardship as a powerful contributor to the trustworthiness of leaders – focusing on humility, forgiveness, and love as three leadership qualities that are at the heart of ethical stewardship. We begin by defining ethical stewardship and equating it with Six characteristics of personal trustworthiness. Following that introduction, we explain why humility, forgiveness, and love are vitally important leadership qualities essential to becoming an effective ethical steward and include six propositions relating those three qualities to ethical stewardship. We then offer six insights about humility, forgiveness, and love that can assist those who wish to improve their ability to become ethical stewards to improve their success. We conclude the paper with a challenge to leaders to adopt ethical stewardship as their leadership paradigm.

The Nature of Ethical Stewardship

Stewardship is one of several theories of governance and is a theory of governance in which managers are stewards whose motives are aligned with the objectives of several parties (Davis). Governance theories generally focus on

- (1) *how an organization seeks to optimize performance and accountability,*
- (2) *how values and goals are integrated within the systems and structures that are created,*
- (3) *how leaders develop and maintain relationships that generate the commitment and cooperation of those who work with and for them, and*
- (4) *how principles of leadership and management are formally applied in the conduct of organizational business* (Caldwell, Hayes, Karri, & Bernal. 2008, p. 154).

A leader's philosophy of governance influences all organizational systems, processes, structures, and policies that frame an organization's basic culture and how organizational work gets performed (Schein & Schein, 2016).

Stewardship encompasses the ethical responsibility to act on behalf of others and to honor the responsibilities of service, rather than to pursue one's own self-interest (Block, 2013). Hernandez (2012) is one of many scholars to explain that stewardship is a "covenantal" relationship requiring that leaders honor quasi-sacred responsibilities owed to others and demonstrate pro-organizational behaviors that serve all stakeholders. By serving as ethical stewards, leaders honor the psychological contracts that employees expect from their organizations in the employment relationship (Rousseau, 1995).

The fundamental thesis of ethical stewardship is that optimizing long-term economic wealth serves the best interests of the principals and all of the various other stakeholders collectively, while also maximizing social welfare and the long-term economic and social benefits owed to society (Caldwell & Karri, 2005, p. 251). Ethical stewardship integrates long-term wealth creation with the organizational systems and policies that reinforce both instrumental and normative organizational goals associated with a firm's operations (Caldwell, et al, 2008). The underlying premise of ethical stewardship is that employees are ends in and of themselves and not simply the means to achieving an organization's purposes. The empirical research about ethical stewardship indicates that leaders who demonstrate this stewardship philosophy are perceived to be honoring duties owed to employees and are considered to be high in trustworthiness (Caldwell, Hayes, & Long, 2010).

Ethical Stewardship and Trustworthiness

Trustworthiness is achieved by leaders when they honor the expectations of others – thereby demonstrating that they are worthy of the commitment and followership of others (Hayes, Caldwell, Licona, & Meyer, 2015; Caldwell, 2018). Ethical stewards demonstrate five qualities commonly identified as essential to achieving trustworthiness and credibility (Kouzes & Posner, 2011; Caldwell & Ndalamba, 2017).

Character – Stewards put the interests of others first, honor commitments, and demonstrate the personal integrity that builds relationships.

Caring – Stewards are committed to the welfare and growth of those with whom they work and treat others fairly.

Competence – Stewards understand what needs to be done and have the technical knowledge and skills required.

Capacity – Stewards understand how to execute a plan of action and to translate an organizational strategy into a reality.

Conscience – Stewards demonstrate the inner capacity to do what is right and recognize that they have a moral obligation to others and to society.

These five qualities are well-recognized as essential qualities of successful leadership and as characteristics required to be perceived as trustworthy. *Diagram 1* indicates the relationships of these Six qualities for leaders and ethical stewards.



Diagram 1: Character, Competence, Caring, Capacity, and Conscience

As indicated in *Diagram 1*, Conscience directs a steward's decisions about Caring and Character and is an essential element in applying skills and knowledge associated with his or her Competence. Capacity, or the ability to translate a strategy into reality, is a condition precedent to accomplishing any worthwhile tasks and demonstrates the ability to execute rather than to simply develop an action plan (Pfeffer, 1998).

Each leader is evaluated by his or her employees and the decision as to the leader's trustworthiness is based upon how each individual person equates that leader's behaviors and actions with that individual's interpretation of what (s)he believes to be the standards of trustworthiness – for trustworthiness is a personal assessment based upon each individual's subjective experience, personal history, and expectations about the psychological contract (Schoorman, Mayer, & Davis, (2007). Leaders who demonstrate high levels of trustworthiness are viewed by each employee as an ethical steward (Caldwell, Hayes, & Long, 2010) and earn the trust and followership of those with whom they associate.

Humility and Stewardship

Humility has increasingly been recognized as a quality of effective leaders, to a great measure because of the research of Jim Collins (2001) and his research team. Although Collins was initially reluctant to believe that a leader's role made a significant difference as organizations made the transition from good to great, his team's findings told a different story. Collins and his colleagues concluded that leaders who combined humility and a fierce resolve for success, labeled "Level 5 Leaders," played a vital role in the success of their organizations (Collins, 2001).

Building on the work of Collins (2001), Owens and Hekman (2016) developed a model of humility that consists of three major pillars.

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Self-Awareness – Individuals with humility had a clear and precise understanding of who they are and their identities which enables them to accurately assess their strengths, as well as their shortcomings. Although those with humility acknowledge and recognize their shortcomings, they also are fully aware of their own potential. Although they may view this potential as quite high, they nonetheless are also fully aware of the fact that they have much to do to improve. This clarity of vision or “correct understanding of themselves” enables those who possess humility to take personal responsibility for their weaknesses and to be accountable for the mistakes of their organizations. At the same time, this humility enabled them to give others full credit for the successes achieved by cooperative effort, rather than representing others’ accomplishments as their own.

Commitment to Learning – Humility recognizes that continuous improvement is not only possible but that it is a personal moral requirement and obligation in honoring oneself and in serving others. This dedication to continuous learning motivates individuals to constantly strive to improve themselves, overcome personal weaknesses and shortcomings, and become better informed so that they can make a greater contribution to others and to society. This commitment to learning is motivated by a sense of personal responsibility and a duty to others and is part of an ethical obligation to become the best possible version of oneself – a quest which, in reality, never ends throughout one’s life.

Appreciation of Others – Humility enables individuals to also see others clearly and to recognize the potential greatness that is within them. Seeing others through the lens of humility, individuals recognize the need to “treat others so well that they come to recognize their greatness and strive to achieve it” (Covey, 2004, p. 98). This acknowledgement of the greatness of others is spurred by a recognition of the greatness of the individual demonstrated by the French philosopher, Teilhard de Chardin, who is quoted as writing, “We are not human beings having spiritual experiences. We are spiritual beings having a human experience” (Koelzer, 2013). This reverence and awe about self and others motivates an individual with humility to not only give credit to others when they succeed, but to recognize the need to help others to become their very best.

These three qualities that define humility enable individuals to gradually polish their lives and improve their relationships until they are able to fully align their behaviors with each of the three pillars of humility – thereby enabling them to treat others with grace and kindness. By so doing, such individuals are able to create relationships and build organizations that inspire and motivate others (Owens & Hekman, 2016; Owens, Bednar, & Jiang-hua, 2016; Anderson & Caldwell, 2018). Consistent with this information about the nature of humility, we present our first two propositions.

P₁ Individuals who consciously seek to incorporate the principles associated with the three pillars of humility in their own lives and in relationships with others are more likely to be trusted by those with whom they associate than individuals who do not incorporate these principles.

P₂ Leaders who consciously seek to incorporate the principles associated with the three pillars of humility in their own lives and in relationships with others are more likely to be perceived to be ethical than those individuals who do not incorporate these principles.

Ethical stewardship and humility are closely related concepts because both focus on the qualities of caring, character, and conscience associated with trustworthiness that are so important in creating high trust relationships (Caldwell & Ndalamba, 2017).

Forgiveness and Stewardship

Forgiveness, or the capacity to respond to perceptions of unfairness or injustice without expressing feelings of resentment or anger, is deemed to be a universal virtue of every major religion and is a virtue that demonstrates both great self-control and a profound sense of perspective about the human condition (Cameron & Caza, 2002). Unfortunately, the reality in life is that disappointments frequently occur, wrongs are committed, and injustice is common. As Desmond Tutu (1999) has observed, the maturity to accept disappointment and to forgive is an acquired trait that is possessed by the greatest of leaders and is a quality that demonstrates magnanimity of spirit and a remarkable sense of perspective and inner peace.

Forgiveness accepts and looks past the faults of another and seeks to reconcile a relationship despite a perceived betrayal (Caldwell, Davis, & Devine, 2009). Forgiving another person for failing to honor a perceived duty restores the ability of both individuals to work together (Caldwell & Dixon, 2010). Lennick and Kiel (2016) explained that a leader's responsibility to serve others reflects compassion and forgiveness – even if that forgiveness does not mean excusing followers from being accountable or condoning mistakes. Nonetheless, a culture in which individuals are willing to forgive others' mistakes creates a sense of safety and allows individuals to take initiative and be proactive, knowing that the goal is to minimize possible risk and harm while seeking to benefit an organization and achieve a benefit for others (Collins & Hansen, 2011).

Forgiveness, when combined with humility, becomes much easier to extend to others. Recognizing that we are each imperfect allows us to be more generous in forgiving others – just as we want to be forgiven for our own faults and foibles (Cameron & Caza, 2002). The ability to let go of a perceived wrong, to avoid responding with anger and frustration, and to accept what often seems to be an injustice is a refined skill that enhances both the person who forgives and the recipient (Caldwell & Dixon, 2010). The consequence of forgiveness in relationships is that both parties are more able to focus on shared goals – rather than feeling vulnerable about possible ill feelings and concerns about damage that may have occurred in the working relationship due to the wronged person's expressions of anger and frustration when a perceived harm occurred.

When integrated, humility and forgiveness provide a greater sense of perspective – not only about the unavoidability of errors in each of our lives but because of the ability of humility and forgiveness to enable individuals to grow in patience toward others (Caldwell & Long, 2018). Forgiveness of self is also made easier when we see ourselves

as traversing a journey toward perfection – while acknowledging that we may yet be far from perfect (Anderson & Caldwell, 2018). Based upon this review of the relationship between forgiveness and interpersonal relationships, we present two additional propositions.

P₃ Individuals who consciously seek to forgive others of their perceived wrongs are able to establish better relationships with the people that they forgive than individuals who withhold forgiveness.

P₄ Individuals who consciously integrate both humility and forgiveness in their relationships with others are perceived as more trustworthy than individuals who do not integrate these two qualities.

Ethical stewardship associated with forgiveness has a profound positive influence in touching the hearts of others because it is directly related to the trustworthiness qualities of both caring and conscience.

Love and Stewardship

Increasingly, scholars and practitioners have recognized that love has a profound positive impact in leader-follower relationships within the context of the modern organization (Dierendonck & Patterson, 2015) and generates positively deviant extra-role behaviors in employees (Cameron & Caza, 2002). Scott Peck (2003) has defined love as a commitment to the welfare, growth, and wholeness of the self or of another. This same commitment to which Peck refers regarding the welfare of others within a work context is a quality present in servant leadership, transformational leadership, and transformative leadership perspectives wherein leaders recognize that they have a moral obligation to assist their employees to grow and to flourish as part of the employer-employee relationship (Caldwell, 2012; Caldwell, 2018). A commitment to the welfare of employees is not only viewed as an absolute obligation of the organization but as a strategy by which organizations can build high trust, high commitment, and high performance (Beer, 2009; Pfeffer, 1998).

Specher and Fehr (2005, p. 230) explain that love is “focused on caring, concern, tenderness, and an orientation toward supporting, helping, and understanding the other(s), particularly when the other(s) is (are) perceived to be suffering or in need.” From a practical standpoint, that description of others who are in need aptly describes the condition of employees who often are scrambling to produce better results with fewer resources in today’s competitive work context. Authentic love is commonly focused on contributing to the good of others and on performing acts of service that demonstrate a willingness to give unselfishly and without conditions or reciprocal expectations (Peck 2003). Koestenbaum (2002, pp. 194–195), described love as the surrendering of one’s freedom to another which he described as “the ultimate act of love” inasmuch as freedom is “the greatest gift you can ever give.” Pellicer (2008) described love as “a sacred trust” and “the essence of moral leadership.” Erich Fromm (1956) described love in terms of giving the precious gift of oneself to another so that another might benefit.

The genuine caring commonly associated with love within the context of work is repeatedly described in the leadership literature as a means of building relationships, increasing commitment, and honoring the duty of leaders and organizations to those working for their companies (Caldwell & Dixon, 2010; Autry, 1991). When genuine love is combined with humility and forgiveness, leaders have the opportunity to inspire others to discover their best selves, to duplicate the leader's behaviors, and to redefine their lives (Covey, 2004; Owens & Hekman, 2016). *Diagram 2* is a pictorial model of the ideal relationship that we suggest exists between love, humility, and forgiveness.

As virtues, all three of these qualities have the ability to touch the hearts of others. We suggest that forgiveness becomes much easier when an individual possesses humility – and that humility and forgiveness are possible when we love ourselves and genuinely love others. Ultimately, it is our ability to love and to care deeply about the welfare of others that is the defining quality that enables men and women to connect with others and to touch their lives (Boyatzis & McKee, 2005).



Diagram 2: Love, Forgiveness, and Humility

The fifth and sixth propositions that we present reflect the importance of love in touching the hearts of others.

P₅ Individuals who view themselves as being deeply committed to the welfare, growth, and wholeness of others are perceived as more ethical than others who lack this same commitment.

P₆ Individuals who integrate elements of love, humility, and forgiveness in their lives are perceived as more ethical than others who have not integrated these elements.

Ethical stewardship is a philosophy of governance that integrates love, forgiveness, and humility in the lives of those who lead and enables those individuals to have a profound effect on those with whom they work. Although becoming an ethical steward is a high standard to achieve, it enables those who seek to follow that standard to have more satisfying relationships with others and to be more productive in their lives.

Six Insights about Ethical Stewardship

As those who seek to lead contemplate the difficult challenge of leaders in the modern organization, the evidence is clear that many employees are only partially invested in their jobs and are often uncomfortable with their organizations and their relationships with their supervisors. According to a recent Gallup survey, 51% of all U. S. employees are actively looking for a new job or watching for new job openings (Harter, 2017). Those who lead or who desire to lead may wish to thoughtfully contemplate how they can reassess their lives and incorporate humility, forgiveness, and love in their relationships

with others. We offer Six insights about these three important qualities for employees seeking to become ethical stewards who honor their employees.

1) *Conduct a Regular and Thorough Self-Inventory*

Being completely honest about yourself, your strengths and weaknesses, and your commitment to serving others is a vital first step to developing the humility required to make deep change in your life (Quinn, 1996). A number of powerful resources are available to assisting leaders to conduct such an inventory, but the results are guaranteed to be futile if the commitment to improve is not genuine and wholehearted. This examination must encompass all aspects of one's life and include duties owed to the others to whom a leader owes responsibilities in his or her many life roles (Covey, 2004). This self-assessment is a fundamental pillar of humility and a necessary step in changing your life (Anderson & Caldwell, 2018).

2) *Make a Commitment*

Integrity demands complete honesty with oneself in using the information from a self-inventory to change one's life. Self-deception is the holding of two conflicting ideas in one's mind at the same time without acknowledging the conflict (Caldwell, 2009). The self-improvement process and the road to discovering a you that you never dreamed was possible demands that you not only conduct an honest inventory but that love yourself enough to make the changes that you know in your heart of hearts that you need to make (Covey, 2004). Love yourself enough to recognize that the outcome of changing your life will be worth the effort.

3) *Create a Self-Improvement Partnership*

Hold yourself accountable. Make your commitment to improve public by sharing your commitment with the people who will be affected by your changes (Hansen, 2018). Explain that you understand that there are areas that you need to improve but that you are trying to change. Forgive yourself if you aren't perfect and ask others for their support, their patience, and their honest feedback (Hansen, 2018).

4) *Identify Challenging but Realistic Goals*

Change is rarely easy, especially when you are dealing with character flaws, habits, and mental paradigms that have been years in the making. Chunk your goals into small but challenging pieces and keep track of one improvement at a time. Attempting to do too much or setting unrealistic goals will only generate discouragement and disappointment. Make your goals doable, but have the integrity to challenge yourself as well (Hansen, 2018; Covey, 2004).

5) *Seek Ongoing Feedback*

Have the courage and commitment to build in a process of obtaining feedback – not only about your specific goals but about other areas in your life that you may have overlooked. Care enough about yourself to take yourself seriously; to make your quest for improvement legitimate; and to obtain information from the people

you serve, care about, and need to accomplish what matters most to you in your life.

6) *Celebrate Your Progress*

Recognize that you need to reward yourself, acknowledge your progress, admit where you need to work harder, and modify what does not seem to work (Covey, 2004). But be good to yourself. Take heart in knowing that, although you may not be where you would someday like to be yet, you have been wise enough to begin the journey. Love yourself enough to make this process one of the great successes of your life.

These six simple steps are not rocket science. They are simple principles of truth. They are steps to progress that we all have read about and heard before. But they are steps that will work . . . if only we will work.

The Challenge

If we believe that our lives matter, that life has a purpose, and that we and other people are important, than we must reflect on what we want our lives to mean. Mahatma Gandhi, the great Indian leader, declared, “Become the change that you want to see in the world.” Gandhi’s life was his message, and the simple reality is that for each of us how we live our lives is our message to the world. It is our message to those who we say we love and care about. It is a message to those with whom we live and work. It is our message to our God.

The challenge for each of us is to “find our voice,” to discover the greatness within each of us, and to become true ethical stewards who honor the gifts which life has given to each of us of twenty-four hours in every day and the right to make choices (Covey, 2004). Marianne Williamson offers each of us a challenge that rings true as we contemplate who we really are, what we ought to be, and what we each often fear.

Our Deepest Fear

Our deepest fear is not that we are inadequate.
 Our deepest fear is that we are powerful beyond measure.
 It is our light not our darkness that most frightens us.
 We ask ourselves, who am I to be brilliant, gorgeous,
 talented and fabulous?
 Actually, who are you not to be?
 You are a child of God.
 Your playing small does not serve the world.
 There's nothing enlightened about shrinking so that other
 people won't feel insecure around you.
 We were born to make manifest the glory of
 God that is within us.
 It's not just in some of us; it's in everyone.
 And as we let our own light shine,
 we unconsciously give other people

permission to do the same.
 As we are liberated from our own fear,
 Our presence automatically liberates others.

As individuals we each have the opportunity to choose to be ethical stewards. As we tap into the freeing power of humility, forgiveness, and love, that opportunity can become a reality.

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Meaning Management: A Framework for Leadership Ontology

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Abstract

*Leadership is a multifaceted and complex subject of research and demands a sound ontological stance that guides studies for the development of more integrative leadership theories. In this paper, I propose the leadership ontology PVA (**perception** formation – **value** creation – **achievement** realization) and associate it with the two existing leadership ontologies: TRIPOD (leader – member – shared goals) and DAC (direction – alignment – commitment). The leadership ontology PVA, based on a new theory called “meaning management,” consists of three circularly supporting functions: cognitive function to form perception, creative function to generate value, and communicative function to realize higher levels of achievement. The PVA is an epistemology-laden ontology since the meaning management theory allows one to make propositions that explicitly link its three functions with the leadership outcomes: perception, value, and achievement. Moreover, the PVA leadership ontology transcends and includes both the conventional TRIPOD ontology and the DAC ontology.*

Introduction

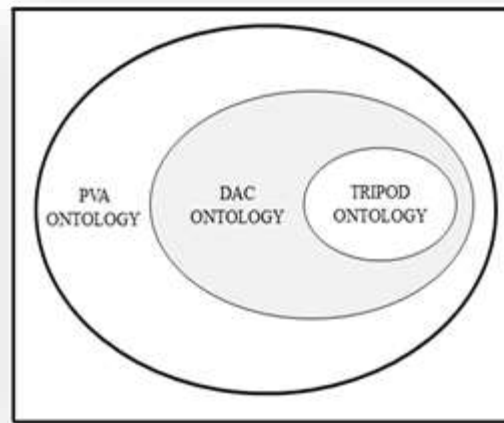
Any research paradigm intended for organization studies, implicitly or explicitly, entails four sets of assumptions: ontological, epistemological, methodological, and axiological. Since the “reality” is a phenomenon not knowable entirely and absolutely, researchers convert and/or transform it into a “perceived reality” through a series of ontological assumptions made about the “reality.” The purpose is here to identify or define a “right” problem domain within the “perceived reality.” Epistemological assumptions are for building a “right” theory for the “right” research problem defined previously. Methodological assumptions serve to develop a “right” model/method that corresponds to the “right” theory built beforehand. Given these statements, we can presume that ontology guides epistemology, and epistemology directs methodology. Researchers, therefore, need to be cautious and prudent enough about making ontological assumptions not to end up with contestable theories and questionable models. Axiological assumptions, on the other hand, are for ensuring that ethics and aesthetics

observed during the processes of problem defining, theory building, and model developing.

This article is mainly about the ontology of leadership and proposes a new one in association with the two existing leadership ontologies: namely, the tripod ontology (leader-follower-common goals) and the DAC ontology (direction-alignment-commitment). The proposed ontology is based on a new theory called “meaning management” and its leadership essentials are *Perception* formation – *Value* creation – *Achievement* realization,” or shortly (**P**erception-**V**alue-**A**chievement), and hence the “PVA Ontology.”

In very general terms, ontology is the theory about the nature of things that are of study interest (such as existence, reality, being, becoming, preoccupation, issue, phenomenon, etc.). The ontology of leadership is to identify the essentials pertaining to leadership and the conceptualizing the relations between such essentials. Drath *et al.* (2008) define the leadership ontology as “the theory of entities that are thought to be most basic and essential to any statement about leadership.” After identifying and describing the widely accepted current ontology of leadership – the tripod ontology, they argue that a more integrative ontology needed and therefore they propose the DAC ontology to deal with the issues not satisfactorily handled with the tripod ontology.

Figure 1: Leadership Ontologies and Their Connections



The PVA ontology I propose in this paper transcends and includes both the DAC ontology and the widely accepted tripod ontology (as depicted in *Figure 1*) through a series of propositions made. While doing so, however, I will not offer a specific definition of leadership. There are two reasons for that. First, the ontological reason – the PVA framework provides the needed flexibility to define a leadership that fits to any given context. Second, the pragmatic reason is not to add another definition to the already existing plethora of others, complying with the observation of others (Bass, 1990, p.11).

An Overview of Leadership Ontologies

As a prologue to the PVA leadership ontology and its implication for leadership theory, I first provide overviews of both the tripod and the DAC ontologies.

An Overview of the Tripod Ontology

There are several schools of leadership theory, ranging from great-man theories (Woods, 1903); the trait approach (Zaccora, 2007); the skills approach (Mumford *et al.*, 2000); the leadership style or behavioral approach (Stogdill, 1974; Boyatzis, 2009; Conger & Kanungo, 1987); the contingency approach (Fiedler, 1995); the path-goal theory (Evans, 1996; House, 1996) to the more recent leader-member exchange (LMX) theory (Graen & Uhl-Bien, 1995; Schriesheim, Castro, & Cogliser, 1999; Harris, Li, & Kirkman, 2014; Wilson, Sin, & Conlon, 2010) and its two variations, i.e., the multidimensional leader-follower exchange (LMD-MDM) and the leader-member social exchange (LMSX) as advanced by Boyatzis *et al.*, (2012) as well as the implicit theories of leadership (Junker & Van Dick, 2014).

There are also many definitions of leadership reflecting the schools of thought on the subject. As Stogdill (1974, p.7) and later Bass (1990, p.11) discovered through a review of research on leadership that “there are almost as many different definitions of leadership as there are researchers who have tried to define the concept.” Some classical examples are stated as follows:

Leadership is realized in the process whereby one or more individuals succeed in attempting to frame and define reality of others (Smircich & Morgan, 1982).

Leadership is the ability and willingness to influence others so that they respond voluntarily (Clawson, 2006, p.44).

Leadership is an influence relationship among leaders and followers who intend real changes and outcomes that reflect their shared purpose (Daft, 2005, p.5).

Leadership is a process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2007, p.3).

Leadership is the process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective effort to accomplish shared objectives (Yukl, 2010, p.8)

The above definitions, albeit different in some minor details, include three central components or essentials of leadership: *leader*, *follower*, and *common goals* connected to one another through a *process of influence*. The *process of influence* refers to a transactional event that occurs between leaders and followers around common goals; leadership is thereby an interactive phenomenon and is concerned with how leaders affect followers. *Followers* are a group where leadership takes place. Leaders and followers are inseparable from one another in that leaders need followers for action and followers need leaders for guidance. *Common goals* mean that leadership guides a group of individuals toward accomplishing a vision through the organization’s stated mission and values.

I concur with the observation of Drath *et al.* (2008) that although we have currently an apparent diversity of leadership definitions, they all unified under the tripod ontology – leader, follower, common goals. Bennis (2007) is the one who used the term “tripod” for the first time to underline the basic entities of leadership theory in association with an ontological concept of leadership. This tripod ontology has been widely confirmed by the vast majority of the leadership literature and the three essentials treated with different levels of sophistication, details, nuance, subtlety, and care (Drath *et al.*, 2008). There is no doubt that the tripod ontology will continue to maintain its strong presence in leadership theory and practice for a long time in the future simply because one cannot ignore the dominating and uncontested role of the triad “leader-followers-common goals” in any leadership process. However, the first leg of the tripod, leader, has been the number one priority in the leadership literature followed by the second leg, followers and then the third leg, common goals.

The effects of ontology on epistemology and therefore on theory building are quite apparent in the case of the tripod ontology. There are certain issues like complexity, shared leadership, and relational concepts that researchers need to deal with adequately. The tripod ontology is too narrow to incorporate emerging leadership issues such as (1) complexity leadership, (2) shared leadership, and (3) relational theory (Drath *et al.*, 2008) for the reasons explained below.

Complexity Leadership Theory: A first area of leadership theory building that is contesting the full usefulness of the tripod ontology is the complexity theory. The borders between “locals” and “others” are simply blurred due to the globalization process that is occurring in almost all sectors of society – business, politics, culture, finance, arts, science, and even religion. Given the multidimensionality of globalization and its resultant complexity, the leadership research based only on the tripod ontology tends to lead to reductionism and determinism, which the complexity leadership theory (Marion & Uhl-Bien, 2001; Uhl-Bien, Marion, & McKelvey, 2007) seeks to avoid through holism – the tenet that posits the whole is more than the sum of its parts. Consequently, one cannot understand leadership through exclusive focusing only on the base leader-follower-common goals. Moreover, there is always an element of uncertainty in any complex system and therefore the determinism of the tripod ontology seems to fall short of developing a comprehensive leadership theory.

Shared Leadership Theory: A second area of leadership theory development that is challenging the tripod ontology beyond its limits is the emerging theory of shared leadership in recent years. Shared leadership is defined by Pearce & Conger (2003, p.1) as a “dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals or both.” The necessity of shared leadership largely stems from the complexity imposed by the external and internal dynamics of an organization. Shared leadership has come into existence to deal with the complexities of this nature (Contractor *et al.*, 2012). Pearce, Manz, and Sims (2014) have identified, based on their research on the leadership lessons driven from 21 organizations, four types shared leadership: (1) rotated shared leadership – “influence process passes from one to another in a purposeful way over

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time,” (2) integrated shared leadership – “influence is not just passed from person to person in a linear way but often unfolds as a simultaneous and reciprocal process of mutual influence,” (3) distributed shared leadership – “ways about power and influence sharing across a system,” and (4) comprehensive shared leadership – combines all of the above types in a “highly advanced shared influence process.” The tripod ontology is mostly silent with respect to these issues of shared leadership.

Relational Leadership Theory: A third area that is contesting the completeness and broad usefulness of the tripod ontology is the relational theory (Graen & Uhl-Bien, 1995; Murrell, 1997; Uhl-Bien, 2006). The relational theory, as a general conceptual scheme, elucidates that meaning creation is essential for leadership and is continuously made, maintained, and negotiated over time in the context of ongoing relationships in an organization. The ontological suggestion of such a general conceptual scheme is that the meaning of leader, followers, and common goals is not fixed. In fact, meaning is constantly being framed and reframed both contextually and periodically (Drath *et al.*, 2008). If the meaning of leadership entities significantly depends on the context of ongoing relationships, then the tripod ontology is put in doubt from the perspective of relational theory, as to its validity and usefulness in continuous meaning making for leadership theory and practice.

Drath *et al.* (2008) are of the opinion that the complexity theory, shared leadership approach, and the relational theory are the emergent ideas about leadership that are not addressable aptly by the tripod ontology that frames leaders, followers, and their shared goals as essential, indispensable elements of leadership. They propose a more integrative ontology, namely the DAC leadership ontology.

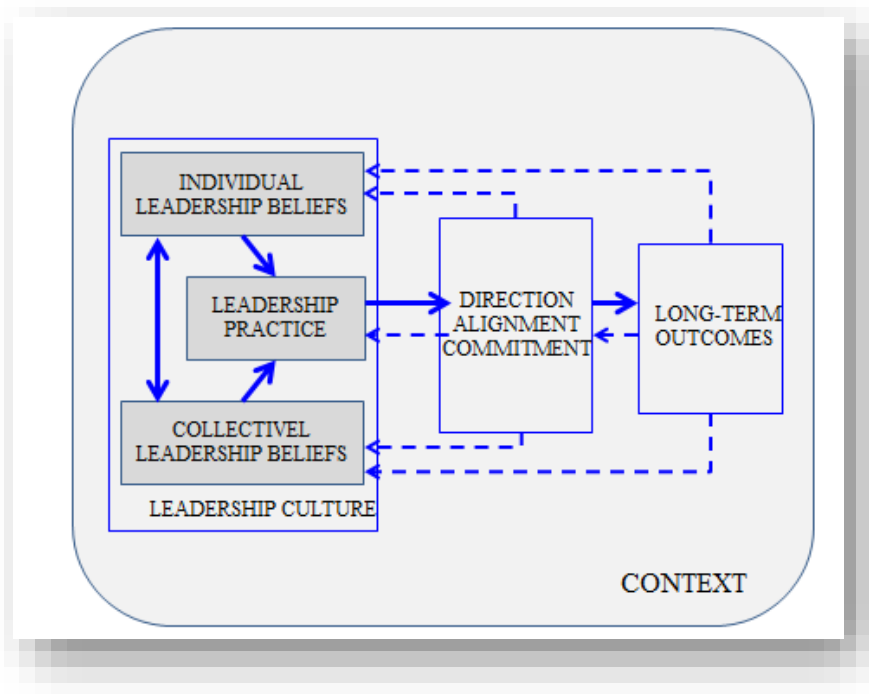
An Overview of the DAC Ontology

The DAC ontology of (Drath *et al.*, 2008) assumes and suggests that the creation and practice of the three leadership outcomes – direction, alignment, and commitment – fundamentally evidence the occurrence of leadership in organizations that drives longer-term success. The three leadership outcomes are described as: (1) *direction* is a “widespread agreement in a collective on overall goals, vision, and mission,” (2) *alignment* is “the organization and coordination of knowledge and work in a collective,” and (3) *commitment* is “the willingness of members of a collective to subsume their own interests and benefits within the collective interest and benefit.” The production and practice of direction, alignment, and commitment are due to the presence of the following vital enablers: (1) *Leadership beliefs* as dispositions to behave; (2) *Leadership practices* as a pattern in the behavior of the collective aimed at producing DAC; (3) *Leadership culture* as a system of belief-and-practice; (4) *Leadership context* as a background enveloping leadership culture, DAC, and long-term success (the leadership context is where leadership beliefs and practices generated and justified); (5) *Feedback loops* as a system of collective learning (organizational learning is essential – single-loop learning in association with leadership practices (Argyris & Schön, 1974) and double-loop learning in association with leadership beliefs (Argyris & Schön, 1974)); (6) *Short-term DAC outcomes* as leadership effectiveness indicators in producing DAC in the short-run (single-loop learning for effective leadership practice; and (7) *Long-term DAC*

outcomes as understanding and learning the context and its implications for the collective for adaptation (double-loop learning to alter the existing leadership beliefs for the benefit of the collective).

Figure 2 depicts how the above concepts relate to one another as a framework based on the DAC ontology. The first box in the figure is *leadership culture* and envelops individual and collective leadership beliefs that guide leadership practices. The solid-line arrows indicate the direction of feedforth influences whereas dotted-line arrows indicate feedback influences in the CAD ontology. The feedforth influences include (1) the interactions of individual and collective leadership beliefs, (2) the instantiations of some of the leadership beliefs in leadership practice, (3) the production of direction-alignment-commitment as the outcomes of leadership practice, and (4) the realization of long-term outcomes such as organizational learning, shared sensemaking, and social adaptation. Moreover, the feedforth influences relate mostly to outcome production. The dotted-line feedback influences, on the other hand, are concerned more with change of leadership culture. The feedback arrows from DAC and long-term outcomes pointing to both individual and collective leadership beliefs indicate double-loop learning whereas those pointing to leadership practice, directly or through DAC, typically entail single-loop learning in the sense of Argyris & Schön (1974). All these feedforth and feedback influences occur within the *context* of leadership.

Figure 2: A Leadership Framework Based on DAC Ontology



(Adapted from Drath *et al.*, 2008)

The DAC ontology expands the integrative potential of leadership theory developments and has some advantages over the tripod ontology in terms of (1) *levels of analysis*, (2) *cultures*, (3) *emerging theory*, and (4) *theory and practice* (Drath *et al.*, 2008).

Levels of Analysis: The tripod ontology assumes that leadership analyses are at the levels of dyadic influence and therefore any higher levels of analyses must aggregate dyadic interactions. The DAC ontology, on the other hand, enables the production of leadership outcomes at every level, ranging from dyad to team, team to organization, organization to organization of organizations, and even to overall society.

Cultures: The tripod ontology requires re-interpretation of leadership as one crosses cultural borders. The meaning and use of the concepts of leaders, followers, common goals, and influencing processes might considerably vary from one culture to another. The outcomes of the DAC ontology are culturally neutral because they are the results of leadership beliefs and practices. Since the beliefs and practices are the roots of direction-alignment-commitment production and naturally reflect the elements of the culture in question, the DAC ontology is therefore more integrative across cultures for leadership theory development.

Emerging Theories: The new areas such as shared leadership, complexity theory, and relational approach all put into debate the usefulness of the tripod ontology simply because such emerging concepts must be framed in terms of the leader-follower interaction which might not always be possible in all situations. This constraint became non-existent through the DAC ontology by not limiting the processes and structures in producing the leadership outcomes direction-alignment-commitment. Thus, the DAC ontology allows possibilities for the development of a new leadership theory that deals with shared work, complex situations, and relational issues.

Theory and Practice: Shared leadership is an emerging leadership practice which, one way or another, occurs in organizations at different degrees (Pearce, Manz, & Sims, 2014). Such emerging practices not contentedly described in terms of the tripod ontology do not matter and therefore are not easily made a part of leadership theory. In the case of the DAC ontology, any new leadership practice (shared leadership, complexity handling, and relational pursuits) that produces the outcomes direction-alignment-commitment are not only considered as leadership coordinates, but also are viewed as the potential originators of a new leadership theory (Drath *et al.*, 2008).

The DAC ontology transcends and includes the tripod ontology (*Figure 1*) with respect to two leadership tenets of the tripod ontology: (1) *characteristics* of leaders and followers, and (2) *behaviors* of leaders and followers. In the DAC ontology, “*leadership beliefs transcend* leader and follower characteristics because leadership beliefs can be about any aspect of how to produce DAC, but leadership beliefs also *include* beliefs about leaders and follower characteristics” (Drath *et al.*, 2008). With respect to behaviors of leaders and followers, “*leadership practices transcend* leader and follower behaviors to involve the total pattern of interactions and systems that produce DAC, but leadership practices also *include* the leader-follower interaction” (Drath *et al.*, 2008).

PVA – A New Leadership Ontology

Meaning Management and its three circularly related and supporting functions (cognitive, creative, and communicative) together frame the PVA ontology of leadership. The three functions with their formal conceptualizations detail the features and advantages of the PVA ontology that transcend and include the DAC ontology in a similar way that the DAC ontology does the tripod ontology. Moreover, the PVA is an epistemology-laden ontology since it provides propositions as to how to theorize the leadership outcomes “perception formation-value creation-achievement realization.”

Meaning Management

I posit that *meaning of management is management of meaning*, and within the context of leadership theory development, I claim that Meaning Management is the basis of leadership theory and practice. I conceptually define Meaning Management as:

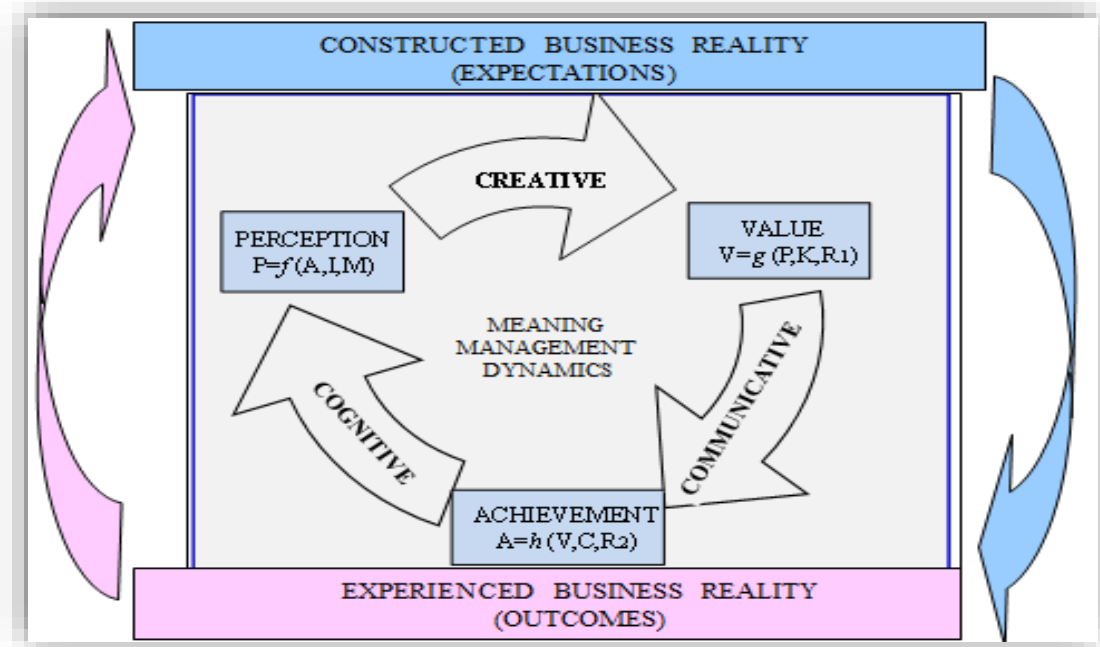
*managing the interactions of an organization with its internal and external environments through (1) perception formation of reality for the purpose of identifying organizational and managerial issues that need to be dealt with – **cognitive function**, (2) creation of value for its stakeholders by making products and rendering services – **creative function**, and (3) communication of the value built in the offerings of organization to both internal and external stakeholders for higher levels of achievement – **communicative function**.*

The above definition of Meaning Management implies that the output of the cognitive function is a *perception* of environments from an organization’s own perspective. There are factors that guide perception formation: achievement, information, and mental models of perceivers.

The creative function aims to theorize how value generated for stakeholders – and therefore its output – is *value*. The nature and magnitude of the value created depends on the perception formed previously, knowledge produced and used to perform value creating activities, and the resources and capabilities created and managed for this purpose.

The communicative function, on the other hand, is concerned with how the value embedded in the offerings of the organization effectively conveyed to the intended stakeholders. The more effective the communication is, the higher levels of achievement are realizable. Therefore, the output of the communicative function relates to achievement, whichever way the concept of achievement is defined and measured.

Figure 3: Leadership Ontology PVA



The Meaning Management definition above and its pictorial description in *Figure 3* also encapsulate that it is a never-ending circular process to narrow down any likely gap between “constructed reality – expectations” and “experienced reality – outcomes” – in fact, a seemingly unavoidable gap. The three functions of Meaning Management strive to align “constructed reality” with “experienced reality.” “Constructed reality” is the reality as perceived by the leadership of an organization and “experienced reality” is what an organization actually achieves. Therefore, any gap, especially an unfavorable one, between “constructed reality” and “experienced reality” is the main concern of Meaning Management and calls for a better and more effective implementation of its three functions. From this perspective, the concepts of fallibility and reflexivity of Soros (2003, 2009) somewhat coincide with Meaning Management. The concept of fallibility posits that the complexity of an organization’s business world or environmental context far exceeds the capacity of leaders to comprehend it completely. Consequently, leaders can perceive only a portion of environmental reality and this portion is frequently, if not always, distorted. The concept of fallibility of Soros (2003, 2009) is, in fact, a reformulation of the bounded rationality of Simon (1991); accordingly, leaders can only form incomplete and imperfect perceptions of an organization’s environment. The resulting “constructed reality” is therefore bound to have shortcomings in comprehensively reflecting the reality. This is the first source of having a gap between “constructed reality” and “experienced reality.”

The second source for the gap between “constructed reality” and “experienced reality” is due to the fact there are usually several organizations that are active in a given environment. Organizations are “thinking participants” and therefore they shape the very

nature of their environmental context as well as are shaped by it. These interactions make the environment of organizations constantly a changing phenomenon, explained by the concept of reflexivity of Soros (2003, 2009). The concept of reflexivity applies to situations that have thinking participants, and in the context of Meaning Management, organizations with their leaders are the thinking participants. Leaders' thinking activates two functions. The first one is cognitive function – understanding the world in which leaders work and live. The second one is manipulative function – changing the situation to the advantage of a leader's organization (Soros, 2009). This is, indeed, the case for every organization active in its given environment. Each organization is affected by the actions of other organizations in building its own constructed reality – causation from the world to the mind. Conversely, each organization has an impact on the collective conduct of organizations which contributes to the emergence of experienced reality – causation from the mind to the world (Soros, 2009).

As can be observed from *Figure 3*, the three functions of Meaning Management are spirally interrelated and supportive because one function follows the other, each time at a higher level, until the “expectations” prescribed or planned as implied by “constructed reality” sufficiently match the “outcomes” as dictated or imposed by “experienced reality.” Moreover, the passage from one function to the next, realized after a period of reflection, prompts leaders to reflect critically on their beliefs and practices that eventually guide their observations and perceptions to a more comprehensive view of leadership practice. It is important to additionally emphasize the mutual inclusiveness of the three functions of Meaning Management. They embed each other in the sense that while one function performs, the other two are also present and contribute to the one currently active. For instance, the creative function is affected by both cognitive function and communicative function – the former to create a perception to guide which activities are to be performed and the latter to show how these activities are realized to create value for stakeholders.

Having Meaning Management described in such general terms, it is now appropriate to formally explain its three functions as a more formal background for making connections with a leadership process through a set of theorizing propositions.

Cognitive Function – Sensemaking

The cognitive function of Meaning Management is, in essence, processing and using organizational intelligence to form a perception of the environmental characteristics that govern an organization's reality – in the past, present, and future. It encompasses three components: *Achievement A*, *Information I*, and *Mental Models M*. These three components incorporate in *Cognitive Function f* to form *Perception P* as follows:

$$P = f(A, I, M) \quad (1)$$

Perception – P: Perception is fundamentally a sensemaking process (Weick 1988, 1995) used to understand the environment in order to guide the proper functioning of an organization. An organization's leadership team (shared or vertical, or any practice between these two extreme types) is the perceiver because there is a need to

understand the environmental characteristics from the perspective of the organization in question. The role of a leadership team, as perceivers, in understanding the environmental characteristics of organizations has been reported in the literature on both strategy and organization studies. Sutcliffe (1994) investigated the factors influencing managerial perception formation in top management teams. Sutcliffe & Huber (1998) empirically studied the commonality of views about an organization's environment among the organization's top managers. Their results led to the conclusion that there is a significant consensus with respect to managers' perceptions within organizations and industries. Supported by this empirical evidence, the "perceiver" – in the context of Meaning Management – refers to a group of leaders, or in a more integrative manner, leadership actors.

Mental Models – *M*: Mental models have been on the research agenda of cognitive scientists for a long time. According to Johnson-Laird (1983), the history of mental models goes back to Charles Sanders Peirce (1839-1914), the father of pragmatism, although the concept of "mental models" has been more attributed to Craik in light of his book on the subject (Craik, 1943). Since then, cognitive scientists, most noticeably Johnson-Laird (1983) and Klimoski & Mohammed (1994), have concentrated on mental models as part of the efforts to understand how humans process information, create knowledge, form perceptions, and make decisions in a variety of settings.

There are many definitions of mental models. One of the most cited ones is credited to Senge (1990, p.8) and reads: "mental models are deeply held internal images of how the world works, images that limit us to familiar ways of thinking and acting." In the context of Meaning Management, however, I define mental models as:

cognitive structures that are continuously being rebuilt through both assimilating and accommodating theoretical and experiential knowledge gained over the years and are the basic mechanisms for perceiving and acting.

In a leadership team, it is not rare to have members with different mental models. In such cases, convergence of mental models toward a "shared mental model" is important for team performance. Dionne *et al.* (2010) developed an agent-based computational model to study the connection between "quality and convergence of mental models" and "leadership team performance." They concluded that leadership teams favoring and developing social network structure allowing high-density communicating perform much better than those who do not. This conclusion is also supported by cumulative evidence; that is, converged mental models positively influence leadership team functioning and performance (Edwards *et al.*, 2006; Mathieu *et al.*, 2005; DeChurch & Mesmer-Magnus, 2010). The above conclusions also support the idea of considering Meaning Management at a leadership team level.

Information – *I*: An acceptable clear definition of "information" has been a serious challenge for even information scientists themselves. Recently, however, McKinney Jr. and Yoos (2010) accepted this challenge and suggested a classification of information views so that scholars and practitioners might specify their concept of information. Their taxonomy of information views translates itself into the context of cognitive function as

follows: the mental models of leaders are the sources that determine what kind of information is needed. The other important feature of the taxonomy is that it requires an ontological stance shift, from the belief that there is an objective reality independent of perception, to the recognition that reality is, in fact, subject to perception. This understanding of information use coincides with the concept of “constructed reality” within the context of Meaning Management.

The way in which perceptions are formed depends, to a large degree, on the types of information collected and the methods by which they are processed. As a general practice, leaders need to collect the kind of information that will aid, when processed with the right methods of analysis, in the formation of a “constructed reality,” hopefully as close as possible to an “experienced reality.” The information analysis methods might include all sorts of appropriate qualitative and quantitative statistical techniques. In other words, statistics is an effective arsenal for data gathering and information processing for perception formation. Within the context of the cognitive function, information is the basis of both retrospective sensemaking (studying the consequences of past actions to refine the current ways of thinking) and prospective sensemaking (casting the organization’s situation into the future and perceiving accordingly) (Weick 1988, 1995).

Achievement – A : The level of “achievement” is the degree to which an organization is satisfied with its performance; in fact, a measure that indicates how close the “constructed reality” is to the “experienced reality.” The larger the gap between the two, the more attentive formulation of a new “constructed reality” is needed. If the gap is negligible, there is usually no need for a major modification in the way perception is currently formed unless an analysis of new information obtained suggests otherwise. Therefore, an evaluation of achievement – leading to a better understanding of the past – is a way for traditional retrospective sensemaking to occur and it inevitably produces refinements in the current way of thinking and hence, perception formation.

The Function f : The cognitive function f is the process by which perception is formed through a particular combination of using “achievement,” “information,” and “mental models.” Additionally, it also determines the “cognitive style of leadership” and the dominant process of sensemaking, both retrospectively and prospectively.

The discussions above about the nature of the cognitive function and its components therefore suggest that perceptions are formed in the manner leaders use organizational achievement, shared mental models of leadership team, and the kinds of information gathered and processed. These arguments lead to:

Proposition 1a: Organizational and managerial perception P is an output of the way the cognitive function $P=f(A,I,M)$ made operational through sensemaking processes at a single-loop learning level.

Proposition 1a posits that function f is fixed and produces perceptions in the same way, regardless of what the levels or characteristics of situation arguments A , I , and M might be. Put differently, the situation factors or variables A , I , and M might vary, but the way

they are used in forming Perception P is always the same: that is, f . This process of perception formation corresponds to the instantiation of the single-loop learning of Argyris & Schön (1974), since f is fixed for any values or scores of the situation factors. However, there might be emerging complexities and practices which may demand or necessitate a higher level of cognitive function: F , for instance, instead of f , to cope with such situations. Replacing cognitive function f with a higher level of cognitive function F is a significant transformation in the way perception is formed. Such a mind-set conversion invites the double-loop learning process of Argyris & Schön (1974). Therefore, I posit:

Proposition 1b: Organizational and managerial perception P is an output of the way the cognitive function $P=F(A,I,M)$ made operational through sensemaking processes at a double-loop learning level.

The usefulness of and need for Proposition 1a and Proposition 1b become apparent through the example of following simple regression models. If the parameters a and b in $Y = a + bX$ remain unchanged for any value of X , then a single-loop learning is present. In this case, we do not change the way we estimate the value of Y given X . However, if the value parameters a and b in $Y = a + bX$ change as X varies, then a double-loop learning process is active as we do change the way we estimate the value of Y as X varies.

Creative Function – Sensegiving, Sensemaking, and Sensepracticing

The creative function of Meaning Management is associated with the process of value creation in organizations for their stakeholders through all sorts of activities and operations. At the heart of creative function reside *knowledge production* and *its use* in order to solve problems, better understand managerial issues, develop new products, improve processes, and design and implement new methods and procedures. It encompasses three components: *Perception P* , *Knowledge K* , and *Resources R_1* . These three components theorized in *Creative Function g create Value V* :

$$V = g(P, K, R_1) \quad (2)$$

The expression in (2) involves five concepts and their relationships in a general way. The concept of *Perception P* is already explained while discussing the cognitive function. Within the context of the creative function, however, the “perception” formed previously is used as the basis of sensegiving to those who are in charge of value creation so that they can engage in their own sensemaking for themselves and then sensepracticing it in their decisions and activities. The definitions and/or descriptions of the remaining others as well as their general relationships are provided below.

Value – V : Value is the totality of net benefits created by an organization for its stakeholders – shareholders, managers, employees, customers, suppliers, creditors, government, and the public at large. Net benefit is the difference between the “worth” in the mind of the buyer and the “price” of what the buyer is paying. In general, if the “worth” created by an organization is higher than what the stakeholders are willing to stake, then a value is created. For shareholders, if the prices of shares increase and

handsome dividends paid because of the profit made, then a value is created. Managers and employees consider it value created when they have financial rewards and job satisfaction. If products and services are provided at prices lower than what customers are willing to pay, then a value is created for customers. Suppliers consider it value created if they become regular and significant collaborators of an organization's supply and value chain system. Creditors are happy when an organization is able to create financial superiority through its activities. Government values the activities of an organization when handsome profits are made and commensurate taxes are paid; this provides a major source of revenue for the government as well as maintains employment at higher levels resulting in a social tension reducing contribution.

Knowledge – K : The bottom line of creating value for stakeholders is to produce all sorts of actionable knowledge – technological, managerial, functional, social, and organizational – *and* to embed it in making products and rendering services. Producing actionable knowledge and using it to create value for stakeholders is the very fundamental feature of successful competition. This understanding is supported by both theoretical and empirical studies from the perspective of “knowledge-based view of the firm” (Kogut & Zender, 1992; Choi & Lee, 2002; Reus *et al.*, 2009). Consequently, the development of organizational knowledge creation has become a central issue and research agenda for several organization scientists (Nonaka, 1991, 1994; Nonaka & Konno, 1998; Teece, 1998; Nonaka & von Krogh, 2009). The most influential of all is the concept of knowledge-creation through knowledge-conversion in organizations, the development of which is ignited and inspired by the seminal article of Nonaka (1994).

Nonaka's and his colleagues' influence in the area is mostly, and rightly, due to the knowledge-creating model they developed and actually implemented in several organizations. The main features of their model are described by the following statements: (1) *Explicit* and *tacit* knowledge are two distinct types of knowledge. (2) It is possible to convert one type of knowledge into another type as well as onto itself. (3) Possessing these features, the knowledge-creating model is, in fact, a model of “value-creation” itself, for it implants the knowledge thus generated in products, processes, and methods, eventually resulting in value creation. Therefore, knowledge-creation and use form the basis of the creative function of Meaning Management.

Resources – R_1 : Organizational knowledge creation requires deployment and development of certain sets of resources and capabilities, which in turn necessitates “knowledge investments.” The knowledge-creation model of Nonaka & Takeuchi (1996) posits that the presence of “enabling conditions” such as intention, autonomy, creative chaos, redundancy, and requisite variety, is needed for the (tacit → tacit), (tacit → explicit), (explicit → explicit), and (explicit → tacit) types of knowledge conversion. Such conversions require people, time, perseverance, sensegiving, sensemaking, and sensepracticing, which all eventually result in a demand for both financial and non-financial resources. Reus *et al.* (2009) developed a model of knowledge investments and value creation based on the very assumption that “knowledge creates value.”

The Function g : The creative function g is the process by which “value” created through a particular combinational use of “knowledge,” “resources,” and “perception.” Any combination of this triad corresponds to a particular leadership approach that enables value creation in a certain way. The creative function is based on sensegiving (the perception formed needs to be communicated by the leaders to others in the organization); sensemaking (the others need to make sense of the perception communicated by the leadership processes), and sensepracticing (the value creators need to put the sense made into practice).

The discussions above regarding the nature of the creative function of Meaning Management therefore suggest that value is created in the manner the leaders use the perception formed previously via the cognitive function in deciding, conducting, and aligning organization’s activities through organizational knowledge creation and use, and deploying the required resources for this purpose. Hence:

Proposition 2a: Value created V is an output of the way creative function $V=g(P,K,R1)$ is made operational through sensegiving, sensemaking, and sensepracticing processes at a single-loop learning level.

Proposition 2a postulates that function g is fixed and, therefore, creates value in the same way regardless of the way the situation factors P , K , and $R1$ present themselves. In other words, the situation factors or g variables P , K , and $R1$ might vary, but the way used in creating Value V is always the same; that is, function g . This process of value creation is unchanged – since g is fixed, and with this type of using creative function, the single-loop learning of Argyris & Schön (1974) marks the occurrence and nature of organizational learning. However, there might be emerging complexities and practices that might demand or necessitate a higher level of creative function, G , for instance, instead of g , to cope with such possibilities. Replacing creative function g with higher level of creative function G is a significant conversion in the way value created. Such an important mind-set change, again invites the double-loop learning process of Argyris & Schön (1974). Therefore, I posit:

Proposition 2b: Value created V is an output of the way creative function $V=G(P,K,R1)$ made operational through sensegiving, sensemaking, and sensepracticing processes at a double-loop learning level.

Communicative Function – Sensegiving

The communicative function of Meaning Management is the process of persuading stakeholders as to the nature and magnitude of value built-in and offered by organizational activities. The communicative function strives to realize through communication an achievement level as high as possible. It entails three components: *Value V* , *Communication C* , and *Resources R_2* . These three components incorporate in *Communicative Function h* to realize *Achievement A* as follows:

$$A = h(V, C, R_2) \quad (3)$$

The expression in (3) again involves five concepts and their relationships in an abstract manner. The two concepts, *Value V* and *Achievement A* , are already explained when

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discussing the cognitive function, achievement, and the creative function, value, respectively. Within the context of the communicative function, “value” is the basis of the sensegiving process to persuade stakeholders. The definitions and/or descriptions of the remaining as well as their relationships are summarized below.

Communication – C : There are two categories of communication: internal and external. Internal communication refers to those communications (be they one-way or two-way types) taking place within the organization between its people in different units or departments. The importance of internal communications between departments is conceptualized by Little and Little (2009) in connection with the service quality delivery involving the units of human resource management, operations, and marketing. Similarly, Ahmed *et al.*, (2010) link managerial communication with performance. The essence of internal communications necessitates both sensegiving and sensemaking processes. External communication, on the other hand, is the process of persuasion by which the value of organizational offerings is conveyed to stakeholders, especially to customers, suppliers, shareholders. The main activities and means of the persuasion process include marketing, advertisement, impression management, public relations, promotions, special events, sponsorships, contributions to charity organizations, respectable corporate governance compliance, and many other social awareness and responsibility activities. It is of prime importance to establish connections between an organization and its business environment through communications in order to influence the latter in favor of the former so that a high level of achievement is realized. The bottom line of external communication is, therefore, sensegiving, and mainly to external stakeholders.

Resources – R_2 : Both internal and external communications require different types of resources: top managers and middle managers in all functions of the organization along with supportive financial, physical, and intangible assets for effective internal communication as well as the top management and marketing-sales people supported by financial and organizational capabilities for effective external communication.

The Function h : The communicative function h is the process that aims at reaching the highest possible level of “achievement” through a particular combinational use of “value,” “communication,” and “resources.” “Resources” are created and used in “communicating” activities in order to persuade stakeholders of the value embedded in an organization’s offerings so that the most favorable “achievement” is attained. The communicative function is, by its very nature, mostly governed by sensegiving processes. Consequently,

Proposition 3a: Achievement A is an output of the way the communicative function $A=h(V,C,R_2)$ is made operational through sensegiving processes at a single-loop learning level.

Proposition 3a advances the concept that function h is fixed and, therefore, realizes achievement in the same way regardless of what the levels of the situation factors V , C , and $R2$ might be. Again, the situation factors V , C , and $R2$ might vary, but the way they are used in the realization of Achievement A is always the same; that is, h . This process of achievement realization remains unchanged – since h is fixed, and with this feature of communicative function, the single-loop learning of Argyris and Schön (1974) is present in organizational learning. However, there might be emerging complexities and practices that might demand or necessitate a higher level of communicative function, H , for instance, instead of h , to cope with such settings. Replacing communicative function h with another communicative function H is a significant change in the way achievement realized. Such an important mind-set transformation, again, requires the double-loop learning process of Argyris and Schön (1974). Therefore, I posit:

Proposition 3b: Achievement A is an output of the way the communicative function $A=H(V,C,R2)$ is made operational through sensegiving processes at a double-loop learning level.

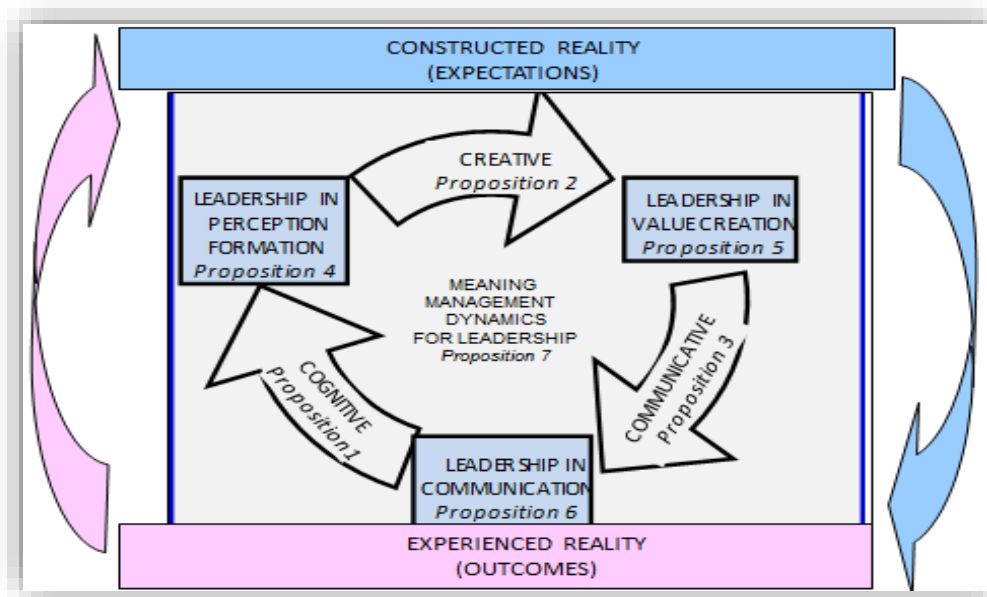
Implications for Leadership Theory

The three major propositions for each function of Meaning Management (in fact, stated in terms of six minor propositions) given above solely relate to the three functions of Meaning Management. In this section, I present four more major propositions that link Meaning Management to leadership theory. *Figure 4* shows how the seven major propositions are positioned vis-à-vis each other within the context of Meaning Management.

Leadership for Perception Formation

Perception formation is defining the reality of an organization and therefore becomes the very fundamental basis of all decisions and actions that follow. Moreover, an organizational perception is expected to give prominence to *doing the right and good things*. Forming a perception that eventually exhorts doing the right and good things involves a leadership process for perceiving. Leadership without a perception might lead to failure and a perception without leadership might not even exist; therefore, leadership and perception must coexist as one without the other is practically, as well as conceptually, unthinkable. Hence, perception requires wisdom which is a higher level of reasoning that combines goodness, wellness, intelligence, creativity, knowledge, and experience.

Figure 4: Leadership Ontology PVA and Theorizing Propositions



Although a generally agreed-upon definition does not yet exist, many definitions of wisdom, as in the case of leadership, are offered in the literature. Below are two mutually supporting definitions:

Wisdom is an analytic theory of expert knowledge, judgment, and advice about difficult and uncertain matters of life (Baltes & Kunzmann, 2004).

Wisdom, from the cognitive dimension, is an understanding of life and a desire to know the truth, i.e., to comprehend the significance and deeper meaning of phenomena and events particularly with regard to intrapersonal and interpersonal matter. From the reflective dimension, wisdom is a perception of phenomena and events from multiple perspectives (Ardelt, 2004).

The above definitions reflect two main approaches to wisdom: (1) wisdom as “an expert knowledge system” of the collective as advocated by the Berlin Group (Baltes & Kunzmann, 2004), and (2) wisdom as “a personality quality” integrating cognitive, reflective, and affective dimensions as advanced by Ardel (2004). In this paper, however, wisdom, as a dominant required virtue for the cognitive function of Meaning Management, is defined as follows:

Wisdom is an ethical perception formation of an organization and its enacted environment from multiple perspectives for the betterment and appreciation of all involved and beyond.

The above definition of wisdom intends to integrate *leadership-related wisdom* (Yang, 2011) and *wise person* – a definition that asserts that wisdom is realized through wise persons and wise persons enhance cumulative wisdom. It therefore assumes that there exists an interplay between implicit (Ardelt, 2004) and explicit (Baltes & Kunzmann,

2004) theories of wisdom. The implicit theory defends that wisdom is realized because of wise persons whereas the explicit theory emphasizes that wisdom is the property of the collective and wise persons are only approximate carriers of the collective wisdom (Sternberg, 2004). Leadership for cognitive function requires leadership-related wisdom as well as wise leaders to retransform leadership-related wisdom into practice for the betterment and appreciation of all involved. Leadership-related wisdom is also a vision of things as they relate to an organization and its environments as seen from multiple perspectives; therefore, vision is associated with perception. In other words, the constructs “leadership,” “wisdom,” and “perception” are related to one another in important ways. In conclusion, perception is to be formed using “leadership-related wisdom” by “wise leaders” so that betterment and appreciation of all involved are realized.

A “visionary” style of leadership, as described by Goleman, Boyatzis, and McKee (2002) is most appropriate in this context. They define a visionary leadership style as the one that builds resonance by moving people toward shared dreams; it is most appropriate when changes require a new vision or when a clear direction is needed in an organization. Visionary leadership must articulate where an organization or a group should go, but not how it should go there. Followers are expected to innovate, experiment, and take calculated risks to realize the vision envisaged. Perception usually means a new vision and therefore the cognitive function calls for a visionary style of leadership. These statements lead to:

Proposition 4: Wisdom is the very foundation of the cognitive functions $P=F(A,I,M)$ and determines the way achievement, information, and mental models are made operational in sensemaking toward perception formation leadership.

Leadership for Value Creation

The primary output of the creative function is value and value is created by knowledge acquisition, development, and use in all activities of an organization. In other words, leadership processes and organizational practices are contingent upon knowledge-related activities (Lord & Shondrick, 2011). Leadership for the creative function is essentially leadership in organizational knowledge generation and use. Put differently, leadership in knowledge-related activities is equivalent to leadership in value creation.

Perception, as an output of the cognitive function, is, in fact, a “theory” of environment from the perspective of an organization. This “theory” of an organization connected to the reality of environment through the creative function of Meaning Management first prescribes and then imposes which kinds of activities need to be realized and how these activities are to be actually carried out to create value. Through efficient and effective fulfillment of such activities, an organization finds itself connected to the business environment and consequently reaches a certain level of achievement. Therefore, it is knowledge, especially actionable knowledge, that molds efficient and effective realizations of value-creation activities.

The creative function entails vision for general direction, mission for what is to be accomplished, and action for value creation. Given the organizational knowledge

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creation model of Nonaka and Takeuchi (1996), it is important to have all the six leadership styles suggested by Goleman, Boyatzis, and McKee (2002) put into practice. This is the “visionary” style needed for directing knowledge workers in an organization as to what kind of knowledge to create. The second leadership style is “coaching” which builds resonance in leadership by connecting what a person wants and attains with the organization’s goals. Coaching style is appropriate when there is a need to help knowledge workers improve their performance by building long-term capabilities. Knowledge creation necessitates such a leadership style in order to align knowledge workers’ objectives with an organization’s goals. The third leadership style, “affiliative,” creates harmony by connecting people to each other so that the process of sensegiving, sensemaking, and sensepracticing is realized effectively in knowledge creation. This type of leadership is instrumental to heal discords in a team, motivate knowledge workers during stressful times, and reinforce connections. It is more effective when affiliative leadership carried out in tandem with a “visionary” style. The fourth leadership style is “democratic” which values people’s input and generates commitment through participation. Such a process appeals to those who are interested in, and capable of, contributing to knowledge creation in organizations. The participation process brings into play different and new ideas as to what kind of knowledge is needed and how such knowledge is created. It is also a way of building consensus among knowledge workers. The fifth leadership style, “pacesetting,” which tries to meet challenging and exciting goals, is appropriate to obtain high-quality results from a motivated and competent team. The leaders of this style usually do not resist the temptation of getting personally involved in completing the task, especially under pressure. Goleman, Boyatzis, and McKee (2002) advise that the “pacesetting” style should be exercised with “visionary” and “affiliative” styles. The sixth, and the last leadership style, is the “commanding” type. It builds resonance in organizations by soothing fears through giving clear direction and instructions, especially in cases of crisis, emergencies, or turnaround efforts. However, this style of leadership needs to be exercised occasionally and carefully, for it creates a highly negative climate when used frequently.

Proposition 5: Knowledge expertise is the very foundation of the creative function $V=G(A, K, R1)$ and determines the way perception, knowledge, and resources are made operational through sensegiving, sensemaking, and sensepracticing toward value creation leadership.

Leadership for Achievement Realization

Leaders, whether their leadership positions are formally given or informally gained because of their individual merits, have status of one kind or another in their organizations. Such status, when coupled with formal authority, puts them in positions to establish and play interpersonal roles with others such as *figurehead* – representing their organizations in all matters of formality and *liaison* – linking the business environment with organizations through interacting with peers and other people outside their organizations to gain favors and information (Mintzberg, 1973). In the *liaison* role,

leaders are able to develop a special kind of external linkage system. They connect their organizations to their business environments, using their arrangements and networks to advance and enhance their intelligence about “experienced reality” to shape “constructed reality” better.

The interpersonal roles above place leaders in unique positions to acquire information. Their external contacts, through the *liaison* role, bring special outside information and their leadership activities serve to make them a focal point for organizational information. The result is that leaders emerge as the key nerve system of organizational information system (Mintzberg, 1973), and therefore as key actors of both internal and external communication. Internal and external communications are realized, following the findings of Mintzberg (1973), through three types of “informational roles,” namely, *monitor*, *disseminator*, and *spokesman*, in addition to *negotiator* of “decisional roles.” Leaders as *monitors* continuously seek information that enables them to understand what is taking place in their organizations as well as within their business environments. Understanding this business environment – which includes perceiving the perceptions of the external stakeholders – occurs by obtaining a wide variety of information from a wide variety of sources. A leader’s *monitor* role exists when leaders establish and use their own special communication channels as well as benefit from their organizational formal information systems. Leaders as *disseminator* communicate and infuse external information into their organizations and internal information from one unit to another. The information communicated through the role of *disseminator* is of two distinguishable types: factual and value-laden (Mintzberg, 1973). Factual information is a matter of fact information and is easy to validate whether it is correct or incorrect. Value-laden information that leaders communicate, on the other hand, reflects preferences, judgment, opinions, reasoning, beliefs, and even decisions to guide subordinates in making decisions and taking actions. Therefore, this type information necessitates both sensemaking and sensegiving for effective communication. The *spokesman* role of leaders deals with transmitting information out to their environments to communicate the value of their offerings so that the level of achievement is realized as high as possible. The aim is not to have an unfavorable gap between “constructed reality” and “experienced reality.” The *negotiator* role of leaders is that of participant in negotiation activity that entails all sorts of business and non-business deals with other organizations in the environment. This role is a vital part of leadership since it partially determines the level of organization’s achievement through persuading external actors. The *negotiator* role is better played when accompanied by the roles of *figurehead* and *spokesman*, for they add credibility and reflect the value system of organization’s leadership.

Proposition 6: Persuasion expertise is the very foundation of the communicative function $A=H(V, C, R2)$ and determines the way value, communication, and resources are made operational through sensegiving toward achievement leadership.

Meaning Management Dynamics – Shared and Integrated Leadership

The continuous and circularly feeding nature of the three functions of Meaning Management can be termed “Meaning Management Dynamics for Leadership.” Any function of Meaning Management by itself necessitates “shared leadership” in the sense

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of Pearce and Conger (2003) and Pearce (2004) simply because of the complex and demanding characteristic of each. For instance, the perceivers of an organization, usually a top-level management team, might base their perception formation task (cognitive function) on shared leadership to become more effective. Similarly, the value creators - mostly production and middle managers - might rightly depend on shared leadership in creating value (creative function). Finally, communicators or marketing managers might perform their task of communicating the value inherent in the offerings of the organization to intended stakeholders (communicative function) based on shared leadership model again.

Any continuous and circular use of all the functions of Meaning Management, on the other hand, is even a more complex and demanding process and therefore necessitates more than shared leadership models. The “integrated leadership” model of Locke (2003) is much more appropriate in the case of Meaning Management Dynamics. The integrated leadership model is a combination of “top-down,” “bottom-up,” and “shared” leadership models. Recalling that cognitive function is for perception formation and transmitting it throughout the organization, perception leadership mainly implies a “top-down” model within Meaning Management Dynamics when the entirety of the organization is considered. The creative function, in addition to the shared leadership model, might require both “top-down” and “bottom-up” leadership models simply because of the need for alignment of decisions and actions required to realize the achievement level envisioned.

Proposition 7: Any gap between constructed reality and experienced reality narrows down through the continuous and circular employment of Management Meaning based on integrated leadership models.

Both DAC and PVA ontologies seem to sound similar to one another on the surface but they differ considerably from one another in terms of theorizing leadership outcomes. The DAC outcomes are only at conceptual levels whereas the PVA outcomes are formally theorized through seven propositions and each proposition is explicitly linked with the concepts of sensemaking, sensegiving, and/or sensepracticing. These features distinguish the PVA ontology from the other two as an epistemology-laden ontology of leadership.

Concluding Remarks

It is interesting to observe that leadership theory and research have historically evolved in the sequence of methodology, epistemology, and ontology rather than in the order of ontology, epistemology, and methodology (for a 25-year review of leadership literature, see Day *et al.* 2014). It seems as the knowledge domain enhances, leadership researchers move from trivial and simple issues (like “great man” leader models) to much more complex challenges and sophisticated issues (like shared leadership with relational theory), suggesting that there is a trend from methodology to epistemology. With the implicit ontology of Bennis (2007), the tripod, and with the explicit DAC ontology of Drath *et al.* (2008), we are now moving from the epistemology domain to the ontology domain. The current paper is also in that direction by proposing the PVA ontology.

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Leadership, although it is a very old subject of interest to many scholars and practitioners for research, still is widely considered as a challenging topic of study, and it seems that researchers, in this kind of inquiry, employ different approaches reflecting a wide variety of perspectives. This paper has discussed the leadership process through a theory called Meaning Management.

It would not be overly presumptuous to claim that we are “educated ignorant” researchers in leadership: “educated” because we think we know certain things about leadership and “ignorant” because we do not know the rest. And the “rest” is colossal. Therefore, the sign of “help wanted” needs to be shown on the front window of leadership research shop so that it can be seen from all directions. Being aware of our partial ignorance on the subject offers great opportunities to do research on leadership from different and enhanced perspectives.

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Coexisting Values in Healthcare and the Leadership Practices That Were Found to Inspire Followership Among Healthcare Practitioners

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Abstract

Healthcare delivery in the United States has a storied history that has led the American public to expect that their Health Care Practitioners (HCPs) will personally and professionally enact values such as altruism, benevolence, equality, and capability. A progressive set of events that involves the implementation of the market-based solution in the Patient Protection and Affordable Care Act has led healthcare organizations to become increasingly concerned with a conceptually different set of values. It has become more necessary for healthcare organizations to dedicate attention to market values (e.g., competition; productivity) as they operate in an environment that is commonly described as a \$3.3T industry. There is significant concern that important care values are being sacrificed as the U.S. health system becomes increasingly commercialized. It is also believed that HCPs are experiencing increasing levels of demoralization and burnout as a result of their inability to realize their personal and professional care value preferences. A qualitative investigation into the experiences of a selection of HCPs served to reveal how the administration in a large health system fosters compatibility among personal, professional, and market value priorities via an application of the tenets of values-based leadership. Study outcomes also feature implications for both the servant leadership and transformational leadership constructs.

Introduction

The American healthcare system has a rich and storied history that is rooted in a set of care-oriented values. These values are reflected in the mission statements of healthcare organizations (Graber & Kilpatrick, 2008), and the oaths that Healthcare Practitioners (HCPs) swear to uphold (Aquilar, Stupens, Scutter, & King, 2013; Gabel, 2013). As a result, the American public has rightfully come to expect that their healthcare institutions will maintain a patient-centered focus and that the HCPs who practice within these organizations will personally and professionally enact values such as altruism, advocacy, beneficence, capability, and equality (Graber & Kilpatrick, 2008; Moyo, Goodyear-Smith, Weller, Robb, & Shulruf, 2015; Schwartz, 1994).

Events like those that surrounded the expansion of employer-financed health insurance and the more recent implementation of the market-based solution in the Patient Protection and Affordable Care Act (PPACA) have connected healthcare organizations to a newer and conceptually different set of values. Market values emphasizing competition and productivity now appear as commonplace in a competitive environment that is often

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described as a \$3.3 Trillion industry, one where it is increasingly difficult to distinguish between profit-driven healthcare entities and their not-for-profit counterparts (Cameron & Quinn, 2011; Evetts, 2011; Freidson, 2001; Gabel, 2013; Light, 2010; Relman, 2007; Thorpe & Loo, 2003). Regardless of the type of system they are managing, health system administrators must direct significant attention toward the pursuit of market values in order to sustain organizational viability.

It is expected that HCPs will pursue their personal and professional preferences for *care* values, as they simultaneously work to uphold *market* values (e.g. productivity; efficiency), and it is they who are most likely to directly experience the consequences that emanate from such expectations. Given that few, if any, studies have sought to explore HCPs lived experience with expectations that they uphold care and market values, four physicians and four nurses were recently selected into a qualitative study that was intended to illuminate their experiences. While all eight of the participants do work within the same health system, the four physicians practice in discrete areas and the four nurses represent three different practice areas. Through the conduct of the study of the HCPs' experiences with expectations that they simultaneously uphold care and market values, it was found that their system administrators inspire followership among the HCPs via an adherence to the ethical and moral tenets of values-based leadership. The system's leaders demonstrate integrity and balance the needs of multiple stakeholders as they work to foster compatibility among personal, professional, and market value priorities.

Personal, Professional and Market Values in Healthcare

Values are considered to be one of the main catalysts of human behavior (Kluckhorn, 1951; Rokeach, 1973; Schwartz, 1994) and are central to most organizational phenomenon (Connor & Becker, 1994). In the study of coexisting values in healthcare, human values were conceptualized as existing at the individual (i.e. personal) and collective (i.e. professional; organizational) levels (Rokeach, 1973; Schwartz, 1994). Values serve as guiding principles in the life of an individual and/or social entity and as such, all value types (personal, professional, and market) were treated as sources of goal-based motivation (Kluckhorn, 1951; Maslow, 1959; Rokeach, 1973; Schwartz, 1994; Williams, 1968).

This inquiry was predicated on the view that *personal* values are a complex proposition involving cognition, affect, approval, and selection of behavior (Kluckhorn, 1951; Parson & Shills, 1951; Schwartz, 1992). Through the course of the study, it was confirmed that the personal value preferences of many of the participants informed the choice to become an HCP and that personal values were further refined through common socialization processes (e.g. medical training; patient interaction). *Professional* values are commonly conceptualized as guiding the actions of a collective and are believed to promote smooth interactions among and between the members of the various medical professions (Arnold, 2002; Schein, 2010). The professional values of HCPs are reflected in public declarations that doctors and nurses make, and therefore commit to uphold. A modern-day version of the Hippocratic Oath is included as Appendix A and the American

Nursing Association's Code of Ethics can be found in Appendix B. Studies and manuscripts that are based on public declarations and notions of medical professionalism emphasize altruism as an overarching professional value. Benevolence, advocacy, non-maleficence, compassion, and human dignity values are also commonly referenced as being integral to the delivery of patient-centered quality care.

Much of the research that involves the study of HCP values is based on the common belief that it would be nearly impossible to make a clear conceptual distinction between those values that are personal and those that are professional (Dose, 1999; Moyo, et al., 2015; Pipes, Holstein, & Aquierre, 2005; Thorpe & Loo, 2003). In practice, HCPs may also experience difficulty drawing such a distinction (Dose, 1997). The idea that an HCPs' personal and professional values are inextricably linked was reflected in the words of one of the research participants when he said, "I think they're so ingrained, to be able to separate one from the other, would be very hard" (D.9). In their effort to identify the *personal and professional* values that are most relevant to HCPs, Moyo, et al. (2015) found the values of altruism, fairness, and capability to be predominant among HCPs and the interviews with those who participated in the study confirmed their preferences for such values.

For HCPs, their personal and professional values function as interpretive criteria. As such, they form the basis for justifying the actions they take and judging the events that they may encounter (Kluckhorn, 1951; Rokeach, 1973; Williams, 1968). The investigation was further based on a general agreement that certain values may either conflict or be compatible depending on the degree of perceived similarity (Meglino & Ravlin, 1998; Parsons & Shils, 1951; Schwartz, 1994). While it is possible that values may be reprioritized for the purpose of selection of action (Parsons & Shils, 1951; Rokeach, 1973), all eight of the participants expressed a preference for giving priority to the pursuit of care values over any market values that their organization may emphasize.

Cameron & Quinn's (2011) research on organizational effectiveness indicators led them to the development of the Competing Values Framework. Their framework features an identification of four discrete values that exist across a range of organizational types and "the core values that dominate a market type of organization are competitiveness and productivity" (Cameron & Quinn, 2011, p. 44). According to these researchers, the primary objectives of market-oriented organizations involve the pursuit of "profitability, bottom-line results, strength in market niches and a secure customer base" (Cameron & Quinn, 2011, p. 44), and they found that organizations began to place an increased emphasis on *market* values in the late 1960s, as they faced "new competitive challenges" (Cameron & Quinn, 2011, p. 44). The timing of the increased emphasis on market values such as competition and productivity coincided with the arrival of national health insurance and an expansion of employer-financed health insurance (Freidson, 2001). The resulting increase in the reliability of payments for medical services attracted private investment from those seeking profit (Freidson, 2001). The trend toward the increased presence of profit-seeking entities (e.g. insurance and pharmaceutical companies; the makers of medical devices) has been augmented by a public policy

agenda that led up to the market-based solution found in the Patient Protection and Affordable Care Act (PPACA).

While it is acknowledged that the PPACA has served to extend insurance coverage and improve health outcomes (Frean, Gruber, & Sommers, 2017; Shartzer, Long, & Anderson, 2016; Sommers, Gunja, Finegold, & Musco, 2015), the policy also fosters a fee for service and insurance reimbursement payment structure where providers are motivated to deliver as many services as can be justified and insurance companies seek to protect bottom-line profitability (Larkin, Swanson, Fuller, & Cortese, 2016). The weight that is placed on patient satisfaction in the value-based purchasing provisions of the PPACA and the related public reporting of patient experience data on the Centers for Medicaid and Medicare (CMS) website, has served to further advance the attention directed towards the pursuit of market values. Hospitals' reimbursement payments are linked to the patient experience data (Cleary, 2016; Junewicz & Yougner, 2016) and this creates an incentive for hospitals to encourage their HCPs to make decisions that are consistent with increasing patient experience scores (Zgierska, Rabago, & Miller, 2014). The public reporting of patient experience data for individual physicians and hospitals and the expanded use of this data by entities that pay for healthcare spurs competition among providers and the systems within which they work. It has also been asserted that the current emphasis on patient satisfaction has exacerbated the role of patient as consumer (Junewicz & Yougner, 2016; Zgierska, Rabago, & Miller, 2014).

The presence of profit-driven entities, the reliance upon markets in healthcare reform and emergence of conveniently accessible and less costly alternatives to traditional care models have made it necessary for health system administrators to focus on market issues in order to ensure system viability and promote the long-term survival of the entities over which they have stewardship (Evetts, 2011; Handel & Gefen-Liban, 2003; Heifetz, 1994; Light, 2010; Martin, Armstrong, Aveling, Herbert, & Dixon-Woods, 2015; Meglino & Ravlin, 1998). Market values emphasizing competition, productivity, cost efficiency, and risk-taking now undergird the delivery of care in most healthcare organizations (Evetts, 2011; Handel & Gefen-Liban, 2003; Relman, 2007).

The trend towards a market-based health system which celebrates the aforementioned values has caused some to posit that the values which traditionally guided the practice of medicine are irrevocably receding as the American healthcare system becomes increasingly commercialized (Freidson, 2001; Melia, 1995; Relman, 2007). Furthermore, some have raised significant concerns regarding the social commitment that health systems have made to their patients and to society at large (Freidson, 2001; LeDuc & Kotzer, 2009; Relman, 2007; Sikka, Morath, & Leape, 2015).

Studies that compare the conventional values found in healthcare to those of the market suggest that HCPs and healthcare executives have different value orientations (Graber & Kilpatrick, 2008; Handel & Gefen-Liban, 2003; Thorpe & Loo, 2003). HCPs are likely to be sensitive to imbalances between the values espoused in their organizational mission statements (see appendix C for examples of such statements), and those values that are practiced or emphasized by their leadership (Argyris & Schon, 1974; Meglino & Ravlin, 1998; Senge, 1990). System leaders may therefore experience problems when they

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attempt to infuse market values into organizations wherein the members (e.g. HCPs) prefer the pursuit of values such as altruism and equality over those that promote organizational self-interest.

The problematic consequences of this coexisting values phenomenon may be most directly experienced by HCPs. In instances where their personal and professional care values conflict with those of the market, it has been posited that these HCPs may experience demoralization and feelings of subjective incompetence (de Figueiredo, 2015; Gabel, 2013). HCPs may ultimately experience burnout when they are unable to reconcile their personal and professional values (e.g. fairness; altruism) with opposing values (e.g. productivity; power) they encounter in their work environment (Maslach & Leiter, 1997; Schwartz, 1994).

Burnout has been found to be prevalent in both doctors and nurses (Bodenheimer & Sinsky, 2014) and has been correlated with poor patient outcomes (Kriemer, 2018). According to Feldman (2018), burnout among physicians is increasing across a range of practice areas, and those who suffer from its ill effects have significantly higher rates of depression, alcohol abuse, drug abuse, and suicide (Lacy & Chan, 2018). Efforts on the part of leadership to address the systemic issues that contribute to HCP burnout offer hope for addressing what is an otherwise disturbing state of affairs (Kriemer, 2018; Lacy & Chan, 2018; Laskowski-Jones, 2016).

Methodology and Methods

The investigation into the expected coexistence of personal, professional, and market values in a healthcare setting was predicated on a philosophy which suggests that, as humans, HCPs are interpretive beings who attach meaning to their lived experience (Dowling, 2007; Holloway & Wheeler, 2013; Racher & Robinson, 2002). Since the consequences of the expected coexistence of the aforementioned values in healthcare are directly experienced by HCPs, it was decided that their narrative accounts of lived experience represented a useful source of data for deepening our understanding of the significance of the phenomenon and how it manifests.

Upon individual confirmation of practical experience with the ordinary coexistence of personal, professional and market values within the context of their practice, a total of eight HCPs were selected for the study. The three male physicians who participated in the study practice in the areas of cardiology, oncology, rheumatology, and the one female physician participant is a family medicine provider. Each of the four physicians is at a different stage of their respective career. The four nurses who shared their experiences are all female and they represent the practice areas of endocrinology, primary care, and rheumatology. Three of the nurse participants are close to retirement and the one nurse participant who practices in area of endocrinology is at a far earlier stage of her respective career. The role of all study participants involves direct patient contact. A primary aim of this research into a coexisting values phenomenon was to generate information that could be useful to those who might see their own experiences in those of the research participants and/or anyone who might operate in a context that is comparable to the one in which the research took place.

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The study participants work for a large health system that delivers care across a sizeable geographic area of the Western United States. The system is comprised of several hospitals and an extensive network of clinics located in both densely and sparsely populated areas. The health system's revenues are primarily derived from third-party insurance payments for the products and services delivered by the system and its HCPs. The majority of those who participated in the study have regular interaction with vendors (e.g. the makers of medical devices; pharmaceutical companies) whose own revenues are dependent on the health system within which the HCPs work. Dyadic relationships exist among several of the HCPs who participated in the study and such relationships stem from working in the shared practice area of rheumatology.

The methods that were used to conduct the study involved semi-structured interviews that were designed to allow each of the eight participants to describe *what* their experience has been with the phenomenon and *how* they interpret the expectations that personal, professional, and market values can coexist within the context of their practice. Participant interviews were recorded, transcribed, and analyzed. The analysis of the data derived from interviews involved an integration and application of procedural steps developed by van Manen (1990) and Colaizzi (1978). Participant statements that were identified as being most relevant or significant to the study were isolated and analyzed in order to pursue a "deepened and more reflective understanding" (van Manen, 1990, p. 86) of the meaning behind the stories and anecdotes that were offered. The arrival at a set of themes that are representative of the common experiences of the study participants was informed by Saldana's (2009) "analytic process of winnowing down themes" (p. 140) to the essential aspects of the investigated phenomenon.

The qualitative inquiry into the HCP's experience with the expected coexistence of care and market values was conducted with an adherence to the trustworthiness and authenticity quality criteria proposed by Lincoln and Guba (1985; 1986a). The intent was not to realize generalizability of findings, but rather, transferability, whereas the findings are specific to the time and context in which the research took place and should therefore be judged in terms of their applicability to other settings. The study was conducted with the goal of providing a fair and balanced representation of the range of values that are present within the context of healthcare delivery and a strict adherence to the protocols for conducting human subjects research as prescribed by the United States Department of Health and Human Services. In order to protect the confidentiality of the participants, they are referred to as Doctors A, B, C, and D and Nurses E, F, G, and H. Alphanumeric codes (e.g. A.39; G.52) are in place at the conclusion of each direct quote in order to ensure the confirmability of statements that were offered by study participants.

Findings on the Values-Based Leadership Practices that Inspire HCP Followership

While the study was not designed to specifically investigate the leadership practices of those who operate the health system in which the research took place, it is apparent

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that its administrators inspire followership among those HCPs who participated in the study. The integrity that is exhibited the health system's leadership is reflected in the words of Nurse F who described those who have ascended to positions of authority as individuals "who actually want to do the right thing and take care of the patient" (F.33). Like others who participated in the study, Nurse F named specific leaders whom she admires, and she considers herself fortunate to work with such "stellar people" (F.32). The anecdotes and stories of lived experience shared by the participants indicate that the system's administrators practice values-based leadership by 1) providing support that enables the HCPs to realize their personal and professional value imperatives; 2) promoting congruence between organizational values and the personal and professional values of the system's HCPs; and 3) positioning HCPs in leadership roles and engaging with the HCPs as partners.

Leadership Support for the Realization of Personal and Professional Care Value Imperatives

Through conversations with the research participants, it became clear that the system's leadership provides support and engages in advocacy that affords the HCPs the opportunity to enact their personal and professional value priorities. When asked if he has experienced the expected coexistence of personal, professional, and market values as being compatible, Doctor C responded by describing how system administrators practice "service leadership" (C.27) and he identified specific leaders who enact policy that makes "life easier on the docs" (C.25). He provided a specific example where he was recently allocated two medical assistants who are responsible for the maintenance of electronic medical records (EMRs). Doctor C expressed an appreciation for never having to touch the computer while a patient is in the room and he views the assistance he receives as conducive to his personal preferences for efficiency and being more present with his patients. During her interview Nurse F also discussed the benefits of receiving assistance with the upkeep of EMRs by stating, "we are making eye-to-eye contact which is probably [something] in healthcare [that is] becoming lost" (F.37).

In their study of physicians and the amount of time they spend directly interacting with patients, Asan and Montague (2012) found that when physicians are responsible for the upkeep of EMRs, they spend 49.6% of their time on the computer. In a national survey of physicians, 87% of those who participated identified paperwork and administrative responsibilities as being a leading cause of work-related stress and burnout (Bodenherimer & Sinsky, 2014). A team-oriented approach to documentation and the maintenance of EMRs has been identified as one of the primary ways in which healthcare leadership can improve revenues and their system's capacity to manage a larger panel of patients, while also improving the work life of clinicians and staff (Bodenherimer & Sinsky, 2014).

Through the course of his long career Doctor C has always felt that it is very important that nobody be turned away and he has sought to work in systems where people have equal access to care. Doctor D spoke to how another support structure in the system

where he and Doctor C currently work allows for the provision of universal access to care:

What I love about this group [system] is that I treat whoever walks in the door; I treat them all the same way. If they don't have insurance, or they are under-insured, we have a team that makes sure we can get that covered (D.8).

The system where the investigation into coexisting values took place is one where Doctors C and D are able to realize their shared preference for universalism (i.e. equality). Both of these specialized care physicians perceive their current system as distinct from others that have a more pronounced orientation towards revenue enhancements.

Doctor B is a family practice provider, and through dialogue it became quite clear that, she values the delivery of a comprehensive level of care that leaves her patients feeling satisfied with their experience. When asked about her experience and any consequences that emanate from the expected coexistence of values within the context of her practice, she responded by saying that her “biggest concern is the push for black and white productivity” (B.61). When the amount of time that Doctor B spends with her patients recently resulted in the threat of a pay cut, a high-level physician leader who was unknown to her provided support by advocating on Doctor B’s behalf, and she was therefore able to maintain her current salary. At the time of her interview, Doctor B was looking forward to an upcoming meeting with the system’s leadership where she would have the opportunity to discuss, and potentially rectify, perceived imbalances between her personal and professional value preferences and the market values that the system’s administration emphasizes.

The findings from the investigation into coexisting values in healthcare are in keeping with other studies that have found general practice physicians to be among the HCPs who are most susceptible to burnout (Bodenheimer & Sinsky, 2014; Lacy & Chan, 2018). Support and advocacy from competent leadership, like that which was described by multiple study participants, has been found to reduce stress and incidents of burnout across all practice areas (Lacy & Chan, 2018; Shanafelt, et al., 2015). The narrative accounts of experience provided by the HCPs during this study suggest that such leadership also affords them the opportunity to more fully enact their care value preferences.

Leadership Practices that Promote Value Congruence

The importance of a supportive environment and how it contributes to perceptions of values congruency is reflected in a statement that was offered by Doctor B. She stated that “It’s truly important to me that my organization supports me and that we have the same values about what we want for patient care” (B.47). Her positive experiences with the leadership in the system has led her to believe that the system has the right intentions. She experiences congruency between her preferences for the delivery of comprehensive care, fairness and the upholding of human dignity, and the values that the system’s leadership ultimately gives priority to (Argyris & Schon, 1974).

Doctors C and D both described their specialized practice within the larger system as being akin to a private practice. Doctor D expressed specific gratitude for the administration's willingness to allow him to pursue his personal preference for autonomy:

When you join a hospital system, it could be viewed as a big bureaucracy with a lot of people telling you what to do and I would not care for that. I think I've been given incredible freedom and flexibility...to do the research I'm passionate about, but still [I]am running my own practice within a hospital system... I think I get the best of both worlds (D.5).

The freedom Doctor D is afforded is a source of values-based motivation. He considers himself fortunate to work in a situation he described as generally rare for those who practice in larger systems. Doctor D also described the system's compensation practices as "very-very good" (D.54) and conducive to his sworn commitment to do no harm. He expressed gratitude for having a compensation system that does not incentivize over treating patients and he believes that the system's compensation practices remove any subtle or sub-conscious pressure that those in private practice might be subject to.

While Nurse G did speak to some degree of sacrifice in autonomy and an increase in productivity pressures for herself and the physician she works with as they collectively transitioned to the large health system, she also spoke of experiencing alignment with the care values and goals that their newer system emphasizes. Nurse G experiences little in the way of consequences when she takes extended amounts of time to exercise her preference for guiding and supporting her patients as they come to terms with life-changing diagnoses. At the close of her interview, Nurse G was asked if there was anything else that she thinks should be known about the coexisting values phenomenon. She replied by saying, "I really love my job. [I] kind of found my dream job which is something that I think a lot of people don't get to say" (G.25).

Congruency between the personal values of an organizational member and those that an organization embodies is commonly referred to as person-organization fit (P-O fit) and its general benefits are well established. When personal and organizational values are in alignment, organizational members have been found to realize a higher degree of satisfaction, a reduced intention to quit, and are more likely to put forth extra effort (Edwards & Cable, 2009; Kristof-Brown, Zimmerman, & Johnson, 2005). In a recent study on values congruence that was specific to health care, Risman, Erikson and Diefendorff (2016) found that nurses' perceptions of values congruence were a significant predictor of their job satisfaction and the quality of patient care.

There are mutually reinforcing benefits that extend from the values-based efforts put forth by the system's HCPs, and this finding was reflected in a significant statement offered by Nurse F, who said, "I feel like they've allowed me to practice what my core values are. I think they see some value in the fact that I really do care about the patient and I'm glad to go the extra mile when needed" (F.40). The leadership in the health system in which the study participants practice appears to understand that P-O fit can be a significant source of competitive advantage and that organizational effectiveness is

enhanced when they give their HCPs the freedom to enact their personal and professional care value preferences.

Peer Leadership and a Partnership with System Administrators

In the conduct of the study, it was also found that the system is one where the administrative leadership seeks to foster a close working relationship with their HCPs. According to Doctor A:

We have a system that works very well. We have physicians working with administrators to ensure good access to high-quality care, that is innovative...we [also] have physicians who are in administrative roles and are doing a lot of strategic planning (A.36).

The practice of having physicians in leadership roles is in keeping with the recommendations that Chatfield, Byrd, Longenecker, Fink, and Gold (2017) offer in their study of efforts to achieve system-wide transformation in the nation's top performing academic medical centers. According to these researchers, physician involvement in leadership is the best way to foster their buy-in, and the practice helps to "ensure that leadership is seen as a partnership between administration and care providers" (Chatfield, et al., 2017, p. 377). Chatfield et al. (2017) also identify the practice of developing strategy in conjunction with those who will enact it as essential to the realization of a shared vision.

Nurse E echoed the call for peer leadership and opined that if care and market values are to coexist, there "needs to be more *nurse* leaders" (E.69), as it is they who best understand "the pulse of what's happening on a day-to-day basis" (E.69). Nurses are the largest segment of the healthcare workforce and they spend the greatest amount of time delivering patient care (Institute of Medicine, 2011). The idea that Nurse E put forth is reflected in others' appeals for nurse leadership. The Institute for Medicine (2011) calls for nurses to "act as full partners with other health professionals and to lead in the improvement and redesign of the healthcare system and its practice environment" (p. 23), and Bisognano (2016) sees nurse leaders as "crucial to healthcare system transformation" (p. 423).

In their case study of the Affordable Care Act and the complexity associated with healthcare reform, Larkin, Swanson, Fuller and Cortese (2016) call for transformational leadership at all levels of practice. Larkin et al. (2016) posit that, like the administrators under whom they work, HCPs should view themselves as "system stewards...and realize that they have the power to do something about" (p.137) the current status of the broader health system. By engaging with one another, transformational leaders at all levels of healthcare will be better equipped to make sense of complexity and "react productively and efficiently to system changes" (Larkin, et al., 2016, p.137).

Conclusion

The investigation into the expected coexistence of values within a large health system served to reveal the localized and context specific experiences of a select and relatively small group of HCPs, and with that come limits to the generalizability of the leadership

findings. While research into the perceptions of a larger set of HCPs and the use of alternative research methodologies (e.g. hypothetical /deductive; grounded theory) are certainly warranted, the aim of the current inquiry was to further illuminate lived experience with a coexisting values phenomenon that is both complex and commonplace; and provide an additional avenue through which we might be able to better understand and identify with those who operate at the nexus of healthcare delivery.

The findings from the current investigation revealed a significant difference in terms of how some participants described their experience with administrators in organizations with which they were affiliated earlier in their careers; those previous administrators exhibited behaviors that were interpreted as being devoid of compassion and antithetical to the personal and professional values that the HCPs prefer to enact. The findings from this qualitative inquiry suggest that the current system's administrators embody values that reflect the value priorities of the HCPs who participated in the study. Their leadership appears to value and prioritize integrity, while demonstrating care for those who care for others. They practice service leadership, as they work to "assure that people get the resources they need" (Autry, 2001, p. 20) and make sure the HCPs' highest priority needs are addressed (Greenleaf & Spears, 2002).

While it was clear from the study that all organizational members (HCPs and system administrators alike) are expected to enact market values, such values do not seem to have permeated the system's culture. From the feelings of organizational support and the value congruence that study participants described, it is evident that the vast majority of the participants experience their system in ways that are more in keeping with Cameron and Quinn's (2011) notion of a clan (vs. market) culture, wherein "shared values and goals, cohesion and participative-ness" (p. 46) are the norms. By opening themselves up to the perspectives of those who operate at the nexus of care delivery, the system's leaders are better able to understand the organizational challenges that stem from the simultaneous pursuit of care and market values. Through the conduct of the investigation into coexisting values within the context of a large health system, it became clear that its administrators are proponents of a shared leadership philosophy and that there are mutual benefits that can be derived from such an approach to leadership.

Recent calls for transformational leadership at all levels of health care practice extend from ongoing issues and changes within the U.S. health system. As new models of care delivery evolve (e.g. perioperative medical home), future research should be directed toward the leadership roles that HCPs are fulfilling (Desebbe, Lanz, Kain, & Cannesson, 2016). Personal and professional values such as altruism, compassion, and fairness appear as being quite conducive to an ethical and moral approach to building followership within the realm of healthcare. We would do well to better understand how our HCPs' pursuit of such values might be contributing to their leadership effectiveness and the efficacy of interprofessional care teams. It is also important to consider leadership opportunities as another avenue through which HCPs can more fully realize their care value priorities.

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Movement toward a nationalized health system like that which exists in most developed democracies could likewise serve to allow our HCPs the opportunity to more wholly realize their personal and professional value imperatives. However, the abolition of the PPACA could further curtail our HCPs ability to realize important care values, as the U.S. currently ranks among the 22 (out of 194) World Health Organization (WHO) member nations who have achieved a greater than 80% rate of universal health coverage (World Health Organization, 2018). While the WHO does support the realization of universal coverage by engaging in health innovation (World Health Organization, 2019) and “has been working towards strengthening (national) health systems to make them efficient, effective and responsive” (p. 46) since the time of its inception (World Health Organization, World Intellectual Property Organization and World Trade Organization, 2013), the WHO does not appear to distinguish any of its member nations (or broad health systems) in terms of their propensity to innovate. It is important to consider that the joint emphasis on competitive market values and reformed payment structures that has accompanied the implementation of the PPACA can serve to catalyze innovative solutions that promote access, contain costs and bring improvements to care quality (Christensen, Baumann, Ruggles & Sadtler, 2006; personal correspondence; Tsai & Jha, 2014).

Fairly recent events at the national and state level have raised questions with regards to the public’s willingness to support a single-payer system (e.g. Coloradoⁱ), and the fiscal feasibility of tax-based healthcare reform (e.g. Vermontⁱⁱ). The ongoing and multi-faceted debate surrounding healthcare reform has caused stakeholder (e.g. HCPs; administrators; patients; taxpayers) values to materialize more profoundly and this has precipitated varying levels of conflict on multiple fronts. During times such as these, we should keep in mind one of the central tenets of transformational leadership theory, as posited by James Macgregor Burns (1978). He suggests that there are benefits that can be derived from exposure to conflicting demands, goals, and values, and states that the reciprocated illumination of values enables us to evaluate one another’s perceptions and collectively move towards higher levels of motivation and moral purpose. Future efforts to drive efficiency and effectiveness in the broader health system should involve an application of leadership theories that acknowledge a competing values perspective, as we cannot afford to disregard the potential for values conflict within the realm of healthcare, nor can we compromise the moral and ethical obligations to its multiple stakeholders.

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Appendix A: A Modern Hippocratic Oath by Dr. Louis Lasagna

I swear to fulfill, to the best of my ability and judgment, this covenant:

I will respect the hard-won scientific gains of those physicians in whose steps I walk, and gladly share such knowledge as is mine with those who are to follow;

I will apply, for the benefit of the sick, all measures which are required, avoiding those twin traps of overtreatment and therapeutic nihilism.

I will remember that there is art to medicine as well as science, and that warmth, sympathy and understanding may outweigh the surgeon's knife or the chemist's drug.

I will not be ashamed to say "I know not," nor will I fail to call in my colleagues when the skills of another are needed for a patient's recovery.

I will respect the privacy of my patients, for their problems are not disclosed to me that the world may know. Most especially must I tread with care in matters of life and death. If it is given me to save a life, all thanks. But it may also be within my power to take a life; this awesome responsibility must be faced with great humbleness and awareness of my own frailty. Above all, I must not play at God.

I will remember that I do not treat a fever chart, a cancerous growth, but a sick human being, whose illness may affect the person's family and economic stability. My responsibility includes these related problems, if I am to care adequately for the sick.

I will prevent disease whenever I can, for prevention is preferable to cure.

I will remember that I remain a member of society, with special obligations to all my fellow human beings, those sound of mind and body, as well as the infirm.

If I do not violate this oath, may I enjoy life and art, respected while I live and remembered with affection hereafter. May I always act so as to preserve the finest traditions of my calling and may I long experience the joy of healing those who seek my help.

Appendix B: The nine main provisions of the American Nursing Association Code of Ethics for Nurses, as revised September 2014

Provision 1: The nurse practices with compassion and respect for the inherent dignity, worth and unique attributes of every person.

Provision 2: The nurse's primary commitment is to the patient, whether an individual, family, group, community, or population.

Provision 3: The nurse promotes, advocates for, protects the rights, health, and safety of the patient.

Provision 4: The nurse has authority, accountability, and responsibility for nursing practice; makes decisions; and takes action consistent with the obligation to promote health and to provide optimal care.

Provision 5: The nurse owes the same duties to self as to others, including the responsibility to promote health and safety, preserve wholeness of character and integrity, maintain competence, and continue personal and professional growth.

Provision 6: The nurse, through individual and collective effort, establishes, maintains, and improves the ethical environment of the work setting and conditions of employment that are conducive to safe, quality health care.

Provision 7: The nurse, in and all roles and settings, advances the profession through research and scholarly inquiry, professional standards development, and the generation of both nursing and health policy.

Provision 8: The nurse collaborates with other health professionals and the public to protect human rights, promote health diplomacy, and reduce health disparities.

Provision 9: The profession of nursing, collectively through its professional organizations, most articulate nursing values, maintain the integrity of the profession, and integrate principles of social justice into nursing and health policy.

Appendix C: Examples of Health System Mission Statements

“To be a trusted partner, empowering healthier lives through care and compassion.”

– Lee Health, Lee County, Florida

“Working with our members and other stakeholders, the Association will transform Virginia's health care system to achieve top-tier performance in safety, quality, value, service, and population health. The Association's leadership is focused on: improving access to care; continuing to improve health care safety, quality, and service; promoting a vibrant, high-value health care system; and, advancing population health to promote health and economic opportunity for all Virginians.”

–Virginia Hospital and Healthcare Association, Glen Allen, Virginia

“We, Trinity Health, serve together in the spirit of the Gospel as a compassionate and transforming healing presence within our communities.”

–Trinity Health, Livonia, Michigan

“The Mission of Berkshire Health Systems is to improve the health of all people in the Berkshires and surrounding communities, regardless of their ability to pay.”

–Berkshire Health Systems, Pittsfield, Massachusetts

Leadership Behaviour and Worker Performance in the Nigerian Construction Industry



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Abstract

Leadership is a dynamic process in which an individual influences others to contribute to the achievement of an assigned task. This paper investigates leadership behaviour and its impact on construction workers' performance in Lagos, Nigeria. Purposive sampling technique was adopted to select 50 site-supervisors and 250 construction-workers involved in simple construction works. An investigation was carried out using a questionnaire survey method. The leadership variables investigated were ranked, regressed, and correlated to worker performance. From the primary data analysis, leadership behaviour, exhibited by supervisors, was found to influence the site workers' commitment to achieving the goal of the construction projects. The most exhibited leadership behaviour on the studied construction site is transformational leadership behaviour with an overall mean score of 4.09. There also exists a positive linear correlation of transactional leadership behaviour with construction worker performance. Findings revealed that the adoption of laissez-faire leadership behaviour results in negative correlation with construction worker performance. The study concludes that the success of construction projects depends on the project manager and its employees; leadership qualities, therefore, are critical to the construction industry participants to ensure the timely delivery of construction works.

Introduction

Leadership exists on many levels throughout all aspects of society. What motivates leaders is the overall accomplishment of the organizational goal. Leadership is the process of influencing others to attain a common goal (Wehrich et al, 2008; Robbins & Coulter, 2010). The construction industry has been perceived as dominant in moving societies towards sustainable development (Tabassi, 2016). The construction leaders and/or managers involved may improve the sustainable performance of sustainable projects by influencing or even transforming their subordinates. The leadership skills exhibited in the sector are critical for the success of any construction project (Amirali, 2016). In achieving the project goal, some leaders prefer the use of a people-centered

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approach, while others prefer a production-centered approach. Alkahtani (2015) stated that the choice of the preferred behaviour depends on such factors as an employee's acceptance of the leader, readiness for a task, the leader's personal qualities, and the organization's customs and ethics. Therefore, leaders must possess the distinct skill to detect and identify the dependent factors of the organizational environment and subsequently make a judgmental decision to help precipitate organizational success in terms of the project's timely delivery.

Leadership behaviour is the way by which leadership functions are implemented (Mullins, 2000). A leader with only one form of leadership style can be successful in a situation demanding such specific leadership style whereas a diverse range of styles will guarantee success because of the dynamics of the construction industry (Liphadzi et al, 2015). The leadership traits of an individual depend not only on personal abilities and characteristics, but also on situational and environmental characteristics (Messick & Kramer, 2004). Glantz (2002) emphasized the need to employ the leadership behaviour that best suits an organization. This is because bad leadership behavior can make an organization to perform poorly than expected.

Exhibition of leadership traits on the construction site is a complex and often subjective issue. Geller (2008) asserts that poor construction site leadership will influence project performance, profit margin, worker performance, and commitment. Achieving organizational goals lies with workers since their performance depends on the leadership behaviour demonstrated (Hughes & Ferrett, 2010).

Leadership style and the way the project – as well as subordinates – are managed, can result in improved productivity and steer the project towards continuity. Despite the focus of research on leadership construct in business, marketing, management, and manufacturing disciplines, there is still a paucity of academic reviews on leadership behaviour as it influences worker performance on construction sites towards achieving sustainability in the Nigerian construction industry. It, therefore, becomes imperative to fill this gap. The main objective of this paper is to explore the relationship between three identified leadership style practices and construction worker performance in the Nigerian construction industry. The research theme focuses particularly on activities in Lagos, Nigeria. This study examines three forms of leadership and their adoption within construction sites and assesses the extent to which they influence worker performance on construction projects within this capital city.

Overview of Leadership Behaviour and its Influence on Productivity

According to Cole (1996), leadership is a dynamic process in which an individual influences others to contribute to the achievement of an assigned task. In the opinion of Murphy (1996), leaders are people “to whom others turn when missions need to be upheld, breakthroughs made, and performance goals reached on time and within budget.” Leaders identify the need for and implement change, align people, establish direction, inspire, build teams, share decision-making, communicate vision, and mentor and train subordinates while demonstrating a high level of integrity in professional

dealings (Zenger & Folkman, 2002; Skipper & Bell, 2006). Therefore, leaders motivate, align, and empower people towards achieving common goals (Naoum, 2011).

Leadership and employee job satisfaction and performance have emerged in recent times as an important discipline in industrial management (Achua & Lussier, 2010). Research concerning supervisor leadership behaviour and construction worker performance conducted particularly in developing countries such as Nigeria, has been limited, whereas, leadership skills and behaviour have become a prerequisite for a successful organization in the 21st-century business environment. Organizational productivity, profitability and worker performance can only be enhanced through effective leadership and leaders' behaviour (Lee & Austin, 2011a, b; Cooper, 2011). Previous studies (Bronkhorst et al, 2015; Jyoti & Bhau, 2015; Kim & Yoon, 2015; Newland et al, 2015) showed that transformational leadership has had a positive influence on worker motivation, self-efficacy, creativity, and organization performance. Organizational leadership behaviour is a factor that plays an important role in improving or impeding individual interest and commitment. It is a dominant factor that inspires employee behaviour and attitudes. Consequently, leadership behaviour at all levels of management in an organisation, has been suggested to be a critical factor in determining organizational success. In this manner, Hopkins (2007) concludes that organizational leaders have a significant impact on profit, productivity, and worker performance.

Achua and Lussier (2010) asserted that a significant relationship exists between organizational success and supervisor leadership behaviours. The construction industry needs leaders who possess the skill to influence, motivate and align workers towards achieving organizational goals. However, it has been found that when leaders lose focus, it results in poor performance. The inappropriate leadership qualities pose a negative influence on workers' commitment and performance on construction sites (Sunindijo & Zou, 2012). Bass and Bass (2008) suggested that leaders with transformational leadership behaviour promote trust and employee-management relationship. According to Zohar (2002), site supervisor who demonstrate transformational leadership behaviour build trust and team spirit among the workforce. On the other hand, leaders with transactional leadership behaviour will also achieve employee commitment and performance (Bass & Bass, 2008). Conversely, leaders who exhibit laissez-faire leadership behaviour have negative consequences in terms of the organization's productivity, profit and workers' performance (Yukl, 2011). Transactional leadership, on the other hand, enhance the job fulfilment and organization identification compared with transformational leadership (Epitropaki & Martin, 2005; LePine, et al, 2015). Transformational leaders help individuals to adopt organizational change (Bommer et al, 2004). On the contrary, leaders who employ laissez-faire leadership behaviour are considered least effective and have a negative impact on follower performance outcomes and productivity (Yahaya & Ebrahim, 2016).

Transformational Leadership Behaviour

According to Bass (1990), "transformational leaders motivate followers to be better as they concentrate on teamwork rather than individual interests." This leadership

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behaviour defines both leader and follower roles and includes followers in the leadership process and states that effective leadership involves leading others to be innovative and promote the continual discovery of new ideas to solve problems. To motivate or inspire people to work toward a common goal could be cumbersome. Research suggests that leaders need to possess qualities that facilitate followers to transform from one situation to another (Shamir et al, 1993). Transformational leadership can thus motivate workers to go beyond self-interest to pursue goals and encourage productivity. It encourages workers to accomplish more than what is expected and to motivate them to relinquish self-interest for the overall good of the organization (Barnett et al, 2001).

Achua and Lussier (2010) argue that transformational leadership behaviour allows for empowerment, inspiration, and motivation of subordinates/workers, often resulting in readiness to undertake risks and exact remarkably high effort and commitment. Yukl (2010) and Lutchman et al. (2012) suggest that transformational leadership behaviour of frontline managers encourages trust and openness in an enabling work environment. Transformational leaders cause followers to trust, admire, and respect them (Bass & Steidlmeier, 1998). This type of leadership assists in capacity building, generates self-confidence, and fosters personal development. These sets of leaders are charismatic, considerate, inspirational, and often imbue followers with a sense of purposeful determination. They articulate and share goals, developing a common understanding of an attractive future (Achua & Lussier, 2010). Lutchman et al (2012) notes that those who exhibit transformational leadership qualities are transparent, sincere, and demonstrate a type of integrity that can be used in resolving complex issues within the construction industry. Northouse (2010) points out that this leadership behaviour focuses on the organisation and workers' collective values and interest.

Transactional Leadership Behaviour

According to Northouse (2010), the transactional leadership model of Blanchard and Hershey is widely used today for developing the interpersonal skills of managers and supervisors. It has been argued that the development of leadership skills among frontline managers and supervisors could influence their leadership qualities, thereby creating a better manner of dealing with workers designed to increase productivity, strengthen worker commitment, and heighten performance levels. This type of leadership, as argued by Achua and Lussier (2010), refers to those individuals who offer motivational challenges or mete out punishment to followers due to low performance or who fail to meet required standards.

This brand of leader is better equipped to gain worker compliance, set productivity goals, monitor worker performance, and offer support. These leaders successfully gage follower potentials and respond to them by creating a symbiotic link between work and remuneration. According to Couto (2007), leaders possess the power to correct, evaluate, train, and reward workers based on productivity. However, Lutchman et al (2012) argues that the transactional leadership model may not be effective in a diverse workforce such as what often exists at construction sites. This view is shared by Geller (2008) who states that transactional leadership behaviour may not be ideal for construction site management because of cultural variations among workers.

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Laissez-faire Leadership Behaviour

Wefald and Katz (2007) refer to this type of leadership behaviour as passive in nature. There is no authentic development of a relationship between the followers and the leader. The leader's involvement in decision-making is insignificant as it allows individuals to make their own decisions, even though the leaders are responsible for whatever outcomes occur. Laissez-faire leadership represents a non-transactional leadership behaviour as actions are delayed, essential decisions are not rendered, responsibilities are ignored, and authority is unexploited. The style is also known as the "hands-off" approach as the manager provides little or no direction, thereby giving the employees unnecessary freedom. The employees possess the authority to make decisions, determine goals, and resolve issues all on their own. This style of leadership is the opposite of an authoritarian style as with this style, there is no identifiable leadership involved at all, allowing the employee to behave in whatever manner chosen. There is a state of confusion with no targets or direction with this leadership style. This could be attributed to why workers' performance is substandard (Marturano & Gosling, 2008).

Table 1 shows the features exhibited by transactional, transformational and laissez-faire leadership.

Table 1: Transformational, Transactional and Laissez-Faire Leadership Model

Transformational	Transactional	Laissez-Faire
<ul style="list-style-type: none"> • Influence to change worker attributes and behaviour • Inspire workers and others to perform at higher levels • Acknowledges each worker for his/her contributions • Able to motivate followers to perform above expectations. • Act as role models for employees • Challenge the intellect of workers to get new ideas and transformations 	<ul style="list-style-type: none"> • Motivate followers to identify goals by clarifying role and task requirements • Rewards are only based on outcomes and the focus is on close management and guidance of activities • Control through rule compliance and maintaining stability within the organization rather than promoting change • Watches and searches for deviations from rules and standards before undertaking corrective measures • Focuses on intervention only after a mistake has been made 	<ul style="list-style-type: none"> • Leaders will fail to prompt their employees to exceed base production levels • Abdicates responsibilities and avoids decision-making
Bass and Avolio (2004); Robbins and Judge (2009)	Daft (2005); Robbins and Judge (2009)	Bass and Avolio (1997)

*Source: Author's compilation (2018)

Assessment of Leadership Behaviour and Worker Performance in the Construction Industry

Effective leadership is an important tool to the successful performance of any firm and business sector – including the construction industry (Liphadzi et al, 2015). According to Harvey and Ashworth (1993), the construction industry is imbued with unique distinguishing characteristics – e.g., project specifications, project life-cycles, contractual

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arrangements, and environmental factors – which collectively call for a particular brand of guiding leadership. While Flin and Yule (2004) categorically state that a leader's behaviour can motivate and inspire workers to achieve exceptional performance, there is a paucity of studies which focus upon the construction industry per se. The reason for this dearth of research can be attributed to a lack of knowledge about the industry proper (Langford et al., 1995). However, what has resulted from the studies in existence can be relegated to two general maxims:

1. *Effective leadership is vital, though no leadership behaviour can be deemed successful in all situations (Bass, 1997); and*
2. *Leaders must exert extensive and pervasive influence over their workers to improve workplace productivity to ultimately achieve organizational success (Lutchman et al., 2012).*

On construction sites, it is ostensibly the supervisor or team leader who is the pivotal force standing between management and the workforce. Thus, it is this person to whom the industry looks to effectively control construction activities and encourage exceptional worker performance.

A construction project is comprised of a multitude of organizations. Individual or groups from several parent organizations are all drawn together for a short period of time related to a specific task. Thereafter, the project-based organization is disbanded upon the completion of that task. The project-based nature of the construction industry – with its temporary multi-organizations – will almost certainly have an important influence on the managerial leadership behaviour exhibited by professionals working in the industry. While Cleland (1995) argues that project leadership should be appropriate to the project situation as leadership is a continuous and flexible process, Naum (2001) states that large capital investment projects coupled with the high complexity of decision-related issues can require different leadership behaviour. Further, Nicholas (1990) suggests that the most effective leadership behaviour depends on project circumstances, especially with respect to project duration and intensity of work done.

Mangham (2006) reports that communication between managers and workers is inextricably associated with employee commitment and performance. Workers feel a sense of belonging and vestment in a project when they are consulted on decisions concerning their overall participation. Participative relationships enable workers to contribute to efforts which serve to positively shape the organization. Additionally, Flin and Yule (2004) observe that cooperative supervisory-workgroup relationships and participative management behaviour are rated as the most important predictors for creating harmony between workers and supervisors and generally shaping worker performance. When a leader incentivizes production through rewards and bonuses, such leader exhibits what is termed as transactional leadership behaviour (Yukl, 2010).

Effective control and supervision of the workforce are very important for maintaining and sustaining organisational standards and compliance. However, Northouse (2010) and Naoum (2011) emphasize that the differences in various leadership styles impact leader behaviour. Diverse leadership behaviour brings about varied consequences, thereby

having a direct or indirect impact on employee attitude and workplace behaviour. The extensive use of subcontracting is another factor that can impact project leadership behaviour. Naum (2001) suggests that the relationship between a company's procurement method and leadership behaviour is the proportion of sub-contracting against direct labour employment on project sites. In this vein, Bresnen et al (1986) demonstrates how task-oriented forms of leader behaviour are more appropriate where subcontracted labour forms the bulk of the workforce. Hence, it can be justified that construction professionals need to consider and weigh the efficacy of different leadership styles with respect to different stages of a project lifecycle.

According to Bresnen et al (1986), the temporary nature of project cycles may have a bearing upon an understanding of leadership within the construction sector. Leadership behaviour changes as the project progress through its life cycle. During the phases of the construction process, leadership behaviour involved may need to allow for more debates, fine-tuning, and deliberation. For instance, during the construction phases, there may be a more structured and dominant rule. Similarly, the environment in which leadership is exercised is also influential in shaping the leadership behaviour of people who occupy managerial positions in construction settings. Overall, it is difficult to determine the most appropriate leadership behaviour to conform to each situation of project development. Thus, leaders may have to switch from one behaviour to another or mix the elements of different behaviours until the right balance between concerns for tasks and people is attained (Naum, 2001).

Methodology

This study is carried out to examine whether supervisor leadership behaviours exhibited in construction settings has any significant impact on construction site worker performance. The process of the research conducted began with a careful review of the literature as it provided a basis for the identification of leadership behaviour.

The study population consisted of supervisors and site workers in Lagos, Nigeria. The data for the study was collected from supervisors and site workers drawn from construction firms in Lagos, Nigeria. There is no known database for the category of respondents, thus, the sample 100 supervisors and 400 site workers were conveniently and purposively adopted as a representation of the population. Polit and Hungler (1993) state that quantitative research may involve surveying designed to obtain information from a sample of people by means of self-reporting, whereby those individuals selected respond to a sequence of questions posited.

A multifactor-structured questionnaire was administered as non-probabilistic convenience and random sampling technique was used in the selection of the participants across construction sites to assess the leadership behaviour adopted and its influence on construction site worker productivity. The questionnaire was comprised of statements to which respondents were required to choose the action that best described the way they behaved and not the way they believed they should act.

The questionnaire was structured to assess the transactional, laissez-faire, and transformational forms of leadership, and to measure the performance of the employees on their given task. The independent variables consisted of leadership behaviours while worker performance was the dependent variable. The questionnaire instrument ensured uniformity and permitted an objective comparison of the result. Ten (10) supervisors were randomly selected for interviews, as this gave them ample opportunity for extensive expression. The objective was to validate the responses from the questionnaire necessary to satisfy all the demands of the study and to clarify any ambiguities identified. Out of the total questionnaires administered, only 50 emanating from the supervisors and 250 from the site workers were retrieved and considered valid for the analysis. Data acquired from the research instruments were statistically analyzed using Pearson product moment correlation and regression analysis.

Results and Discussion

Table 2: Characteristics of the Respondents

Characteristics	Frequency	Percentage
<i>Age</i>		
Below 25 years	0	0.00
25 – 30 years	25	8.33
31 – 35 years	53	17.67
36 – 40 years	141	47.00
41 – 45 years	46	15.33
Above 45 years	35	11.67
Total	300	100.00
<i>Years of Experience</i>		
2 years and below	102	34.00
3 – 5 years	35	11.67
6 – 8 years	64	21.33
9 – 11 years	58	19.33
12 years above	41	13.67
Total	300	100.00
<i>Certification</i>		
FSLC	36	12.00
SSCE	72	24.00
Trade Test	45	15.00
OND/NCE	93	31.00
HND/BSC	54	18.00
Total	300	100.00

*Source: Field Survey (2018)

The respondents' socio-demographics details are represented in *Table 2*. The findings showed that the respondents in the age bracket of 20 to 30 years constituted 25(8.33%) of the sample, 31-45 years were 53(17.67%) while 141(47.00%) were 36-40 years. The data also revealed that 46(15.33%) and 35(11.67%) were of the age brackets 41-45 years and older than 45 years, respectively. With respect to education certification levels, 36(12.00%) had attained a primary education (First School Leaving Certificate),

72(24.00%) had secondary education (Senior Secondary Certificate Examination), 45(15.00%) had achieved a trade test certificate, 93(31.00%) were National Diploma/National Certificate Examination holders, and 54(18.00%) were Higher National Diploma/Bachelor's degree holders. Regarding experience levels, 102(34.00%) of the respondents' years of experience was 2 years or less, 35(11.67%) had between 3 to 5 years of experience, 64(21.33%) between 6 to 8 years, 58(19.33%), between 9 to 11 years, and the remainder 41(13.67%) exceeded 11 years. The inference from *Table 1* suggests that the respondents were mature, with adequate educational status and years of experience in the construction industry necessary to provide reliable information to attain the goal of this research.

Table 3: Extent of Leadership Behaviour on Construction Site Works

Leadership Behaviour	Character Measurements	Mean	Rank	Overall Rank
Transformational	Inspire workers and others to perform at a higher level	4.62	1 st	1 st
	Act as role models for employees	3.86	4 th	
	Challenge the intellect of workers to get new ideas and transformations	4.40	3 rd	
	Acknowledging workers for their contributions	4.48	2 nd	
	Able to motivate followers to perform above expectations	3.67	5 th	
	Influence to change workers' attributes and behaviour	3.52	6 th	
	Overall Mean	4.09		
Transactional	Rewards are based on outcomes and the focus is on close management guidance of activities	4.42	1 st	2 nd
	Watches and searches for deviations from rules and standards before taking corrective measures	3.92	3 rd	
	Focusing on intervention after a mistake has been made	3.88	4 th	
	Control through rule compliance and maintaining stability within the organization rather than promoting change	3.48	5 th	
	Motivate followers in the direction of established goals by clarifying role and task requirements	4.08	2 nd	
	Overall Mean	3.96		
	Laissez-faire	Abdicates his responsibilities	3.46	
Avoids making decision		3.32	2 nd	
Does not allow employees to go above and beyond the call of duty		3.10	3 rd	
Overall Mean		3.29		

*Source: Data Analysis (2018)

As shown in *Table 3*, the mean scores for transformational leadership behavioural traits were all above 3.50, averaging to the overall mean score of 4.09. This clearly indicates that the construction site workers agree that transformational leadership behaviours are exhibited by the leadership in site work activities; the descriptors "inspire workers and others to perform at a higher level" as well as "acknowledging workers for their contributions" represented the most exhibited transformational leadership behaviours. The mean scores for transactional leadership behavioural traits were above 3.50 (except for control through rule compliance and maintaining stability within the organization

rather than promoting change), averaging to the overall mean score of 3.96. This indicates that the construction site workers agree that transactional leadership behaviours are exhibited by the leadership in site work activities; the descriptors “rewards are only based on outcomes and the focus is on close management guidance of activities” as well as “motivate followers in the direction of established goals by clarifying role and task requirements” were the most exhibited transactional leadership behaviours. The mean scores for all laissez-faire leadership behaviours were all below 3.50, averaging to the overall mean score of 3.29. This clearly indicates that the construction site workers disagree that laissez-faire leadership behaviours are exhibited by the leadership in site work activities. These findings are revealing, especially understanding that Turner and Pearce (2011) indicate that leadership styles are key to successful performance of construction firms and Zhang (2009) notes that the relationship between leadership styles and project success may depend on the type of project. However, regardless of the project type, leadership styles of the leaders play a considerable part in project success.

Table 4: Regression Coefficient of the Impact of Transformational Leadership on Worker Performance on Construction Sites

	Model	R	R ²	Adjusted R ²	Std. Error of the Estimate	
	1	.684 ^a	0.468	0.466	4.27	
a. Predictors: (constant). Transformational Leadership						
Analysis of Variance on the Impact of Transformational Leadership on Worker Performance on Construction Sites						
	Model	Sum of Squares	df	Mean Square	F	Sig
<i>I</i>	Regression	6806.728	2	3403.364	186.341	0.000 ^a
	Residual	7725.756	288	18.264		
	Total	14532.484				
<i>a. Predictors: (constant). Transformational Leadership</i>						
<i>b. Dependent variable: Construction Site Worker Performance</i>						
Coefficient of Variation on the Impact of Transformational Leadership on Worker Performance on Construction Sites						
	Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig
		B	Std. Error	Beta		
<i>I</i>	(constant)	50.971	1.273		40.035	0.000
	Transformational	0.175	0.20	0.360	8.660	
<i>a. Dependent Variable: Construction Site Worker Performance</i>						

*Source: Field Survey (2018)

The result of the impact of transformational leadership behaviour on the performance of construction site workers is presented in *Table 4*. The statistical analysis revealed that because of the coefficient of determination (r-square), 46.8% of the total variation in construction site worker performance is explained by transformational leadership behaviour. The results of the regression analysis also showed a positive impact of transformational leadership behaviour on organisational performance. This is evidenced with β value of 0.175, t calculated = 8.660, t tabulated = 1.96, $p < 0.05$.

Table 5: Regression Coefficient of the Impact of Transactional Leadership on Worker Performance on Construction Sites

Model	R	R ²	Adjusted R ²	Std. Error of the Estimate		
1	0.705 ^a	0.496	0.494	5.44		
a. Predictors: (constant). Transactional Leadership						
Analysis of Variance on the Impact of Transactional Leadership on Worker Performance on Construction Sites						
Model	Sum of Squares	Df	Mean Square	F	Sig	
1	Regression	5303.499	2	5303.499	179.451	0.000 ^a
	Residual	5378.827	288	29.554		
	Total	10682.326				
a. Predictors: (constant). Transactional Leadership						
b. Dependent variable: Construction Site Worker Performance						
Coefficient of Variation on the Impact of Transactional Leadership on Worker Performance on Construction Sites						
Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig	
	B	Std. Error	Beta			
1	(constant)	3.223	1.432	2.251	0.026	
	Transactional	0.386	0.029	13.396		
a. Dependent Variable: Construction Site Worker Performance						

*Source: Field Survey (2018)

Table 5 shows the result of the impact of transactional leadership behaviour on construction site worker performance. The data analysis revealed that based on the coefficient of determination (r-square), 49.6% of the total variation in construction site worker performance was explained by transactional leadership behaviour. The results of the regression analysis also showed a positive impact of transactional leadership behaviour on organisational performance. ($\beta = 0.386$, t calculated = 13.396, t tabulated = 1.96, $p < 0.05$).

Table 6: Regression coefficient of the impact of laissez-faire leadership on worker performance on construction sites

Model	R	R ²	Adjusted R ²	Std. Error of the Estimate		
1	0.238 ^a	0.057	0.052	5.69		
a. Predictors: (constant). Laissez-faire Leadership						
Analysis of Variance on the Impact of Laissez-faire Leadership on Worker Performance on Construction Sites						
Model	Sum of Squares	Df	Mean Square	F	Sig	
1	Regression	823.865	2	411.932	12.711	0.000 ^a
	Residual	13708.620	288	32.408		
	Total	14532.484				
a. Predictors: (constant). Laissez-faire Leadership						
b. Dependent variable: Construction site worker performance						
Coefficient of Variation on the Impact of Laissez-faire Leadership on Worker Performance on Construction Sites						
Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig	

		B	Std. Error	Beta		
I	(constant)	51.922	1.366		38.008	0.00
	Laissez-faire	-0.021	0.17	-0.47	-1.239	0.216

a. Dependent Variable: Construction Site Worker Performance

*Source: Field Survey (2018)

Table 6 shows the result of the impact of laissez-faire leadership behaviour on construction site worker performance. The table reveals that based on the coefficient of determination (r-square), 5.7% of the total variation in construction site worker performance was explained by laissez-faire leadership behaviour. The results of the regression analysis also showed a negative impact of laissez-faire leadership behaviour on organisational performance. ($\beta = -0.021$, t calculated = -1.239 , t tabulated = 1.96 , $p > 0.05$)

Table 7: Pearson Product Moment Correlation Coefficient Between Transformational Leadership Behaviour and Construction Site Worker Performance

		Transformational Leadership Behaviour	Construction Worker Performance
Transformational	Pearson Correlation	0.046	0.046
	Sig. (2-tailed)		0.000
Performance	Pearson Correlation	0.046	
	Sig. (2-tailed)	0.000	

*Source: Field Survey (2018)

The correlation matrix in Table 7 shows the level of the linear relationship between transformational leadership behaviour and construction site worker performance. The *Pearson Product Moment Correlation* shows that there exists a relationship between transformational leadership behaviour and construction worker performance. The results indicate that the adoption of transformational leadership behaviour is positively correlated with the performance of the construction site workers. This finding is consistent with that of Bass and Avolio (1997) which suggest that employee performance is associated with a high level of transformational leadership employed. It also corroborates that of Rejas et al (2006) that transformational leadership behaviour has a positive impact on performance but disagrees with that of Obiwuru et al (2011) that transformational leadership behaviour has a positive but insignificant effect on performance. The reason that might be adduced for the divergent in the result can be attributed to the difference in size of the firm sampled by existing research which focused upon the small-scale enterprise and not the construction sector which this study investigated.

Table 8: Pearson Product Moment Correlation Coefficient Between Transactional Leadership Behaviour and Construction Site Worker Performance

		Transactional Leadership Behaviour	Construction Worker Performance
Transactional	Pearson Correlation	0.044	0.044
	Sig. (2-tailed)		0.002
Performance	Pearson Correlation	0.044	
	Sig. (2-tailed)	0.002	

*Source: Field Survey (2018)

The correlation matrix in *Table 8* shows the level of the linear relationship between transactional leadership behaviour and construction site worker performance. The Pearson Product Moment Correlation shows that the level of transactional leadership behaviour adopted has a positive correlation with construction site worker performance. This finding supports the opinion of Obiwuru et al (2011) that transactional leadership behaviour has a significant positive effect on employee performance but differs from that of Shahhosseini et al (2013) which reveals that transactional leadership behaviour has no significant relationship with job performance. The reason for the divergent in view by Shahhosseini et al (2013) can be attributed to the fact that the study considers workers emotional intelligence and the leadership behaviour adopted which is outside the scope of this study.

Table 9: Pearson Product Moment Correlation Coefficient Between Laissez-Faire Leadership Behaviour and Construction Site Worker Performance

		Laissez-faire Leadership Behaviour	Construction Worker Performance
Laissez-faire	Pearson Correlation	1	-0.284
	Sig. (2-tailed)		0.099
Performance	Pearson Correlation	-0.284	1
	Sig. (2-tailed)	0.099	

**Source:* Field Survey (2018)

The correlation matrix in *Table 9* shows the level of the linear relationship between laissez-faire leadership behaviour and construction site worker performance. The *Pearson Product Moment Correlation* indicates that when laissez-faire leadership behaviour adopted on the construction site, it would lead to a negative correlation with construction site worker performance. This implies that the more laissez-faire leadership behaviour is adopted, the more a worker's performance diminishes. This finding corroborates Spinelli (2006) and Tsigu and Rao (2015) findings that laissez-faire leadership behaviour does not enhance worker performance.

Conclusion and Recommendations

The success of construction projects depends on the project manager and employees. Effective leadership qualities are important skills that everyone in the construction industry should possess as they enhance the timely delivery of construction works. Most construction projects fail despite the substantial capital investment and use of established project techniques, as the leadership competency required for successful project performance has been found lacking. Successful management can be viewed as one that possesses intelligence, initiative, imagination, capacity to make immediate decisions, and the ability to motivate subordinates. Construction professionals and organizations will benefit from employing persons who have well-developed, interpersonal traits that can make the industry achieve its original goal. The usage or misapplication of these skills during project execution can impact project outcomes either in a positive or negative manner. As a result, the recommendations are that:

- i. The construction industry needs to employ workers who possess leadership traits, who can lead the team both efficiently and effectively to achieve the goal of the project and that of the construction firm.
- ii. The top management of construction firms needs to recognize the factors influencing the performance of its workers and adopt tactical options to address them.
- iii. Construction firms can apply the combination of both transactional and transformational leadership behaviours but not laissez-faire leadership style when carrying out its administrative duties. This should be done with careful consideration of the nature and condition of the project and its associated tasks.

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Many Layers of Many Layers of Values-Based Values-Based Leadership

Introduction

Our common recognition of leaders and leadership reveals an assortment of men and women, some who are predisposed to service, some who are humble but forthright, and others who exert narcissistic tendencies coupled with authoritarian attitudes. All of these have been and are called “leaders.” Hence, to unearth what is meant by “moral leadership” or “values-based leadership” (VBL) strains our understanding as many layers of value expose the diversity implied by the moniker “values-based.”

Values-based leadership is released in our attitudes and unearth as organizational/business leaders commit themselves to creating environments generally identified as “moral.” Parenthetically, VBL is an ongoing historical paradigm shift set in juxtaposition to top-down (authoritarian) leadership found among the industrial barons of the 19th century and extending well into the 20th century. During the 1950s, this shift was expanded beyond big business and government into the social fabric of American life with moral overtones impacting families and the workplace. The emerging civil rights and feminist movements followed by negative reactions to the Vietnam War were forces bringing moral values into the forefront of American life. Now, in 2019, within a divisive political climate distressing our nation, moral values, or the lack thereof, are again in the forefront of our discussions of leadership.

More than fifty years ago ethical and moral concepts were undergoing modification as feminist academics began changing the moral landscape from values emphasizing “rules,” “utility,” and “reciprocity” to values stressing nurture, care, and the promotion of human growth accentuating integrity, decency, respect, and personal accountability (Hester, 2012). Now in the 21st century, political correctness and the #MeToo movement, often politically charged, continue to move the needle in a moral direction. Yet, some of this has proven to be misguided, perhaps misunderstood, and its ethical tentacles will take time to assess (Millet, 2010).

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Needless to say, *values-based leadership* has many layers exposing morality and ethical meaning relating to right conduct, and not only individually, but collectively. Human value is now being articulated as “moral value” with an emphasis on “humanity” as a moral concept and not descriptive only. Although avoiding the tendency of reducing morality to one rule, one principle, or one cultural expression, values-based leadership continues to seek the richness of moral value within the fertile soil of humanity itself. “Humanity,” although a collective noun, now gathers not just the rich and powerful or white Americans and Europeans, but all persons east and west, north and south into its definitive wicker. Consequently, we can no longer afford the luxury of unabashed individualism – of thinking of ourselves and others as discrete individuals, separated, isolated, and disconnected – while shamelessly projecting our values as superior to all others. For many, this mindset will be difficult to unhinge.

The choice is not between a sociocentric culture placing the needs of groups and institutions first, or an individualistic ethos placing individuals at the center and making society a servant of unabashed individualism. Values-based leadership seeks a more holistic view than these two choices afford. A holistic view encompasses all people from the executive’s office to the workbench and from elected officials to civic volunteers. Consequently, moral principles cannot be allowed to be whittled down by politics or traditions into the polar opposites of socialism or individualism, or even into progressive, left-wing libertarianism. Obviously, a more comprehensive view of value and leadership will not find a welcoming mat at every organizational door. As Jonathan Haidt writes, “Morality binds and blinds. ... People bind themselves into political teams that share moral narratives. Once they accept a particular narrative, they become blind to alternative moral worlds” (Haidt, 2012). Clearly, an inclusive morality threatens the dictatorship of the present (White, 2004).

Yet, we persist, as values-based leadership asserts a vision of the possible and into this possibility we diligently labor. Change has come and is still coming and is a slow but persistently steady process of moral transformation. *Values-based leadership* is a metaphor for this change; however, because VBL is a process-paradigm, further study and flexibility are suggested as a one-size-fits-all approach will be destructive to value-based applications. To seek a common core of what is called “values-based” remains a challenge.

Values-based Leadership: A Cultural Blueprint

Values-based leadership (VBL) research began in earnest in the 1970s but, as has been discovered, is not merely a conceptual or business formula requiring sociological research and analysis. It is also an affair of the heart embracing a passion for service supported by hope and acknowledging the dignity of others while recognizing that anyone can serve and anyone can become a leader regardless of position or education. Thus, VBL is context sensitive, a metaphor identifying service and an ethical aptitude as primary components of organizational and business leadership. When unraveled, VBL reveals that executives, managers, and workers – regardless of position or level of education – when committed to respect, integrity, and decency, are capable of becoming leaders and are able to add moral value to one’s community and organizational

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traditions. Sought by those committed to ethical principles, VBL remains a cultural blueprint.

More than a business strategy, but that also, VBL is intertwined with relationships often complex and difficult to understand. It is both a description of one sort of leadership and management and of several varieties embracing over-arching ethical overtones; hence the term “values-based” (Copeland, 2014). And we must not fall into the trap of moral ethnocentrism, thinking that our business or national culture is definitive of value throughout the world. Ethnicity displays our differences and within these differences ethical applications will take on dissimilar hues revealing many shards, shapes, and layers of what is called a “values-based culture.”

Admittedly, human relationships are complex and tenuous, and when situated in an organizational culture, even more so. Given this complexity, VBL acknowledges the economic divide – socio-economic differences – between the janitor’s closet and the boardroom, including the historic cultural complications and fissures emerging from the Industrial Revolution of the 19th century, the role of workers’ unions, and the economics of politics governing tariffs and government subsidies, consumer protection laws, and the ill-defined relationship between the Federal Government and Wall Street. All of these have tainted the journey from top-down decision making only, to the current view that anyone within an organization can become a leader no matter position or level of education. This remains a minimal requisite of leadership considered as values-based. Values-based leadership is consequently both a business decision and a vision of the possible, not the probable only.

There is being a leader and there is being a follower, and when moving across the face of both there is discovered an endless array of role-exchanging between executive leadership, management, and worker, including clients, business partners, event volunteers, government officials, and, in churches, those in the pew as well as those in the pulpit and those who manage and lead denominations. Within an organization, roles are defined and sometimes ill-defined emerging only within the dimensions of a dialectical interchange where a respect for others is the defining characteristic. Notably, all persons crave respect and personal dignity (Fukuyama, 2018). Advocates of VBL recommend a climate of respect and dignity and cautions leaders, at any level, to avoid exclusivity and superiority and encourage civil dialogue within and outside current organizational structures. With an eye on creating a morally inclusive environment, VBL is divorced from labels that divide and instead views all within its scope of influence as morally significant. As Kurt Baier (1954) reminded, “Moral rules, moreover, are meant to be for the good of everyone alike and moral principles ‘are binding on everyone alike quite irrespective of what are the goals or purposes of the person in question.’”

Thus, corporately and individually, privately and publicly, VBL is more than a leadership theory; it is also a personal moral strategy seeking a blueprint for each individual within an organization’s culture. This will involve understanding and respecting the incalculable wealth of knowledge found in those who comprise the organization and releasing this knowledge into the organization’s leadership ethos. Sometimes workers, at any level, are shadows – workers doing their jobs. Other times they are up front and center, emerging

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as leaders when the occasion arises. A goal of VBL is to untangle these relationships eliminating the “invisible” worker to become a significant participant in the development of an organization’s (corporation, business, church, governmental body, etc.) ethos. As Arie de Geus (2002) observed, “Decisions grow in the topsoil of formal and informal conversation—sometimes structured...sometimes technical...and sometimes ad hoc.” It is an ongoing process of conversation, loaded with potentiality, and able to release a moral consciousness into an organization’s cultural fabric. Empowered by the dialogic process, organizations are able to facilitate their flexibility, creativity, and learning potential, enhancing the dignity and humanity of all within their circle of influence.

How are individuals valued in an organization and what is gained by stressing their personal value juxtaposed to the values of the collectivity (organization/business) itself? Is it just about loyalty, protecting one’s position within the structure of the conglomerate or are honesty, integrity, and commitment a part of this formula? Within the dialectic of leadership, inside and outside an organization’s traditions, questions of ethics are being asked. With respect and ethical perspicacity, values-based leadership recommends working through the tangles of these questions with an eye on personal as well as organizational growth, understanding that one does not contradict the other; both are functionally necessary (Turiel, 1983).

Reassessing “Value”: Seeking Consensus

The word “value” requires reconsidering and articulating how it is framed in the construct “values-based leadership.” Continuous organizational reassessment remains a hope for moral objectivity. Reassessment must avoid shoring up and protecting the status quo. *Reason qua validation* often disguises personal and corporate intentions. Reason and reassessment must not be reduced to “reasonableness” or “rationality”; fairness, honesty, and responsibility are necessary ingredients of a moral culture as a lack of objectivity weakens moral purpose often hiding unethical practices.

Oscar and Lilian Handlin (1994) have pointed out that nothing is more central to a people than their values and nothing is more important to Americans than the values of liberty and equality, respect for others, responsibility for one’s behavior, and self-reliance. As VBL began to drill down into organizational improvement, these values, and those predicated upon them, exposed much of the story of America’s moral adventure. Unearthing these values in constructive and productive ways is a goal of values-based leadership. Being of value to an organization and workplace is a meaningful thread woven generously through values-based leadership.

Philosopher Robert Nozick (1981) reminded us more than thirty years ago, “A person who is responsive to the value of others establishes a closer linkage and hence a tighter organic unity with those others (than one who is unresponsive), and that is valuable.” Almost a decade later, Nozick (1990) concluded, “In wanting ourselves to be of value and our lives and activities to have value, we want these to exhibit a high degree of organic unity...We want to encompass a diversity of traits and phenomena, uniting these through many cross-connections in a tightly integrated way, feeding these productively into our activities.” Nozick concluded, “Value is not the only relevant evaluative

dimension. We also want our lives and our existence to have meaning. *Value* involves something's being integrated within its own boundaries, while *meaning* involves its having some connection beyond these boundaries...To seek to give life meaning is to seek to transcend the limits of one's individual life...connecting with things so as somehow to incorporate these things, either within ourselves or into an enlarged identity."

In the 20th century, it was war upon war, the struggle for equality among African-Americans and women, changing lifestyles, and laws that were the substance of value fluctuation, and not only in America, but around the world. The many layers of American values have been exposed from the introduction of the "pill" in the 1950s, to school integration, the passing of *Roe v. Wade*, the civil rights and feminist movements, to our present immigration crisis, and, once again in American life, the appearance of white supremacy. Given our diversity, there are many ways to reconsider ethical thought, and ultimately, ethical actions. This does not mean that there is not a right way to act. Some are prone to say, "I have my values and you have your values, and this is our right." In light of our cultural diversity – within and without – some seem to think that ethical relativism is the correct path or only path to take. What is left out of this conversation is that "right" is collectively defined as a "moral value" which reaches far beyond our individualism. Thomas Donaldson (1996) has warned, "Cultural relativism is morally blind." Donaldson reminded us,

"We all learn ethics in the context of our particular cultures, and the power in the principles is deeply tied to the way in which they are expressed. Internationally accepted lists of moral principles, such as the United Nations' Universal Declaration of Human Rights, draw on many cultural and religious traditions. What it does mean is that our ideas and ultimately our actions are consequential, being informed by our thinking and considerations of the ideas and actions of others."

Donaldson recommends three guiding principles for shaping ethical behavior within businesses and across cultures: (1) Respect for core human values, which determine the absolute moral threshold for all [international] activities. (2) Respect for local traditions. (3) When deciding what is right and what is wrong, the belief that context matters. Under the theme of "managing for organizational integrity," Donaldson concludes,

Respecting differences is a crucial ethical practice. Research shows that management ethics differ among cultures; respecting those differences means recognizing that some cultures have obvious weaknesses—as well as hidden strengths. ... People often equate respect for local traditions with cultural relativism. That is incorrect. Some practices are clearly wrong. ... Some activities are wrong no matter where they take place. But some practices that are unethical in one setting may be acceptable in another. For instance, the chemical EDB, a soil fungicide, is banned for use in the United States. In hot climates, however, it quickly becomes harmless through exposure to intense solar radiation and high soil temperatures. As long as the chemical is monitored, companies may be able to use EDB ethically in certain parts of the world.

Since the events of 9/11/01, the struggle for equality, of ethical transformation and the accommodation of values and value shifts remain a discombobulation of ideals, standards, and moral principles revealing both political and value differences. Thus, Donaldson's principles, although not absolute, are a practical guide to civil discourse concerning diversity within and outside of organizations.

The hidden values and suppressed prejudices of our individual preferences are today being vigorously revealed within the political arena. Within this muddle, *values-based leadership* continues to surface as a method and an ideal to raise the horizon of American individualism and also to counteract the persistent narcissism within the "collectivism" implied by democracy itself and its corporate institutions. Defining "value" within "values-based leadership" is a task situated midstream in these struggles. Through civil dialogue and sensitivity to the ethos of the individual, VBL seeks to melt individual goals – not eliminate or suppress them – into the organization's (even the nation's) ethos, and vice versa. Understandably, such a dissemination of value, often construed through the lens of idiosyncratic leaders, must be situated against the struggles of real people and families who are at the clemency of large and impersonal corporations. Modifications and conciliations will be necessary. (Meier, 2000)

George Silberbauer (1983) has commented: "One's own morality lies deeply internalized, and it is not easy to overcome ethnocentric prejudice when confronted by behavior which prima facie offends against it." But, as Silberbauer pointed out, the dominant moral values and beliefs of a society cannot be applied to all people and all cultures without some modifications. He understood that only at a generalized level can comparisons precede, including comparisons of moralities. These modifications include constitutions and laws specifying duties and rights, behaviors we generally call "moral," and will include a dialectical discussion of values within and without of an organization's hierarchy. With this Silberbauer demonstrated the complexities inherent in ethical talk, especially across cultures, nations or religions, and discussions of value in schools and places of work where, obviously, a wide variety of value orientations are actively displayed. Silberbauer's observation demonstrates the reality of value differences and the difficulties of seeking a common ground upon which to proceed.

"Value" is a word signifying what is important and useful to a person, a company, the government, or any organization. Since this is sometimes an unrestrained and expansive concept, "value" in "values-based leadership" is frequently narrowed to ethical or moral value, regularly called "authentic" and "transformational," (Copeland, 2014) but not so narrow as to exclude the idea that an organization, any organization, is in fact a "human community." Value consensus is perhaps a worthy goal, but doesn't imply narrowing or eliminating behaviors generally defined as "moral." This is why VBL has refocused leadership attention on such ideas as equality, decency, dignity, honesty, respect, service, and ethical responsibility. These values are implicit in democratic cultures and foundational for ethics to be included in a VBL leadership formula. Understanding these values will help determine how best to serve one another ethically. This inevitably points to a higher purpose than our own personal or corporate needs and desires, but these also. Subsequently, VBL relocates organizational and individual purpose within the

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concept of “community” and seeks to release leadership from its narcissistic impulses making it morally inclusive. VBL also advances individual and capitalistic desires, including our dreams for a better life and commitment to the workplace, including efficiency and productivity. Ethics touches every life no matter where one lives and works. Ethics is something which is communal in a personal and far-reaching sense, as moral values stretch the boundaries of personal and communal/organizational relationships essential for collective living.

Values-Based Constructs

Mary Kay Copeland (2014) has written,

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

She continues,

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

As VBL research continued, it became not only a method and practice of leaders, but a philosophy of life as well. As Copeland suggests, many involved in leadership research have defined “values-based leaders” as those with an underlying moral, ethical foundation. Thus, included within the mantle of VBL are the following value constructs: *spiritual, servant, authentic, ethical, transactional, and transformational* leadership revealing the stuttering conclusions of those engaged in values-based analyses. Gradually and importantly, VBL took on a moral tone requiring explication, application, and continual research. An integrated model of these constructs is provided by Karin Klenke (2005) who says, “Leadership is shaped by context; leadership is context dependent and context sensitive with leaders serving as tenants and stewards of context. In all form of leadership, contextual factors set the boundaries within which

leaders and followers interact and determine the demands and constraints placed on them as they contextualize their actions, behaviors, attitudes, emotions, and spiritual choice.” Given Klenke’s emphasis on context, the guiding principles of Thomas Donaldson mention above provide an excellent starting place for value (ethical) interaction.

Within the parameters of these constructs, VBL was identified as a moral activity and a business practice involving all members of a community (church, business, civic organization, etc.), treating them with respect and impartially, honoring their dignity and encouraging their responsibility for the efficiency of their work, supporting them, and promoting their leadership potential. This view is reflected by ethicist Kurt Baier (1970) who noted that the moral point of view looks and treats everyone as “...equally important centers of craving, impulses, desires, needs, aims, and aspirations; as people with ends of their own, all of which are entitled, *prima facie*, to be attained.” Following this advice should make it possible for others to either consent or dissent to organizational purposes – to willingly participate (or not) – to contribute to an organization’s mission, and to be invited to participate in formulating an organization’s ethic.

As a process metaphor, VBL remains in development. Like Copeland, Karin Klenke (2007) has pointed out that many theories and disciplines have emerged, requiring additional research and a theoretical framework for validation. Copeland has identified and thoroughly explicated these constructs and her research remains an excellent overview and is recommended for careful study and continual evaluation.

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

The concept of “value” and the identification of the ethical values that are important to values-based leadership require our constant attention. Reading much of the definitive literature, VBL demonstrates an emphasis on personal integrity, moral, and ethical principles. “Value” itself remains a catch-all word for these principles and for this reason, must be carefully defined and, when not, leaves the historical narrative of American value problematic. One example from Copeland demonstrates this complexity. She cites Burns (1978) who is credited with proposing the theories of transactional and transformational leadership. Burns described transactional leaders as those who lead others in exchange for something of value. This, of course is reciprocity-oriented leaving “value” ill-defined and perhaps idiosyncratic. Burns then compared transactional leadership with transformational leadership and pointed out that transformational leaders sought to appeal to and influence the moral values of fellow workers and inspire them to reform and revamp their organizations. Burns also noted that to be truly

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transformational, a leader must also be “moral, ethical and authentic.” Although Burns’ example is insightful, the words “moral,” “ethical” and “authentic” require our attention. “Authentic” points to consistency in values but leaves open the question of “moral value” unless these concepts are used jointly as “authentic moral value.” Also, in transactional leadership, the phrase “in an exchange for something of value” remains questionable and seems more a characteristic of reciprocity than that of ethics and morality, for people value many things, some of them less than moral. Reciprocity is a bargaining tool, but core moral values such as honesty, responsibility, fairness, respect, and human decency are too morally basic to be compromised. Thus, at a generalized level, the contextual comparison of transactional and transformation leadership reveals the perplexity of value, offered as values-based. Klenke (2007) has exposed the depth of value within value-based leadership practices, a depth which, as she noted, “draws from humanistic psychology, existential philosophy, and social identity as well as self-categorization theory, leader prototypicality, and spiritual leadership theory.”

Understanding the depth of psychological, sociological, philosophical, and spiritual research supporting values-based leadership is a task with which we are charged. Robert Greenleaf’s (2002) idea of “servant leadership” is, perhaps, more unambiguous and simplistic:

This is my thesis: caring for persons, the more able and the less able serving each other, is the rock upon which a good society is built. Whereas, until recently, caring was largely person to person, now most of it is mediated through institutions – often large, complex, powerful, impersonal; not always competent; sometimes corrupt. If a better society is to be built, one that is more just and more loving, one that provides greater creative opportunity for its people, then the most open course is to raise both the capacity to serve and the very performance as servant of existing major institutions by new regenerative forces operating within them.

Given the obvious differences in values-based leadership constructs, the observation of Warren Bennis (2009) is apropos: “Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it . . . and still the concept is not sufficiently defined.” The blurred edges of value are a reality with which we are challenged to contend. Consequently, like Donald Brown (1991), value-based leadership theorists are challenged to search for a set of universal ethical values, values that are not only moral, but have utility value as well. This is a continual struggle and it’s a struggle in the minds of leaders about their beliefs, values, and purposes. Indeed, the value-layers definitive of VBL – the ideals, precepts, and ethical principles – are fragile and politically charged. Staying morally focused, either as a business or a governmental body is terribly difficult as moral inclusiveness is often a misunderstood and half-hearted affair.

Value Shifts and Value Confusion

Having been exposed, value ambiguity is causing confusion and value adjustments in every aspect of American society. The historical narrative of America reveals the

struggles, the shared sacrifices, and the uncertain future that has become a seemingly natural part of everyday life. Lifting the veil of American history reveals a values concoction defining personhood and nationhood imposing compliance, acceptance of common norms, and collective opinion – all that Tocqueville (2011) meant in 1840 by the “tyranny of the majority.” The dichotomy of “individualism” and “collectivism” remains at the heart of this struggle. From this history one is able to uncover the values foundational to each generation, some moral and others not. The flow and ripples of this current are making it difficult to judge and put into perspective what is expected of leaders today. Even a philosophical detachment from these events is perhaps not strong enough to make an objective evaluation. Thus, to understand personal values we must look outside ourselves and outside our individual values’ bubble to grasp the larger entangled picture of values confusion. Starting here, we can begin to lift the horizon of our ethical vision and the emerging possibilities of a collective moral culture, one that entails values-based leadership and one that requires cultivation and refinement.

Values-based leadership is founded on the premise that each person craves recognition of his or her dignity as a human being, including being an important member of an organization. The value thus derived is the pursuit of both a negative and a positive freedom: first, the freedom from the abusive actions of colleagues and superiors and, second, a freedom to participate fully, to the extent of one’s abilities, in the exercise of one’s skills. Both can be an exchange of ideas to clarify proposals about how to make one’s work and shared relationships more efficient, effective, and tolerable.

With cultural and even ethical diversity defining the workplace, the crisis of self-identity and of organizational identity pushes the need for dialogue, civility, and respect to the forefront of values-based leadership. Melé & Sánchez-Runde (2013) have commented,

The last few decades have witnessed the development of cross-cultural management, which focuses on cultural differences and their effect on organizational and managerial decision-making. Cross-cultural management is not only a question of techniques. It involves human and ethical considerations, as does every other aspect of management. Beyond cultural diversity, management is about people and so it entails ethical dimension. ... Cultural diversity entails an ethical challenge, for different reasons. One is that there are differences on moral perceptions and moral judgments among cultures, and consequently a tension appears between moral universalism (universal ethical principles or standards) and moral cultural relativism (local or cultural ethical norms as the exclusive source for ethical standards).

Long-Term Value Creation

The moral future envisioned by VBL and the various moral strands pulled together by VBL research have recognizable parallels, cultural furrows tilled by those who understand the moral needs of humanity and the moral dimensions of our common experience. Without a constant and continuing practice of moral correlation, the foundations of moral meaning go out the window. E. A. Burt (1965) has explained,

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“... [The] fact is that the way in which a person is known makes a difference to the way he changes...He will be, in some measure, a different person because of it. ... True understanding of a person is gained only through the positive, response to his presence. Only when one’s interaction with him becomes an active participation in his growth toward fulfillment can one come to know his full self, because only in the medium of such a response is that full self coming to be.”

Burt’s ideas can become a catalyst for values-based leadership, for averting the dehumanizing forces in our country to which VBL has been and is a positive reaction. Anyone who has experienced even one moment of uncivil behavior from another understands the dehumanizing and depressing feelings that result. Negative emotions of fear, hate, suspicion, and indifference block avenues to understanding others. Thus, important to the leadership community is that we become accountable to human need. For these reasons, VBL stresses the importance of ethical and civic values, values that respect the individual merging them with corporate purposes, and values that stress fairness, honesty, and responsibility from the top to the bottom of the corporate ladder and vice versa.

The Aspen Institute (2018) has created a program for guiding businesses and investors entitled “Long-Term Value Creation.” One goal is teaching ethics, not only as a philosophy course, but as a component to schools of business, education, etc. But placing ethics in American schools of business or even offering a separate business ethics course in these schools has been a slow process. Long-term value creation remains difficult to procure. According to the Aspen Institute, “The principles of this program represent a consensus among companies, investors, and corporate governance professionals. In subscribing to these principles, and moving to implement them in their own organizations, subscribers are leading by example and taking a stand that a long-term focus is critical to long-term value creation.” The principles of long-term value creation espoused by the Aspen Institute are as follows:

- Work together and with others in the spirit of continuous improvement and ongoing communication, dedicating real resources to identifying and testing best practices for creating long-term value at our own firms;
- Support each other’s efforts to promote metrics, communications, and executive compensation that create long-term value; and
- Support each other even in the face of internal and external pressures to compromise on these principles and default to short-term thinking.

Judith Samuelson of the Aspen Institute says that change is coming slowly in schools of business and management, and is being propelled by “students who want business to be seen in the context of the big issues of our day.” Even today in universities and colleges ethics remains only as a special course in philosophy usually taught as a theoretical analysis of various moral constructs divorced from the reality life presents. Steven Mintz (2011) comments, “From my experience many instructors are reluctant to teach ethics. Some feel uncomfortable doing so. Others are concerned about becoming too preachy. Still others do not believe ethics can be taught” (Haidt, 2012). But, is this a

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cop-out, a giving into the postmodern spirit and its co-partner, ethical relativism, with the assumed but unsupported belief that all values have equal moral status and that identifying humanity's common moral values is a denial of a person's right to believe what one wants and behave how one desires to behave? Certainly, the civil rights and feminist movements of the 1960s and the more recent events in Charlottesville, Virginia, and school shootings around the nation have revealed the moral inadequacies of this view.

John Ragozzine (2008) has commented,

As our nation emerges from several decades of determinedly values-neutral education; efforts to weave ethics and integrity into the fabric of education still meet skepticism. The arguments against it are as varied as they are trite. Aren't we already doing this? Isn't all ethics relative anyway? Are you saying my child is unethical? Are you trying to impose your values on my family? Whose values are you trying to teach, anyway?

Ragozzine concludes,

Ours is an age of inordinate moral confusion. Every day's headlines report big-picture dilemmas with no clear solution: international terrorism, regional warfare, global warming, energy shortages, corporate scandals, nuclear proliferation, and endemic corruption. At a more granular level, this bewilderment appears in a litany of national and local ethical lapses, where values are subverted, integrity is abandoned, and moral courage is given short shrift. ...little wonder, then, that parents are searching for schools where character matters, where values are in focus, and where moral reasoning and ethical behavior are central to the educational culture. Parents often find those qualities in the nation's private schools, so many of which are deliberately trying to achieve a culture of responsibility, respect, honesty, fairness. A central aspect of the appeal of private education—a key reason that parents willingly pay for an alternative to what, in North America, is available free in every community—lies in the commitment of private education to developing students of character.

Conclusion

Joseph T. Plummer (1989) was cognizant of the values reassessment going on American society when he said, "Long-held beliefs about the meaning of work in one's life, relations between the sexes, and expectations for the future—indeed, about many aspects of daily living and important relationships among people—are undergoing reexamination and reappraisal." Plummer calls this a *paradigm shift*—a fundamental reordering of the way one sees the world around them. Perhaps VBL is an important component of this ongoing shift as society is gradually moving away from the traditional values that drove society through the 20th century and toward the emerging new values being embraced on an ever-widening scale.

Plummer has identified some of the characteristics of this "shift" which he says demonstrates...

- A new focus on individuality is seen in corporations that value a high level of creativity, flexibility, and responsibility to people rather than bigness, consistency, and uniformity.
- The expectation of high ethical standards of leaders and employees, political figures, and advertisers is required.
- A greater value is being given to experience and has prompted a growth of travel, the arts, sports, and lifelong education.
- Finally, health behavior is shifting from curing illness to promoting wellness which is seen most dramatically in a decline in smoking and red-meat consumption.

At the center of this paradigm shift are such values as decency, integrity, fairness, trust, and responsibility, to name a few. Aptly, Stephen Convey (2012) has observed,

As we work with people and companies around the world, we come in constant contact with the pain and struggle many are dealing with as it relates to trust. One of the reasons the pain is so great is because somehow deep inside people innately know that the benefits of high-trust relationships, teams, and organizations are incomparably more productive and satisfying. They can sense that their lives would be a lot better, their jobs a lot more fulfilling, and their personal relationships a lot more joyful if they could only operate in an environment of high trust. And that makes the absence of trust all the more frustrating.

Agreeing, Mick Yates (2018) commented, “Leadership is the energetic process of getting people fully and willingly committed to a new and sustainable course of action, to meet commonly agreed objectives whilst having commonly held values. It will take insight and effort to define the values supporting leadership and this will be an on-going process.” Donald Clark (2012) was perhaps on the right course when he wrote, “Leaders do not command excellence, they build excellence. Excellence is ‘being all you can be’ within the bounds of doing what is right for your organization. To reach excellence you must first be a leader of good character.”

Thus, a core test of values-based leadership is being of “good character.” A question remains, “What is character?” and more importantly, “What is good character?” These are questions requiring explanation and clarification, and put into the context of leadership in the 21st century. This is nothing less than a quest for ethics and civility in the workplace. H. Darrell Young, building on his leadership experience, says even more strongly that our purposes – values and beliefs – must drive organizational mission and not the other way around. He comments, “Character is the foundation of leadership and is found in our courage to exercise our decisions from this perspective.” It is our values that provide stability to the organizations which we lead and manage. Young writes, “We must have stability of purpose in order to deal with instability of environment.” In his opinion, our moral values allow leaders and followers to step up to a lifestyle of performance responsibility. This responsibility, Young reminds us, is situated in the dignity and moral value of people and the ethic that is derivative of this value (Young and Hester, 2004).

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Morality Without Borders A Vision of Humanity as Community

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Abstract

Identity politics is on the rise, and not only in America, but throughout the world. It is an inherent nationalism, and when unbridled and unchecked, unleashes an exclusive ethic into society appealing, not to an expansive moral ought, but one that is narrow and provincial, condemning and vilifying. The fact of national diversity and the imprint of dissimilar value orientations often cause fear and insecurity among groups and sub-groups who are apt to condense their value-orientation vis-à-vis their national or cultural identity, promoting ethical relativism and neglecting core human values. With a diminishing of religion's consecrated and sanctified moral vision, many are falling upon an idealized version of national identity to set the parameters of their moral horizon. This is often expressed as a "moral superiority" implying the dominance of certain traditions and customs over those of others. We must be reminded that autocracy, national or religious, can be a tool of anyone seeking moral supremacy.

Looking back, history teaches that putting up constrictive, dogmatic borders is morally destructive, fencing out those with different views and stifling dialogue and civility within and without. Obviously, putting up ideological boundaries is apt to enclose those who profess a restrictive and/or superior ethic to unproductive and morality corrosive values. Being ethnocentric and tribal seems natural as there is a desire to protect our most cherished beliefs claiming moral superiority. Values are what define us; they are the substance of whom we are and reveal our commitments and convictions and their assumed authority. But our values can also limit our moral acuity, narrowing moral focus and diminishing its energy, unseeking of the commonalities that bind humanity to humanity. Clearly, it's time to change this truncated narrative from an exclusive ethic to a morality without borders, exemplified as humanity as community.

Authoritarianism, displaying autocratic and anti-egalitarian values, is repressive and results in a limited and often amoral view of others. This we are witnessing today from all corners of the political spectrum, and not only in America, but elsewhere as well. For advancing a vision of the morally possible, an inclusive and expansive moral "ought" is needed, but terribly difficult to achieve or even articulate given the fact of cultural diversity, but we try. As Thomas Donaldson (1996, p.52) has noted, "We all learn ethics in the context of our particular cultures, and the power in the principles is deeply tied to the way in which they are expressed. Internationally accepted lists of moral principles, such as the United Nations' Universal Declaration of Human Rights, draw on many cultural and religious traditions. As philosopher Michael Walzer (1983) has noted, 'There is no Esperanto (an artificial language

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devised in 1887 as an international medium of communication, based on roots from the chief European languages) of global ethics.”

We simply express our view of a global ethic as a “moral human ecology” supportive of an unrestrained moral vision drawing both humanity and the environment into its definitive natural fiber. How often we write in abstractions and generalities forgetting the people about whom we talk. Their needs and the inhumanity heaped upon them are seldom noticed. There is some distance between us and others, but with empathy and care and an unrestrictive vision of others, this fissure can be closed. Differing customs and traditions require our reconsideration and respect. What we expose is an ethic of diversity seeking those basic and common values grounded in the idea of “humanity” itself. Given the present-day discombobulation of value, especially moral value, as witnessed in present-day politics, nuclear proliferation, human exploitation and misery in Central America, and continuous war in both Africa and the Middle East, “morality without borders” presents a guiding metaphor beckoning our attention. “Humanity as Community” marks its location for it is a global imperative. Its possibilities are endless as it can become a beacon of hope in a divided world. But don’t expect miracles; this will be a slow and evolutionary process as we naturally hold our values close, seldom unleashing them for public scrutiny.

Philosophically, more than words are needed and more than well-crafted arguments are required for human rights, understood as moral rights, to be judiciously spread around the world. Commitment, respect, planning, and action are also required. For those who are leaders in human rights proliferation as well as ordinary people whose voices need to be heard, this is an enabling vision. It acknowledges the essence of humanity as moral and does not contradict what the religiously oriented call the “sacredness of human life.” It also acknowledges the principles foundational to human rights, such as fairness and justice, decency and responsibility, and the importance of human dignity, integrity, nurture, and care. Not mere generalities, these values are drawn from personal and collective experience and an unhampered propensity to care for others. To say they are innate (Haidt, 2012, p. 31) is perhaps an overreach, but to recognize their human importance is not. As ethicist Kurt Baier pointed out in 1971 (p. 810), morality looks at the world from the point of view of everyone, that “...to be moral...is to recognize that others too, have a right to a worthwhile life.”

Introduction

Seeking what identifies us collectively is not, as some believe it to be, self-denying, but is self-affirming, with the possibility of enriching the depth of moral purpose and ethical sensitivity. This identification can be expressed simply as “humanity as community.” Notably, the assumptions brought to this discussion are as important as the explanations given. Thus, no claim to moral objectivity or moral superiority is made as this thesis is simply a rational confirmation of what is believed and intuitively sensed about humanity. Admittedly, this presupposes that all persons, regardless of culture, religious affiliation, ethnicity, race, or gender identification are, as Kurt Baier (1965, p. 366) said, “...equally important centers of craving, impulses, desires, needs, aims, and aspirations; as people with ends of their own, all of which are entitled, prima facie [without extenuating circumstances], to be attained.” Baier (1969, p. 42) further commented, “Let it be granted, then, that principles of behavior can be recommended to everybody if they successfully promote the best possible life for everybody, and that the

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best possible life for everybody cannot be achieved in isolation but only in social contexts in which the pursuits of each impinge on the pursuits of others.”

Understanding Baier’s moral directive compels self-reflection, avoiding adherence to an exclusive ethic as morality is essentially a social undertaking. Given the actuality of cultural diversity, we should not fall into the false dilemma asserting that cultural diversity implies ethical relativism. The traditions and practices of societies and cultures change over time, albeit slowly. The interactions of nations and the people within testify to their acknowledgement of core beliefs and common values. Of course, there are those within every society who advocate more narrow views and consider their values superior to others. Also, within such cultures there are many who recognize their innate commonality with others seeking to lift the horizon of their moral acuity. Human nature is not a fixed target, but continues to change, hopefully grasping the moral nature of humanity continuously seeking an inclusive morality.

R. A. Shweder (1990, as noted by Jonathan Haidt, 2012, pp. 166 ff.), has given attention to three major clusters of moral themes that will enlighten this explication: the ethics of autonomy, community, and divinity. An ethic of autonomy is based on the idea that people are self-directed individuals with needs, wants, and personal preferences. Adhering to this ethic only promotes individualism, personal choice, and, in the end, cultural relativism, but, as Haidt points out, its inherent narcissism is potentially community destructive. Supporting this view is Thomas Donaldson (1996, p. 51) who commented, “Cultural relativism is morally blind.” That is, there are fundamental values that cross cultures and, when recognized, from a moral point of view, should be upheld.

An ethic of community understands that people identify themselves as members of larger entities such as families, political parties, and nations, etc. It also understands that many have a limited understanding of community, seeking to narrow its province and its focus. Morally significant, “humanity as community” expands our view of others, our communal interdependence, and the importance of human decency and service. It encourages a morality without conceptual borders. Unsurprisingly, within nations and communities, there is a wide array of values, prioritized differently, requiring dialogue among their citizens. Lest we hover in an inherent moral exclusivity, these values must be flushed out and their overarching moral identity-markers recognized, prioritized, and brought to the forefront of policy-making where consensus and foundation-building are able to grow moral awareness. Donaldson (1996, p. 52) recommends three guiding principles for shaping ethical behavior across cultures: (1) Respect for core human values, which determine the absolute moral threshold for all [international] activities. (2) Respect for local traditions. (3) When deciding what is right and what is wrong, the belief that context matters. Under the theme of “managing for organizational integrity,” Donaldson continues, “Respecting differences is a crucial ethical practice. Research shows that management ethics differ among cultures; respecting those differences means recognizing that some cultures have obvious weaknesses—as well as hidden strengths. ... People often equate respect for local traditions with cultural relativism. That is incorrect. Some practices are clearly wrong. ... Some activities are wrong no matter where they take place. But some practices that are unethical in one setting may be

acceptable in another. For instance, the chemical EDB, a soil fungicide, is banned for use in the United States. In hot climates, however, it quickly becomes harmless through exposure to intense solar radiation and high soil temperatures. As long as the chemical is monitored, companies may be able to use EDB ethically in certain parts of the world.” Donaldson’s principles, although not absolute, are a practical guide to civil discourse concerning global ethical practices.

Finally, an ethic of divinity focuses on the idea that people believe themselves to be servants of a higher being and should behave accordingly. This is a spiritual view of humanity variously articulated in differing religious cultures necessitating cultural as well as individual sensitivity. Notably, among the great monotheistic religions advocating care, nurture, and love as their guiding ethic, there is among them many whose moral vision is diminished by attitudes of superiority, perfectionism, and/or exclusivity. This diminishing further denigrates the underlying assumptions of their faith; namely, the significance and, perhaps sacredness, of all humanity. Many who are religious have put up walls of protection and exclusivity which remain as mental and emotional barriers to a comprehensive moral understanding of “humanity.” Remembering that “walls” naturally fence us in narrowing our focus, a morality without borders expands opportunities for gathering all humanity into a universal moral perspective.

There is hope, for many understand their individuality is connected to a larger community of friends and fellow travelers. Individual goals are important, and many have learned that to be successful their goals must be pursued in the context of others. Wisely, Haidt (p. 117) said to pursue individual goals without community perspective is “to weaken the social fabric and destroy the institutions and collective entities upon which everyone depends.” Consequently, one does not have to apologize for their values orientation, only display a willingness to re-consider their beliefs with regard to the values of others, seeking consensus – harmony and accord – within the value-context of community, national, and international diversity (Hester, 1975). Human suffering is both individual and collective; it is impossible to morally separate individual pursuits from the collectivity now pervading all nations; human interdependence calls this forth. Without meandering too deeply into religious doctrine, a simple acknowledgement of others, all others, as a sacred trust to be enhanced within the parameters of individual, national, and international moral capability should become a present-day priority. This is possible and a vision of humanity as community, of morality without physical or conceptual borders, is a suitable ethical guide.

Theoretical Framework: “Humanity as Community” A Socio-Philosophical Explication

Humanity as Community

“Humanity as community” is morally foundational. Exploring its moral potential, it can be framed within a broader contingency, *a moral human ecology*. This is a functional prerequisite and a moral priority recognizing all humans, worldwide, as composing a “greater” moral collectivity. This ideal supports reconstructing a more unified and shared

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moral view. There is moral strength in this identification, but, as Francis Fukuyama (2018, pp. 71 ff.) has pointed out, it is easier to talk about respect and dignity than to come up with potentially costly plans that would reduce inequality throughout the world. Andreas Schüller (2010, pp. 744 ff.) agreed that even with the *Fundamental Standards of Humanity* developed in the 1980s to ensure the protection of individuals in situations where international humanitarian law was not applicable, an invariable derogation of human rights was still possible. No binding document has been adopted applicable in all situations of internal disturbances and tensions.

Recognizing this, morality signifies not only a behavior; it is a condition of the human heart, acknowledging that no standards, commandments, or constitutions, regardless of their origin, are able to coerce morality out of immorality or excite a narcissistic person or nation to abandon innate self-interests. Beneficially, developments in international law, especially international criminal law, international humanitarian law, as well as human rights law have narrowed the gap between what is and what “ought” to be. A moral foundation is the ground floor of this recognition, responding to others, all others, with decency, dignity, respect, and working to relieve hunger, pain and suffering worldwide. (Fukuyama, 2018, pp. 71-81; See also, Jean-Daniel Vigny, Cecilia Thompson, 2000, pp. 31-42)

We are, near and far, heterogeneous and this is the reality of human diversity; yet, understanding “humanity as community” incites an impartial moral perspective which, we believe, each person is capable of assuming. A moral community is inclusive and its greatest enemy is exclusivity revealing attitudes of pre-eminence among some people and nations. Those who evaluate others negatively, excluding and vilifying them because of religious, ethnic, gender or more subtle differences are diminishing not only their personal moral integrity, but their humanity as well. A moral human ecology is an ideal, suggested as a way to help others achieve the best life possible both individually and collectively.

Preferably, individuals will not be taken in by reductionist approaches to knowledge or value or fall in the trap of confusing subjective experiences with objective reality, such as ensconced in “revealed” truth, tradition and heritage, or by politicians espousing a narrow moral view projected as superior to all others, or the distortions often received from the media. And they will not be taken in by sweeping generalizations disparaging either individuals or groups of individuals as fundamentally immoral, criminal, or unworthy of respect and dignity. Such generalities belittle the needs of persons, their hunger and pain, need for food and clothing, housing, health care, and protection from crime and warfare. Although no moral doctrine is needed to recognize the depth of human need, perhaps a moral vision is required for individuals and nations to do something about it. From the borders of the Ukraine and Bosnia, to those of Syria and the American-Mexico divide, and elsewhere, this is an on-going reality.

A moral human ecology expresses a vision defined by cooperation, accommodation, and articulated as a collective moral consciousness. It is a world in which no one is exempt from moral responsibility and implies an open-ended vision revealed in its inclusiveness the possibilities of which have yet to be attained. It is forward-looking and activated in

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the existential moment of decision-making with a view of how personal and collective actions impact others. To expand moral hope to an enlarged view of “community,” long-range vision is required, not simply short-term goals. Local communities and national pride are important, as well as self-identity, as we all crave recognition of our personal worth, but such recognition doesn’t compel superiority or a condemnation of others. Neither does it require putting up physical and/or conceptual fences. (Fukuyama, 2018, p xiii) This, of course, necessitates self-reflection about the collective and individual value of persons, our own place in the world, and the policies that guide nations. Furthermore, this expresses an ideal expressed as both a moral and social hope, and, more often than not, hope is relationship dependent finding meaning and purpose within community where it musters the energy to move forward.

On Being Human

A curriculum developed for young people – *The Philosophy for Young Thinkers Curriculum* (Hester & Vincent, 1983-1988) began with the question “What is human about humans?” This is a question we all must answer. From a moral point of view, this question recommends we rise above our individuality and embrace our connectivity, understanding that “humanity” exposes our communal and moral dispositions, accepting of shared human traits and needs. So, to juxtapose our individuality against our collectivity as a shared humanity is a false dichotomy revealing acculturated and ethnocentric biases. Morally speaking, “humanity is community.”

Intentionally we have created elaborate political and religious systems reflecting our values and the various definitive sub-cultures of our lives. From a practical as well as moral point of view, we also project a future hope onto our communal landscape often surpassing our political or religious affiliations, even our present lives. This is a moral hope acknowledging our human connections, inside and outside our immediate environs, and encompassing a holistic view defined as “community.”

“A moral human ecology” encompasses this idea as it accentuates the relations of persons (including the living environment) to one another and to their physical and social surroundings. From this perspective, morality is inclusive as it is expansive, emphasizing human rights and dignity for all people, respectful of diversity, and consequence-sensitive. A moral human ecology is also environmentally sensitive asking that we – individuals, corporations, and nations – work to protect the living environment that sustains our lives. This doesn’t imply that morality is simply about ends only, about consequences and results, and it doesn’t deny the outcomes of our behavior as morally and environmentally unimportant. From a moral point of view, both the intentions and consequences of behavior are significant. Also indispensable is the person or persons involved in moral decision-making, especially national leaders and heads of large international corporations. Moral leadership is required at all levels of government, commerce, and industry.

Black Elk, an Oglala Sioux holy man, understood the importance of his moral connection with a world beyond himself when he prayed, “Hear me, four quarters of the world – a relative I am! Give me the strength to walk the soft earth, a relative to all that is! Give me

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the eyes to see and the strength to understand, that I may be like you. With your power, only can I face the winds.” (“Black Elk Speaks,” 2018) Black Elk’s perception of “community” captures the connective sense of our common humanity. He possessed a “holistic” view including all people and all natural living things, a moral community of persons encompassing the living environment in which we all participate.

A Moral Human Ecology

Following the Black Elk’s prescription will be challenging, but without it a shared vision of a moral human ecology cannot take root. Sociology professor Don R. Killian draws out attention to this vision with the model below:

A MORAL HUMAN ECOLOGY

Foundation- Building

Personal Value

Purpose: to identify personal values, value differences, and value choices.

Question: Am I free to believe or do anything I want to believe or do?

Cultural Identity

Purpose: to identify the moral principles common to human life.

Question: Are there common moral principles that can guide my life?

Justifying Our Morality

Purpose: to define and give reasons for a universal or common view of morality.

Shared Moral Ground

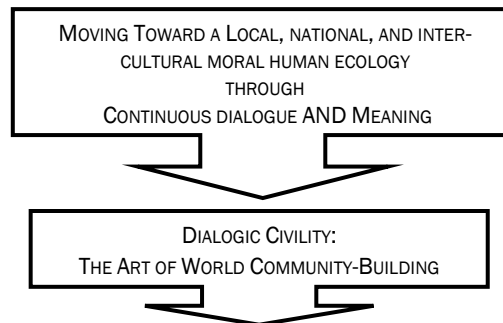
Question: Why should I be moral?

The Moral Ground

Purpose: to define and support an inclusive and common moral point of view of community.

Question: Is a common morality defensible in a global world?

Activation



Early in life, we begin to learn the importance of moral behavior (Haidt, 2012, p. 31 ff.) but as we grow older, we are tasked with expanding our moral propensity from a self-centered disposition to “humanity as community.” This model asks that we acknowledge our collective moral identity, recognize the moral principles we deem humanly essential, and provide reasons and collective opinions moving morality outward into a more unrestrained moral commons. This is no easy task; in fact, it is complex and will expose

the stamp of religious and political provincialism. The realities in which we live will often be disorderly requiring great patience and energy to move this vision forward. Much effort is needed and try we must.

Discussion: Bridges that Connect

The seeds of an inclusive moral community, when planted into culture, become foundational, gathering our beliefs and values in harmonious associations. This is an ideal recognizing communities as the building-blocks of culture revealing their intimate nature. Importantly, to widen the idea of “community” is a challenge as Professor Killian has suggested. This understanding acknowledges culture as an extension and expression of a people’s ultimate values. According to Domènec Melé and Carlos Sánchez-Runde (2013, p. 681), “Cultural diversity and globalization bring about a tension between universal ethics and local values and norms. Simultaneously, the current globalization and the existence of an increasingly interconnected world seem to require a common ground to promote dialogue, peace, and a more humane world.” This common ground is discovered in the nature of humanity, itself a moral concept – “humanity as community.”

T. S. Eliot (1973, p. 58) believed that if community is destroyed the possibility of developing a genuine culture may well be destroyed with it. Thus, moral awareness is not a fixed target, but most certainly changes as our relationships change revealing their precarious nature. Relationships are emotional and social bridges connecting people to people and nations to nations. They require our constant attention (Hester, 1995). Consider:

- 1) Moral awareness and vision have social strength and communal capacity.
- 2) Moral behavior is always conditioned by our relationships and an internal awareness of the dignity of others.
- 3) Moral purpose dangles at our fingertips and only the courageously committed are able to see its importance and activate its “oughtness” in their lives.
- 4) Moral-consciousness sponsors a sense of moral community.
- 5) Morality is personal as it is social. It is founded on an understanding of our humanity, its connection to others, the physical environment, and human integrity. It requires self-reflection, rational coherency, and dedicated action.

Insightfully, Wordsworth (1770-1850) spoke of the meaning lying deep within human consciousness and of values binding one generation to another. His words are applicable to the idea of morality without borders as he wrote, “Loyalties and the imaginative sympathies which affirm that all of us are of one race and further, and the living and the dead are of one race too.” Jon Meacham (2018, pp. 62-63) speaks to this as he urges the assertion of hope over fear and to search “for our better angels,” for moral community. To hold high the ideal of “humanity as community” means transposing our awareness of “living in community” to “being community” accentuating our moral nature and lifting our moral horizon.

Certainly, we are held together by common likes and dislikes, loves and hates, and shared values. And where shared values are diminished as unimportant, larger

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communities, even families, often break down into separate groups defined generally by religious, social, ethnic, and/or political affiliations. Groups may even be reduced to mobs each vying for recognition and freedom of expression as revealed in Charlottesville, Virginia in 2017. Sentimental values also take us back to an idyllic past, which we desire to recover, revealing values we believe better than all others. But these can be negations of the present pointing to a loss of moral courage and moral vision. We understand the loss of shared values will be portentous, because when we cease to love the same things, culture itself is disintegrating. Richard N. Goodwin (1974, p. 35) shared a similar thought when he observed, “Indeed, community is built and maintained through value-connections and personal relationships the loss of which, whatever the compensations gained economically or elsewhere, is a genuine loss and threatens [its] fabric.” Although this heightens and seems to support the view of ethical relativism, it does not. Ethical relativism is not an absolute but a changing phenomenon varying from culture to culture. From a moral point of view, seeking an expansive understanding of “humanity as community” will be an ethical challenge for many, but a challenge that needs pursuing. Sissela Bok (2002) asks what moral values, if any, might be capable of being shared across national, ethnic, religious, and other boundaries, under what circumstances, and with what qualifications. She argues that certain basic values can be shared cross-culturally without infringing on the richness of diversity and can provide a starting point for dialogue, negotiation, and cooperation. She takes a stand against the claim that respect for cultural diversity and respect for common values are mutually exclusive.

The questioning of old attitudes and principles is a powerful stimulant to observation, memory, and cogitation necessitating an examination of our basic values. Both the new and the old are a counter-stimulant to each other, challenging and forcing reexamination and attention, not just on local needs, but human need globally. Consequently, a reconsideration of our moral views is necessary. Naturally, we think of “community” as intimate or at least physically and socially identifiable. Humanity asks for more. But widening this view is difficult, as self-interest is an innate energy guiding life. However, no one is asking that we give up our faith, patriotism, or local identities, only to think of others, both near and far, as morally important. At the foundation of this suggestion is thinking of others as another “me.” This may in fact be a user-illusion, but, from a moral point of view, it has practical significance (Dennett, 2017, p. 335). Morality does have a survival motivation as we all wish to be treated with honesty and respect. Practically, it’s important we all obey the laws providing for order and security. So, functionally, morality bares the stamp of self-interest often turning us inward supporting an exclusive ethic. Moving beyond this will be difficult. On the other hand, from a moral point of view, moral expansion is necessary. Moral growth requires diligence and patience often putting some of our entrenched and provincial ideas at risk. A vision of “humanity as community” is suggestive. This vision asks we put away our ethnocentric biases, negative assumptions about others and other cultures, and flesh out the common values needed for world repair (Hester & Killian, 1975).

We are faced with discovering, within ourselves and others, values commonly shared and reassess our mutual concerns enabling, in positive ways, the possibility of a moral human ecology. And this can never be quantified or fully placed on a statistical model; it will always be a work in progress moving in the direction of greater moral awareness and action. Obviously, we can never grasp the totality of a global moral community nor are we ever disengaged from it. We acknowledge our biases and self-centered needs, but this is only our starting point, our mooring to what has been discovered and what has worked in communities and nations of communities preceding us. This is where we begin, not where we end. Within local and even national communities we are encouraged to evaluate personal and socio-centric values in light of the needs of others, adjust, reconsider, seek common solutions, work together and move forward seeking a collective identity emphasizing our common humanity.

As Kevin Cashman (1998, p. 2 ff.) has reminded, a moral human ecology acknowledges relationships as the bridges that connect authentic self-expression to creating value. Thus, community is the human contextualization of value, meaning, and purpose. Community also defines who we are and specifies the arrangements for human achievement. Moral value, in whatever guise, is fluid and deeply embedded in our diversity. To widen this to a human moral ecology requires an assessment of our local commitments, narcissistic inclinations, corporate goals, and even national purposes. Learning from the past, we know that the Hitlerization or Stalinization of the world is not an option. Autocracy is self-limiting and morally debilitating. To imprison others within a singular view, disregarding their culture is both degrading and demoralizing. Furthermore, it is community destructive. Consensus is what we seek, but not one that compromises the moral nature of humanity, “humanity as community.”

Insightfully, poet Robert Pinsky (2005, pp. 1-18) has reminded us that it is within community and ourselves where we recognize and come to terms with the “stirring of meaning” whose power is social as well as psychological. Thus, “meaning” is a communal phenomenon embodied within a culture and expressed via literature, religious expression, political loyalties, and the media, etc. Moving our community and moral awareness outward, to “humanity as community,” deepens our human connections providing an expanded boundary stone keeping us from being “disorientingly free-floating” (Tarnas, 1991, pp. 396 ff.).

Steven Pinker (2013, pp. 400-405) has also expanded the idea of “meaning through community” with the idea of “meaning as community.” He shared the observation that community embodies an “emotion that prompts people to share and sacrifice without an expectation of payback.” This idea, in itself, makes the application of “reciprocity” amoral and contrived, noticing that playing to our self-interest only is morally divisive. Pinker proposed we are able to communicate feelings beyond family to others because our “interests are yoked, like spouses with common children, in-laws with common relatives, friends with common tastes or allies with common enemies.” His suggestion of “meaning as community” enriches our appreciation of human relationships and enables our extension of this paradigm globally. Of course, there are dangers in this idea because not all of us are motivated by moral principles nor seek rational judgments for our

behaviors, or are committed to a wider extension of our moral perspicacity. More often than not we think locally and not globally, thereby restricting the widening arch of our moral veracity.

Evolution has hardwired human beings for social relationships (Dennett, 2017, p. 251). Of course, in some there is a deep desire to stand out, become powerful, and dominate others. Some not only wish to be recognized as valuable, they also demand to be respected and many, to be recognized as superior. For purposes of discussion, Professor Killian has often divided people into “lumpers” and “splitters.” There are those who draw people together (lumpers) and others who seek to divide, use, or conquer (splitters). Admittedly, from time to time each of us behaves in our own self-interest. Of course, many of us also help and care for others, act out of a sense of moral priority, and actively engage in building sustaining relationships. Human nature seems to be an inconsistent quagmire of emotions, knee-jerk reactions, and at times reasoned responses to situations including those in our daily circle. It is difficult to unhinge our moral sentiments from self only and connect to what many believe a nondescript and uncaring world. An outward expansion of hard-held moral convictions will require both social/political skill and reason, but also passion and commitment. As Daniel Goleman (2007) observed, “Self-absorption in all its forms kills empathy, let alone compassion. When we focus on ourselves, our world contracts as our problems and preoccupations loom large. But when we focus on others, our world expands. With this expansion, our own problems drift to the periphery of the mind and seem smaller, and we increase our capacity for connection – or compassionate action.”

Attaching the idea of moral *integration* (“lumpers”) to “community,” our values become extensive and inclusive, those produced in the throes of relationship-building and those that can be expanded to others through a civil exchange of ideas and activities. The moral future envisioned and the various moral strands pulled together by ethicists have recognizable parallels, cultural furrows tilled by those who understand the moral dimensions of humanity’s common needs. (Hudson, 1983) Without a constant and continuing practice of moral correlation all criteria of moral meaning go out the window. We have been enlightened – and this is more than an enlightened self-interest – and now is the moment moral behaviors, defined by civility and respect, should become the substance of an expanded dialogical conversation. Arie de Geus (2002, p. 125) has reminded us, “Decisions grow in the topsoil of formal and informal conversation—sometimes structured...sometimes technical...and sometimes ad hoc.” It is an ongoing process of conversation which has the ability (and responsibility) of bringing moral life into the community—the world community. Individuals, organizations, and governments can empower their friends, associates and national partners through the dialogical process because it facilitates their flexibility, creativity, and learning potential, and also enhances their dignity and humanity.

R. C. Arnett (2006, pp. 315 ff.) has advanced this idea as “dialogic civility” or open and honest communication. According to Robyn Penman, “Central to all understandings, however, is the idea that a civil society offers a common space for diverse viewpoints: a place where differences can be heard and not disregarded.” (2014) Thus, our

responsibility is to flesh out values having relationship potential, inside and outside of our local communities, and build on these with positive and innovative action. With this we should strive to become competent, but not competent only; we need to make an effort to comprehend what we truly believe is of value and communicate this understanding to others with commitment and fidelity. Flexibility and courage will be needed as we learn from the *Tao Te Ching* (2010), “Whatever is flexible and flowing will tend to grow; whatever is rigid and blocked will wither and die.”

Ethics is fundamentally a socio-cultural phenomenon making communal life possible. Ethics obviously refers to standards of human conduct flowing from a sense of belonging. The value of human dignity and ecological sustainability are the ethical basis for reshaping globalization including the economic processes of interaction and integration associated with social and cultural transformation. When we belong to a community, we normally make an effort to behave according to its norms and practices. We emphasize this as a moral ideal and a normative challenge for experience teaches that moral deviance and unabashed egoism are a present and ongoing reality. Without a collective ethical vision, and a commitment to its guiding precepts, the political and economic entanglements now dominating the global sphere will forever produce uncooperative and volatile activities.

Thus, community cannot be understood only locally or in the temporal language of cause and effect: “If we design this program then others will respond in an appropriate way;” or “If we pass this law, order and commonsense will be brought to communal life.” Rather, “community” implies dialogic civility where individuals and nations of individuals work together to reduce the hunger, fear, crime, and other war-like activities now devastating the marginalized and least among us. The core issues and problems associated with the global community – poverty, crime, the opioid tragedy, lack of educational and medical resources, the immigration crisis at America’s southern border, and war and violence, etc. – must be addressed in a language of *values without barriers*: “We should do this; decent people must strive to live this way.” The value of human dignity and goodness cannot be overemphasized. This is and will always be a normative as well as a physical/political challenge as witnessed in the aftermath of the hurricane that devastated the island of Haiti and the rationalizations offered for America’s neglect before the hurricane occurred and the trepid response to its devastation. Sometimes we block out these situations or choose to forget the pain of others offering only “thoughts and prayers,” but this is not enough. Unapologetically, this is an affair of the heart as well as the mind involving passion and an active commitment to relieve human pain and misery wherever it is found. Unmistakably, our values are exposed in our actions and especially in our inactions.

To build moral communities, we must possess the will to examine ourselves: how we live, and what we believe and value. Self-examination will necessarily involve all of us, not only the economically and politically powerful and not only the great middle class, but those who have been economically, racially, religiously, ethnically, or otherwise marginalized. Self-examination will significantly enrich the concept of “moral community”; it lies deeply within the soil of the moral self and there it must be diligently

titled. If we view our broadened idea of morality as a moral human ecology, then we can logically focus on the interactions and transactions of people and nations and how they affect the world's human and physical environment as the locus of our concern. Noting that not all humans or nations will act morally all the time, a moral human ecology will also function as a corrective system, reminding us of our moral purposes—goals set high to stretch the idea of the morally possible. This will require:

- Community collaboration among individuals, families and organizations
- Healthy relationships – relationships which promote mutual understanding and consideration
- Tolerance toward others and moral responsibility
- Fairness and trustworthiness among individuals and communities
- Creating institutions and businesses that are non-dehumanizing and morally productive
- Expanding the idea of “community” globally

Philosopher Robert Nozick (1981, p. 532) reminded us more than thirty years ago, “A person who is responsive to the value of others establishes a closer linkage and hence a tighter organic unity with those others (than one who is unresponsive), and that is valuable.” Almost a decade later, Nozick (1990, p. 166) concluded, “In wanting ourselves to be of value and our lives and activities to have value, we want these to exhibit a high degree of organic unity...We want to encompass a diversity of traits and phenomena, uniting these through many cross-connections in a tightly integrated way, feeding these productively into our activities.” He continued, “Value is not the only relevant evaluative dimension. We also want our lives and our existence to have meaning. *Value* involves something's being integrated within its own boundaries, while *meaning* involves its having some connection beyond these boundaries...To seek to give life meaning is to seek to transcend the limits of one's individual life...connecting with things so as somehow to incorporate these things, either within ourselves or into an enlarged identity.”

The idea of “organic unity” thus enriches the idea of a moral human ecology – of meaning as community – as it recognizes human choice, purpose, value, and meaning as forces for strengthening a widened and collective view of humanity. As a human community, we understand that morality is something lying deeply with the social consciousness of all humanity. It is not simply a philosophical position. Philip Selznick (1994, p. 8) was aware of this saying, “Moral persons and institutions are implicated selves whose moral virtues depend on special forms of communal implication”; and “A genuine culture is not a collection of abstract principles or precepts. It is a web of person-centered meanings whose coherence makes possible a world taken for granted, whose directives trump desire and chasten inclination.” This discloses the relational connections and moral aspects of communities contained in laws, religions, and unwritten rules of participation. Can this web of meaning be extended outwardly and become humanity relevant rather than humanity limiting? This remains a challenge. Ethnocentric biases linger as the bane of global and environmental moral responsibility.

We remain hopeful. In commenting about the politics of meaning, Michael Lerner (1996) stressed the possibility of moral hope emphasizing a universal ethic, noting that all people deserve to be cared for and cherished and that we all should be more attuned to their and our own ethical and spiritual needs. Lerner advised that we should not be naive about our response to others because there is a shadow side to all of us. Speaking about this phenomenon, he said, “Anyone who has witnessed the violence of the twentieth century will rightly resist any theory of human reality that seems to deny the role of cruelty and evil. But this recognition ought not to prevent our quest to develop the psychological, social, and spiritual tools that might allow us to take steps toward decreasing the pain in this world.”

Conclusion

“Humanity as community” is a metaphor, an ideal, enriching the organic composition of humanity and perhaps its sacredness. It is a normative quality suggesting an enlarged concept of what it means to be human necessitating the naturalness of human moral connection and the need for persons and communities to listen and hear the views of others. It is “morality without borders.” But none of this is “fixed” by nature revealing its impermanence. Morality is thus conditional, conditioned on the purposeful efforts of people, communities, and nations to activate their moral energies and lengthen them to include others, all others.

Bob Clifford (2005), in a paper delivered to the American Political Science Association, commented, “...aggrieved groups around the world have portrayed their problems as human rights issues.” He went on to point out that although the *Universal Declaration of Human Rights* was widely conceived, “for the most of its history a limited set of civil and political rights have garnered the bulk of international attention and resource.” In many cases, he noted, efforts to develop new rights have met resistance from not only national bodies, but from businesses and powerful economic and religious interest groups. Clifford said that many believe if we advocate for a human rights proliferation this may cheapen traditionally provincial values and concerns, even civil and political rights. But will it? This conclusion seems contrived and hides the motive of presumed ethical superiority and, perhaps, a hidden bias toward people of color enhancing ethical relativism and preventing civil dialogue.

Given the international economic crisis of 2008-2009 and the looming financial crisis of 2019, it seems that selfish-interests have already replaced many values thought of as moral. Selfishness or egoism lifts the self above the obligatory behaviors required by our moral consciousness in a self-serving illusion of our importance. Consequently, as our moral veracity shrinks, we often think of others negatively and often pragmatically – without economic worth or not having any utility value except serving our own needs. It is past time to revisit the idea of globally shared ethics and reset our moral intentions. Honesty, responsibility, and integrity are the same – East, West, North, and South.

We are under no illusion that the paradigm of a moral human ecology will ever come to pass. There are a variety of value orientations operative in our world, each screaming for absolute status and each demanding that we live according to its dictates. Also, the

presuppositions and biases of our own culture often limit our ability to conceptualize and understand the views of others, blinding us to assumptions of our own assumed moral supremacy. Thus, we are challenged by our personal and cultural individualism to shift “civility” from its community and national orientations into a global direction thereby uplifting the image of “humanity as community,” a moral vision extending beyond our present understanding and the realities of an exclusive ethic that diminishes rather than replenishes hope and human possibility.

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Like Father, like Son: *Modelling Masculinity for the Ethical Leadership of President Theodore Roosevelt*



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Abstract

President Theodore Roosevelt is frequently portrayed as a rugged, hypermasculine cowboy. But this depiction ignores the powerful modelling for masculine leadership provided by his father, Theodore Roosevelt senior. A closer examination of the private and public spheres that framed the latter's life offers another route into understanding the ethical and rational motivations that characterised his son's progressive Presidency, not least in the area of natural resource management, where his policy innovations were both unprecedented and sustained over time. What emerges is a more complex portrait than the above stereotype, a leader who used his heart, head and experience to think and act in and on the world in wholes, rather than in self-contained parts. As systems thinking becomes increasingly recognised by governments as an essential tool for effective leadership, including in environmental problems, the mentoring of Roosevelt junior by Roosevelt senior offers a case study of its first principles for learning and leading ethically.

Introduction

Since the 1930s Theodore Roosevelt (TR) has been a contested figure amongst historians and social scientists (Dalton, 2002). An earlier consensus praising his leadership of progressive policy innovation was challenged by negative assessments of his hypermasculinity and predilection for violence. His taste for combat and the exposure of a 'dark' side to his rugged, manly approach, some writers believed, marked him as dangerous, if not insane (Hofstadter, 1955; Watts, 2003). But one area of national leadership less prone to such judgements is his conservation agenda. This is reflected in his continued title as the "Conservation President" (National Parks Service).

This paper takes a different route into the interrogation of his so-called dark masculinity by focusing on the origins of the first principles of his leadership in general and his conservation ethic in particular. It seeks to answer the question: can an examination of the origins of Theodore Roosevelt's leadership – through an exploration of his father, Theodore Roosevelt senior's, modelling of fatherhood and good citizenship – add to the debates on ethics, gender and leadership, particularly as these relate to current issues of environmental sustainability? In the present, which some describe as a resurgence of "strongman politics," this paper looks at a leader, regarded by many as exemplifying hypermasculinity, and a policy area often thought of as representing the "feminine," to uncover the ethical source of Roosevelt's decision-making (Obama, 2018; Brough, Wilkie, Ma, Isaac, and Gal, 2016).

It does so by employing the leadership lens of systems thinking, now widely regarded as an essential tool for leading and managing solutions to contemporary “wicked problems.” Issues of environmental sustainability represent one prominent example of one such problem (OECD, 2017; Australian Public Service Commission, 2007).

Methodology

Systems Thinking and Historical Case Study

Systems thinking provides both the framework and warrant for an examination of Roosevelt senior’s modelling of leadership for his son. As a contemporary “wicked problem,” environmental sustainability is by definition a complex, multi-faceted phenomenon. Systems thinking has been validated nationally and internationally as a framework for considering the solutions to such problems. It is a method of problem-solving that aims to bring to the surface assumptions, “mental models,” and ethical considerations, “caring,” that can be overlooked in an overly rational, or purely economic, “scientific management” approach (Senge, 1990; Meadows, 2001; Scharmer, 2009). Peter Senge, a leading exponent of the field, speaks of a three-tiered interrogation to problem-solving: considering the individual’s mind-body system (the inner landscape); the team or group’s composition (the social landscape); and larger systems (ecology, economy, society – the collective landscape) (Senge, 2015).



Systems thinkers argue that the “who” has been traditionally overlooked in the leadership literature in favour of the “what” and the “how” (Presence, 2005, 5). They also argue that traditional scholarship favours a focus on the present in the service of future decision-making, but that systems include a temporal dimension which requires attention to the past (Meadows, 2001). In relation to the “who” of leadership this means paying attention to the individual’s formative past, including the dominant gender role model for their approach to leadership and decision-

making. In Roosevelt’s case this was unquestionably his father (McCullough, 1981; Morris, 2001; Brinkley, 2009). Contemporary psychology on gender formation supports the general findings of systems thinkers, and further warrants an examination of the father as gender role model for male leaders (Biddulph, 2013; Frank, 1992; Samuel, 2015).

The paper takes an historical, narrative approach. It reconstructs a biographical scan of Roosevelt senior’s life from his young adulthood, and points to its influence on his son’s up to the father’s death in 1878. It uses archival primary and secondary sources identified and analysed through the lens of leadership scholarship. It draws on the

scholarship of prominent systems thinkers to develop a case study of the formation of President Roosevelt through the pre-conscious and conscious modelling of his father.

The paper aims to make a contribution to the historical scholarship on TR's leadership, to the cultural history of masculinity and leadership, and to the often invisible ethical and gendered foundations of environmental sustainability leadership. It adds to the scholarship on systems thinking for sustainability leadership by offering an historical case study to test concepts advanced in the literature on systems thinking and leadership.

Case Study

Contested Images of President Roosevelt's Leadership

In the unbroken maleness of the United States' Presidency, perhaps the president most characterised for his "strongman" approach was the twenty sixth, President Theodore Roosevelt. This view not only represents the popular representation of Roosevelt, but much of the scholarly biographical research too (e.g. Watts, 2003; Redekop, 2014). Sarah Watts goes as far as claiming that if Americans are to understand the continual renewal of "our own warrior caste" then Roosevelt's presidency holds the key. The motivating ethos of his administration, argues Watts, was his and the "collective psychic gratifications of exclusionary violence" (Watts, 2003, 241). Even in his signature field of conservation leadership, a policy arena that continues to be associated with a feminine ethic, Roosevelt is portrayed as an exemplar of exceptional masculinity. Benjamin Redekop identifies five defining personas adopted by Roosevelt in his quest to conserve the nation's natural resources: as 'proponent of "the strenuous life, as cowboy, as Rough Rider, as hunter and as naturalist' (Watts, 2003,1). Such critiques of Roosevelt's presidency are more recent versions of a trend which Kathleen Dalton, another of his biographers, identifies as beginning in the 1930s, when Henry Pringle and Robert Hofstadter sought to balance the hagiographic tendencies of earlier biographers. These influential historians characterised him as "the most adolescent of men" and worse as "emotionally overwrought, violent, unstable... and insincere" (Dalton, 2002, 8). Dalton fears that, as a consequence of particularly Hofstadter's prize-winning scholarship, the dominant memory of Roosevelt in the popular imagination could come close to the shared epithet of Henry Adams and Mark Twain of no less than "insane" (Dalton, 2002, 9). In similar vein, Eric Rauchway believes that had it not been for Roosevelt's initially accidental entry to the presidency and the constraints on his behaviour this compelled, then he may simply have become a bully (Rauchway, 2004).

It is this depiction of hysterical hypermasculinity that Dalton and others seek to correct (Brinkley, 2009; McCullough, 1981; Ricard, 2005). In various emphases on conservation, foreign affairs, early life, and personal relationships, these historians portray a more sympathetic because more humanly complex leader than either the hagiographers or their counterparts discern. These scholars pay more attention to the family context which shaped the adult leader, and especially the relationship the young Theodore had with his namesake father. In a much-contested view of Roosevelt the politician, a consensus seems to exist about the powerful affective and mentoring bond

that existed between father and son. An early chapter or two at the beginning of their chronological narratives attests to the exemplary citizenship of Roosevelt senior in the midst of the Gilded Age of wealth-seeking New York City. And yet a focus of attention is often placed on the shame which the son harboured for the father's failure to enlist as a Union soldier in the Civil War. Much of the President's war-readiness, if not mongering, is retrospectively attributed to the redemption of this shame, as it is to the father's disappointment in his son's bodily manliness. Watts, in particular, uses the analytical tools of psychology to frame detailed evidence for the argument that the adult Roosevelt was defined by a perpetual quest to prove his manliness to his deceased father, and, in so doing, to repress a shameful effeminacy. Even the more sympathetic portrayal by Dalton, establishes Theodore senior as a dour, if loving, Victorian muscular Christian (Dalton, 2002, 19).

But primary and other secondary sources reveal a more complex man than is often depicted in the biographies of his son. The following evidence presents examples of the public citizen, Theodore Roosevelt senior, and the private, family man "Thee" Roosevelt. In line with both systems thinking's "inner landscape" and a women's history focus on the private as well as the public sphere, as legitimate sources for revealing the individual, the evidence is divided into public and private categories.

Theodore Roosevelt Senior: The Public Man

Theodore Roosevelt senior was born in 1831 and died tragically young in 1878 of stomach cancer. Shortly after his death intimate friend and Civil War compatriot, William Dodge, wrote a letter of tribute to the members of the Union League Club of New York (Union League Club, 1878). In 1902, following President Roosevelt's inauguration, Dodge declared his motivation for arranging the printing and distribution of the twenty-four-year-old letter. There had been minimal acknowledgement of the formative role Theodore senior had played in shaping his more famous son. "Few men have...bequeathed to a son so splendid a legacy of earnest devoted and patriotic service," declared Dodge in 1902 (Union League Club, 1902). His friend's civic life, rich as it was, had been conducted much more quietly than that of his now famous son. Dodge sought to correct this.

Theodore senior's modest approach to public works was perhaps a result of his junior place in his family of origin. The fifth of five sons born to Cornelius and Margaret Roosevelt, he was last in a line of men who each differently made their mark in New York's commercial and civic life. He was not college-educated, his parents dispatching him instead at age 19 on a year-long tour of Europe and Russia, deciding he would gain more from an immersive experience in various cultural settings. He made his way into the family business which his father, through deft entrepreneurship, had grown to a highly profitable one by the 1850s. Commercial pursuit, in the solicitation of orders for the imported plate glass, or the family's banking business, was the means by which Theodore earned a living. But a devout Christian faith, encouraged by sympathetic sensibilities, meant that commerce was to play a reduced role in sustaining the soul of this young man (McCullough, 40).

Married to Mittie Bulloch by 1853, and with his financial future assured through the family business, he was able to give expression to his philanthropic proclivities, born of what he called a troublesome conscience. At the beginning of the Gilded Age he was a wealthy reformer who felt the plight of the poorer classes of the city. Tumultuous changes were being wrought by the rapidly industrialising metropolis, the fallout from which was starker poverty and social distress. By age thirty Roosevelt faced a different sort of troubled conscience with the advent of Civil War. Nor could he ignore the challenges of reconstructing a civil society in the wake of this “fratricidal war” (Sherman, 1875). Post-bellum New York crystallized even more dramatically the division between the rampant greed of profit-making and the social ideal of re-fashioning a society based on the renewed democratic, republican ideals of the nation’s founders. Throughout the intense period of the 1850s, 60s, and early 70s, Roosevelt’s overarching practical devotion to social well-being was unwavering. It may have been the Quaker influence of his mother that focussed his fiercely, disciplined efforts naturally on compassionate, conciliatory causes (Huddleston & Koehler, 2015). Indicative examples of his civic endeavours through these decades follow.

Brace and the Children’s Aid Society

William E. Dodge, Theodore’s friend and eulogist first met him in 1855 when, at age twenty-four, he was a young husband and new father of first daughter, Anna. His most dedicated civic engagement at this time was with Charles Loring Brace, who had founded the Children’s Aid Society in New York in 1853 (Brace, 1872). Brace, a Yale graduate and ordained scholar of divinity, had redirected his work away from parish ministry towards the relief of the city’s most vulnerable, its orphaned or abandoned children. In an era that preceded state welfare, it was left to private citizens to become social entrepreneurs, providing material, educational and spiritual support in the government’s absence.

It was a time when the physical living conditions of rich and poor reflected the polarisation of their material states, a time that preceded reliable contraception, when children represented to impoverished parents an additional drain on scarce resources until they reached an age (not very advanced) when they could contribute the price of their labour towards the family’s subsistence. Fending for oneself on the streets of New York was not then an outrageous expectation for young children. One means of subsistence for young boys, in an age when cheap, sensational newspapers proliferated, was to sell them. Newsboys sold papers by day and sheltered where they could by night. Safe, clean accommodation for these industrious waifs was vital. Brace conceived the Newsboys’ Lodging House. Lads could pay a poultry, but symbolically significant sum for a night’s shelter and weekly instruction in life skills for purposeful living.

Theodore offered that, acting each Sunday as a surrogate father to multitudes of boys. When demand became such that expanded premises were needed, Theodore turned his business acumen to securing a new building. His benevolence may have contained homiletic elements but it was without sanctimony or dourness. In fact, he evinced a contagious joy and enthusiasm for life, likely its own gift to the boys, and expressed in

his own social circles as a delight in the pleasures of company. Brace offers this description of the man who was an unflinching partner in this social enterprise:

To my great satisfaction, at this time a gentleman threw himself into the movement, who possessed those qualities which always command success, and especially the peculiarities with which boys instinctively sympathize. He was gifted with a certain vitality of temperament and rich power of enjoyment of everything human, which the rough lads felt immediately. He evidently liked horses and dogs; a drive four-in-hand, and a gallop "to hounds," were plainly things not opposed to his taste. He appreciated a good dinner (as the boys happily discovered), and had no moral scruples at a cigar, or an occasional glass of wine. All this physical energy and richness of temperament seemed to accompany him in his religious and philanthropical life. He was indefatigable in his efforts for the good of the lads; he conducted their religious meeting every Sunday evening; he advised and guided, he offered prizes, gave festivals and dinners, supplied reasonable wants, and corresponded with them. And, at length, to crown his efforts, he proposed to a few friends to purchase the house, and make it a home for the homeless boys forever. This benevolent measure was carried through with the same energy with which he manages his business, and the street-boys of the west side of New York will long feel the fruits of it (Brace, 325)

Later, His son would emulate his father in both his unstinting commitment to Sunday schooling, before and during his Harvard years, and in balancing those instructive endeavours with a delight in a gay social life.

Theodore's nurturing and instructive proclivities in the 1850s were a prelude to his chosen occupation during the years of civil war, years during which he would feel keenly and personally General Sherman's description of the conflict as a fratricidal tragedy.

Civil War

Theodore is reported to have always regretted his choice not to take up arms (Morris, 2001). Some biographers of his son assert that his decision not to do so was a source of grave disappointment to him (Putnam, 1958). But when his compassionate sensibilities are considered alongside the genuine family friendship he had developed with James Bulloch, his contemporary and brother-in-law, and the responsibility he had assumed to house and care for his Georgian mother- and sister-in-law, the possibility of his taking up arms engagement jars with the authentic makeup of the man. But, at the same time, his powerful commitment to the Union's cause, and forceful sense of duty meant the conflict could not in conscience be left to others.

While many of his social class in New York made handsome profits from wartime commerce, his reform activities during this period assumed a national benevolent character. His skills in business and social enterprise were redirected. They were enlisted in political commerce to achieve a legislative outcome. His conception of a scheme to benefit soldiers' families, the subsequent passing by Congress of the Allotment Act, and its execution in New York State, speak to the integrity of a man

committed to the aims of the war and principled enough to fight it on terms that would not do damage to his conscience.

The Allotment Commission

Well before the draft was instituted Theodore, with friends William Dodge and Theodore Bronson, conceived of an allotment system, which would enable soldiers to apportion part of their pay to be sent home to their families. It was a profoundly simple yet compelling concept. Its social good would be two-fold: it would be a chosen discipline by soldiers who might otherwise have squandered their pay on sutlers' wares, especially liquor; and it would ensure that families were not rendered destitute. But its political and practical execution proved as challenging as the protracted lobbying of Congressmen to get the bill passed.

The group took the plan to Washington to begin perhaps the most frustrating element of its eventual realization. Theodore's letters home make clear that this was a baptism for him in the busy circular inertia of government policy-making:

Tomorrow I should say would certainly decide our fate if I had not so frequently hoped that previous tomorrows would do the same (Huddleston & Koehler, 2017, 106).

But he remained undeterred, with a disciplined determination despite his personal preference to be at home with his young family:

We have succeeded under any circumstances in doing much good by bringing the matter so prominently forward and will eventually I believe get it into shape (Huddleston, 2017, 99).

His internal conflict between performing his national and familial duties is clear. He regrets, "I am so sorry not to be on hand to share your care of Elliot next week" (Huddleston, 2017, 103). And, in a later letter, "I long to be home again if only for one day to see you all" (Huddleston, 2017, 106).

Months were consumed lobbying powerbrokers for a cause which ought to have been self-evidently beneficial to the political and social economy of the country. Dodge later tried to account for the grindingly slow progress toward legislation. It demonstrated, he believed, that politicians were paralyzingly dumbfounded by a system from which no-one "could selfishly secure an advantage" (Huddleston, 2017, 109). Theodore managed to hold his spirits in check by maintaining an active social life in Washington, including in Lincoln's circle, learning the lessons of political persuasion and buoyancy in the face of politicians' inertia. He believed these would be an asset in the future, not only for him, but for his children. He writes to Mittie that:

If there is one quality we must try to cultivate in the children especially it is a hopeful disposition, it saves so much unhappiness and, never mind how dreary the present is, always gives a future to look forward to (Huddleston, 2017, 219).

Whatever his son may have later felt about his father's wartime occupation, he was undoubtedly to benefit from the legacy of these acquired skills no less than by the example of lifting philanthropic principle to policy-making levels. Theodore's involvement

in the Allotment Commission put his commercial skills of persuasion in the service of the political economy of war to generate outcomes for the public good. They were a demonstration of the “manly” virtues of physical and mental endurance, at the same time as they challenged his devotion as husband and father. This work was complemented by more “womanly” activity on the Advisory Board of the Women’s Central Association of Relief and the United States Sanitary Commission, which sought to care for the physically damaged soldier (USSC papers). But this nurturing activity led to the formation of the Union League Club of New York, an exclusively male organization supporting the Union’s cause.

Women’s Central Association of Relief, United States Sanitary Commission and the Union League Club

Suggesting the androgynous origins of a bastion of masculinity such as the Union League Club of New York may sound peculiar indeed to a contemporary audience. But the Club, founded in 1863, had its foundation in the Executive Committee of the United States Sanitary Commission (USSC), which itself grew out of the initiative of the Women’s Central Association of Relief (WCAR). Both were established in 1861 (USSC papers). Each was a product of the early years of the Civil War.

By 1879 the philosophy underpinning the establishment of the Club was already at risk of being lost. The Reverend Henry Bellows, a founder and President of the USSC, assured its preservation by documenting the early history. He explains the Club as a political extension of the work of the USSC. The WCAR, of whose Executive Committee he was also Chairman, became an auxiliary agency of the USSC. The Commission was signed into existence in June 1861 by President Lincoln following representations from Bellows and his colleagues. The purpose was to procure supplies for the care of wounded soldiers from a range of charitable organisations. It enlisted and trained nurses to deliver that care in military hospitals and played an active role in helping returning soldiers and their families seeking employment and relief. The Centre’s founder, Louisa Lee Schuyler, was a member of New York’s social elite, a granddaughter of Alexander Hamilton, and a friend of the Roosevelts (USSC papers).

Bellows describes the WCAR and the USSC as political organizations though their work was that of healing, principally the work of women, as reflected in the name of the original agency. As with the work of the Allotment system, the personal was also political, the feminine and the masculine coalesced. In the words of Bellows, the overarching purpose:

was not from its inception a merely humanitarian or beneficent association. It necessarily took on that appearance, and its life depended upon its effective work as an almoner of the homes of the land to fathers, brothers and sons in the field. But its projectors were men of strong political purpose, induced to take this means of giving expression to their solicitude for the national life, by discovering that the people of the country had a very much higher sense of the value of the Union...of the value of a great common national life, than most of the politicians...seemed to recognize; that the women of America had at least half of its patriotism in their keeping, and that a

great scheme of practical service, which united men and women, cities and villages, distant States and Territories, in one protracted, systematic, laborious and costly work—a work of an impersonal character—animated by love for the national cause, the national soldier, and not merely personal affection...for their own particular flesh and blood, would develop, purify and strengthen the imperilled sentiment of nationality, and help make America sacred in the eyes of the living children of her scattered States.... (Bellows, 1880, 6)

One of the five members of the Commission's Executive Committee, Professor Wolcott Gibbs, began in 1862 to formulate the idea of an organisation which would represent the philosophical premise on which the USSC and WCAR were based. He conceived a "National" or "Loyalist" club, which would recommit its members to the fight for no less than the republican ideals of the founders of the nation. Gibbs was a grandson of Oliver Wolcott, who "had been among the most vigorous...of the patriots who formed the Union and guided its earliest steps." His mother, Wolcott's daughter, had been known for her "profound interest in the honour and dignity of the country—intensely alive to all that concerned the purity of our politics and stableness of our institutions" (Bellows, 7).

Gibbs immediately sought the counsel of the USSC's Executive Secretary, Frederick Law Olmsted, who assumed the role, based in Washington, after the commencement of War, leaving behind temporarily his superintendence of the new Central Park in New York.

In a letter of advice to Gibbs in November 1862, Olmsted sought to define the difference between this and other men's clubs. Its purposes would be of a distinctly higher order of intelligent civic responsibility. He said,

Your club...would be a club of true American aristocracy, men of substance and established high position socially...of good stock, or of notably high character...also, men of established repute in letters and science..., clever men, especially of letters, wits and artists (Bellows, 10).

Roosevelt's early membership of the Union League Club was a natural extension and synthesis of his fighting and healing proclivities. His alliance with both women and men who sought a conciliating rather than combative role in the national conflict, contained something more honourable than simply an upper-class male avoidance of the physical dangers of the battlefield through the purchase of a substitute. And, despite the political reality of male-only franchise, rendering men the inevitable actors in politics and policy, his can be seen as the exercise of an androgynous spirit.

Central Park, the American Museum of Natural History, and the Metropolitan Museum of Art

By 1871 Theodore and Mittie Roosevelt were planning a year-long family trip abroad, while their new home, a block back from Central Park on East 57th Street, was being built. Theodore had become actively involved in the development of the Park's precinct, and its representation of the post-war reconstruction of democratic civic society. The Park was first conceived in the 1850s by men of letters, such as poet and journalist, William Cullen Bryant, and men of pragmatism, such as landscape architect Andrew

Jackson Downing. The execution of Frederick Law Olmsted's and Calvert Vaux's winning design began in 1857. Olmsted described his work, alongside partner Calvert Vaux, as "sylvan art" (Vaux papers). Apart from the oasis-like relief the park afforded the rapidly urbanizing Manhattan, the dedication of that much public land for the public benefit, was a substantial statement of democratic principle, before, but even more so after the War.

The civilizing and educative role the Park precinct could play in post-war reconstruction assumed greater momentum as prominent citizens, including Roosevelt, strove to realize the dream of its two monumental public institutions: the American Museum of Natural History and the Metropolitan Museum of Art in the late 1860s. Theodore applied his significant management expertise to the membership of both establishing executive committees, through his affiliation with the Union League Club, though the first exercised more of his time and inherent passion (Bellows, Union League History). It seems no coincidence that the family trip included journeys along the Nile and in the Middle East, sites of ancient as well as natural treasures with which Theodore senior was becoming increasingly familiar, and which he knew would capture his son's natural science instincts. The return to the new family house, so close to the Park, and its renewed dedication to the civilizing influences of nature, natural science and art, created for the teenage Theodore a daily physical environment which left him in little doubt about the civic values that were the foundation of his father's being.

These indicative examples of the philanthropic and educational activism of Theodore senior before, during and after the Civil War can be seen through the lens of gender (as his son himself did), as an expression of the feminine through the masculine, in a public setting. To act in the service of civic ideals grounded in compassion and humanitarianism, was worthy yet unexceptional, as we have seen, within Roosevelt's cohort of like-minded, upper-class male reformers. In an examination of the provenance of President Theodore Roosevelt's progressive principles, an expanded version of this exemplary activity can stand as sufficient explanation. The public life of his father, with its absolute dedication to civic ideals of reform, establish him as one of the more modest reformers of the second half of the nineteenth century. That his son proceeded to embrace and embellish these same principles on a national stage seems a logical progression of his father's public aspirations.

The androgyny represented here is a familiar, public example of the nurturing male, manfully active in pursuit of humanising goals. But such a narrative perpetuates a false divide between the public and the private spheres, and in so doing gives more credibility and importance to the former. A more complete picture of the man's integrity includes the private, domestic influence of father in the formation of his son. It adds weight to the argument of the powerful possibilities for the public good in the balanced development of feminine and masculine qualities in male and female politicians, then and now.

The Private Man: Father and Son

Walter Dodge, said of Theodore at the time of his death:

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What has been said has seemed to me to make a sort of outline sketch of the man. But there is a great deal to be filled in.... He was a singular compound of feminine and masculine qualities; as lovable as a woman, and as strong as a man. (Union League Club, 1902, 64).

The inextricable entwinement of the private and the public (the traditional masculine and the feminine spheres) in effective citizenship was articulated in TR's 1913 introduction to his autobiography:

There is need to develop all the virtues that have the state for their sphere of action; but these virtues are as dust in a windy street unless back of them lie the strong and tender virtues of a family life based on the love of one man for the one woman and on the joyous and fearless acceptance of their common obligation to the children that are theirs. ...With gentleness and tenderness there must go dauntless bravery and grim acceptance of labour and hardship and peril (Roosevelt, 26).

In the present era of a resurgence "strongman politics," it is hard to conceive of a President declaring in proud, glowing terms the following about his father:

I was fortunate enough in having a father whom I have always been able to regard as the ideal man. It sounds a little like cant to say what I am going to say, but he really did combine the strength and courage and will and energy of the strongest man with the tenderness, cleanness and purity of a woman. I was a sickly and timid boy. He not only took great and untiring care of me...but he also most wisely refused to coddle me and made me feel that I must force myself to hold my own with other boys and prepare to do the rough work of the world (Roosevelt, 23).

The national political success enjoyed by President Roosevelt, is testimony to the centrality of the integration of private and public, male and female, to the achievement of genuine, human power. The interaction of father and son in young Theodore's life, until the untimely death of the former in 1878, demonstrates the modelling of both traditional masculine and feminine attributes which would form the complex inner world of the youngest President of the United States.

Family Context

Mittie and Theodore Roosevelt welcomed their first-born son, also Theodore, on October 27, 1858 at the family home at 28 East 20th Street New York. His birth came more than two hundred years after the arrival of the first of the Roosevelt clans, Claes Martenszen van Rosenvelt, on Manhattan island in 1649. The generations of Roosevelt men since had been members of the successful commercial class, instrumental in civic affairs, or both. Mittie Roosevelt, by cultural and geographic contrast, came from the South, specifically from Roswell, Georgia, over 1,000 miles south of New York City. Her ancestors were plantation owners, though her family too contained politically active antecedents. Through family connections, Theodore senior and Mittie had met as teenagers, marrying in Roswell in 1853 and setting up house that year in 20th Street. Mittie's mother Martha, and sister Anna, later became members of the household,

supporting, with paid help, the care and education of the children: Theodore, older sister, Bamie (Anna), and younger siblings Elliot and Corinne.

Prior to their wedding the couple sustained their relationship through regular correspondence. Here Theodore's sensitive, solicitous, often paternalistic nature were on display, as were the powerful bonds of family, which Mittie and Thee were keen to forge. She wrote, for example, in June 1853 of her pleasure in his visiting her brother and sister-in-law:

It gratifys [sic] me exceedingly that you have been to see brother Jimmy and Lizzie [Bulloch].... I was so anxious that you should meet, I think I told you how very much we love each other (Huddleston, 2015, 33).

Theodore and James (Jimmy) would indeed go on to form a steadfast friendship in the years before the outbreak of war.

Theodore's own family were very close. Cornelius Roosevelt, Theodore senior's father, significantly expanded the family's wealth through his imported glass and banking businesses. At marriage, he presented each of his five sons with a matrimonial home, within walking distance of his own home on Union Square. Theodore worked in the family businesses downtown at 94 Maiden Lane and 33 Pine Street (now occupied by one of the Trump Buildings). His social status and material comfort were both assured. But Theodore's prosperity and enjoyment of the lifestyle it conferred, provided insufficient purpose to this young man of serious religious faith, witnessing the polarised wealth and poverty to which New York's burgeoning economy gave rise. He was particularly close to his mother, born Margaret Barnhill, who came from a family of Pennsylvanian Quakers. How much Quaker principles influenced his thinking and behaviour is unknowable. That he was devoted to, and greatly respected his mother, and subsequently mother-in-law, is evidenced in a letter he wrote "Dearest Little Mittie" in July 1853, several months before their marriage. After returning from a trip to Roswell, his close-knit family questioned him extensively about Mittie's, and about her mother. He said that he "could think of no other means than comparing her with my own mother; You know as far as my own views are concerned I could not pay a higher compliment" (Huddleston, 53). His respect for his mother inspired daily visits and conversations with her son, so her influence is highly probable.

Theodore senior's familial loyalties and conciliatory sensibilities were manifest in the household from the outbreak of the Civil War. From age three to six, Theodore began to bear witness to his father's practical, moral and spiritual life during the national tragedy. Comprehending the complex reasons for his father's choices of wartime activity was of course impossible for the toddler. More accessible was an emotional apprehension of the compelling and conflicting familial loyalties at play.

His father's marriage to a Georgian wife and his filial regard for her half-brother were not the only considerations for Theodore senior. At the commencement of war James resigned his commission in the U.S. Navy to take up a senior role for the Confederate side. Mittie's younger brother, Irvine, also enlisted to serve in the Confederate navy. Martha and Anna Bulloch were residents of his household during the War, and their

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sympathies were both powerfully Southern and respectful of Theodore's opposing allegiance. Both worked actively in support of the Confederacy, raising funds from sympathetic New Yorkers to buy supplies for that army's soldiers. It is testimony to the household's capacity for mutual respect and loving conciliation that there was no breach in familial relationships despite the passionate divide in members' political sympathies. A letter from Martha Bulloch to her daughter Susan West in Philadelphia is indicative of the deliberate exercise of tolerance and understanding. Martha defends Theodore and Mittie's hospitality to Union men, saying:

Susy darling Mittie cant help giving those little suppers to Thees friends – He wishes it and you know he does not fell as we do, and it is his own house – It jars upon my feelings, but of course I keep my room – Mittie cant do this, and it is to please her that Anna does not absent herself we will talk this matter over when we meet (Huddleston, 2017, 219).

But while the tension was controlled, one biographer argues it as a possible contributing cause of young Theodore's asthma (McCullough, 1981). His grandmother's wartime letters refer regularly to trips taken by the sick toddler and his parents to seek relief from the boy's compromised breathing. For example, coincidentally with the Draft Riots in New York in July 1863, four and a half-year-old "Teedie" was unwell and needed to be taken to sleep closer to the sea air to improve his breathing. In his autobiography, Theodore indicates his early memories of his father as literal lifesaver:

I was a sickly, delicate boy...and frequently had to be taken away on trips to find a place where I could breathe. One of my memories is of my father walking up and down the room with me in his arms when I was a very small person, and of sitting up in bed gasping, with my father and mother trying to help me (Roosevelt, 15).

That the boy's early battle for survival coincided with the national one is one explanation of the adult Theodore's readiness to engage himself or his own sons in righteous warfare. Rather than atoning for his father's lack of action on the battlefield, the son can be seen as imitating his father's struggles for survival: of the union of states, of the union of his family and of the life of his small son.

Perhaps if Theodore senior had not played such an active role in the War, his son may not have been as "sickly." But he also may not have grown up with the stamina to balance complex, competing goods against a personal ethical framework. Theodore senior reminded Mittie of his need to reconcile powerful conflicting impulses when she complained of his absence from the family. In Washington, as he lobbied for the Allotment legislation, or when in the field persuading the troops of their financial obligations to their families, he wrote with empathy but an unwavering determination to exercise his personal ethical judgement. Such absences, he pointed out, would also attend a combat role, one in which he would feel compelled to undertake were he not doing the work of the Allotment Commission. This letter of 1862 from Washington DC typifies his response:

Do take care of yourself and the dear little children while I am away and enjoy yourself as much as you can. I do not want you not to miss me but remember that I

would never have felt satisfied with myself after this war was over if I had done nothing and that I do feel now that I am only doing my duty. I know you will not regret having me do what is right and I don't believe you will love me any less for it (Huddleston, 2017, 118).

In a state of profound conflicting loyalties to family and to country, he reconciled proclivities to fight and to heal by being warrior-like in the exercise of compassionate principles, in public and in private.

Nature: An Education Outdoors for a Robust Inner Life

While young Theodore and his parents struggled regularly just to keep him alive, he and his father sustained a robust and vigorous interest in the world at large and in the natural world in particular. Coddling was not part of Theodore senior's parental lexicon. Books about outdoor pursuits and collections of species that could be fitted into household spaces became addictive activities early for this "sickly child." Regular attendance at school was impossible, so his intellectual and physical education was one directed by his parents. This young boy, often confined indoors in one of the most urbanised environments in the world, consumed avidly knowledge about distant frontiers and the world of nature.



Roosevelt and John Muir

American Museum of Natural History.

In 1871, the family made its second, long trip abroad. The trip's demanding itinerary indicates his parents' active encouragement of a vigorous outdoor life, and an education that married formal lessons indoors with experiential learning outdoors. Young Theodore's absorption by the natural world remained unabated from early childhood. After all, it was where he was taken to recover life. On this trip it was on display in ways that can seem puzzling given his future conservationist credentials. His father had given him his first gun in preparation for the trip, which began with a journey along the Nile in a dahabeah. The gift was a collection tool for the teenager. This was the era of Darwin, of an intensifying global interest in natural history, and of New York's realization of the civilizing precinct of Central Park, including the

The gun complemented young Theodore's scientific endeavours, especially his ornithological interests, and further enabled his practice of taxidermy. Daily shooting and interrogation of these exotic species also complemented the project, instigated by his father, of building a body that would match physically the mental prowess of his mind. It was hoped that his considerable intellectual talent would find its complement in an equivalent physical vigour. This quest for manliness was itself true to the era (Whitman, 1858). The health-giving, educational and pure fun elements of the Nile voyage preceded an even more physically demanding family riding and camping trip through the Holy Land. In spite, or perhaps because, of the problematic health, not only of Theodore but his mother, older and younger sisters, Theodore senior planned the horseback trek for the whole family. Male and female family members were expected to engage equally in a rigorous outdoor life.

Harvard and Maine

In 1876, following intensive home tutoring, Theodore entered Harvard with the ambition of becoming a natural scientist (Brinkley). Theodore senior characteristically supported his son's choice but advised him of its financial consequences. His inheritance would be sufficient to provide a modest living, but with the prospects of a scientific career yielding little additional income, the young man would need to spend only what he could earn. But Theodore found distasteful the excessively laboratory-based scientific teaching offered at Harvard. His interest in natural history persisted, but as a self-directed amateur in the field.

As an undergraduate, Theodore maintained the friendship with Arthur Cutler, the tutor who had prepared him for entry to Harvard. In his term breaks Cutler introduced Theodore to Bill Sewall and the rugged pleasures of outdoor life at his property in Maine. These trips began Theodore's exposure to wild American nature and its spiritual, life-giving properties.

These testing encounters with the natural world were complemented by the traditional family summer break in a tamer natural setting. The extended Roosevelt family, along with Martha and Anna Bulloch, holidayed in various waterside locations throughout Theodore's childhood and youth. Oyster Bay became his grandfather's, his father's and finally his own favourite. Here Theodore undertook comparatively more sedate activities in natural surroundings: rowing, walking and horseback riding.

Such vigorous outdoor pursuits continued to complement the combination of both arts and sciences of the undergraduate's program. An expanding social life was a further element of the young man's life. But this busy, well-choreographed mix was not allowed to interfere with Theodore's weekly teaching of a Sunday School class. In this composition of an active, contemplative and philanthropic life, the son began to mimic the father.

But it was to the singular, physical demands of the natural world that Theodore turned in the summer following the death of his father in February 1878. Back at Sewall's property, the paradox of a nurturing and a challenging natural environment offered some

relief for the extreme pain of this sudden loss. And that paradox reflected the duality of the parent he had lost, and the man he would become, at once kind, gentle, nurturing, and disciplined, vigorous and determined.

Summary of TR Senior and His Influence



When Roosevelt senior died in February 1878, Theodore declared that he had lost the only person to whom he could tell everything. The impact of the father on the shaping of the son was without question. And the model of masculinity passed on was one that embraced opposites, straddled boundaries – except in its concept of what constituted goodness – across what Senge has named the individual, social, and collective landscapes. Roosevelt scholar, Serge Ricard has described the President as a complex man defined by a signature combination of dualities (Ricard). In his father this feature can be seen in much sharper focus because he lived it on a smaller stage.

On display are both masculine and feminine traits (as traditionally and persistently culturally defined), as his son declared; genuine compassion for poor, especially his children, and tough, manly pursuits like driving; intimate, unflinching nursing of his children and hard-nosed commercial, civic, and political pursuits; physical gentleness; and physical vigor. His inner landscape defied definition on one side of a binary divide, including in its gender. He thought and acted in systemic ways that aimed for the enactment of a whole human being. The legacy of the capacity to see and act as a whole, and on the whole, is exemplified in President Roosevelt's 1908 initiative to promote conservation of the nation's natural resources.

Taking the Inner to the Outer Landscape in Conservation

Some contemporary environmental scholars have identified the reluctance of men, especially white men, to support sustainability initiatives because of their perceived potential to emasculate (Brough et al.). Environmentalism and feminism can be coupled in political activism and policy-making as much now as during Roosevelt's presidency in ways that challenge a cultural perception of traditional manly power and authority (Testi, 1995; Mallory; 2018). Roosevelt's championing of progressive conservation policy can be seen as a willingness to express his alignment with his own 'feminine' side.

Another binary present in contemporary sustainability debates is the biocentric and anthropocentric. Alexander argues that this constructed divide as the most significant debate in conservation ethics (Alexander, 2013, 107). But he notes that some scholars, rather than argue one or other side of the binary, advocate instead a position of "convergence," of both/and rather than either/or. Theodore Roosevelt, with the architect of his conservation policy, Gifford Pinchot, are commonly cited in negative ways as

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counterpoints to the preservationist, John Muir. But environmental historian Char Miller, argues that this is a false divide (Miller, 2001). Each man was a powerful advocate of the natural world, while Roosevelt and Pinchot also championed the voice of vulnerable men and women as part of the entirety of the natural world (Pinchot, 1910). They combined what they saw as a false binary in their policy-making.

In 1908, Roosevelt, supported by Pinchot, convened a national meeting of state politicians, bureaucrats and professionals with a stake in the conservation question. Roosevelt named conservation as “the weightiest problem now before the Nation,” with the natural resources of the country at risk of exhaustion if “we permit the old wasteful methods of exploiting them longer to continue” (Proceedings, 1908). He understood that natural resource management was a fundamental problem that needed to be addressed by the country as a whole, and that it was not only a matter of preserving the environment for its own sake but for the sake of human sustainability. In his opening speech, he declared that:

...the prosperity of our people depends directly on the energy and intelligence with which our natural resources are used. It is equally clear that these resources are the final basis of national power and perpetuity. Finally, it is ominously evident that these resources are in the course of rapid exhaustion,

and that

...the time has come to inquire seriously what will happen when our forests are gone, when the coal, the iron, the oil, and the gas are exhausted, when the soils shall have been still further impoverished and washed into the streams, polluting the rivers, denuding the fields, and obstructing navigation.

His ethical position not only merged the biocentric and the anthropocentric view, but asserted the justice of sustainability, of what was owed by the present generation to the next:

...this Nation as a whole should earnestly desire and strive to leave to the next generation the national honor unstained and the national resources unexhausted.

And, while he refrained from a lengthy exposition of the spiritual and ethical basis for his thinking, he did allude to this, saying,

So great and so rapid has been our material growth that there has been a tendency to lag behind in spiritual and moral growth....

Where some proponents of the contemporary conservation movement pit the interests of man against nature, Roosevelt as the “Conservationist President,” and Pinchot as his principle advisor, saw man and nature as inextricable, complementary elements of a civilized society. Such a holistic vision was unsurprising in a man whose childhood had been filled with opposites which his father had demonstrated to be reconcilable components of complex wholes. Where simpler thinkers saw the world in either/or terms, he was able to embrace the greater complexities and contradictions of the both/and. He saw things in whole systems, not as self-contained parts.

The defining feature of Roosevelt's ethical leadership was the egalitarian ethic that shaped it. This comprised a rationally examined, yet deeply felt compassion, vigorously fought for. It had been absorbed pre-consciously before being consciously witnessed by the young child in the behaviour of his father, "the best man" he ever knew. He had seen it seamlessly manifested in both the private, domestic and public, business man. The model of his father was the foundational enabler of Roosevelt's unprecedented success in conserving the nation's natural resources for the greater human good.

Conclusion

Systems thinking is increasingly recognised as an essential leadership tool for addressing contemporary complex problems, including global environmental issues. And prominent systems scholars argue that it is not only the what and the how of leadership that counts but the "who" of the leader (Senge et al., 2004, 5). The lasting impact of Theodore Roosevelt's conservation policies can be seen to be outcomes of non-binary, non-linear complex thinking. He was an example of a leader able to think across the boundaries of physical, social, economic and political matters in tackling. He was also able to engage his head and his heart in measure decision-making. The genesis of this capacity lies at the very core of his upbringing, specifically in the hard-wired modelling of his father. And at the core of his father's makeup was a deep humanity that straddled the boundaries of masculine and feminine. If systems thinking sits at the heart of solving the world's most pressing problems, then the integration of the attributes typically ascribed to male and female may be the very first socially constructed binary that needs to be thought of in more systemic terms. Roosevelt and Roosevelt senior offer a historical case study of ethical, systems thinking mentoring and leadership. While theirs is a unique story and a unique relationship the first principles of that mentorship and leadership are universally accessible.

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The Passion to Fly and to the Courage to Lead

The Saga of Amelia Earhart – Leading Women into Flight

EMILIO IODICE, ROME, ITALY



Amelia Earhart, 1937, Courtesy, National Portrait Gallery, Washington, DC

In Her Own Words

Everyone has oceans to fly, if they have the heart to do it. Is it reckless? Maybe. But what do dreams know of boundaries?

Never interrupt someone doing something you said couldn't be done.

Some of us have great runways already built for us. If you have one, take off! But if you don't have one, realize it is your responsibility to grab a shovel and build one for yourself and for those who will follow after you.

There's more to life than being a passenger.

The most effective way to do it, is to do it.

Courage is the price that life exacts for granting peace.

The woman who can create her own job is the woman who will win fame and fortune.

Adventure is worthwhile in itself.

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The most difficult thing is the decision to act, the rest is merely tenacity. The fears are paper tigers. You can do anything you decide to do. You can act to change and control your life; and the procedure, the process is its own reward.

I believe that a girl should not do what she thinks she should do, but should find out through experience what she wants to do.

Decide whether or not the goal is worth the risks involved. If it is, stop worrying.

Women must try to do things as men have tried. When they fail, their failure must be but a challenge to others.

She was born in Kansas in 1897, a year before the start of the Spanish American War. She was two and a half when the century turned. It was a time when a woman's place was fixed in stone. They were housewives, mothers, and partners to their husbands who labored to help them succeed in their careers. Women were the unsung heroines of the family. They could not vote and had few rights.

Amelia Mary Earhart was born in such a setting. Yet it was her mother, Amy, who created an unconventional environment where her daughter could think and act freely, running against the grain of the times. She was imbibed with a spirit of adventure. Amelia loved the outdoors and was an avid explorer of wild life and flora and fauna in the woods and forests surrounding the family homestead. Her parents encouraged her to be fearless and not afraid of challenges. They prepared her for the emergence of an age that would sweep away many traditions and beliefs of the past, especially concerning the role of women.



Amelia Earhart as a Child, Courtesy the Schlesinger Library, Radcliffe College

Education

It was during this time that Amelia Earhart grew and changed. The family moved constantly in search of jobs for her father.

“Part of Amelia's independent nature was inborn. When she was a toddler, she once told her mother, ‘If you are not here to talk to, I just whisper into my own ears.’ When she was seven, the family visited the 1904 St. Louis World's Fair. Amelia asked if she could ride the roller coaster, and her mother declined. So the child went home and built her own: a death trap made of a pair of two-by-fours, nailed to the edge of the toolshed roof with a wooden crate and roller skate wheels attached. She was the first to test it, and the

wipeout at the bottom—busted lip, torn dress—deterred her not at all. ‘Oh, Pidge,’ she said to her sister, ‘it was just like flying.’”⁶

She was educated at home until she was 12 and then began going to public schools in Des Moines, Iowa, the family’s new home. It was not long after this that her father fell into alcoholism. He was forced to leave his job. The family home was auctioned off. They were destitute. By the age of 17, she realized her childhood was over. For the rest of her life, Amelia Earhart would hate alcohol with a passion, and constantly worry about financial security.

“From her very proper grandmother—yet *another* Amelia, who disapproved of her granddaughter’s tomboy high jinks—Amelia learned a very valuable skill...: Tell people what they want to hear, then do whatever... you want. From her frustrated mother, Amelia learned the price a wife pays for relying on her husband for her happiness and financial well-being. From her charming father, Edwin, she learned to do whatever made her happy.”⁷



Amelia Earhart,
Courtesy Wikipedia Commons

Eventually, the family settled in Chicago. Amelia wanted to enroll in the best science program in the City. She went to Hyde Park High School and graduated in 1916. She was an avid reader and learned all she could about mechanics and engineering and successful females. She believed that women could do anything men did. For years, she kept a scrap book of

articles about women who excelled in all fields, particularly those dominated by men. They would be her models and benchmarks and would shape her ideas and ideals.

“Gracious and somewhat shy on the outside, she was willful and independent on the inside: polite, yet freewheeling, a person who answered to no one. She took the position that adventure is a worthwhile pursuit in and of itself—a radical stance for a woman.”⁸



Red Cross Nurse’s Aide Amelia
Mary Earhart, circa 1917–1918.
(Courtesy, Amelia Earhart Papers,
Schlesinger Library, Radcliffe
Institute, Harvard University).

⁶ Ibid Karbo

⁷ Ibid Karbo

⁸ Karen Karbo, Culture and History, How Amelia Earhart navigated the skies and society, January 25, 2019, <https://www.national-geographic.com/culture/2019/01/Amelia-Earhart-praise-difficult-women-book-excerpt/>

War

With the outbreak of World War I, Amelia decided it was time to make a difference. She left school and went to Canada to live with her sister in Toronto. She trained as a nurse to help soldiers wounded on the battlefield. Many came without limbs. Others were blinded from poison gas and yet others insane from battle fatigue. It was a sobering experience. She saw pain, blood, suffering and death for the first time. It transformed and aged her. It also swept away her fear of death.

As the war raged, a new tragedy fell upon humanity. The Spanish Influenza engulfed Europe and the world. Amelia struggled to heal the ill and save lives until she became a victim. She nearly died from pneumonia and severe sinusitis. The disease ravaged and suffocated her. It took a year to recover. For then on, she suffered from constant headaches and sinus infections, in an age before antibiotics. At times, she wore a bandage to cover her cheek to hide a drainage tube. The illness affected her activities and made her passion for flying more difficult and challenging.



Courtesy Air Force Historical Support Division



Amelia Earhart, Courtesy Library of Congress

Flying

In 1919, Amelia visited the Canadian National Exhibition in Toronto. There she had a strange experience that altered the direction of her life. A flying exhibition by a World War I ace was the highlight of the event. As the pilot maneuvered and swooped down along the crowded grounds, he saw Amelia and a friend standing alone. He dived at them. "I am sure he said to himself, 'Watch

me make them scamper,'" she stated. Amelia stood her ground as the aircraft closed in. "I did not understand it at the time," she said, "but I believe that little red airplane said something

to me as it swished by.”⁹

After a short time in college, Earhart left to join her parents in California. “In 1920, when Amelia was 23, she and her father took in an air show in Long Beach, California. At that time, aviation was all the rage. Fighter pilots who’d perfected their skills and daring during the First World War barnstormed around the country, showing off their barrel rolls and loop-de-loops...the whole business was insanely dangerous. Engines dropped out of planes at a moment’s notice, propellers ceased turning for reasons no one could explain. Because formal runways were things of the future, landing in a field that looked flat from the air but was in fact studded with gopher holes could spell death. In 1920, 40 pilots had been hired by the government to deliver “aerial” mail, and by 1921, all but nine of them had died. Amelia was undeterred; the risk inherent in flying was part of the magic. Her father paid for her 10-minute introductory flight, and five minutes into the spin around the Southern Californian sky, she knew she had found her passion.”¹⁰ “By the time I had got two or three hundred feet off the ground,” she said, “I knew I had to fly.”¹¹



Nets Snook with plane, c. 1920, Courtesy Gilder Lehrman Collection

Amelia was determined. The urge to fly was part of her. To indulge in her new desire, she needed money. The young lady took on all types of jobs from stenographer to truck driver to photographer. She managed to save a \$1000. It was an enormous sum. Her first lesson was on January 3, 1921.

To reach the airfield in Long Beach she took a long bus ride and then walked several miles. She arrived with her father and met a pioneer female aviator. “I want to fly. Will you teach me?”¹² And so it began.

“Her first flight instructor was also a



Amelia Earhart's First Pilot's License, issued May 16, 1923, Courtesy National Portrait Gallery, Washington, DC

⁹ Portrait of Amelia Earhart as a volunteer nurse in Toronto, September 24, 2017, *Schlesinger Library on the History of Women in America* Radcliffe Institute for Advanced Study.

¹⁰ Ibid Karbo,

¹¹ Ibid Portrait of Amelia Earhart, p.4.

¹² Marshall, Patti (January 2007). *Aviation History*. 17 (3): 21–22.

woman, Anita “Neta” Snook. She was not pretty...Neta was gruff, smelled of engine oil, and was a little weird, living and breathing... this... new mania called flying. Amelia showed up for her first lesson in her horseback-riding outfit. The jodhpurs, leather jacket, and boots would become the foundation of her signature style.”¹³

“Earhart’s commitment to flying required her to accept the frequent hard work and rudimentary conditions that accompanied early aviation training. She chose a leather jacket, but aware that other aviators would be judging her, she slept in it for three nights to give the jacket a ‘worn’ look. To complete her image transformation, she also cropped her hair short in the style of other female flyers.¹⁴ Six months later, Earhart purchased a secondhand, bright yellow Kinner Airster biplane she nicknamed “The Canary” (since it was yellow). On October 22, 1922, Earhart flew the Airster to an altitude of 14,000 feet (4,300 m), setting a world record for female pilots. On May 15, 1923, Earhart became the 16th woman in the United States to be issued a pilot’s license by the Fédération Aéronautique Internationale (FAI).”¹⁵

New Beginnings

For Amelia Earhart, the decade of the 1920s was a period of exhilaration, hard work, sacrifice, satisfaction, disappointment, risk, pain, achievement, notoriety, and growth. During this time, the family finances dwindled. Her parents divorced. Her sinus problems grew worse. She underwent an operation. After her recovery, she was determined to earn as much money as possible.

“By the time Amelia was 24, she had a plane of her own and a series of odd jobs to support her habit. She worked at the phone company, then drove a gravel truck. She took up photography as a sideline, and developed an interest in photographing garbage cans. She wrote, ‘I can’t name all the moods of which a garbage can is capable.’”¹⁶



Reproduction of “The Canary,” Courtesy US Marine Corps

Despite her effort, she suffered one financial setback after another. Amelia was forced to sell her plane, “The Canary.” It was heart breaking. It was time for a new direction.

¹³ Ibid Karbo

¹⁴ Blau, Melinda (1977). *Whatever Happened to Amelia Earhart? Contemporary Perspectives*.

¹⁵ As quoted from the Wikipedia article on Amelia Earhart with the following references for the passage:

- Long, Marie K.; Long, Elgen M. (1999). *Amelia Earhart: The Mystery Solved*. Simon and Schuster.
- U-S-History.com. Retrieved: June 3, 2012.
- One Life, <https://web.archive.org/web/20170528125615/http://www.npg.si.edu/exhibit/earhart/pop-ups/02.html>

¹⁶ Ibid Karbo

She went to the East Coast. She studied at MIT and Columbia University but stopped her education because her mother could no longer help her. Problems accumulated. In 1925, in Massachusetts, Amelia worked as a teacher and social worker to assist others. Even so, she kept her passion for flight fresh. She saved the little money she could earn for flying.

Earhart joined the Boston Chapter of the American Aeronautical Society. Later, she was elected Vice President. She worked to develop local aviation. Earhart helped finance the construction of the first airport in Quincy, Massachusetts and, on September 3, 1927, was the first person to fly out of the airport.

Amelia represented Kinner Airplane & Motor Corp in the Boston area. The firm was a pioneer in the creation of aircraft engines. It helped her understand the complex mechanics of airplane motors and the essentials of flying and flight.

Amelia wrote newspaper columns about flying and became well known in the regional circles of aviation. It was at this time that Earhart laid the foundation to promote herself and women as aviators.



Charles Lindbergh, Courtesy, Library of Congress

Trans-Atlantic Flight

In 1927, Charles Lindbergh electrified the world by flying non-stop from New York to Paris. The following year, interest grew about a woman flying across the Atlantic. Few accomplished female pilots wanted to do it because of the peril involved. Amelia Earhart was asked to take on the role. Flying the Atlantic was not only astonishingly dangerous, it was also expensive. Pilots needed mechanics, facilities, backers, sponsors, and promoters.

“Amy Phipps Guest, a freewheeling middle-aged heiress and daughter of Henry Phipps, Jr., Andrew Carnegie’s business partner, was worth literally billions. She fancied herself an adventuress and saw no reason she shouldn’t be the first woman

to fly across the Atlantic. She leased an at the time elite plane from Donald Woodward, heir to the Jell-O fortune, hired a couple of pilots, and then succumbed to family pressure that the whole enterprise was simply too dangerous... Through her connections, Guest reached out to renowned publisher George Putnam, and brought him on board as one of the project coordinators.”¹⁷

They prepared a list of women who had experience flying and who could be a passenger on a trans-Atlantic flight. Female aviators like Neta Snook did not have the grace and feminine image which could spark a publicity campaign and captivate the public.

¹⁷ Ibid Karbo

“Amelia’s reputation as an up-and-coming star of aviation, with more than 500 hours in the air under her belt and no serious accidents, preceded her. Also, and equally important, her daredevil tomboy soul was hidden beneath a soft-spoken, ladylike exterior. She sported a tousled head of blond curls (although her hair was actually board straight; her look of weather-beaten aviatrix chic required that she curl her hair daily), along with a sprinkling of freckles and a friendly gap-toothed smile. More important, perhaps critically, her body was the body of the times; she was built like a flapper: tall, flat-chested, reed thin. She wore pants—not to be contrary, but to hide her fat ankles—her only serious figure flaw.”¹⁸



Amelia Earhart Prior to her Trans-Atlantic Flight, June, 1928, Courtesy World Wide Photos

Amelia was, understandably apprehensive. It was a huge gamble. The chance of success was slim. The odds were against her. Numerous pilots tried to fly the same route as Lindbergh. All failed. Most ended tragically. Three attempts had already been made in 1928. Each ended in death.

Amelia weighed the risks and the benefits. If she succeeded, Earhart could make a difference for aviation and for women, in particular. This was her goal. “She went along with it, because she was passionate about flying—and being the first woman, even if she wasn’t in control, was nevertheless awesome.”¹⁹

The venture received widespread media coverage because of her, the campaign of Putnam and Guest, and the danger involved. The Atlantic was a death trap for

aviators and might be for the first women air traveler.

Amelia Earhart was suddenly cast in the image of the female Charles Lindbergh.

Putnam, Guest, and others helped finance the flight. Earhart agreed to fly as a passenger, take photos, assist the pilots, and keep a log that would eventually be turned into a book.

Before her departure she prepared letters to her loved ones to be opened in the event of her death.

On June 17, 1928, the sea plane carrying Amelia Earhart, a pilot and co-pilot, departed from Trepassey,



George Putnam and Amelia Earhart, Courtesy Purdue University Library

¹⁸ Ibid Karbo

¹⁹ Ibid Karbo

Newfoundland in Canada. “She was stowed in the back of the *Friendship*, (between deadly gas tanks)... behind pilot Wilmer “Bill” Stultz and co-pilot Louis “Slim” Gordon. Amelia... endured the discomfort of the 20-hour, 40-minute flight from Trepassey Harbour, Newfoundland, to Burry Port, Wales”²⁰ while recording her memoirs with little or no light.

They encountered storms, lethal winds, freezing rain, and violent air currents. For a time, they were lost at sea. Their radio died. They were unable to communicate.

The plane’s fuel dwindled dangerously low. Reluctantly, they jettisoned gas tanks and other heavy objects to lighten the aircraft. They panicked as the plane consumed the last drops of gasoline. They were about to crash. Out of the blue, with only minutes of petrol left, they saw a fishing vessel and then the shore. It seemed like a miracle.



Amelia Earhart, June 14, 1928, Trepassey, Newfoundland, Courtesy Forney Museum

They set down in the water off the coast of South Wales 20 hours and 40 minutes after takeoff. The team was exhausted, happy and exhilarated and still alive. They made it.

It took hours before they reached land and civilization. When they did, thousands were waiting to give them a royal welcome.

Amelia minimized her role. “Stultz (the pilot) did all the flying—had to. I was just baggage, like a sack of potatoes.” She added, “... maybe someday I’ll try it alone.”²¹

Earhart wrote about her trans-Atlantic adventure in “*20 hours and 40 minutes.*” In essence, the book was her daily and hourly flight log for the journey. It became an instant best seller. Amelia’s observations reveal much about her tenacity, practicality, steadfastness, and sense of wonder.

Excerpts from “*20 Hrs. 40 Minutes*” – by Amelia Earhart²²

Friendship

When I first saw Friendship she was jacked up in a hangar in East Boston. Mechanics and welders worked nearby on the struts for the pontoons...the ship's golden wings, 72 feet...red orange fuselage...was chosen for practical use...if we had come down orange could be seen (In the water).

Broken Door Opens During Flight

²⁰ Ibid Karbo

²¹ Goldstein, Donald M.; Dillon, Katherine V. (1997). *Amelia: The Centennial Biography of an Aviation Pioneer*. Brassey’s, p. 54.

²² Amelia Earhart, *20 Hours and 40 Minutes*, National Geographic; Reprint edition (June 1, 2003).

Slim came within inches of falling out when the (cabin) door suddenly slid open. And when I dived for that gasoline can, edging towards the opening door, I too had a narrow escape. However a string tied through the leather thong in the door itself and fastened to a brace...held it shut.

Crammed Between the Cabin Gas Tanks

Friendship is equipped with two special tanks, elliptical affairs, which bulged into the space just aft of the cockpit...There was room between these to squeeze through...It was between these tanks I spent many hours...part of the cabin was unheated and reached low temperatures (she froze).

Taking Photographs

The clouds are tinted pink with the setting sun. Bill just got the time. "OK" sez he. 10:20 London time my watch. Pemmican (dried jerky) is being passed or just has been. What stuff! The pink vastness reminds me of the Mojave Desert.... Bill gets position, we are out 1096 miles at 10:30 London time... the view is too vast and lovely for words. I think I am happy-sad admission of scant intellectual equipment. I am getting housemaid's knee kneeling here at the table gulping beauty.

Flying in the Dark, No Lights in the Cabin

Slim has just hung a flashlight for illuminating the compass...the faint light of the radium instruments is almost impossible to see... I write without light... I wouldn't turn on the electric light in the cabin lest it blind Bill at the controls... the thumb of my left hand was used to mark the starting point... often lines piled up one on the other.

Dropping an Orange with a Note on the Passenger Liner America

The course of (the SS America) perplexed us (it wasn't going in the right direction). Where were we? We circled the America, although having no idea of her identity...with the radio crippled, in an effort to get our position, Bill scribbled a note. The note and an orange to weight it, I tied in a bag with an absurd piece of silver cord. As we circled America, the bag was dropped through the hatch... we tried another shot, using our remaining orange. No luck.

Takes a Photo of the Ship

Before the hatch closed, I lay flat and took a photograph. This, I am told, is the first one made of a vessel at sea from a plane in trans-Atlantic flight.

Danger: Gas Tanks Almost Empty, Unless They Reach Land, They Will Crash

Half an hour later (we saw) a fishing vessel... although the gas in the tanks was vanishing fast, we began to feel land - some land - must be near. It might not be Ireland, but any land would do. Bill was at the



SS America, c. 1928, Courtesy United State Lines

controls. Slim, gnawing a sandwich, sat beside him, when out of the mists grew a blue shadow...nebulous "landscapes" - Slim studied it, then called Bill's attention to it; it was land! I think Slim yelled. I know the sandwich went flying out the window. Bill permitted himself a smile.

Arrival. Sea Plane Friendship Lands Off the Coast of Northern Ireland

Slim dropped down on the starboard pontoon and made fast to the buoy with the length of rope we had on board... Slim yelled lustily for service. Finally they noticed us, straightened up and even went so far as to walk down to the shore and look us over.



Amelia Earhart and the pilot and co-pilot of the Friendship in Southampton, Courtesy, Forney Museum

Then...they went back to work. 3 or 4 people gathered to look at us. To Slim's call for a boat we had no answer. I waved a towel desperately out the front window and one friendly soul pulled off his coat and waved back.

It must have been nearly an hour before the first boats came out. Our first visitor was Norman Fisher who arrived in a dory. Bill went ashore with him and telephoned our friends at Southampton...while we waited Slim contrived a nap.

Mooring the Plane, Rowing to Shore, Thousands Greet Them

Late in the afternoon... Captain Bailey of the Imperial Airways and Allen Raymond of the New York Times (arrived)... Bill moored...and we rowed ashore. There were six policemen to handle the crowd...in their enthusiasm...the Welsh people nearly tore our clothes off.

Amelia Earhart did not realize, at the time, that she was a global celebrity and a symbol for equal rights for women, around the world.

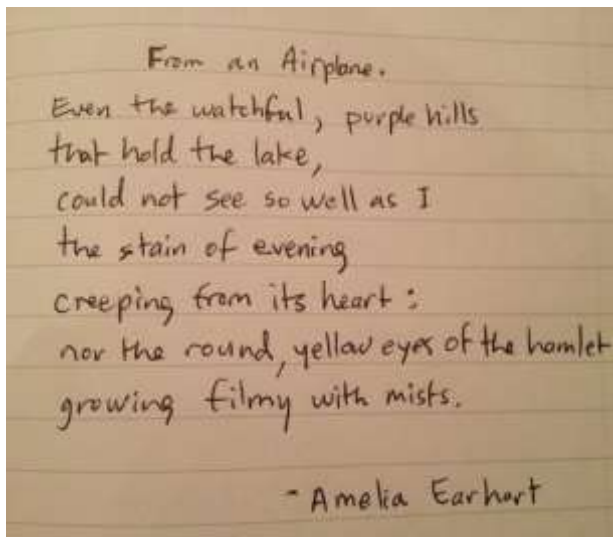
After she landed in the United Kingdom, she received a tremendous welcome and was handed the following telegram:

TO THE FIRST WOMAN SUCCESSFULLY TO SPAN THE NORTH ATLANTIC BY AIR, THE GREAT ADMIRATION OF MYSELF AND THE UNITED STATES. CALVIN COOLIDGE, PRESIDENT OF THE UNITED STATES

“When she returned to New York, Amelia was thrown a ticker tape parade. Afterward, a limo had been hired to take her to another appearance. It was a scorching day, the traffic thick. Automotive air-conditioning had yet to be invented. Amelia took one look at the car and imagined being stuck in the backseat in a pool of her own sweat. But then she spied an empty sidecar attached to the motorcycle ridden by one of her police escorts. Without a thought, and without asking any of her minders’ or managers’ permission, she hopped in. The cop flipped on his lights and siren, and away they roared.”²³



The New York Times, June 18, 1929, Courtesy New York Times Company



Courtesy Pinterest

In addition to her bestselling books and articles, Amelia wrote poetry which remained unpublished until after her death.

Fighting for Women to Fly and for Equal Rights



Amelia Earhart at the White House, November, 1928 with Porter S. Adams, President of the National Aeronautic Association, Courtesy Library of Congress

²³ Ibid Karbo

After returning from her historic flight, Amelia began an exhausting lecture tour in 1928



Amelia Earhart with female aviators, Courtesy St Louis University Library

and 1929. Putnam was determined to turn Amelia Earhart into an American icon. It worked. Amelia used her fame and growing fortune to help promote aviation and, in particular, the equal right of women to fly and do whatever they wanted in life. Earhart was a shy person but forced to take on a more assertive role with her increasing notoriety and responsibility as an advocate for women.

“Amelia was a traditionally feminine woman who could nevertheless get in an airplane and fly away. Men remained unthreatened, and women...were encouraged and inspired...The same preternatural patience and stamina that allowed Amelia to sit for



Ad for Amelia Earhart Luggage, Courtesy Cosmopolitan Magazine

many long hours in the cockpit

of a plane made her a self-promotion warrior. In the early 1930s, she devoted herself to advocating for women in aviation (once, she gave 13 speeches in 12 days) and served on committees... She founded the Ninety-Nines, an organization for female pilots... She was made an honorary major of the U.S. Air Service and given a pair of silver wings, which she often wore with her pearls. She struck up a friendship with Eleanor Roosevelt. The first lady had an adventurous streak herself, and was keen to take flying lessons. Amelia hooked her up, but the President vetoed it as too dangerous, even as he was publicly saluting Amelia's efforts to convince the country that air transportation was



Amelia Earhart with the luggage she helped design, Courtesy A. E. Luggage Company

the wave of the future.”²⁴



Ruth Elder, Courtesy San Diego Air and Space

She was called “Lady Lindy” and “Queen of the Air.” Interviews and advertising endorsements came with her rising celebrity image. She even had a line of products that bore her name.

She advertised a line of luggage that amplified her aura as a promoter of travel by air. Earhart participated in the design and manufacture of the suitcases bearing her trademark. Amelia insisted they follow certain standards of quality, be produced with excellent materials and offered at a fair price. They would continue to be sold for sixty years.

Earhart was named Associate Editor of *Cosmopolitan Magazine*. She used the publication as a forum to encourage public acceptance of aviation and the new role of women.

In 1929, commercial aviation was still in its infancy yet Amelia worked to create airline passenger services and start the first regional air shuttle between New York City and Washington, DC and flights in the US Northeast corridor.

“The marketing campaign by both Earhart and Putnam was successful in establishing the Earhart mystique in the public psyche. Rather than simply endorsing the products, Earhart actively became involved in the promotions, especially in women's fashions.²⁵ For a number of years, she had sewn her own clothes, but the ‘active living’ lines that were sold in 50 stores such as Macy’s in metropolitan areas were an expression of a new Earhart image.²⁶ Her concept of simple, natural lines matched with wrinkle-proof, washable materials was the embodiment of a sleek, purposeful but feminine ‘A.E.’ (the familiar name she went by with family and friends).”²⁷



Frances Wilson Grayson, 1927,
Courtesy Gallery of History

²⁴ Ibid Karbo

This paragraph and the subsequent quotations came from the Wikipedia article on Amelia Earhart with the following footnotes:

²⁵ Crouch, Tom D. “Searching for Amelia Earhart,” *Invention & Technology*, summer 2007 via americanheritage.com.

²⁶ V Morell (1998) Amelia Earhart. National Geographic.

²⁷ Rich, Doris L. (1989). *Amelia Earhart: A Biography*. Washington, DC: Smithsonian Institution Press.

By 1930, a group of women, including Amelia, had gained distinction in flying. Ruth Elder was known as the Miss America of Aviation. Along with Earhart, she was a founding member of the Ninety-Nines, an organization of female fliers. In 1927, she attempted to fly the Atlantic from New York and failed. She crashed into the water less than 400 miles from land. She was miraculously saved by a passing ship. Even so, Elder established a new over-water endurance record. It was the longest flight made by a woman. She and her co-pilot received a ticker tape parade.

As Ruth Elder departed from New York, another courageous female took on the same challenge. Frances Grayson, the niece of President Woodrow Wilson, was determined to be the first woman to fly the route of Charles Lindbergh. "I would rather give my life to something big and worthwhile than to live longer and do less,"²⁸ she said.

"Elder and Grayson emerged at a unique moment in American history: air fever. In the summer of 1927, stories of daring flights filled newspapers across the country. And radio broadcasters followed the newly minted American hero Lindbergh everywhere as he flew the *Spirit of St. Louis* in a goodwill tour across America. Now, improbably, came two heroines—Elder and Grayson—elbowing their way into the national conversation. Reporters loved

writing about their plans—and their planes. They also enjoyed belittling them every chance they got. They called Grayson 'The Flying Matron.' And they doubted whether Elder was truly serious about her trans-Atlantic flight."²⁹

Grayson's plane departed from Curtiss Field in Long Island bound for Harbor Grace on the evening of December 23, 1927. Several hours in the flight she radioed that something was wrong. High winds and a storm engulfed the aircraft in the darkness. The plane disappeared. It went down off the coast of Canada and was never found. Frances Grayson was 35 years old. She was among the heroic women who pioneered aviation. Like Grayson, many were prepared to take enormous risks to gain recognition to defend the



Elinor Smith was the first woman to appear on a Wheaties Box, 1934, Courtesy, Pop History Dig



Elinor Smith, c. 1928-29, Courtesy, Pop History Dig

²⁸ Keith O'Brien, The Culture War that was Fought in the Sky, September 23, 2018, Politico Magazine.

²⁹ Ibid O'Brien

right of women to fly.

Elinor Smith was one of them.

Smith struggled to overcome the barriers of inequality that women faced for most of the 20th century. Her appearance on the Wheaties cereal box was a case in point. Her image was placed on the back of the box. It would take another 50 years before a woman appeared on the front. Flying, in particular, was a man's sport and women were given few opportunities to show their skill.

Elinor was born in New York in 1911. She was six when she took her first flight. The emotion and sensation stayed with her forever. "I could see out over the Atlantic Ocean, I could see the fields, I could even see the [Long Island] Sound,' she recalled. 'And the clouds on that particular day had just broken open so there were these shafts of light coming down and lighting up this whole landscape in various greens and yellows.' Young

Elinor was hooked: from that point on, all she wanted to do was fly."³⁰



By the age of 12, Smith could fly a plane and do everything except takeoff and land. At 15, she made her first solo. "Three months later, she set her first of many altitude records – an unofficial women's light aircraft altitude record of 11,889 feet in a Waco 9 plane. A year later, in 1928, she received her pilot's certificate, then becoming the youngest pilot at age 16 to receive a license from the Federal Aviation Administration. Orville Wright signed the document."³¹

A month after Elinor received her license she set out to do something so daring that she would make headlines around the world. It was the fall of 1928. Elinor spent a great deal of time at Curtiss Air Field in Long Island. She was surrounded by male pilots. They ridiculed her. One claimed he failed in his attempt to fly under a bridge and dared Elinor to try it. The 17-year-old female aviator took on the test in a way that would change history.

Elinor Smith & plane (circled) flying beneath New York City's Manhattan Bridge on the East River, October 21, 1928. Photo by Nick Petersen, NY Daily News, Courtesy Pop History

³⁰ Jack Doyle, "The Flying Flapper, 1920-1930s," *PopHistoryDig.com*, April 6, 2015.

³¹ Ibid Doyle

She decided she would not only go under one of New York City's bridges but four. "Smith undertook her plan with careful preparation. She visited all four locations of the bridges, and studied their structures, suspension features, and pillars. She also noted the surroundings of each bridge, their use, the river tides, and especially the extent and nature of the river traffic below each bridge. Smith had also done some aerial reconnaissance above the East River and the four bridges to plot the route she would fly in approaching the bridges. She had also practiced low-level flying around ship masts on western Long Island's Manhasset Bay. Still, the feat was daring and filled with risk. There could be unpredictable winds, and ships and boats on the river could move in unpredictable directions. And there was also a big professional risk even if successful: she could lose her pilot's license for the stunt, regarded as a threat to public safety."³²



Artist's rendition of Elinor Smith's plane approaching the Queensboro Bridge... Adapted from an illustration by Francois Roca in Tami Lewis Brown's 2010 book, "Soar, Elinor." Courtesy Pop History

It was the morning of October 21, 1928. The sun rose brightly over the Big Apple. Weather conditions were perfect for flying. There was little wind and clear visibility. She prepared her plane to fly from her airfield in Long Island bound for New York's East River. Elinor was disappointed that none of the reporters or pilots who knew of her adventure were there to see her off. "As she was seated in her cockpit making preparations for her flight, someone tapped on her shoulder. When she turned around, she would later recount, 'I found myself staring into the handsome face of the world's hero, Charles Lindbergh.' Lindbergh gave her a big smile and said, 'Good luck, kid. Keep your nose down in the turns.' Lindbergh's support and encouragement was [sic] just what she needed."³³



New York Mayor Jimmy Walker, c. 1928, Courtesy New York Historical Society

The *Wall Street Journal* reported that her small plane dodged ships and flew under the Queensboro, Williamsburg and Manhattan bridges and completed her daredevil maneuver. The *New York Daily News* of October 22, 1928 — which gave the event front-page coverage with photos — reported: "Elinor Smith, Freeport's 17-year-old aviatrix, nonchalantly ducked under four East River bridges

³² Ibid Doyle

³³ Ibid Doyle

yesterday afternoon in a Waco biplane and reported the stunt was easy... ‘I had to dodge a couple of ships near the bridges, but there was plenty of room,’ the high school aviatrix reported.”³⁴ Elinor became an instant celebrity and was known as “The Flying Flapper.”

New York Mayor “Gentleman” Jimmy Walker successfully interceded with the US Department of Commerce to prevent Smith’s license suspension.³⁵

Less than a year after her stunning flight under New York’s bridges, Elinor set a women’s solo endurance record of 13.5 hours. In April, 1929, she broke her own record by staying aloft over 26 hours.

Six months later she clocked over 42 hours and also did a sensational mid-air refueling. In the same year she set the women’s world speed record of 190.8 miles per hour. The following year Smith broke the world altitude record by reaching 27,419. She was 18 years old.



Elinor Smith on NBC Radio, Courtesy Pop History



Elinor Smith and another female aviator doing a mid-air refueling, 1930. Courtesy Pop History

Smith went on to fame and fortune as an icon of aviation and as a writer and aviation consultant. She fought for women’s rights and was inducted in the Women in Aviation International Pioneer Hall of Fame, in 1981. “At age 89, in April 2001, she flew an experimental C33 Raytheon AGATE, Beech Bonanza at Langley Air Force Base in Virginia. A year earlier, in March 2000, with an all-woman crew, she had piloted NASA’s Space Shuttle vertical motion simulator, becoming the oldest pilot to navigate a simulated shuttle landing.”³⁶

³⁴ Ibid Doyle

³⁵ (A YouTube Video about Elinor, her Four Bridges Stunt, and her life as a pilot can be found at this site <https://www.youtube.com/watch?v=k6DlIxASRA>.)

³⁶ Ibid Doyle



Amelia Earhart, 1926, Courtesy AP and Encyclopedia Britannica

U.S. Presidential Election of 1928

The Presidential Election of 1928 was seen as an opportunity for women to push for legislation giving them the rights they deserved. Herbert Hoover, the Republican candidate, promised to pass an equal rights amendment (ERA) to the American Constitution. “And Earhart herself personally lobbied the President after he took office, making perhaps the most compelling case of all. ‘I know from practical experience,’ Earhart said, ‘of the discriminations that confront women when they enter an occupation where men have priority in opportunity, advancement and protection.’”

“The legislation did not pass—not under Hoover, nor under Franklin Roosevelt, who would come next, or other presidents to come.

As late as the 1970s, men were still dismissing women’s demands for equal rights. One male critic called it a ‘lunatic proposal.’ After all, he noted, ‘women do not need special protection.’”³⁷ (ERA was finally passed and announced in the Congressional Record on September 12, 2018, sixty years after Amelia Earhart pushed for it.)

Amelia was not discouraged despite the failure to pass an equal rights amendment. Her goal was to attain equality in the skies. Female pilots kept proving themselves throughout the 1920s and into the 30s. Now they wanted to compete on the same terms as men. They fought to be included in the National Air Races and created their own transcontinental air derby from Cleveland to Santa Monica, California. “Race organizers agreed to let them race, but on their terms. Under the proposed rules, each woman would have to be accompanied by a man. And they wouldn’t be allowed to fly across the Rocky Mountains. ‘It would be too much of a task on the ladies,’ one race organizer said, suggesting the women fly to Cleveland from Nebraska or Minnesota.”³⁸



Courtesy Cleveland Plain Dealer, August, 1929

³⁷ Ibid Doyle

³⁸ Ibid Doyle

America's most prominent female aviators decided to boycott the races unless they changed the rules to allow women to compete on equal terms. The men realized the races had little meaning and practically no appeal without the nation's greatest female aviators participating. Organizers eliminated the foolish regulations. Women were permitted to fly in the first National Women's Air Derby. Earhart and other female aviators insisted that the competitors be at their best since the country and world was watching. During the race, one woman crashed and died. An avalanche of criticism came from men and the media. Despite the social and press condemnation, Earhart and other female aviators continued to pursue their goals.

20,000 spectators came to the Derby in August, 1929. It made many aviators famous. In the ensuing years, female pilots competed directly with men in racing and long-distance challenges including flying across the continental US and the Atlantic.



Documentary Commemorating the First Women's National Air Derby, Courtesy, www.BreakingthroughthecLOUDS.com

Marriage to George Putnam

She grew fond and fell in love with George Putnam. He was married and then divorced. He proposed to her several times until she eventually accepted. Amelia was more afraid of marriage than flying. Her mother had suffered considerably. Earhart was terrified of facing the same fate. On February 7, 1931 the couple married in a simple ceremony. Amelia wore one of her casual brown outfits with little make up. Her dark, blond hair was wind-swept, disheveled and tangled as usual.

“On the morning of their marriage, full of fear and dread, Amelia presented George with a letter that read in part:

You must know again my reluctance to marry, my feeling that I shatter thereby chances in work which means most to me . . . On our life

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Amelia Earhart, 1931, Photo by Edward Steichen, Courtesy Pinterest

together . . . I shall not hold you to any medieval code of faithfulness to me nor shall I consider myself bound to you similarly . . .

Please let us not interfere with the others' work or play, nor let the world see our private joys or disagreements. In this connection I may have to keep some place where I can go to be myself, now and then, for I cannot guarantee to endure at all times the confinement of even an attractive cage.”³⁹

George Putnam loved his wife and respected her desire for freedom, privacy and independence. Putnam said he read Amelia’s letter frequently and revealed it after she disappeared. He said it was an example of her “gallant inward spirit.”

Earhart decided that it was time for her to set her own flying records and achievements. In 1932 she embarked on huge endeavor. She would fly the Atlantic.



Amelia Earhart’s Lockheed Model 5B Vega, at the Smithsonian Institution National Air and Space Museum

Trans-Atlantic Solo Flight

“On May 20, 1932, five years to the day after Lindbergh made his historic transatlantic flight, Amelia Earhart finally made her own solo flight. During those five years, many women had taken up flying, and a lot of female pilots were angling for the record.”⁴⁰ They all failed.

“Amelia, not wishing to alert the press, prepared for her own attempt in secret. Days before her flight, she pattered around the house with George. She raked leaves (her sole form of exercise). She went over the proofs of her next book, *The Fun of It...* Bernt Balchen, one of her flight advisers, busied himself every day at the private New Jersey airport Teterboro, prepping her Lockheed Vega; the press reported he was borrowing the plane to fly to the North Pole. Then, on the morning of May 20, 1932, Amelia moseyed over to the airport, hopped in her plane, and took off alone across the ocean, headed for Paris.”⁴¹

It was a clear day. Perfect flying weather. She took off and landed in Newfoundland to refuel. She rose to 12,000 feet and carefully followed the polar route east to Western Europe. As she approached the continent, she saw icebergs with prism like colors in the setting sun. Suddenly, her altimeter stopped. Earhart was not worried. She was an

³⁹ Ibid Karbo

⁴⁰ Ibid Karbo

⁴¹ Ibid Karbo

experienced pilot. She could determine her altitude by her distance from the water. Minutes later, a flame surged from her exhaust manifold. She could not turn back. It was as dangerous as continuing her journey. The sky grew black. Her visibility disappeared. She was flying in darkness when thunder, lightning and hurricane like winds engulfed her plane. She could not gain altitude.



Courtesy, The Kingston Daily Freeman, May, 1932

“There was nothing for Amelia to do but fly through them, jouncing around in the wind and rain, continuing along her fixed-compass course. Soon the rain turned to ice, and the controls froze, sending her tiny plane into a spin. As she hurtled toward the green-gray whitecaps, the ice melted, and she was able to regain control. But minutes after she regained her cruising altitude, the rain turned to

ice again, the windshield frosted over, the gears froze, and the plane spun. Once again, she plummeted toward the sea, the ice again melted during the descent, and she flew low over the churning sea until she hoped it was safe to ascend once more. As the sun

rose, she found herself on the other side of the storm, gliding into the dawn. All the unanticipated descending and ascending had used up fuel; she flipped the switch on an auxiliary gas tank, only to feel fuel trickling down the side of her neck from an invisible leak overhead.”⁴²



Amelia Earhart departing for London from Derry field after her historic trans-Atlantic flight, Courtesy AP and the BBC

Amelia realized she could not make it to Paris. Her altimeter was frozen and her plane was on fire. “At 13:46 GMT, she landed in a pasture on a farm

outside Londonderry, Ireland. The flight had lasted 14 hours, 56 minutes. A farmer came running as she crawled out of the cockpit. “Have you flown far?” he asked. She said,

⁴² Ibid Karbo

“From America.” If she was frazzled and freaked out, you’d never know it. Amelia could be as laconic as a cowboy. Even though she didn’t make it to Paris, as Lindbergh had done, the world saluted her achievement. Amelia received a Gold Medal from the National Geographic Society, and Congress presented her with a Distinguished Flying Cross.”⁴³

Amelia landed in a field near a farm house in Derry. The home was owned by the Gallagher family. Mrs. Gallagher recalled how calm Earhart was. She had a matter of fact voice and seemed like she just completed a short motor car trip and not flown across an ocean. Amelia had no luggage or clothes besides what she was wearing. The family invited her to stay. Amelia agreed as long as they did not mind her simple appearance. The Gallaghers were delighted and recalled the kindness and generosity of their distinguished visitor.⁴⁴

Flying Solo Across North America

She would be the first woman to fly solo across the continent of North America.

On August 25, 1932, “Amelia Earhart became the first woman to fly across the U.S. nonstop. Earhart piloted her Lockheed Vega 5B from Los Angeles to Newark in a record 19 hours and 5 minutes. The 3,986-kilometer (2,477-mile) flight set an official U.S.



Amelia Earhart with her Lockheed Vega after her record-setting solo nonstop flight across North America, 25 August 1932. Courtesy, Encyclopedia Britannica

record for women’s distance and time. Earhart’s average speed for this record-breaking flight was 206.42 kilometers per hour (128.27 miles per hour), and she flew most of the way at an altitude of 3,048 meters (10,000 feet). Less than a year later, Earhart would set a new transcontinental speed record, making the same flight in a record 17 hours and 7 minutes.”⁴⁵

From 1930 to 1935, Amelia Earhart set seven women’s speed and distance records.

“On January 11, 1935, Earhart became the first aviator to fly solo from Honolulu, Hawaii to Oakland, California. Although this transoceanic flight had been attempted by many others, notably by the unfortunate participants in the 1927 Dole Air Race (10 of the 18 pilots died,

only two completed the trip) that had reversed the route, her trailblazing flight had been mainly routine, with no mechanical breakdowns. In her final hours, she even relaxed and

⁴³ Ibid Karbo

⁴⁴ BBC, When Amelia Earhart landed in Derry field, May 31, 1932, <https://www.bbc.com/news/uk-northern-ireland-32934928>

⁴⁵ National Air and Space Museum, 1932: Amelia Earhart Flies Nonstop Across U.S., August 25, 2016

listened to "the broadcast of the Metropolitan Opera from New York."⁴⁶ A few months later she flew solo from Los Angeles to Mexico City and then from Mexico City to New York. Amelia participated in long distance air races that year that took the lives of several aviators.

She decided it was time to pursue the ultimate challenge: circle the earth.

The Last Flight

Pilots had circumnavigated the globe six times when Amelia Earhart decided to fly around the world. Each took shorter, safer routes. Instead, Amelia wanted to go farther than any man. Hers would be the longest at 29,000 miles. It was her dream.



Amelia Earhart's Flight Path, 1937, Courtesy the Chicago Tribune

She began preparation in 1935. She was a visiting faculty member in the Department of Aeronautics at Purdue University where she gave advice, taught and counseled women on careers. In 1936, she planned the details her round-the-world flight. The University helped finance the venture along with George Putnam and an array of investors. She would circle

the globe following the route of the equator.

It was a daring and daunting enterprise and exceedingly expensive. She needed a new plane, designed for the challenge. Lockheed Aircraft Company built a custom made, Electra 10E for her. Additional fuel tanks and modifications to the fuselage were made to provide for extensive long distance flying under varying weather conditions.

Fred Noonan was chosen as her navigator. He was skilled at celestial navigation and had experience with marine and flight navigation. Noonan established the routes of Pan American Airlines China Clipper seaplanes that crisscrossed the ocean. He trained navigators to fly from Manila to San Francisco. Noonan knew the Pacific well. Amelia's plan was for him to navigate from Hawaii to Howland Island. It was the most dangerous part of the trip. At that point, Captain Harry Manning, a talented navigator and radio operator, would join Amelia until they reached Australia and then she would continue alone.

⁴⁶ This Day in Aviation, January 11, 2017, "Hawaii Aviation; Amelia Earhart." Archived July 14, 2017. *Goldstein, Donald M.; Dillon, Katherine V. (1997). Amelia: The Centennial Biography of an Aviation Pioneer. Brassey's, p.132.*

Technical glitches started immediately. On the first leg of the trip from Oakland to Honolulu, propeller and lubrication snags happened. Later the forward landing gear collapsed, the propellers were damaged and the plane skidded on its belly. The flight was called off. The Electra returned to Lockheed.



Amelia Earhart with her Lockheed Electra, 1937, Courtesy the Voice of America



Courtesy Purdue University



Amelia and George Putnam studying the map for her Round the World Flight, 1937, Courtesy International Center of Photography, Life Magazine Collection

A second attempt was made with secret preparations. Earhart flew from Oakland to Miami and publicly announced her plans to circumnavigate the globe. She would fly from East to West. The new plan was the result of changes in wind and weather patterns. She and Fred Noonan departed on June 1, 1937. Numerous stops were made in South America, Africa, the Indian subcontinent and South East Asia. They arrived in Lae, New Guinea on June 29th. They had flown 22,000 miles. The longest anyone had flown. The end of their adventure was in sight. The last leg was a final 7,000-mile passage across the Pacific.



Amelia Earhart at Lae, Courtesy PNG Museum, July 2, 1937

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They departed from Lae airfield for Howland Island on July 2, 1937. It was a small mass of 1.7 square miles in the middle of the Pacific. The test facing Earhart and Noonan was to reach the island, with only a compass as their guide. It was described as “standing atop the Empire State Building and trying to hit a bull’s-eye on a dartboard hanging on the Statue of Liberty, five miles away.”⁴⁷

Moored off Howland Island was the US Coast Guard cutter Itasca. The ship set off a column of thick black smoke as a signal for Amelia to help her as she approached the island. The cutter



Courtesy New York Daily News, July 3, 1937

received a few radio transmissions but the plane never arrived.

It disappeared and set off the greatest



Courtesy San Mateo Times, 1960

and longest search in world history.

Theories about the disappearance ranged from survival to a crash in the Pacific to her being murdered by the Japanese on the island of Saipan, which was reported in 1960.



Amelia Earhart's Last Flight, Courtesy National Aeronautics and Space Museum

Fred Goerner author of *The Search for Amelia Earhart*, (1966) had an exchange of letters with Leo Bellarts, Chief Radioman of the Itasca after Goerner made a request for information via the newspapers. What follows is Bellarts' 1961 letter to Goerner:⁴⁸

⁴⁷ Ibid Karbo

⁴⁸ Archives: coast Guard Cutter Itasca, Fred Goerner-Leo Bellarts, early 1960s letters: Revisiting roots of the real search for Amelia, February 6, 2017, <https://earharttruth.wordpress.com/tag/coast-guard-cutter-itasca/>

28 November 1961
1920 State St.
Everett, Washington

Mr. Fred Goerner,
% KCBS
San Francisco, Calif.

Dear Mr. Goerner,
I have just received a letter and an article from a San Diego paper relative to your attempt to establish identity of some bones and teeth you found on Saipan. Having a long time interest in the Earhart story I am curious just to know why you believe Earhart wound up on Saipan.

Last year I believe that you attempted to identify an airplane generator as belonging to the Earhart plane. I'm sure that if a search was made around Saipan that many planes could be found and parts by the thousands could be located, but none from the Earhart plane.

My curiosity stems from the fact that I believe I was one of the very few people that heard the last message from the Earhart plane. I was the Chief Radioman on the USCG *Itasca* at Howland Island during her ill-fated trip. Having heard practically every transmission she made from about 0200 till her crash when she was very loud and clear, I can assure you that she crashed very near Howland Island. The only island near Howland that it would have been possible for her to land would have been Baker Island and she didn't land there.

Considering the increase in her signal strength from her first to her last transmission there leaves no doubt in my mind that she now rests peacefully on the bottom of the sea, no farther than 100 miles from Howland. If you could have heard the last transmission, the frantic note and near hysteria in her voice you also would be convinced of her fate but not on Saipan.

I firmly believe that she died a hero in the public eye and that is the way I believe that she would like it to be.

Sincerely yours,
Leo G. Bellarts
Lieut. USCG (Ret)
November 30, 1961



Chief Radioman Leo Bellarts led the radio team aboard the Coast Guard Cutter *Itasca* during the final flight of Amelia Earhart. Courtesy Dave Bellarts

Conclusion

“Amelia Earhart is the most celebrated aviatrix in history and was one of the most famous women of her time. As America’s charismatic ‘Lady of the Air,’ she set many aviation records, including becoming the first woman to fly across the Atlantic in 1928 as a passenger, the first woman (and second person after Lindbergh) to fly solo across the Atlantic in 1932, and the first person to fly alone across the Pacific, from Honolulu, Hawaii, to Oakland, California, in 1935. In an era when men dominated aviation, she was truly a pioneer.”⁴⁹

Her accomplishments include:⁵⁰

- Woman’s world altitude record: 14,000 ft. (1922)
- First woman to fly the Atlantic Ocean (1928)
- Speed records for 100 km (and with 500 lb. (230 kg) cargo) (1931)
- First woman to fly an Autogyro plane (1931)
- Altitude record for Autogyros: 18,415 ft (1931)
- First person to cross the United States in an Autogyro (1932)
- First woman to fly the Atlantic solo (1932)
- First person to fly the Atlantic twice (1932)
- First woman to receive the Distinguished Flying Cross (1932)
- First woman to fly nonstop, coast-to-coast across the U.S. (1933)
- Women’s speed transcontinental record (1933)
- First person to fly solo between Honolulu, Hawaii and Oakland, California (1935)
- First person to fly solo from Los Angeles, California to Mexico City, Mexico (1935)
- First person to fly solo, nonstop from Mexico City, Mexico to Newark, New Jersey (1935)
- Speed record for east-to-west flight from Oakland, California to Honolulu, Hawaii (1937)
- First person to fly solo from the Red Sea to Karachi (1937)



Amelia Earhart, National Portrait Gallery of the Smithsonian Institution

⁴⁹ Info please, the Columbia Encyclopedia, 2012, Amelia Earhart, <https://www.infoplease.com/encyclopedia/people/science/aviation/earhart-amelia>

⁵⁰ Amelia Earhart Museum site, <https://www.ameliaearhartmuseum.org/AmeliaEarhart/AEAccomplishments.htm>, National Aeronautics and Space Museum site, <https://airandspace.si.edu/stories/objects/amelia-earhart-setting-records> and Wikipedia Commons. https://en.wikipedia.org/wiki/Amelia_Earhart

Amelia was more than just a flier and a feminist. She was a leader. She took responsibility for her statements, beliefs, and led with action. She was honest and, in spite of the tremendous media hype that surrounded her, maintained a sense of integrity. Of course, she made mistakes. She was human, but she set high standards of honor for herself, which she did not often find in others. Amelia was hurt and disappointed many times. It did not change her or make her lose sight of her destiny and mission and obligation to those who looked up to her. Amelia Earhart was a model to millions of devoted fans who followed her every word and adventure.

Her success was not breaking aviation records and overcoming barriers for women. It was all of this and more. She set an example of courage, achievement, and not being afraid of envy, criticism, ignorance, and indifference. She succeeded without arrogance. Amelia was always herself.

To say, as critics have, that her legend continues because of the media, promotion of her iconic image, and the mystique of her tragic disappearance is disingenuous. It minimizes the qualities of a remarkable person who still reigns as a benchmark for people of all ages and professions, across time and space.

Amelia Earhart's asset was humility. It sprang from



Amelia Earhart's Poem about Courage, Courtesy

www.atchisonkansas.net

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Story about Amelia Earhart at the Chicago Symphony in 1932, Courtesy Chicago Tribune

knowing herself, her weaknesses and limitations and realizing, perhaps, she was not the best female aviator. She never said so or claimed to be. Instead, she constantly praised her peers, even when they denigrated her successes.

She minimized her feats and set them in a larger context of human achievement. Amelia's role as a woman was her vision of attaining what was natural and meant to be. Equality, for Amelia Earhart, was as normal as the rising and setting sun and the position of the stars in the universe.

Earhart was an inspiration for young women who were raised for only one profession, marriage and motherhood. She gave them hope.

After her amazing solo flight from Honolulu to San Francisco, Earhart returned to her hometown of Chicago. She addressed a crowd at the Chicago Symphony. Her talk exhibited her genuine modesty and sense of humor. This is what was written about that evening:

“In the *Chicago Tribune*, Wayne Thomas reported that the Orchestra Hall audience, comprised largely of women, heard Earhart speak, ‘deprecatingly’ of her flight’s value as an advancement for aviation.... Although Miss Earhart spoke appreciatively of a few grim moments when she took off with a heavy load of gasoline downwind from a muddy field on her Pacific flight, it was the lighter side of ‘my pleasant evening in the air’ that she stressed. There was a bit of pride, too, in her reference to the fact that she had flown exactly on her course throughout the 2,038-mile voyage although she made the flight by dead reckoning. Soon after leaving the islands behind, the commercial program broadcast from a Honolulu radio station on which she was tuned was interrupted, she said. ‘I was listening to the music and then the announcer said: ‘Miss Earhart has taken off on her flight to San Francisco.’ And as I sat up there at 8,000 feet with the motor just in front of me, I thought: ‘How impertinent of that radio man to be telling me.’ ”⁵¹

Those who listened to her were struck by her wit, calmness, charm, dignity and unassuming nature and respect for her audience. Qualities often found in true heroes and heroines.

Almost a century after she vanished, Amelia Earhart still inspires. She speaks to us. She encourages us to seek our aspirations and to jump into the cockpit of our dreams and fly.

We need her now more than ever.

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Tour of the George Palmer Putnam Collection of Amelia Earhart Papers at Purdue University, November 18, 2014, C-SPAN

Presentation by Dr. White Wallenborn on the 75th anniversary of the disappearance of Amelia Earhart, July 21, 2012, C-SPAN

**Numerous movies have also been made about Amelia Earhart.*

About the Author



Emilio Iodice is Director Emeritus, Professor of Leadership, Loyola University Chicago, John Felice Rome Center, Former Executive and US Diplomat Award Winning Author, Public Speaker, and Presidential Historian.

Iodice was born in the South Bronx in 1946. He was the son of immigrants from the island of Ponza in Italy. He grew up in a truly bi-cultural environment: living in Little Italy and America at the same time. He worked full time while studying to pay for his education from elementary school to graduate school and still managed to complete his studies at

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the top of his class. Iodice received his BS in Business from Fordham University, his MBA from the Bernard Baruch School of the City University of New York, and was named to BETA GAMMA SIGMA, the honorary society of distinguished graduates in Business. He conducted doctoral work in international business and applied finance at George Washington University in Washington, DC.

Iodice spent over four decades as a senior executive in the public and private sectors, as an educator and as a university administrator. Those forty years of experience included being a key official in Washington working for several Administrations, reaching the top ranks of the civil service and the diplomatic corps.

He was among the most decorated officers in American history with a Gold Medal for Heroism, a Gold Medal and Silver Medal for Exemplary Service, nominations for the Bronze Medal and numerous commendations and citations. He served as Minister in key US missions abroad including Brasilia, Mexico City, Rome, Madrid and Paris and departed after being named to the list of future Ambassadors.

Among his honors were being knighted by the former King of Italy and also named an honorary Guard of the Pantheon and a Senator for the Royal Family. He received Medals of Honor from Spain and Italy. At age 33, he was named by the President of the United States to the prestigious Senior Executive Service as a Charter Member. He was the youngest career public official to reach this distinction.

Before joining Loyola, he was Vice President of Lucent Technologies in charge of operations in numerous countries and later taught full time as an Assistant Professor at Trinity College in Washington, DC. He joined Loyola in 2007 as Director of the John Felice Rome Center. After one year he was promoted to Vice President. After serving for nine years as Vice President and Director, he was awarded the title of Director Emeritus and Professor of Leadership on June 30, 2016.

He spoke several languages and traveled across the globe. His passions in life were writing and educating others; assisting those in need; the Loyola Rome Center, its students, faculty and staff; good music; reading; his family and, in particular, his four grandchildren and god children. His academic field of study was “leadership.”

He wrote and published numerous peer reviewed articles on leadership in the *Journal of Values Based Leadership* of Valparaiso University in Indiana that have been read across the globe. He was also a member of the Editorial Board of the Journal and is a member of the Board of Regents of Marymount International in Rome, Italy. In 2019, he was given the prestigious Premio Imagine (Image Award) to honor his contributions in the field of diplomacy, international relations and leadership.

In 2012, his bestselling book on tenor Mario Lanza was published entitled, “*A Kid from Philadelphia, Mario Lanza: The Voice of the Poets.*” In 2013 his second book, “*Profiles in Leadership from Caesar to Modern Times*” was published by North American Business Press along with “*Sisters,*” the story of two extraordinary people, his mother and aunt. In 2014 he published “*Future Shock 2.0, The Dragon Brief 2020,*” and “*Reflections, Stories of Love, Leadership, Courage and Passion.*” In 2016 he launched, “*2016, Selecting the President, The Most Important Decision You Will Ever Make. 2016.*” In 2017, his new

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book was published: *“When Courage was the Essence of Leadership, Lessons from History*, reached number one bestseller status in the world in the field of leadership. In 2019, the new edition of the book was launched with equal success. *Profiles in Leadership from Caesar to Modern Times* and *Reflections* were translated into Italian and published in 2017 and immediately reached best seller status. His works can be found on this Amazon site: https://www.amazon.com/Emilio-Iodice/e/B00HR6PNFW/ref=dbs_p_pbk_rwt_abau

In March, 2019, the *Iodice Leadership Center* was established in St. Barnabas High School in the Bronx to train young female students in the art and science of leadership.

Transformative Leadership and the Unapologetic Leader

JOCELYN CHAPMAN
SAN FRANCISCO, CA, USA



My poem, *I Want an Unapologetic Leader*, indicates a few of the qualities that I associate with transformative leaders – namely, open-mindedness, emotional intelligence, and integrity. Perhaps a transformative leader doesn't need to like art, but some enthusiasm for confusion is necessary. In this age of increasing complexity and uncertainty, a leader must be flexible, ask questions, seek diverse viewpoints, and take risks to respond creatively in changeable circumstances (Montuori, 2010; Giulioni and Hendel-Giller, 2018). The ending of the poem explains the title, but it also speaks to an

I Want an Unapologetic Leader

*I want a leader
who likes art, even
the confusing kind*

*I want a leader
who laughs easily
and cries sometimes*

*I want a leader
who is openly intellectual
and speaks of love*

*And most of all
I want a leader
who changes her or his mind
with humility
without apology*

exceptional quality found in transformative leaders – the courage to change one’s mind. A transformative leader knows that changing one’s mind is not a weakness to be ashamed of or apologize for, but a result of learning. I want a leader that learns! Transformative leadership involves self-leadership, an ongoing process of reflection and personal development (Montuori and Donnelly, 2017; Anello, Hernandez, and Khadem, 2014). For this reason, transformative learning and transformative leadership are closely linked.

In transformative learning, the “form” that gets transformed is one’s mindset or way of knowing (Kegan, 2009). This change in mind can compel us to change our behavior so it will be in alignment with our new understandings of reality (Ciporen, 2010). Transformative learning is more likely to occur when a leader is willing to engage with the unfamiliar, to consider multiple perspectives, and in other ways risk having their unexamined beliefs exposed (Montuori, 2010; Nagata, 2006; Anello, Hernandez, and Khadem, 2014). John Dirx portrays such openness as “taking our inner lives seriously” (Dirx, Mezirow, and Cranton, 2006, p. 129). Leaders can benefit from giving attention to their inner lives because it calls into question and brings into focus personal authenticity and integrity (Chapman and McClendon, 2018).

The poem’s reference to a leader “who laughs easily and cries sometimes...and speaks of love” relates to the emotional intelligence aspect of a transformative leader’s self-development. Daniel Goleman (2011), informed by affective neural science and social neural science, makes the intriguing argument that leaders who develop their emotional intelligence are better able to create a resonance with those they lead, facilitating a flow state so people can work at their best. In an illuminating hermeneutic inquiry, Satinder Dhiman (2015) turned to the Bhagavad Gītā for insights into the qualities of a wise leader and found that nearly “all of the qualities of an ideal sage more or less focus on emotional maturity – the ability to manage emotional disturbances and reactions calmly” (p. 14). Dhiman (2015) adds that the self-awareness and self-discipline necessary for the emotional intelligence described in the Bhagavad Gītā represent very high moral leadership at the upper limits of human possibilities. Therefore, emotional intelligence indicates an array of capacities which necessitate ongoing reflection, mindfulness, and self-development practices.

Of course, transformative leadership is more than self-development; it is personal growth in service of positive, systemic change. The relationship of inner change to outer change is so profound that “Change yourself. Change the world” is the motto for the Transformative Leadership MA program at the California Institute of Integral Studies. A transformative leader is eager to learn and grow and change her mind, with humility and without apology, in service of the greater good.

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Jocelyn Chapman, PhD, is the Director of the Transformative Inquiry Department at the California Institute of Integral Studies (CIIS) in San Francisco, California. She teaches in the Transformative Leadership online MA program at the California Institute of Integral Studies. Her leadership philosophy is founded on the belief that leadership is a process, not a role, involving interaction and communication, reflection, and authentic presence.

Her research interests include systems thinking as a catalyst for personal and social change; learning conversations and aesthetic experiences in online education; and education reform, including reform of teacher thinking. Her first published work was a poem, *Redwoods*, in *Interdisciplinary Humanities*, 2010.

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Kiran Bedi's Innovative Initiatives and Leadership Practices in Puducherry, India

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Abstract

The purpose of this research paper is to outline innovative initiatives and leadership practices by Kiran Bedi, the Lt. Governor of Puducherry, India to achieve good governance. It unveils leadership challenges and offers leadership lessons. It explains her courageous and style of servant leadership. It explores how to be part of the solution, and not part of the problem. It implores all people to work for satisfaction, not for recognition. It concludes that each person is gifted with one life and that life must deliver its duties and tasks with excellence and without craving any attention or approval from others to provide meaning.

Introduction

"First they ignore you, then they laugh at you, then they fight you, then you win."

—Mahatma Gandhi



Kiran Bedi was the first female police officer in India to join the Indian Police Service. She is an educator, sportsperson, police officer, social activist, spiritualist, author, reformer, politician, philosopher, and above all, a servant leader. She is a multi-faceted personality with immense experience and expertise, imbued with the breadth of knowledge in various spheres including public safety. Presently she is the Lt. Governor of Puducherry, India. She has added her grace to the position and successfully completed 1000 days in her office, taking Puducherry to great heights.

Kiran Bedi's Strategies to Build a Prosperous Puducherry

The following are Kiran Bedi's tools and techniques used to build a strong team to attain accountability, excellence, and effectiveness.

1. Endeavor to seek, think, and translate ideas and initiatives into action.
2. Work with integrity and speed.
3. Be analytical in approach and decision-making.
4. Move out of one's comfort zone, even on the weekends, in response to people's grievances and/or issues identified.
5. Review the state of security and of public services, especially their availability late into the night.
6. Raise expectations, meet challenges, and constantly widen capacity.

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7. Ensure financial prudence and maintain constant vigil.
8. Promote networking through NGO (Non-Governmental Organization) participation and CSR (Corporate Social Responsibility) contributions.
9. Communicate constantly using available tools of technology, social networking, and other media.
10. Remain sensitive, compassionate, and equitable in redressing public grievances.
11. Fashion a team that is forward-thinking and is committed to realize the vision of a “Prosperous Puducherry.”

Kiran Bedi’s Innovative Initiatives and Leadership Practices

Kiran Bedi reported for duty as the Lt. Governor of Puducherry on May 29, 2016 and completed her first 1000 days on February 22, 2019. She generated both complements and criticisms as the Lt. Governor. She made several bold decisions, always keeping the largest interests of Puducherrians in view. She converted “Raj Nivas” (governor’s palace) into “Lok Nivas” (people’s place) with her courageous and humble leadership. She opened the doors of Raj Nivas for common people and ensured accountability and responsibility. She walked her talk and led by example. She connected with common people, earned their trust, and ensured transparency. The following innovative initiatives and leadership practices were adopted and by her administration and used to transform Puducherry. She:

- Conducted one-on-one briefings with government officials and departmental heads, prompting the improvement and standardization of essential administrative practices for better delivery of public services. These personal briefings provide a necessary platform from which government officials could access and emulate proven practices.
- Introduced the practice of personal field visits to departments to gain better understanding of, and support for, departmental functions. These visits are calculated to bridge the gaps inherent in hierarchical structuring, provide insights into practical aspects of work methodology, and clarify those resources available to implement within individual departments.
- Introduced a 10 AM meeting which serves to deconstruct stereotypes and historical conventions. The meeting involved a core group of “Team Raj Nivas” who assembled on all working days precisely at 10 AM to identify the plan of action for the day and the week ahead. This daily encounter is not limited to work-related activities, but rather provided a forum for sharing ideas and thoughts, collective thinking, envisioning, and constant learning. It serves as a Think Tank and also as an implementing and monitoring agency. In this meeting, ideas are conceptualized, issues of importance are noted, and news reports are disseminated. Each day’s proceedings are recorded. The minutes are communicated to relevant departments and followed up for implementation purposes. The gathering symbolizes the spirit of teamwork and provides synergy, creativity, cohesion, and harmony with moments of individual brilliance. Its introduction invoked a sense of freshness and innovativeness in the work culture.

- Initiated “Open House” which brought in a revolutionary change. It is the first step towards the transformation of Raj Nivas to a People’s Nivas. 40 entry passes are provided each day from Monday to Wednesday. People – regardless of status, age, caste, or creed – are permitted to step into the precincts. The most marginalized are able to walk into the Raj Nivas to air their grievances for redress.
- Introduced “6 AM Weekend Rounds” – i.e. waking early on Saturday and Sunday mornings for field visits to focus on areas that required attention.
- Introduced “Visitors Hour” where the visitors are invited to be photographed with her – a truly unique experience for each visitor. It was originally conceptualized to help visitors appreciate the heritage of the building and to inspire youth to pursue careers of governance and administration.
- Introduced “Raj Nivas Film Series.” Once a month on Saturday evenings, the lawns of Raj Nivas are converted into an open-air theatre where children, parents, and teachers assemble to watch popular values-based films. Children get an opportunity to interact with the Lt. Governor. She secures assurances from the children that they will endeavor to give their best in both academic studies and sports in order to comprehensively acquire leadership skills. The objective is to create a responsible future generation.
- Introduced “Raj Nivas Lecture Series.” She transformed Raj Nivas into a Convention Centre, designed to engage residents of Puducherry on “Thought Leadership” through a series of interactive sessions by eminent speakers from fields of history, art, literature, leadership, management, science, culture, health, spirituality, and more. She encouraged learning, unlearning, and relearning to remain relevant in the world.
- Envisaged “Raj Nivas Leadership Series” which is an initiative to impart training through interactive sessions by co-opting leaders in the administration of Puducherry. This series endeavors to groom members from teams to be leaders. It draws speakers from across the spectrum of the workforce in the Puducherry Administration.
- Initiated “Raj Nivas Art & Culture Series” which includes the performing, visual, and fine arts as well as other creative explorations. It aims to promote traditional, local art, and culture forms and showcase works of eminent artists. Puducherry with its Franco-Indian heritage, the legacy of Roman connections and an evolving cosmopolitan nature is at a juncture of establishing itself as a center for varied creative interactions.
- Evolved a system of self-evaluation for officers of the various departments to improve the delivery of public services. These in-house evaluation modules aim to refresh as well as update knowledge on the latest interpretation of laws, amendments, and administrative instructions/executive orders. The module is comprised of a personal particulars format, a subject-based questionnaire, and a SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis by each individual. While the subject-based questionnaire assesses the subject knowledge and encourages self-learning, the SWOT analysis leads to a database of the department, providing input for departmental improvements. Participating

officers leave with improved confidence, enhanced knowledge, and a renewed interest in their environments.

- Advocated the empowerment of women. She believes that women are prime movers of change. Empowering them raises their families from poverty, promoting prosperity and economic and social development. With women's leadership, good public health can be assured, as can family security, education for the younger generation and care of elders. Moreover, welfare schemes targeting women have proven successful in generating employment and asset building.
- Started a convergence initiative for villages to bring all essential services together and promote their coordination. At a local level, this convergence is led by a senior official, who is responsible for coordinating the implementation of development projects, as decided by the local community.

Leadership Lessons from Kiran Bedi

Kiran Bedi is a visionary leader and a strategist. She emphasizes the importance of goal setting to provide a mental blueprint and to save time, thus moving one towards success. She is an effective communicator who shares with anecdotes, inspiring examples, and illustrations. She believes that passion must come within a person. She implores others to strive for happiness. The following represent several key lessons descriptive of her leadership style:

- Have an internal locus of control. Believe in yourself. Set your own goals. Work with excellence. Compete with yourself. Raise your bar constantly.
- Be passionate about your profession. Contribute your best without expecting any returns. Work for satisfaction, not for recognition.
- You are the product of your choices. 90 percent of your life depends on you while the 10 percent of your life depends on external forces and factors which are beyond your control.
- Be passionate about making a difference in the lives of others.
- Walk your talk. Lead by example. Be an effective time manager.
- Be courageous and stand by your principles and philosophies.
- Connect with common people. Participate actively in developmental activities.
- Build a strong team. When your team trusts you they support you wholeheartedly and you can deliver your goods effectively.
- Don't blame the circumstances. Work with what you have. Remember, it is the bad tradesmen who blame their tools.
- Invest your efforts consistently without an obsession for outcomes.
- Emphasize excellence. Invest your heart and soul in whatever you do. Hate being an ordinary individual. Instead, love being an extraordinary individual.
- Life is an incline either you go up or go down.
- Rise above pettiness and petty people. Stay away from the people who hold you back.
- Empower women. Women must be economically independent to assert themselves.

- Practice gratitude to keep you happy forever.
- Have an inner urge to serve others. Don't compromise your efforts. Add value to others consistently and make a difference in their lives.

Be Part of the Solution, not the Problem

Kiran Bedi is a creative genius who knows what she wants from herself and others. She says that the human mind is the traffic of thoughts. Ultimately, one thought will supersede others, revealing the course of action to pursue. In times of disorder and confusion, one must relax and meditate.

Kiran Bedi brought revolutionary changes to the prison system by focusing upon the prisoner population. She initiated several reforms and instigated the change in spite of the scarcity of funds and resources. Bedi advocates that crime is the product of a distorted mind. She encourages meditation and spiritualism. She is a courageous leader and a servant leader.

Kiran Bedi—Queen of Controversies

"You have enemies? Good. That means you've stood up for something, sometime in your life."
— Winston Churchill

Kiran Bedi generated controversy wherever she went because she followed the rules without any fear. She successfully refuted all charges. She was referred to as *Crane Bedi* as she had the courage to tow the Indian Prime Minister's car due to the violation of parking rules. Everybody was equal to her. She added value to her profession wherever she went and whatever she was assigned to do in spite of inadequate resources and funds. Succinctly, she is part of the solution, not the problem.

Work for Satisfaction, not for Recognition

Kiran Bedi is flexible and adaptable. She is sensitive and compassionate. She is attracted by the real world, not fiction. She appreciates reading books on leadership, management, and spirituality. She is the founder of two voluntary organizations, namely, Navajyoti and India Vision Foundation.

Kiran Bedi is a self-made woman who rose from the ranks with her hard work, grit, and determination. She received a number of accolades including the President's Gallantry Award in 1979; the Magsaysay Award for Government Service in 1994; the Pride of India in 1999; and the Mother Teresa Memorial National Award for Social Justice in 2005. Embracing the lessons from her leadership may help propel one to excel as a courageous and servant leader.

Conclusion

"There is nothing unfinished on my agenda. I do whatever I can for the day. Simple! If I were to die today; I will depart with nothing impending."— Kiran Bedi

Kiran Bedi has transformed the union territory of Puducherry with her courage, charisma, compassion, commitment, and contribution. She remains an inspiration for others – especially for women. She will be remembered forever in Indian history for her courageous and servant leadership.

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ⁱ In 2016, Colorado voters overwhelmingly rejected a ballot measure to enact a tax-funded single-payer system in which all Coloradans would have gained health insurance.

ⁱⁱ In 2014, then Governor Peter Shumlin abandoned a signature effort to implement a single-payer system in Vermont amid an acknowledgment that the tax-based funding for such a system could be too much of a burden on the state’s economy.

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