The Journal of Values-Based Leadership

Volume 13
Issue 1 *Winter/Spring 2020*

Article 1

January 2020

Winter/Spring 2020

THE JOURNAL OF
JVBL
VALUES-BASED LEADERSHIP

Volume XIII | Issue I | Winter/Spring 2020

VALPARAISO UNIVERSITY

IN THIS ISSUE:

ALSO IN THIS ISSUE:

- ***Cultures of Servant Leadership and Their Impact***
  Robert C. Giambatista — Scranton, Pennsylvania, USA
  Robert L. McKeage — Scranton, Pennsylvania, USA
  Jeremy R. Brees — Flagstaff, Arizona, USA

- ***Case Studies***
  The Impact of #MeToo: A Review of Leaders with Supervisor Power on Employee Motivation
  Mary Kovach — Oxford, OH, USA

  Education Meant Risking Her Life: A Young Girl's Deadly Struggle to Learn
  Emilio Iodice — Rome, Italy

- ***Book Review***
  Reinventing the Organization: How Companies Can Deliver Radically Greater Value in Fast-Changing Markets
  Professor M. S. Rao, Ph.D. — Hyderabad, India

- ***Interviews and Commentary***
  Leadership in the Sixth Mass Extinction
  Elizabeth F.R. Gingerich — Valparaiso, Indiana, USA

VALPARAISO UNIVERSITY
MBA

Pursuing the truth. Changing the world.

SUSTAINABILITY CERTIFICATE

As we turn our focus to becoming a socially responsible university, the Valpo MBA program is now offering a Certificate in Sustainability. After completing a bachelor's degree, or while enrolled in a Valpo master's program, a student may choose to take four additional courses – eight (8) additional credits – and receive the graduate Certificate in Sustainability. The four additional courses include:

- MBA 702 Managing Sustainability — 2 credits
- MBA 703 Forces Affecting Sustainability — 2 credits
- MBA 704 Case Studies in Sustainability — 2 credits
- MBA 705 Fieldwork in Sustainability — 2 credits

WHAT IS SUSTAINABILITY?

Sustainability is a vital answer to existence on this planet, but also to the existence of our economy. As we look for better answers to energy issues, the end of landfills, and clean air and water for future generations, we need the business model of efficiency and return on investment to be sure we are taking the best paths to improve the future.

VALPARAISO UNIVERSITY MBA

1909 Chapel Dr. | Urschel Hall | Valparaiso, IN 46383 | 219.465.7952 | mba@valpo.edu | valpo.edu/mba

JOURNAL OF VALUES-BASED LEADERSHIP*

Winter/Spring 2020
Volume XIII, Issue I

Editor-in-Chief:
Elizabeth Gingerich, J.D.
Valparaiso University
College of Business Administration
1909 Chapel Drive, Office 207
Valparaiso, Indiana 46383, USA
(o)01-219-464-5044
(f) 01-219-464-5789
elizabeth.gingerich@valpo.edu
www.valpo.edu/cob

International Contributing Editor:
Olen Gunnlaugson, MA., Ph.D.
Université Laval, Department of Management
Pavillon Palasis-Prince
2325, rue de la Terrasse, Office 1505
Québec, Québec GIV 0A6, CANADA
(o)01-418-656-2131, ext. 5308
(f) 01-418-656-2624
olen.gunnlaugson@fsa.ulaval.ca
www.fsa.ulaval.ca

ISSN: 1948-0733 (online)
ISSN: 2153-019X (print)

THE JOURNAL OF JVBL VALUES BASED LEADERSHIP

A publication exploring business and government leadership

Special Acknowledgement

The Journal of Values-Based Leadership (*JVBL*) is sponsored by Bonnie ('70) and Peter ('65, '70) Raquet and the Raquet Family Foundation.

JVBL Mission Statement

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 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.

All submissions, including appendices, should be transmitted in either .docx or .doc formats directly through the "submit article" portal (preferred) on the journal's home page — http://scholar.valpo.edu/jvbl/ — or alternatively as an email attachment to jvbl@valpo.edu. The submitting author shall provide contact information and indicate whether there are co-authors to be listed (specifying which one will be the primary contact).

All material accepted for publication shall become the property of the *JVBL.*

Review Process

The JVBL seeks work that is clearly written and relevant to the Journal's central theme, yet imbued with analytical and intellectual excellence. In this respect, the editorial review board shall consist of both leading scholars and respected high-level business leaders.
All manuscripts undergo a two-stage review process:

1) The editor and/or his or her representative will conduct a cursory review to determine if the manuscript is appropriate for inclusion in the *JVBL* by examining the relevance of the topic and its appeal to the Journal's target readership. The editor may: a) reject the manuscript outright, b) request submission of a revised manuscript which will then be subject to a comprehensive in-house review, or c) forward the manuscript for review pursuant to the provisions of the following paragraph.

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.

Privacy Notice

The material contained in this Journal is protected by copyright and may be replicated only in a manner that is consistent with *JVBL*'s mission, goals, and activities. Commercial replication is strictly prohibited. Prohibited uses include, but are not limited to, the copying, renting, leasing, selling, distributing, transmitting, or transfer of all or any portions of the material, or use for any other commercial and/or solicitation purposes of any type, or in connection with any action taken that violates the *JVBL*'s copyright. The material is not to be used for mass communications without express written consent but may be downloaded for purposes of individual member use and communication. All other uses are prohibited without prior written authorization from the *JVBL*. For any information concerning the appropriate use of the material, please contact *JVBL* editor Elizabeth Gingerich at 1.219.464.5044 or via email at elizabeth.gingerich@valpo.edu.

Postal Information

The *Journal of Values-Based Leadership* is published on-line biannually in Winter/Spring and Summer/Fall by the Valparaiso University Press, c/o College of Business, Valparaiso University, 1909 Chapel Drive, Valparaiso, Indiana 46383. All hard copies of issues published after July 1, 2014, will be available on a pay-to-publish basis only. Archived, hard copy issues are still available in limited quantities. If the latter is desired, please remit the sum of $10.00 per copy to the Valparaiso University College of Business – *JVBL* and indicate which issue and the quantity of copies desired together with your current mailing address and telephone number. Please visit the Journal (all issues are digitally archived) at http://scholar.valpo.edu/jvbl/ for additional information. To report a change of address, contact the Valparaiso University College of Business, 1909 Chapel Drive, Room 207, Valparaiso University, Valparaiso, Indiana 46383, (telephone): 1.219.464.5044 or e-mail elizabeth.gingerich@valpo.edu.

Article Reprint Permission

No article may be republished in whole or in part without the written permission of the publisher. Send requests to reprint in writing to Editor Elizabeth Gingerich at 1909 Chapel Drive, Room 207, Valparaiso, Indiana 46383, elizabeth.gingerich@valpo.edu, 1.219.464.5044, fax: 1.219.464.5789. Please remember that existing artwork or images that you may want to include in a new work may be protected under copyright law. The unauthorized incorporation of such material into your new work could be a violation of the rights of the copyright owner. Please be sure to obtain any permission required from the copyright owner.

Disclaimer

The content of all articles, reports, case studies, book reviews, and surveys contained herein reflect the views of its individual authors, submitters, and/or interviewees and, unless expressly so indicated in the text, do not necessarily represent the position of the Valparaiso University College of Business.

..... contents

Selected Editorials and Tributes

Articles

through the implementation of vertical development practices requires significant personal and organizational commitment.

87. DEVELOPMENT OF A BROADER CONCEPTUALIZATION AND MEASUREMENT SCALE OF ETHICAL LEADERSHIP

Fahad Shakeel – Nijmegen, The Netherlands
Peter Mathieu Kruyen – Nijmegen, The Netherlands
Sandra Van Thiel – Nijmegen, The Netherlands

This study presents a broader construct of ethical leadership as an alternative to existing understanding of the term. The study divides the existing literature into classical and contemporary thoughts. The study brings forth limitations of the existing classical conceptualization based on several shortcomings. Synthesis and development of existing studies lead to a broader narrative that essentially addresses the limitations posed in this study. This broader viewpoint is based on the categorization of ethical theories by Van Wart (2014). A new definition of ethical leadership is presented and a survey scale of ethical leadership based on this conceptualization is developed. This study calls for empirical studies to test the new scale and use it to re-validate existing studies.

110. THE SALIENCE AND SUBSTANCE OF SPIRITUAL LEADERSHIP

Joseph P. Hester — Claremont, North Carolina, USA

The binary construct "spiritual-leadership" is a challenge to explain and a conundrum to unravel. Its inscrutability lies within our intrinsic nature and is, as we know, malleable, succumbing to cultural as well as value relativity. The spiritual lies deeply within our mental environment swaying perception, memory, judgment, reasoning, and volition. Few doubt the importance of the spiritual, but its substance is often ill-defined yielding more to religious belief and emotion than rational validation. Its entwinement with monotheistic belief appears to limit its more widespread application. Practically, the question is how the spiritual functions to expand and clarify our knowledge of values-based leadership; that is, what is its cognitive as well as its moral value.

135. PROFOUND LEADERSHIP: AN INTEGRATIVE LITERATURE REVIEW

Heidi K. Scott — Moscow, Idaho, USA
Davin Carr-Chellman, Ph.D. — Moscow, Idaho, USA
Leslie Hammes — Moscow, Idaho, USA

This integrative literature review develops the concept of profound leadership. Using Torraco's (2005, 2016) framework for integrative literature reviews as a foundation, the purpose of this study is threefold: (a) to review existing leadership theories fitting the profound learning framework (Kroth, 2016); (b) to examine the definitions, characteristics, and dependent variables of these existing leadership theories; and (c) to apply the outcomes of (a) and (b) to build the theory of profound leadership and make recommendations for future theory-building. Leadership as a general concept has been extensively explored, researched, and written about, developing a rich palette of explanatory theories. Profound leadership, on the other hand, is an emerging concept to elaborate through this integrative review of the literature of specific leadership theories resonating with profound learning.

155. CULTURES OF SERVANT LEADERSHIP AND THEIR IMPACT

Robert C. Giambatista — Scranton, Pennsylvania, USA
Robert L. McKeage — Scranton, Pennsylvania, USA
Jeremy R. Brees — Flagstaff, Arizona, USA

Servant Leadership has primarily been studied at the level of individual leaders and their impact, yet Greenleaf, who first formally proposed the idea in 1970, also considered the construct as an important institutional element. Further, because it is values-based, and culture is the organizational mechanism for developing and transmitting shared values, an organizational lens for studying servant leadership is also needed. The current study of three firms examines organizational differences in servant leadership. We found organizational differences in levels of servant leadership, suggesting a cultural explanation. We also found that individual (i.e., supervisor) and organizational (i.e., cultural) servant leadership have different effects on employee outcomes, suggesting a unique asset attributable to a culture of servant leadership. Finally, we found that employees high in core self-evaluation are more likely to identify leaders with a

EDITORIAL

IN MEMORIAM

A TRIBUTE TO ELIJAH EUGENE CUMMINGS

(January 18, 1951 - October 17, 2019)[1]

At the age of 68, after a lifetime of public service, Representative Elijah Eugene Cummings, Chairman of House Oversight Committee – the key entity involved in the Trump impeachment inquiry – succumbed to illness, signing a final subpoena at his deathbed. His death garnered words of heartfelt loss from colleagues of both political affiliations, men and women of conservative and progressive leanings, who recalled the positive impact of this person both on the floor of the House as well as behind closed doors, indicative of his vast personal relationship network. Cummings' actions and statements transcended simply transactional analysis, prompting more substantial reflection.

Pain - Passion - Purpose

Everyone, without exception, has experienced the depths of pain, at least subjectively, during the course of their lifetimes. While opportunity and environment, gender and physical limitations – the primary determinants of a person's upbringing and development – differ, in some instances, rather radically, the question that we must pose to ourselves is, "So … where do we go from here?" The desire to uplift and invigorate others is often anemically expressed by such clichés as "making lemonade from lemons" or "making a silk purse from a sow's ear." Seldom is that sustaining, let alone sufficient to motivate for the long-term.

So believed Congressional leader Elijah Cummings. During a 2017 hearing where he battled to preserve and expand medical coverage under the *Affordable Care Act* in the face of fierce conservative opposition, he bolstered his argument, deriving inspiration from the tenacity of disabled activists, by saying,

"There is something about pain that is a driving force; when bad things happen to you, do not ask the question as to why did it happen TO me? Ask why did it happen FOR me?"

[1] Primary sources include the US Congressional Record (1996-2019), funeral eulogies, and Cummings' Twitter postings.

In this way, we can all TURN PAIN INTO PASSION INTO PURPOSE. Accentuating this reckoning, was Cummings' further directive: "For every season, there is a reason." He believed that we must command our conscience to guide our conduct.

The Urgency of Now

Climate change, deteriorating foreign relations, inaction in healthcare and criminal justice, sensible gun laws, civil rights, equal pay…only a few of the national, international, and in some cases existential, issues addressed by Cummings. Cummings indefatigably invoked the need for action, continually emphasizing that the time to do so was waning. Children go to school, ever anxious about rogue shooters; unrelenting wildfires consume California all year round, threatening lives, property, wildlife, and business operations; ice sheets are melting at such a rapid pace as to place coastal residents in immediate jeopardy and threaten the mere existence of entire municipalities; and many Americans face the persistent threat of personal financial ruin with the onset of one catastrophic illness. Cummings knew that not one minute should be spared as so much work is yet to be done.

He famously recited, in open Congressional session, what is known as the *Minute Poem* by Civil Rights leader, Dr. Benjamin E. Mays:

I only have a minute,
60 seconds in it
forced upon me.
I did not choose it,
but I know that I must use it,
give account if I abuse it,
suffer if I lose it.
Only a tiny little minute,
but eternity is in it.

It was commonly known in Congressional circles that Cummings soliloquized this poem as many as 20 times a time in an attempt to self-motivate. He frequently opined that time was precious and the need to act thus interminably upon all of us. To do so effectively, Cummings summoned all to experience life in conjunction with others, preferably different from one's self; to commit to learn from one another; and to always strive to lift each other up. Cummings often described his philosophy as uniquely simplistic:

Do something! Just go out and do something!

How tempting it is to just resign our lives – especially towards the end of our years – to bask in physical comfort, shutting off any news of crises, unpleasantries, and unresolved inequities in order to fully concentrate on self and immediate family and friends. But Cummings believed that no matter how daunting a problem appeared – and irrespective of the concomitant helplessness experienced – there was surely something that could be done, He never failed to *seize the moment*.

A True Christian Soldier

Rare indeed is the individual who can be described as spiritually authentic. Philosopher and writer, Dr. Joseph P. Hester, attests that spiritual authenticity is inextricably linked to, and emanates from, connection with others; it is measured through discernible communal impact. It is this type of engagement with others that generates moral awareness, enabling each to effectuate substantial reform through such regular contact. Hester reflectively asks: "What can I do to amplify the thin sliver of one small life, even my own life, so that in the vast future in which I will not take part, where many will not know who I was, how I loved and hated and succeeded and failed, and longed and won and lost, I will have been a servant of an even larger ethical purpose?" Projecting this esprit that one person can live a life imbued with purpose and selfless action, Cummings undauntingly championed the causes of social reform and justice while providing a voice to the voiceless.

Cummings' philosophy of life is often described in tandem with a particular biblical passage. From *40 Isaiah 31*:

Those who hope in the Lord will renew their strength. They will soar on wings like eagles; they will run and not grow weary; they will walk and not be faint.

His faith-grounded tenets were often demonstrated by his compassion and love for others as well as his ostensible devotion to family. This public servant toiled to guarantee that those forgotten had access to the same opportunities to which he had been afforded. His life validated those principles which could be projected onto the larger community-country-world. He spoke of the possibility that one's destiny was not necessarily pre-ordained; rather, by embracing God's message of love for all people and by expressing that gift through deliberative actions could one attain a purposeful and meaningful life. In essence, according to Cummings, there are no assurances of either grandeur or hopeless exile in life – but rather the realization that every human being holds the power to exude goodness and mercy … if so elected.

Defining Our Place in History

Cummings' love of his city, state, and country, as well as of its democratic processes generally, were widely evident and undeniably profound. This was demonstrated shortly after the arrest and death of Freddie Gray, a Baltimore man who died in police custody in 2015. His death propelled Cummings to declare during a fiery speech at Gray's funeral:

I've often said that our children are the living messages we send to the future we will never see, but now, our children are sending us to a future they will never see,

This statement was not only used in conjunction with a call for criminal justice reform and an overhaul in local police force training methods to be better aware of the needs of the communities served. He also applied this visionary, yet haunting, message to the unrestrained anthropogenic forces determining the extent of climate change as well as to the legislative stagnancy of gun violence prevention.

Cummings often touted what he believed to be a universal call to refrain from deriving motivation through money or titles, but to rather funnel passion, ability, and resources to selflessly champion truth over power. Complacency was the death knell; questioning the mandate. And he most recently demonstrated this commitment to challenge with respect to the political turmoil in Washington, D.C., finding little patience for those who subverted the country's future and the unrestrained pursuit of truth to align with divisive matters of partisanship, stating:

I am begging the American people to pay attention to what is going on,
because if you want to have a democracy intact for your children and your children's children and generations yet unborn,
we have got to guard this moment.

This is our watch.

He believed that the cost of inaction, inattention, and grandstanding might quite possibly be the cessation of liberty and the destruction of democracy. Incorporating his *modus operandi* of making every moment in life count, Cummings reminded both colleague and constituent during the ongoing investigation into the Trump administration:

When we're dancing with the angels, the question will be asked in 2019:
What did we do to make sure we kept our democracy intact?
Did we stand on the sidelines and say nothing?

Passing It On

Cummings called others to mentor youth much as he did with freshman members of Congress, often declaring to these newly elected representatives, "I won't let you fall." He believed in lifting up the next generation of leaders, beginning with his days as an activist in his hometown of Baltimore and extending to the halls of Congress where he sought to advocate for the rights of all marginalized people across America, with dogged determination, seeking liaisons and building productive relationships along the way. As Speaker of the House and fellow Baltimore native Nancy Pelosi recounted during Cummings' funeral: "Send me as many freshmen as you can because I want to help them be oriented to reach the full, their fullest potential in the House of Representatives."

Making Waves – Even in Death

During life, Cummings' attainments were groundbreaking: a graduate of Howard University and the University of Maryland School of Law, Cummings became the first African-American Speaker Pro Tem of the Maryland House of Delegates. He was a Democrat who was eventually elected to represent Maryland's 7th Congressional District in 1996. During his House tenure, Cummings was one of the first legislators to decry any legislation that would permit employers to discriminate on the basis of sexual orientation. His work to lower the cost of prescription drugs has produced signature legislation that bears his name posthumously.

Cummings was the first African-American lawmaker to ever lie in repose in the U.S. capital on the same catapult as Abraham Lincoln. This act was the result of a bipartisan agreement, bringing together politicians from both parties. It is yet to be seen if his recent work as Chairman of the House Oversight and Reform Committee during which time he delivered severe critiques of the Trump administration, ultimately bears fruit. During one such hearing in February 2019, Cummings commented on his mother's dying words the year before. She ardently communicated the urgency to protect the democratic process over which so many had championed and died:

She had fought and seen people harmed, beaten, trying to vote. Talk about inalienable rights. Voting is crucial. And I don't give a damn how you look at it: There are efforts to stop people from voting. That's not right. This is not Russia.
This is the United States of America.

— Elizabeth F. R. Gingerich, Editor-in-Chief, *JVBL*

GUEST EDITORIAL

What Do We Really Mean by Good Leadership?

TOM KARP, OSLO, NORWAY

Introduction

The concept of leadership is certainly vague and one that many scholars try to turn into something more distinctive, that is, into an "it" concept (Alvesson, 2019). After a century of leadership research, the field is still struggling for academic recognition. No generally accepted universal theories can be tested and developed; methodologies and analytical techniques are not always sufficiently rigorous. We often assume that leadership is important and that it ought to be so. However, it is also possible to argue that leadership is not essential in our complex society and that leadership does not contribute to solving major societal problems. None of the UN's Sustainable Development Goals (2015) mentions leadership as a means for achieving a goal. The same applies to efforts to tackle societal challenges at national and local levels – the potential contribution of leadership is rarely mentioned. It may even be claimed that leadership creates problems and hinders development. This applies in particular to what we might classify as poor leadership – based on egoism, immorality, lack of judgement, dominance, and destructiveness.

Yukl (2013, p. 422) is not objective but states his case clearly: *Leadership is important. Effective leadership is essential for coping with the growing social, economic and environmental problems confronting the world.* The annual report of the World Economic Forum (2016) predicts that the ability to lead people will become ever more significant in the workplaces of the future. It justifies this prediction by citing the increasingly complex challenges faced by society at local and wider levels. We may, therefore, also argue that leadership is important for solving problems and taking forward groups, organisations, and society. If there is one factor that can really contribute to solving major problems, it is good leadership – not just leadership, but *good* leadership. It is not leadership in isolation but a tool for cooperation, innovation, and change. The greater the challenges, the greater the need for leadership (Karp, 2010). This is not leadership in the sense of grandiose actions but all the small steps that take place every day to promote progress and development. Accordingly, I hence argue that good leadership can make a difference; good leadership is most likely imperative. Nonetheless, what do we really mean by "good"?

The "Goodness" Criterion

The goodness criterion in leadership is part of the legacy of classical philosophy which is normative in its description of leadership. Most of the classical philosophers in both the West and the East lacked an instrumental understanding of leadership. For them, leadership was not about methods, techniques, and tools but was part of a greater whole and about being a good person in a good society. Generally, we can say that philosophers have been and are concerned with two forms of goodness. First, leaders should possess good characteristics. Philosophers assume that if a leader has good characteristics, this will result in good actions. In other words, they assume a causal link between good characteristics and good actions. The characteristics that they view as important vary to some extent, but generally, these are associated with maturity and compassion (Forsth, 2002). In the words of Seneca (1982, p. 73), *When we act on the basis of the best of all human characteristics, that is humanity*. Plato (2007) emphasised that leaders should not allow their own self-interest to take priority over the demands of the art of leadership. When a leader exercises leadership in accordance with the demands of the art of leadership, then he or she is a genuine leader. The Eastern philosophers express similar ideas: according to Sun Tzu, *Leadership is a matter of intelligence, trustworthiness, humaneness, courage, and sternness* (Cleary, 1989 p. 45).

Consequently, those who lead must possess good qualities and skills that enable them to excel in their jobs. This is clearly expressed in the virtues of antiquity, which were further developed in the Middle Ages, when philosophical and theological ideas merged. Similar virtues may also be found in the Eastern cultures, most clearly expressed in the Samurai tradition, characterised by such professed virtues as wisdom, justice, courage, and moderation. In the Christian doctrine, the theological virtues of faith, hope, and love are often added to the aforementioned virtues. The virtues should help individuals understand and realise their own potential and promote the development of their character, enabling them to contribute to the good of the community. Thus, according to classical philosophy, good leaders should be able to develop themselves and others and show that they are trustworthy (Brunstad, 2009). However, Machiavelli (1992) stated that a leader does not necessarily have to possess such qualities, but should be able to *give such an impression*.

When a good leader possesses the right mix of virtues, then followership will be a voluntary process wherein the leader will not have to resort to the use of power and coercion. Plato (2007) distinguishes between the tyrannical leader who rules through fear and the type of leader who people follow voluntarily; he claims that only the latter form constitutes true leadership. The writings of Chinese Zen masters Miaoxi and Zhu-an express similar thoughts: *When you are honorable, the community obeys even if you are not stern .... This is more than ten thousand times better than those who hold on by authoritarian power and those who cannot help following them, oppressed by compulsion* (Cleary, 1990, verse 27). In contrast, advocating pragmatism, as well as instrumentalism, Machiavelli (1992) claimed that leadership also needs to be based on fear. However, it should be noted here that Machiavelli's primary target audiences were those who sought power – not those who had it.

The second form of goodness with which the classical philosophers were concerned was goodness in relation to purpose; leadership should create a good society and happiness for individual citizens. Plato (2007) believed that the path to follow is one that aims to achieve the good life for people. Leadership should help people reach such a goal which society ought to facilitate. Aristotle (2012) expressed the view that all actions should aim to produce good outcomes. Knowing the right goal is important for people's quality of life. Thus, he stated that people should strive for *eudaimonia*, meaning that all of us, both as individuals and in organisations, should attempt to develop our unique talents and exploit our resources as best we can to create a good life (Handy, 2006). Consequently, leadership should focus upon attaining certain objectives other than simply generating material wealth (Aristotle, 2012). Classical philosophy therefore supports the idea that leadership should expand beyond the material to include social and spiritual goals. Ciulla (2011) thus argues that many of the classical philosophers believed that a leader was only a leader when other people said so. Therefore, the term *leader* has a built-in normative aspect; leaders only *lead* if they meet certain criteria and / or ethical standards of their followers. This legacy remains valid to the present day when people assess whether or not leaders are good.

Thus, good leadership may be understood as the leader's ability to make others follow voluntarily. This is in agreement with the summative opening sentence of Rousseau's (2006) major work, *The Social Contract*: "Man is born free, and everywhere he is in chains" (p. 909). Such voluntariness requires the leader to possess good qualities and characteristics that enable followers to free themselves from their "chains" and act with autonomy. Subsequently, a supplementary answer to what constitutes good leadership is that goals should be shared, that is, the goals of the leader and his or her followers should be identical, expressed as good goals, materially, socially, and spiritually.

One Expression of Leadership Goodness: The "Feel-Good" Phenomenon

We might ask, "Does the legacy of the classical philosophers have any relevance for society and workplaces today?" In much of the current literature, authors write about leadership as something good (e.g. Alvesson et al., 2017). Leadership is used, often unconsciously, as a hallelujah word. Leaders do good things, we might assume. They generate value in businesses, operate schools in the students' best interests, and manage hospitals so that patients receive the care they need. They help people and organisations to develop. In the leadership literature, we would not read much about dictators and terrorists, such as Hitler, Mussolini, Stalin, Osama bin Laden, and the Islamic State's Abu Bakr al-Baghdadi. These men were also leaders who attracted many followers and generated extraordinary results (albeit not for the good). On the other hand, the literature provides an abundance of success stories about business leaders, technology entrepreneurs, and leading politicians. However, we do not learn much about the deeds of tyrants as the vast majority of the leadership literature portrays leaders as good people with good intentions (Bass & Steidlmeier, 1999). In response to the above-mentioned question, the legacy of the classical philosophers has been well preserved, and Ciulla (2011) is certainly correct in saying that leadership embodies normative expectations.

It would be fine if such an understanding of leadership reflected reality, but it does not. This is problematic. First, other perspectives of leadership fade into the background, crowded out by the volume of “feel-good” stories and nicely-packaged leadership concepts. Second, the understanding that leadership is always good is self-reinforcing, and many proponents look for facts that confirm preconceived assumptions. Third, the search for good leadership creates unrealistic expectations of what leaders can achieve. Fourth, many leaders are not effective in exercising leadership so that we cannot say that leadership is always good. It is not because leaders do not want to lead effectively, but there are too many barriers preventing them from attaining their goals.

Since leaders have the power and the opportunity to make a difference in people’s lives, we certainly want them to be good persons. This desire leads some people to attribute good qualities to leaders. Leaders are given the right to govern others; therefore, many people cling to the hope that leaders are good individuals who want to achieve the best for society. In other words, people need that illusion. The vast majority of leaders are most likely good people who do the best they can; however, the wish to identify goodness in leaders and leadership sometimes clouds reality. This becomes evident if we look at the content of many leadership courses or review the bulk of the leadership literature, which often writes in glowing terms about the accomplishments of “great” men and women. Leaders who have achieved something outstanding are ascribed with good qualities. Of course, they must have accomplished something; they must have created results. Consider Julius Caesar, the Roman statesman who played a crucial role in the transformation of the Roman Empire from a republic to a monarchy. According to Napoleon (2018), anyone who wishes to become a great leader should study Julius Caesar. Caesar is often credited with possessing exceptional leadership skills (Bjartveit, 2019). However, Caesar’s biography was mainly self-authored. It may very well be the case that he was a good person, a leader with great talents, that is, one-in-a-million, but there is also reason to be sceptical. Undoubtedly, he achieved results. However, the flipside is just as certain: his accomplishments came at a cost. If we had as much access to the accounts of the soldiers in Caesar’s army or of the ordinary people who lived in Rome during his rule, the picture would undoubtedly be more nuanced. Indeed, leadership should promote the good of society and people. Moreover, leaders should follow Aristotle’s (2012) advice that it is not enough to engage in the right actions; they must come from the right inner state. Few people would disagree that love is an important motivator as are the search for knowledge, insight, understanding, and justice – ideals that classical philosophy sets as high standards. If leaders led in the way prescribed by the philosophers, most societies, organisations, and individuals would ostensibly be more capable of achieving good goals.

However, Leaders Do Not Always Do What They Ought to Do

Leaders do not always act how they should. Power can lead to dominance, abuse, and destructive actions. The bulwark that philosophy has constructed to counter abuses of power is ethics. In classical philosophy, the capacity for ethical reflection is thus an important quality for a leader. Plato recommended that leaders should be practical philosophers and use philosophy as an aid to their own and others' self-development. In this regard, the tool is ethics, the practice of systematic reflection on what is right and wrong in interactions among people. Ethics should help leaders make good decisions; ethics employs moral philosophy in a quest to find the answer to what is good. Accordingly, ethical reflection was the classical philosophers' response to how someone could know whether or not something was good, including whether or not certain leadership practices were good.

Some of the ideas in positive psychology can be traced back to classical philosophy. Among other things, positive psychology re-examines moral philosophy and is concerned with what is good in people. The discipline focuses on an examination of virtues, which may be viewed as a reaction to the increasing immorality, greed, short-sightedness, and selfishness in society; consequently, there is an increased interest in identifying timeless, universal qualities. This interest may also be explained by the growing uncertainty and rate of change in today's society. This has led to enhanced awareness that it is the *individual* who has the capability to make a difference, not necessarily systems and structures. This, in turn, has resulted in a stronger focus on highlighting and examining the good in people. In this context, a leader's good qualities and skills are important in the sense that he or she sets an example that other people can follow (Krokan & Strand, 2010; Peterson & Seligman, 2004). The god Krishna says something similar to Prince Arjuna, when he gives advice concerning the problems that the prince will face before a major battle, as recorded in the 5000-year-old Hindu sacred text *Bhagavad Gita*: "People follow the noble ones. People follow the standards created by them" (Yogi, 1969: verse 3:21).

The large volume of leadership research is thus relatively clear, though with variations, on what creates good leadership. Although it is possible to gain insights into what constitutes good leadership, many studies indicate that good leadership is not always practised in the workplace (Ennova, 2015 Gallup, 2013; Hogan, 2006; Hogan & Kaiser, 2005; Telfer, 2013; TUC, 2012). Work environment surveys show the same trend. The picture is complex, and the trends are not clear, but many employees feel that their leader should not be a leader and that leaders do not spend much time on what can be termed leadership-related tasks (Ennova, 2015).

There are also many indications that poor leadership, even bullying, is the largest source of employee dissatisfaction, leading to increased sick leaves and staff resignations (Ennova, 2015). These types of surveys obviously have many sources of error and they do not necessarily provide a complete picture of the conditions in the workplace. Another part of the explanation is that we live in times when many employees have high – too high – expectations of their leaders, their workplaces, and themselves. However, there is still cause for concern. Although research provides us with knowledge about how to lead, it seems that many leaders do not perform well. Many employees feel undervalued and faceless and think that leaders are unable to make decisions or give clear directions; moreover, they focus too much on details, fail to deal with conflicts and difficult situations, communicate poorly, and do not address breaches in the regulations. Some leaders also abuse power, dominate their subordinates, and resort to mastering suppression techniques.

Thus, why do leaders not always lead that well? Undeniably, good leadership is difficult. Leaders simply do not always exercise good leadership because of many barriers to it such as environmental, organisational, and personal obstacles. Most leaders operate under demanding conditions. They have to function in indistinct roles and survive hectic workdays with cross-pressures, resource scarcity, conflicts, stress, and friction. Leaders at the lower, middle, and top levels, in both private and public sectors, often face high performance pressures, hectic and long work days, fast-paced tasks, uncertainty, pressure, restructuring requirements, and emotionally-charged situations that they have to deal with, as well as difficulties that need to be ameliorated. They also need to manage scarce resources and tight budgets. They have to attend to many stakeholders and may experience conflicts between goals and values. They need to balance stability with change, short-term goals with long-term visions, and daily operations with strategic new initiatives. Therefore, few leaders are equipped with the knowledge, skills, and abilities needed to cope with such a wide range of tasks and challenges.

Nonetheless, it is a reasonable assumption that most leaders are suited to the positions they hold. However, in some cases, the leaders themselves pose barriers to good leadership. It should not be this way, but it is often the situation. Sometimes, leaders do not perform their jobs well because they fail to do what they should. This is not necessarily due to inflexibility or ignorance, but to shortcomings and weaknesses that are characteristic of many leaders. It may be the case that the leaders lack enough time, energy, or capacity to lead. This is not unusual, and this explanation is frequently given when leaders are asked why they are not leading well. It may be because they do not understand what needs to be done, do not comprehend the situation they are in, do not see the big picture, and lack awareness of the employees' situations and needs. It may also be due to the lack of self-insight and experience as well as to insufficient cognitive and emotional abilities. Leaders may not possess the courage to perform what needs to be done or lack the resolve to tackle demanding problems, grapple with difficult situations, and deal with conflicts, disagreements, and opposition. This may be explained by many leaders' reluctance to deal with emotionally-charged issues as well as their lack of the proper training, confidence, and strength required to handle such situations. It may also be explained by the fact that power corrupts and that leaders often abuse power. Yet another reason may be that leaders focus too much on their own interests, award themselves with benefits, and operate with too great a gulf between theory and practice. These are often due to selfishness and lack of awareness of ethical boundaries, as well as own values.

"Good Enough" Leadership

Many of the issues I have discussed in the preceding sections is the result of human fallibility – both individually and collectively in organisations. Humans can achieve the most incredible results, but they are also fallible. In his novel, *The Log from the Sea of Cortez*, the Nobel prize-winning American author John Steinbeck (1951, p. 80) wrote, [*T*]*here is a strange duality in the human which makes for an ethical paradox.* Steinbeck stated that we humans share universal good and bad qualities: good qualities, such as wisdom, tolerance, altruism, generosity, and humility, and bad qualities, such as malice, greed, and egoism. In some circumstances, the author claimed, it can seem that the people with bad qualities are those who do well, while those with good qualities fail to succeed as they should. According to Steinbeck (1951, p. 263): *Perhaps no other animal is so torn between alternatives. Man might be described fairly adequately, if simply, as a two-legged paradox.*

The Latin phrase *errare humanum est* translates to "to err is human." The human brain's capacity to solve problems is amazing, but it is also prone to error and its self-insight is limited, especially concerning its own sources of error. The brain is easily deceived. It takes shortcuts which affect memory, decisions, and behaviour. Such processing errors have been researched in several disciplines such as cognitive psychology and behavioural economics, and have given rise to theories of limited rationality, cognitive dissonance, attribution, and heuristics (Baron, 2000; Gilovich, 1993; Hardman, 2009; Kahneman, 2011; Kahneman et al., 1982; Plous, 1993; Schacter, 1999; Sutherland, 2007). Generally, the errors are due to information overload, the need to act quickly, and limitations in memory and processing capacity as well as the influence of emotions and social pressures. When people make decisions, they rely too much on incomplete information. They reinforce collective attitudes to avoid being at odds with the group to which they belong and they make risky choices to evade anything that they think is negative. To cite two more examples, people also tend to allow themselves to be influenced by authority figures and support those whom they regard as belonging to their group.

Therefore, people are not just rational, utility-maximising individuals; they are affected by needs, internal tensions, defence mechanisms, and emotions such as anxiety, insecurity, fear, anger, and pain. These factors that affect people's thinking do not receive much attention in the leadership literature (Kets de Vries & Balazs, 2013). Good intentions are fine but are of little help when subconscious processes pull leaders in different directions. This relates to Freud's (1923) thesis about the struggle between the conscious and the subconscious. Disciplines such as psychodynamics, psychoanalysis, psychotherapy, developmental psychology, and neuropsychology are all about how the subconscious can influence behaviour (Bowlby, 1969; Emde, 1981; Mahler et al., 1975; McDougall, 1985; Winnicott, 1975). Much of the regulation of people's behaviour occurs in the subconscious mind. It can give rise to reactions and learned patterns that can lead to flight-or-fight reactions, withdrawal, disengagement, and the avoidance of difficult social situations.

People are fallible, and fallible people work for error-prone organisations. Fallibility at the individual level is aggregated up to the system level but is also kept in check by institutional norms, values, and collective practices. An organisation includes structure, rules, follow-up procedures, and sanctions – in sum, an established order or a social system designed to achieve goals (Ahrne & Brunsson, 2011; Etzioni, 1964). Organisations are thus ordered according to design, form, structure, and the processes that lead to human interaction (Tsoukas & Chia, 2002). It is usually assumed that collaboration in organisations is primarily rational and knowledge based. However, Alvesson and Spicer (2012) point out the limitations of rationality in organisations which they claim is often due to the exercise of power and internal political games. Morgan (1986) thus lays out eight metaphors for organisations – relating, among others, to the fallibility of organisations – including the metaphor "psychological prisons," which describes the unconscious processes in organisations. Morgan's point of departure is that organisations must be understood as complex, richly faceted, and paradoxical (Jørgensen et al., 2004). He argues that organisations are socially-constructed realities that acquire power over their members to such an extent that these people are influenced, governed, and hampered in their choices and activities (Morgan, 1986).

Thus, barriers to an effective interaction exist in organisations. Interaction in organisations is therefore not only a product of rational actions; it is also a consequence of errors, resistance, ambivalence, cynicism, lack of trust, and internal political games (Bryman & Lilley, 2009; Dawson, 2003; Naus et al., 2007). Additionally, organisations are influenced by their environment in the same way that they affect it. This symbiotic relationship is characterised by resource transactions, exchange relations, influence, legitimacy, and uncertainty (Karp, 2014). Therefore, forces in the environment affect interactions in organisations which may be forces that are stronger than the actions of individuals (Mukunda, 2012; Pfeffer & Salancik, 1978). Such forces tend to trump even the most determined and will-powered individual (Karp, 2015). People create the structure in which they work, but concomitantly are influenced by the same structure (Giddens, 2001). Thus, the idyllic image of rational and structured organisations that is so often portrayed in the bulk of the leadership literature is at odds with the reality described above.

Good leadership is thus an ideal that is difficult to achieve. Leadership is a romanticised concept, and there is every reason to narrow the gap between what is perceived as ideal and the reality that most leaders face (Meindl et al., 1985). Random factors, luck, arbitrary movements in the market, and internal relationships in organisations are also part of the equation that determines whether or not leaders succeed. There is every reason to be sceptical when hearing rumours about the success or failure of leaders or when reading unconfirmed accounts of great leadership without substance, wrapped up in jargon, clichés, and empty words. The ideal is perhaps "good enough" leadership (Karp, 2019)? Good enough in this context means lowering expectations regarding what leaders can accomplish and how quickly they can achieve something – the extent to which they can develop and change organisations as well as other people and themselves.

Can leaders accept good enough as satisfactory? Can and should they accept their own fallibility but at the same time be good enough in others' eyes and their own? Seneca (1881) provides the recipe when he says that people must reconcile themselves with being imperfect, thrive on their mistakes, and be satisfied with being good enough. Leaders are also fallible. They may also feel insecure and uncertain and have their doubts, negative thoughts and good or bad days at work. The ancient Roman emperors had a solution. When an emperor returned to Rome after a successful military campaign, he would ride on a chariot through the streets lined with applauding crowds. Behind him, on the chariot, a slave was employed to constantly whisper in his ear, *Memento mori* ("Remember that you will die"). Some leaders are tempted to set the targets so high that they fail to achieve their goal. They include the organisation that they lead in the race to reach unattainable goals and collapse before they reach the finish line. Most likely, many people would have had a much better life if, while developing their abilities, they were able to reconcile themselves to the fact that they had limitations. This also applies to leaders. Most employees want to be led by a person, not a superhuman. Of course, there are risks associated with a good enough strategy. However, a greater risk is associated with leaders who distance themselves too much from the reality and the challenges faced by the employees and the organisations that they lead.

In Search of Good Leadership

Classical philosophers believed that people would voluntarily follow a good leader towards good goals. However, in modern leadership research, theorists have increasingly abandoned the concept of goodness. Instead, they believe that leadership should be effective, not "just" good. Certainly, the goodness principle is present in many accounts of what constitutes ideal types of leadership. It is common to assert that a leader's values, ethics, and morals are important and that a relationship exists between these and the organisation's ethical behaviour. Many organisations also have values or ethical guidelines for leaders and employees and meet the demands of increased corporate social responsibility. International organisations and institutions are also very concerned about what constitutes a good society, as evidenced by the UN Declaration of Human Rights and the Earth Charter. However, within the field of leadership, "goodness" has become an isolated topic.

As a whole, the leadership field has increasingly focused more on effectiveness. Goodness is implicit, and we often assume that leadership is good, but its purpose has changed. The reason why leadership has to be effective can be explained by the growth of capitalism, which has led to the expectation that leaders should use resources efficiently so that goals can be achieved. Consequently, a greater degree of instrumentality has crept into the field of leadership research. Leadership should have a clear purpose – it is not enough to develop good people and good societies; concrete, measurable results have to be delivered. Of course, people and organisations should still be developed, but mainly as means to reach certain goals. Leadership has become a tool. The development of leadership research over the last 100 years supports this perspective. Research objectives have increasingly focused on creating models of effective leadership. The models often emphasise the type of optimal leadership behaviour that will ensure effective leadership; these models and associated theories are then disseminated as universal answers regarding what leaders should do. Thus, the field has become dominated by approaches and methods whose goal is to simplify complex realities by finding explanatory mechanisms regarding interpersonal interaction in organisations.

What then is really good leadership? If we believe the majority of the classical philosophers, the answer is that good leadership requires voluntary followership towards good goals. Modern leadership research focuses more on the aspect of effectiveness, emphasising how leaders can exert influence, while dealing with the concept of goodness as a sub-point. The large volume of research highlights the attributes, abilities, and qualities that an effective leader possesses or should develop. Additionally, attention is paid to the leader's abilities to be a role model, create meaning, and support, help and make employees feel valued, while providing them with intellectual stimulation and exciting work assignments. Other research emphasises what leaders do, how effective they are in their leadership work, and how they cope with contextual and organisational framework conditions determine whether or not they exercise good leadership over time. Another proposition is that specific attributes, abilities, and qualities of a leader do not determine whether leadership succeeds or fails, but the context, people, and relationships are the decisive factors. A more challenging view is that the claim implied in the question is that there is no such thing as good leadership. Good leadership is not a real phenomenon, but a construct that has been invented to ascribe importance to leaders and leadership so as to cultivate elitism, which is then reinforced by the accumulation of research about the construct. A final argument is that leaders in any case are rarely able to practise good leadership because of all the barriers and restrictions, such as environmental, organisational, and personal obstacles. People are fallible; so are leaders. Many people and leaders themselves have too high expectations of what leadership can achieve. Perhaps the answer to the question of what constitutes good leadership is that leadership should be good enough, without leaders lowering the requirements of how they treat other people or without taking ethical shortcuts.

References

Ahrne, G. and Brunsson, N. (2011). Organization outside organizations: The significance of partial organization. *Organization*, 18 (1), 83–104.

Alvesson, M. (2019). Waiting for Godot: Eight major problems in the odd field of leadership studies. *Leadership,* 15 (1), 27–43.

Alvesson, M. and Spicer, A. (2012). A stupidity-based theory of organizations. *Journal of Management Studies*, 49 (7), 1194–1220.

Alvesson, M., Blom, M. and Sveningsson, S. (2017). *Reflexive leadership. Organising in an imperfect world*. London: Sage.

Aristotle (2012). *Nicomachean ethics.* Translated by Robert C. Bartlett and Susan D. Collins. Chigaco: University of Chicago Press.

Baron, J. (2000). *Thinking and deciding*. 3rd ed. New York: Cambridge University Press.

Bass, B. and Steidlmeier, P. (1999). Ethics, character, and authentic transformational behavior. *The Leadership Quarterly*, 10 (2), 181–217.

Bjartveit, S. (2019). Hva ledere kan lære av Cæsar. *Dagens Næringsliv*, 8 March 2019.

Downloaded from: https://www.dn.no/innlegg/julius-casar/ledelse/roma/hva-ledere-kan-lare-av-casar/2-1-560283. Accessed: 24 April 2019.

Bowlby, J. (1969). *Attachment and loss*. New York: Basic Books.

Brunstad, P. O. (2009). *Klokt lederskap mellom dyder og dødssynder*. Oslo: Gyldendal Akademisk.

Bryman, A. and Lilley, S. (2009). Leadership researchers on leadership in higher education. *Leadership*, 5 (3), 331–346.

Ciulla, J. B. (2011). Handmaiden and queen: What philosophers find in the question: “what is a leader?” In M. Harvey and R. E. Riggio (eds.), *Leadership studies. The dialogue of disciplines*. 54-65. Cheltenham: Edward Elgar Publishing.

Cleary, T. (1989). *Zen lessons – The art of leadership*. Boston: Shambhala Publications.

Cleary, T. (1990). *The book of leadership & strategy*. Boston: Shambhala Publications.

Dawson, P. (2003). *Reshaping change: A processual perspective*. London: Routledge.

Emde, R. N. (1981). Changing models of infancy and the nature of early development: Remodelling the foundation. *Journal of American Psychoanalytical Association*, 29, 179–219.

Ennova. (2015). *Global employee and leadership index 2015. Norway 2015*. 16th ed. Oslo: Ennova.

Etzioni, A. (1964). *Modern organizations*. Englewood Cliffs, NJ: Prentice-Hall.

Forsth, L.-R. (2002). *Hva er lederskap? Og hva er godt lederskap*? Thesis in philosophy. Oslo: University of Oslo.

Freud, S. (1923). *The ego and the id*. SE, 19, 1–66.

Gallup. (2013). *The state of the American workplace: Employee engagement insights for U.S. business leaders*. Downloaded from: www.gallup.com/services/176708/state-american-workplace.aspx. Accessed: 24 March 2015.

Giddens, A. (2001). *Sociology*. 4th ed. Cambridge: Polity Press.

Gilovich, T. (1993). *How we know what isn’t so: The fallibility of human reason in everyday life*. New York: The Free Press.

Handy, C. (2006). Philosopher leaders. In F. Hellelbein and M. Goldsmith (eds.), *The leader of the future. Visions, strategies, and practices for the new era.131-139*. San Francisco: Jossey-Bass.

Hardman, D. (2009). *Judgment and decision making: Psychological perspectives*. Hoboken, New Jersey: Wiley-Blackwell.

Hogan R. (2006). *Personality and the fate of organizations*. Hillsdale, NJ: Erlbaum.

Hogan, R. and Kaiser, R. (2005). What we know about leadership. *Review of General*

Psychology, 9 (2), 169–180.

Jørgensen, S.-H., Hoff-Leirvik, E., and Paulsen, T. (2004). Mulighetens reservoar: Om energiflyt i organisasjoner. *KUNNE Nedtegnelse N* 01/04. Trondheim: SINTEF Teknologi og samfunn.

Kahneman, D. (2011). *Thinking, fast and slow*. New York: Farrar, Straus and Giroux.

Kahneman, D., Slovic, P. and Tversky, A. (1982). *Judgment under uncertainty: Heuristics and biases*. Cambridge, Storbritannia: Cambridge University Press.

Karp, T. (2010). *Ledelse i sannhetens øyeblikk. Om å ta lederskap*. Oslo: Cappelen Damm Akademisk.

Karp, T. (2014). *Endring i organisasjoner. Ideologi, teori og praksis*. Oslo: Cappelen Damm Akademisk.

Karp. T. (2015). Is Willpower Important for Acts of Leadership? *Leadership.* 11(1), 20-35.

Karp, T. (2019). *God nok ledelse. Hva ledere gjør i praksis.* Oslo: Cappelen Damm Akademisk.

Kets de Vries, M. and Balazs, K. (2013). The shadow side of leadership. In A. Bryman, D. Collinson, K. Grint, B. Jackson and M. Uhl-Bien (eds.). *The SAGE handbook of leadership*, 380–392. London: Sage.

Krokan, M. and Strand, M. (2010). *Styrke i sannhetens øyeblikk. Sammenheng mellom lederes personlige egenskaper og hvordan de håndterer et definerende øyeblikk*. Bachelor thesis. Oslo: Oslo School of Management.

Machiavelli, N. (1992). *The Prince*. New York: Dover Publications.

Mahler, M. S., Pine, F., and Bergman, A. (1975). *The psychological birth of the human infant*. New York: Basic Books.

McDougall, J. (1985). *Theaters of the mind*. New York: Basic Books.

Meindl, J. R., Ehrlich, S. B., and Dukerich, J. M. (1985). The romance of leadership. *Administrative Science Quarterly*, 30 (1), 78–102.

Morgan, G. (1986). *Images of organization*. Thousand Oaks, CA: Sage.

Mukunda, G. (2012). Leaders don't matter (most of the time). *Harvard Business Review*, July–August 2012, 15–16.

Napoleon (2018). *Chronicles of Caesar's Wars*. Transalated by Arshan Barzani, preface by Louis Joseph Marchand. Independently published.

Naus, F., van Iterson, A. and Roe, R. (2007). Organizational cynicism: Extending the exit, voice, loyalty, and neglect model. *Human Relations*, 60 (5), 683–718.

Peterson, C. and Seligman, M. E. P. (2004). *Character strengths and virtues. A* *handbook and classification*. Oxford: Oxford University Press.

Pfeffer, J. and Salancik, G. (1978). *The external control of organizations: A resource dependence* perspective. New York: Harper and Row.

Plato. (2007). *The Republic*. Translated by Translated by Deesmond Lee with an Introduction by Melissa Lane. London: Penguin Books Ltd.

Plous, S. (1993). *The psychology of judgment and decision making*. New York: McGraw-Hill.

Rousseau, J. J. (2006). *The Social Contract*. London: Penguin Books Ltd.

Schacter, D. L. (1999). The seven sins of memory: Insights from psychology and cognitive neuroscience. *American Psychologist*, 54 (3), 182–203.

Seneca (1881). *Seneca's morals of happy life, benefits, anger and clemency*. Translated by Roger L'Estrange. Chicago: Belford Clarke & Co.

Seneca, L. A. (1982). *Skrifter*. Oslo: Dreyers Forlag.

Steinbeck, J. (1951). *The Log from the Sea of Cortez*. London: Penguin Books.

Sutherland, S. (2007). *Irrationality*. London: Pinter and Martin.

Telfer, J. (2013). Bosses behaving badly. *Training Journal*, March 2013, 44–48.

Tsoukas, H. and Chia, R. (2002). On organizational becoming: Rethinking organizational change. *Organisation Science*, 13 (5), 567–582.

TUC. (2012). *What do workers want*? YouGov poll for the TUC, August 2008.

Winnicott, D. W. (1975). *Through paediatrics to psychoanalysis*. New York: Basic Books.

World Economic Forum. (2016). *The future of jobs. Employment, skills and workforce strategy for the Fourth Industrial Revolution.* Global Challenge Insight Report. Geneva: World Economic Forum. Downloaded from: http://www3.weforum.org/docs/WEF_Future_of_Jobs.pdf. Accessed: 9 November 2019.

Yogi, M. M. (1969). *On the Bhagavad-Gita: A new translation and commentary*. Baltimore, MD: Penguin.

Yukl, G. (2013). *Leadership in organizations*. 8th ed. Upper Saddle River, NJ: Pearson.

About the Author

Tom Karp is a professor in leadership and management at Kristiania University College, Oslo, Norway, and adjunct professor at Nord University Business School and Inland Norway University of Applied Sciences. He has a PhD in change management, a master's degree in leadership, a master's degree in engineering, and a diploma in economics. Prior to his academic career, Dr. Karp held top-level positions within the industry, led consultancy companies, and co-initiated entrepreneurial start-ups. His research interests include leadership, managerial work in practice, change processes, leadership development, and personal mastery. He has published five books, chapters in many others, as well as a large volume of scientific publications in international journals. He may be contacted at: tom.karp@kristiania.no.

Guest Editorial

Five Values That Guide Wise Leaders

by Ritch K. Eich

If you had told me three decades ago that my career path would include being asked to join the board of directors of my alma mater's half-million, living-member alumni association; that I would become the chair of our regional for-profit hospital's board of trustees; or that I would publish four books on leadership, I would have likely laughed out loud. But then again, I've always believed what my parents said about God working in "mysterious ways."

In retrospect, I think my curiosity with leadership can be traced back to being selected for the Marysville (CA) Little League "All-Star" team to play first base. The team's manager, Ralph Leslie Palm, was someone I greatly admired. He was a highly decorated WWII veteran with a calm, steady, and nurturing exterior backed up by an intensively competitive interior drive. It was a leadership approach that brought out the best every player had to offer.

Such leadership wisdom is not always appreciated in the moment and it is only in retrospect that the lessons of my childhood, post-season baseball coach are clear to me. As a healthcare and higher education executive since my early 30s, I have reported principally to either the CEO or president. Part of my responsibilities in these jobs was to have my boss' back, i.e. to ensure that he or she didn't make inadvertent mistakes that might damage the reputation of the organization.

As my leadership responsibilities grew, I made sure to develop an informal cadre of trusted advisers from widely divergent careers whose candor, good judgment and street-savvy I could count on when needed. Such a "community" advisory approach is what former Eli Lilly and Company senior executive and current Oakland University President Ora Hirsch Pescovitz, M.D., calls "a mentor's quilt." It's an approach that the University of Michigan and some U.S. presidents have chosen to embrace when they reach out to retired executive officers or cabinet officers for limited duration special assignments.

What follows are five essential values I believe most effective leaders possess. These values are based on the lessons I've learned from my own career and from several extraordinary leaders I've worked with over the years.

1. Practice the Golden Rule

Building a successful organizational culture requires enlightened recruiting practices that focus on hiring the right people, training them to be effective, and then continually investing in their careers. Without a workforce of engaged and committed people buoyed by such employee-focused practices, your leadership dreams won't come true. As Virgin Airlines founder Sir Richard Branson has said, "Clients do not come first. Employees come first. If you take care of your employees, they will take care of the clients."

Key take-away: *A wise leader is an honest leader who consistently shows respect for others, acts with humility, actively listens, shows compassion for all employees, and knows how and when to praise the work of others. Such a leader understands that diversity is an asset and accepts his or her natural responsibility as "a teacher" – as the renowned management consultant Peter Drucker pointed out numerous times during his decades of practice. In Noel M. Tichy's book, "The Leadership Engine" (2007), Tichy describes a workshop in which he and Drucker participated where Drucker challenged a group of pharmaceutical executives to take up the teaching gauntlet telling them, "Force yourself to be a teacher, to get up in front of maybe your subordinates, maybe another group, and project to them, This is what I'm trying to do. This is what I've learned. This is what I am going to reach for."*

A former White House press secretary to President Bill Clinton, Mike McCurry says that wisdom is acquired over time and that the process begins with authentic, diverse relationships, respectful conversation, and dialogue.

McCurry, who is currently of counsel with Public Strategies Washington, Inc. and Director/Professor of Wesley Theological Seminary's Center for Public Theology, notes that the Golden Rule (treat others as we expect to be treated) is a good baseline belief for building the foundations of wisdom. He says that faith can reveal what is "good and true" before we apply reason and logic "to make sense of it all."
One of the wisest people McCurry says he's ever known is Bruce Babbitt, who was Secretary of the Interior (1993-2001) under President Clinton. He said Babbitt is a "deeply moral and principled person," who worked throughout his life to demonstrate "what wise political leadership should be."
Addressing the acquisition of wisdom, McCurry states:

"We associate wisdom with the ability to discern inner qualities and relationships that increase knowledge, common sense, insight and good judgment. Surely that is enhanced by exposing oneself to different views, diverse people, and interesting moments that reveal something about human nature. Wisdom would not come from, for instance, sitting in front of cable television all day long. It is the unpredictable and unanticipated that triggers those moments of insight which produce true wisdom."
And with respect to restoring a sense of dignity and positive collective purpose in an era of divisiveness, intolerance, and moral surrender?

"I believe listening carefully to those who might hold different views is the key. One technique: if you are in a conversation with someone who holds different views, honestly restate that person's position before you disagree. If you say "what I believe you are saying is XYZ" and if you do that in a genuine, authentic way, your opponent will know they have been heard and respected. That is the foundation of genuine dialogue."

Whether faith, organized religion plays a role in the acquisition of wisdom, McCurry opines:

Faith calls us to respect a golden rule: we treat others as we would expect to be treated. We need more "golden rule" politics and dialogue. A good Methodist would cite our founder, John Wesley, and his "quadrilateral." Wisdom and faith derive from scripture, reason, experience, and tradition. Scripture first and digging deeply into what we learn in the Bible. Our own experiences which reveal what is good and true. The traditions and teachings of the church. And the use of enlightened reason to make sense of it all."

As to whether wisdom can be taught, he states:

"Techniques to acquire wisdom can be taught but some of this is innate and a gift from God."
Expounding on his selection of an exemplar of wisdom, McCurry explains:

"My hero as stated before is Bruce Babbitt, whom I worked for when he ran for president in 1988. Bruce was not a natural politician – his results in the presidential primaries demonstrated that – but he is a deeply moral and principled person. Educated at Notre Dame and Harvard Law School, a civil rights attorney in the south post-Selma, and a visionary governor who developed Arizona's unique health care system and a smart approach to protecting the state's most scarce and important resource – water – Babbitt demonstrates the best in what wise political leadership should be. Bill Clinton would have put him on the U.S. Supreme Court had not objections come from western senators. I only lament that there are not more like him."

2. Change is Inevitable; Be Prepared

The often-quoted Boy Scout Motto "Be Prepared!" served me well when I was a boy scout and it continues to serve me well today; this is a particularly important leadership standard given today's corporate and political environment and the rapid, breathtaking rate of change. As one who has helped guide three major organizational change initiatives, I can attest to the importance of keeping this age-old trope in mind. Here are three suggestions to consider:

First, thoroughly scan your organization's landscape and identify all the ways the change initiative could be scuttled. As one of my former bosses advised me: first, find the unexploded, hidden landmines, then identify the potential "rogue actors" and develop a written plan to deal with these threats. Keep your eye on these threats throughout the process and never underestimate the potential resistance to even a well-laid plan. Don't be surprised by comments like: "We've done this before, and it didn't work then."

Second, embed the initiative in the organization and engage the entire workforce in the effort. Ensure that everyone involved has a voice and is consulted and supported along the way, even when the views offered are negative and skeptical of the plan. Failure to encourage expressions of skepticism, criticism, and opposing ideas quickly erodes any trust previously garnered in the process. In my first book, *Real Leaders Don't Boss,* I offer a description of how former Indianapolis 500 "Rookie of the Year" race driver and current Chelsea Milling Company ("JIFFY" mix) CEO Howdy Holmes used some of these techniques to bring about major change for sustained superior performance that continues today.

Third, ensure that the CEO and his or her executive team understand the key idea that no single department (e.g. the marketing department) owns the change initiative and the implementation plan. Change must be an integral part of everyone's role and responsibility, including upper management and the managers who report to them. I was hired by an organization whose governing board mandated the desired change with less than full buy-in from the executive team whose interest and commitment varied considerably. As a result, the initiative was an uphill challenge from the start without this essential and consistent support. Remember, change isn't an abstract, academic event; it's highly personal and emotions often run high. Inspired leadership never stops working to ensure that honest sharing of contrary views in a trusting environment is an essential element for organizational buy-in.

Key take-away: *The 2017 Academy Awards Best Picture nominee "Hidden Figures" is a movie about three brilliant and inspiring female African American NASA employees in the 1960s who used their intelligence and dogged determination to succeed, despite an atmosphere of degrading racism and sexism. The group – programmer Dorothy Vaughn, math genius Katherine Johnson, and engineers Mary Jackson [and Christine Darden] – all played a crucial role in America's efforts to put astronaut John Glenn in space and best our Soviet nemesis. This film reminds us how difficult change can be in any organization, especially when years of traditions, habits, and behavioral norms stand in the way. Due to their tenacity, courage, and skill, these women – two posthumously – were awarded a Congressional Gold Medal, an honor recognized as the top civilian award in the U.S.*

In 1941, one of my favorite heroines, First Lady Eleanor Roosevelt, a woman of great conviction and a tireless devotee for civil rights for African Americans, visited Alabama's Tuskegee Institute during a period when much of our nation was highly skeptical of African Americans' intelligence and aptitude. During her tour she mentioned that she had been told by many that black people couldn't fly, and she asked C. Alfred Anderson, a black flight instructor, if he'd take her up! To the horror of her staff and Secret Service protection, he said "yes," so the First Lady strapped herself into the back seat of a plane and flew with the sole black flight instructor who had a commercial pilot's license. This same pilot would later train the famed Tuskegee Airmen.

3. Exhibit Integrity – No Lying, Cheating, or Stealing

Company leaders come and go, but few last very long without an ethical guiding "North Star" set of values. These values include a worthy purpose, a clear statement of organizational tenets, and a concise, easy-to-understand— and hopefully compelling — vision. If you need a reminder of the damage egregious behavior brings, think about the financial and corruption scandals at Wells Fargo Bank, Volkswagen, and Deutsche Bank, just to name a few recent examples. What kind of message does such ethics-free behavior send to other leaders in an organization? A lack of ethics is especially damaging to one of the vital functions of any thriving organization — i.e., identifying and nurturing future leaders, something that Max De Pree, Herman Miller, Inc., chairman emeritus, said is something the wisest leaders do.

Key take-away: *No one is perfect, even the wisest of leaders. However, there's no substitute for doing what's right, standing tall against corruption, bouncing back from failed initiatives, taking care of your team, and remaining optimistic in the face of adversity. Luis Alvarez, the late Cuban-born, NYPD detective, was a national hero whose love of family, fellow men and women in blue and country knew no bounds. Throughout his 20-year career including his "work on the pile" in the aftermath of 9/11, the Congressional testimony of this U.S. Marine Corps veteran in failing health (along with activist and actor Jon Stewart) will never be forgotten. Shortly after his death, Congress restored funding for the Victim Compensation Fund. Even as he testified while seated, he was taller than most of us…looking out for his fellow stricken Ground Zero first responders.*

4. Be Forward Thinking and Write a New Chapter

The wisest leaders are not just smart, they often have an uncanny ability to see things others cannot. I reported to the CEO of a large hospital for several years; he seemed to have an ability to "see around the corner." It is this type of ability that allows these leaders to move quickly to seize a market advantage. Columnist Tom Friedman believes that we, as a species, are standing at a moral intersection and today's leaders have two pathways to follow. One begins the process of fixing everything (world poverty, terrorism, climate change – the big bucket things). Another path leads to the end of our species. Leaders must get ahead of these monumental challenges with values-driven leadership that moves us to a far better, more sustainable future.

A hallmark of the "JIFFY" Mix success story is Chelsea Milling Company President & CEO Howdy Holmes' firm belief in the necessity of making long-term decisions. Emphasizing sustained competitive advantage is not a new concept for Holmes. Previously, he was a successful motor sports company executive, author, and one of the first color commentators on racing for ESPN. But it was a distinct shift in culture for the company when Holmes assumed the reins of Chelsea Milling 25 years ago. As he readily admits, Holmes had to redesign his own "personal delivery system" when he assumed the helm of the 132-year-old family-owned business. And, imagine the changes his grandfather had to make beginning in 1930 when his grandmother, Mabel White Holmes, created the first corn muffin mix in America. Howdy quickly learned that to be successful in transforming this packaged food company, his car racing experience didn't matter, and he had to reinvent himself. And so he did, and as part of the company's renaissance was Holmes' strong commitment to personal growth for everyone in the firm, from hourly to salaried workers. Two years ago, he put in place a final pillar of the company's reorganization by hiring a personal development director. Among the director's many duties are giving every employee who wants to learn and grow new opportunities to expand their duties at work. Building on but expanding well beyond the firm's historical and strong employee-centered philosophy, he implemented talent assessments, career progression, training opportunities, organizational evaluations, team building interventions, and competency models for his workers.

Key take-away: In "Moneyball," the 2011 baseball movie that was nominated for six Oscars, the Oakland A's general manager, Billy Beane, hires a Yale-educated data analyst to evaluate players' potential using a nontraditional statistics-driven set of criteria. The A's scouts and manager were outraged by the introduction of the new methodology, but eventually the innovative analytic technique is used to create a successful team, one that could operate on the league's smallest payroll. Billy Beane wrote a new chapter in a very tradition-driven sport. Your goal as a leader should be to chart an innovative, forward- thinking path for your organization.

Howdy Holmes on Wisdom:

Wisdom is the process of constantly seeking new information. Having wisdom also is the absence of judgment, and conversely, without judgment there is wisdom.

Wisdom has no boundaries. It's something you can't get enough of until you stop looking, and then it's called experience. Wisdom comes from continuous personal growth and sharing wisdom requires letting go of judgment, prejudice, and bias.

The challenge for leaders is how best to incorporate their new knowledge and wisdom in decision-making. A related way to think about wisdom is that it's about receiving new forms of stimulation that often can make one feel uncomfortable or vulnerable; and if so, that is okay according to Holmes. In many ways, once we step outside our comfort zone, we take giant steps forward on the path of personal growth. Looking for, being open to, regularly pursuing new information without judgement or bias often separates the "good from the great."

Wisdom is not a singular answer to a particular problem or question: rather, it can represent a plethora of inputs often gathered from multiple sources that help guide one to pursue a particular course of action. Newly acquired information can disrupt our current belief system or expand it. Newly-found wisdom often heightens our ability to know what is appropriate. In our fast-paced, unpredictable world, it can help leaders determine what to say and how to say it. Wisdom enables leaders to have both content and context. Our constituents – whether they are employees, suppliers, vendors, investors, or others – expect leaders to have answers to all their questions. It's the nature of the beast.

5. Stand with a Cause Bigger Than Yourself

I greatly admire Navy pilot John McCain's story of survival as a POW and how he sacrificed so much for a cause he believed was greater than himself. As a U.S. Senator from Arizona, he built a reputation as someone who followed his own set of core values and ignored what others might think about his convictions.

I believe that every enterprise should stand for something larger and more important than the products or services they market. As chief of public relations at Blue Shield of California in San Francisco, I was given the responsibility to shepherd one of the company's core causes: domestic violence prevention. In 1999, we formed a partnership with the San Francisco Giants organization that continues today to do important work in the community. If you're interested in the details of how this partnership evolved, you can find it in my third book, *TRUTH, TRUST + TENACITY: How Ordinary People Become Extraordinary Leaders*.

Key take-away*: Another powerful statement of faith and concern for one's team can be found in the farewell address of former U.S. Defense Secretary James Mattis, General, USMC (ret), to Department of Defense employees. His message read in part: "Our Department's leadership, civilian and military, remains in the best possible hands. I am confident that each of you remains undistracted from our sworn mission to support and defend the Constitution while protecting our way of life. Our Department is proven to be at its best when the times are most difficult. So, keep the faith in our country and hold fast, alongside our allies, aligned against our foes." And then there is Ben Ferencz. He is 99 years old and is the last living prosecutor from the Nuremberg Trials who tried Nazi war criminals at the end of WW II. Leslie Stahl interviewed him recently on 60 Minutes. Despite his traumatic experience, Ferencz remains both an optimist and a realist when assessing the future. In fact, he's supporting this optimistic future by dedicating his life savings to the Genocide Prevention Institute at the U.S. Holocaust Memorial Museum. His message to the rest us when the current state of affairs in our world discourages us: "it takes courage not to be discouraged." And finally, speaking of courage and wisdom, few national leaders have responded as skillfully and sensitively as New Zealand's 39-year-old prime minister, Jacinda Ardern, did after the horrific terror attack on two Christchurch mosques that killed 50 Muslims. Her calm and steady demeanor under intense pressure, her substantial administrative skills in dealing with the crisis, as well as her integrity, faith, and genuine love for others were extraordinary. Equally remarkable, Ardern proposed sweeping gun control legislation within days of the massacre that the parliament overwhelmingly passed. And other initiatives are underway to strengthen the safety of all New Zealanders.*

Conclusion

What, then, is wisdom? Clearly, it is not something that can necessarily be taught in a classroom. However, it can be acquired in degrees over time and under the right circumstances. I believe we can all become wiser if we remain curious, seek increasingly complex and challenging assignments in the workplace, associate with others whose life experiences differ from ours, read widely, travel broadly, volunteer for organizations seeking to change our communities or the world for the better, listen to those whose views we may not share, never stop learning, embrace the arts with an enthusiastic open mind, and engage in healthy introspection. As Socrates said, "Wonder is the beginning of wisdom."

References

Aristotle, *Nichomachean Ethics. The Basic Works of Aristotle*, (1941), Richard McKeon, New York: Random House, 935–1112.

BBC News (14 November 2018). Jacinda Ardern: "It Takes Strength to be an Empathetic Leader," *BBC.com*

Blaszczyk, Connie (2013). Effective Leadership Redefined: From Smart to Wise. *Monster.com*

CAF Red Tail Squadron, "Mrs. Roosevelt Goes for a Ride." Red Wing, MN. [*Most accurate date of her flight is March 29, 1941. News coverage of her hour-long flight at the time was largely nonexistent but shortly after her return to the White House, FDR ordered the activation of the 99th Fighter Squadron, the first African American fighter squadron in the Army Air Force*].

Collamer, Nancy (6 February 2017), The 5 Hidden Career Lessons in "Hidden Figures." Next Avenue. *Forbes.com*

Eich, Ritch K. (25 July 2016). Working from First Base to the Boardroom. *San Fernando Valley Business Journal*.

Eich, Ritch K, Interviews and personal communications with former White House Press Secretary to President Bill Clinton, Mike McCurry, and Chelsea Milling Company President and CEO, Howdy Holmes.

Friedman, Thomas L. (18 January 2017), Ethics in the Age of Accelerations. *YouTube* (Speech before Carnegie Council for Ethics in International Affairs).

Graham, Shawn (28 September 2011). 3 Lessons Every Manager Can Learn from "Moneyball," *Fast Co*.

Immen, Wallace (2 May 2018). The 10 Traits Top Leaders Possess. (Interview with Richard Davis, author, The Intangibles of Leadership). *The Globe and Mail.*

Jenkins, Aric (18 July 2018). Thomas Friedman: We're in the Middle of 3 Climate Changes, Not Just 1. *International Brainstorm Tech*.

Kekes, J. (1983). Wisdom. *American Philosophical Quarterly*, 20(3): 277–286.

Lee, Alvin (8 November 2012). The Wise Leader. *knowledge.instead.edu*

Lehrer, Keith, B. Jeannie Lum, Beverly A. Slichta, and Nicholas D. Smith (eds.) (1996). *Knowledge, Teaching, and Wisdom*, Dordrcht: Kluwer Academic Publishers.

Nonaka, Ikujiro and Hirotaka Takeuchi (2011). The Wise Leader. *Harvard Business Review,* 89(5).

Personal visit to the Franklin D. Roosevelt Presidential Library and Museum, Hyde Park, NY including Val-Kill Cottage, Eleanor Roosevelt's retreat.

Radjou, Navi and Prasad Kaipa (2013). 6 ways to Recognize a Wise Leader. *Thinkers50.com (blog)*.

Stahl, Leslie (30 June 2019). What the Last Nuremberg Prosecutor Alive Wants the World to Know. *60 Minutes*.

Tichy, Noel M. (2007). *The Leadership Engine: How Winning Companies Build Leaders at Every Level*. New York: Collins Business Essentials.

Wilson, Michael, Randle, Aaron, and Gold, Michael (3 July 2019). Luis Alvarez, A hero to Fellow 9/11 Responders, Is Laid to Rest. *The New York Times*.

About the Author

Ritch K. Eich, Ph.D. (Michigan), is a former healthcare executive, U.S. Naval Reserve captain (ret), consultant and author of four books on leadership. His most recent book, LEADERSHIP CPR: Resuscitating the Workplace through Civility, Performance and Respect, was published in 2018 by Redwood Publishing. Eich has served on more than a dozen boards of directors and trustees and three editorial boards of publications. He was a member of two Congressional committees for U.S. Senators Carl Levin of Michigan and Dan Coats of Indiana.

FIVE GUIDELINES FOR SPEAKING TRUTH TO POWER

— Paul Grossgold and Ritch Eich

Imagine you're a mid-level engineer for a multi-national construction management firm. You love your job, so you read highly regarded industry publications and keep your ear to the ground at conferences to ensure you're on top of emerging business opportunities.

So, when you hear your divisional vice president announce a new initiative at a group meeting that contradicts everything you have read and heard, you panic. What should you do? Should you say something now or try to catch the VP after the meeting? Either way, it's a risk since you know the VP has previously made it clear he believes everyone in the organization should "stay in their lanes" and focus on their own work.

To a greater or lesser degree, we suspect most of us have been in some version of this fictional scenario. Whether your dilemma was to speak up or not about a business strategy you disagreed with, or to point out inappropriate behavior of a leader, or perhaps even suspected criminal or corporate malfeasance, the decision choices you face are the same – you can either find the courage to speak up or remain silent and hope for the best. Sadly, many people due to a variety of factors including fear of job loss, career retribution, or cultural factors within their organization, choose to remain silent.

The price companies pay for this silence is often devastating and costly. For example, what might have been avoided if even one Wells Fargo employee had refused to create the fake accounts designed to cheat their customers. Or what if one software engineer at Volkswagen had refused to participate in a scheme to fool both U.S. regulators and their customers?

This article offers five guidelines that will help you speak truth to power. The actions of Brent Scowcroft, former National Security Advisor to President George H. W. Bush, help us understand the effectiveness of these guidelines. Each guideline is followed by a specific action taken by Scowcroft.

Shortly after Saddam Hussein's Iraqi forces invaded Kuwait in August of 1990, President Bush held an emergency Cabinet meeting to discuss possible U.S. responses. No consensus emerged from that meeting. The president's team initially seemed resigned to accept the occupation. Let's examine how Scowcroft spoke truth to power at that critical moment.

1. ***BE GUIDED BY YOUR INNER COMPASS*** – Your personal values and deep understanding of your own goals and those of your organization will provide the foundation on which to rest your recommendations.

This above all, to thine own self be true.
— Shakespeare

Scowcroft understood the deeper geopolitical significance of Saddam's invasion and why allowing it to stand unchallenged ran counter to the national security interests of the United States. [*Scowcroft regarded Saddam's invasion as the first test of a new era's possibilities and the pattern of global behavior one needed to establish* (Kempe & Lightfoot).]

2. ***PICK YOUR SPOTS*** – Be strategic about the decisions or issues you challenge. Question only decisions that you can clearly dispute with hard data, emerging trends, or facts. Just because you think something is true is not a reason to challenge a decision.

A long-time friend of President Bush, Scowcroft knew his boss well and was able to create a compelling narrative that placed Saddam's actions in historical terms. [*Bush, a decorated World War II fighter pilot, was the last of a series of American Presidents who would come of age during the war and would be defined intellectually by the lessons from the West's appeasement of Adolf Hitler's aggression at Munich in 1938* (Kempe & Lightfoot).]

3. ***OFFER A CLEAR ALTERNATIVE*** – Once you've got the leader's attention, it's essential to have a cogent new strategy, course of action or specific recommendation.

It's not personal, it's strictly business.

Based on his significant military and national security experience, Scowcroft knew that nothing short of a military response would succeed in evicting Saddam from Kuwait. [*...at the next NSC meeting Scowcroft strongly and forcefully made the case that Saddam's aggression was of paramount importance to US interests and that it must be met with a direct and strong response* (Kempe & Lightfoot).]

4. ***RESPECTFULLY DISAGREE*** –The competition for ideas should never become a competition of egos. There is great risk in allowing a debate with your seniors to escalate into an argument.

"Bad men need nothing more to compass their ends, than that good men should look on and do nothing."

Although he did not agree with the initial NSC meeting consensus, Scowcroft did not open the debate in that forum. Arguments in a group that large could easily have devolved into unproductive bickering, and may even have backed Bush 41 into a corner. He chose instead to approach the president following the meeting to have a more controlled, respectful, one-on-one discussion.

5. ***STRENGTH IN NUMBERS*** – Remember, a small group of your associates who agree with you often has more influence than just your single objection. The term "leading from below" includes attempting to steer decision-making in the right direction by group consensus.

The results of the second meeting suggest that Scowcroft likely made his case privately to other Cabinet members. [*At the conclusion of his intervention, Deputy Secretary of State Lawrence Eagleburger pounded the table and proclaimed, "Absolutely right!" The discussion that followed Scowcroft's intervention took on a more practical nature and put the President's team in the proper frame of mind for a meeting the next day at Camp David, where military options would be debated for the first time* (Kempe & Lightfoot).]

In closing, we recognize that speaking truth to power does involve career risk, but it can also involve great personal reward when seniors appreciate the considered advice of their juniors. The tools described here will hopefully minimize risk while maximizing the potential benefit.

Reference: Kempe, F. and Lightfoot, J. (2015), *Brent Scowcroft: An Enlightened Realist*, New Atlanticist, Atlantic Council, March 19, 2015

Paul S. Grossgold is a retired navy captain who held commands at sea and ashore. After leaving naval service he served as the Director of the General Services Agency for the County of Ventura, CA, then as Chief of Staff for County of Ventura Third District Supervisor Kelly Long. Grossgold is a former adjunct professor in graduate level leadership and organizational management courses at the University of LaVerne, and taught Theater Security Decision Making at the Naval War College Fleet Seminar Program. He resides in Virginia Beach, VA.

Ritch K. Eich, a retired naval reserve captain who commanded three navy units and served at NATO, JCS, Naval War College, Pacific and Atlantic Fleets and Central Command, was chief of public affairs for Blue Shield of CA. After receiving his Ph.D from the University of Michigan, he spent 20 years as a hospital executive. Eich has published four books on leadership, served on more than 10 boards of directors, and chaired the Los Robles Hospital board of trustees. He resides in Thousand Oaks, CA.

The Question of Leadership

— Joseph P. Hester
Independent Scholar

What is leadership and why is leadership so darn complex? We listen to the President and then turn to Fox, MSNBC, CBS, and NBC News for their considered opinions. Depending on our personal viewpoints, we then judge the President's leadership ability. We have a right to do so, but honestly, this begs the question of how to define "leadership" in the first place.

As someone said, "It all depends." And that is true. Leadership is an umbrella word that we apply to church leaders, business leaders, political leaders, workers, moms and dads, and athletes. All of these differ, yet they seem to have something in common. This commonality we call "leadership." But we still haggle, because we believe this commonality is lacking in our leaders no matter on what level we find them.

Maybe we're asking the wrong question. It might be better to ask, "Why do we use the word 'leadership' to apply to almost anyone, and without qualification?" "Leadership" seems to have become a catch-all word we attach haphazardly to people, especially to those who have achieved financial success. If this is true, then it explains why we say some individuals are "good" leaders and others are not and why the media seeks the opinions of entertainment stars and athletes on question of political, social, or religious importance.

I'm not sure whether this speaks to our shallowness, biased interests, or just plain stupidity. The words "effective" and "ineffective" might be better words to use when evaluating leadership for we are a pragmatic people — people who want results. But this raises an even deeper problem: what is and what is not a moral leader. Surely we desire our leaders to act ethically. This is when we arrive at the gate of moral evaluation and the murky waters of what is and what is not to be counted as moral.

It is true that some lead from positions of power and others consider themselves as servant leaders understanding their role as helping, preparing, organizing, and managing the talents of others. We want our leaders to be strong, knowledgeable and authoritarian. We demand this of our President, ministers, our governor, and school leaders. We also desire them to be ethical, responsible, and fair. Shouldn't we demand this of ourselves as well?

Surprisingly, most leaders are not in power positions. They are the ordinary Joes and Sallys who go about their work and help and lead others without being asked or ordered to do so. Some say this is their greatness; perhaps it is. These people are not *reciprocal* leaders always asking for something in return for their help. They are people of purpose and desire who do their best and help others do their best as well.

Most leadership books don't talk about these "ordinary" leaders, just the rich and powerful regardless of their leadership style or ethical demeanor. Seldom is mentioned the quiet demeanor of "ordinary" leaders. A teacher, factory worker, or a clerk at Walmart is apt to be one of these leaders. It could be a mother or father or even a Sunday school teacher. This makes positional leadership an oxymoron. We are all in a position to lead, like it or not.

So, before we get too troubled about leadership and what the experts say, perhaps we should ask, "Are we reaching for the stars—for greatness—or, like the humble worker who leads by example and a willingness to help and share his or her knowledge, are we tilling the fertile ground of human experience with an awareness of others and our role in their lives?" It's in the fertile "ground" of ordinary human experience where we find genuine leadership.

Spiritual Leadership: Leading from Within

Throughout our lives much is added to our collective consciousness. Our own creative ability to signify, dream, think about the future, and build within us houses of wisdom adds to our collective nature, our spiritual individuality, and our morally connective relationships. This is perhaps more of a goal than a reality, but it's a vision to which we should aspire.

From the memories and experiences that form the foundation of our identity, moral leadership that is transformational becomes the combination of collective insight permeated by our moral consciousness guided by empathy, compassion, and understanding. Morality is not merely transactional, something that is negotiated. It is our awareness of connecting with others in fair-mindedness and dignity that enlivens our moral awareness. This moral consciousness flows naturally from our relationships when we think of others as we think of ourselves.

Moral awareness and commitment are thus intrinsic and spiritual. We live in a tenuous time. Church attendance is falling; small congregations are closing their doors; and we are apt to give surprising attention to large – mega – churches as a business model that we all should follow. It appears as if we spend a great deal of time talking about planting new churches, tithing and bringing in new members, and little time enhancing the spiritual growth of those who regularly attend. We give our attention to multiple activities, some of which have little to do with our spiritual improvement.

The moral value of spiritual wisdom is often shelved in these debates as we whole-heartedly work to boost our own egos and points of view. We argue and debate and church-power groups are formed. We whisper to others, but our whispers more often than not echo our own biases and predispositions, the "tint" in our own eyes." We bypass the moral vitality of love and its healing and growth potential. Moral superiority is a negative value that limits and brackets our moral response to others. It serves no one and puts on display our own prejudices.

It is our moral-awareness of others that lifts us beyond the vanguards of our self-serving motives. Moral awareness is fluid and adaptable; not something we possess but a way of life we grow into. It is letting love live through us, an activity of mind, an attitude, demeanor, and an unpredictable affiliation with others.

The hardship of letting spiritual energy live through us is its possibility. This energy is always working within us giving birth to our relationship with others. Yet, we must understand that the moral pathway is not microwavable or instant. Transformation is a slow and agonizing process. It doesn't come easily. Enlarging our moral wisdom will always be a life-time process.

Transformational Leadership

Transformational Leadership recommends that leaders ground themselves in beliefs and values that define their purpose, promote cooperative effort, and direct the accomplishment of their mission through ethical processes; namely, treating workers and co-workers, church members and church leaders with moral integrity and respect. Transformation is especially difficult as many of us have become issue-oriented and expend much of our time defending encapsulated beliefs and ideologies.

As decision makers, we often move back and forth from transactional to transformation leadership. Two broad categories of value color our motives. The first is *intrinsic value,* grounded *in* personal integrity, dignity, fairness, and responsibility. It also involves respecting the beliefs and values of others and providing them opportunities for developing their skills as well as moral habits. Moral wisdom is an intrinsic value to which we should give our attention.

The second is *instrumental or utility value,* based on a top-down conception of decision making in which we are compelled to follow the prescribed practices of our work, political party, or church. "Following" and "obeying" are the operative words. *Instrumental or utility* are the values supporting transactional leadership. Little is offered that is transformational. Understanding these two meanings will help clarify their differences; however, both value-types are needed for leadership acuity. It's a delicate task to keep them in balance.

Building relationships inside and outside our families, political affiliations, or religious identification is difficult. However, when relationships are not cultivated, those left on the periphery of decision making are more likely to experience diminished energy, feel stifled or disempowered in their ability to take action on behalf of others, have opinions they feel are left out of important decisions that affect them, and demonstrate a diminished sense of worth and a desire to withdraw from volunteering, visiting, or serving when ask to serve.

In these situations, transactional leaders will more likely than not use coercion to move others to serve and give. They will quote the Bible and instill a sense of guilt in those who are not actively engaged in the mission of the church. They will also quote political leaders whom they follow to give them assurance and direction. The authority of the

Bible or key political identifiers such as “capitalism” and “socialism” become their “hammer” as the decency and respect are left lying in the dust of our moral nature neglecting the intrinsic values that bind us together.

— Joseph P. Hester

Ethical Leadership and Prohibitive Voice

The Role of Leadership and Organisational Identification



MARI SVENDSEN
OSLO. NORWAY

INGVILD SELJESETH
OSLO, NORWAY

KJELL OVE ERNES
OSLO, NORWAY

Abstract

This article extends previous research on ethical leadership and voice behavior, by investigating the relationship between ethical leadership and prohibitive voice. Prohibitive voice is defined as speaking up with concerns or worries regarding factors that may harm organisational functioning. The article reports on a cross-sectional study of Norwegian employees, investigating the relationship between ethical leadership, leadership identification, organisational identification and prohibitive voice. In the article leadership identification is understood as a process where the employee incorporates the leader's values and goals into his or her self- concept. Organisational identification on the other hand is when the employee starts seeing the organisational values, norms and goals as his or her own. Testing our results in a dual-process model, we find that ethical leadership is positively and significantly related to prohibitive voice. Moreover, we find that this effect is mediated by organizational identification. We find no significant mediation effect of leadership identification. Implication for theory and research are discussed.

Introduction

Recent decades have seen a range of organisational scandals involving fraud, bribery, security hazards, and money laundering in companies like Siemens, Yara, Vimpelcom, General Motors, and Volkswagen. Although these scandals have generated a great deal of attention, a PwC survey from 2018 showed that 49 per cent of 7228 organisations reported that they had experienced crime and fraud in the past year, which is an increase of 30 per cent from the 2009 PwC survey. Investigations into these scandals show that the root of these problems was not ineffective regulations or compliance systems. Instead, the main cause was weak leadership and a flawed corporate culture that led employees to remain silent with their worries or concerns regarding the unethical and dysfunctional practises in the organisation (Healy & Serfaeim, 2019). In addition to the billions of dollars lost because of these scandals, the reputation of these companies has been severely damaged. Moreover, the scandals in Siemens, Yara, Vimpelcom, General Motors, and Volkswagen are examples of seriously damaging incidents that could have been reduced or avoided if employees had felt empowered to communicate to their supervisors their concerns and worries regarding these unethical and damaging practices.

Considering the previously-mentioned scandals in Siemens, Yara, Vimpelcom, General Motors, and Volkswagen researchers have recognised the importance of receiving the employee's concerns, worries, suggestions, and ideas for improvement regarding organisational functioning in order to secure organisational functioning and effectiveness (Van Dyne, Ang, & Botero, 2003). Accordingly, the attention devoted to studying *voice behaviour* − defined as employees' discretionary communication of ideas, suggestions, and concerns at work with the purpose of improving organisational functioning (LePine & Van Dyne, 1998; Morrison, 2011) − has been increasing steadily (Chamberlain, Newton & LePine, 2017). Although the definition of voice includes speaking up with concerns and worries, the main focus in the voice literature has been on *promotive voice*, which means the future-oriented communication of ideas and suggestion that may improve organisational functioning (Liang et al., 2012). However, as exemplified by the white-collar scandals mentioned above, the communication of *prohibitive voice* − defined as the employees' communication of concerns and factors that may harm the organisation − may be of even greater value to the organisation (Liang et al., 2012; Morrison, 2011; Van Dyne et al., 2003). Nevertheless, speaking up with concerns and worries to prevent harm in the organisation (prohibitive voice) is found to be a higher risk endeavour for an employee than speaking up with ideas and suggestions, as pointing out factors that are not working in the organisations also may involve suggesting someone who is responsible someone for the situation (Liang et al., 2012). Accordingly, both the antecedents and consequences of prohibitive voice are found to be different than for promotive voice. For example, studies by Liang et al. (2012) and Svendsen, Jønsson and Unterrainer (2016) found that self-protective motives such as psychological safety are more important for prohibitive voice than promotive voice. Moreover, studies have shown that speaking up with prohibitive concerns puts a larger strain on the employee, leads to lower performance ratings, and reduces promotion opportunities (Lin & Johnson, 2015).

Due to the inherent risk when expressing prohibitive concerns in an organisation, many employees choose not to express themselves because they fear negative response or retaliations from their superiors (Milliken, Morrison, & Hewlin, 2003). Therefore, leadership is underlined as an important antecedent of voice, as employees will "read the wind" to establish whether it is safe and worthwhile to speak up (Detert & Burris, 2007). The past two decades have seen a large number of studies regarding the relationship between leadership and voice behaviour (cf. Detert & Burris, 2007; Duan, Li, Xu, & Wu, 2017; Dutton, Ashford, Lawrence, & Miner-Rubino, 2002; Liu, Zhu, & Yang, 2010; McClean, Burris, & Detert, 2013; Svendsen & Jønsson, 2016; Svendsen, Jønsson, & Unterrainer, 2016; Tangirala & Ramanujam, 2012). A leadership style that has been highlighted theoretically and empirically as an antecedent that may be especially effective in eliciting employees' ideas and concerns is *ethical leadership* -defined as the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships and the promotion of such conduct to followers through two-way communication (Brown & Treviño, 2006). Ethical leaders create a trusting and safe environment when they behave consistent with their principals, which in turn motivates employees to speak up (Chamberlain et al., 2017). Moreover, ethical leaders highlight the importance of ethical conduct, which may stimulate prohibitive voice. The relationship between ethical leadership and promotive voice has been established by Walumbwa and Schaubroeck (2009), for example, who found ethical leadership to be positively related to voice.

Nevertheless, we argue that the research on ethical leadership and voice can be improved in two specific ways. First, the literature on ethical leadership and voice behaviour has largely focused on promotive voice. Keeping in mind how antecedents are found to predict promotive and prohibitive voice differently, this is unfortunate because we lack an understanding of how ethical leadership relates to prohibitive voice. In our study we argue that ethical leadership may be especially important to stimulate prohibitive voice because of the previous established strong relationship with trust and safety (Walumbwa & Shaubroeck, 2009), but also because deciding to raise prohibitive concerns entails a process of ethical consideration that the ethical leader stimulates positively. Thus, we need research that looks at the relationship between ethical leadership and prohibitive voice. Second, there is a lack of understanding about the specific mechanisms through which ethical leadership exerts its influence on prohibitive voice. This lack of understanding is unfortunate, as a more nuanced understanding would specify further what leaders can do in order to stimulate prohibitive voice from their employees. Accordingly, the main goal of the present article is to investigate the relationship between ethical leadership and prohibitive voice, and the mediating mechanisms involved in this relationship.

In order to accomplish this goal, we develop and test a model in which we propose that ethical leadership will be positively related to prohibitive voice. Moreover, drawing on social identity theory and relational identity theory (Haslam, 2001; Pratt, 1998) we propose a dual-path model in which *leader identification* - defined as an employee's belief about the leader as self-referential or self-defining- and *organisational identification* - defined as the employees belief about the organisation as self-referential and self-defining; (Pratt, 1998) will mediate the relationship between ethical leadership and prohibitive voice. Identity processes may be especially relevant when investigating the relationship between ethical leadership and prohibitive voice. For example, an ethical leader creates an organisation that the employee wants to identify with through the communication of shared organisational values and ethical conduct (Brown & Trvinio, 2005). Accordingly, the employee is more likely to both incorporate the organisation as a part of his/her self-concept, and therefore work and make sacrifices in order to help the organisation thrive, through discretionary behaviour such as prohibitive voice. The relationship between organisational identity and promotive voice was established by Liu et al. (2010) and the relationship among ethical leadership, organisational identity and promotive voice was established by Zhu et al. (2015). However, the relationship between organisational identification and prohibitive voice has not been explored, to the best of our knowledge.

We further argue the leadership identification will be stimulated by the ethical leader. The ethical leaders' consistent and value-based actions stimulate relational identification as the employee comes to see the leader as someone they want to emulate and include as a part of one's self-concept (Bandura, 1994; Liu et al. 2010). Leadership identification may stimulate prohibitive voice as the employee is motivated to exert an extra influence in order to help the leader succeed, but also as the leadership identification may help the employee experience the leader as trustworthy and approachable (Zhu et al. 2015). The positive relationship between leadership identification and promotive voice was established by Liu et a. (2010) and the relationship between ethical leadership, leadership identification and promotive voice was established by Zhu et al. (2015). Nevertheless, the relationship among ethical leadership, leadership identification and prohibitive voice has never been explored to the best of our knowledge.

The exploration of the dual process model outlined in the present study will make several contributions to our understanding of both ethical leadership and prohibitive voice. First, we extend previous research on voice by investigating how ethical leadership is directly related to prohibitive voice. By focusing on prohibitive voice, we meet the call for a more thorough understanding of how leadership is related to prohibitive voice and not only promotive voice (Morrison, 2011). This understanding is pivotal considering the importance of obtaining the employees concerns and worries regarding organisational functioning. Second, we will also contribute to the understanding of how identity processes may play an important role in the leadership–voice relationship. Our focus on organisational and leadership identification provides a theoretically coherent framework for studying mediators, based on social identity theory. In so doing, we meet the call for a more nuanced understanding of how identity processes play a role in the relationship between leadership and prohibitive voice. It is important to explore these processes in order to gain theoretical and practical insights into how leaders can behave in order to elicit prohibitive voice from their employees. Lastly, our study contributes to the understanding of the mechanisms of which ethical leadership exerts its influence in general, something which has been underlined as an important research gap in the leadership literature (Yukl, 2012). Thus, our study will also play a vital role in our conceptual understanding and development of ethical leadership.

Theory and Hypotheses

Prohibitive Voice

The concept of employee voice behaviour was originally introduced by Hirschman (1970) as a strategy the employee could use to respond to organisational dissatisfaction. Thus, the concept of voice behaviour originally entailed expressing dissatisfaction such as worries or concerns that may cause harm to the organisation (Hirschman, 1970). Voice behaviour attracted renewed interest in the mid-1990s after the conceptual development and scale refinement made by Le Pine and Van Dyne (1998), in which they defined employee voice as a form of organisational citizenship behaviour that involved "constructive, change-oriented communication intended to improve the situation" (p. 326). Accordingly, the focus of the next decade changed from expressing worries, concerns and dissatisfaction to the improvement-oriented part of the voice concept, such as making ideas for new products or improvement of logistics in order for the employee to contribute to the internal innovation process in the organisation. In order to integrate the two different conceptualisations of the voice concept, Liang et al. (2012), inspired by Le Pine, Ang and Botero (2003) among others, established a scale and a theoretical distinction between promotive and prohibitive voice. Prohibitive voice shares some similarities with the whistle-blower concept.

However, prohibitive voice differs from whistle-blowing in that it is motivated by a desire to help the organisation by preventing harm, rather than a perceived violation of personal norms or legal principles (Liang et al. 2012). Moreover, prohibitive voice is always expressed internally in the company, whereas whistle- blowing may me both external or internal (Liang et al. 2012). Moreover, Liang et al. (2012) demonstrated that the antecedents and consequences of promotive and prohibitive voice were different. They found that when testing different antecedents of promotive and prohibitive voice simultaneously, psychological safety was important for electing prohibitive voice, but not promotive voice. This finding was later replicated by Svendsen et al. (2014), who found that psychological safety was the most important mediating variable in the participative leadership–prohibitive voice relationship. Felt obligation and being invited to speak up on the other hand was found to be more important for promotive voice (Liang et al., 2012; Svendsen et al. 2014). Later research has also confirmed that the consequences of prohibitive voice are different than those for promotive voice. For example, (Liang et al., 2012) found that managers rate employees who voice prohibitively lower than they rate promotive voicers, and Lin and Johnson (2015) find that prohibitive voicing causes more strain on the individual than promotive voicing. Accordingly, researchers called for more studies to explore the antecedents of prohibitive voice, and the mechanisms involved in this relationship (Chamberlain et al., 2017). Therefore, prohibitive voice is also the focus in our study.

Ethical Leadership and Prohibitive Voice

The concept of ethical leadership was developed by Brown and Treviño (2005) as a response to the heightened awareness, in both the business world and society at large, of the need for leaders to have a strong moral compass. Ethical leadership is often conceptualized within the values – based leadership approach. However, as Schwartz (1992) theory of values suggest, values of profit or achievement often conflict with ethical values within the organization. Thus, conveying moral values is not enough to be defined in terms of an ethical leader, as specific and consistent moral action is theoretically and empirically found to be pivotal for the effectivity of the ethical leader (Brown & Treviño, 2003). Accordingly, ethical leadership includes both leaders' traits, such as being honest and caring, but also specific leader behaviours such as consulting with and involving employees in ethical dilemmas or decisions and rewarding moral behaviour (Brown & Treviño, 2005).

Ethical leaders may stimulate prohibitive voice from their employees in different ways. According to Walumbwa, Morrison and Christensen (2012), there are two overall theoretical perceptives that are applied when explaining the positive effects of ethical leadership: *social exchange theory* (Blau, 1964) and *social learning theory* (Bandura, 1994). We argue that these theoretical perspectives are relevant to understand the effect of ethical leadership on prohibitive voice as well. Firstly, according to social exchange theory, the employee's interaction with a fair and considerate leader will generate an obligation in the employee to reciprocate by exerting extra role behaviour such as prohibitive voice. This felt obligation may be an especially an important motivational factor for prohibitive voice, due to the risk associated with performing this type of action (Blau, 1964; Emerson, 1976; Walumbwa et al., 2012).

Second, according to social learning theory, ethical leaders exert their influence through emulation and role-modelling. According to Brown and Treviño (2006), an ethical leader will speak up against unethical organisational behaviours, and reward employees who conduct ethically appropriate actions. Employees who experience their leader behaving in this manner will be encouraged to behave in the same manner according to social learning theory (Bandura, 1994). Accordingly, an employee who observes his/her leader speaking up against unethical or harmful behaviours in the organisation will, arguably, be more likely to do so themselves. Moreover, the observation of other employees who speak up regarding harmful factors to the ethical leader without being subject to retaliation will also be an important observational learning that stimulates prohibitive voice.

Lastly, the ethical leader may also stimulate prohibitive voice by showing authentic care and interest in their employees. Through these actions the employee experiences the leader as approachable and considerate, and the ethical leader creates a room and space for the employee to speak up.

Overall, the preceding argument leads to the first hypothesis of our study:

Hypothesis 1: ***Ethical leadership is positively related to prohibitive voice behaviour.***

The Mediating Effect of Leader Identification

Leadership identification is proposed as an important outcome of ethical leadership that creates positive organisational and motivational outcomes (Zhu et al., 2015). Leadership identification is a process by which the employee comes to admire and emulate the leader and incorporate the leader's goals and values as part of the employee's self-concept (Pratt, 1998). In turn, the leader's goals and values becomes self-referential for the employee (Shamir, 1993; Conger & Kanungo, 1998; Pratt, 1998; Ashfort et al., 2008). Ethical leadership stimulates leadership identification through different processes. For example, the employees observe the ethical leader's consistent and morally appropriate behaviour and finds this of value to identify with, in order to maintain a positive view of their own self-concept. The motivation to obtain a positive view of one's own self- concept is a central motivational process pertaining to identity theory (Haslam, 2001), and ethical leaders may be an important source to stimulate this need. Moreover, ethical leaders treat their employees fairly and are considerate of the employees' needs. This creates a feeling among the employees that the leader has a genuine interest in their well-being, which stimulates the employees' identification with the leader. Lee

(2016) supported the above-mentioned theoretical arguments by showing that ethical leadership is positively and significantly related to leader identification.

We further hypothesize that leader identification may be related to prohibitive voice. As the leader's goals and values become a part of the employees' self-concept, the employees will be motivated to "go the extra mile" and therefore exert extra role behaviour such as prohibitive voice (Lee, 2016) to champion these goals and values. The positive relationship between leadership identification and promotive voice has been established previously by Lui et al. (2010), who found that leadership identification was positively related to promotive voice behaviour. Moreover, Zhu et al. (2015) found that ethical leadership is related to promotive voice, where leadership identification is found to be a partial mediator. However, to the best of our knowledge, no studies have investigated the relationship among ethical leadership, leader identification, and prohibitive voice.

Therefore, we argue that ethical leadership is related to leadership identification, and that leadership identification is positively related to prohibitive voice. This leads to the second hypothesis of our study:

Hypothesis 2: ***The relationship between ethical leadership and prohibitive voice will be partially mediated by leadership identification.***

The Mediating Effect of Organisational Identification

Although we argue that ethical leadership is positively related to *leadership identification*, we further argue that ethical leadership stimulates employees' *organisational identification*. The concept of leadership and organisational identification share similarities, but theoretical work by Sluss and Ashfort (2007) and research by, for example, Sluss, Ployhart, Cobb, and Ashfort (2012) and Zhu et al. (2015) illustrate the conceptual and empirical distinctiveness between the concepts.

Organisational identification is a form of social identification, where the organisation is the relevant social group the employee identifies with. An employee identifies with an organisation when the organisational values, norms, and goals becomes part of the employee's self-concept (Ashfort & Mael, 1992). Ethical leadership stimulates organisational identification by appealing to the greater good and the common norms and values within the organisation. Moreover, an ethical leader presents these values and ethical standards as attractive and worthwhile, which motivates employees to make them part of the self-concept (Brown et al., 2005). An ethical leader also shows that he or she is willing to sacrifice and stand up for these collective values and norms. Showing that one is willing to stand up as a prototypical representative of the group's values and norms has been found to be strongly and positively related to social identification (Van Knippenberg, 2011). The positive relationship between ethical leadership and organisational identification was established by Walumbwa et al. (2011) who found that ethical leadership is positively related to organisational identification, which in turn is positively related to job performance.

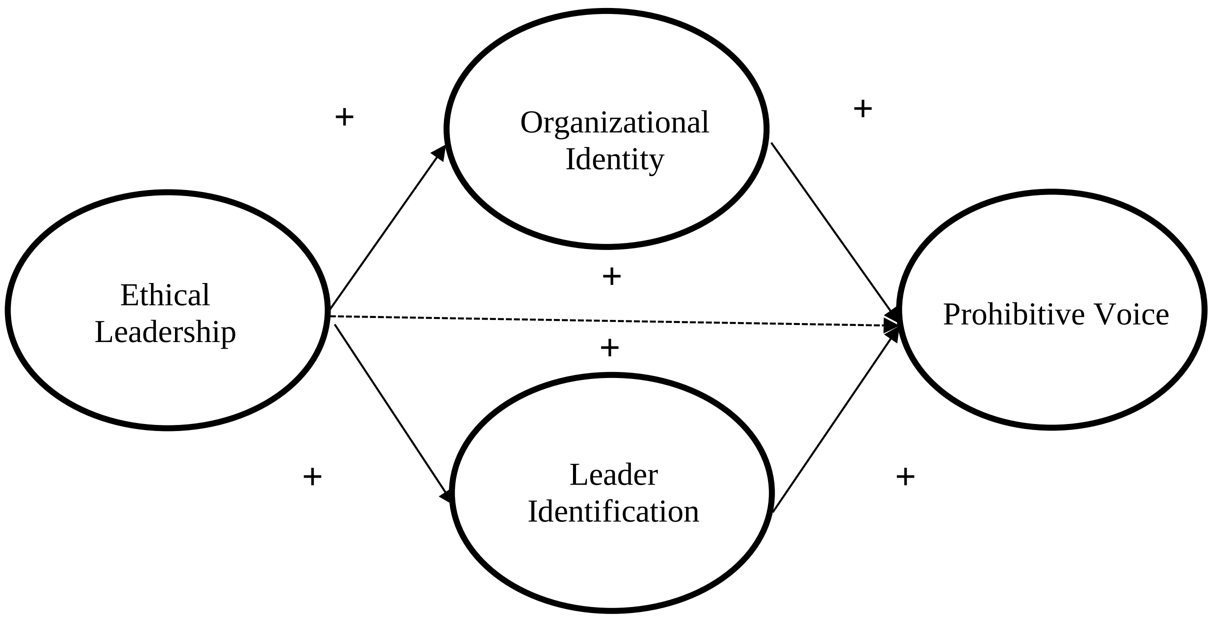
We further argue that organisational identification will be positively related to prohibitive voice. Employees who have incorporated the organisational values, norms, and goals as part of their self-concept are more likely to exert discretionary behaviour, such as prohibitive voice, to prevent harm to the organisation in order to maintain a positive view of one's own self-concept (Zhu et al., 2015). The importance of organisational identification may be especially important for prohibitive voice, as factors that may harm the organisation may cause a serious threat to the employees' self- concept. The relationship between organisational identity and promotive voice has been established by Liu et al. (2010), Qui and Lui (2014) and Zhu et al. (2015). However, the link between organisational identity and prohibitive voice has, to the best of our knowledge, not been investigated.

In summary, we argue that ethical leadership will be positively related to organisational identification, which will be positively related to prohibitive voice. Thus, we posit the following hypothesis:

Hypothesis 3: ***The relationship between ethical leadership and prohibitive voice will be partially mediated by organisational identification.***

The proposed hypotheses are shown in an overall model (*Figure 1*).

Figure 1: **Theoretical Dual-Process Model**



Methods

Sample and Procedure

Two hundred and six individuals (103 men) participated in the survey; 22.3 per cent were aged 18–30, 14.1 per cent were aged 31–40, 28.6 per cent were aged 41–50, 17 per cent were aged 51–60, and 18 per cent were aged over 60. All respondents worked a 50 per cent position or more and 76.2 per cent of the sample had a bachelor's degree or higher education. The individuals came from different industries and organisations in Norway. The survey was obtained from a professional company with extensive experience in providing data to research institutions. Previous research has shown that similar data collection methods provide better external and internal validity than traditional data collection methods (Berinsky, Huber & Lenz, 2012). In our sample, every participant had a different leader, so our sample did not violate the independence assumption that may result in spuriousness due to data clustering (Raudenbush & Bryk, 2002).

Measures

All the applied scales in this study had been previously published and validated. Scales that were originally formulated in English were translated to Norwegian and then back to English (Brislin, 1980). All continuous measures were assessed on a five-point Likert scale, with responses ranging from 1 (strongly disagree) to 5 (strongly agree).

Prohibitive Voice. We measured prohibitive voice behaviour using a five-item scale developed by Liang et al. (2012). The wording was changed slightly to make it suitable for self-reporting. Sample items include "I speak up honestly with problems that might cause serious loss to the work unit, even when/though dissenting opinions exist." The estimated reliability was α = .83.

Ethical Leadership. Ethical leadership was measured using the 10-item scale developed by Brown et al. (2005). An example item is "My supervisor discusses business ethics or values with employees." The estimated reliability was α = .93.

Leader Identification. Leader identification was measured using a six-item scale developed by Mael and Ashfort (1992). An example item is "My leader's successes are my successes." The estimated reliability was α = .87.

Organisational Identification. Organisational identification was measured using the six-item scale developed by Mael and Ashfort (1992). An example item is "If a story in the media criticised my organisation, I would feel embarrassed." The estimated reliability was α = .86.

Statistical Approach

We posit there are two theoretically plausible mechanisms for why ethical leadership is positively related to the employee's prohibitive voice: through the employee's identification with the leader and/or through the employee's identification with the organisation. Because the two theoretically plausible mechanisms might operate simultaneously, and are not mutually exclusive, we included both in a dual-path model (see *Figure 1* for the hypothesised model).

Results

Table 1 reports the descriptive statistics and correlations among the variables.

***Table 1*: Correlation and Descriptive Statistics**

Variables	Mean	*SD*	1	2	3
1. Ethical Leadership	3.88	.61			
2. Organizational Identity	3.48	.69	.50**		
3. Leadership Identity	2.72	.70	.48**	.60**	
4. Prohibitive Voice	3.71	.58	.38**	.40**	.36**

***Note*: *N* = 206, * p < .05, ** p < .01**

Consistent with our first hypothesis, ethical leadership was positively related to prohibitive voice ($r = .38$, $p < .001$). In line with our second hypothesis, ethical leadership was positively related to leader identification ($r = .48$, $p < .001$), which was positively related to prohibitive voice ($r = .36$, $p < .001$). Consistent with our third hypothesis, ethical leadership was positively related to organisational identity ($r = .50$, $p < .001$), which was positively related to prohibitive voice ($r = .40$, $p < .001$).

Confirmatory Factor Analysis. We conducted a single-level confirmatory factor analysis using the maximum likelihood estimator in Mplus 8 (Muthén & Muthén, 1998−2017) to assess the factor structure (Byrne, 2013). The fit of the specified four-factor structure was evaluated using common guidelines, the root mean square error of approximation (RMSEA) < .06, the comparative fit index (CFI) ≥ .95, the Tucker–Lewis index (TLI) ≥ .95, and the standardised root mean square residual (SRMR) < .08 (Hu & Bentler, 1999). The proposed four-factor structure achieved a decent fit of the data ($\chi2(318) = 542.55$, RMSEA = .059, CFI = .924, TLI = .916, SRMR = .055). All factor loadings were statistically significant, ranging from .65 to .82 for ethical leadership, from .55 to .82 for organisational identity, from .61 to .78 for leader identification, and from .62 to .79 for prohibitive voice. The hypothesised four-factor model fits the data better than all the alternative models do (see *Table 2*).

***Table 2*: Confirmatory Factor Analysis Results Field Study (CFA)**

Model	χ^2	*df*	RMSEA	SRMR	*p*	CFI	TLI
Hypothesized Four-Factor Model	**542.55**	**318**	**.06**	**.06**	**.00**	**.92**	**.92**
Three-Factor Model (OI And LI Combined into One Factor)	**713.18**	**321**	**.08**	**.07**	**.00**	**.87**	**.86**
Two-Factor Model (OI and LI Combined into One Factor; EL And PV Combined Into One Factor)	**1020.82**	**323**	**.10**	**.09**	**.00**	**.76**	**.74**
One-Factor Model	**1446.75**	**324**	**.13**	**.11**	**.00**	**.62**	**.59**

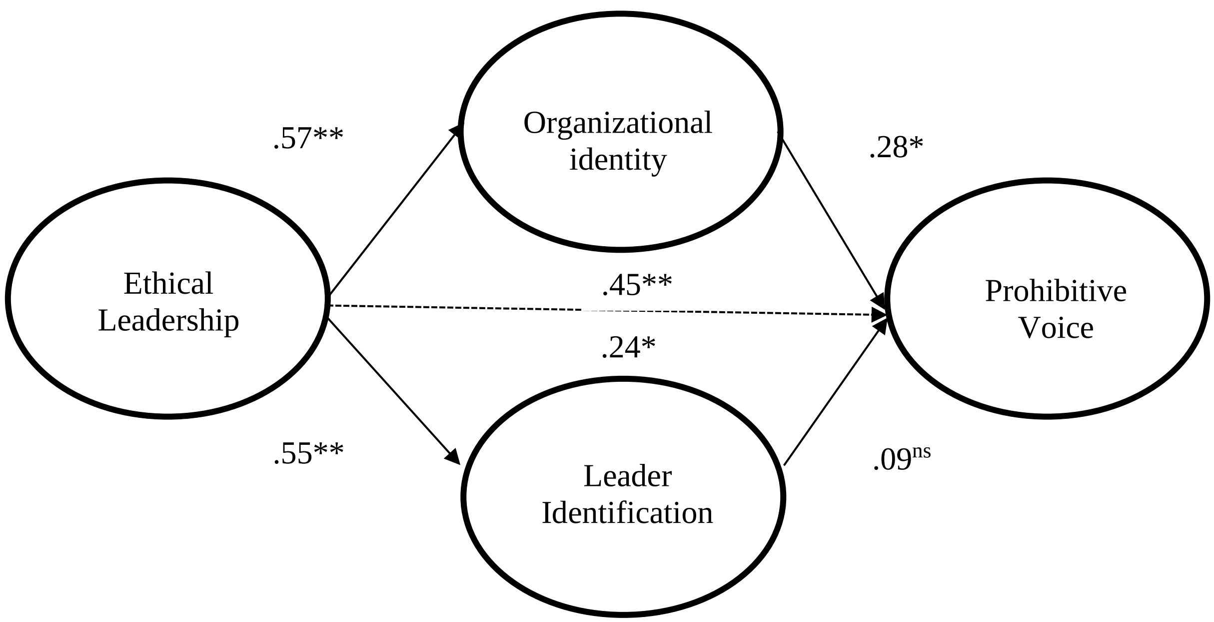
***Note*: OI = Organizational identity; LI = Leader identification; EL = Ethical leadership; PV = Prohibitive Voice**

Hypothesis Testing. To directly test our hypotheses, we used percentile bootstrap procedures (Fritz, Taylor, & MacKinnon, 2012; Preacher & Hayes, 2008) in Mplus 8 (Muthén & Muthén, 1998–2017). The result of a 5000 resampled percentile bootstrap revealed that the leader's perception of ethical leadership was positively related to the prohibitive voice ($\beta = .45$, $SE = .07$, $p < .001$, 95% CI [.31, .59]), which is in line with Hypothesis 1.

Further, we tested our two proposed indirect effects of leader identification (Hypothesis 2), and/or organisational identity (Hypothesis 3) as the mechanism(s) accounting for the effect of ethical leadership on prohibitive voice. Recapitulating, the zero-order correlations were in line with Hypotheses 2 and 3. However, to directly examine the two proposed indirect effects, we used structural equational modelling (SEM) employing a 5000 resampled percentile bootstrap procedure (Fritz et al., 2012; Preacher & Hayes, 2008) in Mplus 8 (Muthén & Muthén, 1998–2017).

Figure 2 shows the path coefficients yielded by SEM for the dual-process model. Because the confidence interval did contain zero, our second hypothesis was not supported ($\beta = .05$, $SE = .05$, 95% CI [-.07, .16]),[2] suggesting that leader identification is not the process by which ethical leadership relates to prohibitive voice. The alternative indirect path through organisational identity was supported as the confidence interval did not contain zero ($\beta = .16$, $SE = .07$, 95% CI [.03, .30]). Thus, Hypothesis 3 was supported.

***Figure 2*: Standardized Path Coefficients of the Hypothesized Relationships**



***Note*: * = *p* < .05, ** *p* < .01, *** *p* < .001**

[2] For exploratory purposes we decided to test hypothesis 2 in a single mediation model. The confidence interval did not contain zero ($\beta = .11$, $SE = .05$, 95% CI [.02, .21]), thus in line with hypothesis 2. However, given that a dual-model is a more sophisticated statistical model where the indirect effect of one mediator is assessed while controlling for the other mediators in the model (Hayes, 2017) we rejected hypothesis 2.

Overall, the results from the field survey suggest that ethical leadership is positively related to prohibitive voice through the indirect effect of organisational identity.

Discussion

The aim of our study was to test a dual-path model to explore the direct effect of ethical leadership on prohibitive voice and to disentangle the relative importance of the proposed mediating effects of organisational and leadership identification. The results indicated that ethical leadership has a significant direct effect on prohibitive voice, in line with Hypothesis 1. Regarding Hypothesis 2, our results showed that ethical leadership was related to leadership identification. However, when testing the mediating effect of leadership identity simultaneously with organisational identity, the relationship between leadership identity and prohibitive voice became insignificant. Accordingly, Hypothesis 2, which suggested a significant indirect effect of leadership identity on the relationship between ethical leadership and prohibitive voice, was not supported. Lastly, our results showed that when controlling for the indirect effect of leadership identity on prohibitive voice, organisational identity significantly mediated the relationship between ethical leadership and prohibitive voice. Thus, hypothesis 3, suggesting that organisational identity mediates the relationship between ethical leadership and prohibitive voice, was supported.

Theoretical Contribution

The current study offers four key implications that contribute to both theory and research on ethical leadership, identity and prohibitive voice. We believe our study is the first that examines the relationship between ethical leadership and prohibitive voice. Accordingly, our study aligns with and extends research that shows how ethical leadership is effective in stimulating promotive voice form the employees (Zhu et al., 2015; Walumbwa et al., 2011). This is logical, keeping in mind the stronger moral salience that may be at stake when voicing prohibitive concerns regarding factors that should be stopped or can create harm in the organisation (Liang et al., 2012). Thus, it may be that ethical leadership is indeed especially well-suited to stimulate prohibitive voice from employees.

Second, our study underscores the importance of identity processes when studying the relationship between ethical leadership and prohibitive voice. Previous research has found that both leadership identity and organisational identity are important when trying to elicit promotive voice from the employee (Zhu et al., 2015). However, when testing these to mediating variables simultaneously, we found that only organisational identity significantly mediates the relationship between ethical leadership and voice. Although our results are different, they show a similar pattern to the only likely extant study that has tested the mediating effect among ethical leadership, leadership identification, and organisational identification on promotive voice (Zhu et al.,2015). Zhu also showed a considerably stronger effect size of organisational identity, compared to leader identification. A possible explanation for this finding is provided in Kark, Chen, and Shamir (2003), who found that leadership identification is significantly related to the perception of dependency on the leader, whereas organisational identification is related to the experience of empowerment. Due to the higher inherent risk when speaking up with prohibitive concerns, it may be that the experience of dependency that results from strong personal identification with the leader may be inhibiting the positive effect of ethical leadership on prohibitive voice. The voicing of concerns that may potentially involve the leader as responsible may threaten this emotional bond between the ethical leader and the employee, thus lowering the effect of leadership identification. However, the empowerment that may result from the organisational identification can positively stimulate the employee to speak up with their worries or concerns and give the employee confidence to speak up.

Third, our study also shed light on Liu et al.'s (2010) investigation of the target sensitivity of voice. They found that leadership identification has a stronger effect when speaking up promotively to a supervisor, whereas social identity has a stronger effect when speaking up promotively to co- workers. We focused on speaking up to the supervisor. However, unlike Liu et al. (2010), we found that the effect of organisational identity predicted the strongest effect on prohibitive voice when testing the mediational mechanisms simultaneously. One explanation for this may be the prohibitive content of the employee's voice in our study, compared to the promotive voice, which was the focus in the study by Liu et al. (2010). Due to the stronger interpersonal risk associated with speaking up with concerns or worries that may harm the organisation (Liang et al., 2012), the identification with common goals, norms and values may be especially important, as employees with a strong organisational identity wish to protect themselves in order to sustain a positive self-image. Thus, our study lends support to the notion that the leadership–voice relationship is not only target-specific, but also content-specific, as previous research has suggested (Svendsen et al., 2016). Accordingly, our study supports the notion of understanding voice as a dual construct (Morisson, 2011; Chamberlain et al., 2017).

Lastly, our results demonstrate the importance of testing potential mediating effects on voice simultaneously in a dual-path model. When testing the models separately, we find that both leadership identity and organisational identity mediate the relationship between ethical leadership and voice. However, when we account for the relative importance of each construct, we find how organisational identification is the only significant mediator in the relationship. Accordingly, testing mediational models simultaneously when investigating leadership, identity processes, and voice may prove to be fruitful in order to gain a more nuanced understanding of the relative relationship between the constructs.

Practical Implications

Our study has several practical implications that are notable. We have shown that if leaders want to gain insights into crucial concerns, worries, and factors that may cause harm to the organisation, the highlighting and valuing of ethical behaviour, being a role model regarding ethical behaviour, and showing concern for the employees may all be important. However, our study also points to the fact that the leader should stress the shared organisational values, goals and norms in their leadership behaviours, rather than factors that invoke leadership identification, as this may invoke a stronger effect than focusing on the relational bond between the leader and employee. In sum, our results point to that organisations should train the employees at all levels to be, first and foremost, loyal to the institution. More importantly, they should also strive to, by for example stimulating and rewarding ethical leadership among the leaders, to create a safe and protective environment, that supports prohibitive voice, and rewards courageous employees instead of punishing them.

Limitations and Further Research

Although our study has several strengths, such as an original theoretical contribution, a sample representing diverse industries, ages and gender and the testing of mediators in a dual process model, it also has certain limitations. First, the data come from only one source − the employees − so the study may be subject to common method bias. However, Spector (2006) and Podsakoff et al. (2012) found that common method bias may be an overrated problem in general. Moreover, a meta-analysis by Tornau and Frese (2013) found that egocentric bias or observational bias may distort ratings by peers or supervisors rating of proactivity constructs such as voice. This suggests that leader or supervisor ratings of voice may also be problematic. A second limitation of the study is the possibility of reversed causality in our data. For example, it may be that employees who voice their concerns and perceive that they are listened to come to experience a higher sense of social identity, which in turn may lead to the experience of a more ethical leader. Therefore, further studies should aim to explore the causality between the constructs further by using, for example, experimental methods that are better suited to establish causality. A final limitation worth noting is that we only measured the individual effect of ethical leadership. Ethical leadership may also exist as a group-level construct (Walumbwa et al., 2011). However, our study was not equipped to disentangle the potential group-level effect of ethical leadership on voice. Therefore, further studies should conduct multilevel research to explore the potential differential effect of ethical leadership on a group level.

In general, a potential fruitful avenue for further research could be to explore the identity process involved in the ethical leadership–voice relationship by combining the study of both target-specific voice (voicing to co-workers or supervisor) together with content-specific voice (promotive or prohibitive voice) to explore the potential differential effects stemming from this relationship. Furthermore, it may be useful to explore whether the personal identification resulting from ethical leadership does result in follower dependency, and if this dependency may negatively affect the relationship between ethical leadership and prohibitive voice.

Conclusion

In this study we explored the effect of ethical leadership on prohibitive voice, and how identity processes are involved as important mechanisms in this relationship. Importantly, we found that ethical leadership is effective in predicting prohibitive voice behaviour. However, the main factor in this relationship proved to be the employee’s identification with the organisation, not the personal identification with the leader. Thus, ethical leadership may be an especially important factor when predicting prohibitive voice, due to the inherent moral dimension of prohibitive voice, which aligns with the actions and values of the ethical leader. We encourage further research to compare the effects of ethical leadership on promotive and prohibitive voice and to investigate how identity processes are affected by the target the employee speaks up to. Ultimately, this knowledge can be an important step in understanding how to elicit prohibitive voice from employees. Increased prohibitive voice may contribute to a decrease in unethical or harmful organisational practices that may cause serious threat to safety and ethics in companies, as exemplified by the scandals in Siemens, Yara, Vimpelcom, General Motors, and Volkswagen.

References

Ashforth, B. E. and F. Mael (1989). Social identity theory and the organization, *Academy of Management Review*, 14, pp. 20–39.

Ashforth, B., Harrison, S. H., and Corley, K. (2008). Identification in organizations: An examination of four fundamental questions. *Journal of Management*, *34*(3), 325–374.

Bandura, A. (1997). *Self-efficacy: The exercise of control*. New York: W. H. Freeman and Company.

Berinsky, Adam J., Gregory A. Huber and Lenz, Gabriel S. (2012a). Evaluating Online Labour Markets for Experimental Research: Amazon.com's Mechanical Turk. *Political Analysis* 20 (3):351–368.

Blau, P. M. (1964). *Exchange and power in social life*. New York: John Wiley and Sons.

Brislin, R. W. (1986). The wording and translation of research instruments. In W.J. Lonner & J. W. Berry (Eds.), *Field methods in cross-cultural research. Cross–cultural research and methodology series*, 8, 137–164.

Brown, M. E. and Treviño, L. K. (2003). Is values-base leadership ethical leadership? In *Emerging perspectives on values in organizations.* In Gillian, S. Steiner, D. and Scalicki, D. (Eds). Information age publishing. U.S.

Brown, M. E. and Treviño, L. K. (2006). Ethical leadership: A review and future directions. *The Leadership Quarterly*, 17: 595–616.

Brown, M. E., Treviño, L. K., and Harrison, D. A. (2005). Ethical leadership: A social learning perspective for construct development and testing. *Organizational Behavior and Human Decision Processes*, 92: 117–134.

Byrne, B. M. (2013*). Structural equation modeling with Mplus: Basic concepts, applications and programming*. New York, NY: Routledge.

Chamberlin, M., Newton, D. W., and LePine, J. A. (2017). A meta-analysis of voice and its promotive and prohibitive forms: Identification of key associations, distinctions, and future research directions. *Personnel Psychology*, 70, 11–71.

Christenson, D. P. and Glick, D. M. (2013). Crowdsourcing panel studies and real-time experiments in MTurk. *The Political Methodologist,* 20(2), 27–33.

Conger, J. and Kanungo, R., (1988). The Empowerment Process: Integrating Theory and Practice. *Academy of Management Review*, 13, 471–482.

Detert, R. and Burris, R. (2007). Leadership behavior and employee voice: Is the door really open? *Academy of Management Journal*, 50, 4, 869–884.

Dutton, J., Ashford, S., Lawrence, K., and Miner-Rubino, K. (2002). Red light, green light: making sense of the organizational context for issue selling. *Organization Science*, 13, 355–369.

Emerson, R. M. 1976. Social exchange theory. *Annual Review of Sociology*, 2: 335–362.

Fritz, M. S., Taylor, A. B., and MacKinnon, D. P. (2012). Explanation of two anomalous results in statistical mediation analysis. *Multivariate Behavioral Research*, 47(1), 61–87.

Haslam, S. A. (2001). *Psychology in Organizations: The Social Identity Approach*. London: Sage.

Hayes, A. F. (2017). *Introduction to mediation, moderation, and conditional process analysis: A regression-based approach*. New York, NY: Guilford Publications.

Healy, Paul M., and George Serafeim. How to Scandal-Proof Your Company. *Harvard Business Review* 97, no. 4 (July–August 2019): 42–50.

Hirschman, A. O. (1970). Exit, Voice, and Loyalty: Responses to Decline in Firms, Organizations, and States. Cambridge, MA: Harvard University Press.

Hu, L. T. and Bentler, P. M. (1999). Cutoff criteria for fit indexes in covariance structure analysis: Conventional criteria versus new alternatives. *Structural Equation Modeling: A Multidisciplinary Journal*, 6(1), 1–55.

LePine, J. A. and Van Dyne, L. (1998). Predicting voice behavior in work groups. *Journal of Applied Psychology*, 83, 853–868.

Lee, K. (2016). Ethical leadership and followers taking charge: trust in, and identification with, leader as mediators. *Social Behavior & Personality: An International Journal*, 1793–1802.

Liang, J., Farh, C., and Farh, J. (2012). Psychological antecedents of promotive and prohibitive voice: A two-wave examination. *Academy of Management Journal,* 55(1), 71–92.

Lin, S.-H. and Johnson, R. E. (2015). A suggestion to improve a day keeps your depletion away: Examining promotive and prohibitive voice behaviors within a regulatory focus and ego depletion framework. *Journal of Applied Psychology*, 100, 1381–1397.

Liu, W., Zhu, R., and Yang, Y. (2010). I warn you because I like you: Voice behavior, employee identifications, and transformational leadership. *The Leadership Quarterly*, 21, 189–202.

Mael, F. and Ashforth, B. E. (1992). Alumni and their alma mater: A partial test of the reformulated model of organizational identification. *Journal of Organizational Behavior,* 13(2), 103–123.

McClean, E.J., Burris, E.R., and Detert, J. R. (2013). When Does Voice Lead to Exit? It Depends on Leadership. *Academy of Management Journal*, 56, 525–548.

Morrison, E. W. (2011) Employee Voice Behavior: Integration and Directions for Future Research. *The Academy of Management Annals*, 5, 373–412.

Muthén, L. K., & Muthén, B. O. (1998-2017). *Mplus User's Guide*. Eighth Edition. Los Angeles, CA: Muthén and Muthén.

Podsakoff, P. M., MacKenzie, S. B., and Podsakoff, N. P. (2012). Sources of method bias in social science research and recommendations on how to control it. *Annual Review of Psychology,* 65, 539-569.

Pratt, M. G. (1998). 'To be or not to be: central questions in organizational identification.' In D. A. Whetten and P. C. Godfrey (eds), *Identity in Organizations: Building Theory through Conversations*, pp. 171–207. Thousand Oaks, CA: Sage.

Preacher, K. J. and Hayes, A. F. (2008). Asymptotic and resampling strategies for assessing and comparing indirect effects in multiple mediator models. *Behavior research methods*, 40(3), 879–891.

PwC (2018). Global Economic Crime and Fraud Survey 2018–Pulling fraud out of the shadows. Available at: https://www.pwc.com/gx/en/forensics/global-economic-crime-andfraud-survey-2018.pdf

Raudenbush, S. W. and Bryk, A. S. (2002*). Hierarchical linear models* (2nd ed.). Thousand Oaks: Sage Publications.

Shamir, B., House, R. J., and Arthur, M. B. (1993). The motivational effects of charismatic leadership: A self-concept based theory. *Organization Science*, 4, 577–594.

Sluss, D. M. and Ashforth, B. E. (2007). Relational Identity and Identification: Defining Ourselves Through Work Relationships, *Academy of Management Review,* 9–32.

Sluss, D. M., Ployhart, R. E., Cobb, M. G., and Ashforth, B. E. (2012). Generalizing newcomers' relational and organizational identifications: Processes and prototypicality. *Academy of Management Journal*, 55(4): 949–975.

Spector, P. E. (2006). Method variance in organizational research: Truth or urban legend? *Organizational Research Methods*, 9, 221–232.

Svendsen, M., Unterrainer, C., and Jønsson, T. (2018). The differential effect of transformational leadership and job autonomy on promotive and prohibitive voice: A two-wave study. *Journal of Leadership and Organizational Studies*, 25, 171–183.

Svendsen, M. and Jønsson, T. (2016). Transformational leadership and change related voice behavior. *Leadership and Organization Development Journal*, 37, 357–368.

Svendsen, M., Jønsson, T., and Unterrainer, C. (2016). Participative supervisory behavior and the importance of feeling safe and competent to voice. *Journal of Personnel Psychology*, 15, 25–34.

Tangirala, S. and Ramanujam, R. (2011). Ask and you shall hear (but not always): examining the relationship between manager consultation and employee voice. *Personnel Psychology*, 65, 251–282.

Tornau, K. and Frese, M. (2013). Construct Clean-Up in Proactivity Research: A Meta-Analysis on the Nomological Net of Work- Related Proactivity Concepts and their Incremental Validities. *Applied Psychology*, 62, 44–96.

Van Dyne, L. and LePine, J. A. (1998). Helping and voice extra-role behavior: Evidence of construct and predictive validity. *Academy of Management Journal*, 41, 108–119.

Van Dyne, L., Ang, S., and Botero, I. C. (2003). Conseptualizing employee silence and employee voice as multidimensional constructs. *Journal of Management Studies*, 40, 1359–1392.

Van Knippenberg, D. (2011). Embodying who we are: Leader group prototypicality and leadership effectiveness. *The Leadership Quarterly*, 22, 1078–1091.

Walumbwa F. O. and Schaubroeck J. (2009). Leader personality traits and employee voice behavior: mediating roles of ethical leadership and work group psychological safety. *Journal of Applied Psychology* 94, 1275–1286.

Walumbwa F. O., Mayer D. M., Wang P., Wang H., Workman K., and Christensen A. L. (2011b). Linking ethical leadership to employee performance: the roles of leader-member exchange, self-efficacy, and organizational identification. *Organizational behavior and human decision processes,*115, 204–213.

Yukl, G. A. (2012). *Leadership in organizations*. (8th ed.). Upper Saddle River, NJ: Prentice Hall Publication.

Zhu, W. C., He, H. W., Treviño, L. K., Chao, M. M., and Wang, W. Y. (2015). Ethical leadership and follower voice and performance: The role of follower identifications and entity morality beliefs. *The Leadership Quarterly*, 26, 702–718.

About the Authors

Mari Svendsen, PhD candidate in Psychology, is an associate professor in the Department of Leadership and Organization, Kristiania University College, Norway. Her research interests include leadership, voice, diversity, and work inclusion. Previously, Mari served as a clinical psychologist, working with leadership development and work inclusion in private and public organizations. Ms. Svendsen can be contacted at: mari.svendsen@kristiania.no

Ingvild Seljeseth, PhD candidate in Psychology, is an associate professor in the Department of Leadership and Organization, Kristiania University College, Norway. Her research interests include power and instability of power, motivation, voice, and leadership. Previously, Seljeseth was employed as both a clinical psychologist in the health sector as well as an organizational consultant concerning the selection and development of leaders and team development. Ms. Seljeseth can be contacted at: ingvild.seljeseth@kristiania.no

Kjell Ove Ernes is an associate professor of labor law, market law, ethics, and management at the Department of Health Science, Kristiania University College, Norway. His research interests include law, ethics, and leadership. Having earned a Masters in Law at the University of Oslo and Forensic Science, Ernes is currently a PhD candidate there. Mr. Ernes can be contacted at: kjellove.Ernes@kristiania.no

Helping Leaders Grow Up:
Vertical Leadership Development in Practice

HANNAH ELISE JONES
UBER TECHNOLOGIES
SAN FRANCISCO, CA USA

JULIE A. CHESLEY, PHD
PEPPERDINE UNIVERSITY
MALIBU. CA USA

TERRI D. EGAN, PHD
PEPPERDINE UNIVERSITY
MALIBU. CA USA

Abstract

This research reinforces arguments for the use of adult vertical development theory to transform traditional leadership development practices to prepare leaders for the volatile, uncertain, complex, and ambiguous (VUCA) world. Vertical leadership development strategies and practices were assessed in fifteen large organizations. Multiple factors impacted implementation of vertical development practices. The primary factor was the overall leadership development mindset (the organization's learning strategy and its theory of individual change). Secondary factors include senior leader engagement, space for openness and vulnerability, capability and experience of practitioners, alignment in business processes, and expanded understanding of risk-taking. Our results illustrate that accelerating leadership capacity through the implementation of vertical development practices requires significant personal and organizational commitment.

Introduction

Global changes have transformed the demands placed on leadership and are reshaping what it means to be a successful leader. We have long associated character and values with leadership capacity (Bass & Steidlmeier, 1999). Over time, social and organizational sciences have sought to define leadership as specific traits and values so that leaders can be identified and trusted (Gini & Green, 2013; Kouzes & Posner, 2012). However, as our global and organizational environment becomes more volatile, uncertain, complex, and ambiguous (VUCA), a high degree of character/virtue is no longer sufficient for leadership success (Ko & Rea, 2016). To address today's VUCA world, leaders need the capacity for enhanced perspective taking that comes with adaptability, self-awareness, boundary spanning, collaboration, and network thinking (Petrie, 2014a).

Unfortunately, research suggests that most leaders are unprepared and fall short in these essential areas, creating a gap between the leadership we have and the leadership we need for the future (Ghemawat, 2012; Weiss & Molinaro, 2005). As our social ideas about fairness and justice evolve and the role organizations play in society becomes increasingly interconnected and complex, this gap will likely continue to grow. Trait or character-based notions of what makes an effective leader will not be sufficient for effective — let alone transformational — leadership. We propose that helping leaders increase their mental complexity, the domain of vertical development theory provides the means to close the development gap.

Vertical development interventions prepare leaders to continuously learn and develop in accordance with the changing demands of the environment concomitantly increasing self-awareness. Vertical leadership development provides a philosophy that moves from focusing on *what* leaders know towards understanding *how* leaders make sense of knowledge acquired. This difference in philosophy illustrates why despite "widespread investments in management and leadership education, companies still are not able to deal with the 'leadership crisis' in their organizations" (Kegan & Lahey, 2010). These investments are focused too much on *skills* individuals possess and insufficiently on the *development* of the individuals themselves.

Understanding Vertical Development and the Need for Change

Vertical development refers to an individual's progressive growth through stages of increasing socio-emotional and cognitive sophistication, shaping how they interpret and interact with their environment (Cook-Greuter & Miller, 1994; Kegan, 1982; Petrie, 2014b; Torbert, 1987). With each stage, individuals develop an increasingly complex and inclusive point of view. This contrasts with traditional horizontal development which focuses on the development of skills and abilities from a technical perspective and supplies useful strategy when problems and their correlating approaches for resolution are clearly defined (Petrie, 2014b).

Vertical development has its genesis in constructivist developmental theories (Loevinger, 1963), largely situated within the domains of psychology and moral philosophy (Kohlberg, 1976). This work rarely crosses disciplinary boundaries and has not been widely integrated into leadership development research and practice. Despite this divide, two models of adult vertical development have begun to permeate organizational discourse: *Kegan's Orders of Consciousness* and *Torbert's Action Logics*.

Kegan refers to his stages of vertical development as Orders of Consciousness, identifying five distinct levels of development: Impulsive Mind, Imperial Mind, Socialized Mind, Self-Authoring Mind, and Self-Transforming Mind (1982, 1994). Progressing through higher orders requires a more sophisticated sense of self in relation to others and other perspectives. People at higher levels of development have a greater ability to learn and solve complex problems. They can question their own assumptions about the world and are more likely to accept paradox while remaining centered and confident in their ability to take action. Kegan found that less than thirty four percent of adults ever reach the Fourth Order while three to six percent were in various phases of transitioning between the Fourth Order and Fifth Order with no individuals fully attaining the Fifth Order (1994).

Torbert's Action Logic model highlights seven levels of leadership: Opportunist, Diplomat, Expert, Achiever, Individualist, Strategist, and Alchemist. The levels are distinguished by differences in how a leader perceives the world and processes information. An Opportunist sees the world through a lens of power and seeks personal gain. Alternatively, an Alchemist moves away from viewing the world in artificially segregated categories, and begins to understand the complexity and temporal nature of events (Torbert, 1987). Similar to Kegan's Orders of Consciousness, research has found only four percent of the studied population had reached the Strategist level while less than one percent attained the Alchemist stage (Rooke & Torbert, 2005). *Table 1* compares the two models.

***Table 1*: Comparison of Adult Vertical Developmental Models**

	Kegan's Orders of Consciousness (Cognitive Development)	**% of pop**	**Torbert's Action Logics (Ego Development)**	**% of pop**
Pre-Conventional	**First Order: Impulsive Mind** - Unable to understand self in relation to other objects; subject to impulses and perceptions of the world			
	Second Order: Imperial Mind - Develops greater control over impulses but is subject to needs and desires; relationships represent a transactional way to meet needs	6%	**Opportunist** - Wins in any way possible. Self-oriented; manipulative; "might makes right"	5%
Conventional	**Third Order: Socialized Mind** - Develops an understanding of needs and desires as separate from the core self; is subject to the interpersonal relationships through which the self is defined; seeks external validation of the self	58%	**Diplomat** - Avoids overt conflict. Wants to belong; obeys group norms; rarely challenges the status quo	12%
			Expert - Rule by logic and expertise; seeks rational efficiency	38%
			Achiever - Meets strategic goals. Effectively achieves goals through teams; juggles managerial duties and market demands	30%
Post- Conventional	**Fourth Order Self-Authoring Mind** - Develops an understanding of self outside of relationships; is subject to ideologies and values systems; shapes a more nuanced and values-based understanding of the world	35%	**Individualist** - Interweaves competing personal and company action logics. Creates unique structures to resolve gaps between strategy and performance	10%
			Strategist - Generates organizational and personal transformations. Exercises the power of mutual inquiry, vigilance, and vulnerability for both the short and long term	4%
	Fifth Order Self-Transforming Mind -	1%	**Alchemist** - Generates social transformations.	1%

	Develops an understanding of the limits of self; begins to view others separate from themselves; views their ideologies as limited; develops a greater ability to hold paradox, but is subject to the dialectic between ideologies		Integrates material, spiritual, and societal transformation	

Vertical Development in Practice

To stimulate vertical growth, a few models designed for practical organizational application have emerged. Petrie (2015) suggests a framework for creating developmental experiences that encourage vertical growth naming three primary conditions: Heat Experiences (Initiation — The What), Colliding Perspectives (Enablement — The Who), and Elevated Sensemaking (Integration — The How). Heat Experiences are events that disrupt the individual's habitual way of doing things and open the individual's mind to search for new and better ways. Colliding Perspectives occur when the individual is exposed to people with different worldviews, opinions, and backgrounds which challenge the individual's mental models and encourages the leader to think more extensively. Finally, Elevated Sensemaking refers to the individual's process of integrating and making sense of new perspectives to develop a larger and more advanced perspective.

While Petri's conditions are helpful in thinking about specific practices in an organization, Kegan and Lahey take the implementation of vertical development further with their Deliberately Developmental Organization™ (DDO™) framework (Kegan et. al., 2016). Inspired by the potential indicated in adult vertical development, Kegan and Lahey expanded their research to organizations that were intentionally creating environments which supported vertical development. Their research shares case studies of organizations that have successfully created these environments and provides a framework highlighting three essential dimensions needed to create and sustain a developmental environment: Edge (Aspiration), Groove (Practices), and Home (Community).

For an organization to begin its transition to a DDO™, the work of creating Community can be the most effective and challenging first step. Kegan and Lahey (2016) emphasize the importance of Community by saying that "growth can happen only through membership in workplace communities where people are deeply valued as individual human beings, constantly held accountable, and engaged in real and sustained dialogue" (p. 108). As a baseline, organizations aspiring to become a DDO™ must prioritize trust and safety in their culture; otherwise, employees may not have the support necessary to engage in the meaningful and challenging work required for their personal development.

Aspiration refers to the core philosophy and strategy of the organization. For any organization seeking to become a DDO™, a deep belief in individual development as a critical component to business success must be part of the core operating system. An "organization can sign on to the principle in spirit, value it as a nice to have, and even make investments to promote more of it — but this is very different from asking, 'From the ground up, have we designed our organization so that it supports the growth of its members…?'" (Kegan, Lahey et. al., 2016, p. 88).

Once a supportive community and strategy have been cultivated, deliberate Practices help the developmental vision extend throughout the organization in a way that people, managers, and individual contributors alike can understand and foster reaction when warranted. When taken together, these three components support an organization that strives to vertically develop its people in the process of running a successful business.

As these models suggest, vertical development requires a different approach than traditional skills-based views of leadership development. For organizations to effectively develop the leaders with the mindsets required for a VUCA world, they must think differently about what leadership looks like and how they can support their people to evolve accordingly. While some organizations have begun exploring vertical development in practice, to our knowledge this study is the first that examines the extent to which vertical strategies for growth are present in organizations while identifying which barriers and enablers exist to support the implementation of vertical development.

Methods

Data Collection

This study used a qualitative approach, with data collected through hour-long, semi-structured, one-on-one interviews (Maxwell, 2013). This approach was chosen to better understand the experience of practitioners engaged in leadership development activities and how principles of vertical development were being used. Interview questions were designed and modeled after Kegan and Lahey's framework for Deliberately Developmental Organizations™ (DDO™), and Petri's conditions for vertical development (Kegan, Lahey, Miller, Fleming, & Helsing, 2016; Petri, 2015). These frameworks were used to ensure that all components of the vertical development experience were addressed in the interviews. The interview questions were tested and refined through peer review by two practitioners familiar with theories of vertical development. A comprehensive literature review and subsequent peer review served to establish the face validity of the instruments.

To identify and solicit interview participants, this study used a purposive and convenience sampling approach (Creswell, 2014). Nineteen internal practitioners came from fifteen large (over 1,000 employees) organizations in the technology, professional services, manufacturing, healthcare, and government/philanthropy industry sectors. These respondents held a strategic-level position that allowed them to understand the leadership strategy of the organization. In two cases respondents represented global manager development, and two respondents oversaw executive development specifically. Other respondents had titles such as Global Talent Officer, Chief Learning Officer or Vice President of Learning and Organizational Effectiveness. Additionally, six respondents were external leadership development consultants, all running their own consulting or coaching firm.[i]

Data Analysis

Each interview was taped and transcribed and the data was analyzed and deductively coded. In the first phase of analysis, all interview transcripts were read and initial organizing ideas were identified. These ideas were used to begin open coding. Codes were a word, phrase, sentence, or multiple sentences that offered insight or knowledge regarding the application of vertical development theory. Coding was performed iteratively until the coded data reflected the underlying raw data. The resulting code was organized into macro and micro codes that formed the backbone of the analysis. Initial coding was verified by a second rater, and the data exhibited an inter-rater reliability of 90%. After validation, the language was refined and content was organized to more effectively reflect and communicate the state of practice.

In addition to the coding of key factors influencing the implementation of vertical development, analysis of the interview data also produced themes related to the organization's leadership development mindset. This was based on data that reflected the organization's learning strategy and how that strategy was enacted.

Results

The results of the study show that the degree to which an organization implemented vertical development depends largely on the organization's leadership development mindset as well as upon a number of secondary factors: senior leader engagement, space for openness and vulnerability, capability and experience of practitioners, alignment in business processes, and expanded understanding of risk-taking. Additionally, the results of this research illustrate that accelerating leadership capacity of an organization through the implementation of vertical development requires significant organizational commitment and change.

Organizational Leadership Development Mindset

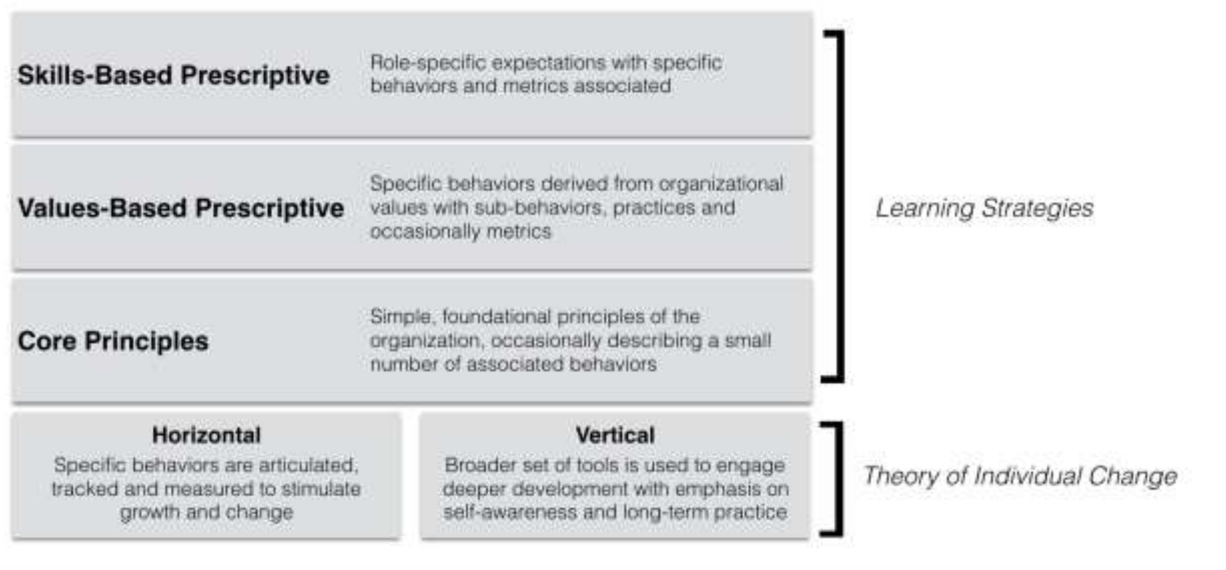
A key factor that differentiated the 15 organizations was the mindset they used to conceptualize and communicate leadership development. The overall mindset was comprised of two important components: 1) the organization's learning strategy, and 2) the organization's theory of individual change. The learning strategy refers to how the organization articulated leadership and what is required to develop it. Three distinct learning strategies emerged: Skill-Based Prescriptive, Values-Based Prescriptive, and Core Principles.

---

[i] The intention behind our qualitative paper was not to generalize, but rather to gather rich information about this new area of study. Our approach was to interview a homogenous group of people in a particular position in an organization — in our case nineteen individuals who held a strategic-level position (e.g., Directors of Development) in organizations that have over 1,000 employees. To support that data, we also interviewed 6 external practitioners who work in these organizations to give us saturation. While there are a number of ideas around saturation, Guest, Bunce, and Johnson (2006) propose that saturation often occurs around 12 participants and Latham (2013) suggested 11 participants.

Within these categories it was clear that the strategies differed further, depending on whether the organization was intentionally using vertical development principles or horizontal development principles. This nuance resulted in the leadership development mindset framework (see *Figure 1*).

***Figure 1*: Organizational Leadership Development Mindset**



Organizations characterized as having a Skill-Based Prescriptive learning strategy identify skills and competencies that tend to be role-specific. Their frameworks largely focus on the tactical aspects of leadership versus relational or personal characteristics. For example, one organization using a Skill-Based Prescriptive mindset had five leader "qualifications" that were subdivided into competencies; a qualification was being "*Results Driven*" and the key competencies identified were "*Accountability, Problem Solving, and Decisiveness*." Other organizations differentiate sub-competencies according to various positions in the organization. One participant from a Skill-Based Prescriptive organization explained the use of competencies "*to design training…to frame performance reviews where we look at who is ready now, who will be ready in a couple of years, and what kind of developmental plan do they need to have based on the competencies*."

Organizations having a Values-Based Prescriptive learning strategy use a leadership framework rooted in their core organizational values. These frameworks emphasize behaviors that are less technical than those seen in the skills-based category and include more interpersonal behaviors, imbued with a substantial emphasis on what it means to be a leader in the unique cultural context of the organization. For example, one organization articulated collaborating with others, including others, establishing trust, and having fun as competencies required to support their organizational value of "*Partnership*."

Additionally, both values- and skills-based strategies tended to be more complex, using frameworks that consisted of multiple levels of sub-competencies, behaviors, or metrics. One participant from a Values-Based Prescriptive organization described how their values pervade employee development, providing "*a set of management and leadership competencies that roll out of those core values … We assess managers and leadership around those competencies*."

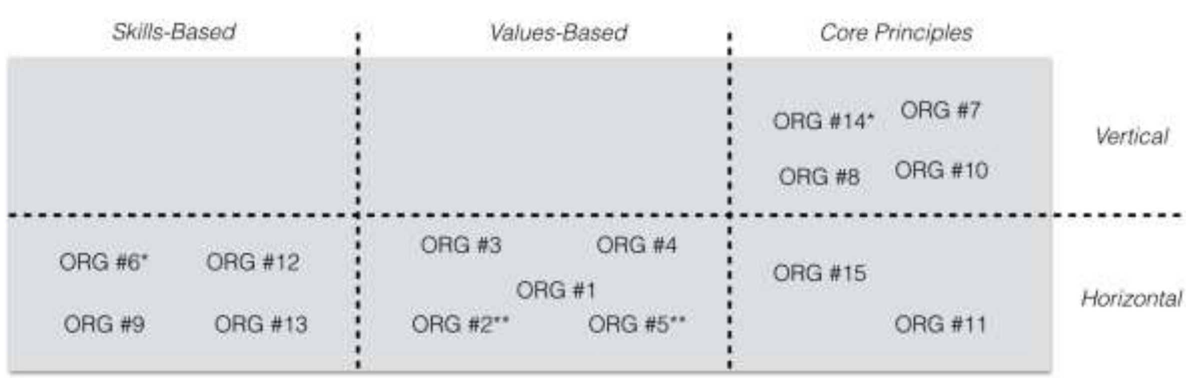
The Core Principles learning strategy present in six of the participating organizations emphasizes the foundational truths of the organization versus the detailed behaviors expected of leaders. All organizations using this strategy had no more than three principles. For example, one organization projected three broad principles: "*Create Clarity, Generate Energy, and Deliver Success.*" Each of these was accompanied by three independent sentences describing the principle.

In addition to the organization's learning strategy, organizations differed in their theory of individual change. The theory of individual change refers to how the organization views individual change, either horizontally or vertically. While both aim to create shifts in behavior that stimulate growth and development, they do so in different ways. Organizations using a horizontal theory of individual change have specific behaviors that are identified, tracked, and measured to stimulate growth. Organizations with vertical theories of individual change use a broader set of tools to engage individuals in deeper levels of personalized change. Participants using this theory spoke more about the individual leader, the significance of self-awareness, the long-time horizon, and the challenge of measuring progress. One participant using a vertical theory of individual change described it in this way:

> *As you look at the research and the more you talk to practitioners about this idea of adopting a new mindset or elevating your thinking from vertical, is that it takes a multi-year, multi-stage process, that cannot and should not necessarily be solved through any type of specific program. It could be introduced in a programmatic way but really articulated in a long-term focus of recurring practices.*

Across the 19 internal participants, 14 utilized a horizontal approach, while 5 utilized a vertical approach. All six external participants used a vertical approach. The continuum in Figure 2 shows how the components of the leadership development mindset relate to one another across the organizations represented in the data.

***Figure 2*: Organizational Leadership Development Mindset Continuum**



*Interview participants represented executive development specifically
**Interview participants represented global manager development specifically

Notable in this categorization is the fact that all participating organizations intentionally using vertical development practices were employing a Core Principles learning strategy, and a vertical theory of individual change. Importantly, none of these intentionally developmental organizations in the top half of the continuum outlined detailed behaviors, measures, outcomes, or expectations for leaders. They instead provided a narrative of the foundational principles of the organization, which in many cases they expected all employees to adhere to, including leaders. One organization in this category explicitly distinguished its use of both vertical and horizontal development, the vertical focused on leadership and the horizontal focused on requisite job skills. This distinction created space in the framework for both the necessary specificity of role-specific skills and a more open description of leadership that makes room for different kinds of individual leadership growth.

However, using a Core Principles learning strategy to inform leadership in an organization does not ensure the implementation of vertical leadership development. Two organizations utilized a Core Principles strategy but did not have a vertical theory of individual change as is demonstrated in the bottom right of *Figure 2*. These two organizations eliminated their traditional leadership competency frameworks, but still upheld a more tactical and data-driven approach to behavior change. Hallmarks include specific connections between leadership expectations and performance reviews, enterprise goal setting, and pre-determined learning paths for leaders. Our data did not find any organization using a prescriptive learning strategy that also employed a vertical theory of individual change. Only organizations that had transitioned away from using specific and detailed views of leadership, as seen in the two prescriptive strategies, created room for vertical practices to emerge.

Secondary Factors Influencing the Implementation of Vertical Practices

In addition to the organization's leadership development mindset, our interviews indicated that an organization’s ability to develop leaders and make the essential shifts required for vertical development depend in large part on these five factors: 1) senior leader engagement (mentioned by all 25 participants), 2) making space for openness and vulnerability (mentioned by all 25 participants), 3) capability and experience of practitioners (mentioned by 19 participants), 4) creating alignment in business processes (mentioned by 15 participants), and 5) an expanded understanding of risk-taking (mentioned by 14 participants). These critical factors were present in all organizations, irrespective of their leadership development mindset, but as the following examples show, the impact they generate and the way in which they are managed are unique in organizations using a vertical theory of individual change. Vertically developmental organizations understand clearly how these factors impact leadership development, while other organizations in the research were just gaining awareness and struggling with how to manage some of these factors.

Senior Leader Engagement. A major organizational factor that supports an organization’s capacity to adopt a vertical approach to leadership development is the engagement of senior leaders. Respondents discussed senior leader engagement in three key ways: investment and sponsorship, role modeling behaviors, and setting the tone.

Senior leaders' engagement often determines what can be done by practitioners. The topic of investment and sponsorship was prevalent in conversations about behavioral role modeling and setting the tone as much of that behavior is derived from whether or not the leaders are personally committed to supporting the work of vertical development themselves. When asked what would produce the most significant difference in their ability to more effectively develop leaders, nine respondents specifically stated that support from the top of the organization was key. One response is shared below:

> *I mean, if you ask [senior leaders] to come kick off something, they will come, they will say the right things, but in terms of practice it is still a challenge ... You can talk about leadership, but as long as people are still approaching it from their technical skills, staff in general will pay more attention to technical skills than leadership skills.*

Notably, all but one of the organizations using vertical development principles discussed the high level of involvement of their senior leaders and their CEO. Overall, when discussing the participation of senior leadership teams, the tone of developmental organizations was much more positive than horizontal organizations, many of whom felt they had little meaningful support from the top.

The importance of role modeling by senior leaders emerged specifically in six interviews, from two vertical external consultants and from four horizontal organizations. Rather than emphasizing the role modeling of competency-aligned behaviors, vertical respondents spoke of the significance of leaders' role modeling developmental work. This includes being open in front of others about the developmental work they are doing personally. The following response offers one example of awareness of developmental work:

> *And, of course, it is very powerful when senior leaders in the room begin to see something in their thinking that they begin to perceive as limited and they share it. That is a very powerful moment. There is a collective exhale in the room. Employees see something shifting at the top and they say 'Okay, I guess this is real. We are not just playing games here.'*

Even in companies that described themselves as less hierarchical — without controlling top teams — the influence of senior leaders was still an essential ingredient to successful leadership development. In both concrete and less tangible ways, senior leaders are the lynchpin to having vertical development embraced in organizations.

Making Space for Openness and Vulnerability. Another organizational factor influencing the adoption of vertical leadership development practices is the organization's ability to make space for openness and vulnerability. All 25 interview participants expressed that their organizations or clients are challenged or inhibited by personal vulnerability and emphasized the importance of managing this perceived hindrance in order to enhance leadership development. For practitioners employing vertical development, increasing the level of openness and vulnerability in their organizations and their clients is a main area of focus. They acknowledged that the lack of openness in organizations is not just preventing leaders from developing, but it is preventing them from being themselves, with serious consequences. One respondent articulated the significance of this cultural dynamic:

> *Most leaders are not in psychologically safe environments, so they can't show up fully… There are leaders who are DEEPLY hungry for someone to be able to fully meet them, intellectually, emotionally, in their messiness—and it needs to be more than a coaching relationship that happens once a week.*

The way that senior leaders are able to show up with openness and vulnerability in their own organizations impacts them psychologically; it also impacts the way that leadership is viewed in the rest of the organization. This can limit the range of acceptable behaviors and development activities in the organization. When asked what one thing she would change to make leadership development more effective, one participant in a horizontally developmental organization said: "*I wish our leadership could let their walls down. I wish that they could feel that it is okay to want and need development … So for me the walls would be the one thing that I would want to crumble down first*." Another commented: *We are terrible at [leaders being open about their development] …Two years ago when we got rid of ratings we turned on a feature in Workday on how to give feedback. We were trying to drive transparency, openness and a little bit of vulnerability and it was SUCH a hot topic."*

Capability and Experience of Practitioners. The next most frequently referenced organizational factor that influenced the adoption of vertically developmental practices was the capability and experience of practitioners. This factor had three sub-themes: 1) understanding of the theory, 2) an ability to translate the theory and show impact, and 3) experience with their own personal vertical development.

Some practitioners said understanding the theory of vertical development was a significant challenge for their organizations. One participant said that finding people to build his team and do vertical work in the organization was his biggest barrier to more effectively developing leaders. He said, "*The capability and skills of the people on my team…I need to have someone who understands the [vertical] field and is also an A business player and I can't find them*." Another respondent, when asked about why he thought so few people are familiar with theories of vertical development, responded in the following way:

> *I think it is really a failure of academia…How many <u>Harvard Business Review</u> articles have spoken explicitly about adult development? … Why isn't Fast Company talking about it? … Where are the New York Times best-selling business books on vertical development? They don't exist!*

In addition to understanding the theories of vertical development, practitioners must also be able to effectively translate this to organizational practice. While this is a challenge in all organizations, translating and showing the impact of vertical development is far from mainstream leadership development conversation. Where this challenge was discussed, respondents from all four vertically developmental organizations said that the best way to get leaders to understand and support the topics is to engage them in the work and help them understand ideas of vertical development through their own experiences. They also expressed challenges with proving the impact of leadership development interventions of all kinds. One vertical practitioner discussed how she coaches leaders to see and understand the positive impacts of their development by focusing on measurable business outcomes:

> *Some of them really struggle with it in the beginning, so I have to logically line it out for them. So then we have a measurable business outcome and could show ROI to the business. And they [the leaders] feel more invested … they feel more proud in looking at the impact of how they are growing into their work.*

While individuals can work with coaches to track changes associated with their own growth, as described above, a more substantial challenge is showing impact on the business at large when only these personalized approaches exist. No respondents had an answer for the challenge of measurement, and many noted that while one can observe trends, it is virtually impossible to show more than just correlation. One respondent attributed her organization's lack of focus on leadership development to this issue, saying that even when focus is found, the organization rarely sustains it, instead developing other models in a constant search for something that the business will readily adopt. All of this, she said, stems from the inability to measure or prove the impact of leadership development work, which for developmental practitioners is compounded by the lack of availability of vertical development assessments. Even if leaders are to accept the concept of vertical development, measuring progress or conducting pre- and post- assessments is a challenge.

Adding to the challenge of identifying practitioners and demonstrating impact is the importance of practitioners having experienced the work personally. This final sub-theme was unique to vertical development practitioners. In describing the importance of personal work one said, "*The client can only go so far as you have gone within yourself …They are not going to go there if you won't go there yourself."* Another respondent described, "*Practitioners sometimes get in the bad habit of saying oh you should do all these things but they themselves haven't actually gone through that process or that inquiry and there is a hypocrisy in that, you know …The power of this work comes from it actually transforming yourself first.*"

Given the lack of awareness of the theories of vertical development in general, finding people with meaningful personal experience in vertical development is a barrier to more organizations adopting vertical approaches. The challenge of finding practitioners who have a mastery of all three of these things — vertical theory, ability to translate and apply that theory, and experience with their own development — is a pervasive impediment to bringing theories of vertical development into organizational leadership development in a sustainable and effective way.

Creating Alignment in Business Processes. Creating process alignment across the organization, from the smallest practices to fundamental ways of working together, is another organizational challenge to the adoption of vertical development. Frequently cited in this context were performance reviews and promotions. Respondents highlighted that their performance review process challenged leadership development because it focused on technical aspects of the job without rewarding other skills and capabilities. One participant from a values-based horizontal organization gave this example of how her organization's performance management process is inhibiting leadership development:

> *We have some challenges in our performance review process. It asks employees to rate themselves and for others to rate them based on only one half, and what impact they made that half. It is not rewarding any long-term changes. And there is nothing on there about "How did you learn? How did you fail?*

While performance processes and general integration were the main focus of responses from horizontal organizations, vertical organizations took the idea of integration further, raising the idea that the entire organizational system might be contributing to the struggles of effectively developing leaders. All internal practitioners who utilized a vertical theory of individual change spoke about how the entire talent process, including performance management and promotion, has traditionally been an impediment to leadership development. Instead of working around these traditional methods, they are trying to use more developmental approaches to career progression, including getting rid of job descriptions and ranking processes, and encouraging employees to identify roles they are interested in instead of following a predetermined promotion path.

Beyond these examples, all respondents characterized as vertical cited the challenge of working within larger systems that do not hold the same developmental values. The sentiment was that the system often restricts individuals from engaging more fully in their own vertical development. One respondent explained, "*Say a team is really progressive, doing all of this stuff, but they are still caught within the larger system of performance management, of promotions, these things that can be a lower level design. That is a whole, huge OD change*." Another commented, "*When we look at the individual we need to look at the team and we need to look at the organization. It is very systemic… there are a lot of good leaders out there and they are not able to move into their fullest potential because of the limitations of the organization."*

Expanded Understanding of Risk-Taking. Fourteen respondents indicated that their organizations did not provide safe spaces for experimentation and risk, thus impeding the growth of leaders. Changing a culture of risk-aversion is not easy, and one participant from a vertical organization described it as the most important breakthrough they needed to enhance leadership development:

> *We are described as a gathering of valedictorians. Extremely high achieving…there is always having to have the right answer, and having to be ready at a moment's notice to give that right answer and give it in an eloquent, McKinsey bullet-pointed kind of way. And so that [culture] is an enormous impediment to vertical development.*

Another participant in a self-described risk-averse organization said, "*You get rewarded for having all the answers so that [being right] becomes really important, and there is a big identity piece around that for our leaders*." Another participant referenced fear-based leadership and its impact: "*It really relates to speaking up. To lead from a confidence-based map rather than a fear-based map. There is a lot of aversion to risk in that respect.*"

The concept of innovation came up frequently in conversations about risk. Organizations want to encourage risk in service of more effective innovation, but for many organizations not used to risk taking, this is a big step. One participant described this frustration:

> *I think we should be coming up with ways to talk about risk taking…One of [our] Leadership and Management principles is about being innovative…Implicit in that principle is some amount of acceptance that risk taking is a good idea.*

Participants also discussed innovation as part of their leadership competencies or organizational values, a critical ability for employees and leaders alike. Several examples were shared of organizations trying to support innovation in their business practices — hiring innovation officers, creating incubators, conducting after-action reviews, and teaching design thinking tools. However, when asked about how these practices impact the organization beyond research and development or other technical functions, the examples lacked detail or were absent altogether.

Vertical practitioners spoke of the need to support risk-taking in terms of not only organizational innovation but also of personal growth, and in a far more integrated way than those using a horizontal model. In the work they are encouraging leaders to undertake, these practitioners talked about how to steer leaders toward their "*growing edge*," "*as close as possible to the friction,*" by finding the right combination of "*commitment — almost fear, but excitement*." This difference in tone illustrates how developmentally minded practitioners see risk-taking. The vertical perspective moves risk away from the possibility of being wrong to the potential of learning and growth. One participant reflected, "*One of our mindsets is innovate everywhere, so there is some tension between, 'I am not allowed to fail here' and then 'My CEO is saying innovate everywhere. 'But we can't innovate unless we fail sometimes so there is some real tension there.*"

In summary, the data from this study, as presented here, produced two key findings:

1. ***Organizations that are more successful integrating vertical development theory have a specific leadership development mindset that includes a non-prescriptive learning strategy and a vertical approach to individual change.***
2. ***Organizational factors that have long impeded leadership development are still present for those integrating vertical development, and pose a challenge to the success of vertical development practices at the systemic and cultural levels***.

Implications for Practice

As this paper and others before it demonstrate, leaders lack the capacity needed to tackle today's complex challenges (Leslie, 2009; Weiss & Molinaro, 2005). Many have critiqued the leadership development industry and asserted that its failure to adapt and evolve its methods have contributed to this critical capacity gap (Avolio et. al., 2005; Bolden, 2006; Kellerman, 2004, 2012; Pfeffer, 2015). To cultivate new ways of effective leadership development, this field needs to surpass just a change of approach and seek a transformation of how it thinks about leadership development (Kellerman, 2012; Leslie, 2009; McGuire & Rhodes, 2009). Transformation must transcend horizontal skill development to include vertical development, which supports the development of an increasingly complex and inclusive point of view (Kagen, 1982; Petrie, 2014b; Torbert, 1987). As this research has illustrated, practitioners interested in introducing vertical development to their organizations will, for the most part, be pioneering in their work. They will face more complex variations of traditional challenges that have plagued the development industry, as well as deeper and more systemic challenges driven by the culture and processes of their organizations.

The implications and recommendations articulated here are intended for those practitioners who are pioneering in the field of vertical development, working to bring these concepts to their organizations or clients. Successful implementation of vertical development practices requires both an individual and organizational level approach. At the individual level, this research has shown that practitioners of vertical development must have had developmental experiences themselves. Therefore, practitioners should assess their own developmental experience, asking how they could deepen their personal work to show up more effectively in their organizations. At the organizational level, our research has shown that there are significant organizational impediments to successfully implementing vertical development. Given the systemic nature of these impediments, we recommend that practitioners take an incremental approach to changing their organization's practices to become more vertically developmental over time. See *Tables 2* and *3* for suggested approaches at both the individual and organizational level that will support vertical growth.

***Table 2*: Recommendations at the Individual Level for Implementation of Vertical Development**

Criteria	Questions	Examples from Developmental Practitioners
Heat Experience	What does the edge of my comfort zone look like? What would it look like to step into a learning experience or development experience that pushes me out of my comfort zone? How can I step into my own discomfort?	There are significant heat experiences that emanate from bold risks, or large planned initiatives, but often just as much heat can be generated in the small moments of our everyday work. One practitioner discussed how they are bringing more challenge to individual growth goals through a cohort-based learning experience where leaders share their experiences with others.

Colliding Perspectives	How often do I seek out viewpoints that contradict my assumptions and beliefs? What would it look like to cast my net wider and gather more perspectives?	There are many ways to acquire new and different perspectives, but developing a strong practice for reaching beyond your current thinking can help you regularly return to the process of seeking out new perspectives. One practitioner discusses how he uses frameworks to help leaders test their own ways of thinking and strengthen their perspective-taking muscles.
Elevated Sensemaking	What do I do to pause and reflect on situations that I encounter? How often do I make time for reflection and integration of new perspectives? Am I aware when I'm on autopilot?	Consider incorporating activities that support your own reflective practices. One developmental coach discussed how he works with leaders to solidify their reflection practices, that overtime help them to be able to meaningfully reflect on their behavior in real time.

***Table 3*: Recommendations at the Organizational Level for Implementing Vertical Development**

	Questions to Consider	**Examples from Developmental Practitioners**
Leadership Development Mindset	How prescriptive is the organization in its definition of what leadership is and how it is developed/measured? How does the organization view the process of leadership development?	A key part of the developmental process is shaping your organization's leadership development mindset. One practitioner discussed how he is working to move his organization away from prescribed behaviors toward a developmental approach by showing senior leaders the vertical research and helping them create succession and development plans based on this developmental approach.
Leadership Support	Does everyone in the organization recognize the importance of vertical development, including the senior leaders? Is there a commitment of time and resources to support leadership development at all levels of the organization? Do leaders model their own development for others?	Find ways to give current senior leaders a voice and a platform to talk about their own development in a way that opens the door for others, like this impressive program where leaders publicly discuss their developmental opportunities and respond to feedback.

Openness and Vulnerability	Are weaknesses seen as an asset and errors as opportunities? Is it culturally acceptable for people to talk about their development and ask for help? Do people feel safe expressing their concerns, feelings, and needs?	Think about how you could support practices that help teams become more open about their development with one another, bringing a growth mindset to their day-to-day work and interactions. One practitioner shared a tool they made for their team leaders to facilitate growth-oriented conversations on their teams.
Business Practice Alignment	Is there an alignment between developmental strategies and performance review and compensation practices? Are assignments and career pathing based on what people are prepared for or what would be growth opportunities or aspirational paths? Do your organizational processes support individual development?	Consider what tools or frameworks your organization is using across the business and how they could put more emphasis on development. One practitioner approached this by breaking down barriers between the OD, Learning and Development, Change Management, and HR functions in his organization and emphasized the use of a common set of tools across all the teams.
Tolerance for Risk Taking	Is the organization willing to sacrifice short- term gain for long-term growth that results from new ways of thinking and acting? Is everyone at all levels empowered to take risks that support their growth? Is there a process for vetting experiments that challenge existing ways of doing things?	Give your leaders experiences that have real risks involved, like one where a set of leaders were chosen to create a new business strategy for the organization.

Discussion and Conclusion

Practitioners intentionally using vertical development struggle to persuade leaders and teams to prioritize the time required for development, which, for meaningful vertical development, is often a greater investment than a skills-based approach requires. From initial assessment to coaching conversations to personal reflection and follow-up, the comprehensive process of vertical development demands quality time from those engaged in the process. Practitioners implementing vertical development referenced the challenge of time — as well as the sense of being overwhelmed that leads people to believe they don't have time — as a barrier to development throughout the process.

Additionally, vertical development inherently requires a deeper level of long-term engagement from leaders. In the context of this long-term development, vertical practitioners still have to identify ways to create a meaningful transfer of learning, moving away from static interventions to more deeply embedded practices (Avolio, 2005). This often requires more support from others throughout the business and a deeper integration of developmental philosophies into the day-to-day work of the organization. This kind of support can be doubly challenging for developmental practitioners who face even greater obstacles to measuring progress than some traditional leadership development methods. They still struggle with measuring impact and proving ROI, for individuals and for the business (Kellerman, 2012).

Those seeking to implement vertical development face added challenges of creating business alignment, expanding risk-taking, and making space for openness and vulnerability. These challenges illustrate the deep, systemic, and cultural challenges to vertical development that are embedded in the way organizations have always operated.

Finally, a willingness not only to self-reflect, but to engage in deep reflection with others, is essential to vertical leadership development. Organizations that do not support a culture of openness and vulnerability will not be able to become fully developmental.

Those who are committed to implementing vertical development in their practice can find examples in pockets. Nevertheless, practitioners who choose to implement vertical development will, for the most part, be pioneering in their work. Furthermore, practitioners seeking to make these profound changes will face more complex variations of traditional challenges within the industry, as well as deeper and more systemic challenges driven by the culture and processes of the organization. The acceleration of effective and sustainable integration of vertical development will require transformation at the organizational level. Despite new and improved theories, in order to make meaningful change, practitioners can no longer look at leadership development in isolation. Every piece must be examined in relationship to the broader system.

References

Avolio, B. (2005). 100 year review of leadership intervention research: Briefings Report.

Bass, B. M. and Steidlmeier, P. (1999). Ethics, character, and authentic transformational leadership behavior. *The Leadership Quarterly*, *10*(2), 181-217.

Carrol, B., Singaraju, R., and Park, E. (2015). Corporate learning factbook 2015: Benchmarks, trends, and analysis of the U.S. training market. Bersin by Deloitte. Retrieved from http://www.bersin.com/Practice/Detail

Cook-Greuter, S. and Miller, M. eds. (1994). *Transcendence and mature thought in Adulthood: The further reaches of adult development*. Lanham, Maryland: Rowman & Littlefield.

Ghemawat, P. (2012). Developing global leaders. *McKinsey Quarterly*, 3. Retrieved from mckinsey.com/insights

Gini, A. and Green, R. M. (2013). *10 virtues of outstanding leaders: Leadership and character*. Malden, MA: Wiley-Blackwell.

"Global Human Capital Trends 2016." (2 February 2016). Deloitte United States. Retrieved March 18, 2017, from https://www2.deloitte.com/content/dam/Deloitte/global/Docu ments/HumanCapital/gx-dup-global-human-capital-trends-2016.pdf

Global Leadership Program: Levels of Leadership Development. (2017). Retrieved April 20, 2018, from https://www.gla.global/the-glp/levels-of-leadership-development/

Guest, G., Bunce, A., and Johnson, L. (2006). How Many Interviews Are Enough?: An Experiment with Data Saturation and Variability, *Field Methods*, Sage. 18 (1), 59-82.

Kegan, R. (1994). *In Over Our Heads: The Mental Demands of Modern Life.* Cambridge, MA: Harvard University Press.

Kegan, R. (1982). *The Evolving Self: Problems and Process in Human Development*. Cambridge: Harvard University Press.

Kegan, R. and Lahey, L. (2010). Adult Development and Organizational Leadership. *Handbook of Leadership Theory and Practice: An HBS Centennial Colloquium on Advancing Leadership.* ed. Nohria, N., and Khurana, R. Boston, MA: Harvard Business Press.

Kegan, R., Lahey, L. L., Miller, M. L., Fleming, A., and Helsing, D. (2016). *An Everyone Culture Becoming a Deliberately Developmental Organization*. Boston, MA: Harvard Business Review Press.

Kellerman, B. (2012). *The End of Leadership.* New York: Harper Business.

Ko, Ia and Rea, Peter. (2016), Leading with Virtue in the VUCA World, in (ed.) *Advances in Global Leadership (Advances in Global Leadership, Volume 9)* Emerald Group Publishing Limited, 375 – 397.

Kohlberg, L. (1976). Moral Stages and Moralization: The Cognitive-Developmental Approach. In T. Lickona (Ed.), *Moral Development and Behavior: Theory, Research, And Social issues* (31-53). New York: Holt, Rinehart & Winston.

Kouzes, J. M. and Posner, B. Z. (2007). *The Leadership Challenge*. San Francisco, CA: Jossey-Bass.

Latham, R. (2013). A framework for leading the transformation to performance excellence part 2: CEO perspectives on leadership behaviors, individual leader characteristics, and organization culture. *Qualitative Management Journal* 20 (3), 19-40.

Leslie, J. (2009). The leadership gap: What you need and don't have when it comes to leadership development. *Center for Creative Leadership*. Retrieved from https://www.ccl.org/wp-content/uploads/2015/09/Leadership-Gap-What-You-Need.pdf

Loevinger, J. (1969). Theories of Ego Development. *Clinical-Cognitive Psychology: Models and Integrations*, 83-135.

Maxwell, J.A. (2013). *Qualitative Research Design: An Interactive Approach.* Thousand Oaks, CA.: Sage Publications.

Petrie, N. (2014a). Future trends in leader development. *Center for Creative Leadership*. Retrieved from http://www.ccl.org/wp-content/uploads/2015/04/futureTrends.pdf

Petrie, N. (2014b). Vertical leadership development–Part 1: Developing leaders. *Center for Creative Leadership*. Retrieved from http://www.ccl.org/wp-content/uploads/2015/ 04/VerticalLeadersPart1.pdf

Petrie, N. (2015). The How-To of Vertical Leadership Development — Part 2: 30 Experts, 3 Conditions and 15 Approaches. *Center for Creative Leadership*. Retrieved from http://www.ccl.org/wp-content/uploads/2015/04/verticalLeadersPart2.pdf

Pfeffer, J. (2015). *Leadership BS: Fixing Workplaces and Careers One Truth at a Time*. New York, NY: Harper Business, an imprint of HarperCollins.

Rooke, D. and Torbert, W. R. (2005). Seven transformations of leadership. *Harvard Business Review,* 83, 66.

Rowland, D. (14 October 2016). Why Leadership Development Isn't Developing Leaders. Retrieved from https://hbr.org/2016/10/why-leadership-development-isnt-developing- leaders

Torbert, W. R. (1987). *Managing the Corporate Dream: Restructuring for Long-Term Success*. Homewood, IL: Dow Jones-Irwin.

Weiss, D. S. and Molinaro, V. (2005). *The Leadership Gap: Building Leadership Capacity for Competitive Advantage*. New York: Wiley.

About the Authors

Hannah Elise Jones is a member of the Talent Strategy team at Uber Technologies, where she works cross-functionally to solve some of the company's largest people and organizational challenges. Prior to joining Uber, Hannah worked as an OD consultant, partnering with organizations on culture, leadership, and talent management practices. In conjunction with, and alongside her professional work, Hannah has conducted research on the impacts of effective leadership and how to better develop it in organizations. Hannah is passionate about the intersection between individual development and organizational transformation, and is currently exploring this relationship through further research on vertical development, individual development practices, and organizational leadership. Hannah obtained her Masters of Science in Organization Development from Pepperdine University's Graziadio Business School (2018) and her Bachelor of Arts in Interdisciplinary Studies from UC Berkeley (2014).

Ms. Jones can be contacted at hannahelisejones@gmail.com

Julie A. Chesley, PhD is Practitioner Faculty of Organization Theory and Management at Pepperdine University. Julie's teaching focuses on personal and group transformation as well as the critical thinking and analysis required to successfully lead large scale change. Julie has also been on the faculty at the United States Air Force Academy and at Colorado College. In addition to her academic practice, Julie has over thirty years' experience implementing, teaching and researching organization management, including twenty years of service to the United States Air Force retiring as a Lt Colonel. Julie has numerous publications and presentations including articles in *California Management Review, Journal of Change Management, Journal of Business Research* and the *Journal of Leadership Studies*, as well two texts: *Applied Project Management for Space Systems* and *Strategic Thinking: Today's Business Imperative.* Julie holds a B.S. in Management from the United States Air Force Academy, and an M.B.A and Ph.D. in Organization Theory and Management from the Leeds School of Business at the University of Colorado.

Dr. Chesley can be contacted at julie.a.chesley@gmail.com

Terri D. Egan, PhD, is an Associate Professor of Applied Behavioral Sciences at the Pepperdine Graziadio School of Business. She has taught graduate and executive courses in personal development, leadership, team effectiveness, organizational change and development, creativity and innovation and international organization development. Her award-winning research has been published in a number of journals including Administrative Science Quarterly, Organization Science, Journal of Public Administration, The Information Society, Human Relations, and the Appreciative Inquiry Practitioner. Dr. Egan's current research and practice focus on integrating neuroscience discoveries into organization and leadership development theory and practice. She is the co-founder of The SyncUp Leadership Group (http://syncupleadership.com/). She holds an interdisciplinary degree in Social Sciences, an M.B.A. and a Ph.D. in Organizational Behavior all from the University of California, Irvine and is a guild certified practitioner of the Feldenkrais® Method of Somatic Education.

Dr. Egan can be contacted at terrieganprof@gmail.com

Development of a Broader Conceptualization and Measurement Scale of Ethical Leadership



FAHAD SHAKEEL
RADBOUD UNIVERSITY
NIJMEGEN, NETHERLANDS

PETER MATHIEU KRUYEN
RADBOUD UNIVERSITY
NIJMEGEN, NETHERLANDS

SANDRA VAN THIEL
RADBOUD UNIVERSITY
NIJMEGEN, NETHERLANDS

Abstract

This study presents a broader construct of ethical leadership as an alternative to existing understanding of the term. The study divides the existing literature into classical and contemporary thoughts. The study brings forth limitations of the existing classical conceptualization based on several shortcomings. Synthesis and development of existing studies lead to a broader narrative that essentially addresses the limitations posed in this study. This broader viewpoint is based on the categorization of ethical theories by Van Wart (2014). A new definition of ethical leadership is presented and a survey scale of ethical leadership based on this conceptualization is developed. This study calls for empirical studies to test the new scale and use it to re-validate existing studies.

Introduction

The increasing body of literature on ethical leadership (Eisenbeiss, 2012; Den Hartog, 2015, Brown et al., 2006) reports on the various positive effects of ethical leadership such as reduction in absenteeism (Hassan et al., 2014), lower turnover intention (Demirtas and Akdogan, 2015; Elci et al., 2012), and higher motivation for whistle blowing (Bhal and Dadhich, 2011). However, a closer look at the literature reveals that studies pertaining to ethical leadership uphold different conceptualizations of ethical leadership. This is problematic because the presence of multiple conceptualizations hampers the accumulation of knowledge and results in unnecessary proliferation of constructs (Blalock, 1968; Tesser and Kraus, 1976 as cited in Singh, 1991). In general, these different conceptualizations can be classified into a classical and a contemporary school of thought.

The classical school of thought includes studies that uphold the view that ethical leadership comprises of personal ethical virtues of a leader and lists activities undertaken by them to inculcate these values into followers. These studies portray a two-dimensional view of ethical leadership as developed by Brown et al. (2005); Trevino et al. (2003); and Trevino et al. (2000). These two dimensions are called the moral person which refers to the virtues of the leader, and moral manager which refers to the efforts undertaken by leaders through various means to promote such virtues (Brown et al., 2005). This conceptualization remains popular in the literature till today, and has paved the way for a large number of empirical studies.

The contemporary conceptualization of ethical leadership includes studies that promote a broader scope of ethical leadership (e.g., Kalshoven et al., 2011; Eisenbeiss, 2012; Van Wart, 2014; Voegtlin, 2016). The common underlying denominator in these modern contemporary thoughts of ethical leadership includes two broad views which put them in contrast to classical views. First, in contrast to the classical school of thoughts, contemporary theories of ethical leadership put more emphasis on the external environment and, second, the role of leader is shifted from being a manager that manages employees with rewards and punishments to a mentor that inspires followers by putting the followers' needs before their own (Van Wart, 2014).

A comparison of the classical and contemporary conceptualizations of ethical leaderships shows that, on the one hand, the classical ethical leadership conceptualization lacks many values including efforts on the part of leaders to prioritize the needs of employees or take responsibility for society and environment (Eisenbeiss, 2012; Voegtlin, 2016). On the other hand, contemporary conceptualizations do not include an outline of activities needed to address these growing responsibilities. Therefore, in this study, we aim to develop an overarching conceptualization of ethical leadership that combines both elements.

Next to the absence of an overarching conceptualization, ethical leadership scholarship also lacks an overarching measurement tool. Questionnaires that are currently in use either judge leaders on classical assumptions or measure modern values ignoring the basics of classical theories. This study addresses the call to compare different ethical leadership scales (Yukl et al., 2013), and creates a new scale which will help to address a broader conceptualization.

This article is structured as follows. First, we develop the broader conceptualization of ethical leadership using two building blocks. The first building block reviews elements that were found lacking in the classical model as suggested in the extant literature on ethical leadership. The second building block discusses elements from the contemporary conceptualizations. In the discussion that follows, we explicate how repetitive and similar attributes are removed as part of the development of a broader conceptualization. Based on these building blocks, we next put forward a new broader ethical leadership definition. Following this definition, we then construct the broader ethical leadership scale (BELS) using an amalgam of existing scales and self-developed items from the literature. The article ends with a discussion of the utility of the broader conceptualization and the BELS, and presents a future research agenda on ethical leadership.

Building Block 1

Criticizing the Classical Ethical Leadership Conceptualization

The classical conceptualization of ethical leadership was first presented by Trevino et al. (2000; Trevino et al., 2003). This has been further developed and defined by Brown and colleagues (2005). In their study, they define ethical leadership as "the demonstration of normatively appropriate conduct through personal action and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision-making" (Brown et al., 2005, p.120). This conceptualization attributes ethical leadership as the sum of two dimensions; the moral person and moral manager.

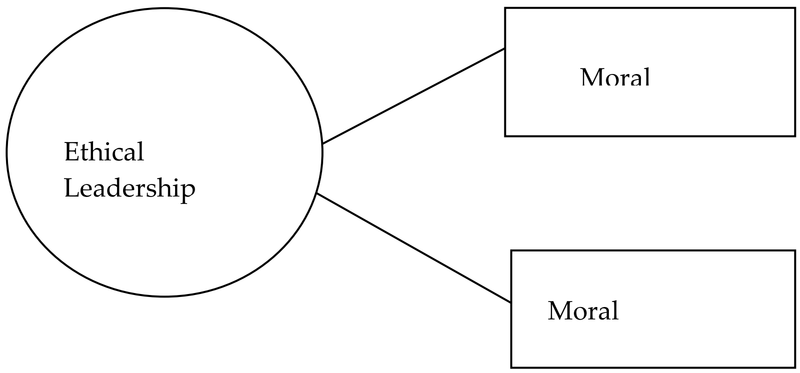
The moral person dimension refers to the personal attributes of the leader her/himself, for example, honesty, fairness, integrity and the leader's decision-making which includes consideration for ethical consequences of decisions, and making principled and fair choices that can be observed and emulated by others (Bass & Avolio, 2000; Burns, 1978; Howell & Avolio, 1992 as cited in Brown et al., 2005). The moral manager refers to the activities that the manager undertakes to inculcate these values in followers. These activities include role modeling, communication about ethics, and reinforcements (Brown et al., 2005).

Role modeling refers to making the behaviour and decision-making of the leader visible and salient for observation by followers against an observational background which is neutral at best (Brown and Trevino, 2006, p. 597 as cited in Heres and Lasthuizen, 2012). Communication herein implies that leaders "not only draw attention to ethics and make it salient in the social environment by explicitly talking to followers about it, but they also provide followers with voice, a procedurally or interpersonally just process" (Bass & Steidlmeier, 1999; Howell & Avolio, 1992 as cited in Brown et al., 2005). The reinforcement component refers to leaders setting, "ethical standards, reward ethical conduct and discipline those who don't follow the standards" (Gini, 1998; Trevino et al., 2003 as cited in Brown et al., 2005).

This conceptualization has been at the base of many empirical studies., however, the classical model lacks a number of contemporary values. We highlight seven points of discussion, being focus on negative reinforcement, stakeholders not defined, lack of consideration for empowerment, ambiguity in normative appropriateness, lack of role clarification, lack of consideration for environmental sustainability and need for leader learning. Figure 1 shows the classical model of ethical leadership lacking the above-mentioned contemporary values.

***Figure 1*: The Classical Model of Ethical Leadership**

Stage 1: Development of Classical Model



Limitations:
Role Clarification
Empowerment
Responsibility for Society, etc.

Focus on Negative Reinforcement. Within the classical ethical leadership conceptualization, the moral management dimension includes role modeling, communication about ethics and reinforcement to guide followers towards ethical actions. Reinforcement refers to leaders' disciplining the behaviour of followers towards the desired ethical conduct by the means of rewards and punishment (Heres and Lasthuizen, 2012). This experience lies with the observers as well as individuals being rewarded or punished (Trevino et al., 1992; Brown et al., 2005; Mayer et al., 2009 as cited in Heres and Lasthuizen, 2012). The focus on punishment is problematic, due to the implications on an employee's well-being as it can have a negative effect on employees' self-esteem. A lower self-esteem is negatively related to performance (Covin et al., 1992; Pierce and Gardner, 2004). This has also been cited in the classic conceptualization (Kanungo and Mendonca, 1996 as cited in Brown et al., 2005).

Stakeholders Not Defined. Stakeholders are defined as: "any identifiable group or individual who can affect the achievement of an organization's objectives or who is affected by the achievement of an organization's objectives. Stakeholders include, for example, public interest groups, protest groups, government agencies, trade associations, competitors, unions, as well as employees, customer segments, and shareowners" (Freeman & Reed, 1983, p. 91).

Several scholars argue that the classical conceptualization of ethical leadership (Brown et al., 2005) does not focus on external stakeholders like customers and society (Den Hartog, 2015, p.112; Frisch and Huppenbauer, 2014 in Voegtlin, 2016). This argument stems from the lack of reference to external stakeholders in the definition. However, it is important to consider stakeholders as they are important components of an organization. The initial model of ethical leadership put forward by Trevino et al. (2000)

did include the sub dimension of concern for society as part of moral person dimension of the construct. However subsequent studies did not identify the scope of ethical leader in its definition or measurement tool (Brown et al., 2005).

Lack of Consideration for Empowerment. Scholars describe empowerment as "allowing followers a say in decision making and listening to their ideas and concerns" (De Hoogh and den Hartog, 2008, p.298). The classical conceptualization of ethical leadership lacks direct and explicit attention for empowerment although empowerment has been a topic of discussion in related terms of 'giving employees voice' in the classical theory (Brown et al., 2005). Recent studies on ethical leadership emphasize its importance and have found empowerment to be a vital component of the moral manager dimension (Resick et al., 2006; Den Hartog and De Hoog, 2009 as cited in Heres and Lasthuizen, 2012). According to these scholars, ethical leaders give chances to their employees to voice their concerns, become a part of the decision-making process and help them set their goals. The study by De Hoogh and Den Hartog (2008) suggest that empowerment has importance in studies relating to high performance work systems (Becker & Huselid, 1998 as cited in De Hoogh and Den Hartog, 2008).

Lack of Normative Appropriateness. Classical conceptualizations use the term 'normatively appropriate' for desired ethical behaviour. Although individual ethics are normative in general and vary with cultural boundaries, in terms of organizational studies ethical leadership needs to address the nature of normativeness. In light of the debate regarding unethical pro-organization behaviour (Kalshoven et al., 2016), the extent of normativeness merits a definition of its organizational boundaries. Other studies (Frisch and Huppenbauer, 2014; Den Hartog, 2015) also raise concerns about the term 'normatively appropriate' used in the definition of ethical leadership by Brown and colleagues (2005). These scholars argue that norms may vary across organizations and industries and there is no identification regarding who sets these norms. Furthermore, such norms may even be harmful for others. The classical conceptualization (Brown et al., 2005) lacks clarification about the normative nature of conduct.

Lack of Role Clarification. Role clarification refers to transparency by leaders in clarifying performance goals and expectations for followers (De Hoogh & Den Hartog, 2008; Kalshoven, 2011). Classical conceptualizations do not address this important function of moral management (De Hoogh & Den Hartog, 2008; Kalshoven et al, 2011). Role clarification was used along with power sharing and morality and fairness by De Hoogh and Den Hartog (2008) in their study to assess ethical leadership and adapted by Kalshoven et al. (2011) as part of their construct. In their studies, De Hoogh and Den Hartog (2008) and Kalshoven et al. (2011) identified role clarification among ethical leader behaviors. Ethical leaders are expected to help employees identify their roles within the organizations. This is important to take into consideration as lack of role clarity can create false expectations in terms of individual responsibility and can hamper good performance. Employees can judge when their performance is at par, and it also helps to avoid employees worrying unnecessarily about their performance (Kalshoven et al., 2011). The definition by Brown et al. (2005) lacks the acknowledgement of role clarification as part of ethical leader's responsible behavior.

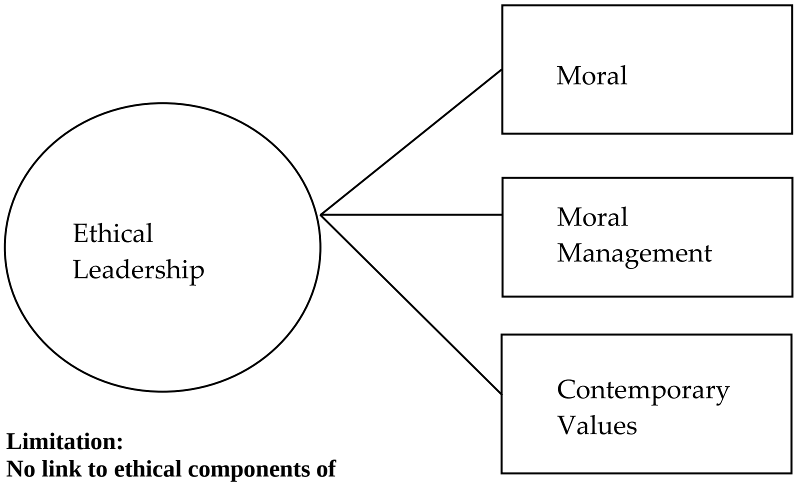
Lack of Environmental Sustainability. Corporate sustainability can be defined as meeting the needs of a firm's direct and indirect stakeholders (such as shareholders, employees, clients, pressure groups, communities, etc.), without compromising its ability to meet the needs of future stakeholders as well. Towards this goal, organizations have to maintain and grow their economic, social and environmental capital base while actively contributing to sustainability in the political domain (Dyllicks & Hockerts, 2002, p.132). Although this definition focuses on the political domain, we think it holds true beyond this frame as sustainability as mandate transcends political motives. Contemporary ethical leadership scholars (Van Wart, 2014; Eisenbeiss, 2012; Voegtlin, 2016) promote environmental sustainability as a factor of ethical leadership whereas the classical conceptualization (Brown et al., 2005) does not share this concern. We argue that implicit in the theory of ethical leadership is the understanding that ethical leaders are responsible individuals (Eisenbeiss, 2012). This implies a responsibility to both internal and external stakeholders including the society and environment. Having established this, ethical leaders are compelled to be conscious about their surroundings including the environment and its sustainability. Concern for sustainability has also been identified by De Hoogh and Den Hartog (2008) and subsequently by Kalshoven et al. (2011). By not clearly identifying stakeholders, as discussed above, the implicit thoughts about environmental sustainability are left undecided in the classical conceptualizations (Brown et al., 2005).

Need for Leader Learning. Leadership learning refers to the knowledge that the leader needs to possess in order to lead effectively and adapt constantly to the changing environment. According to Voegtlin (2016), it is an important aspect of leader responsibility. It also implies knowledge in terms of ethical behaviours. Both classical and contemporary conceptualizations lack focus addressing this important aspect of leadership. In a study that explored the link between learning and leadership (Brown and Posner, 2001), leadership development was termed a learning process. Application of adult learning and fostering transformational learning were considered essential in the design and delivery of leadership development efforts. With regard to this important aspect of leadership, the definition of an ethical leader by Brown and colleagues (Brown et al., 2005) overlooks the importance for self-improvement through learning for either the ethical leaders themselves or the followers. This is in line with the qualities of reconsideration associated with leaders (Hester, 2012). We believe learning can imply going through a process of reconsideration which can be result of training, experiences, or formal education.

Figure 2 represents the two dimensions of classical model as depicted in *Figure 1* with the addition of contemporary values as outlined above.

Figure 2: **Classical Model of Ethical Leadership Including Contemporary Values**

Stage 2: Development of Classical Model



Limitation:
No link to ethical components of related styles

Building Block 2

Ethical Components of Other Leadership Styles

The broader ethical leadership conceptualization that is developed in this study not only considers critical points raised by contemporary ethical leadership scholars but also uses insights from five related leadership styles. These styles are positive, spiritual, transformational and professionally grounded leadership. Although classical theory negates the possibility to link transformational style to ethical leadership but acknowledges the link (Brown et al., 2005), it does not discuss the association with the other four styles mentioned in this section. Van Wart (2014) in his study considers these leadership styles as contemporary ethical leadership theories. Their crucial role in ethical leadership include a focus on individual ethics, fostering resilience, advocating for diversity and equal rights, stress on ethical principles instead of total reliance on rules (grounded leadership) and change in terms of adaptation of needed ethical perspective (Shakeel et al., 2019).

Virtuous Leadership. Virtuous leadership as characterized by Van Wart (2014) is similar to the moral person in the classical conceptualization of ethical leadership. In both classifications, it refers to a person who has particular ethical attributes. In terms of the classical conceptualization, it refers to a person who is considered fair, trustworthy, honest and caring (Brown et al., 2005). Care is also at the epi-center of values deemed important for leaders within the leadership literature (Hester, 2012). However, the moral person does not actively pursue to instill these attributes in followers; this is a job for moral manager (the second dimension of ethical leadership according to the classical conceptualization). A virtuous leader has attributes such as honesty, trustworthiness, fairness conscientiousness and prudence (Van Wart, 2014, p.29). Prudence or wisdom according to Van Wart (2014) can be used for understanding why things are the way they are. It refers to blending experience, knowledge and reason to make optimum or prudential decisions (Kodish, 2006 in Van Wart, 2014).

Attention for Resilience (Link to Positive Leadership). Resilience is termed as the "ability to bounce back from adversity'' (Hartley,2018, p. 211) and has been deemed useful for public sector leadership. However, this study proposes it to be central to the concept of ethical leadership in general. According to the literature, resilience is of two types; preventive and restorative (Hartley, 2018). Preventive resilience deals with building the capacity to deal with adverse situation whereas restorative resilience deals with bringing a person back to normalcy after a stressful period (Hartley, 2018). Preventive resilience is directly related to 'ethical competence' of the leader, which involves training the leader to follow inspiration and professional principles to cope with unexpected situations and ethical dilemmas when rules do not guide appropriately or are unavailable (discussed in upcoming section). Whereas, restorative resilience is instrumental in avoiding ethical lapses in high stress situation. This calls for special attention as abusive behaviour has been linked with stressful situations within ethical leadership literature (Lin et al., 2016).

Addressing Diversity Management (Link to Socially Responsible Leadership). Diversity management is defined as "the commitment on the part of organizations to recruit, retain, reward, and promote a heterogeneous mix of productive, motivated, and committed workers including people of color, whites, females, and the physically challenged (Ivancevich and Gilbert, 2000, p.77). Ethical leaders being responsible individuals, and governed by the principles of fairness and justice are expected to give equal representation and opportunities to all stakeholders in all matters of organization. Although the classic conceptualization of ethical leadership does not focus explicitly on diversity, diversity constitutes a vital component of spiritual leadership (Van Wart, 2014).

Professionally Grounded Leadership. Among the contemporary theories of ethical leadership is professionally grounded leadership (Van Wart, 2014) which is also in line with Voegtlin's (2016) work on ethical leadership. The grounded approach focuses on ethical *principles* whereas the moral manager focuses more on *rules* and regulations (Van Wart, 2014). If an ethical leader decides based on rules, (s)he would be following the classical conceptualization of ethical leadership; whereas if an ethical leader is forced to decide which has no precedence or associating rule for guidance, theoretically (s)he will be a professionally grounded ethical leader. In our study, we call the ability of following principles "ethical competence." This is similar to addressing the issue highlighted by a leadership study, "that socialization and training in ethical decision-making ought to become a consistent practice" (Hester, 2012, p.8).

Ethical Component of Transformational Leadership. On a similar note, responsibility on the part of ethical leaders also maintains that ethical leaders in their conscious mind, save budget restraints, will not withhold transformational changes in the organization which could increase productivity or benefit their organization in the long run. Brown et al. (2005) reviewed the overlap between transformational and ethical leadership and stated that this overlap at best is partial. However, there are two known types within transformational leadership; authentic transformational leaders who can be termed as leaders true to their agenda of undergoing change and pseudo- transformational leaders who use change to pursue selfish needs (Bass & Steidlmeier, 1999).

In contrast to the classical school of thought, we are of the view that the association of ethical leadership and authentic transformational leadership is not a mere overlap but that ethical leaders are known to use various styles depending on the context (Heres and Lasthuizen, 2012). We argue that ethical leadership as proposed by Van Wart's categorization (2014) entails social responsibility styles including Corporate social responsibility (CSR) leading to environmental sustainability and transformational leadership styles. Having incorporated the categorization by Van Wart (2014) into our development, currently our model is illustrated in *Figure 3*.

***Figure 3*. A Broader Conceptualization of Ethical Leadership**

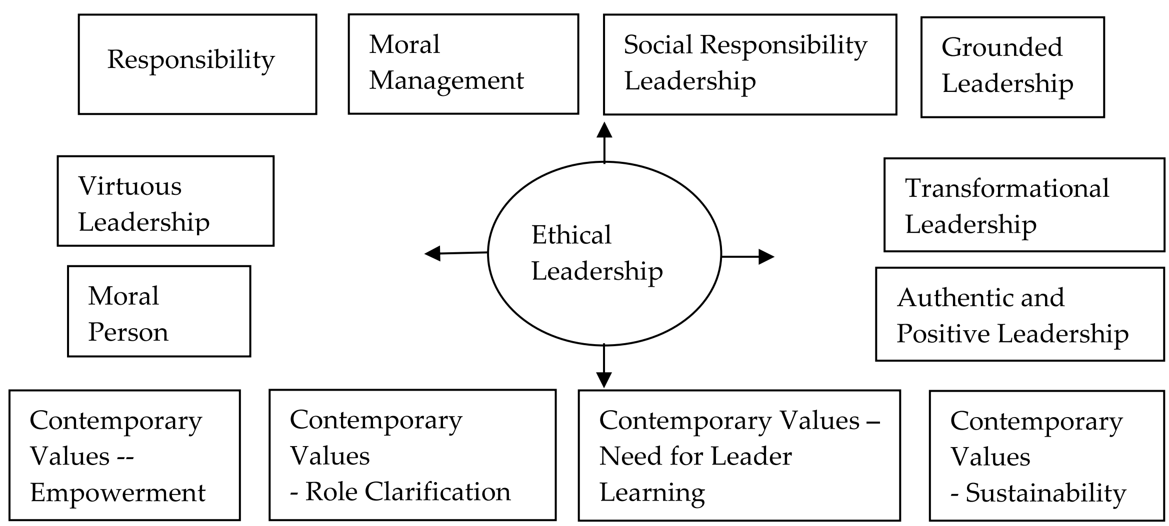


Figure 3 shows the components of ethical leadership that have been covered so far. The dimensions of moral person and moral manager have been added from classical school of thought; Responsibility is included in our broader model to compensate for the lack of clarity on the definition of "normative appropriateness" in the model presented by Brown et al. (2005). Responsibility also stands as a dimension of ethical leadership from the study of Voegtlin (2016). We add contemporary ideas of empowerment, need for leader learning and sustainability from our discussion and the remaining 6 dimensions from Van Wart's (2014) categorization including virtuous leadership, authentic and positive leadership, moral management, professionally grounded leadership, socially responsible leadership and transformational leadership. However, these 12 dimensions include some overlap that we discuss in the upcoming section, before presenting our broader definition of ethical leadership.

Broader Ethical Leadership Definition

Although contemporary studies pose critique on the multiple shortcomings of the classical assumptions of ethical leadership, these studies are limited to the proposition of new dimensions of ethical leadership with no emphasis on the specific list of activities it comprises (as are part of moral management of the classical assumption). Enlisting activities of these dimensions can help distinguish them from each other as well as avoid repetition. For example, responsibility is implicit in the classical conceptualization and is also a separate explicit dimension identified by Voegtlin (2016). The sub-dimension of responsibility includes links to multiple other contemporary concepts. For instance, it has links to the grounded leadership characterization of Van Wart (2014), with empowerment, with need for learning and with social responsibility leadership of Van Wart, 2014.

Figure 4 demonstrates overlaps between dimensions. For example, the moral person dimension of classical ethical leadership is similar to virtuous leadership, and sustainability is part of CSR which is a socially responsible leadership style in Van Wart's categorization. Other examples concern empowerment and role clarification, which are added to moral management, whereas concerns relating to the need for learning and sustainability are addressed through the dimensions of professionally grounded and socially responsible leadership respectively. Responsibility, which is an important dimension of ethical leadership by Voegtlin (2016), is seen as a vital factor of all dimensions of ethical leadership. We have used it above to compensate for the lack of clarity of 'normative appropriateness' and we think it also addresses the shortcoming regarding identification of relevant stakeholders. This is possible as the dimension of socially responsible leadership identifies society as well as environment among external stakeholders.

***Figure 4*. Ethical Leadership Dimensions**

So, all shortcomings of the classical perspective mentioned are covered in the model presented in *Figure 4* and we can now present a new, broader definition of ethical leadership: *"Ethical leadership is the implicit and explicit pursuit of desired ethical behavior for self and followers through efforts governed by rules and principles that advocate learning motivation, healthy optimism and clarity of purpose to uphold the values of empowerment, service to others, concern for human rights, change for betterment and fulfilling duty towards society, future generations, environment and its sustainability."*

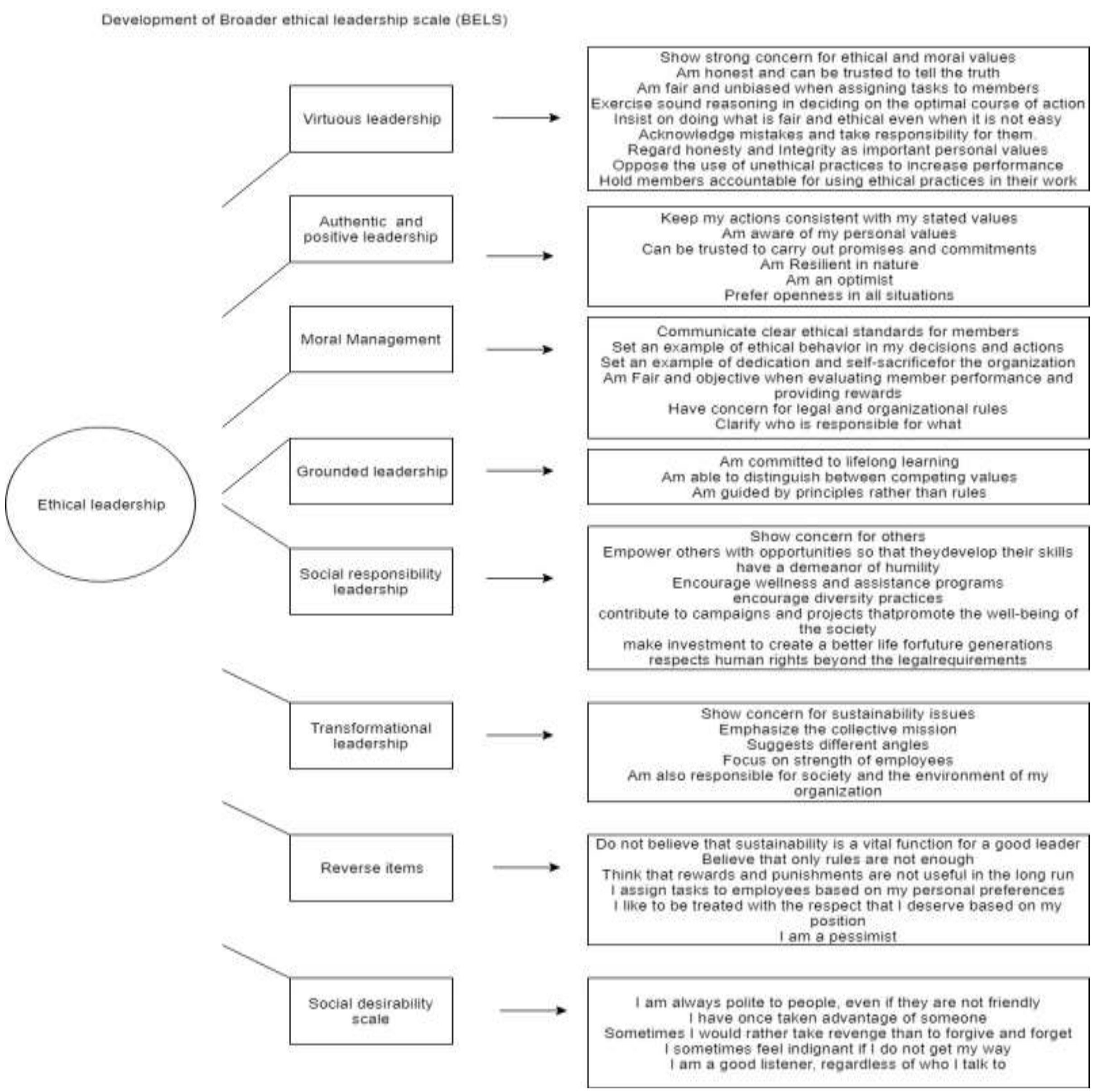
Embedded within this definition are the approaches of six constituent ethical leadership styles including virtuous leadership, authentic and positive leadership, moral manager, professionally grounded leadership, social responsibility leadership (including CSR, spiritual servant leadership) and transformational leadership (Van Wart, 2014). These approaches will form the basis for the development of the Broad Ethical Leadership Scale (BELS).

Scale Construction

The BELS has been developed as an amalgam of existing scales of the constituent styles of ethical leadership. The Ethical Leadership Scale (ELS) and the Ethical Leadership Questionnaire are based on classical conceptualization of ethical leadership, whereas, the Ethical Leadership at Work (ELW) is based on contemporary conceptualization. An exhaustive list of scales that were used to import items is shown is *Table 1*. For authentic and positive leadership, professionally grounded leadership, and spiritual leadership no items could be found in the literature. We developed items ourselves using the study of Van Wart (2014). For the items that were imported from existing scales, only those with factor loadings above 0.4 were considered for incorporation. Overlapping items were also removed to avoid repetitions. We chose to formulate the items in such a way that leaders rate themselves on a Likert scale, therefore, we decided to add items to assess social desirability and formulate a few items negatively (as most items were formulated positively).

In the appendix we provide the tool including items from the social desirability scale as well as negatively coded items for some of the existing items from BELS of our scale. The negatively coded items include " Do not believe that sustainability is a vital function for a good leader" (reverse of transformational leadership) "Believe that only rules are not enough" (reverse of moral manager), "I assign tasks to employees based on my personal preferences" (reverse of virtuous leadership), "I like to be treated with the respect that I deserve based on my position" (reverse of servant leadership) and "I am pessimist" (reverse of positive leadership). The social desirability scale (Hays et al., 1989) consists of items, "I am always polite to people, even if they are not friendly," "I have once taken advantage of someone, "Sometime I would rather take revenge than to forgive and forget", "I sometime feel indignant if I do not get my way" and "I am a good listener, regardless of who I talk to." These items were added to allow control analyses and counter potential response errors.

***Figure 5*. Item-wise Detail of BELS**



Next, we will discuss the development of the items for the different elements of ethical leadership.

<u>Developing Virtuous Ethical Leadership by Addressing Capacity for Ethical Competence</u>

For the BELS we use eight items to measure virtuous leadership. These items originate from the ELQ that fit best with Van Wart's description of virtuous leadership including attributes likes wisdom. In doing so, we selected the items relating to the moral person. These self-assessed items are "show strong concern for ethical and moral values," "am honest and can be trusted to tell the truth", "am fair and unbiased when assigning tasks to members," "insist on doing what is fair and ethical even when it is not easy," "acknowledge mistakes and take responsibility for them," "regard honesty and Integrity as important personal values," "oppose the use of unethical practices to increase performance," and "hold members accountable for using ethical practices in their work" . The coefficients for these items vary from .68 to .72 in their validation study (Yukl et al., 2013).

In addition to these items we also include an item "exercise sound reasoning in deciding on the optimal course of action" relating to wisdom. This item is taken from the survey scale of Wang and Hackett (2016). Wisdom of a leader is a focal characteristic of a virtuous leader as portrayed by Van Wart (2014) but has not been used by Yukl and colleagues in the ELQ (Yukl et al. 2013) which we believe is a potential shortcoming. The coefficient of this item in the two studies conducted by Wang and Hackett (2016) had factor loadings of .78 and .87 respectively.

Developing Authentic and Positive Ethical Leadership by Addressing Self Awareness

To assess authentic leadership, we developed items using the description of Van Wart (2014). He classifies an authentic leader as a person who has a focus on her/his self-awareness and improvement. Most essentially as the label suggests, an authentic person displays her/his values through action and stays true to her/his words, hence the feature of "walking the talk" is among the key characteristic of such a leader besides the ability of controlling ego-drives. Therefore, we developed one item relating to the essential characteristic of authentic leaders "am aware of my personal values" and imported two items from the ELQ scale "Keep my actions consistent with my stated values" and "Can be trusted to carry out promises and commitments." These items had coefficient values of .75 and .72 respectively (Yukl et al., 2013).

Positive leaders are characterized by Van Wart (2014) as emphasizing openness, transparency, optimism, and resilience. We developed three items accordingly: "am resilient in nature," "am an optimist," and "prefer openness in all situations."

Developing Moral Management by Addressing Role Clarification

Moral management is a dimension of the classical conceptualization of ethical leadership. It includes activities that are carried out by leaders to inculcate ethical values in their followers. These activities include two-way communication reinforcement and decision making (Brown et al., 2005). Although as explained earlier, empowerment is also highlighted among the activities of moral manager, on the basis of Van Wart's (2014) characterization we place empowerment within servant leadership below. Furthermore, based on the shortcomings discussed earlier, role clarification is added as a component of moral management. To assess the moral manager variety of ethical leadership, we use items from the ELQ scale: "communicate clear ethical standards for members," "set an example of ethical behavior in my decisions and actions," "set an example of dedication and self-sacrifice for the organization" and "am fair and objective when evaluating member performance and providing rewards." These items had coefficients varying from .65 to .83 in the original validation study (Yukl et al., 2013).

Besides ELS and ELQ, the ELW also served as a popular scale for assessing ethical leadership. It is based on a construct that includes seven ethical leader behaviors, some of which, for instance role clarification and sustainability are lacking in both the ELS as well as ELQ (Kalshoven et al., 2011). Yukl et al. (2013 criticize the ELW based on arguments that some items use (1) multiple components (2) vague wording and (3) and mixing of positive and negative worded items. Although some of the leader behaviour that the ELW assesses, for instance sustainability, is related to other ethical leadership varieties, in the assessment of moral manager dimension, we include only one item relating to role clarification. This item "clarify who is responsible for what" had a coefficient of .75. Finally, we develop one item ourselves relating to rules: "have concern for legal and organizational rules."

Developing Professionally Grounded Ethical Leadership by Addressing Ethical Competence (Learning) and Capacity for Self-Improvement

Professionally-grounded leadership considers broader ethical principles which are not part of the classical conceptualization as the moral management component of the classical conceptualization is more focused on rules and regulations. A focus on principles rather than rules through professionally grounded leadership gives the BELS a broader focus. To assess professionally grounded leadership, we make use of items that touch upon the fundamental differences between this variety and the values of moral manager. Due to lack of availability of a scale that measures professionally grounded leadership, we refer to the description by Van Wart (2014, p.29). He describes a grounded leader as someone who has the capacity to make reasonable exceptions to policies, the competence to deal with competing values and the ability to recognize inappropriate behaviour. These values, which can be developed by a leader through professional training, can be attributed to the learning component of leadership. By adding learning as a factor that differentiates professionally grounded leadership, we also address the shortcomings of the moral manager framework as propagated by Brown and colleagues (Brown et al., 2005), and the subsequent work based on this model. The item relating to learning was taken from Thun and Kelloway (2011). Besides the item "am committed to life-long learning" with a coefficient of .61, we incorporate a self-developed item relating "ability to distinguish between competing values" and "guided by principles rather than rules" based on the description by Van Wart (2014).

Developing Socially Responsible Ethical Leadership by Identifying Stakeholders, and Addressing Sustainability and Empowerment

Socially responsible leadership entails three sub styles: servant, spiritual leadership, and CSR. Servant leaders are described as persons who emphasize improvement in well-being, who believe in empowerment of employees and who have a characteristic of concomitant humility (Van Wart, 2014). To measure these characteristics, three items from the scale of Dennis and Bocarnea (2005) are used. These items "show concern for other," "empower others with opportunities so that they develop their skills," and "have a demeanor of humility" have coefficient values of .83, .80 and .82 respectively (Dennis & Bocarnea, 2005).

Spiritual leadership is characterized by the assumption of work as a calling and focus on wellness/assistance programs, diversity practices and bereavement programs (Van Wart, 2014). Spiritual leadership can be defined as "comprising the values, attitudes, and behaviors that are necessary to intrinsically motivate one's self and others so that they have a sense of spiritual survival through calling and membership" (Fry, 2003, p.11). Literature also explains "Spiritual leadership can be viewed as a field of inquiry within the broader context of workplace spirituality. Both are areas of research in the early stage of development and therefore lack a strong body of theory and research findings" (Fry, 2003, p.108). In keeping consistency to our work, we uphold the attributes highlight by Van Wart (2014): care for others and diversity. We developed two items "encourage wellness and assistance programs" and "encourage diversity practices" to assess these tendencies (Van Wart, 2014).

Corporate social responsibility (CSR) is characterized by a focus on law abidance, legal and ethical responsibilities, sustainability, human rights and charity (Van Wart, 2014). To assess CSR, we use two items "contribute to campaigns and projects that promote the well-being of the society" and "make investment to create a better life for future generations" with coefficients of 0.67 and 0.81 from the scale of Turker (2009). We also develop an item relating to human rights, "respects human rights beyond the legal requirements" to fully cover the characterization of Van Wart (2014).

<u>Developing Transformational Ethical Leadership by Addressing "Withholding Necessary Transformation"</u>

To assess the transformational component of ethical leadership, we make use of a scale developed by Avolio et al. (1999). This instrument uses six factors to assess transformational leadership namely charisma/inspirational, intellectual stimulation, individualized consideration, contingent reward, management by exception-active and passive avoidant. Based on our understanding of negative tendencies of transactional tactics as explained earlier, we avoid using items relating this last factor. Instead we focus on Van Wart's (2014) description of a transformational leader which is closely associated with sustainability of the environment. Since the scale by Avolio et al. (1999) does not assess this capacity, we incorporate an item relating to sustainability, "show concern for sustainability issues" from the ethical leadership scale by Kalshoven et al., (2011) with a coefficient of .85. Beside sustainability, we incorporate three items from the scale by Avolio et al. (1999). These items are "emphasize the collective mission," "suggests different angles," and "focus on strength of employees." They relate to the factors of charisma, intellectual stimulation and individualized consideration and have coefficients of .71(.77), .81(.79) and .82(.72) respectively for initial and replication set of samples. (Avolio et al., 1999).

Table 1 shows the full survey tool, including sources of origin for each item. *Figure 5* shows all items incorporated in the BELS.

Table 1: List of Items of BELS and Their Sources[4]

S No	*Item*	*Source of items*	*Ethical Leadership Style*
	I, as leader		
1	Show strong concern for ethical and moral values	(ELQ) Yukl et al.	Virtuous Leader

[4] Source of items denoting '-' implies same as preceding.

		2013	
2	Am honest and can be trusted to tell the truth	-	
3	Am fair and unbiased when assigning tasks to members	-	
4	Exercise sound reasoning in deciding on the optimal course of action	Wang and Hackett, 2016	
5	Insist on doing what is fair and ethical even when it is not easy	(ELQ) Yukl et al. 2013	
6	Acknowledge mistakes and take responsibility for them.	-	
7	Regard honesty and integrity as important personal values	-	
8	Oppose the use of unethical practices to increase performance	-	
9	Hold members accountable for using ethical practices in their work	-	
10	Keep my actions consistent with my stated values	Van Wart, 2014	Authentic Leader
11	Am aware of my personal values	-	
12	Can be trusted to carry out promises and commitments	-	
13	Am resilient in nature	-	Positive Leader
14	Am an optimist	-	
15	Prefer openness in all situations	-	
16	Communicate clear ethical standards for members	(ELQ) Yukl et al. 2013	Moral Manager
17	Set an example of ethical behavior in my decisions and actions	-	
18	Set an example of dedication and self-sacrifice for the organization	-	
19	Am Fair and objective when evaluating member performance and providing rewards	-	
20	Have concern for legal and organizational rules	Van Wart, 2014	
21	Clarify who is responsible for what	(ELW) Kalshoven et al. 2011	
22	Am committed to lifelong learning	Thun and Kelloway, 2011	Professionally grounded leader
23	Am able to distinguish between competing values	Van Wart, 2014	
24	Am guided by principles rather than rules	-	
25	Show concern for others	Dennis and Bocarnea, 2005	Servant Leader
26	Empower others with opportunities so that they develop their skills	-	
27	Have a demeanor of humility	-	
28	Encourage wellness and assistance programs	Van Wart, 2014	Spiritual Leader
29	Encourage diversity practices	-	

30	Contribute to campaigns and projects that promote the well-being of the society	Turker, 2009	CSR
31	Make investment to create a better life for future generations	-	
32	Respects human rights beyond the legal requirements	Van Wart, 2014	
33	Show concern for sustainability issues	(ELW)Kalshoven et al. 2011	Transformational Leader
34	Emphasize the collective mission	(MLQ)Avolio et al. 1999	
35	Suggests different angles	-	
36	Focus on strength of employees	-	
37	Am also responsible for society and the environment of my organization	Added	
38	Do not believe that sustainability is a vital function for a good leader	Added, reverse of transformational L	Reverse coded
39	Believe that only rules are not enough	Added, reverse of moral manager	
40	Think that rewards and punishments are not useful in the long run	Added, reverse of moral manager	
41	I assign tasks to employees based on my personal preferences	Reverse of 3	
42	I like to be treated with the respect that I deserve based on my position	Reverse of 27	
43	I am a pessimist	Reverse of 14	
44	I am always polite to people, even if they are not friendly	Hays et al., 1989	Social desirability scale
45	I have once taken advantage of someone	-	
46	Sometimes I would rather take revenge than to forgive and forget	-	
47	I sometimes feel indignant if I do not get my way	-	
48	I am a good listener, regardless of who I talk to	-	

Conclusion

The goal of this article was to review and develop the literature of ethical leadership conceptualizations. The existing literature addressed multiple conceptualizations and made use of various measurement tools. To synthesize the literature, this study divided it into two broad schools of thoughts; classical and contemporary. By addressing the shortcomings of the classical conceptualization, we added the distinguishing elements of the contemporary conceptualization into this model to develop a broader conceptualization. In doing so, we offer a new definition that addresses these contemporary elements and a new ethical leadership survey scale which overcomes all existing limitations. We put forward our understanding of ethical leadership as: *"Ethical leadership is the implicit and explicit pursuit of desired ethical behavior for self and followers through efforts governed by rules and principles that advocate learning motivation, healthy optimism and clarity of purpose to uphold the values of* *empowerment, service to others, concern for human rights, change for betterment and fulfilling duty towards society, future generations, environment and its sustainability."*

The Broader Ethical Leadership Scale (BELS) we proposed in this study is a comprehensive scale of ethical leadership that incorporates all elements of ethical leadership that have previously been only partially present within classical ethical leadership scales or in contemporary scales but not altogether. The BELS is an amalgam of items from existing scales and self-developed items where no existing scales were present. Existing scales were not used in full to avoid repetition. Most existing items were originally intended to be rated by subordinates, but we have changed these into first form by adding, 'I, as a leader' before each item. To reduce the risk of social desirability or bias, we have incorporated a social desirability scale and added a number of negatively coded items. Researchers who want to use the BELS can of course reformulate the items again to make them suitable for respondents' rating their leaders.

Future research is needed to empirically validate the BELS and test whether the broader concept of ethical leadership holds. Some ethical attributes may be universal, for instance fairness and justice while others are more contemporary in nature. Some of the most distinguishable elements of the broader concept that pertain to modern day ethical debate are sustainability, openness to diversity, empowerment and care for society. The advocacy of these elements may also be subject to culture, geographical locations and organizational sector. With regard to empowerment of women, even in the most developed countries like the USA, women rights in numerous forms are yet to be fully implemented (Hester, 2012). Given that ethical leadership is normative in nature, we predict differences across cultures within some elements, but generic environmental concerns and human rights do not vary. We invite further research to determine which ethical leadership attributes stand universal and otherwise. Likewise, the feminine attribute of caring has been widely acknowledged (Noddings, 1984) and this aspect is put in contrast with relative psychological theories. Since the broader construct of ethical leadership entails such elements, it will be interesting to link care-associated attributes across gender in empirical studies, which could then indicate if female leaders outperform their male colleagues within this domain and if some attributes associate more closer to a specific gender as highlighted by Hester (2012). It is also important to further investigate the exploitation of women as "carers" (Kittay, 2003) and the misuse of "ethical leader's care" in general by followers. Replication of existing studies using the BELS will also be interesting to test the broader concept of ethical leadership across different sectors i.e. public, private and nonprofit. It will be interesting to explore if ethical leadership has the same construct across these sectors or have multiple interpretations for these sectors as predicted (Heres & Lasthuizen, 2012).

Finally, the downside of proposed definition relates to its implicit focus on a number of important factors. However, our measurement scale, BELS, is longer than the existing scales and includes multiple items per dimension, which have been left as such because (a) a validation study can determine which items work best and (b) to obtain sufficient variation in responses. This is also in line with the study of (Ziegler et al., 2014) which suggests that before making a short measurement tool, a long measurement tool is needed. Alternatively, interviews could also prove to be an effective tool for ethical leadership (Heres and Lasthuizen, 2012). The BELS scale can provide a useful framework for such interviews.

References

Avolio, B.J., Bass, B.M., and Jung, D.I. (1999). Re-examining the Components of Transformational and Transactional Leadership Using the Multifactor Leadership. *Journal of Occupational and Organizational Psychology, 72*(4), 441-462.

Bass, B. M. and Avolio, B. J. (2000). *Multifactor Leadership Questionnaire: MLQ; Sampler Set; Technical Report, Leader Form, Rater Form, and Scoring Key for MLQ Form 5x-Short*, Mind Garden.

Bass, B.M. and Steidlmeier, P.J. (1999). Ethics, Character, and Authentic Transformational Leadership Behavior. *Leadership Quarterly, 10*(2), 181-217.

Becker, B. E., Huselid, M. A., Becker, B., and Huselid, M. A. (1998). High Performance Work Systems and Firm Performance: A Synthesis of Research and Managerial Implications. In *Research in Personnel and Human Resource Management,* Citeseer.

Bhal, K. T. and Dadhich, A. J. (2011). Impact of Ethical Leadership and Leader–Member Exchange on Whistle Blowing: The Moderating Impact of the Moral Intensity of the Issue. *Journal of Business Ethics, 103*(3), 485.

Blalock, H. M. (1968). The Measurement Problem: A Gap Between the Languages of Theory and Research. *Methodology in Social Research*, 5-27.

Brown, L. M. and Posner, B. Z. (2001). Exploring the Relationship Between Learning and Leadership. *Leadership & Organization Development Journal, 22*(6), 274-280.

Brown, M. E., Treviño, L. K., and Harrison, D. A. (2005). Ethical Leadership: A Social Learning Perspective for Construct Development And Testing. *Organizational Behavior and Human Decision Processes, 97*(2), 117-134.

Brown, M. E. and Treviño, L. K. (2006). Ethical Leadership: A Review and Future Directions. *The Leadership Quarterly, 17*(6), 595-616.

Burns, J. (1978). *Leadership* (Vol. 181). New York: Harper & Row.

Burns, J. M. (2003). *Transforming Leadership*. New York: Grove Press.

Covin, T., Kolenko, T., Sightler, K., and Tudor, R. (1992). *Correlates of organization-based self-esteem* Paper presented at the Annual Meeting of the Southern Management Association, New Orleans, LA.

De Hoogh, A. H. and Den Hartog, D. N. (2008). Ethical and Despotic Leadership, Relationships with Leader's Social Responsibility, Top Management Team Effectiveness and Subordinates' Optimism: A Multi-Method Study. *The Leadership Quarterly, 19*(3), 297-311.

Demirtas, O. and Akdogan, A. (2015). The Effect of Ethical Leadership Behavior on Ethical Climate, Turnover Intention, and Affective Commitment. *Journal of Business Ethics, 130*(1), 59-67.

Den Hartog, D. N.and De Hoogh, A. H. (2009). Empowering Behaviour and Leader Fairness and Integrity: Studying Perceptions of Ethical Leader Behaviour from a Levels-of-Analysis Perspective. *European Journal of Work and Organisational Psychology, 18*(2), 199-230.

Den Hartog, D. N. (2015). Ethical Leadership. *Annual Review Organizational Psychology and Organizational Behaviour, 2*(1), 409-434.

Dennis, R. S. and Bocarnea, M. J. (2005). Development of the servant leadership assessment instrument. *Leadership & Organization Development Journal, 26*(8), 600-615.

Dyllick, T. and Hockerts, K. (2002). Beyond the Business Case for Corporate Sustainability. *Business Strategy and the Environment, 11*(2), 130-141.

Eisenbeiss, S. A. (2012). Re-thinking Ethical Leadership: An Interdisciplinary Integrative Approach. *The Leadership Quarterly, 23*(5), 791-808.

Elçi, M., Şener, İ., Aksoy, S., and Alpkan, L. (2012). The Impact of Ethical Leadership and Leadership Effectiveness on Employees' Turnover Intention: The Mediating Role of Work Related Stress. *Procedia-Social and Behavioral Sciences, 58*, 289-297.

Freeman, R. E. and Reed, D. L. (1983). Stockholders and Stakeholders: A New Perspective on Corporate Governance. *California Management Review, 25*(3), 88-106.

Frisch, C. and Huppenbauer, M. (2014). New Insights into Ethical Leadership: A Qualitative Investigation of the Experiences of Executive Ethical Leaders. *Journal of Business Ethics, 123*(1), 23-43.

Fry, L. W. (2003). Toward a Theory of Spiritual Leadership. *The Leadership Quarterly, 14*(6), 693-727.

Gini, A. (1998). Moral Leadership and Business Ethics. In J. B. Ciulla (Ed.), *Ethics, the Heart of Leadership* (pp. 27–45). Westport, CT: Quorum Books.

Hartley, J. (2018). Ten Propositions About Public Leadership. *International Journal of Public Leadership, 14*(4), 202-217.

Hassan, S., Wright, B. E., and Yukl, G. (2014). Does Ethical Leadership Matter in Government? Effects on Organizational Commitment, Absenteeism, and Willingness to Report Ethical Problems. *Public Administration Review, 74*(3), 333-343.

Hays, R. D., Hayashi, T., and Stewart, A. L. (1989). A Five-Item Measure of Socially Desirable Response Set. *Educational and Psychological Measurement, 49*(3), 629-636.

Heres, L. and Lasthuizen, K. (2012). What's the difference? Ethical Leadership in Public, Hybrid and Private Sector Organizations. *Journal of Change Management, 12*(4), 441-466.

Hester, J. (2012). Values-based Leadership: A Shift in Attitude. *Journal of Values-based Leadership, 5*(1), 5.

Howell, J. M. and Avolio, B. J. (1992). The Ethics of Charismatic Leadership: Submission or Liberation? *Academy of Management Executive, 6*(2), 43-54.

Ivancevich, J. M. and Gilbert, J. A. (2000). Diversity Management: Time for a New Approach. *Public Personnel Management, 29*(1), 75-92.

Kalshoven, K., Den Hartog, D. N., and De Hoogh, A. H. J. T. L. Q. (2011). Ethical leadership at work questionnaire (ELW): Development and validation of a multidimensional measure. *The Leadership Quarterly, 22*(1), 51-69.

Kalshoven, K., van Dijk, H., and Boon, C. (2016). Why and when does ethical leadership evoke unethical follower behavior? *Journal of Managerial Psychology, 31*(2), 500-515.

Kanungo, R. N. and Mendonca, M. (1996). *Ethical Dimensions of Leadership* (Vol. 3): Sage.

Kittay, E. F. and Feder, E. K. (2003). *The Subject of Care: Feminist Perspectives On Dependency*, Rowman & Littlefield Publishers.

Kodish, S. (2006). The paradoxes of leadership: The contribution of Aristotle. *Leadership, 2*(4), 451-468.

Kohlberg, L. and Hersh, R. (1977). Moral development: A review of the theory. *Theory into practice, 16*(2), 53-59.

Lin, S.-H. J., Ma, J. and Johnson, R. E. (2016). When ethical leader behavior breaks bad: How ethical leader behavior can turn abusive via ego depletion and moral licensing. *Journal of Applied Psychology, 101*(6), 815.

Mayer, D. M., Kuenzi, M., Greenbaum, R., Bardes, M.,and Salvador, R. B. (2009). How low does ethical leadership flow? Test of a trickle-down model. *Organisational Behavior and Human Decision Processes, 108*(1), 1-13.

Noddings, N. (1986). Caring: A Feminine Approach to Ethics And Care. University of California Press.

Pierce, J. L. and Gardner, D. G. (2004). Self-esteem within the work and organizational context: A review of the organization-based self-esteem literature. *Journal of Management*, 30(5), 591-622.

Resick, C. J., Hanges, P. J., Dickson, M. W., and Mitchelson, J. K. (2006). A cross-cultural examination of the endorsement of ethical leadership. *Journal of Business Ethics, 63*(4), 345-359.

Shakeel, F., Mathieu Kruyen, P., and Van Thiel, S. (2019). Ethical Leadership as Process: A Conceptual Proposition. *Public Integrity*, 1-12.

Singh, J. (1991). Redundancy in constructs: Problem, assessment, and an illustrative example. *Journal of Business Research, 22*(3), 255-280.

Tesser, A. and Krauss, H. (1976). On validating a relationship between constructs. *Educational and Psychological Measurement, 36*(1), 111-121.

Thun, B. and Kevin Kelloway, E. (2011). Virtuous leaders: Assessing character strengths in the workplace. *Canadian Journal of Administrative Sciences, 28*(3), 270-283.

Treviño, L. K., Brown, M., and Hartman, L. P. (2003). A qualitative investigation of perceived executive ethical leadership: Perceptions from inside and outside the executive suite. *Human Relations, 56*(1), 5-37.

Trevino, L. K., Hartman, L. P., and Brown, M. (2000). Moral person and moral manager: How executives develop a reputation for ethical leadership. *California Management Review, 42*(4), 128-142.

Trevino, L. K. (1992). The social effects of punishment in organizations: A justice perspective. *Academy of Management Review, 17*(4), 647-676.

Turker, D. J. (2009). Measuring corporate social responsibility: A scale development study. *Journal of Business Ethics, 85*(4), 411-427.

Van Wart, M. (2014). Contemporary varieties of ethical leadership in organizations. *International Journal of Business Administration, 5*(5), 27.

Voegtlin, C. (2016). What does it mean to be responsible? Addressing the missing responsibility dimension in ethical leadership research. *Leadership, 12*(5), 581-608.

Wang, G. and Hackett, R. (2016). Conceptualization and measurement of virtuous leadership: Doing well by doing good. *Journal of Business Ethics, 137*(2), 321-345.

Yukl, G., Mahsud, R., Hassan, S., and Prussia, G. (2013). An improved measure of ethical leadership. *Journal of Leadership & Organizational Studies, 20*(1), 38-48.

Ziegler, M., Kemper, C. J., and Kruyen, P. (2014). Short scales–Five misunderstandings and ways to overcome them. *Journal of Individual Differences, 35*(4), 185-189.

About the Authors

Fahad Shakeel is a PhD candidate at the Department of Public Administration, Radboud University, Nijmegen, The Netherlands. His topic of research is Ethical Leadership.

Mr. Shakeel can be contacted at f.shakeel@fm.ru.nl

Peter Mathieu Kruyen is an Assistant Professor of Public Administration, at Radboud University), Nijmegen, The Netherlands. His research program focuses on civil servants' behaviour, psychological characteristics, and competencies, and how their work is affected by managerial techniques and organisational structures. Particularly, he is interested in civil servants' work-related creativity. Methodologically speaking, he enjoys programming in R to solve medium and big (unstructured) data problems and attempts to bring across his passion for quantitative text analysis, sound statistical research, and good psychological measurement instruments to students.

Dr. Kruyen can be contacted at p.kruyen@fm.ru.nl

Sandra Van Thiel is a professor of Public Management at the Department of Public Administration, Radboud University, Nijmegen, The Netherlands. Her research focuses mostly on public management reforms, in particular, the creation and management of semi-autonomous organizations. She has published in several international peer reviewed journals, including the *Journal of Public Administration Research and Theory* and the *Public Administration Review*, and with publishers such as Palgrave MacMillan and Taylor & Francis. She is editor-in-chief of the *International Journal of Public Sector Management*. Correspondence: s.vanthiel@fm.ru.nl

Dr. Van Thiel can be contacted at s.vanthiel@fm.ru.nl

THE SALIENCE AND SUBSTANCE OF SPIRITUAL LEADERSHIP

— Joseph P. Hester, Independent Scholar, Member, *JVBL* International Editorial Board

Introduction

The binary construct "spiritual-leadership" is a challenge to explain and a conundrum to unravel. Its inscrutability lies within our intrinsic nature and is, as we know, malleable, succumbing to cultural as well as value relativity. The spiritual lies deeply within our mental environment swaying perception, memory, judgment, reasoning, and volition. Few doubt the importance of the spiritual, but its substance is often ill-defined yielding more to religious belief and emotion than rational validation. Its entwinement with monotheistic belief appears to limit its more widespread application. Practically, the question is how the spiritual functions to expand and clarify our knowledge of values-based leadership; that is, what is its cognitive as well as its moral value.

"Morality is "like the temple on the hill of human nature," writes the social psychologist Jonathan Haidt. "It is our most sacred attribute." People cherish this sacred sense of right and wrong, put it on a pedestal and surround it with spears, to defend it against attacks. The nearness and dearness of people's morals means that conflict becomes particularly entrenched when morality gets involved—neither side wants to yield sacred ground."

And we should not jump too quickly concluding that the spiritual has no value, cognitive or moral, as the spiritual is more often than not rooted in a particular moral or social ideal or principle. For example, Louis W. Fry[1] Identifies the spiritual as a religious inclination such as belief in a higher being, but tries to avoid attaching "spiritual" to any particular religion, seeking a moral collective and robust definition, but his generalizations fail as he presents a case for a "higher being" as the motivating (causal) factor for being moral while generally equating moral with being spiritual. In monotheistic belief we find "spiritual" not only as a reference to a higher being, but identical to such a being, living within the human intrinsic directing and motivating the moral life. But surely,

When told and admonished to believe-in, our beliefs often become a patina covering our spirituality. They encase our faith in an ancient past preventing us from moving forward with a moral vision of others, all others, especially the least among us and those who are culturally different. Fear of blurring our identity and recognizing our common humanity, our moral discernment languishes in the backwaters of our faith.

if our moral consciousness is paired with the spiritual, are we not talking about some sort of *correlation* rather than *identity*? Although such a correlation adds moral and social substance to spiritual, care should be taken, for this poses a risk—religious beliefs vary as do the core values often expressed in religious form. Socially and practically we are left not with defending the spiritual, but with having to provide justification for a particular view of morality.

Admittedly, discussions of the "spiritual" adhere to wide range of interpretations and expose why some think attaching *spiritual* to *leadership* not only limits the domain of values-based leadership but clouds the terrain of the moral itself. This we must resist; that is, reducing the spiritual to morality or vice versa. Most reductionist attempts turn on the vague views of *definition* and on the confusion of identity with equivalence, while some turn on the acceptance of the principle of class abstraction—hiding unwanted minutiae while giving out what is considered the most essential details. For this reason, many not only distrust religion as a collective definition of "spiritual," but desire to secure a more firm foundation for ethics and morals in reason and experience. Understandably, the spiritual has meaning for religious individuals, but *not* for the religious only as it is a commonly used term for the "inner self."[2]

The difficulties of speaking clearly about an intrinsic proclivity are obvious. References, couched in metaphor, are vague and our language often clouds the picture of what is or what is not spiritual appealing more to insinuation and suggestion. Clearly, when referring to the intrinsic we are in the realm of the metaphysical, wondering about the relationship between mind and matter, between substance and attribute, between potentiality and actuality, and between belief and verification acknowledging that our choice of explanations is somewhat arbitrary and culturally influenced. In the words of Karl Jaspers[3], "At the end we have no firm ground under us, no principle to hold on to, but a suspension of thought in infinite space—without shelter in conceptual systems, without refuge in firm knowledge or faith. And even this suspended, floating structure of thought is only one metaphor of *being* among others."

To talk about the salience and substance of spiritual leadership is potentially risky. Because the spiritual is more often than not identified with religious belief, many will disagree with my conclusion simply because religions vary and to speak only in generalities is unsatisfactory. This article explores these difficulties pointing out that conflicting religious beliefs more often than not create a certain haze over spiritual leadership making it a difficult choice as a widespread values-based construct. On the other hand, the spiritual – in any form – cannot be eliminated from leadership discussions. "Spiritual" is a commonly used term and some unraveling seems necessary.

The Salience of Spiritual Leadership

The Spiritual and Character

The spiritual is thought of as a dynamic and motivating force in human life ontologically centering our humanity. The spiritual then is a common a place holder (metaphor) for what moves us. When viewed in this way, spiritual is considered even more basic than character. Character implies rational stability and a calming force bringing strength to our moral convictions, but it is the _desire_ to be rational and to transform our lives morally that is spirit revealing. Character, then, exposes our moral commitments and our judiciousness; it is tempered by learning experiences and moved by a *kindling spirit* lying deeply within. What is implied by "kindling spirit" seems to be something more than character, something deeper and more profound, not easily explained nor understood. Thus, when spiritual is applied to leadership, spiritual leadership advocates are asserting that the spiritual is what makes leadership what it is, that which moves a leader's character in a positive moral direction. In this regard, the spiritual is the distillation of our humanity, including our character, revealing its moral core.

The Spiritual: A Creative Moral Energy

Spiritual leadership involves the task of cultivating in ourselves and others the skill of discerning the intrinsic values and meanings indigenous to a values-based culture, which, as Aldous Huxley says, is the "…transformation of character which is the necessary prerequisite of a total, complete, and spiritually fruitful transformation of consciousness."[4] *Although arising intrinsically, the spiritual exhales extrinsically thereby transforming those who embrace its inclusive nature. The spiritual then is a creative moral energy that has never been absent from human life. It may lay dormant in some but many others understand that love and an expanding awareness of and need for others are intrinsically valuable. As a dynamic and motivating source, spiritual authenticity evolves as our relationships mature; it comes through connection with others, personal investment, and communal accountability. Ethical comprehension is definitive of the spiritual and opens us to a life of possibility freeing us from the past, from mistakes made and regrets harbored. Notably, we have to become ethically* _competent_ *and witness its results before* _comprehending_ *(understanding) the moral force of our spiritual selves.*

> **"Our ordinary conceptual system, in terms of which we both think and act, is fundamentally metaphorical in nature. . . Conceptual metaphors are seen in language in our everyday lives. Conceptual metaphors shape not just our communication, but also shape the way we think and act."– George Lakoff and Mark Johnson, *Metaphors We Live***

> **"In 1987, before beginning his historical account of the role played by 'spiritual exercises' in Western philosophy, Pierre Hadot cautioned: 'It is no longer fashionable these days to use the word *spiritual.'* Well, at least in popular culture, now the word is back in fashion. Public opinion polls reflect that the fact that while traditional religions have lost large numbers of adherents over several decades, most people within an increasingly post-religious Anglo-European world enthusiastically self-identify as spiritual, but not religious."**
> **— Roderick Nicholls and Heather Salazar, *The Philosophy of Spirituality*, 2018**

Obviously, we are in some quicksand here. That which is intrinsic does not easily comply with a rational explanation, no matter how it is defined.

As Ludwig Wittgenstein[5] reminds, "What is eternal and important is often hidden from a man by an impenetrable veil. He knows there's something under there, but he cannot see it. The veil reflects the daylight." We may on thin ice here, but for wont of better words, "spiritual" and "character" are intimately connected and are commonly accepted metaphors of what makes humans who they are, their human essentialness. This is the view that every entity has a set of attributes necessary to its identity and function. In early Western thought, Plato's idealism held that all things have such an "essence"—an "idea" or "form". Aristotle similarly proposed that all objects have a substance that, as Lakoff and Johnson[6] mentioned, "Make the thing what it is, and without which it would be not *that* kind of thing". "Spirit," "the spiritual," and "character" are metaphors identifying the attitudes and motivating behaviors often used for these connotations and although not identical, their relationship is obvious. Both stand as useful metaphors for identifying the essentialness of human life.

Lakoff and Johnson conclude,[7]
"We have found, on the contrary, that metaphor is pervasive in everyday life, not just in language but in thought and action. Our ordinary conceptual system, in terms of which we both think and act, is fundamentally metaphorical in nature. The concepts that govern our thought are not just matters of the intellect. They also govern our everyday functioning, down to the most mundane details. Our concepts structure what we perceive, how we get around in the world, and how we relate to other people. Our conceptual system thus plays a central role in defining our everyday realities. If we are right in suggesting that our conceptual system is largely metaphorical, then the way we think what we experience, and what we do every day is very much a matter of metaphor."

Although we judge a person by his or her actions and behaviors, we can only imagine why they act the way they do using the language of metaphor to represent the hidden terrain of their thinking. Much of this is arbitrary and capricious revealing our own beliefs and cultural narratives. At the end of the day, when referring to character or spiritual, we may be involved in metaphor swapping or mixing metaphors for the purpose of explanation. This we should try to avoid, but hardly can. Relying on commonsense, maybe the best we can do is say what we mean clearly and listen when others are talking, listening to understand and not just reply, listening to what stands behind their words.[8] We don't have to agree, but we can ask questions for clarity and search for some kind of rational reassurance. If ethics and morals are to have any importance in our lives, those seeking for more may have to get use to the contingency of human experience and seek a more realistic course. A more expansive view of spiritual leadership is required.

"When we discover that there are several cultures instead of just one ... we are threatened with destruction of our own by the discovery. Suddenly it becomes possible that there are not just others, that we ourselves are an 'other' among others."
—Paul Ricoeur, *Oneself as Another*, 1996

The Substance of Spiritual Leadership

Understanding the conceptual difficulties associated with spiritual leadership we should perhaps move our conversation to more practical concerns. The significant content of spiritual leadership varies as it has been attached to religious belief and religious conflict. There is a need to drop back a few decades and review the cultural wars of the 1990s and the steady movement of American life toward becoming a secular society all the while setting this examination in the context of 2019 and the search for America's moral identity. Perceptibly, we cannot live without ideals for our ideals define our future hope. But our ideals, like character and perhaps the spiritual, are tempered by time and circumstance, some moral and ethical; others less so. Because humans are both social and malleable creatures, it's a stretch to think of "spiritual" as an uncontaminated substance living deep-rooted within our human nature. Being unperceived, removed, and intrinsic, and lying within subterranean caverns of our enculturated lives, the "spiritual" is difficult to define.

In 2019, Americans seem to be struggling with defining their values under the umbrella democracy provides. Religion is also playing an important role in this crisis as many evangelicals believe their values and way of life are under attack. Some are aligning their values (morals) politically revealing that identity politics is on the rise and narrowing the imprint of democratic principles.[9] Among some, spiritual leadership is indirectly being heralded as an answer to this conundrum. As a result, those who promote values-based leadership, not necessarily religious leadership, are faced with defining or re-defining "spiritual leadership" and widening its scope to include the extensive diversity of American society (and the workplace). Without belaboring the concept of "spiritual," we should be warned that amongst many Americans there is an unorganized but distinguishable movement to redefine our Constitutional values in terms of white, evangelical Christianity ignoring the human multiplicity we sorely prize and the collective moral vision our Constitution upholds. This movement hangs heavily on advocates of spiritual leadership convoluting its collective appeal and the moral values it advocates.

"Faith and reason are both sources of authority upon which beliefs can rest. Reason generally is understood as the principles for a methodological inquiry, whether intellectual, moral, aesthetic, or religious. Thus is it not simply the rules of logical inference or the embodied wisdom of a tradition or authority. Some kind of algorithmic *demonstrability* is ordinarily presupposed. Once demonstrated, a proposition or claim is ordinarily understood to be justified as true or authoritative. Faith, on the other hand, involves a stance toward some claim that is not, at least presently, demonstrable by reason. Thus faith is a kind of attitude of trust or assent. As such, it is ordinarily understood to involve an act of will or a commitment on the part of the believer." https://www.iep.utm.edu/faith-re/

During the second half of the 20th century and extending until today American values became embroiled in an identity crisis commonly called "cultural wars."[10] These disputes confuse attaching "spiritual" to "leadership" as one is forced to discern the moral substance of these opposing groups. In religious circles many have felt the pressures of a rising secular culture, a diminishing of church attendance, and the perceived need to vilify the Islamic faith after the events of 9/11/01. It's no small wonder that during this time there has been a call for values-based leadership among government, business, religious, and community leaders. Stability of values, and parenthetically of character, is sought. Now that spiritual leadership is being emphasized, a more religiously-neutral view of "spiritual" requires articulation among leadership theorists bringing some clarity to this often-used expression. Also, a more thorough validation of spiritual leadership needs to occur demonstrating what substance, especially moral substance, it adds to the already articulated value-based leadership theories.

We are forever challenged to extend our moral behaviors to include cultural and religious diversity, acknowledging the importance of multiplicity in the makeup of our democratic culture, and seeking the values it sustains. A recognizable shared morality is needed including a more widely interpreted and reflective view of "spiritual" demonstrating how the spiritual is the motivating force bringing some stability to the American moral conscious. Obviously, in America, the spiritual is firmly attached to Christian beliefs and values, but have these beliefs and values been tempered by democracy expressed in the American Constitution. We can also ask, "Was American democracy a reaction to the immoralities of both church and state of the 17th and 18th centuries and not particularly Christian?" This is something often overlooked by those attaching their spiritual values to a political document. Historically, Christian values have evolved, sometimes aligning with political values, other times not, making an accurate description of what is and what is not a Christian value difficult to ascertain. This constantly blurs the edges of spiritual leadership.

"A May article in *Harper's* by Jeff Sharlet illustrated a military engaged in an internal battle over religious practice. Then came news about former Defense secretary Donald Rumsfeld's Scripture-themed briefings to President Bush that paired war scenes with Bible verses. (In an e-mail published on Politico, Rumsfeld aide Keith Urbahn denied that the former Defense secretary had created or even seen many of the briefings.) Later in May, Al-Jazeera broadcast clips filmed in 2008 showing stacks of Bibles translated into Pashto and Dari at the U.S. air base in Bagram and featuring the chief of U.S. military chaplains in Afghanistan, Lt. Col. Gary Hensley, telling soldiers to 'hunt people for Jesus.'"

— *Newsweek*, 6/18/09

The Blurred Edges of Moral Values

History has a way of white-washing morality and in its place more narrow and provincial beliefs often move in threatening the moral fabric of not only America, but America's increasing sphere of influence. Looking back, we understand that what we call "moral" has been filtered through many opinions and multiple layers of political, philosophical, and religious debate. Such beliefs are often one-sided and biased, encased in time, tradition, and religious belief, and thought of as absolute and binding. Thus, what we call "moral" varies with different interpretations and applications. Even the *United States Bill of Rights,* considered the sacred credo of American values, is not exempt from such conflict, change, and manifold cultural collisions.

This being said, we should understand that to be moral is an *upward and outward flow* of personal attitudes and motivations, of one's character. If, as we claim, the spiritual is a motivating force in moral behavior, then the spiritual requires clarity understanding morality as an inside-out behavior requiring self-reflection and individual commitment. In this, our search is for the parameters of the possible in a nation and world characterized by a wide diversity of peoples. Understanding the *importance of others* and that *we are just one among others* may be our most difficult task. This is the beginning of empathy, the significant and difficult test through which morality must pass. If nothing else, empathy admits of our character and our spiritual nature, moving us to identify with others understanding our common humanity.

Comprehending this, there is a need to keep a critical eye on our own personal perspectives, including religious beliefs and other views claiming strength from reasoning's power or from ancient writings. We who advocate spiritual leadership cannot let "spiritual" fall prey to more narrow and provincial interpretations. A narrowing of "spiritual" will limit the reach of spiritual leadership and will eventually *dispel* the notion that by adding "spiritual" to "leadership" admits of a vital connection to our collective natures. Not to be overtly critical of religion, the majority of Americans profess a belief in God making it inevitable that moral values for many will be expressed from a religious point of view and the spiritual as having a god-infused definition. Caution is required not to elevate our moral views to the unquestionable, to religious beliefs only. Faith must be accompanied by reason and study. Multiple layers of deliberation and a variety of opinions are required in order to provide long-term moral solutions to persistent moral problems.

Conflicting Trends

As science and technology are increasing forces in our lives, organized religion is struggling to maintain its power and influence. According to 2010 Pew Research report,[11] Protestantism is showing signs of growth, while Christianity overall is only showing signs of stability. Into this mix, spiritual leadership is finding some legitimacy; yet, for a more widespread application, there remains a struggle to identify "spiritual" as a human activity and not narrowed to religion only; that is, not only god-infused but humanity identifiable.

Convoluting the explication of "spiritual leadership" is the identification of "spiritual" as a marker of white, Christianity and America's national identity. But these are difficult waters to navigate. The *New York Times*[12] reported that there is:
"…troubling evidence that a shared sense of national identity is unraveling, with two mutually exclusive narratives emerging along party lines. At the heart of this divide are opposing reactions to changing demographics and culture. The shock waves from these

transformations — harnessed effectively by Donald Trump's campaign — are reorienting the political parties from the more familiar liberal-versus-conservative alignment to new poles of cultural pluralism and monism."

The *Times* report concludes that taken as a whole, these portraits highlight contrasting responses to the country's changing demographics and culture, especially over the past decade as the country has ceased to be a majority *white Christian nation* — from 54 percent in 2008 to 43 percent today. Democrats — only 29 percent of whom are white and Christian — are embracing these changes as central to their vision of an evolving American identity that is strengthened and renewed by diversity. By contrast, Republicans — nearly three-quarters of whom identify as white and Christian — see these changes eroding the core of a white Christian America and identity and perceive themselves to be under siege as the country changes around them. Understanding these changing demographics, attaching "spiritual" to "leadership" remains a precarious undertaking and, conceivably, an unappreciated vision.

No doubt religion is a moral and political force in American public life. Thus, we need to be aware of how our religious beliefs or lack thereof affect our values. In 2019, with impeachment hearings taking place in our nation's capitol, Franklin Graham,[13] an evangelical minister, is a making a "Decision for America Tour" effectively muddying the waters between faith and politics, of what it means to be an American. He commented, "This gives you a clue of what the progressive, socialist-leaning Democratic Party would try to force on our nation if they win any election. They will create laws & 'consequences' that would punish those who don't agree with them. This is a threat to religious freedom & free speech." Clouding the waters of American pluralism, Graham continues to identify Christian evangelicalism with American values concluding that being progressive or socialist is non-Christian and un-American. Similarly, Louis Fry concluded that only a belief in a *higher being* is adequate to support spiritual leadership pulling spiritual leadership into the fold of monotheism. Certainly there is no validation of Fry's hypothesis even if he correctly pinpointed the moral values necessary in business and for society as a whole.[14]

"But, from a global perspective, the United States really is not all that religiously diverse, according. In fact, 95% of the U.S. population is either Christian or religiously unaffiliated, while all other religions combined account for just 5% of Americans. As a result, the U.S. ranks 68th out of 232 countries and territories on our Religious Diversity Index."
—*Pew Research Center*; https://www.pewresearch.org/fact-tank/2014/04/04/u-s-doesnt-rank-high-in-religious-diversity/

Reported also was that Protestant military chaplains are making an effort to convert military personnel to Christianity, although this is banned by the military. In *Newsweek* Kathryn Joyce[15] commented: "The effort is an example of what critics call a growing culture of militarized Christianity in the armed forces. It is influenced in part by changes in outlook among the various branches' 2,900 chaplains, who are sworn to serve all soldiers, regardless of religion, with a respectful, religiously pluralistic approach. However, with an estimated two thirds of all current chaplains affiliated with evangelical and Pentecostal denominations, which often prioritize conversion and evangelizing, and a marked decline in chaplains from Catholic and mainstream Protestant churches, this ideal is suffering."

The context of this struggle is not limited to the 21st century as the struggle for American identity began in 1776, was dramatized by the Civil War, and then commenced in the 20th century with the struggle for human rights. This struggle continues over the rights of the LBGTQ community, American immigration policies, and universal healthcare. These struggles and continual issues put leadership into jeopardy as leaders from every corner of American life must continue to adjust and readjust to emerging trends, seeking moral stability in a divided world.

Religious Diversity and Spiritual Leadership

Due to the advances in immigration from both Spanish speaking countries and from the Far East, America, which was once thought of as a cultural/moral melting pot, may be more like broken shards in 2019 rather than a grand blend of religious miscellany. This is true even though the vast majority of Americans – 76 percent – identify themselves as Christian, but it remains that 16 percent of Americans are unaffiliated with any faith, and one-third of the self-identified Christians are unaffiliated with any church[16]. In this evolving religious culture spiritual leadership has emerged, possibly as a reaction to present trends and possibly as a needed solution to the reconstruction of *America's moral identity*. Peter Samuelson says, "Moral identity is the binding of the self to a set of principles. It is the commitment to those principles that results in moral action. Psychologists have discovered that those who have a strong moral identity, and have made a public commitment to that identity, are more likely to act in a moral fashion."[17]

Does the concept of "spirituality" support our moral identity? Christianity is the most dominant faith in American society; yet, many have difficulty separating what they call "Christian ethics" from other ethical sources, the laws and admonitions of the ancient Hebrews, or even words from our own American Constitution. For many Christians, the teachings of Jesus about ethics are often reinterpreted through these sources, even Paul's letters. In our time there is much confusion about this as politics, church teachings, and an assorted mingling of our values have overlapped and are constantly bumping into each other. The Renaissance and Christian Reformation still dangle precariously within our beliefs and religious practices indicating that perhaps the Reformation has been on ongoing movement for centuries. Perhaps it did not end with the Great Awakening of the 1730s and 1740s or the rise of Christian fundamentalism in the first half of the 20th century. In the shadows of these events come our liturgical emphasis accompanied by church music permeating society in many forms and reinforcing past traditions influencing the lives of many and, importantly, our interpretation of "spiritual."

Various beliefs, Christian and non-Christian, dredged from past history tend to *blur our vision* or at least focus our vision on one interpretation of ethics at the exclusion of others. The Christian church, having split in myriad ways, is more often than not a confusing mixture of values and practices. Because religion is often an emotional rather than cognitive affair, our values are dramatically charged adding to this muddle and uncertainty. We are as it were *a stream of consciousness seeking stability* with our faith-tributaries and open to the impressions and dictates of others, always coming in and lurking around the edges of our center. Our reality, our spirituality, controlled from the outside by others, if we let it, will forever be a mutation. Within this confusion the search for personal meaning is often left flaccid in a no man's land of opinions, political pressure, and impulsive ideas. Spiritual leadership is dangerously malleable to these pressures as the political climate of 2019 shows.

"An Associated Press-NORC poll found nearly mirror-opposite partisan reactions to the question of what kind of culture is important for American identity. Sixty-six percent of Democrats, compared with only 35 percent of Republicans, said the mixing of cultures and values from around the world was extremely or very important to American identity. Similarly, 64 percent of Republicans, compared with 32 percent of Democrats, saw a culture grounded in Christian religious beliefs as extremely or very important."
— Robert P. Jones. *NYT*. 5/2/17

Religious Differences and Conflict

These differences and the politicalization of religion during the second half of the 20th century have led to multifarious conflicts among and between religious groups, which continues to spill over into national and international political tensions. Thus, we can't dismiss the importance of religion. Religion wields extraordinary influence in public affairs and remains a rich reservoir of values, principles, and ideals, and a powerful source of conflict and violence as diverse sacred and secular traditions collide. For these reasons, limiting spirituality to religion is a precarious course to maneuver. Since September 11, 2001, religious news and religious controversy have been constants on American airwaves, newspapers, and books. From President Bush's "faith-based initiatives" to Dan Brown's *The Da Vinci Code* and the controversy that surrounded its interpretation by the political insurgence of the Christian Right, editorials, books, and talk shows have highlighted the religious differences found among the American public.[18]

For example, in the fall of 2004[19] the host of *Larry King Live* asked a panel of religious leaders why they thought there is so much anger, hate, and horror in the world. He wondered about the world's seemingly ignorance of morality and human dignity. This panel included Deepak Chopra, religious radio personality Dennis Prager, Reverend R. Albert Mohler, Jr., President of Southern Baptist Theological Seminary, and Dr. Maher Nathout, scholar and advisor to the Muslim Public Affairs Council.

In the middle of this discussion, King mentioned that religion has been singled out as the cause of the world's moral problems and not the cure. The answers coming from the panel ranged from "our ideas of God are based on primitive ideas," to blaming secular ideologies and beliefs for the widespread murder and torture of individuals worldwide. One panel member said that it is a mistake to single out religion as the only cause for world conflict. This is perhaps true as economic influences – Middle Eastern oil reserves for example – are drivers of conflict East and West. It's difficult to separate the economic from the religious as many in the Islamic community have reacted negatively to the West and its push for Middle Eastern oil.

"Most recently, in 2019, the Supreme Court declined to review a 9th Circuit Court of Appeals decision upholding the firing of a football coach at a public high school for praying on the field with his players after games. However, in a statement accompanying the denial of review, Justice Samuel A. Alito Jr. (joined by fellow conservative justices Clarence Thomas, Neil Gorsuch and Brett Kavanaugh) indicated the high court would be open to reviewing other cases involving similar issues. Alito wrote that the court denied review in this case due to 'important unresolved factual questions,' and that 'the 9th Circuit's understanding of free speech rights of public school teachers is troubling and may justify review in the future.'"
—Pew Research Center, 10/03/19

As the Larry King debate was taking place, several significant stories about religious conflict appeared in American newspapers. The first came from the *Associated Press*[20] in New Orleans and announced, "School Board in Prayer Dispute." A federal lawsuit to stop the local school board from having Christian prayers at its meetings found both sides citing First Amendment rights in arguing their stands. In this case, the American Civil Liberties Union (ACLU) represented a parent who contended that prayers at Tangipahoa Parish School Board meetings violated constitutional separation of church and state under the First Amendment. The ACLU added another complaint about using religious music during meetings. On the other side, members of the school board argued that "free-speech rights allowed them to have the public prayers." They cited another case in which the United States Supreme Court upheld the right of legislatures and other "deliberative bodies" to permit such prayers. The attorney for the school board appealed to tradition to support his case for allowing prayer at the school board meetings.

Another incident reported by the *New York Times* was a planned marriage drawing thousands to Washington, DC. Even in North Carolina, civic leaders and church members from different denominations came together on September 25, 2004 at the speedway to support "the traditional definition of marriage as the union between a man and a woman." The event was advertised as a "We Are United Rally"[21] and promoted its purpose as wanting to educate people about the issue of same-sex marriage and provide information on participating in the national rally in Washington, D.C., on October 15, 2004.

Also, in 2004, the *Associated Press*[22] reported that the Gorham, New Hampshire School Board had approved a high school senior's after-school Bible study classes, pending review by the school attorney. Liz Woodward, who planned to study Biblical counseling at Lancaster, Pennsylvania Bible College, told the school board she needed to hold weekly classes at her school for a required senior project. The school board was concerned about the First Amendment issue of separation of church and state. The board debated the request at length before voting unanimous approval so long as those attending have parents' permission and an adult supervises the classes. The high school principal reported that the legality of the Bible classes was researched and found to be within federal law because attendance is voluntary and it is an after-school activity.

In the same year, University of North Carolina's Chancellor James Moeser "excommunicated" a Christian fraternity with an evangelical Protestant theology because it teaches that sexual activity ought to be limited to marriage between a man and a woman[23] Moeser noted this standard obviously excluded extramarital and homosexual conduct, which is an espousal of traditional Christian morals. Moeser referred to a 2001 policy statement on "nondiscrimination," which affirmed no discrimination in employment decisions or educational programs based on age, sex, race, color, national origin, religion, or disability.

"What draws conservative Protestants and Catholics together is a concern that liberals and secularists would like to drive religion out of the public square; as AI blogger Peter Berger puts it, to make religion something that consenting adults do together in private. Former religious enemies are drawing closely together at least partly out of fear of what they see as a common foe. The great divide in American religion today is no longer between Protestant and Catholic or even between Christian and Jew; it is between the liberal and the conservative versions of these great historic faiths."—*The American Interest.*
— https://www.the-american-interest.com /20 13/02/02/americas-religious-divide/

The university had adopted an internal policy on non-discrimination on the basis of sexual orientation which figured into this decision. It was added, the report said, to ensure only relevant factors are considered and equitable and consistent standards of conduct and performance are applied. Notably, Chancellor Moeser exempted from its operation outside organizations, including the federal government, the military, ROTC and private employers. In 2003, the fraternity in question – AIO – came up for renewal of its official status to make sure it complied with "university policies on non-discrimination," including the one on sexual orientation. Based on their rules and consciences, AIO members decided they could not admit students who disagree with their religious tenets and who are unwilling to adhere to traditional standards of sexual morality. They said this would go against the fraternity's stated purpose. Jon Curtis, assistant director for student activities and organizations went forward and pulled the plug on the AIO, a decision affirmed by

Chancellor Moeser on August 12, 2004. AIO sued the university on August 25, "claiming violation of its rights to freedom of association, speech, and religion."

The opinion of some was this is a case study in secular intolerance. Lawyers argued Moeser ignored the central role that religion and morality have played in America, and where these conscientious students fit into that history. They also explained that in Moeser's world, "traditional Christian religion does not exist." These issues clearly represent an overlapping of moral and religious-ethical values, as well as secular values, and a conflict of ideals that continues to percolate, often unnoticed, in American society.

At the center of these discussions is President Trump's Muslim Ban.[24] In section 1, which references 9/11, the order reads: "In order to protect Americans, the United States must ensure that those admitted to this country do not bear hostile attitudes toward it and its founding principles. The United States cannot, and should not, admit those who do not support the Constitution, or those who would place violent ideologies over American law. In addition, the United States should not admit those who engage in acts of bigotry or hatred (including 'honor' killings, other forms of violence against women, or the persecution of those who practice religions different from their own) or those who would oppress Americans of any race, gender, or sexual orientation."

MediaMatters[25] reported:
"After Trump signed an executive order banning refugees from seven Muslim-majority countries from entering the United States, his administration and right-wing media allies defended the action as 'perfectly legal' and 'not a Muslim ban.' Yet mainstream media figures and experts explained that the executive order's exception for religious minorities renders it a de facto religious test. Trump and his advisers explicitly called for a Muslim ban during the last year of his campaign, and the administration's claim that the order's religious exception is necessitated by disproportionate persecution of Christians in the Middle East has been debunked."

ACLU's Anthony Romero[26] reacted:
"The executive order does a couple of things. It's a moratorium on all refugees. It prohibits the entry of Syrian refugees. It bans the entry of individuals from seven countries. That includes even green card holders. That includes individual who have lawful visas. And then it carves out an exception for minority religions. Taken together, the four components of the executive order we think violate the due process protections of the Constitution, the equal protection clauses of the Constitution, violates some federal statutes -- the Immigration Nationality Act. We think it also violates some of our international treaties and conventions, and violates the First Amendment. The First Amendment is one of the core principles of our Constitution. It prohibits the government from either favoring or discriminating against any one particular religion. And here you have Mr. Trump saying that we're going to exclude individuals from predominantly Muslim countries, and then he carves out an exception for minority religions. The executive order is a smoking gun that violates the First Amendment."

During the Civil Rights struggles of the 1950s and 1960s, both African-American and white Christian churches organized to combat racial inequality. In these decades, some churches stood against the increased concentration of wealth and power in America demonstrating that the church is not only a religious institution; it is a social institution with a moral purpose.[27] Peace churches (the Brethren) vigorously opposed the arms race and the Vietnam War. In 1985, The Universal House of Justice, the supreme governing body of the Baha'i Faith,[28] published a statement "to the peoples of the world," proclaiming "the promise of world peace." Although the Baha'i Faith believes that humankind has evolved to a stage of peace, they also claim, that large numbers of people believe that religion is irrelevant to the modern world. In their view, man-made ideologies, designed to save society from moral evil, is the source of much human conflict.

Evangelical Protestants have also opposed the Supreme Court's ruling against prayer in public schools. Catholics and evangelicals have found themselves on the same side of the *Prolife* movement standing against abortion. These prophetic stands—both left and right—have precipitated prolonged debates, volatile rallies, political battles, and even violence between opposing forces, all in the name of "morality." Again, these issues, along with homosexual marriage, reappeared during the 2008 presidential election and in 2009, in California. The HB2 law in North Carolina in 2016 also seemed to convolute the practical and the ethical. By the summer of 2009, eleven states had recognized homosexual unions as legitimate, certainly a sign of some changes in the values of Americans. Separating the political from the moral and religious in these arguments remains troubling.

The existence of conflict in the interaction of society's major institutions means that religion and politics, both with claims to moral authority, are changing in America. "Spiritual leadership," interpreted through the lens of these changes, is a precarious road to navigate. New churches — some as small storefront congregations and others as large community-based and innovative groups — have been formed to fulfill important personal functions that traditional religions are no longer fulfilling as new human needs have emerged. New, religion-oriented educational institutions have been developed and are attracting a K-12 student body from families who desire their children to be educated in schools that profess both an academic, moral, and religious purpose. Important to note is that these congregations are drawn from across the body of different denominations and from the Catholic Church.[31] Into this fray enters spiritual leadership, but does it have enough substance and flexibility to satisfy the diversity of religions now

"Charters were horribly messianic in their narratives about how they were going to change the world and make it more equitable," said Tim Knowles, former head of the Urban Education Institute at the University of Chicago. "In reality, some were great, and some were about the same as regular public schools, and some were much worse."
—https://www.usatoday.com/story/news/education/2019/03/27/charter-school-betsy-devos-school-choice/ 3251111002/

proclaiming their absolute and unbridled truths, many of which are in conflict with each other?

Moral education with an emphasis on character, civility and with an unspoken foundation in the Christian religion is also on the rise. Approximately 12 percent of American children are being educated in private schools, 80 percent of which are of some religious affiliation. Also, approximately 630,000 children are being educated through home-schooling. A 2017 Gallup poll[29] showed that 59 percent of Americans support choice in education, and that Christian parents "have been the vanguard of the educational choice and parental rights movement." In 2019 the new Secretary of Education[30] seems to be divided between loyalty to charter schools and public schools and the diversity they provide. Personal and private values are involved in these discussions. This documents a cultural or values-shift in America and the public schools are now one of the battlegrounds. There are no easy solutions to these problems. Spiritual leadership advances what appears to be an ideal solution, but its exclusiveness amidst America's cultural diversity seems to limit its scope.

Spiritual Leadership and America's National Identity

Different interpretations of religious conflict point to different causes. Robert Wuthnow[31] has noted religious conservatives and liberals disagree not only about religion but also about the role of *government in public life*. He says that many of the most hotly debated issues of the past several decades (e.g., civil rights, women's rights, homosexual rights, military and social spending, abortion, pornography, school prayer, and the teaching of creationism) arise out of differences rooted ultimately in their two ways of viewing God and the world. Amalgamated with these differences are important moral issues:

1) The first is a conservative public theology that champions strong traditional morality, strong national defenses and a heady brew of free enterprise. It claims that its authority comes from a literal interpretation of the Bible and has the goal of returning America to biblical ideals "on which it was founded." What conservatives have not done is identify and express these "Biblical ideals" in a moral language that includes the views of other religious groups. This leads one to suspect that the hidden purpose of the Christian conservative movement is not advancing morality in everyday affairs, but proselytizing others to their religious faith and political doctrines.
2) The opposing view is a liberal public theology and puts forward a more relativistic code of personal morality. This code includes a cooperative multilateral spirit in foreign relations and strong government initiatives capable of infusing norms of social justice into the capitalist mind. The liberal view is

Which Pledge?

I pledge allegiance to my Flag and to the Republic for which it stands: one Nation indivisible, with Liberty and Justice for all. **1892**

I pledge allegiance to the flag of the United States of America and to the Republic for which it stands, one Nation under God, indivisible, with liberty and justice for all. **1954**

also Biblically oriented, but projects its view as *cultural wisdom* rather than divine revelation, thus opening the door for dialogue on issue-specific moral concerns to take place.

In 2016 these two views seemed to politically separate Republicans, especially in the South and Midwest, from Democrats in the Northeast and along the Mid-Atlantic States. On the other hand, Stephen R. Warner[32] suggests that it is *theology* and *religious belief*, not politics, uniting conservatives, and that their political views are diverse and vary in much the same ways as those of the general public. Of course, Warner produced his views 23 years before the presidential campaigns of 2016. He thinks religious liberals are united not by religious doctrine but by an optimistic and socially responsible attitude. He calls this a "worldly morality," but this doesn't capture the essential core of spiritual leadership, especially that advocated by spiritual leadership advocates. If it's the spiritual that guides and motivates us morally, should we not look for a more stable platform for guidance? Many have found this in the meaning of "America" itself.

The American Creed

Religious conflict is placed by Samuel P. Huntington[33] in the changes occurring in the salience and substance of American national identity. He makes the observation that "salience," or projection, is the importance that Americans ascribe to their national identity compared to their many other identities, and "substance" conveys what Americans believe they have in common and distinguishes them from other nations and cultures. With reference to "substance," Huntington says that race and ethnicity have largely been eliminated as Americans are accustomed to seeing their country as a multiethnic, multiracial society. Huntington notes that this isn't the way it has always been nor is it the way it might continue; he may be overly optimistic in this account. For example, since the terrorist attacks of 9/11/01, many Americans have begun to re-emphasize race and ethnicity in an effort to tighten their conception of what it means to be an American. One of these emphases is stressing that "real" Americans adhere to Christian beliefs and values.

The unanimous Declaration of the thirteen united States of America, When in the Course of human events, it becomes necessary for one people to dissolve the political bands which have connected them with another, and to assume among the powers of the earth, the separate and equal station to which the Laws of Nature and of Nature's God entitle them, a decent respect to the opinions of mankind requires that they should declare the causes which impel them to the separation.

"The government of the United States of America is not in any sense founded on the Christian religion. That was ratified by the United States Senate without debate unanimously in 1797."
—John Adams

Continuing to explicate "substance," Huntington says that the Anglo-Protestant culture has been central to American identity and was crucial in defining the *American Creed*.

The first *American Creed* was articulated by Thomas Jefferson and read, “We hold these truths to be self-evident, that all men are created equal, that they are endowed by their Creator with certain inalienable Rights that among these are Life, Liberty and the pursuit of Happiness.” The *American Creed* makes two monumental claims: the first is that the individual is the sovereign unit in society and the second is that the removal of artificial and arbitrary restraints on individual freedom will release unprecedented amounts of energy into the world. The liberated individual will, in effect, interact with his fellows in a harmonious scheme that recovers the *natural order* and allows for the fullest realization of human potential. What is meant by “natural order” brings up the religious inclinations of our nation’s founders. Jefferson believed in a creator similar to the God of deism. In the tradition of deism, Jefferson based his God on reason and rejected revealed religion, the spiritual.

In 1918, another, broader American creed was written as a result of a nationwide contest. It said, “I believe in the United States of America as a Government of the People, by the People, for the People; whose just powers are derived from the consent of the governed; A democracy in a republic, a sovereign Nation of many Sovereign States; a perfect Union, one and inseparable; established upon those principles of Freedom, Equality, Justice, and Humanity for which American Patriots sacrificed their Lives and Fortunes. I therefore believe it is my duty to my country to Love it; to Support its Constitution; to obey its laws; to Respect its Flag; and to defend it against all enemies.” Noticeably, there is no mention of God in this version of the *American Creed.* It was intended to be a brief summary of the American political faith founded upon documents and events fundamental in American history and tradition.[34] Its intention seems as moral as it is political as it expresses American democratic principles.

The Anglo-Protestant culture — in its many variant forms — has been central to the *American Creed* and subsequent American identity. It is what Americans believe they have in common and what distinguishes them from other people. Understandably, the *American Creed*, like the Constitution itself, has adapted itself for many decades to cultural changes and major events in American life; yet, on the surface, it fails to understand the cultural diversity that Americans are and will be. Unfortunately, many of the Christian faith interpret Jefferson’s words through the lens of their own traditions and beliefs believing that America was founded as a Christian nation. It is through this lens that spiritual leadership is usually explicated.

James Davidson Hunter’s *Cultural War, the Struggle to Define America* was published in 1991 and to some extent has been brought up-to-date by Dale McConkey’s “Whither Hunter’s culture War? (Shifts in Evangelical Morality, 1988-1998 – Statistical Data Included,” in 2001.[35] McConkey’s purpose was to examine both the current state of the culture war and its precipitating trends. He asks whether evangelicals have been softening their traditionalist moral positions on issues like women’s roles, homosexuality, nonmarital sexuality, birth control, abortion, suicide, and euthanasia. In his lengthy and comprehensive report, McConkey addresses three fundamental questions: (1) Are evangelicals leaving the socio-economic margins of society? (2) Is evangelical morality becoming more liberal? And (3) Is the culture war dissipating? McConkey concluded, "The cultural tension between evangelicals and religious progressives remains strong." He also explained that "evangelicals will likely continue to experience a cultural tension with the larger culture, but this tension is not likely to result in anything resembling warfare." Given the political temper of 2019, hopefully McConkey was correct. There appears to be no centering of these issues and spiritual leadership seems to be caught in an untenable position.

Subcultures and Religious Identity

Both Hunter and McConkey discovered that religion survives and can thrive in a pluralistic, modern society by embedding itself in subcultures offering satisfying, morally-orienting collective identities which provide members meaning and belonging. This may be the hope of spiritual leadership as it gathers the like-minded into its fold. But Hunter also indicated that a cultural schism has now divided each major faith tradition and has divided the United States into two camps:

1) <u>On one side</u> of the divide are the orthodox, those who are committed to "an external, definable, and transcendent authority." Evangelical Christians are the dominant group in this camp, though traditional Catholics, orthodox and conservative Jews, and political allies like the Christian Coalition and the National Right to Life Committee can also be included.
2) <u>On the other side</u> are the progressivists – more often than not called "liberals" – who share the tendency to resymbolize historic faiths according to the prevailing moral assumptions of contemporary life. These include most of the mainline churches that comprise the World Council of Churches, as well as secular organizations like the American Civil Liberties Union, People for the American Way, and the National Organization of Women.

America's Changing Religious Identity:

White Christians now account for fewer than half of the public. Today, only 43% of Americans identify as white and Christian, and only 30% as white and Protestant. In 1976, roughly eight in ten (81%) Americans identified as white and identified with a Christian denomination, and a majority (55%) were white Protestants.

White evangelical Protestants are in decline—along with white mainline Protestants and white Catholics. White evangelical Protestants were once thought to be bucking a longer trend, but over the past decade their numbers have dropped substantially. Fewer than one in five (17%) Americans are white evangelical Protestant, but they accounted for nearly one-quarter (23%) in 2006. Over the same period, white Catholics dropped five percentage points from 16% to 11%, as have white mainline Protestants, from 18% to 13%.

—Pew Research Center (2017)

The tensions and conflicts within religion and between religious groups and secular organizations are an ongoing reality. In 1998, Florida preacher, the Reverend James

Kennedy, of the Coral Ridge Presbyterian Church and the *Coral Ridge Hour* television program, said that the time has come to reclaim America for Christ[36]. This today is being echoed by Franklin Graham and many other evangelical ministers. Kennedy also commented that America will self-destruct if laws in the United States have no correlation with the laws of the Creator. The only hope, according to Kennedy, is to make America righteous again by reclaiming it for Christ through grassroots Christian activism. And we are witnessing this happening as far left Republican politicians have garnered the support of evangelicals or the Christian Right equating national values with Christian values while ignoring the religious, ethnic, and political diversity definitive of American values.

While many will agree with Kennedy's words, Christian Smith[37] has asked, "To what extent do the views and commitments of people like James Kennedy actually represent those of the tens of millions of ordinary American evangelicals?" and "Are most evangelicals really committed to defending an exclusively *Christian* America?" and "Are American evangelicals in fact hostile to religious and cultural pluralism?" Finally, Smith asked, "How do most evangelicals think about America's past and envision its future when it comes to issues of national cultural identity and moral diversity?"

To answer these questions, Smith conducted more than two hundred personal interviews with evangelicals on the subject of "Christian America." He revealed a surprisingly diverse range of perspectives on the matter. He found that about 40 percent of those interviewed either denied or somewhat doubted the idea that America was ever a Christian nation. Smith was quick to point out that many of them answered otherwise on the *Religious Identity and Influence* telephone survey. Smith concluded that a significant *minority* of evangelicals do not possess a strong image of a Christian American past. This is something needing to be addressed my spiritual leadership theorists, especially those espousing a "god-centered" view of spiritual.

The Loss of Christian Identity

Samuel Huntington[38] explains that several scholars in the 1980s and 1990s advanced the idea that America is losing its Christian identity due to the spread of non-Christian religions. How does this affect the idea of spirituality? These scholars documented the growth of Muslims, Sikhs, Hindus, and Buddhists in American society. With their growth, the idea of religious diversity has shattered the paradigm of America as an overwhelmingly Christian country with a small Jewish minority. But does this destroy the idea of America's moral identity or just shift it to a new moral plurality? Cultural plurality and cultural relativity should not be mistaken for moral relativity.

Huntington also indicates that some scholars have suggested that public holidays should be adjusted to accommodate this increasing religious diversity and that Easter and Thanksgiving should be replaced with a Muslim and Jewish holiday. But he does not believe increases in the membership of some non-Christian religions have had any significant effect on America's Christian identity. He says, "Americans are still a Christian people, as they have been throughout their history."

Reflecting on America's religious identity, Russell Shorto[39] says,
"At least some of the problems that the Western world confronts today, as it grapples with such forces as militant Islam, have to do with the fact that the modern Western world has a split personality: it is confused and divided over the relationship of reason and faith, whether there can be a relationship or whether the one supplants the other. In simplistic form, the United States, where religion is still a strong force in both public and private life, maintains the moderate Enlightenment tradition—a moderate modernity—and Western Europe, which has largely abandoned organized Christianity, has tended to follow the radical path."

And although the American Revolution was influenced by the moderate wing of the Enlightenment, which emphasized order, harmony, and a balance of faith and reason; and although Jefferson made deism part of the nation's fabric when he appealed to 'the laws of nature and nature's God'; in the first decades of the 21st century it i evident that evangelicals have begun to battle this notion and reclaim America for "the God of the New Testament." It is into this mix that Louis Fry offered his "spiritual leadership" hypothesis firmly based on belief in a "higher being." Although there is nothing inherently wrong with his work, given the mixed nature of religion and religious belief, the scope of his work is limited to those who adhere to monotheistic beliefs. This is unfortunate, for the moral values produced by Fry as definitive of the spiritual have a collective and universal appeal, drawing in both the religious and nonreligious.

Religious controversy is nothing new in America. Some believe that this is part of the price for living in an open, democratic society. Albert J. Raboteau[40] in the *Boston Review* noted that American democracy offers religion an opportunity and American pluralism provides it with a challenge. Pluralism means a respect for difference and implies tolerance for the views of others. It rejects relativism in values but seeks to understand the values people of different faiths share in common. Pluralism challenges Americans to experience its religious values and attitudes along with the beliefs of others by way of respect, dignity, and an unabashed freedom to choose. One can conclude that the three major Biblical faiths that dominate the American religious scene – Judaism, Christianity, and Islam – have an underlying ethic that, when exposed to critical inquiry, have within their creeds moral ideals that can to be shared successfully within the moral commons if and only if their metaphysical claims and orientations are set aside and their shared moral ideas are accentuated.

Conclusion

Certainly, a conflict of ideals is raging in America and it's not just a political battle; rather, it's a conflict in the minds and hearts of people about their basic beliefs and values. The question persists as to whether the secular impulse in American culture can co-exist with the variety of religious beliefs that populate the 21st century American cultural landscape. Will it be continual conflict, accommodation, or a civil and dialogical process of seeking joint answers to problems of value and morality? Spiritual leadership is positioned in the middle of this battle and has an opportunity to offer a more inclusive notion of what is meant by "spiritual". If we who advocate values-based leadership do not get involved in this discussion, we may end up with spiritual-apartheid – a society in which many of the *faithful* will join with the political to force their views on others who have grown increasingly wary of religious fundamentalism and their association with the political right. An unattended consequence is to lose the importance of values-based leadership.

It is not the salience, but the substance of spiritual leadership that requires rehabilitation. There is no reason to dismiss the spiritual as unimportant; for, as we have seen; to a great many people it is extremely important. For others – humanists, atheists, and in general non-Christians – the spiritual has meaning but requires reinterpretation. Perhaps they both can co-exist. Either way, when "spiritual leadership" is used, specificity will be required.

Plainly the blurred edges of ethics, civility, and traditional moral concerns have traveled on the concourse of these issues. Motivating those who engage in these discussions may be a mixture of fear and hope, religious intolerance, racism, or a lack of empathy. This calls into question how useful spiritual leadership will be in both the workplace and in the general society. This also colors the interpretation of "moral" as "spiritual" and the practicality of spiritual leadership as a leadership construct. That is, if "spiritual" is associated with our "moral consciousness," how do we identify that which is universal to morality and that which has only a limited and provincial moral appeal? This is an issue that will plague America's value system for many decades to come. It is a practical issue involving our national identity and an issue involving ethics and the purposes of democracy. Clearly it is something to which those concerned with ethical understanding should follow and discuss.

One can surmise from the above discussion the risks of identifying values-based leadership as "spiritual." And yet, the "spiritual" is an idea difficult to dismiss. Its association with religion seems natural and perhaps this is the way the spiritual became a universal symbol of the inner self, and not only among Western societies, but around the world. The Golden Rule[41] is a good example of this as it is found in more than 22 of the world's religions and humanistic philosophies. The Golden Rule admits of a spiritual ethic acknowledging the inside person, the sacredness of others, and committing oneself to a life of care, kindness, and respect for others. Nothing could be less unadorned as a moral statement.

To the faithful, divorced from religion, spiritual leadership as a nonreligious construct loses its meaning and force. By secular is meant that spiritual is not tied to religion or any particular religious expression or humanistic philosophy. This is the view that we are consciously spiritual, recognizing the instinctive moral consciousness of our essential humanity. So, when talking about the spiritual, there is no need to seek verifiable truth; instead of truth sought, spiritual reality is comprehended as both myth and symbol, tested by time, and engrained in a moral awareness of others. Pragmatically, spiritual authenticity comes through human relationships, personal investment, and communal accountability. And although beset with metaphorical meanings, the spiritual is the dynamic force in ethics and values-based leadership, religious or secular. A value, such as the spiritual, is much more powerful as a shared achievement, unlimited in scope and not limited by sectarian bias or ethnocentric criteria.

Douglas Adams[42] "imagines a puddle waking up one morning and thinking 'This is an interesting world I find myself in – an interesting *hole* I find myself in – fits me rather neatly, doesn't it? In fact, it fits me staggeringly well, must have been made to have me in it!' This is such a powerful idea that as the sun rises in the sky and the air heats up and as, gradually, the puddle gets smaller and smaller, it's sill frantically hanging on to the notion that everything's going to be all right, because the world was meant to have him in it, was built to have him in it; so the moment he disappears catches him rather by surprise." To this end, spiritual leadership is an idea and practice requiring expansion to lift the spiritual from its ethnocentric "puddle" to a world of manifold possibilities. As Leonard Peltier[43] said, "Each of us is responsible for what happens on this earth. . . . Each of us is the swing vote in the bitter election battle now being waged between our best and our worst possibilities."

References

1. Fry, Louis W. and M. S. Nisiewicz (2002). *Maximizing the triple bottom line through spiritual leadership.* Stanford, CA: Stanford Business Books. See also, Louis W. Fry (2003) "Toward a theory of spiritual leadership." *The Leadership Quarterly*, 19 (3) pp. 693-727.
2. Grossmann, Reinhardt 1973). *Ontological Reduction*. Bloomington and London: Indiana University Press, pp. vi, 215.
3. Jaspers, Karl (1971). *Philosophy of existence*. Philadelphia, PA: University of Pennsylvania Press.
4. Huxley, Aldous (1945). *The perennial philosophy.* New York: HarperPrennial, p. 23.
5. Wittgenstein, Ludwig (1984). *Culture and value*. Chicago: University of Chicago Press (May 15, 1984).
6. Lakoff, George and Mark Johnson (2003). *Metaphors we live by*. Chicago: University of Chicago Press; 1st edition See especially chapters 1, 2, 3, and 4.
7. Lakoff and Johnson (1980) Op. Cit.
8. Bennett, Roy T. (2016). *The light in the heart.* Kindle. Amazon Digital Services LLC.
9. Hester, Joseph P. (2019). "Morality without borders." *Journal of Values-Based Leadership* Vol. 12 > Iss. 2 (2019).
10. Cultural Wars; see the following: Hunter, J. D. (1990). *Culture wars, The struggle to define America.* New York, NY: BasicBooks. Curry, T. (2001) *Farewell to Christendom: The future of church and state in America.* New York, NY: Oxford University Press. See also, Roger Finke and Rodney Stark (1992) *The churching of America 1776-1980.* New Brunswick, NJ: Rutgers University Press. Field, D. (1893) "American progress." In *Jurisprudence,* 1893, "The factors that allowed the development of religious freedom and pluralism in colonial America." http://www.ntgreek.org/SeminaryPapers/ChurchHistory/Factors%20That%20Allowed%20Development%20of%20Religious%20Fr eedom%20and %20Pluralism %20 in%20 Colonial%20 America.pdf. McConkey,

D. (2001) "Whither Hunter's culture war? Shifts in evangelical morality, 1988-1998 - Statistical data included." http://www.findarticles.com/p/articles/mi_m0SOR/is_2_62 /ai_ 76759006/ print. See also, Daniel Bell. (2000). *The end of ideology.* Cambridge, MA: Harvard University Press, and Daniel V.A. Olson and Jackson W. Carroll. (1994). "Religiously based politics," in Leonard Cargan and Jeanne H. Ballantine. *Sociological Footprints,* Belmont, CA: Wadsworth Publishing Company. Dionne, E. J. and Allan Carlson (1997). "Two views: How did the '50s ever beget the '60s?" *The American Enterprise*, May/June, and Colleen Campbell. (2002). *The new faithful: Why young adults are embracing Christian orthodoxy.* Chicago, IL: Loyola Press. Pyle, R. and James Davidson Hunter (1997) *The search for common ground: What unites and divides Catholic Americans.* Charlotte, NC: *Charlotte Observer, Our Sunday Visitor.*

11. As noted in the text, the figures in this report are for 2010. The Pew Research Center's latest religious affiliation estimates for the U.S. show that just under 20% of the adult population is religiously unaffiliated, part of a trend toward disaffiliation that has accelerated over the past five years. For more information, see the Pew Research Center's July 2013 report "Growth of the Nonreligious" and October 2012 report "'Nones' on the Rise." Note, however, that Pew Research surveys include only adults ages 18 and older, while Pew Research demographic estimates take into account people of all ages. For more details, see "Age Structure Procedures" in the Methodology of the December 2012 report "The Global Religious Landscape." https://www.pewforum. org/2014/04/04/global-religious-diversity/.
12. *New York Times* (11/14/16): "The rage of white, Christian America. https://www.nytimes.com/2016/11/11/opinion/campaign-stops/the-rage-of-white-christian-america.ht ml?module=inline.
13. Graham, Franklin. https://www.wxii12.com/article/franklin-graham-will-preach-in-greensboro-wednesday/ 29391561.
14. Fry, Louis W., Op. Cit.
15. Joyce, Kathryn (6/18/09). "The fight over evangelizing military chaplains." *Newsweek.*
16. Samuelson, Peter (2011). "America's moral identity." https://day1.org/articles /5d9b820ef71918cdf2002d8e/ americasmoralidentity.
17. Caplow, Theodore, et al. (2009).
18. Hester, Joseph P. (2003). *The Ten Commandments, A handbook of religious, legal, and social issues.* Jefferson, NC: McFarland & Company.
19. Larry King Live, October 26, 2004. http://www.biblebb.com /files/ mac/ mac-lkl5.htm.
20. McGill, Kevin (3/20/17). "Court: Student prayers OK at school board meetings." *Associated Press*, 3/20/17/.
21. Kirkpatrick, David D. (10/16/04) "Rally against gay marriage draws thousands to Capitol." *New York Times*, 10/16/04.
22. *The Berlin Reporter*, Volume 117. No. 3 (1/19/11). http://www.newhampshirelakesandmountains.com/pdf/BER. 2011.01.19.pdf.
23. University of North Carolina at Chapel Hill: "Denial of freedom of association for Christian fraternity". http://www. thefire.org/index. php/case/645.html.

24. Muslim Ban: https://en.wikipedia.org/wiki/Executive_Order_13769
25. *MediaMatters* (January 31, 2017). http://mediamatters.org/research/2017/01/31/muslim-ban-religious-test-built-false-premise/215192.
26. https://www.aclu.org/press-releases/aclu-comment-trump-administrations-new-travel-ban-restrictions.
27. Warner, S. (1993). "Works in progress: Toward a new paradigm for the sociology of religion in the United States." *American Journal of Sociology,* Vol. 98, No. 5.
28. Baha'i Faith, "The promise of world peace." https://www.bahai.org/documents/the-universal-house-of-justice/promise-world-peace.
29. Jackson, Nicole (4/11/17). "Gallup Poll: 59% of Americans Support School Choice." https://www.federationforchildren .org/poll-americans-support-school-choice/.
30. *USA Today*: "Betsy DeVos calls for more charter schools even as they spark investigations across the country." https://www. Usa today.com/story/news/education/2019/03/27/charter-school-betsy-devos-school-choice/3251111002/.
31. Wuthnow, R. (1989) *One nation under whose God? Hartford Courant*, March 12.
32. Stephen R. Warner (1988). *New wine in old wineskins: Evangelicals and liberals in a small-town church.* Berkeley, CA: University of California Press. See also: Hadden, J. K. (1995) "Religion and the quest for meaning and order: Old paradigms, new realities." *Sociological Focus,* 28:1. February.
33. Huntington, S. P. (2004). *Who are we? The challenges to America's national identity.* New York, NY: Simon & Schuster.
34. Hutson, J. H. (2005). *The founders on religion.* Princeton: Princeton University Press.
35. Hunter/McConkey: See "Cultural Wars" footnote 10.
36. Smith, C. (2000) "Christian America? What evangelicals really want," Berkeley, CA: The University of California Press. See also: Larry Rasmussen (2000) *Moral fragments & moral community.* Minneapolis, MN: Augsburg Fortress Publishers, and (1995) "Moral community and moral formation," *The Ecumenical Review*. Smith, J. (1998) "The strange history of the decade: Modernity, nostalgia, and the perils of periodization." Journal of Social History, Winter, 2000.
37. Smith, C. Op. Cit.
38. Huntington Op. Cit.
39. Shorto, R. *Descartes' bones.* (2008). New York, NY: Doubleday.
40. *Raboteau Albert J.* (April/May 2005). "American Salvation The place of Christianity in public life." https:// boston review.net/archives/BR30.2/raboteau.php.
41. Hester, Joseph P. (2017). *A summoned life: Forging a new moral identity, An explication of the Golden* Rule. West Conshohocken · PA: Infinity Publishers, 2017.
42. Adams, Douglas (2002). *The salmon of doubt: Hitchhiking the galaxy one last time*. New York: MacMillan.
43. Peltier, Leonard (October 2019). *The Sun,* page 48.

About the Author

Joseph P. Hester earned the Ph.D. in Philosophy from the Franklin College of Arts and Sciences at the University of Georgia in 1973, where he held a teaching assistantship in the Department of Philosophy and a research assistantship with the Georgia Studies of Creative Behavior. Now in retirement, he is on the editorial board for the *Journal of Values-based Leadership* for which he is a frequent contributor and the advisory board for the *Humanities Bulletin*. His latest book, *A Summoned Life*, an explication of the Golden Rule was published in 2017 and his most recent articles: "Values-Based Leadership in a Time of Values Confusion," was published by the *Journal of Values-Based Leadership* in the winter/spring of 2019 and "Veiled Assumptions and the Failure of Ethical Conversations" was published in the *Humanities Bulletin* in the fall of 2018.

Dr. Hester can be reached at southcline@gmail.com.

Profound Leadership:
An Integrative Literature Review

HEIDI K. SCOTT
UNIVERSITY OF IDAHO
MOSCOW, IDAHO USA

DAVIN CARR-CHELLMAN
UNIVERSITY OF IDAHO
MOSCOW, IDAHO USA

LESLIE HAMMES
UNIVERSITY OF IDAHO
MOSCOW, IDAHO USA

This integrative literature review develops the concept of profound leadership. Using Torraco's (2005, 2016) framework for integrative literature reviews as a foundation, the purpose of this study is threefold: (a) to review existing leadership theories fitting the profound learning framework (Kroth, 2016); (b) to examine the definitions, characteristics, and dependent variables of these existing leadership theories; and (c) to apply the outcomes of (a) and (b) to build the theory of profound leadership and make recommendations for future theory-building. Leadership as a general concept has been extensively explored, researched, and written about, developing a rich palette of explanatory theories. Profound leadership, on the other hand, is an emerging concept to elaborate through this integrative review of the literature of specific leadership theories resonating with profound learning.

Introduction

This integrative literature review develops the concept of profound leadership using a lens of profound learning to synthesize five selected leadership theories. An integrative literature review, "… reviews, critiques, and synthesizes representative literature on a topic … such that new frameworks and perspectives on the topic are generated" (Torraco, 2016, p. 404). Profound learning theory is emerging in research literature (Kroth, 2016); providing a unique lens to view leadership, a concept we are calling profound leadership. This concept synthesizes characteristics from key leadership theories including servant, authentic, level 5, spiritual, and transformational. To expand the understanding and application of leadership, we identify the characteristics of these established theories that resonate with profound learning and synthesize them to elaborate the concept of profound leadership. Torraco's (2005, 2016) approach served as our methodological framework.

Problem Statement

Profound learning drives this project: viewing leadership through this lens is the foundation of our approach. The emergence of profound learning as a concept and the limited "profound leadership" search results demonstrate the need for this research. Searching for "profound leadership" results in 233 articles from the University of Idaho's online library and 2 results on ERIC.ed.gov. Assessing these results, 42 of the 233 (18%) are from peer-reviewed journals. The top eighty percent of items (80%) fall under the following topical categories: leadership (58), social sciences (47), education (44), management (20), and school administration (17).

Profound learning, which emphasizes meaning-making over time, also forces the issue of well-being, highlighting the second driving need for this research: to explore the intersection of leadership and well-being as they are expressed in profound leadership. Scholarly and popular literature discuss ethical, moral and values-based leaders as recognizing the importance of work-life integration. Huffington (2014) and Brown (2019) suggest common struggles with work-life balance, authenticity, and self-care. Braun and Peus (2018) assert leadership is a critical resource in promoting balance, health, and well-being. Weiss, Rasinskas, Backman, and Hoegl (2018) argue a lack of authentic leadership may reduce well-being.

Rao (2017) explores leadership based on principles, values, and morals, suggesting values-based leadership is built upon integrity, transparency, ethical considerations, and a focus on "what is right" (p. 2). Nygaard, Biong, Silkoset, and Kidwell (2017) suggest values-based leadership has the potential to influence employees' ethical attitudes and behaviors, "leadership by role model, 'the good example' or 'the good shepherd' (known as referent power), is the best way to support and promote ethical values… far better than forcing the effect" (p. 134). These assertions provoke further exploration of potential connections between values-based leadership theories, well-being, and the emerging profound leadership theory.

Conceptual Framework

The Kroth article on "The Profound Learner" (2016), develop our foundation of profound learning. Kroth (2016) defines the profound learner as "someone who pursues deeper knowledge regularly over time" (p. 29). We use this adult learning concept as the basis for selecting key leadership theories identified as contributing to profound leadership. The terms awe, wonder, deepening, and ever-seeking are fundamental characteristics of profound learning; contributing characteristics from the five key leadership theories share these foci.

Per Torraco's (2005, 2016) approach, our review used five phases. Phase one establishes the research need, using a lens of profound learning to select ethical, moral, and values-based leadership theories. The structure of our approach is conceptual (integrating concepts) and not strictly thematic (developing themes from concepts).

The second phase focuses on methods. Due to the vast depth and breadth of leadership literature available, we select existing leadership theories that resonate with profound learning and have potential implications for well-being. With these guides to sift through the extensive literature, we focused on ethical, moral, and values-based leadership theories.

The third phase is analysis. We critically analyze the literature, finding theory building components from the five established leadership theories. Figure two conceptualizes the contributing ideas from selected articles. The fourth phase is synthesizing and integrating concepts and constituent characteristics from each leadership theory, using them to elaborate profound leadership. In the fifth and final phase we explain results and assess the limitations of our approach to stimulate further research.

Research Design and Methods

Following Torraco's (2005, 2016) approach to integrative literature reviews, we use a phased and iterative approach. Guided by profound learning, this "literature review addresses new or emerging topics that would benefit from a holistic conceptualization and synthesis of the literature" (2016, p. 410). Our methodological approach is consistent with these emphases.

Research Questions

Four research questions guide and inform this inquiry:

1. *Based on available resources, what leadership theories fit the profound learning framework?*
2. *What are the identified theories' constituent characteristics and variables?*
3. *What patterns exist among the identified theories' characteristics and variables?*
4. *How do resulting characteristics and variables elaborate the concept of profound leadership?*

Constituent Theories of Leadership

The five existing theories on which we draw as constituent theories of profound leadership include servant leadership, level 5 leadership, authentic leadership, transformational leadership, and spiritual leadership. Addressing the generative role of integrative literature reviews, Torraco says, "because these topics are relatively new and have not yet undergone a comprehensive review of the literature, the review is more likely to lead to an initial or preliminary conceptualization of the topic (i.e., a new model or framework) rather than a reconceptualization of existing models" (2016, p. 410). Similarly, our preliminary conceptualization of profound leadership draws from, without reinterpreting, these five existing theories. We distill characteristics resonating most strongly with profound learning and synthesize these characteristics into our new model of profound leadership. This process required iterative phases of data collection and analysis.

This approach allows for exploration, development, and integration of the constituent characteristics. Through analysis, characteristics emerge and are selectively integrated, building the framework for profound leadership. Torraco states an integrative literature review is ". . . a distinctive form of research that uses existing literature to generate new knowledge" (2016, p. 404).

***Figure 1*: Profound Leadership Venn Diagram**

***Note:* The constituent leadership theories' interconnectedness is represented by discrete circles, their relationship and overlap consider the shared and contributing characteristics to profound leadership supported by profound learning foundation.**

Preliminary searches for the existing leadership theories were conducted using the University of Idaho online library and ERIC.ed.gov online. We narrowed the total results by filtering for peer-reviewed journals. We reviewed abstracts, annotated select articles, and documented theory characteristics.

The volume of literature related to (general) leadership theory is large. Searching for "leadership" on the University of Idaho's online library produces over five million (5,427,566) results. Limiting to peer-reviewed journals supplies one million (939,051) results. Searching for "leadership" on ERIC.ed.gov returned 68,543 results, with half (31,507) from peer-reviewed journals.

***Table 1*: Preliminary Search Terms and Search Results**

Search Terms	University of Idaho Online Library Search		ERIC.ed.gov Online Search	
	Total results	Peer-reviewed journals	Total results	Peer-reviewed journals
Leadership	5,427,566	929,051	68,543	31,507
Spiritual leadership	288,492	70,426	409	201
Authentic leadership	219,581	49,392	683	388
Servant leadership	141,378	26,807	304	138
Transformational leadership	129,724	36,974	2,110	1,166
Level 5 leadership	25,310	4,842	2,029	319

Servant leadership Greenleaf	8,101	1,467	35	13
"Profound leadership"	233	42	2	-

Note: **Table 1 includes results of preliminary online searches conducted on discrete instances, November 06, 2018 and December 03, 2018, searches continuing over four months.**

Searching for authentic leadership on the University of Idaho's online library returns 219,581 results, narrowing to peer-reviewed journals returns 49,392 results; searches from the same source for servant leadership return 141,378 results, with 26,807 from peer-reviewed journals; spiritual leadership returns 288,492 results, with 70,426 from peer-reviewed journals; transformational leadership returns 129,724 results, with 36,974 from peer-reviewed journals; and "level 5" leadership returns 25,310 results, with 4,842 from peer-reviewed journals. Searching combinations of terms produces different results and supplies opportunity to explore various theory relationships and synthesize related literature.

Narrowing the Literature

The research team divided the selected leadership theories, each member assessing the scholarly literature within one or more theories and tracking and documenting article selection criteria. Team members collaborated and learned from each other using shared online spreadsheets. Each spreadsheet tab allowed team members to capture specific article characteristics, sharing review criteria to ensure a repeatable, fair, and consistent process and building interrater reliability. The documented article characteristics include author, title, source, DOI, citation, link, search methods and terms, annotation, conceptual framework criteria, and questions. Using these characteristics, particularly our annotations and the conceptual framework criteria from profound learning theory, the researchers identified constituent qualities emblematic of each of the key leadership theories.

In the secondary search phase, we found sources dating to leadership theory origins, balancing historical theory building with current research while focusing on journals emphasizing values-based leadership. Our goal was not to review all the literature, but rather to capture the best leadership ideas as viewed through the profound learning lens and with implications for well-being, bringing forth the strongest, most contributory concepts.

To continue narrowing the large volume of leadership literature and to further address our research questions, we used an iterative process, revisiting prior conclusions in light of new data. Recognizing the infeasibility of reviewing five million articles (*Table 1*), broad search results were further narrowed by assessing previously published integrative and comprehensive reviews of leadership literature, focusing on articles addressing altruistic leadership, humanity of leadership, leadership and learning, and values-based leadership, and choosing those ideas most resonant with profound learning. Keeping the contributory ideas in mind, we reviewed abstracts, assessed various criteria, and decided if there is a need to dig deeper. Selecting literature informed by our lens enabled a productive and recursive cycle, allowing continuous refinement, partnered reviews, and a progressively narrowing focus. After each round of reviews, the team assembled to evaluate findings and identify areas needing expansion.

To build rigor into our process and allow for review by other members, we sought to build consensus about relevant articles by highlighting in the spreadsheet. Color coding by leadership theory and whether the article was suggested for use, the spreadsheet allowed each team member to see search methods and terms, annotations, and articles planned for inclusion. Over time and across iterations, we reached thematic consensus and determined the servant, authentic, level 5, spiritual, and transformational leadership articles which best contributed to our theory building.

Table 2: *Secondary and Tertiary Search Terms, Results, and Refining Criteria*

Search Term / Category	Secondary Results & Refining Criteria			Tertiary Results & Refining Criteria
Other / leadership	22	Theory founders / builders Leadership characteristics Discussed differences in style based on leader characteristics Defining leadership AOLL Coursework	16	Integrative, comprehensive, or systematic reviews Characterizing leaders as altruistic Humanity of leadership Leadership and learning Values-based leadership Resonant to profound learning
Spiritual leadership	1		1	
Authentic leadership	20		6	
Servant leadership	8		3	
Transformational leadership	5		2	
Level 5 leadership	3		2	
Servant leadership Greenleaf	--		--	
"Profound leadership"	8		8	

The most valuable and contributory articles were selected from each leadership theory to build and develop the profound leadership concept. After discussing and agreeing upon article merit, each team member evaluated selected articles for fit, consistency of voice and theory, and applicability to the nascent leadership theory. An opportunity for divergent thinking was created by meeting often to discuss findings, approach, and next steps, allowing individual progress following a consistent methodological approach.

Divergent thinking generated creative ideas, laying a solid foundation for the next step in our review. Once our divergent thinking captured relevant literature, we assessed approaches for synthesizing our findings. An approach marked by divergence followed by synthesis emphasizes an active and questioning mindset, an attribute of profound learning, and supports independent analysis and peer review. Theory building blocks were extracted from selected articles and included key concepts from servant, authentic, level 5, spiritual, and transformational leadership, with each leadership theory playing a crucial role.

Findings and Analysis

Credited to Burns (1978) over forty years ago and still true today, "leadership may be the most studied and least understood topic in any of the social sciences" (Allen, 2018, p. 54). Multiple reasons exist for the vast literature around leadership,

... it is important to recognize the reasons no unified theory of leadership currently exist. Leadership theory emphasizes many outcomes, from how leaders are perceived to how leaders affect unit performance; it involves actions of group members (Day, 2000) as well as those of formal leaders; it has been applied to levels that include events, individuals, dyads, groups, organizations, and political systems; it has focused on immediate and delayed effects; and it often incorporates contextual differences (Dinh et al., 2014, 55-56).

What follows is both a synopsis of the relevant literature for each of our five constituent leadership theories and a representation of the constituent characteristics that will contribute to the synthetic approach to developing profound leadership as a concept.

Servant Leadership

Searching for "servant leadership" in the University of Idaho's online library returns 141,378 results with 26,807 results in peer-reviewed journals. Adding "Greenleaf" returns 8,101 results, with 1,467 from peer-reviewed journals. On ERIC.ed.gov "servant leadership" returned 304 results, with 138 from peer reviewed journals. Articles were limited to publication in years 2015-2018, using leadership theory origins as useful context. Eva, Robin, Sendjaya, Van Dierendonck, and Liden (2019) published an integrative and comprehensive review of servant leadership literature including 285 articles spanning 20 years, asserting the lack of coherence around a definition of servant leadership impedes theory development.

Robert K. Greenleaf is viewed as the father of servant leadership theory, first proposing the concept in his 1970 *The Servant as Leader* essay. Greenleaf (2008) states his idea for the servant leader came from Herman Hesse's Journey to the East and the character of Leo. Greenleaf defines a servant leader as one whose work focuses on the servant first, is part of who the person is, and where the servant nature is the real person.

Greenleaf (2008) identifies awareness as a launch pad for learning; asserting "awareness is not a giver of solace -- it is just the opposite. It is a disturber and an awakener. Able leaders are usually sharply awake and reasonably disturbed. They are not seekers after solace. They have their own inner serenity" (p. 15). This "tolerance for awareness" (p. 14) and "ability to see oneself in perspective" (p. 15) are fundamental to profound learning and key contributing components to profound leadership.

Gabriele and Caines (2013) suggested servant leadership contributes to the idea of *LeaderBeing* defined as being, not just doing, and lifelong experience. An increasing focus on outcomes, work demands and pressure to perform require a focus on the humanity of leadership. Relevant to servant leadership, *LeaderBeing* may be a key contributing concept to the idea of profound leadership. Gabriele and Caines (2013) cite Mary, Queen of Scots, "in the end is my beginning"; Mary realized consummation is not a final state but a beginning prompted by a profound experience:

LeaderBeing perhaps can be understood best as a consummation. First, it is not a thing. It is a process within the person of the servant leader. By entering the maturing growth that is LeaderBeing, the servant leader gives flesh to the processes of real human leadership that makes a difference. And as others observe the servant leader *so involved, they also are moved to change, and grow and develop. Indeed, the consummation of real LeaderBeing in those who would dare truly to be servant leaders gives birth to something new and unforeseen among one's peers, within one's organization, and outwardly toward those the organization is called to serve* (pp. 19-20).

A servant leader's self-awareness and integration of wellness in leadership, combined with positive other-directed emotions may produce long-lasting, deep change in followers' lives. Vieweg (2018) cited Coetzer, Bussin, and Geldenhuys (2017) "altruism is essential to servant leadership" (p. 7) and Parris and Peachey (2012) "servant leaders demonstrate altruism through prosocial behaviors, like emotional healing and organizational stewardship" (p. 7).

A true servant leader is likely to be seen as different, odd, and guiding herself with a different kind of compass. Moving beyond the platitudes of servant leadership requires a deeper motivation (Nouwen, 1994) – a sense of the practice and life of servant leadership as digging deeper into one's own experience to practice a constant and vital acknowledgement of the depth of suffering at the heart of the human condition which we all share. The humanity of servant leadership with a focus on others' needs, giving, and servitude offers contribution to profound leadership.

Authentic Leadership

Gardner, Avolio, Luthans, May, and Walumbwa (2005) define an authentic leader as one who fosters healthy ethical climates with transparency, trust, integrity, high moral standards, and helps followers to achieve authenticity. Dinh et al. (2014) named 31 articles on the theory of authentic leadership in the 12 years of their survey (p. 40); these articles span the emergence, development, and exploration of the theory. In June 2005, The Leadership Quarterly's special issue published 9 of these articles.

Authentic leadership (Avolio & Gardner, 2005; Gardner, Cogliser, Davis, & Dickens, 2011) describes leaders who are self-aware, process positive and negative ego-relevant information in a balanced fashion, achieve relational transparency with close others, and are guided in their actions by an internalized moral perspective (Dinh, et al., 2014, p 42).

Gardner, Avolio, Luthans, May, and Walumbwa (2005) emphasized the traits of self-awareness (an iterative process of reflecting on personal values) and modelling authenticity for followers. From a longer list of traits posited by Avolio and Gardner (2005), Illies, Morgeson, and Nahrgang (2005) distilled four main characteristics of authentic leaders: 1. self-awareness, 2. balanced processing, 3. ethical and moral identity, and 4. relational transparency (p. 376). In addition, the authors

... make a case that an important introspective yet relational concept, authenticity (i.e. being one's true self), has substantial implications for the meaningfulness of employee's lives, especially in the process of leadership. ... authentic leaders .... focus on building followers' strengths (Illies, Morgeson, & Nahrgang, 2005, p. 374).

Braun and Nieberle (2017) provide perhaps the most succinct definition of authentic leadership, credited to Avolio, Gardner, Walumbwa, Luthans, and May (2004), "… authentic leadership characterizes leaders who 'know who they are, what they believe and value,' and who, 'act upon those values and beliefs while transparently interacting with others' (p. 781). Michie and Gooty (2005) discuss the role of values and emotions in authenticity, and classified leadership by combinations of high and low self-transcendent values and high and low frequency of other-directed emotions.

Living authentically leads to personal eudaemonia, defined as "reflecting self-realization, personal growth and expressiveness and, more generally, human flourishing and the fulfillment or realization of one's true nature" (Illies, Morgeson, & Nahrgang, 2005, p. 376). Braun and Nieberle (2017) discuss how emphasizing humanistic values and recognizing others' strengths leads to a more balanced personal and professional life, improving both leader and follower eudaemonia. Follower eudaemonia incorporates personal and professional growth and development, aligning the work-family interface and the private-life domain.

Michie and Gooty (2005) tell us "authentic transformational leaders … believe every individual has dignity and moral standing" (p. 442). Authentic leaders are transparent and express other-directed values in behavior and action; this positive other focus is a key trait of profound leaders. Authentic leaders know who they are and commit to iteratively assessing personal emotions and values, consistently practicing these values (George, Sims, McLean, & May, 2004).

The history of authentic leadership emphasizes the essential nature of self-reflection and consistency in modelling a true self and making positive and permanent changes in followers' lives. A leader who does not strive to improve followers' daily lives is not committed to profoundly changing themselves and society. As a profound learner never stops thinking, questioning, learning, or practicing self-awareness, two characteristics transfer well to profound leadership: self-awareness and relational transparency.

Level 5 Leadership

Collins (2006) defines a Level 5 leader as a "study in duality: modest and willful, shy and fearless (p, 70). To reach Level 5, a leader must progress through the preceding four levels. A level 5 leader must own lower level capability; they reach this pinnacle by possessing personal humility and professional will as attributed to Collins (2006). Level 1 is a highly capable individual, making productive contributions; Level 2 is a contributing team member, helping the group achieve; Level 3 is a competent manager, organizing and managing resources; Level 4 is an effective, committed leader, providing vision; finally, at Level 5, one achieves "executive" status.

Level 5 leaders are characterized as "never wavering … never doubting … never second-guessing" (Collins, 2006, p, 73). Humility and resolve are important characteristics of both profound leaders and level 5 leaders. Drawing on Collins, we posit a profound leader is ever-seeking, ever learning, often doubting, always questioning, possessed of will and ambition balanced with self-awareness. Level 5 leaders are adept at selecting successors and profound leaders empower profound learners; both demonstrate the leaders' impact on follower growth and development. Level 5 leadership contributes to profound leadership mainly in the element of growth, complemented by curiosity, which Collins (2006) conceptualizes under humility.

Spiritual Leadership

Cited to International Institute for Spiritual Leadership (2013), Smith, Minor, and Brashen (2018) define spiritual leadership as "encompassing motivating and inspiring workers through hope/faith in a vision of service to key employees and a corporate culture based on the values of altruistic love" (p. 87).

Smith, Minor, and Brashen (2018) also suggested spiritual leaders achieve "positive and humane results" using multiple leadership approaches (p. 80). Spiritual leadership embodies an intrinsic, visionary, and moral approach; it is focused on listening, appreciation for others' contributions, respect, and fair treatment. Smith, Minor, and Brashen (2018) assert the key skills required for spiritual leadership include intrapersonal introspection, observing others, feedback, self-assessment, communication, and promoting healthy conflict. Eva, Robin, Sendjaya, Van Dierendonck, and Liden (2019) suggested spirituality may drive servant leaders to act with a "propensity or altruistic motive to serve others" (p.3). This demonstrated relationship between servant leadership and spiritual leadership lends itself to a profound leadership connection. The key characteristics from spiritual leadership offering contribution to profound leadership include humanity and growth.

***Figure 2*: Pillars of Profound Leadership**

Profound Leadership				
Servant Leadership	**Authentic Leadership**	**Level 5 Leadership**	**Spiritual Leadership**	**Transformational Leadership**
Accepting people as imperfect, creative, fallible Empathetic Humble Intuitive Listener Others needs first Servant First	Always thinking and questioning Balanced processing Other-directed emotions Ethical and moral identity Improve eudemonia Relational ansparency Self-awareness	Adept at selecting successors Humility Promote follower growth and development Resolve Will and ambition balanced with reflection and awareness	Achieve positive and humane results Appreciation for other contributions Fair Treatment Intrinsic, visionary, moral approach Leverage multiple leadership styles Listening focus Respect	Idealized influence (charisma) Individualized consideration Inspirational motivation Intellectual stimulation Motivating followers Working towards transcendental goals

Transformational Leadership

Sun, Chen, and Zhang (2017) credit Burns (1978) with conceptualizing transformational leadership theory; Bass' (1990) transformational leadership contribution lies in a non-educational context. Cited to Burns (1978), the definition of transformational leadership strives towards achievement and self-actualization, rather than safety and security. Bass's (1990) characteristics include idealized influence (charisma), inspirational motivation, intellectual stimulation, and individualized consideration. Leithwood and Jantzi (1999) conceptualized transformational leadership as fifteen specific practices classified into four broad categories: "(1) setting directions, (2) developing people, (3) redesigning the organization, and (4) managerial aggregate" (Sun, Chen, & Zhang, p. 3).

Burns (1978) tells us "the purpose of leadership is to motivate followers to work towards transcendental goals instead of immediate self-interest" (Sun, Chen, & Zhang, p. 3). Leadership purpose connects an altruistic notion of working towards the greater good with leader deepening, expanding, and growing. Vieweg (2018) suggested an altruistic approach to leadership may nurture organizational culture and motivate employees (p. 1). Accepting the altruistic connection with generalized leadership, we believe altruism is a key part of profound leadership.

Cited to Mallén, Chiva, Alegre, and Guinot (2014), Vieweg (2018) holds altruism as a key part of servant, authentic, and spiritual leadership (p. 6); Vieweg, as cited by Furnham, Treglown, Hyde, and Trickey (2016), contend altruism is associated with other positive characteristics. These positive characteristics include interpersonal sensitivity, social ability, and inquisitiveness. Dictionary.com defines (inquisitiveness) as "given to inquiry, research, or asking questions; eager for knowledge; intellectually curious." Connecting inquisitiveness to profound learning, one sees openness as part of leading; inquisitiveness may be a key contributing characteristic of a profound leader. The profound leader is a profound learner and promotes learning in their followers and continued learning through their leadership. The transformational leadership components of growth and learning translate well to profound leadership.

Synthesis

As we move into synthesis, our intent is to integrate the components in a value-based manner, as a synthetic metatheory. The main concepts elicited from our analysis are brought together in the final synthesis phase and outlined in *Table 4*.

***Table 4*: Synthetical Representation of Common Collected Profound Leadership Characteristics**

Main Concept	Supportive Elements
Curiosity	Child-like wonder, leader as learner, endless questioning, ever-seeking, asking, pursuit of knowledge, embodiment of intuition and humility.
Humanity	Being human, fallible, serving heart on platter, embracing heart in others, servitude, focus on other's needs, listening and empathy, giving, balancing achievement with humane results, mindful, altruistic approach.
Growth	Planting seeds, nurturing, offering and seeking ideas, supplying and cultivating growth and development, self-awareness and reflection, ability to adjust, find gaps or needs, create space for flourishing.
Learning	Learning focus, profound learning, collaboration, connection and putting pieces together, relationship management, problem-solving and integration, offering and adjusting, bringing in the other components.

The concepts of curiosity, humanity, growth, and learning are common concepts that resonate when looking at leadership through the lens of profound learning. These four concepts become the key framework for our profound leadership concept, viewing leadership through the lens of profound learning.

Curiosity can be expressed through child-like wonder, endless questioning, ever-seeking, and the leader as learner pursuing knowledge. The humble, ever-constant pursuit of knowledge and truth propels a leader to look further, ask more, and embrace learning in themselves and followers. Curiosity resonates strongly with profound learning and embodies intuition and humility.

The humanity of leadership is our second synthesized concept. This human quality to leadership includes listening and empathy, servitude, and a profound leader's giving nature. A values-based leader serves their heart on a platter; embraces heart and humanity in others; and offers, gives, serves, and focuses on others' needs. Balancing achievement with humane results partnered with a recognition of humanity in others supplies balance and a mindful, altruistic leadership approach.

A profound leader nurtures growth and development aligned with performance expectations. A leader plants seeds, offers and seeks ideas, and cultivating an environment for improvement and maturation. The profound leader provides support and awareness of developmental needs. The profound leader reflects on progress, makes adjustments, identifies gaps or needs, and creates space for flourishing.

Our fourth concept centers on learning, clearly resonating with profound learning, adding elements of collaboration, connection, and putting pieces together. Viewing the complex and puzzling nature of work relationships, one sees the ability to contextualize and adjust approach in an incredibly valuable manner, promoting problem-solving and integration.

Further synthesizing these four conceptual components, we see the gelling of a profound leadership concept; it recognizes leaders are human and embraces others' humanity, while getting effective and productive work done. These concepts are not mutually exclusive, and we are not required to choose one or the other. Instead, we integrate seeming opposites: humane performance, seeing and reflecting, and giving and flourishing.

Limitations

We have defined profound leadership as delivering positive personal and societal changes, with profound leaders supporting the common good. This integrative literature review is not the proper venue for an in-depth analysis and discussion of this question. Determining whether profound leadership is limited to positive change presents further research opportunities.

Differences in leadership style and efficacy driven by gender, educational attainment, age, and ethnicity are other areas needing more in-depth exploration than this literature review allows. Searching Google Scholar for "gender differences in leadership," limited to items published between 2015 and May 3, 2019, returns 70,200 results. Further narrowing our search for the same timeframe, adding terms "authentic," "servant," "spiritual," and "transformational," returns 15,000 – 20,000 results. Searching Google Scholar for "age differences in leadership," limited to items published between 2015 and May 17, 2019 returns 162,000 results. Further narrowing our search for the same period and adding terms "authentic," "servant," "spiritual," and "transformational" returns 17,200 – 17,800 results. Our profound leadership construct would benefit from investigating the correlational or causal relationships with these variables.

Significance

We use the lens of profound learning to assess literature on key leadership theories to integrate into the concept of profound leadership. Using the Kroth (2016), and theory of profound learning as a foundation, we identify key contributing leadership theory pillars to support a profound leadership construct.

Profound leadership has not been defined or developed as a leadership theory; this integrative literature review identifies future values-based leadership development opportunities. Accepting Schein and Schein's (2017) assertion "leadership is the key to learning" (p. 14), we posit profound leadership can be a logical next step in leadership development. With a current popular focus on mindfulness and interrelatedness, we have a responsibility to decide the meaning of the next phase of leadership - socially, behaviorally, and individually.

Profound leadership supplies a necessary perspective. Continually increasing pressures for efficiency and productivity force organizational leaders toward transactional leadership styles at the expense of more developmental and humane approaches.

Bogenschneider (2016) credits Hollander from 1978, "a neo-corporate view of leadership sometimes identifies a leader as merely a person that de facto has followers" (p. 30). He challenges this notion with an exploration of leadership, expressing the complexity of leader versus manager, leader as one who has followers, and leadership beyond leading a project (p. 30). We assert leadership is more than positional.

Bogenschneider (2016) attributes the distinction between transactional and transformational leadership to Burns (1978) and Bass (1990). Shifting from a managerial focus on productivity, quotas, and efficiencies to a mindful humanistic leadership approach may be as important as it is difficult. This mindset shift links back to Bogenschneider's leadership exploration and leadership science cited to Fairholm (1995) where there is a need to "distinguish leadership from simply management" (p. 65). Leadership drives towards transformation; this informs our profound leadership concept.

Integrating humanity and performance expectations, supported by Fry and Slocum Jr (2008) suggests leaders simultaneously maximize the triple bottom line of "People, Planet, and Profit" (p. 86). Huffington (2014) and Brown (2019) delve into leadership and well-being, reinforcing a shift to a more mindful approach to leadership. A thoughtful, considerate approach to leadership shows increased performance achievement. These humanistic leadership approaches support our profound leadership concept, yet are disruptive to the traditional style of transactional "leadership."

As Gavin and Mason (2004) wrote in *The Virtuous Organization: The Value of Happiness in the Workplace*,

> *When a workplace is designed and managed to create meaning for its workers, they tend to be more healthy and happy. Healthy and happy employees tend to be more productive over the long run, generating better goods and more fulfilling services for their customers and the others with whom they interact and do business. These three things—health, happiness, and productivity—are the essential ingredients of a good society. Improvement in productivity alone, which is almost the sole emphasis of many organizations today, is not enough* (p. 381).

Productivity should not be a leader's sole focus; employee health and well-being are increasingly important, especially when striving for work-life-balance. A profound leader has a key role to play; embodying endless seeking and learning, partnered with self-awareness and servitude, supporting others in flourishing, in outcomes and in wellness.

Ilies, Morgeson, and Nahrgang (2005) discussed the intersection of eudaemonia with authentic leadership qualities, "…eudaemonic well-being as reflecting self-realization, personal growth and expressiveness and, more generally, human flourishing and the fulfillment or realization of one's true nature" (p. 375). Authentic leaders' focus on growth and well-being is a key component of the professional successes experienced by teams with authentic leaders: "… authentic leaders have more satisfied followers because their goals focus on values and well-being, in addition to individual and organizational performance" (p. 384). These assertions promote and provoke the diverse impact and responsibility of leadership; affecting others beyond their workplace, touching on well-being, values, and performance.

Michie and Gooty (2005) discussed the importance of often experiencing positive other-directed emotions and the motivation these emotions provide for leaders to act on self-transcendent values, arguing this is an important determinant of authentic leadership. Bass and Stogdill (1990) explained the support and concern authentic leaders have for followers: "Authentic transformational leaders are concerned with the welfare of others, because they believe every individual has dignity and moral standing" (p. 442).

Authentic leaders strive to enrich the work-family interface and improve personal lives through increased work resources. Braun and Nieberle (2017) explored the positive relationship between authentic leadership and followers' eudaemonia and work family enrichment (WFE); "Authentic leadership emphasizes nurturing and protecting followers' resources" (p. 781). Authentic leaders are a resource followers can draw upon for conflict reduction and increased enrichment at the work-family interface:

> *Our findings thus support the notion that authentic leadership relates to followers' attitudes and behaviors beyond bottom line success (Avolio et al., 2004), not only as a buffer of negative outcomes (e.g., burnout, stress; Laschinger, 2014; Laschinger & Fida, 2014), but to promote positive aspects and well-being* (Ilies, Morgeson, & Nahrgang, 2005, p. 792).

Recognition that the employee exists beyond the workplace is important to our profound leadership conception. Leading to success takes on an entirely new perspective outside of the traditional workplace; profound leaders are iteratively self-aware and self-reflective, a contributing part from both authentic and level 5 leadership theories.

Korkmaz (2007) asserted transactional leadership style negatively affects job satisfaction, and these two factors influence organizational health. Conversely, he found transformational leadership style to have a profound positive impact on teachers' job satisfaction and a potentially positive effect on organizational health. Where transactional leadership was incredibly tactical, directive, and command and control focused, transformational leadership focuses more on the individual, inspiration, motivating others, and working towards collective goals (Korkmaz, 2007). Peter Senge (1990) alluded to these desirable positive outcomes from transformational leadership (as cited by Merriam & Bierema, 2013),

> *Leaders must give up the old dogma of planning, organizing and controlling and realize the almost sacredness of their responsibility for the lives of so many people. A managers' fundamental task is providing the enabling conditions for people to lead the most enriching lives they can* (Merriam & Bierema, pp. 141-142).

The leadership conceptual evolution has continued over time, exemplified by Senge's writing in the introduction for the 2011 edition of Joseph Jaworski's Synchronicity: The inner path of leadership. Senge wrote:

> *The real gift of leadership is not about positional power; it's not about accomplishments; it's ultimately not even about what we do. Leadership is about*

creating a domain in which human beings continually deepen their understanding of reality and become more capable of participating in the unfolding of the world. Ultimately, leadership is about creating new realities (Jaworski & Senge, 2011).

While humanity, altruism, deepening, and meaning resonate from the 2011 writings, they also connect to Senge's first 1990 writing, demonstrating the leadership construct continues to evolve and has not arrived at a single answer. We continue to strive for a more developmentally focused approach to leadership, supporting the need to pursue and explore the profound leadership concept.

Conclusions

In this integrative literature review, we identified five leadership theories that, in conjunction with profound learning, we use as a theoretical framework for profound leadership theory building. Profound learning is our essential, underlying, foundational concept. Endless pursuit of knowledge, constant questioning, and seeking for understanding contribute to curiosity as a critical quality of profound leaders. The humanity of servant, authentic, and spiritual leadership offer to the profound leadership concept. The growth element shown in Level 5 and transformational leadership extend to profound leadership. Learning is underlined by profound learning and reinforced through each of the five leadership theories, informing a solid strand of learning focus embraced by the profound leadership concept.

The answers to our research questions have important implications for the field of values-based leadership development. A better understanding of profound leadership will contribute to leadership practice. Leveraging our findings, leadership development may be further integrated with profound learning, contributing to a dynamic, evolving humanistic approach.

Focusing on profound leadership, deeper thinking, and the service orientation may drive improved organizational health. The connection between leadership and learning supplies a foundation for the profound leader. The opportunity to further define this connection and promote a profound leadership approach may benefit individuals, society, and theory through contributions to deeper, more meaningful learning, holistic perspectives, and growth.

References

Allen, W. (2018). Leadership theory: A different conceptual approach. *Journal of Leadership Education*, *17*(2), 149-161. doi:10.12806/v17/i2/t1

Avolio, B. J., Gardner, W. L., Walumbwa, F. O., Luthans, F., and May, D. R. (2004). Unlocking the mask: A look at the process by which authentic leaders impact follower attitudes and behaviors. *The Leadership Quarterly*, *15*(6), 801-823. doi.org/10.1016/j.leaqua. 2004.09.003

Avolio, B. J. and Gardner, W.L. (2005). Authentic leadership development: Getting to the root of positive forms of leadership. *The Leadership Quarterly*, *16*(3), 315-338. doi:10.1016/j.leaqua.2005.03.001

Bass, B. M. and Stogdill, R. M. (1990). *Bass & Stogdill's handbook of leadership: Theory, research, and managerial applications*. New York, NY: Simon & Schuster.

Bogenschneider, B. (2016). Leadership epistemology. *Creighton Journal of Interdisciplinary Leadership*, *2*(2), 24. doi:10.17062/cjil.v2i2.37

Braun, S. and Nieberle, K. W. (2017). Authentic leadership extends beyond work: A multilevel model of work-family conflict and enrichment. *The Leadership Quarterly*, *28*(6), 780-797. doi:10.1016/j.leaqua.2017.04.003

Braun, S. and Peus, C. (2018). Cross-over of work-life balance perceptions: Does authentic leadership matter? *Journal of Business Ethics*, *149*(4), 875-893. doi.org/10.1007/ s10551-016-3078-x

Brown, B. (2019). *Dare to lead: Brave work. Tough conversations. Whole hearts*. New York, NY: Random House.

Burns, J. M. (1978). *Leadership*. New York, NY: Harper and Row.

Coetzer, M., Bussin, M., and Geldenhuys, M. (2017). The functions of a servant leader. *Administrative Sciences*, *7*(1), 5. doi:10.3390/admsci7010005

Collins, J. C. (2006). Level 5 leadership: The triumph of humility and resolve. In *Managing Innovation and Change* (pp. 234-248). Thousand Oaks, CA: SAGE.

Collins, J. C. (2001). *Good to Great: Why Some Companies Make the Leap ... and Others Don't*. New York, NY: Random House.

Dinh, J. E., Lord, R. G., Gardner, W. L., Meuser, J. D., Liden, R. C., and Hu, J. (2014). Leadership theory and research in the new millennium: Current theoretical trends and changing perspectives. *The Leadership Quarterly*, *25*(1), 36-62. doi:10.1016/j.leaqua.2013.11.005

Eva, N., Robin, M., Sendjaya, S., Van Dierendonck, D., and Liden, R. C. (2019). Servant leadership: A systematic review and call for future research. *The Leadership Quarterly*, *30*(1), 111-132. doi:10.1016/j.leaqua.2018.07.004

Fry, L. W. and Slocum, J. W. (2008). Maximizing the triple bottom line through spiritual leadership. *Organizational Dynamics*, *37*(1), 86-96. doi:10.1016/j.orgdyn.2007. 11.004

Furnham, A., Treglown, L., Hyde, G., and Trickey, G. (2014). The bright and dark side of altruism: Demographic, personality traits, and disorders associated with altruism. *Journal of Business Ethics*, *134*(3), 359-368. doi:10.1007/s10551-014-2435-x

Gabriele, E. and Caines, V. (2013). LeaderBeing: Critical reflections on context, character and challenge in the culture of research and its administration. *Research Management Journal*, *20*(1), 1-25.

Gardner, W. L., Avolio, B. J., Luthans, F., May, D. R., and Walumbwa, F. (2005). "Can you see the real me?" A self-based model of authentic leader and follower development. *The Leadership Quarterly*, *16*(3), 343-372. doi:10.1016/j.leaqua.2005.03.003

Gavin, J. H., & Mason, R. O. (2004). The virtuous organization: The value of happiness in the workplace. *Organizational Dynamics*, *33*(4), 379-392. doi:10.1016/j.orgdyn.2004.09.005

George, B., Sims, P., McLean, A. N., and May, D. R. (2004). Unlocking the mask: a look at the process by which authentic leaders impact follower attitudes and behaviors. *The Leadership Quarterly*, *15*(6), 801-823. doi.org/10.1016/j.leaqua.2004.09.003

Greenleaf, R. K. (1973). The servant as leader. Retrieved from https://www.benning.army.mil/infantry/199th/ocs/content/pdf/The%20Servant%20as%20Leader.pdf

Huffington, A. (2014). *Thrive: The third metric to redefining success and creating a life of well-being, wisdom, and wonder*. New York, NY: Harmony.

Ilies, R., Morgeson, F. P., and Nahrgang, J. D. (2005). Authentic leadership and eudaemonic well-being: Understanding leader–follower outcomes. *The Leadership Quarterly*, *16*(3), 373-394. doi:10.1016/j.leaqua.2005.03.002

Jaworski, J. and Senge, P. (2011). *Synchronicity: The inner path of leadership*. Oakland, CA: Berrett-Koehler Publishers.

Korkmaz, M. (2007). The effects of leadership styles on organizational health. *Educational Research Quarterly*, *30*(3), 23-55.

Kroth, M. (2016). The profound learner. *Journal of Adult Education*, *45*(2), 28-32.

Leithwood, K. and Jantzi, D. (1999). The relative effects of principal and teacher sources of leadership on student engagement with school. *Educational Administration Quarterly*, *35*(5), 679-706. doi:10.1177/0013161921968798

Mallén, F., Chiva, R., Alegre, J., and Guinot, J. (2015). Are altruistic leaders worthy? The role of organizational learning capability. *International Journal of Manpower*, *36*(3), 271-295. doi:10.1108/ijm-09-2013-0212

Merriam, S. B. and Bierema, L. L. (2013). *Adult learning: Linking theory and practice*. Hoboken, NJ: John Wiley & Sons.

Michie, S. and Gooty, J. (2005). Values, emotions, and authenticity: Will the real leader please stand up? *The Leadership Quarterly*, *16*(3), 441-457. doi:10.1016/j.leaqua.2005. 03.006

Nygaard, A., Biong, H., Silkoset, R., and Kidwell, R. E. (2017). Leading by example: Values-based strategy to instill ethical conduct. *Journal of Business Ethics*, *145*(1), 133-139. doi:10.1007/s10551-015-2885-9

Parris, D. L. and Peachey, J. W. (2012). A systematic literature review of servant leadership theory in organizational contexts. *Journal of Business Ethics*, *113*(3), 377-393. doi:10.1007/s10551-012-1322-6

Rao, M. (2017). Values-based leadership. *The Journal of Values-Based Leadership*, *10*(2). doi:10.22543/0733.102.1185

Schein, E. and Schein, P. (2017). *Organizational culture and leadership* (5th ed.). Hoboken, NJ: Wiley.

Senge, P. M. (1990). *The fifth discipline: The art & practice of the learning organization*. New York, NY: Doubleday/Currency.

Smith, G., Minor, M., and Brashen, H. (2018). Spiritual leadership: A guide to a leadership style that embraces multiple perspectives. *Journal of Instructional Research*, *7*(1), 80-89. doi:10.9743/jir.2018.7

Sun, J., Chen, X., and Zhang, S. (2017). A review of research evidence on the antecedents of transformational leadership. *Education Sciences*, *7*(1), 15. doi:10.3390/educsci7010015

Torraco, R. J. (2005). Writing integrative literature reviews: Guidelines and examples. *Human Resource Development Review*, *4*(3), 356-367. doi:10.1177/153 4484305278283

Torraco, R. J. (2016). Writing integrative literature reviews: Using the past and present to explore the future. *Human Resource Development Review*, *15*(4), 404-428. doi:10.1177/1534484316671606

Vieweg, J. (2018). Prosocial behaviors: Their motivations and impacts on organizational culture. *Journal of Values-Based Leadership*, *11*(2). doi:10.22543/0733.62.1224

Weiss, M., Razinskas, S., Backmann, J., and Hoegl, M. (2018). Authentic leadership and leaders' mental well-being: An experience sampling study. *The Leadership Quarterly*, *29*(2), 309-321. doi:10.1016/j.leaqua.2017.05.007

About the Authors

Heidi K. Scott is a doctoral student in the Adult, Organizational Learning and Leadership Program in the College of Education, Health and Human Sciences at the University of Idaho. She has years of professional business experience working at national laboratories and in private industry. She holds a Bachelors of Business Administration in Finance and Operations Management from University of Massachusetts, Amherst and Master of Science in Enterprise Management from Rensselaer Polytechnic Institute.

Heidi can be contacted at scot3795@vandals.uidaho.edu.

Davin Carr-Chellman, Ph.D. is an assistant professor of education and Program Coordinator of the Adult, Organizational Learning and Leadership Program in the College of Education, Health and Human Sciences at the University of Idaho. Davin's research

focuses on individual, organizational, and community capacity building, especially within the framework of adult learning and agency. The specific contexts for his investigations include religious organizations, public schools, online education, and doctoral and graduate education. Davin received his Ph.D. from Penn State in Adult Education with a focus on ethical development in community-based contexts. His B.A. and M.A. are in philosophy, also from Penn State.

Davin can be contacted at dcarrchellman@uidaho.edu.

Leslie Hammes is doctoral student in the Adult, Organizational Learning and Leadership Program in the College of Education, Health and Human Sciences at the University of Idaho. Her research interests include the effect of leadership on individual and organizational outcomes, particularly from roles outside of formal administrative structures. Leslie has twenty-two years of experience in higher education financial aid administration. She received her M.S. from University of Idaho in Adult, Organizational Learning, and Leadership and her B.A. in English/Classics from Southwestern University in Texas.

Leslie can be contacted at lhammes@uidaho.edu.

Cultures of Servant Leadership and Their Impact



ROBERT L. MCKEAGE
SCRANTON, PA, USA

ROBERT C. GIAMBATISTA
SCRANTON, PA, USA

JEREMY R. BREES
FLAGSTAFF, AZ, USA

Abstract

Servant Leadership has primarily been studied at the level of individual leaders and their impact, yet Greenleaf, who first formally proposed the idea in 1970, also considered the construct as an important institutional element. Further, because it is values-based, and culture is the organizational mechanism for developing and transmitting shared values, an organizational lens for studying servant leadership is also needed. The current study of three firms examines organizational differences in servant leadership. We found organizational differences in levels of servant leadership, suggesting a cultural explanation. We also found that individual (i.e., supervisor) and organizational (i.e., cultural) servant leadership have different effects on employee outcomes, suggesting a unique asset attributable to a culture of servant leadership. Finally, we found that employees high in core self-evaluation are more likely to identify leaders with a servant leadership orientation, suggesting that such individuals can facilitate cultural transmission of servant leadership in an organization. Implications to theory and practice are discussed.

Introduction

Servant leadership (SL) continues to attract both scholarly (Hoch, Bommer, Dulebohn, & Wu, 2018, e.g.) and practitioner (Sinek, 2017, e.g.) attention. Servant leadership has been defined variously as "The servant-leader is servant first… It begins with the natural feeling that one wants to serve, to serve first," (Greenleaf, Center for Servant Leadership), or "Leadership is about taking care of those in your charge," (Sinek, 2015) and as "leaders who are best able to motivate followers are those who focus least on satisfying their own personal needs and most on prioritizing the fulfillment of followers' needs " (Liden et al. 2014, in characterizing Greenleaf's 1970 book). Servant leadership bears some similarities to ethical leadership (Center for Ethical Leadership, 2014), authentic leadership (Kruse, 2013), and transformational leadership (Bass, 1985).

However, ethical leadership focuses on an approach to leadership grounded in moral principles and virtue, authentic leadership centers on self-awareness, leading from the heart, and a long-term vision, and transformational behavior focuses on specific leader attributes and behaviors that transform followers, who are seen as instruments towards organizational ends. This contrasts with the crux of servant leadership, which is an emphasis on followers and their professional and personal growth *as ends in themselves*. Thus, while excellent leaders following a different leadership paradigm might sometimes engage in similar behaviors to servant leaders, the intent or motivation behind servant leadership is distinctive. This distinctive element of servant leadership might help explain why Hoch and colleagues' (2018) meta-analysis found stronger support for servant leadership's efficacy than for ethical or authentic leadership.

A deeper similarity between leadership perspectives such as ethical, transformational, and servant leadership is the importance of underlying values driving the behaviors and intended outcomes. In servant leadership, the crucial underlying values are humanistic in nature. Organizations wishing to instill such values already have a well-known tool for doing so: organizational culture. Organizational culture has been defined as, "the shared set of beliefs, expectations, values, norms, and work routines that influence how individuals, groups, and teams interact with one another and cooperate to achieve organizational goals" (Jones & George, 2018: p. 79). There is a vast literature on organizational culture, far beyond the scope of the current study, but some of the most relevant work here is how cultural values are transmitted and maintained in organizational cultures (Deal & Kennedy, 1982; O'Reilly & Chatman, 1996) and which sources tend to create organizational culture (Jones & George, 2018). These frameworks provide a basis for how an organization interested in building a culture of servant leadership can achieve this end.

Interestingly, Robert Greenleaf, the originator and main early proponent of servant leadership, has long emphasized the importance of culture in servant leadership (Broughton, 2011; "Creating a Service Culture", n.d.; "What is Servant Leadership," n.d.). Yet, empirical research on servant leadership to date has focused nearly entirely on the relationship between servant leadership and outcomes at the level of individual leaders affecting individual followers (e.g., Amah, 2018; Cerit, 2010; Chu, 2008; Johnson, 2008; Liden et al., 2008; Liden et al., 2014; Rauch, 2007; Svoboda, 2008). We suspect that this gap in the literature exists because it is natural for the field to focus first on characteristics of individual leaders and their consequences for individual followers, as this helps validate servant leadership's contribution to theory and practice. Nonetheless, because organizational culture is the most likely starting place for a firm to try move towards increasing its overall servant leadership orientation, we seek to contribute to the literature by focusing more at the organizational level and organizational differences. In the current study, we extend the study of Tischler, Giambatista, McKeage, and McCormick[5] (2015) to examine the imprint of organizational culture as it relates to

[5] The current study employs the same data set and conducts additional analyses aimed at exploring these more nuanced relationships in the context of an organizational culture of servant leadership. The previous study was focused on individual-level outcomes deriving from servant leadership.

cultures supportive of servant leadership. Thus, we explore the following research questions: Do firms differ in levels of servant leadership and related employee outcome variables? Are organizational levels of servant leadership as important as individual servant leadership? Is there an individual difference that helps people discern servant leadership?

We will begin with a brief review of servant leadership, and then review cultural perspectives on servant leadership, then present our theory and hypotheses, our methodology and results, and conclude with a discussion of our results and their implication for the field and for practice.

Literature Review of Servant Leadership

Servant leaders ground their style of leadership in developing followers as whole human beings, not just as professionals or as instruments towards organizational goals (Rafferty & Griffin, 2006). This foundation is akin to the moral principle of human dignity, which was described by Byron (2006, p.89) as "the bedrock principle of ethics". Byron goes further to argue that in treating people as 'resources' or 'inputs', firms implicitly reduce employees to disposable parts, as mere instruments to organizational purposes. Servant leadership instead sees human growth and organizational effectiveness as two symbiotic manifestations of the same pursuit, and is built on an approach that reconciles them. In fact, the values driving servant leadership has been described as being based on humility and respect for others (Russell, 2001).

Servant leaders are characterized by vision, integrity, honesty, trust, service, modeling, pioneering, appreciation of others, and empowerment (Russell & Stone, 20002). More recently, Liden et al. (2008) characterized seven facets of servant leadership as emotional healing, creating value for the community, conceptual skills, empowering, helping subordinates grow and succeed, putting subordinates first, and behaving ethically. While these are impressive lists of traits, it is easy to see how such attributes may be more indirectly and distally linked to performance than the "4 Is" of transformational leadership. While modeling is essentially the same as idealized influence, performance is more proximal to inspirational motivation, individualized consideration, and intellectual stimulation than some aspects of other leadership models. For example, the virtue of trust is likely to lead to, among other things, individualized consideration, and the virtue of empowerment is likely to lead to intellectual stimulation. Thus, it is not surprising that transformational leadership, whose behaviors are more explicitly proximal to organizational performance, has a more impressive empirical literature associated with it (Judge & Piccolo, 2004; Wang, Oh, Courtright, & Colbert, 2011; Tepper et al., 2018). For example, Hoch et al.'s (2018) meta-analysis found 74 studies of transformational leadership and job performance, but only 8 for servant leadership. Still, the authors found that servant leadership accounted for 13% of incremental variance in job performance beyond that explained by transformational leadership.

Servant leadership has been associated with job performance (Ciniara & Bentein, 2016; Liden et al., 2008; Liden et al., 2014), job satisfaction (Amah, 2018; Chu, 2008;

Johnson, 2008; Svoboda, 2008; Tischler et al., 2015), organizational commitment (Cerit, 2010; van Dierendonck et al., 2014), organizational citizenship behaviors (Newman et al., 2017), engagement (de Sousa & van Dierendonck, 2014), absenteeism and attrition (Rauch, 2007), trust in the manager (Chan & Mak, 2014), and leader-member exchange (Amah, 2018), and even core self-evaluation (Tischler et al., 2015).

Macro-level outcomes such as secondary school performance (Herbst, 2003: Lambert, 2004), store performance (Hunter et al., 2013; Liden et al., 2014), school climate (Black, 2008), organizational climate (Lambert, 2004) and team effectiveness (Irving & Longbotham, 2007; Schaubroeck et al., 2011) have also been shown to benefit from servant leadership. Thus, the efficacy of servant leadership in promoting individual and organizational outcomes is established.

More proximal to the individual study, individual servant leadership predicted job satisfaction and core self-evaluation (Tischler et al., 2015). The current study builds on these findings to predict, given our main thesis that firms differ in servant leadership levels generally, that firms with higher levels of servant leadership will also show greater satisfaction and higher levels of employee core self-evaluation.

Servant Leadership: A Cultural Perspective

Despite the field's focus on individual leaders and their influence on individual followers, Greenleaf himself has strongly asserted the need to also think of servant leadership as a cultural and institutional phenomenon (Greenleaf, 2009). While this idea would seem to inspire much empirical consideration, we could find only one highly-cited empirical article (Liden et al., 2014) that focused primarily on organizational aspects of servant leadership.

Greenleaf[6] saw the development of servant leaders fulfilling another purpose, and that was to promote and develop servant institutions. While organizations generally provide for the welfare of society, Greenleaf observed that many organizations were not caring, oftentimes too powerful, impersonal, and at times corrupt. Thus, he suggested the need for servant institutions. For an institution to become a "servant institution" it must reach "all employees, customers, business partners and communities." He contended that organizations should revamp their hierarchical structures into a flatter model and shift from the hierarchical principle to a "team of equals." Thus, the leader(s) of the organization needs to function as "parimus inter pares – first among equals," and "lead by persuasion not by coercive power." Such a paradigm shift would seem to require a strong culture to support and effect this change in approach. Research suggests that servant leadership significantly affects organizational culture (Sihombing, Astuti, Musadieq, Hamied, & Rahardjo, 2018) reflected by excellent service, innovation, modeling, professionalism, integrity and cooperation.

To build such a culture, one where members possess more creative opportunities to grow and open up their potential to fully become servant leaders, the institution needs to

[6] The many brief quotes in the paragraphs on Greenleaf and organizations are from Greenleaf's (2009) essay, "*The Institution as Servant*."

eliminate elements such as coercive power, private gain, and competitive struggles for survival. Greenleaf suggested promoting values such "put others first" rather than "watch out for number one," moving from "survival of the fittest" norms to "we are all in this together," and from "never trust anyone" to "trust everyone unless they prove themselves untrustworthy." Caring for others is the central motivation within servant leadership and researchers have found evidence that servant leadership styles in organizations are positively associated with corporate social responsibility efforts/initiatives (Sengupta & Sengupta, 2018).

Greenleaf went further, suggesting that organizations promote the small things in life, such as "greeting people, speaking kindly, smiling, fostering humor recognizing and rewarding success" and even "celebrating important occasions." Servant institutions thus exhibit a strong sense of community, where members look out for one another and advance strong team building relationships. But how do organizations reach this desired end state? Servant leadership is built upon values, and organizational culture is described as those shared values and assumptions that define the character of a firm (Schein, 1992). Thus, we review the principles of organizational culture to understand determinants of culture and how cultural values are transmitted.

Culture and structure derive in part from a firm's environment, their strategy, technology, and human resources (Duncan, 1979). This may be why servant leadership seems especially prevalent in non-profit and religious organizations, as their environment and strategy are highly amenable to the approach. However, the impressive list of employee and organizational outcomes cited earlier clearly point to opportunities for servant leadership in for-profit organizations as well. As for human resources, organizations can attract and retain both leaders and subordinates who value servant leadership and are responsive to its presence. Attributes of the millennial generation such as need for immediate and intensive feedback, anxiety/depression, and external locus of control (Twenge & Campbell, 2008) strongly suggest that younger workers will respond favorably to the approach. Thus, two ways to establish norms of servant leadership are by integrating it into corporate strategy and human resource practices.

Building a culture of servant leadership, given a firm's pre-existing strategy and human resource practices, requires transmission of cultural content. These means have been identified by Deal and Kennedy (1982) as the founding imprint, socialization, symbolic events like rites, rituals, and ceremonies, and communication such as stories, language, and myths. These elements have been linked to organizational flourishing; for example, socialization has been tied to organizational performance (Balci et al., 2016), while rituals have been linked not only to strong organizational culture (Erhardt et al., 2016) but individual performance (Brooks et al., 2016). Storytelling has been linked to employee engagement (Gustomo et al., 2019), and the founding imprint was a factor in explaining how CEO ethical leadership translates to firm performance (Eisenbeiss et al., 2015). Thus, firms can build and transmit a value-adding culture over time generally, and servant leaders are likely to effectively use these cultural elements when they have a leadership history conducive to such leadership, engage in socializing new members to norms associated with servant leadership, use the language of servant leadership in how members communicate with each other, or embed the values of servant leadership into organizational events with symbolic content.

Servant leadership has desirable organizational outcomes associated with it (Black, 2008; Herbst, 2003; Hunter et al., 2013; Lambert, 2004; Liden et al., 2014) and it seems self-evident that organizations cannot expect servant leadership to develop fully and naturally through outside hiring, but rather must cultivate it through organizational values, socialization, reinforcement, top management buy-in, and related means. Yet, we only found one prominent empirical study of servant leadership and culture (Liden et al., 2014). This study found that restaurants whose store managers exhibited servant leadership were associated with a serving culture, which in turn benefitted store performance and individual performance outcomes, specifically job performance, creativity, and customer service behaviors. Our study focuses more deeply on the role of worker attitudes (job satisfaction) and the worker's core self-evaluation and also directly compares the influence of the direct supervisor's servant leadership to that of the overall organizations.

Theory & Hypotheses

Servant leadership contrasts greatly with traditional, top-down approaches to leadership such as transactional leadership (Burns, 1978), directive leadership (House, 1996), or leadership founded in Theory X motivation (McGregor, 1957). It even contrasts with transformational leadership, not only in the style's substance but in viewing followers as ends in themselves and not primarily as means to organizational ends. Because servant leadership is both values-based and non-traditional, a firm wishing to instill servant leadership is most likely to proactively nurture a culture fostering such values to both attract and develop servant leaders throughout the organization. Absent such a culture, servant leadership is unlikely to take root in an organization, and only be seen sporadically and more or less randomly among a few committed managers and leaders. Some firms are likely to commit to servant leadership as a function of top leadership and culture. Such firms are likely to possess engrained servant leadership throughout the organization. Thus, we expect:

H1. *Firms differ in the overall level of servant leadership among their managers.*

Previous research has shown that servant leadership has been associated with individual-level job satisfaction (Amah, 2018; Tischler et al., 2015). One of these studies (Tischler et al., 2015) also found an association with individual-level core self-evaluation. Given the validity of these individual-level findings, firms that commit systemically to a culture of servant leadership, manifested through higher levels of reported servant leadership, should possess individual employees who benefit from such leadership and accordingly report higher levels of job satisfaction and core self-evaluation. In other words, findings at the individual level for servant leadership with job satisfaction and core self-evaluation should aggregate to the organizational level of analysis. Thus, when aggregated across employees:

H2. ***Firms with higher levels of servant leadership will be associated with higher levels of job satisfaction and core self-evaluation across employees.***

Job satisfaction (JS) and core self-evaluation (CSE) differ as individual difference variables not only in their content domain, but also in their stability over time. Job satisfaction is an attitude, and attitudes have generally been portrayed as readily changeable (Albarracin & Shavitt, 2018; McGuire, Lindzey, & Aronson, 1985). Core self-evaluation has been described as a personality trait (Judge et al., 2003) or similarly as 'personality-ish' in that, while relatively stable, it is at least somewhat malleable over time (Kernis & Goldman, 2002; Styvaert, 2011; Tischler et al., 2015). Job satisfaction is likely to vary as a function of regular work interactions (Chen et al., 2011), most of which would involve one's immediate superior. While we certainly expect that an organizational culture of servant leadership would increase job satisfaction, the relatively ephemeral nature of job satisfaction and the proximity of one's immediate supervisor to an employee leads us to expect that:

H3a. ***Individual servant leadership will be associated with employee job satisfaction more strongly than will organizational servant leadership.***

On the other hand, since core self-evaluation is less ephemeral, deeper, and more lasting, the prominence of the individual leader's style and approach will be less important than the employee's sense of the overall organization's cultural values regarding servant leadership. Looking more closely at the domain of core self-evaluation, two of its components are generalized self-efficacy and locus of control. An environment enriched with servant leadership will be permeated by leader behaviors conducive to increasing an employee's self-confidence in successfully completing tasks and projects, and also increasing one's sense of autonomy and empowerment, conducive to a perceived internal locus of control. Servant leadership also creates psychological safety (Chughtai, 2016), which should reduce anxiety, which in turn should enhance self-reported emotional stability. All of these, however, would be the product of a long and sustained employment experience rich with contacts and networks evidencing and reinforcing a culture of servant leadership throughout the organization. A few positive interactions with one's immediate supervisor might not be sufficient to "move the needle" on something as personality-like as core self-evaluation. Thus, we expect that:

H3b. ***Organizational servant leadership will be associated with employee core self-evaluation more strongly than individual servant leadership.***

Finally, individuals high in CSE have been shown to also display higher levels of emotional intelligence (Sun, Wang, & Kong, 2014). Thus, people high in CSE are more perceptive and cognizant of the presence of important organizational and leadership behaviors such as servant leadership, and in general, more subtle and discerning. They would be more likely to "see" servant leadership, whereas someone low in CSE might lack the discernment to readily identify what a firm or leader is doing and how it derives (or not) from servant leadership. Further, because the components of CSE are amenable to servant leadership styles (Tischler et al., 2015), high-CSE employees should be more responsive to both individual and organizational servant leadership, as it tends to reinforce and support their self-efficacy, internal locus of control, and emotional stability. This will also benefit organizational culture, as high-CSE individuals are more likely to "buy in" to servant leadership approaches, further strengthening emerging organizational norms supporting servant leadership and creating a virtuous cycle. Thus, we hypothesize:

H4. *Individuals high in CSE will report higher levels of servant leadership than others.*

Methods and Results

Participants

Our sample included 511 working adults from three U.S. companies. The three organizations were chosen based on our business contacts. One is a large financial institution and the other two are small technical consulting firms. In return for having their organization participate we offered each company a formal report about their level of servant leadership. We made sure that the survey was sent out by a non-manager (to reduce perceived pressure to bias responses), the survey was done completely anonymously, online, and sent to the holder of the database for the servant leadership instrument we used, not the participants' companies. The survey instrument was sent three times over about three weeks to all employees (including executives) of each firm or to the part of the firm that participated. The response rate was 70%.

Our sample contained 428 workers, 69 managers/supervisors, and 14 executives. Of those who reported gender, 59% were female. Fifty-eight percent of respondents had at least six years of job tenure, and 62% of respondents were between the ages of 30 and 49.

Instruments

The survey included two instruments: The Organizational Leadership Assessment (OLA) (Laub, 1999) and the Core Self-evaluation Scale (CSES) (Judge, et al., 2003).

The OLA was the first servant leadership instrument and has been validated in several studies, even by those who created other servant leadership instruments to find its components (Barbuto & Wheeler, 2006; van Dierendonck & Nuijten, 2011; van Dierendonck, 2011). Parris and Peachey (2013) reported that no other servant leadership instrument has been cited in more published empirical studies than the OLA. It is a self- report instrument; each member of an organization rates the leadership of the organization and the organization as a whole. That is, it measures the respondent's *perception* of servant leadership.

The OLA consists of sixty questions to measure servant leadership and another six questions to measure job satisfaction. Each item is on a five-point Likert scale. Thirty-eight servant leadership questions ask about the leader's style and 22 about the organization's climate. Given the literature review above demonstrating that both leader style and behavior and organizational climate can affect individual job satisfaction and performance, and that in each case servant leadership at both levels operate in the same manner, we felt it important to use an instrument that combined both levels of servant leadership.

The OLA is given online through Laub's OLAgroup organization (see OLAgroup.com). All responses are returned to the OLAgroup and the raw data are sent to the researcher. The OLAgroup also produces a formal report about the level of servant leadership for any organization taking the instrument that has 70% or higher participation.

The OLA has been studied and found reliable by several researchers. Laub (1999) found the instrument reliable with $\alpha = .98$. Horsman (2001), Ledbetter (2003), Miears (2004) and Thompson (2002) found similarly high alphas. The OLA can be considered to have face validity and concurrent validity given that its results are essentially similar to the results of the other servant leadership instruments (see literature review above) and are closely related to Greenleaf's (1970) theory. Finally, the OLA's face validity combined with its reliability is suggestive of the measure's construct validity.

Although the OLA's six job satisfaction items are original to Laub (1999), Laub found them to have a reliability of $\alpha = .81$. Laub's servant leadership and job satisfaction scales have a Pearson correlation of .64 ($p < .01$) (Laub, 1999). Laub (1999) and others tested the relationship of servant leadership to job satisfaction and found reasonably high correlations in different populations (Chu, 2008; Hebert, 2003; Johnson, 2008; Svoboda, 2008; Thompson, 2002).

The CSES (Judge, et.al., 2003) is a brief (12 items) measure of the four dimensions of self-evaluation (self-concept): generalized self-esteem, generalized self-efficacy, locus of control, and emotional stability (low neuroticism). These four dimensions were each related to job satisfaction and Judge, et.al. (1997) theorized that combining the four factors would yield a more powerful measure. In a meta-analysis of the four dimensions with both job satisfaction and job performance, Judge & Bono (2001) found that each of the four had a significant impact on both job satisfaction and job performance. In 2003, Judge, et.al. published the CSES instrument to measure core self- evaluation as a single construct.

A later review of the literature (Judge, 2009), after several years of research with the CSES by various authors, and a still later meta-analysis (Chang, et.al., 2012) continued to demonstrate the efficacy of the CSES for both job satisfaction and job performance. In fact, Judge (2009) stated that "… high scores on core self-evaluations … are related to a broad array of work and no-work criteria, including increased levels of job and life satisfaction, better job performance, higher work motivation, and higher income …" (p. 59).

Variables and Analyses

Our model employed servant leadership (from OLA, 60 items, ☐=.99), core self-evaluation (CSES, ☐ = .84) and job satisfaction (from OLA, ☐ =.90) as key variables. Each individual in the study reported their core self-evaluation, job satisfaction, and the level of servant leadership they perceived.

To test our hypotheses, we employed t-tests for Hypotheses 1 and 2 and regression analysis for Hypotheses 3 and 4. We treated core self-evaluation as somewhat malleable (Tischler et al., 2015), since relationships consistent with CSE correlating to servant leadership would be unlikely to occur unless CSE was not completely fixed over time like a personality trait; instead, we assert that CSE is “personality-ish” but can change somewhat as a function of important predictor variables.

To conduct the regression analysis, we employed several control variables. We controlled for gender, with males coded 1 and females coded 2. and for firm. We also controlled for whether the respondent self-reported as having a supervisory or higher-level management position and treated these as two separate dummy variables.

To reduce concerns about common method variance, we made sure that our H3a model predicting CSE used job satisfaction as a control, and our H3b model predicting job satisfaction used CSE as a control. For H4, we employed both CSE and job satisfaction as controls. We did this because by adding the control variables into the equation first, any such generally-shared variance would be absorbed by the controls, leaving the variance explained by predictor variables much cleaner and less contaminated by any potential common method variance.

Results

We report our descriptives and correlations in *Table 1*. We did find some significant differences in levels of servant leadership across the three firms in our study. Specifically, firm two respondents reported significantly higher levels of immediate supervisor servant leadership (p=.08, p<.10) and overall servant leadership (p=.07, p<.10). Meanwhile, firm three respondents reported lower levels of organizational servant leadership (p=-.08, p<.10), immediate supervisor servant leadership (p=-.16, p<.001) and overall servant leadership (p=-.13., p<.01). These findings are consistent with Hypothesis 1.

***Table 1*: Descriptives and Correlations**

Variable	mean	s.d.	1	2	3	4	5	6	7	8	9	10	11
1 Firm 1	.88	.32											
2 Firm 2	.06	.24	-.69***										
3 Firm 3	.06	.24	-.68***	-.06									
4 Gender	1.59	.49	.17***	-.12**	-.11*								
5 Top mgmt	.03	.16	-.16***	.10*	.11*	-.10*							
6 Mgmt	.14	.34	-.23***	.07	.24***	-.11*	-.07						
7 Non-mgmt	.84	.37	.28***	-.11*	-.27***	.14**	-.38***	-.90***					
8 Job Satisfaction	25.30	4.18	.02	.03	-.06	-.08	-.06	-.04	.01				
9 Core Self-	3.82	.64	.00	.05	-.06	-.01	-.02	.07	-.05	.57			

evaluations										***			
10 Org. Servant Leadership	88.76	17.57	.01	.06	-.08+	-.06	.00	-.04	.04	.73 ***	.50 ***		
11 Supervisory Servant Leadership	149.98	33.38	.06	.08+	-.16 ***	-.06	-.04	-.04	.02	.79 ***	.51 ***	.91 ***	
12 Total Servant Leadership	238.74	49.95	.04	.07+	-.13 **	-.06	.03	-.04	.03	.79 ***	.52 ***	.96 ***	.99 ***

***N=511*. + indicates p<.10. * indicates p<.05. ** indicates p<.01. *** indicates p<.001.**

We found that job satisfaction showed a higher correlation with immediate supervisor servant leadership (p=.79, p<.001) than with organizational servant leadership (p=.73, p<.001), consistent with Hypothesis 3a. Finally, we found that core self-evaluation was correlated with higher levels of organizational servant leadership (p=.50, p<.001), immediate supervisor servant leadership (p=.51, p<.001) and overall servant leadership (p=.52, p<.001). These findings are consistent with Hypothesis 4.

Hypothesis 1 examined firm-level differences in reported servant leadership and was tested via unpaired t-tests. While Firm 1 reported lower levels of servant leadership than firm 2 (difference = -13.74, n.s.), this difference was not significant. The other two firm-level comparisons did yield significant results, however. Both firm 1 (difference = 27.45, p<.01) and firm 2 (difference =41.19, p<.001) reported higher levels of servant leadership than firm 3. Hypothesis 1 was supported.

Hypothesis 2 examined firm-level differences in reported job satisfaction and core self-evaluation and was also tested via unpaired t-tests. While only one of the six t-test coefficients for H2 were significant, all of them showed the same pattern as in H1, with the difference between firm 1 and firm 2 being negative and of the least magnitude, the difference between firm 1 and firm 3 being positive and of higher magnitude, and the difference between firm 2 and firm 3 being positive and of the highest magnitude. None of the reported differences in job satisfaction were significant. For core self-evaluation, firm 2 reported higher levels of CSE than firm 3 (difference=.28, p<.05). Hypothesis 2 was weakly supported.

***Table 2*: T-test results for H1 and H2**

	Firm 1	**Firm 2**	**Firm 3**
Observations	450	31	30
Mean Servant Leadership (SL)	239.52	253.26	212.07
SL Standard Error	2.44	4.61	5.42
Mean Job Satisfaction (JS)	25.33	25.81	24.33
JS Standard Error	.20	.62	.81
Mean Core Self-Evaluation (CSE)	3.82	3.96	3.67
CSE Standard Error	.03	.09	.10

Hypothesis 1

SL Difference between Firm 1 & Firm 2	-13.74	
SL Difference between Firm 1 & Firm 3	27.45**	
SL Difference between Firm 2 & Firm 3		41.19***
Hypothesis 2		
JS Difference between Firm 1 & Firm 2	-.47	
JS Difference between Firm 1 & Firm 3	.79	
JS Difference between Firm 2 & Firm 3		1.02
CSE Difference between Firm 1 & Firm 2	-.13	
CSE Difference between Firm 1 & Firm 3	.15	
CSE Difference between Firm 2 & Firm 3		.28*

*** indicates p<.05. ** indicates p<.01. *** indicates p<.001.**

Hypothesis 3 examined the role of organizational and supervisory servant leadership in predicting core self-evaluation (H3a) and job satisfaction (H3b). As hypothesized, organizational SL (B=.18, p<.05) but not supervisor SL (B=.03, n.s.) predicted core self-evaluation. Also as hypothesized, supervisor SL (B=.68, p<.001) but not organizational SL (B=-.01, n.s.) predicted job satisfaction. Hypothesis 3 was supported.

Finally, Hypothesis 4 examined the role of core self-evaluation in predicting servant leadership overall. CSE (B=.09, p<.01) predicted overall servant leadership, as well as predicting organizational SL (B=.11, p<.01) and supervisory SL (B=.08, p<.05), supporting Hypothesis 4.

***Table 3*: Regression Results**

DV	Core Self Evaluation	Job Satisfaction	Overall SL	Organizational SL	Supervisor SL
Hypothesis	H3a	H3b	H4	H4	H4
Firm 1	.05	-.10*	.12**	.03	.17***
Firm 2	.07	-.11*	.13**	.06	.16***
Gender	.04	-.03	-.01	-.01	-.01
Upper Management	-.04	.03	-.01	-.04	.00
Lower Management	.11**	-.05+	.01	-.01	.02
Job Satisfaction	.47***		.72***	.66***	.73***
Core Self Evaluation		.24***	.09**	.11**	.08*
Organizational SL	.18*	-.01			
Supervisor SL	-.03	.68***			
Model R2	.35***	.67***	.63***	.55***	.34***

***Note*: SL is servant leadership**

N=511.+ indicates p<.10. * indicates p<.05. ** indicates p<.01. * indicates p<.001.**

Discussion

Our first hypothesis found that firms do differ in their levels of servant leadership. While this is not direct evidence of servant leadership cultures and their emergence, such cultures would seem to be the primary explanation for how such differences emerge.

While these differences did not translate to significantly higher organizational levels of job satisfaction and core self-evaluation generally, individual differences on these outcomes as a function of servant leadership have been noted (Tischler et al., 2015). Further, we did find that the one firm with the highest levels of servant leadership also reported higher overall core self-evaluation.

We also found differential impacts on outcome variables; supervisory servant leadership was more related to job satisfaction while organizational servant leadership was more related to core self-evaluation, as predicted. Combined with our findings for hypothesis two, our belief that cultures of servant leadership have transformative and lasting impacts on individuals was supported.

We flipped our perspective in H4 and found that those with higher core self-evaluation reported higher servant leadership, after controlling for other variables. This result provides evidence that some individuals may be more cognizant and attuned to servant leadership than others. The last hypothesis proposes an important mechanism for developing servant leadership cultures – employing individuals who are more likely to be aware of and responsive to its presence. We believe this finding is particularly intriguing, as it suggests the potential for a virtuous cycle between servant leadership and core self-evaluation.

Our research contributes to the literature by demonstrating the potential for looking at servant leadership increasingly from an organizational and cultural perspective. As educators, we regularly work with MBA students who demonstrate basic knowledge about and positive attitudes toward servant leadership. Thus, from a practical standpoint, the primary question is not so much whether servant leadership *works* but rather *how to make it work*.

One way firms can make it work is through top management attitudes and top-down contagion (Liden et al., 2014), but another contribution of our study hints at a bottom-up means to further facilitate servant leadership cultures. Employing individuals with high core self-evaluation creates a receptive environment for the contagion of servant leadership. We believe this to be a promising avenue of future research and encourage scholars to consider related constructs like emotional intelligence as possibly facilitating the spread of such cultures in organizations. But the most important contribution of our work, particularly as evidenced through H1, H3a, and H4, is that a culture of servant leadership matters – and savvy individuals pick up on it, with positive results.

Our study has limitations. The current study was part of a larger program of research in servant leadership rather than solely focused on an examination of culture, thus our findings and research questions arrive at cultural explanations for servant leadership somewhat indirectly. Future scholars should be encouraged to examine culture more directly to learn more about the establishment and transmission of servant leadership norms. Also, while we are grateful for the access we had to three firms, subsequent research would benefit from either access to more firms or to have deeper access (interviews, etc.) to those firms studied to help tap into the role of culture in servant leadership's emergence. Finally, our study is unable to establish causality, and we would also particularly encourage future scholars to consider longitudinal designs. This is primarily because, as a construct in positive psychology, we believe servant leadership's emergence and benefits are likely to have a mutually reinforcing, snowball effect over time.

We close by arguing that servant leadership is ready for the "big time" as a leadership theory. What we mean by this is that business schools and survey texts in management seem to touch on the construct only lightly, if at all. By taking a broader research perspective and examining the antecedents of servant leadership emergence and dissemination, and studying its impacts on the development of employees and organizational effectiveness over time, servant leadership may have the potential to rise in prominence as one of the most indispensable and value-adding leadership ideas of our time.

References

Albarracin, D. and Shavitt, S. (2018). Attitudes and attitude change. *Annual Review of Psychology*, 69, 299-327.

Amah, O.E. (2018). Determining the antecedents and outcomes of servant leadership*. Journal of General Management*, 43, 126-138.

Balci, A., Ozturk, I., Polatcan, M. Saylik, A., and Bil, E. (2016). Organizational socialization and its relation with organizational performance in high schools. Journal of Education and Training Studies, 4: 71-81.

Barbuto, J. E. Jr. and Wheeler, D. W. (2006). Scale development and construct clarification of servant leadership. *Group Organization Management,* 31, 300-326.

Bass, B. (1985)*. Leadership and performance*. New York: Free Press.

Black, G.L. (2008). *A correlational analysis of servant leadership and school climate.* Unpublished doctoral dissertation. University of Phoenix.

Brooks, A.W., Schroeder, J. Risen, J.L., Gino, F., Galinsky, A.D., Norton, M.I. and Schweitzer, M.E. (2016). Don't stop believing: Rituals improve performance by decreasing anxiety. *Organizational Behavior and Human Decision Processes* 137, 71-85.

Broughton, A.C. (2011). *Employees Matter: Maximizing Company Value Through Workforce Engagement*. Scotts Valley, CA: CreateSpace Independent Publishing Platform.

Burns, J.M. (1978). *Leadership*. New York: Harper Row.

Byron, W.J. (2006). *The Power of Principles*. Maryknoll, NY: Orbis Books.

Cerit, Y. (2010). The effects of servant leadership on teachers' organizational commitment in primary schools in Turkey. *International Journal of Leadership in Education,* 13(3), 301-317.

Chan, C. and Mak, W. (2014). The impact of servant leadership and subordinates' organizational tenure on trust in leader and attitudes. *Personnel Review*, 43, 272–287.

Chen, G., Ployhard, R.E., Thomas, H.C., Anderson, N., and Bliese, P.D. (2011). The Power of Momentum: A New Model of Dynamic Relationships between Job Satisfaction Change and Turnover Intentions. *Academy of Management Journal*, 54, 159-181.

Chu, H.W. (2008). *Employee Perception of Servant leadership and Job Satisfaction in a Call Center: A Correlational Study*. Unpublished doctoral dissertation. University of Phoenix.

Chughtai, A. (2016). Servant Leadership and Follower Outcomes: Mediating Effects of Organizational Identification and Psychological Safety. *The Journal of Psychology Interdisciplinary and Applied*, 150, 1-15.

Chiniara, M. and Bentein, K. (2016). Linking servant leadership to individual performance: Differentiating the mediating role of autonomy, competence and relatedness need satisfaction. *The Leadership Quarterly*, 27, 124–141.

Creating a Service Culture. n.d. https://www.greenleaf.org/winning-workplaces/workplace-resources/features /workplace-perspectives/creating-a-service-culture/

de Sousa, J. C. M. and van Dierendonck, D. (2014). Servant leadership and engagement in a merge process under high uncertainty. *Journal of Organizational Change Management*, 27, 877–899.

Deal, T. E. and Kennedy, A. A. (1982). *Corporate cultures: The rites and rituals of organizational life*. Addison-Wesley.

Duncan, R. (1979). What is the Right Organization Structure? Decision Tree Analysis Provides the Answer. *Organization Dynamics*, 7, 59-80.

Eisenbeiss, S. A., Van Knippenberg, D., and Fahrbach, C. M. (2015). Doing well by doing good? Analyzing the relationship between CEO ethical leadership and firm performance. *Journal of Business Ethics*, *128*(3), 635-651.

Erhardt, N., Martin-Rios, C., and Heckscher, C. (2016). Am I doing the right thing? Unpacking workplace rituals as mechanisms for strong organizational culture. *International Journal of Hospitality Management*, 59.

Greenleaf, R. K. (1970). *The servant as leader*. https://www.leadershiparlington.org/pdf/TheServantasleader.pdf . Accessed January, 2015.

Greenleaf, R.K. (2009). *The Institution as Servant*. South Orange, NJ: Robert K. Greenleaf Center.

Gustomo, A., Febriansyah, H., Ginting, H., and Santoso, I. M. (2019). Understanding narrative effects. *Journal of Workplace Learning*.

Herbst, J. D. (2003). *Organizational servant leadership and its relationship to secondary school effectiveness*. DAI, 64, no. 11A(2003): p. 4001.

Hoch, J.E., Bommer,W.H, Dulebohn, J.H., and Dongyuan, W. (2018). Do Ethical, Authentic, and Servant Leadership Explain Variance Above and Beyond Transformational Leadership? A Meta-Analysis. *Journal of Management*, 44, 501-529.

Horsman, J. H. (2001). *Perspectives of servant-leadership and spirit in organizations.* Unpublished doctoral dissertation, Abstracts International, 62(03), 1119. (UMI No. 3010149).

House, Robert J. (1996). Path-goal theory of leadership: Lessons, legacy, and a reformulated theory, *Leadership Quarterly*. 7 (3), 323–352.

Hunter, E. M., Neubert, M. J., Perry, S. J., Witt, L., Penney, L. M., and Weinberger, E. (2013). Servant leaders inspire servant followers: Antecedents and outcomes for employees and the organization. *The Leadership Quarterly*, 24, 316–331.

Irving, J. A. and Longbotham, G. J. (2007). Team effectiveness and six essential servant leadership themes: A regression model based on items in the organizational leadership assessment. *International Journal of Leadership Studies*, 2(2), 98-113.

Johnson, R. (2008). An exploratory study of servant leadership, emotional intelligence, and job satisfaction among high-tech employees. Unpublished doctoral dissertation. University of Phoenix.

Jones, G.R. and George, J.M. (2018). *Contemporary Management*, 10th ed. New York: McGraw-Hill.

Judge, T. A. (2009). Core self-evaluation and work success. *Current Directions in Psychological Science*, 18: 58-62.

Judge, T. A. and Bono, J. E. (2001). Relationship of core self-evaluation traits self-esteem, generalized self-efficacy, locus of control, and emotional stability with job satisfaction and job performance: A meta-analysis. *Journal of Applied Psychology*, 86, 80-92

Judge, T. A., Erez, A., Bono, J. E., and Thoresen, C. J. (2003). The core self-evaluation scale (CSES): Development of a measure. *Personnel Psychology*, 56, 303–331.

Judge, T. A., Locke, E. A., and Durham, C. C. (1997). The dispositional causes of job satisfaction: A core evaluations approach. *Research in Organizational Behavior* 19, 151–188.

Judge, T.A. and Piccolo, R.F. (2004). Transformational and Transactional Leadership: A Meta-Analytic Test of Their Relative Validity. *Journal of Applied Psychology*, 89, 755-768.

Kernis, M. H. and Goldman, B. M. (2002). Stability and variability in self-concept and self-esteem. In M.R. Leary & J.P. Tangey (Eds.), *Handbook of self and identity*. New York, NY: Guilford Press, 106-127.

Kruse, K. (2013). What is authentic leadership. http://www.forbes.com/sites/kevinkruse/2013/05/12/what-is-authentic-leadership/. Accessed Jan 2015.

Lambert, W.E.v(2004). *Servant leadership qualities of principals, organizational climate, and student achievement: A correlational study*. Unpublished doctoral dissertation. DAI, 66, no. 02A, p. 430.

Laub, J. (1999). *Assessing the servant organization: Development of the servant organizational leadership assessment (sola) instrument.* Unpublished doctoral dissertation. Florida Atlantic University.

Ledbetter, D. S. (2003). *Law enforcement leaders and servant leadership: A reliability study of the organizational leadership assessment*. Unpublished doctoral dissertation. Regent University.

Liden, R. C., Wayne, S. J., Liao, C., and Meuser, J. D. (2014). Servant leadership and serving culture: Influence on individual and unit performance. *Academy of Management Journal*, 57(5), 1434.

Liden, R. C., Wayne, S. J., Zhao, H., and Henderson, D. (2008). Servant leadership: Development of a multidimensional measure and multi-level assessment. *Leadership Quarterly*, 19, 161–177.

McGregor, D.M. (1957). The Human Side of Enterprise. *Management Review*, 46, 22-28.

McGuire, W., Lindzey, G., and Aronson, E. (1985). Attitudes and attitude change. *Handbook of social psychology: Special fields and applications*, 2: 233–346.

Miears, L. D. (2004). *Servant leadership and job satisfaction: A correlational study in Texas Education Agency region X Public Schools*. Unpublished doctoral dissertation. Texas A&M University.

Newman, A., Schwarz, G., Cooper, B., and Sendjaya, S. (2017). How servant leadership influences organizational citizenship behavior: The roles of lmx, empowerment, and proactive personality. *Journal of Business Ethics*, 145, 49–62.

O'Reilly, C. A. and Chatman, J. A. 1996. Culture as social control: Corporations, cults, and commitment. *Research in Organizational Behavior*, *18*, 157–200.

Parris, D.L. and Peachey, J.W. (2013). A Systematic Literature Review of Servant Leadership Theory in Organizational Contexts. *Journal of Business Ethics*, 113(3), 377-393.

Rafferty, A. E. and Griffin, M. A. (2006). Refining individualized consideration: Distinguishing developmental leadership and supportive leadership*. Journal of Occupational and Organizational Psychology*, 79: 37-61.

Rauch, K. (2007). *Servant leadership and team effectiveness: A study of industrial manufacturing correlation*. Unpublished doctoral dissertation. Indiana Wesleyan University.

Russell, R. F. (2001). The role of values in servant leadership. *Leadership & Organization Development Journal, 22*(2), 76-84. Retrieved from http://search.proquest.com/docview/ 226915965?accountid=28588.

Russell, R. F. and Stone, A. G. (2002). A review of servant leadership attributes: Developing a practical model. *Leadership and Organization Development Journal*, 23(3), 145-157.

Sengupta, J. and Sengupta, S.S. (2018). Service-oriented leadership style for CSR: A perceptions-based view. *The IUP Journal of Business Strategy*, 15, 7-30.

Schaubroeck, J., Lam, S. S., and Peng, A. C. (2011). Cognition-based and affect-based trust as mediators of leader behavior influences on team performance*. Journal of Applied Psychology*, 96, 863–871.

Schein, E. (1992). *Organizational Culture and Leadership: A Dynamic View*. San Francisco, CA: Jossey-Bass.

Sihombing, S., Astuti, E.S., Al Musadieq, M., Hamied, D., and Rahardjo, K. (2018). The effect of servant leadership on rewards, organizational culture and its implication for employee's performance. International Journal of Law and Management, 60, 505-516.

Sinek, S. (2017). *Leaders Eat Last: Why Some Teams Pull Together and Others Don't*. New York: Portfolio.

Styvaert, M. S. (2011). *Core self-evaluation: A malleable disposition?* Unpublished doctoral dissertation. St. Ambrose University.

Sun, P., Wang, S., and Kong, F. (2014). Core Self-Evaluations as Mediator and Moderator of the Relationship between Emotional Intelligence of Life Satisfaction. *Social Indicators Research*, 118: 173-180.

Svoboda, S. (2008). *A correlational study of servant leadership and elementary principal job satisfaction in Ohio public school districts*. Unpublished doctoral dissertation. DAI-A 69/04, Oct 2008.

Tepper, B.J., Dimotakis, N., Lambert, L.S., Koopman, J., Matta, F.K., Park, H.M., and Goo, W. (2018). Examining follower responses to transformational leadership from a dynamic, person-environment fit perspective. Academy of Management Journal, 61, 1343-1368.

Thamrin, H.M. 2012. The influence of transformational leadership and organizational commitment on job satisfaction and employee performance*. International Journal of Innovation, Management And Technology,* 3: 566.

Thompson, R.S. 2002. *The perception of servant leadership characteristics and job satisfaction in a church-related college.* Unpublished doctoral dissertation. Indiana State University.

Tischler, L., Giambatista, R., McKeage, R., & McCormick, D. (2015). Servant Leadership and its Relationships with Core Self-Evaluation and Job Satisfaction. Journal of Values Based Leadership, 9, 1-20.

Twenge, J. M., & Campbell, S. M. 2008. Generational differences in psychological traits and their impact on the workforce. *Journal of Managerial Psychology, 23*: 862–877.

Valeri, Donald P. 2007. *The origins of servant leadership*. Unpublished doctoral dissertation. Greenleaf University.

van Dierendonck, D. & Nuijten, I. 2011. The servant leadership survey: Development and validation of a multidimensional measure. *Journal of Business Psychology*, 26: 249–267.

van Dierendonck, D. 2011. Servant leadership: A review and synthesis. *Journal of Management*. 37: 1228-1261.

van Dierendonck, D., Stam, D., Boersma, P., De Windt, N., & Alkema, J. 2014. Same difference? Exploring the differential mechanisms linking servant leadership and transformational leadership to follower outcomes. *The Leadership Quarterly*, 25: 544–562.

Wang, G., Oh, I.-S., Courtwright, S.H., Colbert, A.E. 2011. Transformational Leadership and Performance Across Criteria and Levels: A Meta-Analytic Review of 25 Years of Research. *Group & Organizational Management*, 36: 223-2.

About the Authors

Dr. Robert C. Giambatista is an associate professor at the University of Scranton. He received his PhD from the University of Wisconsin-Madison in 1999. His research interests include group processes, leadership, diversity, and experiential learning. His teaching interests include organizational behavior, ethics and social responsibility, and negotiation. Dr. Giambatista can be contacted at robert.giambatista@scranton.edu.

Robert McKeage, Ph.D. is an Associate Professor, Director of the Business Leadership Honors Program, and Alperin Teaching Fellow at the Kania School of Management, University of Scranton. His research interests are leadership, emotional intelligence, and group dynamics. Dr. McKeage can be contacted at robert.mckeage@scranton.edu.

Dr. Jeremy Brees is an assistant professor of Management at Northern Arizona University in Flagstaff, Arizona. His research interests include attribution theory, accountability, abusive supervision, and various leadership topics. Dr. Brees can be contacted at at Jeremy.brees@nau.edu.

The Impact of #MeToo:

A Review of Leaders with Supervisor Power on Employee Motivation

Abstract

This manuscript intends to advance existing research, specifically, in gender dissimilar supervisor-employee workplace dyads by integrating #MeToo with our existing knowledge concerning supervisor power and employee motivation. With the #MeToo movement re-energized in 2017, power in leadership positions was redefined. As a result, power held by a supervisor is likely to influence outcomes based on gender and the employees' source of motivation. Supervisors who believed they were successful through influence were more likely to exhibit power to achieve success. However, employees' source of the motivation was identified as a moderating factor in those outcomes. Therefore, outcomes were dependent on the type of power the supervisor was using, as well as the source of the motivation that the employee held. Thus, presumptions could be made that those exhibiting influence in the #MeToo movement maintained an intrinsic motivation, believing they could control the outcomes of these situations.

Mary Kovach
Miami University,
Oxford, Ohio, US

Compelling Phenomenon & Origination

In late 2017, the #MeToo social media campaign empowered women to come forward against prior sexual assault/harassment/inappropriate behavior they experienced, often in business settings. It began in 2006 with Tarana Burke; then, actress Alyssa Milano is credited as revitalizing it October 15, 2017 (Pflum, 2018). Within 24 hours, the "me too" phrase was used by nearly 5 million people in 12 million posts and tweeted more than 200,000 times (500,000 more times the following 24 hours) (France, 2018; Sini 2017). The #MeToo campaign highlighted situations when men in positions of power took advantage of their rank. In turn, this placed women in compromising circumstances including in the hiring and/or promotion process, among others. Prior to the #MeToo movement, victims of sexual harassment or other unwelcomed (often sexual) encounters did not feel as though they had much of a voice. They did not feel as though they could stand up for themselves after falling victim to these situations and kept silent, not reporting the instance(s) to the proper authorities. Because of the #MeToo movement, these women collectively stood together to create a voice. They were not afraid to make accusations and hold accountable those who abused their power. This movement influenced the 2018 Golden Globe Awards, as well as the 2018 State of the Union, where attendees wore black to show support and solidarity for these victimized women and other women who had not yet come forward.

The survivors of the #MeToo campaign were victims of a negative power influence, often from those in leadership roles, which affected their motivation – how they approached various situations, with whom they communicated, how they interacted with others – achieving outcomes to go *all in* as they normally would have or *just enough* to satisfy requirements. These women may or may not have been hired or promoted because of their #MeToo experience, but in each situation, the power enacted upon them made an impression on the trajectory of their professional careers, emotional well-being, and motivation.

It is fair to assume those accused supervisors (most often males) within the #MeToo movement expected some degree of respect when enacting their power over the submissive employee or potential employee (most often females). Those victimized employees (or potential employees) who had a strong internal drive to be successful would be significantly less motivated in these situations. However, these same employees would be more motivated when supervisors demonstrate expertise within their field or industry, rather than coercive power. Through this #MeToo movement, knowledge, awareness, and tolerance brought to the forefront many discussions regarding the nature of business relationships, particularly between employees and employers, and more specifically, the power dynamic within the supervisor-employee relationship.

Power Defined

It is imperative for employers to understand the impact that supervisor power has on employees. Pairing supervisors who exhibit a particular type of influence, combined with gender dissimilarity (i.e. male supervisors-female subordinates and female supervisors-male subordinates) with a distinct type of motivation (e.g. internal or external) will moderate employee motivation and therefore, may alter employees' ability to produce meaningful results. The different types of power that supervisors exhibit will lead to varying degrees of employee motivation. It is not enough to know that the different power types can influence employee motivation.

Two social psychologists, John R. P. French and Bertram Raven, researched, studied, and analyzed the notion of power in a number of circumstances. In 1959, they concluded multiple power dynamics (or bases) were potentially exemplified in a given situation. Each of these power dynamics identified by French and Raven intended to motivate individuals (or groups) in a positive manner to achieve a calculated or purposeful outcome. Jarratt and Morrison (2003) studied power decades later, and their research suggested outcomes such as *lower commitment* would result when relationships contain an imbalance of power, i.e. domination by one party over another.

The question for employers is, *when a supervisor exhibits influence in a particular manner, is the outcome different when exemplifying a specific power dynamic?* Understanding the significance of supervisor power in a professional relationship can have an impact on an employee's motivation. Consequently, these power dynamics that French and Raven (1959) identified are interrelated with one another (a supervisor can demonstrate legitimate, coercive, and expert power in one sentence), circumstantial, and/or relationship-based. Another component to consider when thinking about power is motivation and the resulting behavior of the intensity of one's beliefs. It is natural to support others with similar beliefs, whether part of a group or individually (Smith, Jost, & Vijay, 2008). For example, if an individual were to oppose the beliefs of a work group, he or she may be less likely to speak up or confront the other individual(s) due to the potential *overpowered* feeling, not respected professionally, or feeling disliked. An individual's sense of personal power was often specific to his or her relationship with that other person (or the people within the group) (Anderson, John, & Keltner, 2012); an individual's degree of perceived sense of personal power over another person or group was relative to whether or not that individual would be willing to address the situation with that person(s). If an individual had a high sense of personal power, the potential for confrontation would increase. Similarly, if an individual had a low sense of personal power, he or she would be less likely to challenge the person(s). Moreover, the strength of the degree to which an individual feels positively or negatively about a given situation and how the anticipated results personally affect the individual would be another motivating factor. However, gender affects power dynamics as well.

Gender, Related to Supervisor-Employee Dyads

Gender in the workplace has been researched over multiple decades demonstrating the imbalance of power because of gender. Researchers investigated the differences between genders in leadership roles (Schuh, Hernandez Bark, Van Quaquebeke, Hossiep, Frieg, & Van Dick, 2013), further contributing to small body of research of women with leadership responsibilities (Eagly & Carli, 2007; Oakley, 2000; Schuh, et al., 2013). This paper contributes to workplace gender differences specifically related to supervisor-employee dyads. Furthermore, it argues that power held by a supervisor is likely to influence outcomes based on gender and the employees' source of motivation. Due to the cultural reaction from the #MeToo movement, it assumes that gender has the potential to influence employee motivation – whether it enhances, mitigates, or neutralizes it.

Decades ago, the discussion arose of whether or not managerial effectiveness was based on specific traits or personal characteristics, rather than gender (McClelland, & Burnham, 1976). Regardless of research results and the various achievements of multiple female professionals, gender bias remained in the workplace. Studies continued to reveal gender stereotypes in the managerial process and potential promotional process (Heilman, Block, & Martell, 1995) and gender bias in leadership positions (Eagly, Karau, & Makhijani, 1995).

When examining gender in managerial roles, research demonstrated that the role of the gender of the supervisor influences employees in a variety of ways. Moreover, both employee tenure as well as job satisfaction (Grissom, Nicholson-Crotty, & Keiser, 2012). Other workplace research found supporting evidence that gender played a significant role in the supervisor-employee dyadic relationship as related to a number of organizational factors and outcomes, resulting in gender bias (Dobbins, Pence, Orban. & Sgro, 1983). Lastly, and to further demonstrate the value of researching supervisor-employee relationships as related to gender, a study conducted of nearly 8,000 working professionals confirmed that a supervisor's gender influenced employee job perception (Valentine & Godkin, 2000).

Locus of Control

Employees have an inherent spectrum of motivation ranging from internal (self-determined) to external (not self-determined), as identified in the self-determination theory (Ryan, Williams, & Deci, 2009). Employees can move along a continuum from those who are naturally motivated to those who are motivated due to external factors. Organizations that identify and encourage particular power dynamics for supervisors to enact coupled with the knowledge of where each employee subsides along this spectrum, could create an ideal environment for employee motivation. Thus, producing optimal results in the workplace.

Ryan, et al.'s (2009) self-determination theory, coupled with Rotter's (1966) locus of control, provide insight into an employee's source of motivation, determining whether an individual's success was interpreted based on intentional personal behavior or external forces. Those with an internal locus of control will internalize the power enacted upon them, feeling a degree of personal responsibility. Individuals with an external locus of control are likely to place blame elsewhere. Nonetheless, the perception of each leader power resulted in different motivational outcomes for employees. Goodstadt and Hjelle (1973) argued that (pp. 194-195):

> *An individual's relative belief in the internal or external control of reinforcement is an important determinant of his expectancy of successful influence. Externally controlled persons have the expectancy that they cannot influence people or events, and therefore the externally controlled subjects… had little expectancy for successful influence in their role as supervisor. Internally controlled persons, however, do tend to believe that they have power to influence the events and people around them.*

Thus, those supervisors who believed they had the ability to be successful through influence, were more likely to exhibit power to achieve success. However, employees' source of the motivation was a moderating factor in those outcomes, that is, outcomes were dependent on the type of power the supervisor was using as well as the source of the motivation that the employee held. Thus, presumptions could be made that those exhibiting influence in the #MeToo movement maintained an intrinsic motivation (according to the self-determination theory), believing they could control the outcomes of these situations.

Anderson, John, and Keltner (2012) also performed research with respect to power and locus of control. Applied to a workplace perspective and based on the research identified within this manuscript, scholars argued that employees with an internal locus of control who felt in control of their outcomes (i.e. effective, powerful) were more likely to be successful. However, those with an external locus of control were less likely to hold themselves accountable for their actions and placed blame elsewhere for their individual results and/or career performance.

Research Contribution

From a practical sense, and ideally upon hire, intentionally pairing certain employees with particular supervisors could create an optimally productive work environment – both for the employee and supervisor. This pairing would deliver high-quality results, high morale, and an excitement to be successful – all creating a healthy and pleasant work environment. Thus, both the supervisor and employee's motivation levels would be high because of this relationship. Each employee and supervisor have different personality traits, i.e. different ways of feeling motivated. Therefore, it is important to capitalize on demonstrated synergies between particular physiological make-ups (i.e. how one is wired) between supervisors and employees. For example, employees who have an inherent drive to be successful may work best under supervisors who have demonstrated expertise, rather than supervisors who expect respect because of their position within the organizational hierarchy (Elangovan & Xie, 1999).

On the other hand, consider a business environment where employees with an inherent motivational state, who naturally believe they have little control over outcomes. Those employees are likely to exhibit minimal effort. Assuming these employees paired with supervisors exemplifying an unattractive, negative power (otherwise known as coercive power), the working relationship is more likely to become a struggle (Goodstadt & Hjelle, 1973). As a result, exerting more effort will create a more productive working relationship between the supervisor and employee, rather than the employee being there to work or for the enjoyment of the position. When a working situation exists where employees are already tenured in a position and new supervisors take responsibility over those employees, understanding the inherent motivational state within the employee and the manner in which supervisors express their power would prove valuable. Once the two individuals within this working relationship dynamic understand the other person's point of view and rationale behind his or her behavior, the relationship has the potential to develop and adjust in a manner in which the two parties interact to produce an optimal working environment, i.e. strong motivation to deliver exceptional results.

Research Gap

There are numerous studies reviewed throughout this manuscript, with particular focus on power, gender, and motivation between supervisors and employee dyads within workplace contexts. These studies demonstrate how an employee's motivation result is enhanced, mitigated or neutralized, using gender as a primary moderator and employee locus of control as a secondary moderator. An outcome that needs further investigation is an employee's type and degree of motivation, particularly relating to the employee's perception of supervisor influence. Fayankinnu (2012), along with various other scholars (Akinnawo & Fayankinnu, 2010; Einarsen, Howel, Zapf, & Cooper, 2003; Shaffer, Joplin, Bell, Lau, & Oguz, 2000) researched gender differences within the workplace and the majority of scholarship appears to lean toward male dominance globally. Resulting from a particular supervisor influence, employee motivation is likely to be altered accordingly.

However, a number of research gaps existed when analyzing the relationship between power and motivation. First, Anderson et al. (2012) reaffirmed that little is known about personal power, attitudes, or viewpoints within various power dimensions (i.e. the degree an individual has control over others), and the impact gender has on personal boundaries in a situation involving power. Guinote (2007) addressed the research gap in suggesting future research should capture the impact of individuals holding a submissive position in a power relationship. Furthermore, it should capture how the results of the submissive position within this relationship spark self-regulatory behaviors hampering performance. Third, Elangovan and Xie (1999) confirmed that a minimal amount of prior research focused on the employee's perception of supervisor power and the behavior outcomes of the employee. While these independent scholarly sources researched varying elements of dyadic power relationships, they highlighted the need to focus on the resulting behaviors of power influence in dyadic relationships.

The research from Anderson et al. (2012) supported the need to address boundaries in power relationships as demonstrated in the #MeToo campaign. This manuscript attempts to emphasize the importance of power within dyadic relationship and the necessity of boundaries, particularly within the supervisor-employee relationship. In a business context, the organization should create an optimal environment for the supervisor-employee to function and operate. The manner in which influence is shown to the employee in this dyadic relationship will influence the employee's motivation to be successful, either favorably or negatively. Lastly, Elangovan and Xie (1999) conducted a study of the employee's perception of supervisor power and the moderating effects on the employee, specifically, locus of control and self-esteem.

In summary, each supervisor is likely to have an individualized power preference. Similarly, in the supervisor-employee dyadic relationship, each employee is likely to have individualized preferences for which power he or she responds to or dismisses. Thus, this review contributes to existing literature by highlighting that future research should investigate the dyadic configuration of supervisor influence (or power), particularly on employees who demonstrate an internal and external perception of control (i.e. the impact each power has on an employee with an internal or external locus of control), resulting outcomes, and the impact of gender dissimilarity.

References

Akinnawo, O. and Fayankinnu, E. (2010). Psychological Health and Traumatic Experiences of Women Working In Two Male-Dominated Professions in Nigeria. *Gender Behaviour 8*(2), 3314-3324.

Anderson, C., John, O., and Keltner, D. (2012). The Personal Sense of Power. *Journal of Personality, 80*(2), 313-344.

Dobbins, G., Pence, E. Orban. J., and Sgro, J. (1983). The Effects of Sex of the Leader and Sex of the Subordinate on the Use of Organizational Control Policy. *Organizational Behavior and Human Performance, 32*(3), 325-343.

Eagly, H. and Carli, L. (2007). *Through the Labyrinth: The Truth About How Women Become Leaders.* Boston: Harvard Business School Press.

Einarsen, S., Hoel, H., Zapf, D., and Cooper, C. (2003). Bullying and Emotional Abuse in the Workplace. In (S. Einarsen, H. Hoel, D. Zapf & C.L. Cooper eds.) *International Perspective in Research and Practice*, Taylor & Francis: London, 127-144.

Elangovan, A. and Xie, J. (1999). Effects of Perceived Power of Supervisor on Subordinate Stress and Motivation: The Moderating Role of Subordinate Characteristics. *Journal of Organizational Behavior, 20*, 359-373.

Fayankunnu, E. (2012). Female Executives' Experiences of Contra-Power Sexual Harassment from Male Subordinates in the Workplace. *Bangladesh e-Journal of Sociology, 9*(2), 40-56.

France, L. (2017). #MeToo: Social media flooded with personal stories of assault. CNN. Archived from the original on October 16, 2017. Retrieved October 16, 2017.

French, J. and Raven, B. (1959). The Bases of Social Power. In *Studies in Social Power*, D. Cartwright, Ed., pp. 150-167. Ann Arbor, MI: Institute for Social Research.

Goodstadt, B. and Hjelle, L. (1973). Power to the Powerless: Locus of Control and the Use of Power. *Journal of Personality and Social Psychology, 27*(2), 190-196.

Grissom, J, Nicholson-Crotty, J., and Keiser, L. (2012). Does My Boss's Gender Matter? Explaining Job Satisfaction and Employee Turnover in the Public Sector. *Journal of Public Administration Research and Theory*, *22*(4), 649–673.

Guinote, A. (2007). Personality and Social Psychology Bulletin. *Society for Personality and Social Psychology, Inc., 33*(8), 1076-1087.

Heilman, M., Block, C., and Martell, R. (1995). Sex Stereotypes: Do They Influence Perceptions of Managers? *Journal of Social Behavior and Personality, 10,* 237-252.

Jarratt, D. and Morrison, M. (2003). Dependence and the Application of Power and Control in Major Business Relationships: A Study of Manufacturing and Service Firms in the Business-to-Business Sector. *Journal of Strategic Marketing 11,* 235-253.

McClelland, D. and Burnham, D. (1976). Power is the great motivator. *Harvard Business Review, 54,* 100-110.

Pflum, M. (2018). *A year ago, Alyssa Milano started a conversation about #MeToo. These women replied*. NBCnews.com. https://www.nbcnews.com/news/us-news/year-ago-aly ssa-milano- started-conversation-about-metoo-these-women-n920246

Rotter, J. (1966). Generalized Expectancies for Internal Versus External Control of Reinforcement. *Psychological Monographs, 80*(1), 1-28.

Ryan, R., Williams, G., Patrick, H., and Deci, E. (2009). Self-determination theory and Physical Activity: The Dynamics of Motivation in Development and Wellness. *Hellenic Journal of Psychology 6*, 107-124.

Schuh, S., Bark, A., Quaquebeke, N., Hossiep, R., Frieg, P., and Van Dick, R. (2014). Gender Differences in Leadership Role Occupancy: The Mediating Role of Power Motivation. *Journal of Business Ethics, 120,* 363-379.

Shaffer, M., Joplin, J., Bell, M., Lau, T., and Oguz, C. (2000). Gender Discrimination and Job-Related Outcomes: A Cross-Cultural Comparison of Working Women in the United States and China. *Vocational Behaviour, 57*(4), 395-427.

Sini, R. (2017). "MeToo" and the scale of sexual abuse. *BBC News*. Archived from the original on November 7, 2017.

Smith, P., Jost, J., and Vijay, R. (2008). Legitimacy Crisis? Behavioral Approach and Inhibition When Power Differences Are Left Unexplained. *Social Justice Research, 21*(3), 358- 376.

Valentine, S. and Godkin, L. (2000). Supervisor Gender, Leadership Style, and Perceived Job Design. *Women in Management Review*, *15*(3), 117-129.

Wikipedia. *Me Too Movement.* Retrieved from the Wikipedia website (2018): https://en.wikipedia.org/wiki/Me_Too_movement

---

About the Author

Mary Kovach is an Assistant Professor at Miami University. She graduated with her BA from Baldwin Wallace University, her MBA from Cleveland State University, and her PhD from Miami University. Her professional experience includes 15 years with Fortune 500 organizations. She has held numerous leadership positions, including managing multi-million-dollar global business units. She holds a LEAN Six Sigma Black Belt certification, as well as multiple Agile certifications. Mary's research interests include leadership, motivation, and power. Dr. Kovach can be contacted at kovachm2@miamioh.edu.

Education Meant Risking Her Life

A Young Girl's Deadly Struggle to Learn

EMILIO IODICE, ROME, ITALY

Malala Yousafzai, ***Courtesy Pinterest***

> *Let us remember: One book, one pen, one child, and one teacher can change the world.*
>
> *I speak not for myself but for those without voice... those who have fought for their rights... their right to live in peace, their right to be treated with dignity, their right to equality of opportunity, their right to be educated.*
>
> *I don't want to be remembered as the girl who was shot. I want to be remembered as the girl who stood up.*
>
> *I think of it often and imagine the scene clearly. Even if they come to kill me, I will tell them what they are trying to do is wrong, that education is our basic right.*
>
> *It is very important to know who you are. To make decisions. To show who you are.*
>
> — Malala Yousafzai

All she wanted was to go to school. She desired the chance to learn, to open her mind to the world, to discover her interests and talents and to realize her dreams of freedom. That is what education is for Malala, freedom. It meant the chance to be a person, a woman with the control to plan her own future. She fought tirelessly so that other girls could have the chance to study, learn, and emerge from discrimination. Malala faced great obstacles. Assassins tried to silence her.

They failed.

Swat Valley, Pakistan, *Courtesy Pakistan Tourist Bureau*

Growing Up in the Swat Valley

She was raised in northwest Pakistan where her hometown of Mingora was in the Swat Valley, a three-hour drive from Islamabad. It was a beautiful place. The Valley was a popular tourist destination with its lush forests and fields and summer festivals. The people of Mingora were friendly and hospitable. It was the center of economic, cultural, and social life of the region. The town of nearly 200,000 was the home of rare Buddhist ruins that were world renowned. The local Yousafzai tribe, predominantly Muslim, was the main clan of the city which also welcomed Hindu and Sikh families. The metropolis was diverse and interesting with a rich cultural heritage. This is where Malala lived.[7]

Malala as a baby, *Courtesy* malala.org

She was born on July 12, 1997. Her father named her after a Pashtun heroine. Pashtuns were among the oldest traditional Islamic cultures dating back to Alexander the Great known for its rich history, music, poetry, colorful language, and beautiful clothing. The Pashtun traditions were respected in Malala's family; she would wear a head scarf but did not cover her face. This was something that made her unique. This uniqueness of Malala's character was reflected in her everyday life including her love of learning. Malala's mother was different because as she was illiterate, she could not understand the fervor Malala and her father had toward education.

Taliban Fighters, *Courtesy Fox News*

Malala was a splendid student. She loved to learn and came from a family of educators. Her father, Ziauddin Yousafzai, founded and administered the Khushal Girls' High School and College where Malala attended school. Ziauddin was an outspoken social critic who advocated for universal education and women's rights. He wanted his daughter to learn the value of learning and to fight

[7] *The Pulitzer Center* (5 August 2011). Life in the Swat Valley. Retrieved from http://pulitzercenter.org/slideshows/pakistan-swat-valley

for justice as he did. As a result, he was determined to give her the best possible education thereby providing her the tools to think for herself. For Malala, her studies opened the world to her. They became the most important aspect of her life. Living in her village and going to school was exciting, satisfying, and normal. It would not remain so for long.

The Taliban

In 2007, Malala's life suddenly changed. The Swat Valley was invaded by a group who would bring terror, suffering, and endless fear: the *Taliban*.[8] They destroyed Western symbols, killed innocent people, and made examples of those who opposed them. At first, they attacked the perimeter of the region, taking control of one town after another. They closed one school today, then another tomorrow, and then another. Day by day, week by week, the invaders moved closer to Mingora. Malala feared what it meant and what would become of her and her dreams. She was terrified.

Who were these ferocious fighters who were approaching her homeland?

The Taliban set out to create the world's most pure Islamic regime by introducing a disturbing and deeply revolutionary form of Muslim culture that came at a tremendous cost to human freedom. Men were ordered to keep their beards to a specific length, and subjected to punishment for defiance. Members of minority groups wore labels to distinguish them as non-Muslims, a measure the Taliban argued was to protect them from religious police enforcing Islamic law. Frivolities such as television, the Internet, music, and photography were outlawed. Punishment, including amputation of the hands of thieves and the stoning to death of women convicted of adultery, considered severe, was common under the Taliban.

Mingora Square, *Courtesy the Pulitzer Center*

It was the Taliban's anti-woman agenda, however, that caused mounting concern around the world. Under the Taliban, women were forbidden to work outside the home, were compelled to wear a head-to-toe covering, and could not leave the home without a male guardian. Such issues, along with restrictions on women's access to health and education, caused resentment among ordinary Afghans and drew the ire of the international community. To the Taliban, however, the restrictions served to preserve the honor and dignity of women who had previously been preyed upon.

---

8 *Encyclopedia.com.* The Taliban. Retrieved from http://www.encyclopedia.com/history/asia-and-africa/central-asian-history/taliban

Death and Suffering in Mingora

The day came when the Taliban attacked Mingora. A former forklift operator, Maulana Fazlullah, led the fight against the town and its people. The famous "Green Square" of the village became the "bloody square" since it is where the Taliban hung from electricity poles the bodies of opponents, government workers, the police, and anyone they felt could oppose the regime. They murdered a female dancer and threw her body in the square as an example to others. In 2008, Fazlullah imposed restrictions on the administration of anti-polio vaccines, the ability to speak and protest, and denied girls the right to an education.[9] Schools were shut down and women were banned from having an active role in society. They could not go shopping, music was outlawed, and anyone who dared confront or disagree with the Taliban risked certain death. Malala and her family fled. They returned later when the violence had diminished.

Malala, *Courtesy Girl Up and Pinterest*

Speaking Out

Malala's father wanted to fight the Taliban, not with the sword but with the word. On September 1, 2008, when (Malala) Yousafzai was 11 years old, her father took her to a local press club in Peshawar to protest the school closings, where she gave her first speech, *How Dare the Taliban Take Away My Basic Right to Education?* Malala knew the consequences of what she had done and that the Taliban would seek revenge.

Blogging to Reach the World

Her speech was publicized throughout Pakistan. Shortly after the speech, the BBC contacted Malala's father. They wanted to create a blog and needed someone to describe life under the Taliban. Malala began to write. Toward the end of 2008, the Taliban announced that all girls' schools in Swat would be shut down on January 15, 2009.[10] To protect herself and her family, Malala used the nickname, Gul Makai. From January to March, she submitted thirty-five entries about her daily life and those of others who were persecuted by the Taliban, for example:[11]

Malala, *Courtesy* malala.org

Saturday 3 January. *I had a terrible dream yesterday with military helicopters and the Taliban. I have had such dreams since the launch of the military operation in Swat. My mother made me breakfast and I went off to school. I*

---

[9] *Ibid*. The Pulitzer Center.

[10] Blumberg, N. (1 January 2017). Malala-Yousafzai. *Encyclopedia Britannica*. Retrieved from https://www.britannica.com/biogra phy/

[11] *BBC* [online] (10 October 2014). Moving moments from Malala's BBC diary. Retrieved from http://www.bbc.com/news/world- asia-29565738

was afraid going to school because the Taliban had issued an edict banning all girls from attending schools… On my way from school to home I heard a man saying 'I will kill you'. I hastened my pace and after a while I looked back if the man was still coming behind me. But to my utter relief he was talking on his mobile and must have been threatening someone else over the phone.

It was only a matter of time before the Taliban would destroy all she cherished. As the year progressed, the Taliban closed schools throughout the region destroying over one hundred of them with explosives.[12] The next year would be momentous for Malala and her family.

Pakistani Television

It was February, 2009, she was invited to be interviewed by a Pakistani journalist on television where many would hear her voice and see her face. They would know her message and know who she was, but so would the Taliban. The people of Pakistan began to oppose the Taliban and fight their brutality. The insurgents agreed to a ceasefire and lifted some restrictions in the areas they controlled. The Taliban allowed girls to go back to school as long as they wore burqas but it was short-lived. Within a few months, the violence and bloodshed returned. Malala and her family fled from the valley. The Pakistani army fought and drove the Taliban from the area. For a short time, the valley seemed to be in peace.

Malala, *Courtesy* malala.org

The Video that Reached Around the World

The New York Times decided to make a documentary about Malala. In October, 2009, Times reporter, Adam Ellick, worked with Malala and her father Ziauddin, to make a movie about her ordeal and that of other girls under the rule of the Taliban, entitled *Class Dismissed*. The video depicted the torture and murders committed by the radical Muslims. It talked about the 200 educational institutions shut down. Boys' schools remained opened while, overnight, 50,000 girls lost their right to learn. One spoke out about the horror of a lack of education. She wore a black head dress to protect her identity and said, "Why our future is targeted? Schools are not places of learning but of fear and violence. Who will solve our problems? Who will return our valley to peace? I think nobody. No one. Our dreams are shattered."[13]

Ellick described how Malala's family was under siege: Her father was on the list of those to be killed by the Taliban. Ziauddin had to sleep in a different place every night. "Sometime I think I will hide in the bathroom and call the police and they will come and save my father," said Malala. "And sometimes, I think I will tell my father to hide in the cupboard and I will tell no one. I am afraid," she said. She put her head in her hands

[12] *Ibid*. Blumberg.

[13] Ellick, A. (9 October 2009). Class Dismissed. *The New York Times* [online]. Video. Retrieved from https://www.nytimes.com/ video/world/asia/100000001835296/class-dismissed-malala-yousafzais-story.html

and cried. “This hiding goes on all the time and all night,” said her father. “This is our life.” Malala went to school in fear of the Taliban. “He will kill us. He throws acid in our faces. And we can to nothing about it,” she explained.

The film described the evacuation of Malala’s town as the Taliban advanced. It showed Malala appealing to U.S. Special Envoy, Ambassador Richard Holbrook, to Afghanistan and Pakistan to help restore education in their valley. The family had to leave for fear of being killed by the Taliban.

Sorrowful Return to Mingora

Six months later, Malala and her family returned to their village. They saw the victims of the Taliban rotting in the streets. At times, they feared the Pakistani army as much as the Taliban, since they were also involved in random killing.

“You are now going into a city where you are a wanted man,” Adam Ellick tells Malala’s father. “I have a strong belief that death has a certain time. When it comes it comes. Death cannot be a hindrance in my struggle,” he responded. Malala and her father cry as they enter the town and see the destruction and desolation. They finally reached their home. They found it is still standing. It had not been looted. Their chickens were dead. Malala cried. She searched to find her most precious possessions, her school books. They were still there. She was delighted. They visited the school that was their family’s livelihood for 14 years. It was closed. It had been plundered. Someone moved in to live there. Malala looked for clues as to who stayed in the school in their absence. She discovered that they had been government soldiers fighting the Taliban. “When I see my school in this way, I am very shameful of my army,” she says. “The Taliban destroyed us,” she stated.[14]

Target of the Taliban

Malala was now well known around the world. She spent the next two years completing her education as best she could and giving speeches and interviews to support education of girls. In 2011, she was awarded the International Children's Peace Prize as well as the National Youth Peace Prize. As her fame grew, so did the peril facing her. She received death threats in many forms: from papers slipped under her door to warnings via social media. The Taliban were determined to silence her.[15]

Malala on her way to the hospital, October 9, 2012. *Courtesy, Reuters*

The assassins launched their plan in the fall of 2012 knowing where they could find this little girl they feared so much. She was in her school bus on her way home. Malala had just

[14] *Ibid*. Ellick.
[15] *The Express Tribune*. (12 October 2012). “Radio Mullah” sent hit squad after Malala Yousafzai.

finished taking an exam. The bus, which was filled with twenty girls and three teachers, was suddenly stopped:

A masked man went up to the bus. "Who is Malala?" he demanded. No one responded, yet several girls looked at Malala. They all had face veils. She was the only girl with her face uncovered. Now he knew. He lifted a black pistol and pointed it. Malala's friend held her hand. He fired three shots. One pierced her left eye socket and came out her shoulder. The bullet narrowly missed her brain. Two other bullets hit the girls next to her. Witnesses said the gunman's hand was trembling as he fired.[16]

Malala slumped forward, unconscious. They thought she was dead, her wounds were life threatening. She was taken by a military helicopter to an intensive care ward in Peshawar. Swelling developed in the left portion of Malala's brain and doctors were forced to operate. Five hours later, the surgeons removed the bullet from her shoulder which was lodged near her spinal cord. She was then taken to Queen Elizabeth Hospital in Birmingham, England.


26 October 2012: Malala's father Ziauddin and two younger brothers Atal and Khushal visit Malala at Queen Elizabeth Hospital Birmingham, *Courtesy Reuters*

Malala spent three months in the hospital and underwent numerous surgeries. After a week of recovery, she emerged from a coma.[17]

A Taliban spokesman, Ehsanullah Ehsan, claimed responsibility on behalf of the Tehreek-e-Taliban Pakistan (TTP), the Pakistani offshoot of the Taliban movement notorious for its restrictions of women's freedom and female education during the five years before late 2001 when they were in power in Afghanistan.

"She was pro-west, she was speaking against Taliban and she was calling President Obama her ideal leader," Ehsan told *Reuters*. "She was young but she was promoting western culture in Pashtun areas," he said, referring to the main ethnic group in northwestern Pakistan and Afghanistan from which the Taliban finds most of its followers.

The Taliban had previously announced the girl was on their "hit list" because of her backing for "the imposition of secular government" in Swat.[18] They were frustrated that their plan to kill this fifteen-year-old girl had failed.

---

[16] Ng, C. (5 October 2013). Malala Yousafzai Describes Moment She Was Shot Point-Blank by Taliban. Retrieved from http://abc news.go.com/International/malala-yousafzai-describes-moment-shot-point-blank-taliban/story?id=20459542

[11] *Ibid*. Ng.

[12] *The Guardian* [online]. (10 October 2012). Malala Yousafzai: Pakistan Taliban causes revulsion by shooting girl who spoke out. Retrieved from https://www.theguardian.com/world/2012/oct/09/taliban-pakistan-shoot-girl-malala-yousafzai

Recovery and Global Reaction

In January, 2013, Malala was discharged from the hospital and needed rehabilitation. The family stayed in a temporary home in the West Midlands and the following month, Malala underwent another operation. Her skull was reconstructed and her hearing restored with an implant.

The attempted murder of Malala received global media coverage resulting in an outpour of sympathy, anger and protests in Pakistan. Over two million people signed a Right to Education Petition which led to a law being passed by the Pakistani Parliament. A reward was offered for the arrest of Malala's attacker as concerns grew for the safety of the girl's entire family. "We wouldn't leave our country if my daughter survives or not. We have an ideology that advocates peace. The Taliban cannot stop all independent voices through the force of bullets."[19]

The President of Pakistan called the shooting an attack on "civilized people." President Barack Obama said it was "reprehensible, disgusting and tragic." Secretary of State Hillary Clinton applauded Malala because of her bravery and standing up for the rights of girls.[20] Celebrities devoted songs to Malala's courage and a fund was started in her name to help the education of girls. The Taliban were not repentant despite the worldwide condemnation of their action. "We warned him (Malala's father) several times to stop his daughter from using dirty language against us, but he didn't listen and forced us to take this extreme step." The Taliban also justified its attack as part of religious scripture, stating that the Quran says that "people propagating against Islam and Islamic forces would be killed. Sharia says that even a child can be killed if he is propagating against Islam."[21] While some suspected the Taliban were brought to justice, doubts remained as to whether or not Malala's attacker was ever found.[22]

12 July 2013: Malala Yousafzai is introduced before her speech at the United Nations Headquarters in New York, *Courtesy International Business Times* and *Reuters*.

Speaking at the United Nations in New York

Nine months after the attempt on her life, Malala was invited to speak before the United Nations in New York. It was her 16th birthday. Here is what

[19] Ghosh, P.R. (10 October 2012). Malala Yousafzai: Family Refuses to Cower in Fear as Girl Remains in Critical Condition. *International Business Times*.

[20] *Indo Asian News Service*. (11 October 2012). Pakistani teen still critical, Obama calls attack tragic. *Yahoo News*.

[21] Walsh, D. (12 October 2012). Taliban Reiterate Vow to Kill Pakistani Girl. *The New York Times*. *The Guardian* (16 October 2012). Malala Yousafzai deserved to die, say Taliban.

[22] Hughes, C. (5 June 2015). Brave Malala's hitmen secretly FREED just weeks after their 25-year prison sentences. *Daily Mirror*. MGN Ltd.

she said:[23]

There are hundreds of human rights activists and social workers who are not only speaking for their rights, but who are struggling to achieve their goal of peace, education, and equality. Thousands of people have been killed by the terrorists and millions have been injured. I am just one of them. So here I stand. So here I stand, one girl, among many. I speak not for myself, but so those without a voice can be heard. Those who have fought for their rights. Their right to live in peace. Their right to be treated with dignity. Their right to equality of opportunity. Their right to be educated.

Dear friends, on 9 October 2012, the Taliban shot me on the left side of my forehead. They shot my friends, too. They thought that the bullets would silence us, but they failed. And out of that silence came thousands of voices. The terrorists thought they would change my aims and stop my ambitions. But nothing changed in my life except this: weakness, fear, and hopelessness died. Strength, power and courage was born…

Malala and Kaliash Satyarthi, who also won the Peace Prize at the Nobel Peace Prize ceremony in Oslo Dec. 19 2014, *Courtesy* Nobel.org

'The pen is mightier than the sword.' It is true. The extremists are afraid of books and pens. The power of education frightens them. They are afraid of women. The power of the voice of women frightens them.

Malala carried her message far and wide through her speeches at universities and institutions everywhere. Her willingness to sacrifice herself to fighting evil and securing the rights of women gained her solidarity and support in the four corners of the earth.

Nobel Peace Prize

On Friday, October 10, 2014, two years and a day following her attack by the Taliban, Malala Yousafzai was awarded the Nobel Prize. She was the youngest recipient ever to be given the prestigious symbol of world peace.

"The terrorists tried to stop us," she said. "Neither their ideas nor their bullets could win. We survived. And since that day, our voices have grown louder and louder. I tell my story not because it is unique but because it is not," she said. "It is the story of many girls. Today, I tell their stories too. I have brought with me some of my sisters from Pakistan, from Nigeria, and from Syria who share this story. This award is not just for me. It is for those forgotten children who want education," Malala said. "It is for those frightened

[23] Yousafzai, M. (12 July 2013). Our books and our pens are the most powerful weapons. Retrieved from https://www.theguardian. com/commentisfree/2013/jul/12/malala-yousafzai-united-nations-education-speech-text

children who want peace. It is for those voiceless children who want change. I am here to stand up for their rights, to raise their voice. It is not time to pity them."[24]

Malala Fund

Shortly after leaving her hospital bed in England, Malala, her father, and many supporters created the Malala Fund. Its goal was to help girls everywhere have twelve years of quality education and to support national and international changes in policy to do so. On her 18th birthday, Malala opened a school in the Bekas Valley in Lebanon, close to the Syrian border. The institution provided education of Syrian refugees and, in particular, training and learning for girls ages 14 to 18. Malala called on world leaders to invest in "books, not bullets."[25]

Her 2013, memoir *I Am Malala: The Story of the Girl Who Stood Up for Education and was Shot by the Taliban* received excellent reviews. *The Washington Post* said, "It is difficult to imagine a chronicle of a war more moving, apart from perhaps the diary of Anne Frank."[26] In the last three years, Malala has devoted herself to giving speeches and interviews everywhere to promote the cause of education for girls. She has received scores of "honors and awards and in each case accepts in the name of girls who want to learn and want to be themselves in an atmosphere of freedom and peace.

A woman reads a copy of Malala's book *"I am Malala"* in Islamabad, Pakistan, *Courtesy*, Reuters

Conclusion

The measure of someone's courage requires the consideration of the world they live in. An eleven-year-old in an American or European town that protests injustice can usually expect not to be punished, attacked, or killed for their initiative. It is a brave act to take a stand, but to do so in a place that threatens your livelihood, your traditions, your possessions, and your life is geometrically greater than anything we can imagine in the comfort and safety of the developed world. Malala lived in a world foreign to our own, fighting in a place that was diametrically opposed to her beliefs. She could have stayed silent, given in, slipped into the crowd, and waited out the storm. She could have accepted the tyranny of the Taliban but instead, she lifted her voice to those who would listen. She lifted her voice to us. The world heard her call for equality and justice. She

[24] Engel, P. (10 December 2014). Malala Gives A Jaw-Dropping Speech to Accept Her Nobel Peace Prize. *Business Insider*. Retrieved from http://www.businessinsider.com/malala-nobel-peace-prize-acceptance-speech-2014-12?IR=T

[25] Westall, S. (13 July 2015). *Nobel winner Malala opens school for Syrian refugees*. Reuters.

[26] Arana, M. (11 October 2013). Book Review: "I Am Malala" by Malala Yousafzai. *The Washington Post*.

was ready to lose her life for the chance to speak out. She was afraid because she was wanting to live a normal life. That makes her example of courage larger than life and makes her more powerful and more memorable.


Malala, *Courtesy* Malala Fund

I want education for the sons and the daughters of all the extremists, especially the Taliban.

There are many problems, but I think there is a solution to all these problems; it's just one, and it's education.

Let us make our future now, and let us make our dreams tomorrow's reality.

I don't know why people have divided the whole world into two groups, west and east. Education is neither eastern nor western. Education is education and it's the right of every human being. When the whole world is silent, even one voice becomes powerful.

When I was born, some of our relatives came to our house and told my mother, 'Don't worry, next time you will have a son.'

Once I had asked God for one or two extra inches in height, but instead, he made me as tall as the sky, so high that I could not measure myself... By giving me this height to reach people, he has also given me great responsibilities.

I say I am stronger than fear.

— Malala Yousafzai

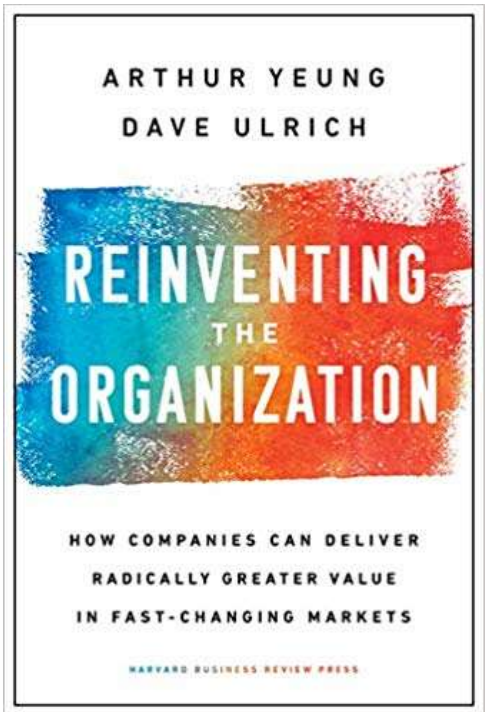
Further Reading

- Gundersen, Kathryn (completed 12 August 2016). ClassicNote (copyright held by GradeSaver).
- Suduiko, Aaron (updated and revised 19 August 2016). Copyright held by GradeSaver.
- Yousafzai, Malala and Lamb, Christina (2013). *I Am Malala*. London, UK: Weidenfield & Nicolson.
- Long, Roger D. (2015). *A History of Pakistan*. Oxford, UK: Oxford University Press.
- Laub, Zachary (4 July 2014). *The Taliban in Afghanistan.* Council on Foreign Relations. Retrieved 8 August 2016 from http://www.cfr.org/afghanistan/taliban-afghanistan/p10551
- Morrison, Debbie (25 November 2014). "*I Am Malala": A Review of the Book and its Implications for Education*. Online Learning Insights. Retrieved 4 August 2016 from https://onlinelearninginsights.wordpress.com/2014/11/25/i-am-malala-a-review-of-the-boo k-and-implications-for-education/
- Garton, Randall (12 November 2013). *"I Am Malala": A Book Review.* The Albert Shanker Institute. Retrieved 1 August 2016 from http://www.shankerinstitute.org/blog/i-am-malala-book-review
- "Sharia." *BBC Religions* (3 September 2009). Retrieved 12 August 2016 from http://www. bbc.co.uk/religion/religions/islam/beliefs/sharia_1.shtml

About the Author

Emilio Iodice is a former American diplomat, business executive, university administrator, professor of leadership, and best-selling writer and public speaker. The story of Malala is from his latest book, "*When Courage Was the Essence of Leadership, Lessons from History"* which is an Amazon best seller and can be found at https://www.amazon.com/When-Courage-was-Essence-Leadership/dp/1981767479/ref=tmm_pap_swatch_0 ?_encoding=UTF8&qid=&sr=

Emilio Iodice can be reached at efiodice@yahoo.com.



Reinventing the Organization:

How Companies Can Deliver Radically Greater Value in Fast-Changing Markets

—Reviewer Professor M.S. Rao, Ph.D

"Yeung and Ulrich have succinctly described and prescribed the principles and practices for the next-generation organizational model."
— Cheng Wei, *founder, Chairman, and CEO, DiDi*

What are the Details of the Book?

If you want to reinvent organizations as per the changing times and technologies, read this book. If you want to acquire updated ideas and insights on strategy, HR and organizational development, read this book. If you want to understand agile organizations, read this book. Arthur Yeung and Dave Ulrich's authored book *Reinventing the Organization: How Companies Can Deliver Radically Greater Value in Fast-Changing Markets* provides leaders with a blueprint for reinventing the organization.

This book is about companies where people link arms. Where hierarchy, bureaucracy, politics, and division are not impediments. Where bad ideas don't survive. Where leaders help people to succeed and don't boss them around. Where the start conditions for every undertaking is small, high energy, and high purpose. Where teams disband quickly when they realize they are working on a bad idea. Where the feeling of being a start-up balanced on the knife-edge of success on one side and failure on the other never truly goes away. Where meaning, relationship, professional identification, purpose, relationship, ability to work with others who will bring extra value to their efforts, and sense of contribution drive everything.

What is Inside?

Based on their in-depth research at leading Chinese, US, and European firms such as Alibaba, Amazon, DiDi, Facebook, Google, Huawei, Supercell, and Tencent, and drawing from their synthesis of the latest organization research and practice, authors explain how to build a new kind of organization that responds to changing market opportunities with speed and scale. They offer a practical, integrated, six-step framework and look at all the decisions leaders need to make--choosing the right strategies, capabilities, structure, culture, management tools, and leadership--to deliver radically greater value in fast-moving markets. They offer a six-part framework for reinventing the organization as a market-oriented ecosystem (MOE) — environment, strategy, capability, morphology, governance, and leadership.

The authors explain that each industrial age comes with its own language. The first industrial revolution was about mechanical production, with insights on steam engine, machine tools, and factories. The second industrial revolution was the age of science and mass production, with gasoline engines, airplanes, assembly lines, and electricity and lighting. The third and current revolution is about connectivity, digitalization, and big data.

The authors unveil that Jeff Bezos is obsessed with building the most customer-centric company in the world by offering low prices, wide selection, and the most convenience. He articulates fourteen leadership principles and weaves them in all Amazon's business decisions (including which business adjacencies to move into and which innovative products and services to offer) and personnel decisions (selection, review, promotion, and separation). They share the following leadership lessons from Jack Ma, founder of Alibaba: develop one valuable skill that sets you apart from everyone else (in his case, English); embrace your shortcomings (Forrest Gump as role model); never give up; it's never too late to start; create a clear, lengthy, purposeful vision, and promote your values; and have an obsessive personal mantras and heartfelt stories.

Industry Transformations

The authors underscore industry transformations in various sectors as follows. In the hospitality industry, Airbnb (started in 2008) offers more lodging that does any hotel chain in the world (Hilton, Marriott, Hyatt, Intercontinental). Remarkably, the largest lodging firm in the world owns no hotel rooms. Airbnb customers (guests) have more choice, can contact hosts directly and often have a more intimate customer experience.

In the automotive rental and taxi services, Uber (founded 2009), Lyft (2012), and DiDi (2012) offer ride-sharing that disrupts the traditional taxi and car-rental industries. Today, the largest taxi companies in the world own no cars. DiDi provides services that include taxi-hailing and private-car hailing. Customers participate in the sharing economy and have more flexibility on price, service, and availability. Drivers (independent contractors) also have the flexibility of work hours and autonomy.

In the self-driving cars, many companies are competing to create the driverless car: Waymo (part of Google ecosystem), Uber, Tesla, and most traditional automotive companies (e.g., BMW, Ford, GM, Mercedes Benz, Nissan, and Toyota). In a huge change from the old system, the car that now transports you does not have to have a driver! Self-driving cars rely on AI, artificial neural learning, sensors, and other technologies to automate driving. Throughout the entire transportation industry, customers — including drivers, delivery, insurance, manufacturing, and so forth — will be affected.

In the E-commerce; online shopping, every retail organization (brick and mortar, grocery, pharmacy, travel) has integrated e-commerce, which continues to rapidly expand, reinvent the retail model, and provide extraordinary shopping experiences. The store where you shop today often has no physical footprint. Smart retail relies on technological advances in big data, the internet of things, mass customization, machine learning, AI, robotics, and the digitization of assets, operations, and the workforce. Customers have greater flexibility, choice, and customization of products and services.

In the education sector, massive open online courses and other forms of digital learning are making quality education universal; nearly all universities offer a form of online education. The setting where you learn might no longer be a classroom. Khan Academy (a free online academy), TED talks, Wikipedia, and other information sources are readily available to customers. Customers who want to learn can use blended learning to access real-time knowledge.

In financial services, all forms of banking are being disrupted: depositing and investing money, paying for services (a cashless society), and insurance. Carrying cash and going to a bank are fast becoming things of the past. Technologies like blockchain, cloud data, big data, predictive analytics, robots, and AI are shaping financial experiences. Customers have much more control over how to manage their money.

In the health care sector, vertical integration is occurring with ventures like CVS and Aetna. Technology is rapidly changing diagnosis and treatment (e.g., telemedicine). Your doctor need not be present to serve you. Because customers know more about their health than they used to, they can make better-informed decisions about their health.

Leadership Takeaways

- Stop being run by the internal logic of neat lines and boxes, focus instead on what the external world both wants today and needs tomorrow, and design the organization accordingly. The truth is that the outside world has no interest in your organizational structure and no stake in your past practices.
- Change from a one-size-fits-all approach in organizational management to differentiated approaches based on different phases of the organizational life cycle (e.g., experimentation phase, growth/mature phase, decline phase) and different customer requirements they are trying to meet.
- Let go of a mentality of “making trade-offs” and seek instead to optimize solutions to the paradoxes inherent in today’s world. For example, consistently delivering quality solutions while also constantly changing, balancing innovations with calculated risks, top-down direction with bottom-up initiatives. The outside world wants it all.
- Trust the desire and ability of your own people to succeed, and free them to be agents of their own personal development, learning, and growth. Turn jobs into callings; goals into passions; responsibilities into opportunities.
- Encourage individual entrepreneurship that will deliver maximum satisfaction to the employee and the institution. The more success depends on unleashing the energy and creativity of knowledge-workers, the more important this principle.

- Provide employees what they need to succeed in very easy terms: technology, financial backing, information systems, HR processes and the like.
- Prize fluidity and the ability to shift and pivot. Going forward, our most successful efforts will take us into new products and services we not yet even have imagined. Experimentation, rapid trial and error, agile discarding of errors and nimble adoption of successes is the ONLY way forward. There will be no end to these cycles going forward.
- In a world of inevitable and rapid change, it is not information that matters but how the information is accessed and applied.
- No one can create the core but the company itself: the core is too tightly tied and critical to the vision and mission. Only Google could have built its search engine and its advertising infrastructure. Only Amazon could have built its e-commerce business and AWS. And only Tencent could have built its QQ platform and WeChat platform, from which it was able to build its online businesses including games, music, shopping, movies, payment, and cloud.
- The true goal of data is to reveal trends, to enable businesspeople to learn and to make quick, educated, data-driven decisions that have a real impact on the business.
- The most successful market-oriented ecosystems anticipate customers' needs in any of the following ways: seeing their customer's customers; sharing customers across cells and partners; having deep data on customers to anticipate their buying patterns; and being a customer.
- A leader's learning agility, i.e., ability to learn fast, is a key indicator of effective leadership.
- Defining the right culture requires clarifying four concepts: purpose, values, brand, and culture.
- A company's market reputation is its external identity as perceived by its best customers. Amazon wants to be known for its customer obsession, Google for its technological innovation, Facebook for its product, and Supercell for its outstanding games that endure over time. For these reputations to become real, every member of the ecosystem needs to think, act, and feel in ways that broadcast the desired culture. Culture is the greatest brand carrier, and it plays out in every customer interaction.
- Curiosity is an event and creativity is a sustained process. Curiosity leads to creativity, which leads to innovation.
- Executives in so-called legacy companies have to fight against long-standing assumptions to build something new, and leaders of newer companies have to ensure that even their young organizations remain relevant.

The authors share some suggestions to help you increase your chances of successful organizational reinvention. Make sure the right leaders are in place. Look for leaders who are adept at and eager to change and who have a track record of successfully delivering results. If you currently don't have the right leaders in place, promote rising stars from below and hire experienced leaders from the outside. Start small, and find early wins. Select a pilot site that has the highest chance of success. This step means managing duality, because the legacy business may operate with traditional management processes while the pilot business embeds market-oriented ecosystem principles and practices. By running pilots that are likely to succeed, you breed confidence and a virtuous cycle of further success. Develop an organizational prototype that works and that you can replicate in other parts of your organization. An ideal site must have the right leaders; embrace the market disruptions that demand a company's immediate reinvention; and be able to develop a small ecosystem with platform, cells, and allies. Grant your leaders the power to change, and inspire them to be courageous. Give them leeway to innovate in both organizational form and governance mechanisms. Offer them an appropriate blend of accountability, authority, and reward for shouldering responsibility and responding with agility. Allow them to experiment, fail, learn, and move forward. Foster a commitment to a growth mindset as Nadella is doing at Microsoft. See failures as opportunities to learn. Keep iterating to discover tools or models that work for you. Be patient as organizational reinvention takes time to see results.

What is the Recommendation?

This book deals with strategy, leadership, human resources (HR), and organizational development (OD). It helps reinvent organizations as per the changing times and technologies to build agile organizations globally. It helps leaders and CEOs to keep pace with technological changes. It encourages entrepreneurs especially millennials to explore and experiment technology-based businesses. The organizational models outlined in this book are useful not only for internet and high-tech firms but also for other sectors especially in the new era of digital and technological empowerment. It is written in a conversational tone. Each word in this book is a pearl. The ideas and insights on Strategy, HR, and OD and are well-punched. It is an inspiring book with striking stories and shocking research findings illustrating with examples of Amazon, Facebook, Google, Alibaba, Huawei, Supercell, and Tencent.

This book is the need of the hour in the current global business environment. It inspires you to break conventional thinking about what your organization — young or old — can do. You get the best of the best pieces of advice, ideas, and insights from this book. It is one of the best leadership books I have ever read. It is useful for all those in strategy, HR, OD and consulting. You can gift this book to your friends and they will thank you forever for your kind gesture. I highly recommend this book for a deserved place on your leadership bookshelf.

"Yeung and Ulrich bring rich observations and clear advice on the radical changes in organization and work design, governance, and leadership style needed to thrive in the digital era."

—Diane Gherson, *Chief Human Resources Officer, IBM*

References

https://www.amazon.com/Reinventing-Organization-Companies-Radically-Fast-Changing/ dp/1633697703
Reinventing the Organization: How Companies Can Deliver Radically Greater Value in Fast-Changing Markets by Arthur Yeung and Dave Ulrich (Harvard Business Review Press, September 24, 2019).
Hardcover: 336 pages
Publisher: Harvard Business Review Press (September 24, 2019)
Language: English
ISBN-10: 1633697703
ISBN-13: 978-1633697706

About the Author

Professor M.S. Rao, Ph.D. is the Father of "Soft Leadership" and Founder of MSR Leadership Consultants, India. He is an International Leadership Guru with 38 years of experience and the author of over 45 books including the award-winning *'21 Success Sutras for CEOs'* URL: http://www.com/21-Suc cess-Sutras-Ceos-Rao/dp/162865290X. He is a C-Suite advisor and a sought-after keynote speaker globally. He brings a strategic eye and long-range vision given his multifaceted professional experience including military, teaching, training, research, consultancy, and philosophy. He is passionate about serving and making a difference in the lives of others. He trains a new generation of leaders through leadership education and publications. His vision is to build one million students as global leaders by 2030 URL: http://professormsraovision2030.blogspot.in/2014/12/professor-m-s-raos-vision-2030-one_31.html. He advocates gender equality globally (#HeForShe). He was honored as an upcoming International Leadership Guru by Global Gurus URL: https:// globalgurus.org/upcoming-leadership-gurus/. He coined an innovative teaching tool — Meka's Method*;* leadership training tool — 11E Leadership Grid; and leadership learning tool — Soft Leadership Grid. He invests his time in authoring books and blogging on executive education, learning, and leadership. Most of his work is available free of charge on his four blogs including http://professorms raovision2030.blogspot.com. He is a prolific author and a dynamic, en,ergetic and inspirational leadership speaker. He can be reached at msrlctrg@gmail.com.

Leadership in the Sixth Mass Extinction

-Elizabeth F. R. Gingerich

Introduction

The "6th Mass Extinction" was once described by the late U.S. Representative from Arizona, Mo Udall, as follows: "The more we exploit nature, the more our options are reduced, until we only have one: to fight for survival" (Federal Impediments, 2014). Unfortunately, humanity has already arrived at the tipping point where such action is now vital. The only path forward is to fight for the future of the human species — by salvaging and restoring ecosystems and the environment upon which the human race is reliant and intertwined. Scientific data supporting the onset of a sixth mass extinction continues to build. The root causes may be multifaceted but all share the common link: human or anthropogenic activity. Human extinction will be the inevitable outcome of decimated ecosystems and of unchecked population growth and consumption. Where is the leadership to guide humanity from this seemingly ineluctable abyss?

Anthropogenic Forces Driving the Sixth Extinction

An "extinction event" is scientifically defined as a widespread and rapid decrease in Earth's biodiversity. Over the last 500 million years, life has had to recover from five distinct catastrophic extinctions when more than 75% of species was extinguished. But unlike the causes for the first four which were primarily attributed to shifting levels of the Earth's carbon cycle largely caused by volcanic eruptions – the fifth mass extinction, known as the Cretaceous-Paleogene extinction, is regarded as an anomaly. This extinction – occurring over 66 million years ago – has been famously classified as the one obliteration caused by an asteroid collision, decimating the dinosaur population in the process (*Cosmos*, 2019).

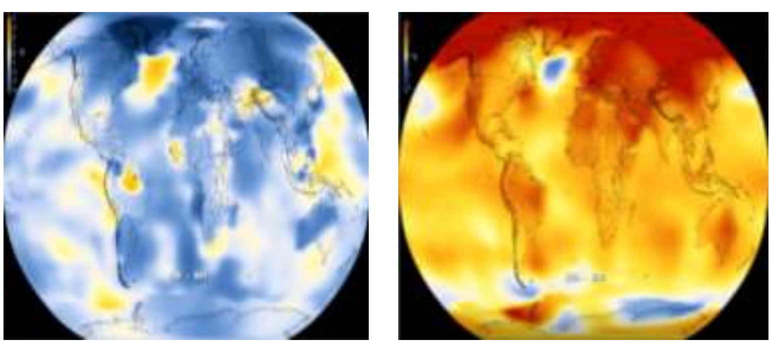
For millions of years, life on earth has been altered as a result of these five distinct mass extinction periods. Currently, the planet is in the sixth mass extinction, formally titled the Holocene or Anthropocene extinction. This is an era of ongoing change – all fueled by human activity – and broadly characterized with the extinction of plants and animals and the degradation of biodiverse habitats such as rainforests and coral reefs as previously described – all driven by manmade climate change and the overhunting of species.

There is no land mass today nor ocean immune from serious loss of biodiversity. Such widespread loss of habitat is also threatening human existence as agricultural practices continue to strip aquifers of their normal flow and inject pesticide residues into the soil compromising otherwise potable water. “Food production accounts for one-third of greenhouse gas emissions and roughly for 70% of worldwide water use” (Razis, 2010). Although extreme conservation efforts are required to curb this decline in resources, the window of time within which to act has substantially narrowed and future palliative efforts may prove ineffectual (Ceballos et al., 2019).

Other human activities negatively impacting the environment include human population growth, rising per capita consumption rated (the U.S. still leads the world in per person consumption levels and associated carbon emissions although China is the top carbon emitter) meat intake, deforestation, decline in amphibian populations, overfishing, and ocean acidification. The 2019 ISPBES (Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services) *Global Assessment Report on Biodiversity and Ecosystem Services*, posits that approximately one million species of plants and animals face extinction as a result of human interference.

The alterations Earth has been enduring are unprecedented. Human activity is both a direct cause seen from deforestation and resource consumption, as well as indirect due to human’s impact on climate change (Karlis, 2019). In addition to the exploitation and decimation of biodiversity and the environment, an accelerated rate of human population it is also observed that does not equate with available resources to support it. “Our biologically reproductive success and Western consumer societies led to environmental disruption. We are almost seven billion on earth and continue to increase by around 80 million a year (we were 3.7 billion in 1970)” (Razis, 2010).

According to the International Union for Conservation of Nature (IUCN), a non-governmental organization which maintains a list of threatened and extinct species, this current era of mass extinction is unparalleled since the dinosaurs were eliminated over 66 million years ago. Today, extinction affects about 41 percent of all amphibian species and 26 percent of all mammals and is demarcated by habitat loss, exploitative agricultural practices, the overwhelming insertion of invasive organisms, pollution, desertifi-cation of forested areas, acidification of ocean waters, and climate change (IUCN - 2019). The IUCN has predicted that 99.9% of critically endangered species and 67% of endangered species will be lost – as early as within the next 100 years.



1880-2018: https://climate.nasa.gov/climate_resources/139/graphic-global-warming-from-1880-to-2018/. Since 1912, the Earth has experienced a 1 degree rise. Climate scientists predict another 3-5 degree hike before the end of the century.

Presently, all indicators point

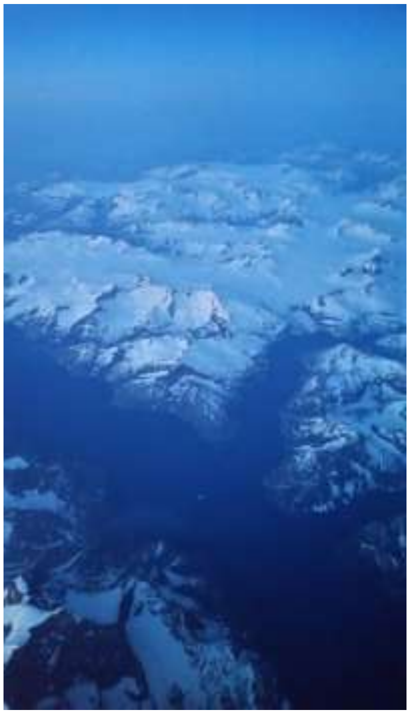
to the presence of a sixth mass extinction. Several human impact factors underscore this conclusion:

- Every year, more than 18 million acres of forest disappear worldwide – the equivalent of 27 soccer fields every minute – mostly through manmade clearing activities. In addition to putting animals at risk, deforestation eliminates tree cover that helps absorb atmospheric carbon dioxide. In 2018 alone, nearly thirty million acres of tropical forest were lost — an area the size of Pennsylvania (*Phys.org.*, 2019).
- Human's burning of fossil fuels to satisfy energy needs have increased the trapping of greenhouse gases in the atmosphere. For land dwellers, the planet's dangerously hotter future has already occurred. Earth's land masses have already warmed more than 1.5 degrees Celsius (2.7 degrees Fahrenheit) since the Industrial Revolution. And as land warms twice as quickly, devastating agricultural impacts are abundant, especially as the world's population increases. Farms filling the void formerly occupied by forests are emitting approximately a quarter of global greenhouse gases annually, "including 13 percent of carbon dioxide and 44 percent of the super-warming but short-lived pollutant methane" (IPCC, 2019).
- Humans have accelerated the introduction and eventual permeation – both intentionally and inadvertently - alien species (a term used to denote any kind of animal, plant, fungus, or bacteria incongruous to an ecosystem. Alien species are recognized as a primary driver of present-day animal and plant extinctions (Blackburn, et al., 2019).

For the last quarter of a century, nation-states have been meeting at various places in the world to discuss the role that climate change has wrecked upon the planet and formed allegiances to counteract the destructive forces. Currently, the Conference of Parties (COP) 25 has just wrapped up in its host city of Madrid. Each year the COP offers a global platform whereby the latest scientific findings on climate change and national strategies on greenhouse gas control are shared and critiqued. Although participating nation-states – with the glaring exception of the United States – have done well to define the problem, in terms of performance, 2019 regrettably experienced an increase of 1% in CO2 emissions worldwide. The proceedings featured several notable reports on climate change including a comprehensive analysis on planetary survival in the face of global warming released earlier in 2019 by the ISPBES. Sir Robert Watson, IPBES Chair, warned:

> *The overwhelming evidence of the IPBES Global Assessment, from a wide range of different fields of knowledge, presents an ominous picture. The health of ecosystems on which we and all other species depend is deteriorating more rapidly than ever. We are eroding the very foundations of our economies, livelihoods, food security, health and quality of life worldwide … Through 'transformative change,' nature can still be conserved, restored, and used sustainably – this is also key to meeting most other global goals. By transformative change, we mean a fundamental, system-wide reorganization across technological, economic and social factors, including paradigms, goals and values* (Karlis, 2019).

Further, these events have initiated "a mass extinction episode unparalleled for 65 million years" (Ceballos et al., 2019). Half a million land species "'have insufficient habitat for long-term survival, are committed to extinction, many within decades, unless their habitats are restored" and one million are currently facing extinction (Karlis, 2019). At the current rate, the benefits humans cultivate from the world biodiversity could be permanently lost in as little as three human lifetimes, as such effects have seen to take thousands, even millions, of years restore as studied from past extinctions (Ceballos et al., 2019).



July, 2018. New fjords forming from ice melt on Eastern Coast of Greenland. Aerial photo provided by author

Telltale Indicators of Earth's Decline

On December 11, 2019, the *New York Times* reported that temperatures in the Arctic region remained near historic highs as examined by the National Oceanic and Atmospheric Administration (NOAA). And on Greenland, the largest island in the world, spanning from the northern Atlantic into the Arctic, the erosion of its ice masses has major implications for future flooding which may, in turn, alter coastlines and force whole communities to move inland. The IPCC reported in 2019 that since 2003, 3.5 trillion tons of ice has melted, carving new fjords to channel runoff. The IPCC further indicated that the melting of the Greenland ice sheet during 2019 was the seventh-highest since 1978, with the remaining record years all occurring after 2000. In 2019 alone, the ice sheet experienced a seasonal melt of 10.9 million square miles. The rapid melting of Greenland's ice sheet demonstrates some of the irreversible impacts of the climate change and could likely portend a threat of annual flooding to over 400 million people (IPCC, 2019).

In September 2019, the world was horrified to witness mass logging, intentional fires, and the further encroachment into the Amazon rainforest – the "Lungs of the World" – live- streamed via satellite and ground camera. The rate of deforestation has increased exponentially since the installment of Brazilian ultra-Conservative, Jair Bolsinaro. According to the World Wildlife Fund (WWF), approximately 80% of the world's plant species is ensconced here yet roughly 17% of the rainforest has been

Amazon Rainforest burning and clearing, 2019. Courtesy, Deutsche Welle

destroyed in the past five decades, mostly because humans have removed vegetation to open land for cattle ranching and new soybean fields – an extinction event (WWF Climate Report, 2019).

The burning of fossil fuels like coal and oil has increased the concentration of atmospheric carbon dioxide (CO_2), trapping heat and raising ground and water temperatures. As oceans absorb 93% of the extra heat that these greenhouse gases trap within the Earth's atmosphere, marine species are killed and coral reefs bleached. This atmospheric annihilation has extended to land-based life forms as well. In fact, the immediate situation is impacting global fauna and driving animal populations to drop in unprecedented numbers (Kluger, 2014). Of the warming planet, the ISPBES classifies the rapid decline in biodiversity overall as "grim," stating that currently about a million species are now facing extinction … "many within decades. …What's at stake is a livable world." The findings include the conclusion that habitat destruction and overfishing are, for now, the main causes of biodiversity declines, according to the ISPBES, but climate change is emerging as a "direct driver" and is "increasingly exacerbating the impact of other drivers" (ISPBES, 2019). The ISPBES and other noted scientists have put forth several primary indicators of planetary decline:

- Ninety percent of flowering plants and seventy-five percent of all types of food crops rely on pollination by animals, including insects, birds, and bats — and all are currently threatened with extinction. The forecast is that these critical pollinators may be entirely killed off within the century (ISPBES, 2019).
- In 2018, carbon dioxide emissions from the energy sector rose to a new high of thirty-six billion tons (Kolbert, 2019).
- During the past fifty years, the planet's human population has doubled and the size of the global economy has quadrupled – threatening further exploitation of natural resources and accentuating the deleterious effects of greenhouse gas production (Kolbert, 2019).

Climate scientists warn that "if all species currently designated as critically endangered, endangered, or vulnerable go extinct in the next century, and if that rate of extinction continues without slowing down, we could approach the level of a mass extinction in as soon as 240 to 540 years" (Greshko, 2019).

In addition to scientific community and government reporting administrations, businesses worldwide are noting the rapid rise of environmental impact, threatening both livelihoods and economies. *Business Insider*, relying upon a recent United Nations report, has succinctly identified its own primary human-driven indicators defining the present era of environmental degradation carbon-dioxide emissions, deforestation, and mining. Asa result of these activities, the business consensus is that:

- global fauna has experienced a major collapse in numbers.
- Insects – many pollinators and food for other species - are perishing at record rates.

- Invasive aliens – often introduced by human inadvertent or intentional placement – are driving native species from their usual environments.
- Animal species are undergoing a biological annihilation.
- Up to 1 million species are currently threatened with total extinction (Woodward, 2019).

Ostensibly, the elimination of even one species could additionally precipitate a domino effect of extinction throughout an entire ecosystem. Elizabeth Kolbert, in *The Sixth Extinction*, opines that approximately 75% of animal species could be extinct within just a few human lifetimes. And in roughly 50 years, 1,700 species of amphibians, birds, and mammals will inevitably face a higher risk of extinction as a result of steadily disappearing natural habitats.

Query

According to US intellectual, political activist, linguist, and author Noam Chomsky, what took millions of years to rebuild and replenish on Earth from prior mass extinctions has only taken mankind several hundred years to destroy (Chomsky, *Democrary Now!,* 2019). And as he has repeated throughout the decades – true today more than ever - it remains the obligation of intellectuals to speak the truth and to expose lies, especially in western democracies where access to research is so readily available. Invariably, then, as non-fossil fuel company retained scientists agree, the planet is in the throes of a manmade extinction species which not only warrants immediate attention, but demands a call to decisive action.

With so much at stake, then, humanity needs to address species extirpation and global decimation without delay. This will invariably require competent and targeted leadership from regional governments, nation-states, and perhaps most importantly, from ordinary persons. Identification of these persons may not be so difficult.

The “Eve” Factor: Female Leadership in the Time of Climate Crisis

A Sampling of Countries, Regions, and Organizations – and Their Leaders

Tackling climate change commands the interest of all and the leadership of a few who have the means to reconfigurate energy policy. The disproportionate impact of climate change on vulnerable populations and women throughout the world, the disparate health and wellbeing consequences of traditional fossil fuel-based energy, environmental racism, and general inequities in access to renewable energy are all factors considered under a global energy justice framework. In the face of the existential threat of a mass extinction driven by global warming, a number of leaders have emerged worldwide, all sharing the goal of reducing reliance on fossil fuels to effectively address many of these energy justice concerns (Allen et al., 2019). And many of these leaders are women.

As women assume an increasing number of leadership roles throughout the world, an analysis of women’s contributions to the energy sector is critically vital, especially in light

Kristalina Georgieva World Bank/Grant Ellis

Christine Lagarde, Courtesy, IMF.org

of the fact that the renewable energy sector has more female representation (32%) than the traditional field of oil and gas (22%) (Garcia, 2019). Several examples of new world leaders include newly-installed Managing Director (MD) and Chairwoman of the International Monetary Fund (IMF), Bulgarian Economist Kristalina Georgieva and her predecessor and newly-appointed President of the European Central Bank (ECB), Christine Lagarde. Both women have expressed their individual commitments in playing a major role in fighting climate change by adjusting monetary policy frameworks accordingly. Speaking at the COP25, Georgieva admonished: "Now is the time to concentrate on action …. Climate change is an existential threat. It is a risk that we all have to take very seriously because from the perspective of an institution that deals with economic matters, it can push back development. We have seen that repeatedly over recent years" (COP25 Proceedings, https://unfccc.int/event/cop-25, 2019).

Ursula von der Leyen, Courtesy, European Parliament

Although the environmental movement has been historically grassroots in nature, leaders are frequently extracted from government and business sectors – many of whom are females. *Fortune* reports that already in 2019, the number of female CEOs had risen to a record 33 in the Fortune 500 (still only 6%) (Zillman, 2019), but that recently a female was appointed to head the European Commission (EC) who shares the urgency of addressing the worldwide ravages of global warming. Although the EC, as a collective entity, appears to be on track to meet the Paris Agreement goals and the 2030 carbon-reduction targets, reaching climate neutrality in 2050 requires that innovating countries and regions must step up. To this end, Ursula von der Leyen, newly-installed EC president, has pledged to put forth a "European Green Deal" to achieve the full transition away from a fossil fuels-based economy and attain the goal of making the EU a climate-neutral economy by 2050. Under her tutelage, a sustainable plan has been announced that would ensure 1 trillion euros of investments over the next decade through a European "Climate Bank" part of the plan to help finance these targets.

Prime Minister Sanna Marin Photo: Jari Niemelä

And in the political world, the number of female government heads has multipled, with a new leader elected to the office of Prime Minister of Finland in just these last few days: Social Democrat Sanna Marin, the youngest prime minister ever in the world, elected at 34 years of age. In her Brussels address on December 13, 2019, the new PM said that she was glad "to make a common decision that Europe would become carbon nuetral by 2050"… but while "it is a major step forward it is not the end" [as] "our children, the new generation are expecting us to move on the climate issue faster" (Marin Address, 2019).

And then there was Greta.

Greta Thunberg, 28 May 2019
Courtesy, Austrian World Summit Climate

Greta Thunberg, the Swedish 16-year-old leader of the modern-day environmental movement, who has mobilized millions to fight climate change while condemning leaders' inaction, was chosen on December 11, 2019 as *Time*'s Person of the Year — the magazine's youngest recipient. While she attained the status of international icon, the fact remains that not much has changed to counteract the forces of global warming as the trajectory of global emissions is still heading in a wayward direction. As Thunberg doggedly reminds us all: "The changes required are still nowhere in sight. The politics needed does not exist today, despite what you hear from world leaders … I still believe the biggest danger is not inaction. The real danger is when politicians and CEOs make it look like real action is happening, when in fact, almost nothing is being done, apart from clever accounting and creative PR." (Dennis, 2019) Greta doggedly called out world leaders at the recently concluded COP 25 in Madrid with respect to climate activism which falls short of being effectual in any meaningful way. And the world appears to be paying attention to this teenage phenomenon.

There are, however, global leaders whose governments and energy-related policies stand out for broader examination and possibly paths to be emulated. Several – all with female leaders – will next be examined.

Iceland

Iceland is a case on point. Historically, the country has been known for three distinctive features: centuries of female

Author-supplied photographs, July 18, 2018. (Top, left clockwise: Gullfoss Falls, Haukadalur Geysir, Hellisheidi Geothermal Power Station)

governance, ample renewable energy resources (primarily in the geothermal and hydroelectricity sectors – largely due to tectonic plate activity), and its maritime produce.

From top: Building cranes in downtown Reykjavik; renewable-energy electric vehicle charging stations; Offices of the Icelandic Prime Minister. All photos supplied by author, July 16, 2018.

In July, 2018, the author had the occasion to conduct interviews in various government offices, including the Deputy Ambassador of Iceland to the U.S. Hreinn Pálsson in Washington, D.C., various Ministers' offices in the capital city of Reykjavik, business operators, cab drivers, wharf workers, foreign tourists, university students, and business operators throughout the island.

Boasting a population of 350,000 (adding 3 sheep per resident as per Rekjavik airport brochure levity), the country generates majority of its energy needs without fossil fuels – with the exception of the transportation sector. The government is attempting to emphasize the importance of electric vehicles by supplying, usually in back of many government and commercial buildings, renewable-energy generated charging stations. And nearby foreign entities crave this clean-energy capacity, desiring the installation of an underground cables to link foreign plants, diverting its flow and/or erecting its business operations on the island to directly partake of this advantage. Yet the local citizenry is skeptical – even anathema to undertake foreign ventures that could possibly undermine the country's energy independence.

Iceland is currently experiencing record tourism levels – despite the abrupt end to WOW discount airlines in the fall of 2019 – and the construction industry is booming – despite the absence of widespread forests on the island. Under the leadership of Prime Minister Katrín Jakobsdóttir, member of the Left-Green Movement, the country remains entirely dependent on renewable energy sources – with the exception of the Transport sector. It is the tapping into these resources that allows warm water to supply all of the country's heating needs as its underground piping provides insulation to buildings and residences and automatically melts the snow and ice accumulating on the roadways, without the need for frequent snowplowing and saltings.

But Jakobsdóttir and her administration are under fire, however, for the rising amount of CO2 emissions spawned by the rising rate of tourism and intrusion of foreign capital. Of over 72 interviews conducted in late July of 2018, there was a mixed view of foreign activity within the country, with several residents often blaming the Prime Minister for accepting too much foreign capital too quickly, the resultant crowded streets, and rising amount of pollution. However, confidence in female leadership appeared indomitable, with several echoing the conclusion that "This is a normal trend to have females in power – beginning with the Viking days when women took the mantle of leadership as men fought sea battles." Female leadership is more of coincidence than calculation," others opined. And Deputy Ambassador Pálsson echoed the common understanding that "As to female leadership throughout history – it prevailed during times when Vikings were at sea and it simply does not make sense to exclude half the potential workforce in any way."

With respect to climate change, students at both Reykjavik University and the University of Iceland, appear to be embracing the trend of veganism and vegetarianism as a means to help reduce greenhouse gas emissions. And the national government has also moved to acknowledge changes in agricultural methods to better address the exigencies of the climate crisis. Geothermally-powered greenhouses are sprouting up all over the lava rock-strewn landscape, producing new strains of fruits and vegetables, including tomatoes, bananas, potatoes, and even strawberries - all occurring under Prime Minister Jakobsdóttir's governance. Using natural resources in this way makes sense with the country's continual tectonic plate activity and an advantageous proximity to magma. As one foreign office staffer noted: "If we were Texas with oil deposits, we probably would be heading in that direction instead. But we are fortunate to have these cleaner natural gifts."

Katrín Jakobsdóttir, Icelandic Prime Minister, Courtesy, Johannes Jansson/norden.org

Under the Jakobsdóttir government, climate-change fighting strategies have been fully supported, especially as the island witnesses the disappearance of its glaciers (even though tourist activity – aided by carbon-burning sightseeing planes and vehicles – remain largely unchecked). Regional scientists have recently discovered a new carbon sequestration method. Dubbed a potential solution to the global climate crisis, scientists are implementing new technologies designed to capture carbon emissions from the atmosphere and inject them into basalt deposits for permanent storage.

Natural beauty and renewable energy resources remain a double-edged sword for the island as they continue to invite tourists and more foreign capital. Several government representatives stated with respect to this situation that while many citizens welcome the additional business, there was a growing public consensus to protect what they have. On the topic of a steadily increasing foreign presence partaking of the island's clean energy resources Deputy Ambassador Pálsson adds: "They want what we have and there is a growing movement to prevent this." More foreign capital and more tourists generate more ground litter (and only paper is currently being recycled on the island) and produce more carbon emissions resulting in environmental degradation. But when tourism accounts for more than 8% of the nation's GDP and foreign presence generates steady economic growth, perhaps this government leader may prove to be susceptible to endangering long-term sustainable growth (Young et al, 2019). Oftentimes flourishing economies and the promise of greater wealth tend to compromise an otherwise dedicated vision of clean energy policies.

It is important to mention another female Icelander known for championing the protection of natural resources. In this instance, the scope of that protection extended to even beyond the use of renewable power.

Bronze bust of Sigríður Tómasdóttir at Gullfoss Falls. Photo supplied by author, July 2018.

Sigríður Tómasdóttir (1874 - 1957) was one of the first native environmentalists whose activism helped preserve the oft-visited Gullfoss Falls, protecting it from the designs of the Industrial Revolution. Specifically, in 1907, her father entered into an agreement to allow for the construction of a hydroelectric dam close to the base. Tómasdóttir took legal action against this proposed development. While unsuccessful within the legal system, the cause gained widespread public support, securing the original objection of permanent preservation (Sittig, 2012).

British Columbia

Photo: Glacier Media. Mary Polak (left), with former premier Christy Clark, 2013

British Columbia, the westernmost province of Canada, has been touted as a global model for promoting economic development while safeguarding natural capital in part through carbon pricing. It boasts 100% clean electricity generation, primarily through hydropower. It is satisfying provincial energy needs – with the exception of the transportation sector – through clean renewables while backing technological innovation to further reduce the emission of greenhouse gases (World Bank Group, 2019). The provincial carbon tax has remained in place through the terms of several provincial premiers. In 2011, Christy Clark, a member of British Columbia's Liberal Party, was elected to the office of provincial leader. Five years later, the author had the opportunity to interview a member of her executive cabinet, Minister of Environment, Mary Polack, now serving in

Part of BC's vast interconnected waterways. Photo: author supplied, 2016.

the Legislative Assembly of British Columbia. It was at the time in May of 2016 that "The Beast" (the largest fire in Canadian history) was burning out of control throughout Alberta, an area that had been previously devasted by drought and high temperatures *(full interview at JVBL Summer/Fall 2016*).

Like Iceland, this territory is heavily reliant on its natural resources which have, in turn, sustained a steady stream of foreign tourism and provided for the bulk of its energy needs. British Columbia is also heavily reliant upon its fisheries and exports of seafood, electricity, and entertainment. With its mountainous topography and coastal and inner waterway systems, more than 97% of British Columbia's residential and commercial energy needs are met with hydroelectricity. This inexpensive and largely clean source of energy is supplemented by solar, wind, geothermal, and most recently, marine shore power.

The World Bank continues to identify British Columbia as an example of a region which uses its political leadership and ecological capital to fashion a state characterized by innovation and conservation. In effect, it has become a global leader in combatting climate change and was propelled to this position during the consecutive terms of Clark and her ministers (World Bank Group. 2019). The province's revenue-neutral, carbon tax was first introduced in 2008 and is seen as a formidable response to climate change drivers which include specific identifiable factors directly impacting the province's physical and biological systems:

Port of Vancouver, British Columbia. Photo: author supplied, May 2016

- Average annual temperatures have warmed by between 0.5-1.7 degrees Celsius in different regions of the province during the 20th century. In fact, parts of British Columbia have been warming at a rate more than twice the global average.
- Over the last 50 - 100 years, B.C. has lost up to 50 % of its snow pack, and total annual precipitation has increased by about 20 %.
- Warmer winters have resulted in the mountain pine beetle, which has destroyed an area of pine forest equivalent to four times the size of Vancouver Island.
- Communities have been experiencing longer summer droughts as weather patterns grow increasingly erratic.
- Sea levels are expected to rise up to 30 cm on the north coast of British Columbia and up to 50 cm on the north Yukon coast by 2050, threatening coastal port infrastructure.
- Glacier reduction could affect the flow of rivers, impacting tourism, hydroelectric power, and fish habitat.

With respect to the impact of rising sea levels and the threat posed to the province, Minister Polak stated in her 2016 interview that:

> *One of the biggest challenges we have in British Columbia with respect to adaptation is that with so many heavily populated, low-lying areas, we have lots of infrastructure at risk with rising sea levels. We don't have that. If you compare what is available for British Columbia and our coastline — if we were a nation — we would have the 8th longest coastline in the world. Last year our electricity was 97.9% produced hydro. Well it's a mix. It's mainly large hydro. Right now, our mix is about 25% of that is small hydro, in other words, run-of-river, wind, and to a lesser extent, solar. … We trade in electricity, yes. … But we also have to think of the things we haven't solved yet. Right? There are question marks or things that we haven't yet resolved and some of that is how people think of oil as simply powering our cars, powering the industry. But the petro-chemical industry and the petroleum industry [are also involved]… .The largest single driver of emissions is Transportation. Second to that is the Built Environment. (JVBL 2016).*

In an effort to boost its economy while combatting climate change, the provincial government officially launched its carbon tax – now 11 years old – on July 1, 2008. This graduated tax has allowed both homeowners and commercial enterprises to reduce emissions while incentivizing the adoption of cleaner energy use and development. As a revenue-neutral tax, all monies generated by the tax are returned to the citizens of the province through credits and/or a proportionate reduction in other taxes.

But despite the government's many environmentally-friendly programs and taxing policies, there are — both in existence and still under consideration — pipeline projects, designed generally to transport high-carbon materials including tar sands from Alberta through British Columbia for further shipment abroad. The inability to curtail the continued trade in fossil fuels has generated selected condemnation of Canada overall for failing to lead in the battle against climate change. And as the former Environment Minister attempted to regulated oil pipelines and landfills during her term, now there has been somewhat of a backlash, leading to formal litigation. In early 2019, a British Columbia Supreme Court judge ruled that a lawsuit alleging wrongful exercise of lawful authority involving the contentious cancellation of a permit allowing a particular quarry to accept contaminated materials could proceed (Hainsworth, 2019). How determinative carbon regulation fares as an endeavor to be emulated by other regions is still being determined today.

First Minister of Scotland, Nicola Sturgeon. Courtesy, Kenneth Halley, https://commons.wikimedia.org/wiki/ File:Nicola_Sturgeon_SNP leader.jpg

Scotland

In April 2019, First Minister Nicola Sturgeon, first female leader of the Scottish National Party (SNP), publicly pledged to step up regional efforts to combat accelerated carbon emissions and worsening global warming, proclaiming that "Scotland will lead by example. … I am making this public promise to the young people I met, and to their entire generation … If that advice says we can go further or go faster, we will do so" (Carrell 2019).

As a noted pro-Scottish independence and anti-Brexit advocate, Sturgeon recognizes that the "climate emergency" warrants decisive and immediate action. Presently, Scotland's own carbon dioxide emissions are irrevocably causing sea levels to rise, which could have a negative impact on Scotland's prospects for ultimately achieving independence. Under her charge, a wide range of announcements have been disseminated to the citizens of Scotland, promising a cash and policy boost for green transport, heating, finance, aviation, and carbon-reducing technological skills works to "consolidate Scotland's reputation" (Dickie, 2019). That reputation of climate change leadership has been continuously honed over the last several decades, especially since the mid-2000s with the passage of the *Climate Change Act* which was amended and strengthened in target and reach in 2019 with the introduction of *Emissions Reduction Targets (ERT) Act*. The ERT was unanimously passed by the Parliament on September 25, 2019, and received royal assent by the next month. Scotland now has a legally binding target to reach net-zero greenhouse gas emissions by 2045 and commits Scotland to interim emission reduction targets of 75% by 2030 and 90% by 2040 – the most ambitious statutory targets in the world for these target dates (Dickie, 2019).

Additionally, under the Sturgeon government, the region's current Climate Change Plan (2018-2032) sets forth specific goals to continue to reduce emissions – in addition to its recent complete ban on fracking:

- Scotland's electricity system, already largely decarbonized, will be increasingly important as a power source for heat and transport as well.
- Scotland's buildings will be better insulated and will increasingly be heated and cooled by low-carbon technologies.
- Scotland will have phased out the need to purchase combustion-based cars and vans and will implement low-emission zones in Scotland's largest cities.
- Landfilling of biodegradable municipal waste will terminate as a greater amount of Scotland's food waste will be recycled.
- Scotland's woodland cover will be intentionally broadened and its agriculture sector will be among the lowest carbon and most efficient food production systems in the world (*Keep Scotland Beautiful*, 2019).

Photo: Scotrenewables Tidal Power. This SR2000 turbine is said to have generated more green energy than Scotland's entire tidal power facilities.

The production of renewable energy in Scotland is deemed as extraordinary by EU and even global standards. Its panoply of resources includes wind, wave, and tidal power. in 2018, Scotland's renewables comprised 74% of gross electricity consumption and by the beginning of 2019, the region produced 11.0 gigawatts (GW) of installed renewable electricity capacity. Its excess production has led to an export commodity (*Independent*, 2019).

Although Scotland is not known for its sunny skies, the amount of energy harnessed through solar power is set to increase. Scottish Power has recently announced that it planned to use "hybrid technology" by adding solar to the renewable resource array. Additionally, the Scottish Government has led the way in the prohibition of single-use plastics – including drinking straws – which will be banned by end of 2019. Scotland was also the first to charge for plastic bags in supermarkets, effectively making their recycling rate among the highest in Europe. It has even used some of the recovered plastic to construct a full-functioning bridge (*BBC*, 2019).

Global leadership in battling climate change under the First Minister continues to draw acclaim. In early December 2019, the Scottish government officially made tackling climate change the "centrepiece" of its energy program for 2020, with plans to promote low-carbon aircraft, trains, ferries, and buses as well as communal heating systems. Establishing her Scottish National Party government's priorities – which remain unchanged even after the Conservative Party victories throughout the U.K. on December 12, 2019 – Sturgeon has reiterated her demand to the British government to hold another referendum on independence (*BBC*, 2019).

The SNP leader in April of 2019 declared a "climate emergency" – with her government braced to secure a range of pledges to curb emissions of greenhouse gases. Official support for the oil and gas sector in the North Sea would now be considered "conditional" on a willingness to transition to sustainable energy. Sturgeon has fortified this mission by announcing that a new Scottish National investment bank, scheduled to begin operations in 2020, would spend at least £2bn over the next decade for the "primary mission [of] securing the transition to a net zero [CO2] economy." Furthermore, a "trial of low emission flights is due to begin in Scotland in 2021, with the aim that all flights between airports within the country will no longer use fossil fuels by 2040. To further reduce emissions from transport, all Scotland's rail services are intended to be carbon neutral by 2035. From 2024, all new-build homes would have to be heated from renewable or low carbon sources" (*BBC*, 2019).

In an interview with the author in July of 2018, Policy Director Erin Wood of the Energy and Climate Change Directorate for the Sturgeon government, commented on the intersection of female leadership and the climate change crisis:

> *Since her [Sturgeon's] election in the Scottish Parliament in 2014, for the past two terms our First Minister has supported renewables domestically through the 2020 Routemap for Renewable Energy in Scotland (updated in 2015), UN Sustainable Energy For All – Scotland's Contribution (published in 2015), the Scottish Energy Strategy (championing Scotland's renewable energy potential, published in 2017), the Programme for Government 2017-18 (emphasising the decarbonisation of Scotland's economy), and the third Climate Change Plan (focusing on emissions reductions between 2018-2032, published in 2018).*

Sturgeon also “supports the UK Government in shared renewables objectives and contributes to influencing the outcome of EU negotiations, legislation and implementation regarding energy and renewables issues.” And with respect to support of the Paris Climate change Accord, “Scotland is actively committed to the Paris Agreement, and reports on emissions data annually rather than the proposed 5-year period, and has outlined ambitious targets for curbing global temperature increases by 2050.”

Concerning the role of women in the face of this existential climate threat, the Sturgeon spokesperson pointed out that it is widely:

> *“…recognised that gender is a significant issue in relation to climate change which will disproportionately affect women, particularly in developing countries, and therefore increased gender equality and female participation in decision-making, policy and leadership is needed. The increased competitiveness of the clean energy sector provides opportunity for female leadership, diversity and innovation, whilst the global development agenda provides momentum and a platform on which female climate leadership can be promoted. Increased discussions of women in STEM subjects (science, technology, engineering and mathematics) for instance has gained significant support over recent years and has gradually infiltrated into the clean energy sector. Similarly, placing focus on supporting developing countries to innovate and empower their workforces, women and young people can positively contribute to improvements in clean energy and the Sustainable Development Goals more broadly.*

Furthermore, in terms of financial support, *…the Scottish Government contributed over £300,000 to the UNFCCC’s Gender Action Plan in 2017 as part of our climate change and development agenda. We also support the Women Delegates Fund run by WEDO (Women’s Environment & Development Organisation). The Scottish Government is committed to contributing to gender initiatives as part of its climate change work*.

Norway

On September 23, 2019, Norway’s Prime Minister Erna Solberg addressed the UN General Assembly at its Climate Action Summit in New York, promising that Norway “intends to do its part” in cutting emissions, with a long-term target of 90-95 percent emission reduction by 2050, and a strengthening of its 40 percent target for 2030. She further explained:

> *We need to step up, speed up and scale up. This is the message from young people across the world. It is reinforced by images of devastating natural disasters – most recently from the Bahamas. Norway is responding with increased ambition and action. We will strengthen our nationally determined contribution under the Paris Agreement. We urge others to do the same. We will also submit a low emission strategy to the UN. I am pleased to confirm that we follow through on our Paris commitment to double contributions to the Green Climate Fund. In addition, we continue to provide substantial support to countries that reduce deforestation. … Together, we are calling on the world to step up ocean-based climate action. The oceans are severely affected by climate change. But today we released a study showing how the oceans can also provide solutions. At scale. Ocean-based climate*

action can reduce the emissions gap by up to 21 % by 2050. A sustainable and healthy ocean economy will be crucial for fighting climate change. It will provide jobs and food security, and will help to protect biodiversity. We urge all of you to join us in accelerating key ocean-based climate actions. This will help us to achieve the Sustainable Development Goals and the Paris Agreement (UN General Assembly, 2019).

Heading the Conservative Party, Solberg assumed the office of Prime Minister in 2013. Prior to her ascension, Norway was establishing a world leadership role in delineating the consequences of climate change while propounding remedial actions. For example, the country unilaterally pledged to assume an emissions reduction target of 30% by 2020. An even greater auspicious undertaking was the government's adoption of an aggressive International Climate and Forest Initiative (NICFI), where billions of dollars were pledged to preserve forests in Brazil, Indonesia, and in other developing countries. This pledge helped it to gain a decisive role in global financing strategies (Government.no, 2019).

More recently, Solberg has managed to assemble a multi-party cabinet, incorporating members of both the Liberal and Christian Democratic parties, partly to address the ravages of global warming. Yet in practice, she has adopted a more holistic view of worldwide development, incorporating many social and economic factors into an overall environmental policy (Government.no, 2019).

Hildenbrand /MSC; Photo: https://www.securityconference.de/ mediathek /munich-security-conference-2017/image/erna-solberg-1/

There is a paradox lurking, however, in what the Norwegian government opines is the best way forward for sustainable economic operations and its actual, implemented energy policies. While a major proponent of weaning the transportation sector off of fossil fuels and impressing on the public the need to expeditiously transition to electric vehicles and ferries while raising carbon taxes, the Norwegian leader still advocates new oil and gas exploration. In fact, the government remains committed to reimbursing a business's exploration costs where a profit from tapping into new deposits can be assured.

Off the coast of Bergen, Norway, Courtesy L. Nøttaasen https://commons.wikimedia.org/wiki/File:Oil_Rigs_at_Coast_Center Base_outside_Bergen_(24172112301).jpg

This mixed bag of priorities can possibly further be explained by Solberg's election into office. She campaigned strongly on a platform of curbing immigration, reasoning that such stance could best be perpetuated by checking the consequences of global warming. The atmospheric changes of climate change, she explained – which include the impact on vulnerable populations through drought, famine, food insecurities, contaminated water sources, lack of arable farmland, and flooding – are all forces which could spur a decision for a population to emigrate. This somewhat obfuscated reasoning does engender skepticism and critique regarding the authenticity of a workable climate management program.

On December 11, 2019, at the COP 25 meeting in Madrid, environmental activist Greta Thunberg called the Norwegian government out, stating that until all humanity believes that economic decline must be accepted to save the planet, governments like that of Norway are simply only offering window dressing on the most significant crisis of our time. Thunberg emphatically pointed out that Norway was only exacerbating the climate crisis "by looking for and producing more oil." While this allegation has not been denied, the Prime Minister continues to stress that the country's renewable projects are currently being scaled up and that her government continues to advance the "deployment of carbon capture and storage below the seabed" (Thunberg, 2019).

Recently, Solberg has also taken a notable position in charging NATO with combatting climate change as a collective entity. Addressing the attendees at the NATO Engages event on December 3, 2019, Solberg stressed that the Alliance must "give rise to a little bit more discussion on how important it is to stop [climate] change." As a matter of international security, member nations must "make sure that we invest now instead of having to invest a lot in the future to work on the damages. It is much less costly to prevent climate change than it will be to adapt to it – on all levels of our society" (Atlantic Council, 2019).

June 2019 assault on Norweigian tanker in Gulf of Oman. Courtesy, AFP from Iranian news agency ISNA. https://www.thelocal.no/20190613/three-explosions-reported-on-norwegian-oil-tanker-struck-in-suspected-attack-gulf-of-oman

Although controversial and at times perplexing, Norway's Prime Minister continues to attempt to strike a balance with sustainable maritime practices while commanding worldwide attention to the existential threat of climate change. Solberg is responding with an increased focus to the youth wing of her own Conservative (Høyre) party on the government's approach to the oil industry, including taxation, as it seeks to form a strategy heading towards the 2021 election. This sector of the party has called for a bias-free discussion of the current reimbursement system by which the government covers 78% of the cost of a company's oil exploration with proof of resultant company profit. In reply, Solberg has maintained that she will continue to support a stable, reimbursement framework for the oil industry and that the exploration subsidy is key to that policy. And so, oil continues to be drilled while it remains a profitable enterprise and while there is still an ongoing public demand – despite its acknowledged harm to the environment (*The Local*, 2019).

Denmark

This Scandinavian country, also under current female leadership, leads the world in wind energy production and wind turbine manufacture. Already by 2014, Denmark had produced over 57% of its electricity needs from renewable resources, primarily wind. The Danish wind company, *Vestas* Wind Systems A/S, has expanded from its Danish home base to various foreign countries including India, China, and the US, employing more than 18,000 employees worldwide. Mette Frederiksen, representing the social democratic party Socialdemokratiet, assumed the office of Prime Minister in June of 2019. Under her helm, the Danish government is pursuing a target of producing 30% of all its energy needs from renewable energy sources by 2020, increasing its wind power to spur on production by nearly 80% by 2024; and relying upon renewable energy sources for 100% of its energy needs in all sectors including transport by 2050 (Denmark.dk, 2019).

New Zealand

In early November 2019, New Zealand Prime Minister passed the country's first Zero Carbon Law and touted that the country was now moving "beyond statements of hope and deliver signs of action." This new law will require future governments to adhere to the requirements created to ensure the average temperature does not exceed 1.5 degrees (Celsius). While the country will have until 2050 to lower its carbon emissions to zero, the Prime Minister has expressed the objective of transitioning to an electrical grid that runs off renewable energy by 2035. Ardern has been praised around the world as this landmark legislation passed through parliament with cross-party support. With the passage of this bill, Ardern has declared that the country will be "on the right side of history" (news.co.au, 2019).


PM Jacinda Ardern (2017); Courtesy, Governor-General of New Zealand

The Zero Carbon law targets greenhouse gases like biogenic methane, a gas produced by living organisms like cows. It also requires future governments to adhere to process requirements, fashioned to ensure the average temperature does not exceed 1.5 degrees (Celsius) (news.co.au, 2019). But like Iceland, however, the island nation may fall victim to the wonders of its own topography – including earthquake activity like the recent tragedy occurring on White Island in early December, 2019, which killed at least 15 people – as well as the increased carbon emissions associated with a steadily growing influx of tourists and foreign capital.

Germany

Angela Merkel, now towards the end of her premiership in Germany, has shepherded the move towards a renewable energy future. In October 2018, Chancellor Merkel of Germany and national leader of the country's Christian Democratic Union (CDU) party, announced that she would not stand for reelection when her term ends in 2021. Unofficially regarded as the de facto leader of the European Union and "Chancellor of the Free World," Merkel's achievements expand well beyond immigration and foreign policy to taking on the era-defining fight against climate change. Her energy and decarbonization policies are largely defined by the *Energiewende* ("energy transition") plan shifts away from fossil fuels and nuclear generation in favor of a massive adoption of a portfolio of renewable energy sources, primarily wind power. The emissions reduction targets have not completely materialized yet, in part due to the decision to decertify nuclear energy plants which has delayed the transition process. What has successfully occurred in the country's onshore wind capacity which doubled between 2010 and 2018, with solar increasing from a smaller base of 17.9GW to 45.3GW in 2018. However, until reliable large-scale energy storage can be delivered, intermittency will continue to threaten security of supply and extend the life of coal-fired plants (Casey, 2019).

Germany Chancellor Angela Merkel speaking at the Paris Climate Change Accords, December 2015,
Courtesy, UNFCC

Merkel's prior training as a physicist and her doctorate in quantum chemistry, has sustained her commitment. When she became leader of Europe's largest economy, she immediately used her scientific knowledge and training to set various target dates, with the most consequential being a renewable-based energy market of at least 65% on or before 2030. This goal also warranted the cessation of all nuclear-based power by 2022 as the German government had been influenced by overwhelming public outcry over the Japanese Fukushima nuclear meltdown. This public sentiment translated into an immediate decommissioning process of its own nuclear power plants. Germany's output of solar, wind (both onshore and offshore), biomass, and hydroelectric generation units increased by 4.3% in 2018 to produce 219 terawatt hours (TWh) of electricity overall for that year. Additionally, the total renewable energy share of Germany's power production rose to 38.2% in 2017 up from 19.1% in 2010, and is currently predicted to remain above 40% through 2019. The only green energy casualty of global warming has been the compromise of the country's hydropower facilities as extreme summer heat – especially during the 2019 summer months – has dried out many of the rivers (Reuters, 2019).

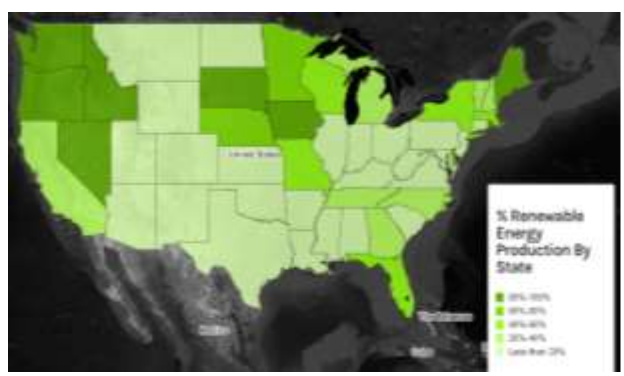
In 2018, a milestone was achieved by the German government: renewable energy sources overtook coal as Germany's main energy source, accounting for just over 40% of all the country's energy production. Since taking power in 2005, Merkel's stewardship has exponentially driven significant investments into renewable energy market, with the dual objective of reducing greenhouse gas emissions while decarbonizing energy systems throughout Germany and throughout other parts of the world. For example, under her leadership, the government has also targeted deforesting activities in the Amazon Rainforest by suspending aid to Brazil (D.W., 2019).

State Politics or Missed Opportunities?

Without question, the demand for energy in the U.S. has skyrocketed – and in the process of meeting those heightened needs, more CO_2 emissions are discharged into the air, exacerbating climate change. Thus, it is not surprising to discover that total electricity production has increased by over 700% since 1950 (DOE/EIA, 2019). And while over half of all electricity in the U.S. is generated from finite sources – primarily coal and natural gas – the environment continues to pay a price. Hence, more and more states are turning to cleaner, infinite energy resources including wind, hydro, and solar. In fact, renewable energy accounted for more than 17% of the national energy mix in 2017 – an increase from 8.5% a decade ago (DOE/EIA,2019). Renewable energy production and usage is certainly not uniform among the states, however. The question is thus begged – what is the role of politics, if any, in a state-by-state energy assessment?

Total CO2 Emissions – State by State. Energy Information Administration, 2019

Red states versus blue states. Installed, potential, or distributed renewable energy capacity. Government-sponsored tax credits and financial investment incentives. A state-by-state clean energy report card is wholly dependent upon such variables of measurement which often vary substantially. And at a time of highly-partisan politics in America, one would naturally wonder whether the political landscape is stymying climate action plans in some states while buttressing those in others. One might attribute more progressive energy policies with historically Democratic-leaning states and climate stagnancy with more conservative states. Regardless of energy framing, *denying* a clean energy transition (to solar, wind, biomass, geothermal, biomass) requires deliberate actions advocating fossil fuel energy generation (inclusive of tar sands, oil, gas, coal, natural gas) and its associated political agenda. Alternatively, *implementing* a transition to renewables mandates the slowing, and eventually cessation of, the extraction of fossil fuels from the ground and water, halting the expansion and construction of fossil fuel energy infrastructure including natural gas pipelines as well as phasing out policies that favor fossil fuel energy development over cleaner alternatives. Stuck in a fossil-fuel-friendly position are many southern "red" states – including Alabama, Louisiana, Mississippi, West Virginia, Tennessee, and South Carolina.



2017 EIA Mapping: Comparable Renewable Energy Production by State

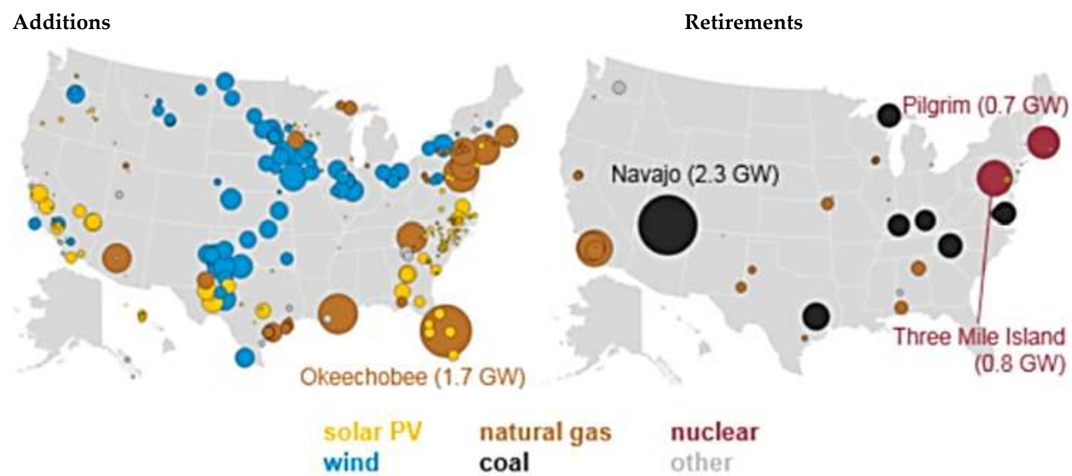
In early 2019, for the first time in U.S. history, renewable energy outpaced coal by furnishing 23% of the country's power generation as compared to coal's 20% output. Approximately 50% of U.S. renewable energy generation was primarily derived from wind and solar resources – displacing the former dominance of wind power" (DOE/EIA, *2020 Renewable Energy Outlook*).

The author recently undertook a limited ground tour of several U.S. states to supplement particular U.S. Department of Energy (DOE) findings to uncover any information that might shed light on this issue. It was not surprising to discover that states with Democratic trifectas (governors plus both houses of the state's legislature) are pushing forward with ambitious clean energy policies with California setting the most ambitious energy goal in the country: 100% renewable energy by 2045. Other Democratic-dominated states are defying the federal government's rolling back on climate-change regulation – and some conservative Republican state legislatures are beginning to acknowledge the financial perks of such a transition irrespective of current federal policy, spurred on by consumer demand.

According to the EIA, those states pegged in 2019 as the highest emitters of carbon dioxide were California, Texas, Florida, Illinois, and Pennsylvania. While IEA findings indicate a correlation of progressive policies with a growing transition to renewables, the department has declared that even in the event no new clean energy bills are passed throughout the country, 31% of all U.S.-generated electricity will still emanate from renewable resources – albeit primarily from Democratic-run states. Examples of both the shifting and the target sharpening of renewable energy plans include the following state examples (DOE/EIA, 2019):

- With Republican Gov. Chris Christy out of the gubernatorial office and Democratic Governor Phil Murphy newly installed, the State of NEW JERSEY has recently adopted a goal of 50% renewable-generated electricity as part of its 2018 Energy Master Plan.

U.S. Electric Capacity Additions and Retirements, 2019; Gigawatts (GW)
EIA, 2019



- Perhaps influenced by its northern neighbor, the State of WASHINGTON is conducting a cost benefit analysis with taxing carbon. In 2019, under Democratic Governor Jay

Inslee, the state did introduce a bill to eliminate coal within 6 years, to require 80% clean utilities 5 years after that, and to require all electricity to be carbon-free by mid-century. Washington is on its way to achieving these objectives as it is already the nation's top producer of hydroelectric power which annually accounts for two-thirds of all electricity generated throughout the state, satisfying the bulk – 78% – of its citizen's electricity demand. The state's Democratically-led government ushered in the state's "Clean Energy Economy Act" which requires all Washington electric utilities to remove coal-fired electricity from their rates by 2026 and to meet 100% of its annual electricity load from renewable energy and zero emissions generation.

- PENNSYLVANIA, the fourth-largest emitter of greenhouse gases in the country (after Texas, California, and Florida), has historically relied on coal to fuel its economy. However more recently, it has become a lead generator of natural gas — a coal replacement that still creates carbon emissions, yet less significantly.
- Whereas the ILLINOIS statehouse is more liberal-leaning than that of Pennsylvania, coal dependency remains evident and its state leadership has, until recently, been Republican-led. Newly-elected Democratic Governor J.B. Pritzker has indicated that substantial changes are coming to the 6th most populated state in the country, evidenced by his signing on to the U.S. Climate Alliance (a pact comprised of 18 states pledged to the objectives of the Paris climate agreement which was abandoned by the U.S. in 2017). Additionally, the new Governor has advocated a statewide objective of generating of 100% of its energy needs from clean sources. Illinois law currently requires that by year 2025, at least 25% of the state's energy be derived from renewable sources (Myers, 2019).

  Helping to support this intended goal are the state's existing four wind farms. Not only do these installations help supply electricity, their home counties – all farming communities – have received more than $9.9 in tax revenue for the additional land use. These wind farms have helped to place the state as having the 4th highest decade-long renewable energy growth in the U.S., producing over 7% of its electricity energy needs from renewable sources in 2019 (Toledo, 2019).
- As the top wind-power producer in New England, MAINE's new Democratic Governor, Janet Mills, replaces her Republican predecessor, Republican Governor Paul LePage, with a drastically redesigned energy policy, heavily reliant upon the development of new wind turbine capacity. Upon her inauguration, Governor Mills vowed to derive a minimum 80% of the state's electrical needs from a mix of renewable energy sources.
- COLORADO, under the helm of consecutive Democratic governorships, is moving quickly to generating the majority of its energy needs from clean sources. Newly-installed Democratic Governor Jared Polis has just effectively set the most ambitious target of any state: transitioning to 100% renewable energy by 2040 – a goal which if met would surpass the commitments of California and Hawaii. Wind is currently the state's primary renewable.

The path to cleaner sources of energy in Colorado has had an unorthodox journey, however. Under Republican Governor John Arthur Love, the state, in partnership with the DOE, launched a controversial method of extracting natural gas from subterranean depths as a way to supplement reliance on more conventional sources of fossil fuel energy. In 1969, in a rural community, *Project Rulison* – as part of *Operation Plowshare* which explored peaceful uses of nuclear detonations – was contrived as an underground nuclear test with the primary objective to extricate natural gas deposits set in shale pockets. This novel attempt at fracking was accomplished using a 40-kiloton nuclear bomb. While largely successful in its primary objective, the radioactivity released in the blasting process contaminated much of the natural gas extracted, rendering it unsuitable to use in cooking and in heating homes. A buffer zone was erected around the affected area and general site clean-up, conducted under the auspices of the DOE, took close to 2 decades to complete (DOE/Los Alamos, 2019).

Project Rulison, DOE Archives, circa 1969);
Los Alamos National Laboratory/Claude Hayward

Since then, the development of new sources of energy has expanded, especially with respect to wind energy. Much of this growth has been actively supported by a combination of radically decreasing costs and steady federal incentives under three consecutive Democrat governorships since 2007. Further, the Colorado government has adopted a renewable portfolio standard, requiring that 30% of the state's electricity be derived from renewable sources by 2020. Colorado was also the first state in the U.S. to enact a Renewable Energy Standard (RES) by public ballot initiative, whereby voters approved the Colorado Renewable Energy Requirement Initiative (Co.gov, 2019). The RES requires electricity providers to secure a minimum percentage of their power generated from renewable sources. This percentage has been increased 3 times up to the present day. State regulations embodying Colorado's "Clean Energy Plan" also require large Colorado utility operations to achieve an 80% reduction in greenhouse gas emissions below 2005 levels by 2030 and 100% zero emission energy resources by 2050, creating both workforce retraining and a transition plan (Co.gov, 2019).

Former Democratic Governor John Hickenlooper was successful in bringing clean-energy-related manufacturing plants to the state. Denmark-based Vestas has already invested $1 billion to establish four manufacturing facilities in Colorado with the investment objectives of expanding wind research and development activities. Vestas sustains statewide employment of more than 3,400 and manufactures turbine components blades for use – primarily in North America.

- The author’s home state of **INDIANA**, with a Republican trifecta, is home to the 8th largest wind farm in the world, Fowler Wind Farm, yet the power generated does not directly benefit its immediate residents. In the NE part of the state, however, utility provider NIPSCO has pledged to decommission its remaining coal-fired plants and adopt a broad clean-energy portfolio. With this shift towards clean-energy production – particularly in the wind sector – Indiana can still boast the 3rd highest, 10-year renewable energy growth rate in the country (DOE/EIA, 2019).
- **MISSOURI** only derives 4.0% of its electricity from renewables, but its 10-year renewable energy growth is the 16th highest in the nation. Transecting the state, however, very little evidence of a clean-energy transition is evident – instead, more closed landfills are readily discernible.
- **ARIZONA** state politics have been largely controlled by the Republican Party, but are beginning to change – at least regionally. The state’s energy future remains truly an enigma and seemingly held captive to fierce politically-charged battles. In 2018, for instance, Arizona Proposition 127, the state’s Renewable Energy Standards Initiative, was on the ballot in Arizona as an initiated constitutional amendment and was soundly defeated. The proposed measure advanced a constitutional amendment to require all Arizona electric to acquire a certain percentage of electricity from renewable resources annually, with the percentage increasing annually from 12% in 2020 to 50% in 2030. In 2018, with Democratic billionaire Tom Steyer largely financing Proposition 127 to convert renewables into a constitutional mandate, the proposed measure failed with Republican-sponsored pacts and legislators solidly in defiance of the proposal.

  The state finds itself in the 21st year of severe drought. Yet even with over 300 days of sunshine per year and few fossil-fuel deposits, its solar facilities remain de minimus. Also, the state’s co-reliance upon the hydro power (the state’s former top renewable energy source), generated by the Hoover Dam on the Nevada border, is in serious jeopardy due to a historically low reservoir water table. In fact, Lake Mead, the nearly 250-square-mile reservoir that provides water to Arizona, California, and Nevada, and feeds the dam continues to drop due to the prolonged drought. This, in turn, reduces the power that the Hoover Dam’s electrical turbines

(Above): Lake Mead, Arizona, November 25, 2019. (Left): Hoover Dam. Receding water levels indicated by white lines on side of hills. Photos provided by author.

generate – with climate change almost guaranteeing to make this area of the American West even hotter and drier (Schwartz, 2019).

In Southern Arizona, regional utility provider Tucson Electric Power's (TEP) planned generation mix for 2023 is comprised of 78% fossil fuels, largely demarcated by the conversion from coal to natural gas, but incorporating only 19% renewable energy sources. When transecting the state, one notices immediately the vast stretch of roofs devoid of solar panels. Even with Tucson-based, University of Arizona-operated Biosphere II, the operations of the enclosed experiment in sustainable living are tied to the electrical grid – with back-up natural gas and diesel generators on site and very little solar activity. Yet local utility TEP has recently announced a 100-MW solar project paired with 30 MW of storage to be implemented within the next decade. And, in 2018, Arizona's electricity generation from solar energy exceeded generation from hydroelectric power for the first time in the state's recorded history. But the state's current renewable energy standard, completed over 10 years ago, is only 15% by 2025 – lower than the goals of several adjacent states (Storrow, 2019).

Biospere II, Oracle, AZ. Photo: Provided by author November 2019). Oracle, AZ. November 30, 2019.

- **UTAH**, conservatively-governed, maintains a rather poor clean energy production record. Nationally, solar thermal and PV constitute the state's primary renewable energy source and the DOE indicates that in 2019 it reached over 13% in electricity derived from renewables. Over a decade, its progress has achieved a ranking of 6th highest energy growth in the country. Yet the majority of the state's renewable installations are in the north. Bisecting the state, the prevalence of fossil fuel rigs is prominent – together with expansive, methane-producing cattle ranches.

  One of Utah's most prominent tourist attractions – Dead Horse Point State Park – is noticeably devoid of solar features, with the only indication of any solar activity being a potash-making facility, achieved from solar evaporation technologies.

Dead Horse Point, Moab, Utah. Photo: Supplied by author, November 24, 2019

Under the Trump Administration and the Republican-led state legislature and governorship, several areas of southern Utah have lost special protection and have been partially opened to mining for minerals, oil, and gas. The former protection given to Bears' Ears and Grand Staircase-Escalante national monuments' millions of acres of red rock formations, interconnected canyons, and pristine desert wilderness no longer exists. Since the beginning of 2017, Utah's crude oil and coal production have actually increased for the first time in 3 years, followed in 2018 by an even greater increase. In 2017 alone, 70% of the state's net electricity generation was attributable to coal, with one-fifth of product mined destined for export to other countries. And despite the presence of renewable facilities in the north, there remain five oil refineries sharing the same regional territory (DOE/EIA, 2019).

State politics have not been totally deaf to the call to develop renewables to address climate change, however. During a regional conference in May of 2019, Utah Republican Senator Mitt Romney stated:

> **"Addressing climate change is going to require significant private sector investments and a major global breakthrough in innovation and technology. To that end, Congress should explore ways to incentivize the research, development, and deployment of clean technologies. We also need to consider solutions that will sustain communities that may be impacted by changes in energy technology, and I will continue to meet with folks from our rural and coal mining communities in Utah to hear their perspectives."**
> **– Republican Senator Mitt Romney**
>
> 16 May 2019. Western States Move Forward with Clean Energy and Tools to Assist in a Just Transition for Coal Communities. *Utah Clean Energy.*

- TEXAS, a historically "red" state, has a worldwide reputation of fostering oil exploration. Houston remains the country's "energy capital" while reports of refinery explosions continue to disseminate. Yet the state has exploded on the scene with its rapid installation of wind farms. The Greater Panhandle of Texas – part a region that has been referred to as "Tornado Alley" extending into Oklahoma – is certainly and uniquely qualified as one of America's best places for generating wind energy.

Photo: Author supplied, Dec. 1, 2019, Amarillo, Texas

In 2019, the DOE ranked Texas as having the 7th highest jump over the course of a decade in renewables with first-place honors in the category of total electricity generation from clean energy sources (primarily wind). In the present year, overall electricity generated from renewables approached 16% and is steadily climbing.

- **OKLAHOMA**, a wholly landlocked state, unfortunately acquired the dubious distinction in 2017 as being the most earthquake-prone state – topping California. Over the last decade, research has proven that these seismic events are largely manmade due to natural-gas fracking methods (Maddow, 2019). The largely Republican-run state government has routinely given oil and gas companies state subsidies in the form of tax rebates – depleting state coiffures and threatening the budgets of the entire Oklahoma public school system at times. Yet, currently – as is evident while simply entering the capital of Oklahoma City – wind farms are sprouting up quickly. With so much of the state's climate subject to tornadic activity, capturing its potential makes sense. In fact, in 2019, Oklahoma's electric needs were met by 35.2% renewable sources (DOE/EIA).

(Above): Ivanpah Solar Thermal Facility, Nipton, CA;
(Right): Wind farm situate between San Bernardino and Riverside Counties.
Photos: Author supplied, November 29, 2019

- **CALIFORNIA,** the fifth largest economy in the world, has, by far, the largest mix of renewables – including biomass, solar thermal, solar PV, hydro, and geothermal. Of course, no other state has been more impacted by climate-change driven disasters – wildfires, drought, and landslides – now resulting in planned utility blackouts. The state's legislature and gubernatorial offices have long been occupied by Democrats. Several pieces of recent clean-energy friendly legislation include the state's commitment to attaining a carbon-free economy by 2045 and already requiring all new residential structures to be solar-equipped constructed. The DOE has rated California as producing 47% of its electric needs from clean sources, with hydro in the forefront and solar not far behind. The state's solar industry includes the Ivanpah Solar Electric Generating System (shown above) – a concentrated solar thermal plant located in the Californian Mojave Desert. Ivanpah, the world's largest solar thermal facility, is jointly owned and operated by NRG Energy, BrightSource, and Google. The system is equipped with mirrors the are programmed to follow the trajectory of the sun, heating up the water stored in the three towers to produce the steam which spins the turbines to produce electricity.

- NEW MEXICO, a relatively progressive state politically-speaking – is replete with private ranches and reservation properties. To the visitor, the state lacks any substantive quest to capture the renewable market. Yet the DOE has measured its growth over the last decade to exceed 258% - the 12th highest rate in the U.S. This statistic is aided by the fact that the state government recently enacted the New Mexico "Energy Transition Act," which includes a requirement that all of the state's investor-owned utilities must move to 100% zero carbon energy resources by 2045. This legislation also enables utility companies to use securitization through "energy transition bonds" to refinance investments in coal-fired power plants to retire operations early. A portion of the revenues derived from the bond sale are earmarked to be used to help fund economic development in coal communities in New Mexico, assisting displaced workers (DOE/EIA, 2019). Despite these recent political moves, New Mexico's total electricity generation is in an unenviable position – the 12th lowest in the nation. Like Arizona, failure to fully tap into the solar market unnecessarily keeps this state's energy portfolio stagnant.
- KANSAS is a stunning perplexity, having been governed by a blend of Democratic and Republican governors over the last two decades. The state demonstrates a wealth of both renewable and nonrenewable resources. Under Democratic governorships in 2006 and 2009 (Former Obama Secretary of Heal and Human Services, Kathleen Sebelius, installed in 2003, followed by Democratic Governor Mark Parkinson in 2009), several windfarms – situate between the cities of Salina and Hays – were

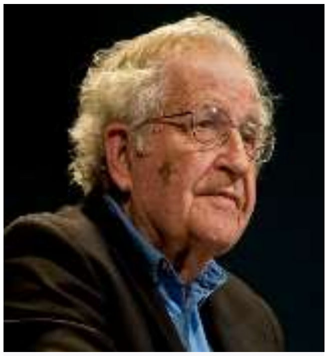
Wind Farms in between Salina and Hays, Kansas. Photo: author supplied, November 23, 2019).

constructed making wind the state's main source of clean energy. In 2019 alone, over 36% of Kansas's electricity was generated from renewables. Approaching the border with Colorado, multiple semi loads of singular windmill blades can be readily seen as they are being transported into and through Kansas over the state's main interstate – a sign that manufacturing in America has been revitalized – at least with respect to this energy sector.

Dr. Noam Chomsky: A Leader for the Ages

"What Matters" in this Climate Crisis is Simply Meaningful and Immediate "Action"

Since the 1960s, as he added political activism to linguistic accolades, Dr. Noam Chomsky reiterated a call to the educated, emphasizing that it was the ongoing responsibility of intellectuals to "to speak the truth and to expose lies." This appeal to moral and social consciousness – especially directed to those with access to information sources – was, and is, to seek the truth hidden behind the distortion of lies that conceal a moral abyss as well as to disseminate facts through positive and direct action. Any failure to answer this call only signals "complicity." Perpetuating ignorance is augmented through propaganda means; what is in existence today that was not present in prior decades are private media outlets like Fox News – calculated to spread misinformation and even underscore lies when convenient to ensure a narrative of continued concentrated wealth and power for the few. And one of the most impactful results of misinformation lies in the unchecked growth of the current climate catastrophe; the dismissal of factual information, the latent or even patent adoption of lies, and a general failure to act all subject life on earth to certain annihilation.



Noam Chomsky, Photo: Augusto Starita / Ministerio de Cultura de la Nación

Throughout the years, Chomsky has spoken of ebbs and flows in the human predicament: from fascism to the growth of democracies to current hyper-nationalism; from Brazil's more promising leadership under the "people's president" Luiz Inácio Lula da Silva to the rightest regime of Jair Bolsonaro; from democratic Barak Obama to far right Donald Trump; and from Nobel Peace Prize laureate Yitzhak Rabin to multiple terms of Israeli conservative extremist Benjamin Netanyahu.

On December 1, 2019, the author questioned Dr. Chomsky about the role of today's youth in countering growing global corporate dominance, nuclear proliferation, and a quickly deteriorating environment due to accelerated global warming. Chomsky's answers left open certain possibilities but he did definitively advocate an immediate call to action and unequivocally assessed blame on previous generations for the existential threat of planetary demise faced by today's youth.

Asked to comment on Mahatma Gandhi's oft-quoted, interminable message of hope,"*When I despair, I remember that all through history the way of truth and love have always won. There have been tyrants and murderers, and for a time, they can seem invincible, but in the end, they always fall. Think of it—always,*" Chomsky replied that while he hoped Gandhi's message were always true, it is neither reliable or consistent: "*I wish Gandhi's message were true. Sometimes it is, sometimes not. As to whether today's generation will be able to deal with the terrible problems that their elders have left to them, speculation is rather empty. What matters is action.*"

The author briefly reviewed the actions that have been taken or are underway to be adopted to combat climate change, spearheaded by grassroots movements and by government and business leaders, yet at a time when consumerism is at an all-time high worldwide. For instance, it was noted that there has been a remarkable advancement of solar panel installation on both new and preexisting construction in Germany, that TGV high-speed rails constitute the primary source of mass transportation in France, that certain automobile manufacturers and teenagers are conspicuously lowering their own carbon footprints (e.g., Volvo eliminating the combustion vehicle and Greta Thunberg sailing the Atlantic), and even that China is installing a football field of solar PV panels each hour of each day – all while the US – with the highest per capita GHG emission levels – continues to miss opportunities. In fact, between Black Friday and Cyber Monday – while much of the world was protesting consumerism – the US was on track for the highest consumer spending levels on record, inevitably exacerbating CO2 emissions. With this dichotomy of action and practice, Chomsky was asked how this could be reversed in time to thwart irreversible environmental damage. He replied that the characterization of failed U.S. leadership is much more deplorable than simple missed opportunities: *Missing opportunities' is too kind. …The Trump administration is dedicated to destroying the prospects for organized human life. Fortunately, there is popular resistance, primarily among the young. Whether it will suffice in time – again, speculation is idle*.

> **"'Missing opportunities' is too kind. …The Trump administration is dedicated to destroying the prospects for organized human life. Fortunately, there is popular resistance, primarily among the young. Whether it will suffice in time – again, speculation is idle."**
> **— Dr. Noam Chomsky**

With a scientific consensus regarding both the cause and consequences of climate change, Dr. Chomsky was asked about the stream of countervailing information, especially as the US government has been one of the primary disseminators of socio/political/economic misinformation. And with the advent of Fox News, deception has been given a formidable propaganda outlet, creating a firm and loyal cult of misinformed individuals throughout the country. Thus, the question was posed: "Although currently we have access to free, innumerable sources of information that if we chose to use to conduct our own research to discover facts which might lead to appropriate action and reaction, this does not appear to be happening – at least not *en masse*. Do you have a better recipe that could stimulate a more timely and proportional public response to the exigencies of today?" Dr. Chomsky's response:

> ***There are plenty of opportunities. What's needed is the energy and dedication to pursue them. One possibility is to go back to the vision of the Founding Fathers, who interpreted the First Amendment quite different from today. They understood it to mean that the government had a responsibility to foster a lively, diverse, independent press. The US Post Office was set up primarily as a subsidy to independent***

> ***media. That vision has been beaten back in our largely business-run society, now strikingly different from others in the marginality of public media. These have their problems no doubt but can be and often are a force for independent thought and understanding. And there are many other possibilities.***

And lastly, the author supplied the following analyses for comment:

Greater individual wealth and rampant overt racism appear to have a chokehold throughout the US, keeping Donald Trump and his enabling GOP supporters from making any progress in effectuating a more comprehensive and immediate transition to clean, renewable energy. This has become evident to many — including the author — as I continue to travel the country, seeing missed opportunities for installations, especially in states primarily governed by conservative representatives. What do you believe is the best course of counteracting this reality, even in "red states"?
The usual: education, organization, activism. Beyond generalities everything depends on specific conditions.
And where declining birth rates are being documented in many developed parts of the world, population growth remains largely unchecked in least developed countries. *We* enjoy our families and in relative comfortable settings and would readily make the argument to Least Developed Countries' (LDC) populations that a similar type of pleasure is simply not possible for them since we all face certain extinction unless we all change course now, i.e., consume less and restrict the size of our families. How is this hypocrisy remedied?
Lots of ways. We control our own lifestyles, at least the more privileged among us. Population growth can be checked by education of women – happens in poor countries as well as rich. And by raising living standards in equitable ways. And lots more that we can readily think of.

At 91, his leadership continues.

Conclusion

In decades past, the climate change debate began. In years past, the climate debate devolved into a climate crisis. Presently, the status of the problem is nothing short of a climate catastrophe. Rapid action must be taken to protect and restore threatened species and their habitats that are being exploited for financial benefit and degraded by human-caused climate change. Such factors are primarily a result of population size and growth as well as increased consumption rates and economic inequity. To end with the same query – where are our leaders in this era of mass extinction? Perhaps the answer lies with female, more youthful, and more democratically leaning-leaders, with experience and reflection continuing to guide their actions. Unquestionably, however, it is up to everyone – the world's citizenry – to carve out a leadership role in the fight of our lives.

References

Allen, E., Lyons, H. and Stephens, J.C. (November 2019). Women's leadership in renewable transformation, energy justice and energy democracy: Redistributing power, *Energy Research & Social Science*, Volume 57.

Arvind, Om (2019). Norwegian PM explains how NATO can help combat Climate Change, *Atlantic Council*. Retrieved 12 December 2019 from https://atlanticcouncil.org/blogs/new-atlanticist/norwegian-pm-explains-how-nato-can-help-combat-climate-change/

BBC (5 December 2019). Longest plastic bottle bridge. Scottish Power to add solar and battery power to wind farms. Retrieved 12 December 2019 from https://www.bbc.com › news › uk-scotland-50673983

Blackburn, Tim M., Bellard, Celine, and Ricciardi, Anthony (2019). Alien Versus Native Species as Drivers of Recent Extinctions, *Frontiers in Ecology and the Environment*, Retrieved 27 November 2019 from https://doi.org/10.1002/fee.2020.

Carrell, Severin (28 April 2019). Nicola Sturgeon says world is facing a climate emergency, *The Guardian*. Retrieved 12 December 2019 from https://www.theguardian.com/politics/2019/apr/28/nicola-sturgeon-world-facing-climate-emergency-snp

Casey, J.P. (12 December 2019). Assessing Angela Merkel's clean energy legacy, *Energiewende*.

Ceballos, G., Ehrlich P. R., Barnosky, A.D., Garcia, A., Pringle, R.M., and Palmer, T.M. (19 June 2015). Accelerated modern human-induced species losses: Biological Annihilation via the Ongoing Sixth Mass Extinction Signaled by Vertebrate Population Losses and Declines. *Sciencemag.org*.

Chomsky, Noam (12 April 2019). Noam Chomsky on Fascism, Nuclear Weapons, Climate Change, Julian Assange & More, Democracy Now! Retrieved 26 November 2019 from https://www.youtube.com/watch?v=WNIHZZ6qlgI.

Co.gov (2019). Renewable Energy Standard, *CO Energy Office*. Retrieved 22 November 2019 from https://www.colorado.gov/pacific/energyoffice/renewable-energy-standard.

COP25 Proceedings – Madrid, Spain (2019), Retrieved 15 December 2019 from https://unfccc.int/event/cop-25.

Deutsche Welle (2019). Angela Merkel. Retrieved 15 December 2019 from https://www.dw.com/en/amazon-deforestation-prompts-germany-to-suspend-brazil-fores t-projects/a-49982647 and from https://www.dw.com/en/german-renewables-deliver-more-electricity-than-coal-and-nuclear-power-for-the-first-time/a-49606644

Denmark.dk (2019). Clean Energy in Denmark – Leading the Way. Retrieved 15 December 2019 from https://denmark.dk › innovation-and-design › clean-energy.

Dennis, Brady (11 December 2019). How Greta Thunberg is using her fame to pressure world leaders to act on climate, *Washington Post*. Retrieved 13 December 2019 from https://www.washingtonpost.com/world/europe/how-greta-thunberg-is-using-her-fame-to-pressure-world-leaders-to-act-on-climate/2019/12/11/69d4be78-1b88-11ea-977a-15a6710ed6da_story.html

Dickie, Mure (3 September 2019). In Edinburgh, *Financial Times.* Retrieved 15 December 2019 from https://www.ft.com/content/db7041be-ce68-11e9-99a4-b5ded7a7fe3f.

Department of Energy (DOE-US) (15 September 2019). Remember the First Time Colorado Tried Fracking with a Nuclear Bomb? Los Alamos National Laboratory.

DOE/EIA (2019). States: Where does yours rank? (Samuel Stebbins, ed.) *24/7 Wall Street*.

DOE (2019). Renewable Energy Industry Primed for Continued Growth, *2020 Renewable Energy Outlook.*

Editor, DOE (15 September 2019). Remember the First Time Colorado Tried Fracking with a Nuclear Bomb? Los Alamos National Laboratory.

Garcia, Paula (8 March 2019). Energy Analyst, *Union of Concerned Scientists.*

Government.no (2019). Office of the Prime Minister. Retrieved 26 November 2019 from https://www.regjeringen.no/en/aktuelt/climate-action-summit/id2669742/

Greshko, Michael (26 September 2019). What are mass extinctions, and what causes them? *National Geographic*. Retrieved 30 November 2019 from https://www.nationalgeogra phic.com/science/prehistoric-world/mass-extinction/#close

Hainsworth, Jeremy (11 February 2019). Lawsuit Claiming Liberal Cabinet Minister Misused Authority May Proceed, *North Shore News*. Retrieved 14 December 2019 from https://www.nsnews.com/lawsuit-claiming-liberal-cabinet-minister-misused-authority-may-proceed-b-c-supreme-court-1.23630772.

Independent (18 August 2018). Scotland Floating Turbine. *Independent*. Retrieved 30 November 2019 from https://www.independent.co.uk/environment/scotland-floating-turbine-tidal-power-recor d-sr2000-scotrenewables-ofgem-a8503221.html.

IPCC (2019). Report on Climate Change and Land: desertification, land degradation, sustainable land management, food security, and greenhouse gas fluxes in terrestrial ecosystems. Retrieved 14 December 2019 from https://www.ipcc.ch/site/assets/uploads/2019/08/Edited-SPM_Approved_Microsite_FINAL.pdf.

ISPBES (Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services) (2019). *2019 Global Assessment Report on Biodiversity and Ecosystem Services.* Retrieved 19 November 2019 from https://ipbes.net/global-assessment-report-biodiver sity-ecosystem-services

IUNC Report (2019) International Union for Conservation of Nature Marine life, fisheries increasingly threatened as the ocean loses oxygen. Retrieved 02 December 2019 from https://www.iucn.org/news/marine-and-polar/201912/marine-life-fisheries-increasingly-threatened-ocean-loses-oxygen-iucn-report.

Keep Scotland Beautiful (2019). Scotland's response to climate change. Retrieved 14 December 2019 from https://www.keepscotlandbeautiful.org/climate-change/scotlands-response-to-climate-change/

JVBL Editor interviews – Gingerich, Elizabeth (British Columbia, Iceland, Scotland, Tucson, AZ US) – May 2016-Dec. 4, 2019.

Karlis, N. (6 May 2019). UN environmental report: Humans are leading planet into sixth mass extinction One million species face extinction, causing a huge biodiversity loss and massively disrupting the ecosystem, *Salon*. Retrieved 10 December 2019 from https://www.salon.com/2019/05/06/un-environmental-report-humans-are-leading-planet-into-sixth-mass-extinction/.

Kluger, Jeffrey (July 25, 2014). The Sixth Great Extinction Is Underway – and We're to Blame. *Time Magazine*.

Kolbert, Elizabeth (2019). Climate Change and the New Age of Extinction, New Yorker. Retrieved 12 December 2019 from https://www.newyorker.com/magazine/2019/05/ 20/climate-change-and-the-new-age-of-extinction.

Maddow, Rachel (2019). *Blowout: Corrupted Democracy, Rogue State Russia, and the Richest, Most Destructive Industry on Earth*, New York, NY.

Marin Address to EU (2019). Sanna Marin Takes on Brexit, Climate at First EU Summit. *Finland PM.* Retrieved 16 December 2019 from https://www.youtube. com/watch?v =GTE1IZ oppgY.

Myers, Quinn (24 July 2019). Illinois Faces Challenges in Reaching Renewable Energy Goals. *DOE/EIA Archives*.

N.A. (2019). *The Big Five Mass Extinctions*. Retrieved 4 December 2019 from https://cosmosmagazine.com/palaeontology/big-five-extinctions

N.A. (2019). *Entering the sixth mass extinction*. *Science Advances:* E1400253.

N.A. (25 April 2019). Here we go again: Earth's major "mass extinctions." *Phys.org.*, Retrieved 05 December 2019 from https://phys.org/news/2019-04-earth-major-mass-extinctions. html

News.co.au (8 November 2019). Jacinda Ardern gives inspiring speech as New Zealand passes historic climate change law. Retrieved 16 December 2019 from *news.co.au.*

Razis, D. V. (2010). The risk of a sixth mass extinction of life and the role of medicine. *Journal of the Royal Society of Medicine*, 103(12), 473–474. doi:10.1258/jrsm.2010.010090.

Reuters (3 January 2019). Germany – Power Renewables. Reuters Environment. Retrieved 10 December 2019 from https://www.reuters.com/article/us-germany-power-renewables/renewables-overtake-coal-as-germanys-main-energy-source-idUSKCN1OX0U2.

Schwartz, John (19 March 2019). Amid 19-Year Drought, States Sign Deal to Conserve, *New York Times*. Retrieved 10 December 2019 from https://www.nytimes.com › 2019/03/19 › climate › colorado-river-water

Sittig, Linda Harris (28 May 2012). *Sigridur Tomasdottir, Steward of the Land.*

Storrow, Benjamin (26 February 2019). An Arizona Utility Is Betting Big on Energy Storage, *E&E News*. Retrieved 10 December 2019 from https://www.scientificamerican.com /article/an-arizona-utility-is-betting-big-on-energy-storage/.

The Local.no (9 October 2019). Norway's PM promises to keep looking for oil "as long as it is profitable," *The Local.* Retrieved 10 December 2019 from https://www.thelocal.no/2 0191009/norways-pm-promises-to-keep-looking-for-oil-as-long-as-it-is-profitable.

Thunberg, Greta (2019). Shames Solberg on Climate. Retrieved 11 December 2019 from https://www.newsinenglish.no/2019/12/11/thunberg-lashes-out-at-solberg/

Toledo, Adalberto (15 April 2019). Analysis: Four wind farms, 329 turbines generate $9.9 million across area, *The News-Gazette*, Retrieved 11 December 2019 from https://news.wttw.com/2019/07/24/illinois-faces-challenges-reaching-renewable-energy-goals.

UN General Assembly (23 September 2019). Erna Solberg, Climate Action Summit Speech, *Climate Action Summit*. New York, NY.

US Congressional Proceedings Committee on Natural Resources. Subcommittee on Water and Power (2013). Federal-state controversies. *U.S. Government Printing Office*. Retrieved 10 December 2019 from https://play.google.com/books/reader?id=LP96p4ZvJW8C&hl= en&pg=GBS.PP4.

US Congressional Proceedings (1 January 2014). *Federal Impediments to Water Right, Job Creation, and Recreation: A Local Perspective: Oversight Hearing Before the Subcommitee on Water and Power of the Committee on Natural Resources*, One Hundred Thirteenth Congress, First Session, Thursday, April 25, 2013.

Woodward, Aylin (18 June 2019). 18 Signs We're in the Middle of a Sixth Mass Extinction, *Business Insider.* Retrieved 14 December 2019 from https://www.businessinsider.com/ signs-of-6th-mass-extinction-2019-3.

World Bank Group (2019.) *State and Trends of Carbon Pricing 2019. Washington, DC: World Bank.* Retrieved 11 December 2019 from *https://openknowledge.worldbank.org/handle/10986/31755 License: CC BY 3.0 IGO.*).

World Wildlife Climate Report (2019). Retrieved 08 December 2019 from https://www.worldwildlife.org/threats/deforestation-and-forest-degradation

Young, Robin and Miller-Medzon, Karyn (10 December 2019). Here & Now, *NPR*.

Zillman, Claire (16 May 2019). The Fortune 500 Has More Female CEOs Than Ever Before, *Fortune.*

Journal of Values-Based Leadership, Valparaiso University
College of Business
Valparaiso, Indiana 46383