

CRANFIELD UNIVERSITY

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The role of authority and context in shaping leadership processes  
and distribution in Business School Departments: An Exploratory  
Study

School of Management

DBA

Academic Year: 2014 - 2015

Supervisor: David Denyer

July 2015

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the degree of Doctor of Business Administration

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## **ABSTRACT**

Since the turn of the century interest has grown in alternative models of leadership to reflect increased complexity and ambiguity, the need to respond faster to complex market conditions, and new patterns of accountability, interdependency and co-ordination within organisations of all types. This has led to the emergence of alternative models of leadership including shared and distributed leadership. In many organisations, such as those with matrix structures, many leaders need to accomplish organisational goals without formal line management authority over employees. This is also the case in many professional services (e.g. law and consultancy) that operate partnership models whereby individuals have little direct authority over their peers. In University settings the governance structure also impedes traditional hierarchical leadership. The tenure system, operated by many universities and colleges in the United States and Canada, provides intellectual autonomy, protects academics from external pressure and offers job security. Despite a growing literature on shared and distributed leadership, few studies have empirically examined the nature of leadership distribution, the contextual factors that impact leadership, and how those in senior positions (e.g. university department chairs) achieve organisational goals when employees (e.g. faculty members) possess significant authority and autonomy. This study addresses this gap. In so doing the study aims to contribute to the literature on shared and distributed leadership and provide important insight to assist positional leaders who possess limited direct authority in more effectively accomplishing their leadership goals.

The thesis, an exploratory study examining departmental leadership distribution and processes within a single business school, has three interconnected projects. The first research project involves interviews with chairs and faculty members from three business school departments and senior administrators at the school level to understand how they conceptualize departmental leadership and the factors influencing the chair's ability to implement strategic initiatives.

The project findings indicate department leadership is shared between formally designated leaders and department members. The findings also suggest a range of contextual factors that influence the chair's ability to implement strategic changes.

The second research project is a metasynthesis of the empirical literature on shared and distributed leadership with the aim of identifying the influence of authority, context and distributed elements on leadership processes. The project uses a two stage process, data extraction and data synthesis, to determine the influence of each of the three constructs. The findings confirm the importance of structural hierarchy in shaping patterns of shared and distributed leadership and suggest significant differences in the nature of distributed leadership between high and low levels of structural hierarchy. In addition to applying metasynthesis to an organisational study the project also employs a new form of metasynthesis methodology.

The third and final research project involves interviews with faculty members within the same business school to examine the nature of their department leadership and what influences their leadership engagement. The project primarily uses a deductive approach to identify the nature of leadership, form of distributed leadership and contextual factors influencing leadership engagement. The findings suggest that members construe leadership and management activities in identifying their leadership roles. While multiple forms of distributed leadership are identified, member leadership tends to be self-initiated and performed individually, rather than in collaboration. The findings also highlight the particular importance of contextual factors related to employment status, culture and member goals and purposes as influences on member leadership participation.

The project findings have practical application, particularly for department chairs. Through a comprehensive analysis of the contextual configuration of their departments, chairs can leverage the factors that facilitate the implementation of strategic initiatives and member leadership participation. Chairs can also mitigate the factors that serve to inhibit strategic change and member leadership engagement.

Keywords:

Department Leadership, Distributed Leadership, Contextual Leadership

## **ACKNOWLEDGEMENTS**

My work on the doctorate has been both a challenging and rewarding experience. As with most complex, long term endeavours, I could not have gotten to this stage without the help and support of a large supporting cast. My supervisor, Professor David Denyer, has been with me every step of the way and his support, advice, patience and guidance has been a key factor in my getting to this final stage. My panel, Professor Kim Turnbull-James (Chair) and Dr. Catherine Bailey have also been instrumental in helping me develop and craft each of the study's research projects. I have been fortunate to carry out this work as a student of Cranfield University as the support I have received from the DBA Program Directors the late Professor Emeritus Alan Harrison and Dr. Emma Parry, the Program Administrators Barbara Birtles and Alison Wilkinson and my Cohort Director, Dr. Donna Ladkin, was a key factor in my ability to complete this dissertation. I have also been greatly assisted by my employer and greatly appreciate the time and energy provided by my mentors including Dr. Wendy Cukier, Dr. Ojelanki Ngwenyama, Dr. Rein Peterson and Dr. Gerry Hunt. Of course the source of my greatest support has been my wife Adrienne and my sons Josiah and Rahmiel and it goes without saying none of this could have been accomplished without their backing and encouragement.

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## **LIST OF ABBREVIATIONS**

CU	Cranfield University
P1	Project 1
P2	Project 2
P3	Project 3
DL	Distributed Leadership

# **1 LINKING DOCUMENT**

## **1.1 Abstract**

The next section of the linking document examines my personal motivation for undertaking a doctorate, the rationale for choosing the dissertation topic and the purpose of my research program.

## **1.2 Background and rationale**

When I began the Doctor of Business Administration in 2007, I was particularly interested in examining how leadership is shared between leaders and members within an organisational unit. In the early 2000's I often heard from organisational leaders the buzzwords that organizations were seeking for staff that could provide leadership every level of the organization and I was interested in exploring how this concept actually worked. To my initial surprise the research literature examining this organisational objective was not extensive. While I had spent the bulk of my career as a senior manager in the public sector, when I retired in 2001, I started to teach part-time in a Business School and also work as a part-time Management Consultant. By the time I had started my doctoral program I had begun teaching on a full-time basis and recognized that Business School Departments offered a worthwhile and compelling setting for examining how leadership was shared between leaders (chairs) and members (faculty), as I personally experienced and observed how both leaders and members took on leadership roles within departments.

Business schools are a relevant context for examining how leadership is distributed between members and leaders given the nature of shared authority and high member autonomy within this setting. The relevance for studying leadership within Business schools is also being driven by the challenges these institutions face including the changing marketplace for business education (Hawawini, 2005;



de Onzoño and Carmona, 2007), competition for enrolments (Stevens, 2000; Julian and Ofori-Dankwa, 2006; Tullis and Camey, 2007), growth and accreditation pressures (Hawawini, 2005; Smith and Rubenson, 2005; de Onzoño and Carmona, 2007), the pressures to balance professional and academic orientation (Trank and Rynes, 2003; Mintzberg, 2004; Bennis and O'Toole, 2005; Tullis and Camey, 2007), all of which require on-going strategic and leadership action. To add to these challenges, Business Schools have also been taking increasing important roles within higher education as in the U.S., 20% of undergraduate degrees and 25% of masters' degrees were awarded by business schools (Pfeffer and Fong, 2004). In some cases, the increased revenues from business course enrolments have enabled the university to subsidize other academic programs (Bolton, 1996), so the need to maintain and increase revenue streams is a constant pressure. Given the collegial governance structures of these institutions all levels of the organization need to be involved in leading the strategic initiatives to meet these challenges.

The collegial structure of academic institutions where authority is shared between senior administrators and faculty, particularly in North America, limits Business School leaders' ability to enact changes without agreement from academic members of the organization. Major decisions in academic departments regarding program offerings, delivery formats, and curriculum require agreement between administrators and faculty members (Roberts, 2004). These decisions are typically shaped at the department level, making this unit of organization particularly important in leadership within the academy (Tullis and Camey, 2007; Dhir, 2003). While the use of collegial structures, which feature democratic decision making between faculty members and school administrators, is giving way to more managerial forms of organization, particularly in the U.K. and Australia (Bareham, 2004; Middlehurst, 2004) and there is some evidence of increased managerialism in the North American academy, collegial structures continue to be the dominant form (Roberts, 2004). The tenure system, which provides individual members with the individual autonomy and security to ensure

their freedom to pursue academic interests without fear of reprisal, places a further limitation on the power of the chair in the exercise of leadership, as their ability to direct members is limited. The structure provides faculty member with a level of individual autonomy unprecedented in most other organization forms (Tierney, 2004).

Given the uniqueness of the governance structure in academic departments it is surprising to find that previous research on department chair leadership focuses primarily on the chair position and uses traditional leadership perspectives that delineated leaders and followers and attribute leadership solely to the chair (Bensimon, 1989). This research has tended to focus on competency (Bryman, 2007), behavioural (Gomes and Knowles, 1999; Brown and Moshavi, 2002), contingency (Creswell and Brown, 1992), and transformational leadership perspectives (Trocchia and Andrus, 2003; Creswell and Brown, 1992; Stark et al., 2002; Bland et al., 2002). These approaches tend to ignore the roles, shared authority and member autonomy play within the academic department and as such perhaps may not capture the full set of processes which influence leadership within these contexts. While there has been a number of emerging leadership perspectives, such as team (Burke et al., 2006), shared (Avolio et al., 2003; Pearce and Conger, 2003; Carson et al., 2007), distributed (Gronn, 2002, Spillane, 2006), relational and complexity (Drath et al., 2008; Bolden et al., 2010) leadership that do recognize leadership as a shared phenomenon between designated leaders and organization members, research within the academic department context has been limited (Bolden, Petrov and Gosling, 2008) and most studies are U.K. or Australia based where collegial governance structures are in decline (Bareham, 2004; Middlehurst, 2004).

In addition, research on leadership within Business Schools in North America is limited. While there is some research on specific business school departments (Roberts, 2004; Trocchia and Andrus, 2003; Gomes and Knowles, 1999), most research within this context has focused on the school level and the dean position

rather than on departments and chairs (Bolton, 1996; Stevens, 2000; Bareham, 2004; Johnson et al., 1998; Gallos, 2002; Green and Spritzer, 2002). As aforementioned this research also tends to be position-centric and does not include leadership contributions of other department members.

Given the above, the purpose of my research is to examine leadership processes within several departments within a Business School. The aim of this exploratory research is intended to understand the how the unique governance arrangements within academic departments affect both the leadership enacted by the designated leader (chair) and the extent to which organization members (faculty) are involved in leadership processes.

The next section of the Linking Document will outline the Cranfield DBA Dissertation process and provide a summary of the projects taken at each stage of process. The project summaries will detail the research questions driving each stage of the project, the key project findings and the knowledge contribution of each project.

### **1.3 Structure of DBA Dissertation**

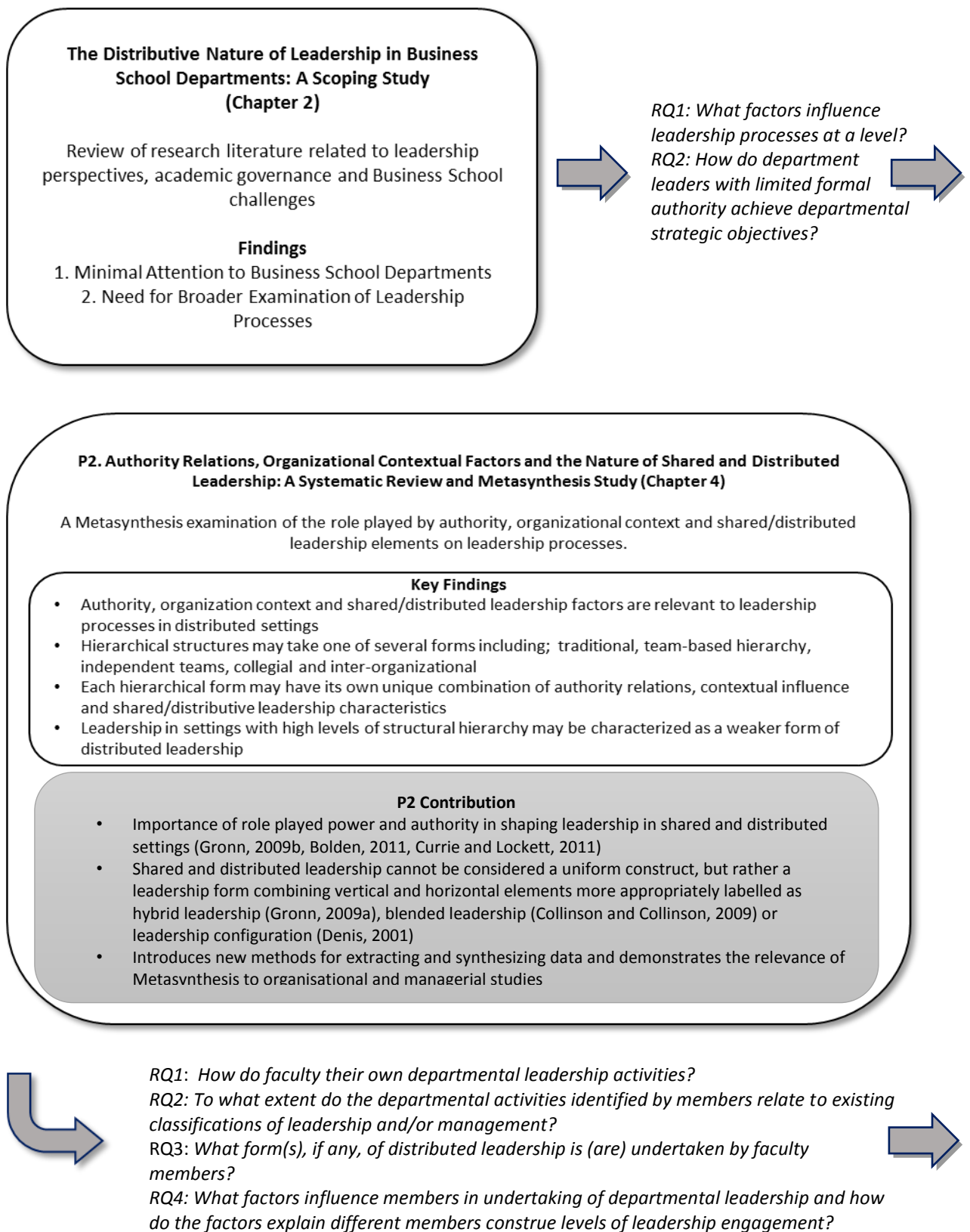
The Cranfield DBA Dissertation consists of five distinct stages with each stage comprising a specific project. It is important to recognize that with the Cranfield process each stage builds on the previous stage and the questions raised within a particular stage forms the basis for the next stage. A summary of the Cranfield DBA process and the details pertaining to this dissertation are outlined in Table 1.

Project	Objectives	Project Title	Project Type	Completion
Scoping Study	To develop a research topic through the scoping and critical review of relevant literature	The Distributive Nature of Leadership in Business School Departments: A Scoping Study (Chapter 2)	Literature Review	October, 2008
Project 1	To examine the research questions raised in the scoping study, either through a systematic review of previous literature or an empirical project.	Understanding Leadership in Business School Departments: the importance of context, relationships and authority (Chapter 3)	Qualitative Study	April 2010
Project 2	To examine the research questions raised in Project 1, either through a systematic review of previous literature or an empirical project.	Authority Relations, Organisational Contextual Factors and the Nature of Shared and Distributed Leadership: A Systematic Review and Metasynthesis Study (Chapter 4)	Metasynthesis	April 2012
Project 3	To examine the research questions raised in Project 2 through an empirical project	Faculty Departmental Leadership In Business Schools (Chapter 5)	Qualitative Study	October 2014
Linking Document	To summarize the dissertation research process, findings and contributions to theory and practice	(Chapter 1)		March 2015

**Table 1 DBA Structure and overview of the projects**

## 1.4 Project Summaries

The next section of this document provides a summary of each project. The summaries include details as to the project purpose, research questions, methodology, findings and contribution and how the project connects with other projects within the dissertation (Figure 1).



**Figure 1 Project Flow Chart**

**P1 - Understanding Leadership in Business School Departments: the importance of context, relationships and authority (Chapter 3)**

Qualitative Study consisting of 17 interviews with faculty and chairs from 3 Business School Departments

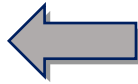
**Key Findings**

- 5 categories of contextual influences on leadership processes; governance, chair, faculty, departmental and nature of initiative
- Factors can facilitate or inhibit chair's ability to implement strategic initiatives
- Chair's ability to implement strategic change dependent on engendering faculty member support
- Departmental leadership has both vertical and horizontal dimensions

**P1 Contribution**

- Leadership is distributed both vertically and horizontally between leaders and members (Gronn, 2009)
- Importance of context in shaping leadership processes (Porter & McLaughlin, 2007; Bryman & Lilly, 2009)
- Contextual factors operate in a systematic manner to influence the leadership process (Porter & McLaughlin, 2006)
- Contextual leadership processes are dynamic and can change when specific factors change

*RQ1. What organizational factors, conditions and/or mechanisms influence leadership processes in organizations where the designated leader shares authority with organization members?*



**P3. Faculty Departmental Leadership in Business Schools (Chapter 5)**

Qualitative study involving interviews with 28 faculty members using a variety of models to examine member leadership in Business School departments

**Key Findings**

- Member leadership tends to focus on discrete, individual activities that have minimal strategic dimensions and impact on other members.
- Members in describing their leadership conflate leadership and management activities
- The form of leadership performed by members tends to be performed in isolation of other members and is self-initiated
- Contextual factors serve as important influences on member decisions to undertake leadership activity

**P3 Contribution**

- Importance of operationalizing leadership/management typologies in order to ensure clarity on what is being shared and distributed (Simonet and Tett, 2012). The findings confirm assertion on the importance
- Member leadership tends to be not influence based, but is closely aligned to the functional perspective of leadership (Mumford, 1986; Morgeson, 2005; Drath et al., 2008; Raelin, 2011)
- Development of a working model which delineates different forms of leadership distributed to members, which addresses some of the deficiencies of the Currie and Lockett (2011) model
- Extends the importance of context to member leadership (Bryman and Lilley, 2009; Kezar and Lester, 2009) identifies factors influencing and inhibiting their leadership participation

#### **1.4.1.1 Scoping Study (The Distributive Nature of Leadership in Business School Departments: A Scoping Study - Chapter 2)**

The purpose of the scoping study was to review the relevant research literature related to my main topic of leadership, departmental leadership in North American Business Schools. The study examined three literature domains; traditional and emerging leadership perspectives, academic governance structures and the leadership challenges facing North American Business schools. The literature domains were selected in order to answer the review questions driving the scoping study (Table 2).

Q1	Why is leadership critical to North American Business Schools at the present time?
Q2	How does the structure of the Academy impact on academic leadership practice?
Q3	How do traditional leadership perspectives help explain with the challenges of leadership in academic departments?

**Table 2 Scoping Study Review Questions**

The scoping study identified two key gaps within previous research that are examined as part of this dissertation. Firstly, while there has been previous research on academic department leadership, business school departments have received limited attention. Though other types of academic departments also face leadership challenges, the professional nature and popularity of business schools present a specific set of challenges that may have different impacts for departmental leadership. Secondly, previous research on academic department leadership assumes a position-centric orientation. The unique governance structure of business school departments calls for a research approach that does not necessarily assume all or most leadership is the domain of the designated leader, but allows for a broader examination of the leadership processes.

The scoping study posed a series of questions (Table 3) for further examination and recommended an exploratory qualitative empirical project as the next step in the dissertation process.

Q1	What factors influence leadership processes at a department level?
Q2	How do leaders with limited formal authority achieve departmental strategic objectives?

**Table 3 Research Questions Emerging from Scoping Study**

### **1.4.2 Project 1 (P1) (Understanding Leadership in Business School Departments: the importance of context, relationships and authority - Chapter 3)**

The purpose of this exploratory project was to examine leadership processes within several departments of a single business school with a focus on understanding how authority relations influence departmental leadership. The project was driven by two research questions (Table 3). The next sections will provide a summary of the project’s research methodology, findings and contributions.

#### **1.4.2.1 P1 Methodology**

In order to capture the perspectives of both designated leaders and other departmental members a qualitative design, which is particularly well suited for this purpose (Miles, 1994), was used. Project 1 used a single case study featuring embedded multiple units, which is appropriate for subjects sharing similar structures as other organizations in the same (Yin, 2008) and can be a valuable source for new theoretical insights (Eisenhardt, 1989). The semi-structured interviews provided the opportunity to focus on the participant’s point of view and allow them to explore themes important to them (Kvale and Brinkmann, 2009). The project utilized an inductive approach in answering the research questions, which fits with the exploratory nature of the project (Blaikie, 2000) and gave participants the opportunity to identify relevant themes and concepts (Braun and



Clarke, 2006). The reliance on the perceptions of participants to explain the phenomena places the project within a social constructivist epistemology (Creswell, 2008).

In order to secure multiple perspectives on leadership processes within the departments, the interviews for the first project included designated leaders (chairs), members (faculty) and School Senior Administrators (Dean and Associate Director). A random process was used to select both the departments and the faculty members to be interviewed. With the inclusion of the three department chairs and two senior administrators, the sample contained 17 participants. Project 1 used thematic analysis approach in organizing project data into systematic accounts (Ezzy, 2002) and was facilitated by the use of the software program NVivo. The initial coding process for the interview data in each project involved a combination of inductive and a priori approaches which served to inform the development of a tree code network incorporating common categories and themes (Westbrook, 1994).

#### 1.4.2.2 Project 1 Findings

The findings suggest a range of factors influence departmental leadership processes and establish the importance of context on leadership in this particular setting. The comments from the project participants on what factors influenced departmental leadership (Question 1) were grouped into five categories (Table 4).

Category	Factor
<b>Governance Factors</b>	Faculty Autonomy (page 90)
	Leader Tenure/Hiring (pages 90-91)
	Limits to Power (page 91)
	Shared Authority (page 92)
	Decision Process (page 92)
<b>Chair (Leader) Factors</b>	Change Orientation (page 93)
	Leadership Style (page 93)
<b>Member (Faculty) Factors</b>	Change Orientation (pages 94-95)
	Employment Status (pages 96-97)
<b>Departmental Factors</b>	Culture (page 98 )
	Decision Process (page 98)

<i>Nature of the Initiative</i>	Impact on Faculty (page 99)
	Importance to the Chair (pages 99-100)
	Source (page 101)
	Type (page 101)

**Table 4 Contextual Factors**

The findings also demonstrate how the above factors could serve to either inhibit or facilitate a chair's ability to implement departmental strategic initiatives (Question 2). The experience of the departments within the case suggest that as the contextual factors change, the nature of leadership within the department may also change. The findings also suggest the Chair's ability to implement strategic objectives is dependent on their ability to engender member support for those objectives, which in turn is impacted directly by specific contextual factors such as member change orientation and employment status, the department's employment composition and impact of the initiative on members. In addition to reinforcing the importance of the chair's role in departmental leadership, the findings suggest that faculty members also play a leadership role and the decision to participate in leadership activities is often initiated by the member, rather than through leader delegation.

#### **1.4.2.3 P1 Contribution**

The first contribution of the project relates to how leadership is distributed within the department. While there were examples of the central role of the leader in a number of initiatives cited in the project, there were other examples of leadership action orchestrated by members, constituting distributed leadership. These findings also provide empirical support for Gronn's (2009) claim that leadership is not simply focused on a designated leader or fully distributed to members, but rather configured as a combination of these two dimensions.

The second contribution of the project relates to Bryman and Lilly's (2009) claim that departmental leadership may be more influenced by context than the leader's

specific leadership approach. While Bryman and Lilly (2009) do not indicate the specific contextual factors that influence departmental leadership, P1 findings suggest these factors include governance, leader, member, departmental and the nature of the initiative (Table 4). Whereas previous research examining leadership distributed to members as a top down process involving the delegation of leadership from designated leaders to members (Manz and Sims, 1987; Kirkman and Rosen, 1999; Pearce and Sims Jr., 2002; Edmondson, 2003; Pearce and Barkus, 2004; Carson et al., 2007), these findings suggest that within this context members, by the extent of their high autonomy, determine the extent and type of leadership distribution.

The third contribution relates to the confirmation of the importance of context in shaping leadership processes within organizations. Previous research has suggested that studies that focus exclusively on individual leader behaviour and characteristics are incomplete as they ignore the connection between leadership and the social structures in which it operates (Bryman et al., 1996; Biggart and Hamilton, 1987; Pettigrew and Whipp, 1993; Leavy and Wilson, 1994; Osborn et al., 2002). A number of researchers have suggested that the use of context as an analytical lens is particularly important in examining leadership power (Krause, 2004) or where leadership is distributed (Currie et al., 2009) as is the case in P1. While Porter and McLaughlin (2006) in their review of the importance of context in leadership studies between 1990 and 2005 postulate seven broad categories of organisational contextual factors that may influence leadership processes, the findings of this study identify how these factors particularly influence leadership processes within a specific organisational setting.

The fourth contribution is that this study provides empirical support to Porter and McLaughlin's (2006) theoretical claim that contextual factors operate in a systematic manner to influence the leadership process in organizations. The case studies provide empirical evidence to how contextual factors act in concert to form an integrated coherent leadership process.

The fifth contribution is a new theoretical contribution, which suggests that contextual leadership is dynamic process in which its influence on leadership can change as changes occur within in specific contextual factors. Each case study provides specific examples of how changes in one or more factors can significantly influence the ability of the designated leader to implement strategic change.

### **1.4.3 Project 2 (P2) – (Authority Relations, Organisational Contextual Factors and the Nature of Shared and Distributed Leadership: A Systematic Review and Metasynthesis Study – Chapter 4)**

The purpose of Project 2 was to focus on the role of authority relations and context in shaping how leadership is shared and distributed within an organization unit, particularly in settings in which authority and leadership is shared between formal leaders and members. The project builds on extends the process of systematic review (Tranfield, Denyer and Smart, 2003), by offering a metasynthesis approach, which involves a more detailed analysis of projects’ findings. The primary research question and sub questions used to guide the synthesis are shown in Table 5.

Primary Question	What organisational factors, conditions and/or mechanisms influence leadership processes in organizations where the designated leader shares authority with organization members?
Subordinate Q1	How do authority relations shape the contextual factors influence leadership in shared/distributed settings?
Subordinate Q2	Which organisational contextual factors shape leadership processes in shared and distributed settings?
Subordinate Q3	How does authority influence the nature of shared and distributed leadership?

**Table 5 P2 Research Questions**

#### **1.4.3.1 P2 Methodology**

The project is a literature based project using metasynthesis, a method of synthesizing data from existing research as a means to answer relevant new research questions. Metasynthesis, which has been used in the health and medical sciences (Bridges et al., 2010) is a fairly new methodology and has rarely been used in organization and management studies. This method is particularly well suited to this project given the limited research that directly examines the roles played by members and authority in leadership distribution, though many papers address these issues indirectly. The methodology has four distinct stages; project selection, data extraction, data analysis and data synthesis (Suri and Clarke, 2009; Morton et al., 2010).

The first stage in the methodology mirrors the approach used in the Systematic Reviews (Tranfield, Denyer and Smart, 2003) to identify suitable previous research to include in the study. This process involved three main phases; search protocols for relevant studies, screening of studies for inclusion and quality appraisal and selection of studies. The project included both qualitative and quantitative studies, an approach consistent with critical interpretative synthesis methodology (Mays et al., 2005; Dixon-Woods et al., 2006) (P2, pages 139-140).

Once the papers for inclusion were settled on, the second stage of the process, data extraction was performed. This involved two steps; the establishment of categories that drive the data extraction and the extraction of data into the pre-established categories (Oliver et al., 2008). While an inductive or grounded approach is typically used to develop extraction categories (Barnett-Page and Thomas, 2009), this project utilized a priori categories based on theoretical constructs used within the three categories identified in the project's research questions; shared/distributed leadership, authority relations and contextual leadership. This approach is consistent with framework synthesis (Carroll et al.,

2011). The extraction categories and theoretical foundation can be found in Table 7 (P2, page 140).

The third stage of the process involves the analysis of the extracted data. The analysis is focused on the fit between the data in the selected studies and the theoretical frameworks within each of the three disciplines.

The fourth and final stage of the methodology involves synthesizing the data to generate new explanations or frameworks for the constructs being considered (Barnett-Page and Thomas, 2009; Suri and Clarke, 2009; Thomas and Harden, 2008). The papers included in the review featured five distinct forms of structural hierarchy. The synthesis process involved two stages. In the first stage the extracted data was applied to each of the structural forms and analysed to determine distinct characteristics of each form. For the second stage the five forms were delineated into high and low levels of structural authority and both levels were analysed for potential explanations as to how authority relations impact leadership distribution

#### **1.4.3.2 P2 Findings**

The P2 findings provide support to the P1 findings on the importance of contextual factors in shaping leadership in shared/distributed leadership settings, reveal the various aspects of distribution and demonstrate how the nature of distribution is shaped by authority relations. The project also highlights the role of hierarchical structure in shaping the nature of the leadership shared and distributed to members, demonstrating significant differences between settings with high and low levels of hierarchy. There are specific findings that relate to both the extraction and synthesis stages of the project analysis.

#### **1.4.3.2.1 Extraction Findings**

The first set of findings, based on the extraction of data from the project sample, demonstrates the relevance of the frameworks selected within each of the major project categories. For authority relations, there was evidence of the applicability of all four influence types of authority relations; position, personality, competency and institutional to varying degrees. For the form of authority relations, each form of professional autonomy; operational, strategic and administrative was cited in the extracted studies, although the citation of administrative forms was minimal.

Examples of each category of contextual influence identified by Porter and McLaughlin (2006) are present in the data extracted, though some categories are more frequently noted than others. For example, the culture and structure culture categories are most frequently cited. There are also numerous examples involving goals, people and process categories. The other two categories, state and time, are less frequently cited.

The findings also confirm the relevance of most of the shared/distributed leadership categories used in the extraction process, however there are a number of exceptions. The first two exceptions relate to factors proposed as additions to Gronn's (2002) model of concertive action and Spillane's (2006) model of co-performance. The absence of any examples of anarchic misalignment (Leithwood et al., 2007) as a form of concertive action and a single occurrence of the parallel forms (Leithwood et al., 2009) of co-performance calls into question the applicability of these factors as additions to each model. A similar exception can be found in considering the type of delegation mechanism used to distribute leadership as no reference to the additive type of delegation (Harris, 2009) is found in the extracted data.

#### **1.4.3.2.2 Synthesis Findings**

The synthesis of the extracted data into the five distinct forms of structural hierarchy suggests that each form has its unique combination of authority, contextual and shared/distributed leadership factors.

While the findings suggest that each of the five distinctive forms of hierarchical structure; traditional, team-based hierarchy, independent teams, collegial and inter-organisational has its own unique combination of authority relations, contextual influence and shared/distributive leadership characteristics each (P2 pages 159-160), a number of interesting trends emerge when the data is synthesized according to high and low levels of structural hierarchy.

The differences in authority relations between high and low hierarchical structural related to personality as a source of leader authority and strategic and operational forms of professional autonomy. While personality as a source of authority and strategic autonomy is cited with greater frequency in organizations with lower levels of strategic authority, operational autonomy is more frequently cited in organizations with higher levels of autonomy.

When examining contextual influences, there are many more similarities than difference between low and high levels of hierarchical (P2, pages 160-161). Culture, Goals, People, Process and Structure are all frequently discussed as influences in studies featuring both levels of hierarchical structure. The primary differences between the two forms of hierarchy are most pronounced when considering the contextual influences of the organization state (stability, resources and organisational health) and time. Both of these factors appear as greater influences in low hierarchical structures compared with higher levels of structure.



There were also a number of differences between low and high hierarchical structure related to shared/distributive leadership factors. A number of factors including the reciprocal form of agency, institutional forms of practices, member leadership coordination, operational tasks and autocratic mechanisms of delegation are more frequently cited in papers which feature higher levels of structural hierarchy. While features such as the synergic form of agency, spontaneous collaboration, emergent forms of distribution, informal engagement, strategic tasks and autonomous and ad hoc forms of delegation are more frequently cited in papers that feature lower levels of structural hierarchy.

These features when combined demonstrate a noteworthy difference in the nature of distributed leadership between structures with high and low levels of structural hierarchy (Table 6). While many of the features associated with low hierarchy structure can be viewed as stretching leadership across organisational levels, a number of the features characteristic of high hierarchical structure lends credence to the contention as to whether or not much of the reported incidents of shared and distributed leadership can really be considered leadership (Hatcher, 2005; Denis et al., 2012). The findings support the claim that leadership in settings with high levels of structural hierarchy may be characterized as a weaker form of distributed leadership (Mascall et al., 2008; Currie et al., 2009).

Characteristic	High	Low
<b>Authority Influence</b>	Position	Personality
<b>Professional Autonomy</b>	Operational	Strategic
<b>Conjoint Agency</b>	Reciprocal	Synergistic
<b>Concertive Action</b>	Institutional Practices	Spontaneous collaboration
<b>Nature of Emergence</b>	Planned	Emergent
<b>Leadership Engagement</b>	Formal	Formal and Informal
<b>Co-performance</b>	Coordinated	Collaborative
<b>Leadership Task</b>	Operational	Strategic

Delegation Mechanisms	Autocratic	Autonomous and Ad Hoc
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**Table 6 Synthesis Findings - Low and High Structural Hierarchy**

### **1.4.3.3 P2 Discussion and Contribution**

The P2 findings indicated that organization factors/conditions, authority and shared and distributed leadership models were all relevant to examining pluralistic organizations. The findings also suggest some distinct differences in authority relations and the nature of shared/distributed leadership between organizations with high and low levels of organisational hierarchy (P2, page 169). Three propositions emerged from the findings:

P1 The form of hierarchical structure influences the configuration of how leadership is shared and distributed within organizations

P2 The level of hierarchical structure influences the extent leadership is shared and distributed between leaders and members within an organization

P3 Leadership in shared and distributed settings is influenced by organisational contextual factors, which may include culture, structures, processes, people and goals

The findings show how authority relationship shape the nature of shared and distributed leadership and address the relative absence of discussions in the literature of how power and authority shape leadership in shared and distributed settings (Gronn, 2009b; Hartley, 2009; Youngs, 2009; Bolden, 2011; Currie and Lockett, 2011; Denis et al., 2012). The distinct profile, in terms of authority relations, contextual influences and shared/distribution leadership elements, provides evidence supporting the claim that shared and distributed leadership cannot be considered a uniform construct (Currie and Lockett, 2011; Anderson et al., 2009). The differences in authority relations, contextual influences and

shared/distribution leadership elements between high and low levels of structural hierarchy also support and provide evidence for the theoretical propositions that suggest leadership in shared settings is neither purely focused (vertical) nor distributed (horizontal) but rather a combination of the two and more appropriately labelled as hybrid leadership (Gronn, 2009a), blended leadership (Collinson and Collinson, 2009) or leadership configuration (Denis, 2001).

The project also contributes to metasyntesis methodology through the development of new methods for extracting and synthesizing data and demonstrating the relevance of metasyntesis to organisational and managerial studies.

#### **1.4.4 Project 3 (P3) (Faculty Departmental Leadership in Business Schools – Chapter 5)**

P3 builds on P1 by analyzing the leadership role played by members and extends P2 by exploring different levels of leadership involvement within organizations with low level of hierarchical structure. The project is designed to answer the following research questions:

*RQ1: How do faculty members construe their own departmental leadership activities?*

*RQ2: To what extent do the departmental activities identified by members relate to existing classifications of leadership and/or management?*

*RQ3: What form(s), if any, of distributed leadership is (are) undertaken by faculty members?*

*RQ4: What factors influence members in undertaking of departmental leadership and how do the factors explain different levels of leadership engagement?*

#### **1.4.4.1 P3 Methodology**

The P3 research methodology is similar to the approach taken in P1, though as the project seeks to understand the departmental leadership role played by members, the sample only includes faculty members. While the first question examining how members construe their own leadership used an inductive approach, the following questions each used deductive approaches. First, a bidimensional model delineating management and leadership activities was developed to explore the nature of leadership performed by members. Second, a model drawing on Currie and Lockett's (2011) was developed to examine the forms of shared and distributed leadership. Third, Porter and McLaughlin's (2006) model was employed to examine the contextual factors influencing member leadership participation.

P3 involved semi-structured interviews with 28 faculty members representing 7 departments within the same Business School that was used in P1. The coding process identified key themes and concepts emerging from the interview data. The analysis of the data varied according to the research question. For the first question, how members construe their own leadership, the analysis focused on the themes and concepts related to the perspectives of individual members. The analysis for the second question, examining the distinction between management and leadership activities, focused on the activities (61) identified by respondents. For the third question, the form of distributed leadership, the analysis involved only the activities (35) classified as leadership. For the fourth question examining contextual influences, a cross-case synthesis approach delineating the sample into high and low levels of leadership activity was used.

#### **1.4.4.2 P3 Findings**

Whilst the notion of member department leadership was contested by some participants, who suggested that leadership must involve strategic level activities,

most respondents reported a wide range of departmental leadership activities. These tend to be discrete activities performed by individual members and have a limited impact on other departmental members. The activities can be grouped into three categories; academic, student and committee work.

Most respondents adopted a unidimensional perspective (Simonet and Tett, 2013) in which leadership and management activities are not considered to be separate categories. However when a bi-polar lens (leadership and management as distinct constructs) was used, over 40% of the activities identified by respondents could be more appropriately classified as management, rather than leadership activities. The distinction between management and leadership activities suggests that the level of leadership distributed to members may be lower than reported in previous leadership research (Juntrasook, 2014).

The P3 findings also suggest that the nature of distributed leadership performed by members can take a number of different forms. Building on the Forms of Distributed Leadership, a two-by-two model developed by Currie and Lockett (2011), the model in this project continues to use the variable of concertive action, which indicates whether or not specific member leadership activities are performed by an individual member or groups of members. However as Currie and Lockett's (2011) second variable, conjoint agency cannot be considered independently of concertive action as all concertive action by its nature involves conjoint agency. To address this problem the variable type of delegation was substituted for conjoint agency in order to produce four distinct forms of distributed leadership.

The findings support 6 of the 7 contextual categories identified by Porter and McLaughlin (2006) that influence the leadership involvement of members including people/composition, processes, culture, goals/purposes, state/condition, and structure. The factors that support member leadership involvement (skill match, member interest, passion, social value orientation and sense of obligation) can be

distinguished from those factors that serve to inhibit member leadership activity (untenured status, negative change efficacy and controlling cultural forms).

#### **1.4.4.3 P3 Discussion and Contribution**

While previous research in shared and distributed leadership focused on designated leaders (Middlehurst, 2008; Macfarlane, 2012), P3 adds the perspective of organization members whose views on the unidimensional nature of their leadership involvement makes little distinction between leadership and management activities. The findings confirm Simonet and Tett (2012) assertion on the importance of operationalizing leadership/management typologies in examining shared and distributed leadership in order to ensure clarity on what is being shared and distributed.

The P3 findings also suggest that the form of leadership shared between designated leaders and members does not conform to influence based forms of leadership but can more aptly be defined as a form of functional leadership. This distinct form of leadership may resolve the question raised by Gronn (2008) as to whether distributed leadership is leadership at all or something else. The project also contributes a working model which delineates different forms of leadership distributed to members, which addresses some of the deficiencies of the Currie and Lockett (2011) model.

The presence of an individualistic form of member leadership practice performed by members in these findings, builds on and clarifies Currie and Lockett's (2011) forms of not concertive leadership, which suggests that this form of leadership is the exclusive domain of formal leaders. The findings provide further confirmation of the importance of context in understanding leadership in distributed settings (Bryman and Lilley, 2009; Kezar and Lester, 2009) and extends the importance of this influence beyond designated leaders to include organization members. The

findings also suggest specific factors that serve to both influence and inhibit members to undertake departmental leadership.

## **1.5 Discussion of Research Findings and Contributions to Knowledge**

While each of the three main projects of the dissertation make their own unique contributions, when considering the projects as a whole some important themes emerge which serve in particular to strengthen a number of the dissertation's contributions. When considering the project findings as a whole, three key themes emerge. The first theme relates to the nature of shared and distributed leadership. The second theme addresses the importance of power relationships in shaping distributed leadership in shared leadership settings. The third theme involves the important role contextual factors play in shaping leadership processes in distributed settings.

### **1.5.1 Nature of Shared and Distributed Leadership**

Although throughout each of the projects the terms shared and distributed leadership are used interchangeably, this usage reflects the difficulty the field has in agreeing upon a clear distinction between the terms (Gronn, 2002; Bennett et al., 2004; Woods et al., 2004; Harris, 2007).

Although several researchers (Bennett et al., 2004; Harris, 2007; Fitzsimons et al., 2011) have attempted to clarify the differences between the two constructs, these findings which focus on member leadership suggest a potential solution to resolve the lack of clarity. The solution entails using the term shared leadership for situations in which two or more individuals share leadership within an organization or a group. These shared leadership groups can be considered to be a leaderplex (Carte, 2006). For example P1 and P3 findings demonstrate that multiple individuals within each department are participating in leadership activities, which

is indicative of a shared leadership setting. The term distributed leadership refers to the patterns of distribution between members of leaderplex and may include such detail as the nature and form of leadership being distributed, the pattern(s) of distribution and the factors influencing distribution. P3 findings provide good examples of all of the above and under the proposed definitions of the two constructs, the project's focus is on distributed leadership.

In essence this delineation of terms conforms to a number of views of distributed leadership as configured (Gronn, 2009) or blended (Collison and Collinson, 2009) and focuses distribution on the specific detailed as how shared leadership is blended or configured. In examining the specific character of leadership performed by both formal and informal leaders in the organization, the project expands the understanding of how leadership is distributed in settings of shared authority and high member autonomy. In sync with the view that in most instances, shared leadership does not displace vertical leadership within pluralistic settings (Collinson and Collinson, 2009; Gronn, 2009a) each projects reinforces the importance of the vertical leader. However by examining the characteristics of distributed leadership in a wide range of structural hierarchical forms (P2) and from the perspective of members (P3), it is evident that in many situations the nature of leadership undertaken by members may be quite distinct from the leadership undertaken by designated leaders.

While each of the cases in P1 provided examples of strategic level initiatives undertaken by formal leaders, which involved the need to influence other members of the department, both P1 and P3 indicated that leadership activities undertaken by members tend to be discrete activities performed by individual members that have minimal implications for other members of the department. These differences in the nature of leadership were also evident in P2, where the nature of member leadership between high and low levels of hierarchical structure differed significantly. These findings shed some light on the nature of distributed leadership and whether or not is it really leadership at all (Gronn, 2008). While the



nature of leadership undertaken by members interviewed in P3 tended to not conform to the influence based forms of traditional leadership perspectives, the form is consistent with some aspects of the functional perspective of leadership (Mumford, 1986; Morgeson, 2005; DeChurch and Marks, 2006; Drath et al., 2008; Kort, 2008; Raelin, 2011).

It is also interesting to note that while member leadership in P3 conformed with some of the characteristics ascribed to low hierarchical structures (P2), this was not the case with all characteristics. For example P3 findings included instances of informal and emergent engagement and autonomous and ad hoc forms of delegation, but no reference was made to strategic autonomy and activity, synergistic agency and spontaneous collaboration. Hierarchical structure, even one in which members share authority and have significant autonomy, may be a much greater influence in shaping member leadership than indicated in P2. The findings emphasize the role of power and influence in shaping the nature of distributed leadership (Gronn, 2009b; Hartley, 2009; Youngs, 2009; Bolden, 2011; Currie and Lockett, 2011; Denis et al., 2012).

### **1.5.2 The Role of Context in Influencing the Distribution of Leadership**

Each project's findings both reinforce the importance of context as an influence on distributed leadership. P1 highlights the role context plays in a chair's ability to implement strategic initiatives, while P3 demonstrates how contextual factors influence member engagement in departmental leadership activities. As all the contextual factors identified by Porter and McLaughlin's framework (2007) are present to varying degrees in all the papers included in the P2 metasynthesis, it serves as further confirmation as context as an influence in distributed settings. Although a number of researchers suggest the importance of context influencing leadership in distributed settings (Bryman, 2009; Iszatt-White, 2011), these projects provide a set of specific factors that serve to influence departmental leaders and members. The overall dissertation findings support Currie, Lockett

and Suhomlinova (2009) suggestion of the need to adopt a contingency approach to distributed leadership rather than the universalistic approach characteristic of much of the research related to shared and distributed leadership.

### **1.5.3 The Role of Power and Influence**

Previous research on shared and distributed leadership has been criticised for failing to consider the role of power and influence in shaping organisational leadership roles (Gronn, 2009b; Hartley, 2009; Youngs, 2009; Bolden, 2011; Currie and Lockett, 2011; Denis et al., 2012). Each of the projects in the dissertation examine elements of power and influence and some important themes emerge when the projects are considered as a whole. P1 and P3 both suggest significant limits of the designated leader's power over tenured members and that leaders have greater power and influence over non-tenured members. While the source of this power is a function of the leader's legitimate power as the formal leader in the department, given the autonomy that is afforded to even non-tenured members, a more important source is the authority that attributed to the chair position by these members who are concerned with job security. The difference in the perception of authority between tenured and untenured members is consistent with Benoit-Barne and Corren's (2009) suggestion that authority is coproduced by the interaction between leaders and members.

P2 findings suggest that member autonomy has an inverse relationship with the level of hierarchical structure of an organization, with members in organizations with high levels of structure demonstrating lower levels of autonomy. This conclusion is supported by the findings that suggest that in organizations with high levels of structural hierarchy the source of authority tends to be based on the formal leader's position, engagement of members in leadership activities flows through formal mechanisms and delegation of leadership tasks is accomplished through autocratic delegation mechanisms.

Although it could be expected that within academic departments, which by the nature of shared authority and member autonomy constitute a lower level of structural hierarchy, the designated leader's power and authority would be less of a factor, P1 findings identify a number of situations in which the chairs do utilize their power and influence to accomplish their objectives. In situations in which an initiative is particularly important to leader or external pressure, the leader is more likely to rely on legitimate power, as limited as it may be, and use harder influence tactics to accomplish an objective. The leader's use of power and influence may also be influenced by the composition of faculty members within a department. In departments with high percentages of tenured members, the chair's power and influence may be seriously compromised. This is particularly the case in situations in which members perceive the outcomes of initiative to be undesirable and where members do not regard the leader as their boss. Greater authority and influence appears to be afforded to the designated leader where there are higher degree of authority assigned by these members to the chair position.

Power and influence also play a role in member leadership. The P3 findings suggest that tenured members have higher perceptions of autonomy than untenured members. As a result tenured members are more likely to self-initiate leadership and partake of more autonomous leadership forms than untenured members.

## **1.6 Managerial Implications**

In keeping with the DBA's mandate on the importance of research to practical application, the project's findings makes a number of contributions to practice. These include practical applications for Business School and other Academic Department leaders, senior University administrators and other professional settings that feature shared authority between formal leaders and highly autonomous members.

### **1.6.1 Departmental Leaders**

For Departmental chairs there are a number of ways in which these findings can be used to enhance their effectiveness as leaders and engender higher levels of member departmental leadership. Understanding their own department's contextual configuration can assist chairs in gauging member receptivity for the implementation of strategic change. The findings suggest that certain factors, such as collegial department culture, members with pro-social value orientation, high percentage of untenured members and external pressure for change, create positive conditions for the implementation of strategic initiatives. However factors such as negative departmental cultures, members with negative social orientation, high percentage of tenured members and initiatives which have high workload implications for members can create conditions that inhibit the chair's ability to implement strategic change. The analysis of the contextual structure of their departments can provide valuable insight into the likelihood of success for implementing strategic change.

However in situations in which chairs cannot gain department-wide support to implement strategic initiatives, the findings related to the influences on member leadership can assist them in accomplishing smaller scale changes. Identifying initiatives individual or groups of members are interested in and passionate can engender both support and leadership from these members. As members with pro-social value orientations and passion and interest for particular initiatives are likely to engage in departmental leadership, incorporating these type of initiatives in the department strategic plan can ensure buy-in, from at least those members. Given the inclination for members with these qualities to participate in departmental leadership it is also worthwhile to consider these qualities when hiring new faculty members. Encouraging new members, who are more likely to take direction from the chair, to undertake departmental leadership activities during their probationary period can also begin to build a culture of member leadership. Having these members co-lead these activities with other members can also serve to encourage collaborative leadership.

### **1.6.2 University Senior Administrators**

The findings suggest that members in departments with negative cultures are less likely to engage in departmental leadership activities. In order to facilitate member leadership, senior administrators when hiring new department chairs should look for candidates able to develop and maintain positive organisational culture. Top-down school level strategic initiatives may also risk securing support from faculty members who may be needed to assist in implementing such initiatives. Incorporating at least some initiatives that build on the interests and passions of department members may help in engendering support and resource commitments required for successful implementation of strategic initiatives

### **1.6.3 Leaders in other professional autonomy settings**

As there appears to be connection between the governance structure and the importance of context, this research may also be helpful to leaders in other professional organizations in which authority is shared between leaders and followers and where followers have significant levels of autonomy (Mintzberg, 1994; Wallace, 1995). Of particular relevance would be findings related to contextual factors impacting on the leader's ability to implement strategic initiatives and members' leadership involvement. Similar to the implications for department leaders the application of these factors may provide leaders in comparable governance structures, such as lawyers (Nelson, 1985), accountants (Lengermann, 1971) health administrators (Denis et al., 2001; Buchanan et al., 2007) and nurses (Kramer et al., 2006), with insights that may assist in more successful implementation of strategic initiatives and facilitate higher levels of member leadership activity.

## **1.7 Limitations of the study and areas for further research**

Each project identified factors that served to limit the validity and generalization of the project findings. In addition a number of directions for future research were identified.

### **1.7.1 Dissertation Limitations**

There a number of limitations that need to be considered. These limitations relate to the use of a single organization in P1 and P3, qualitative research conducted by a single researcher, the ability to generalize findings to other settings and the insider status of the researcher.

Although data was collected from nine different departments with the same Business School, the use of a single organization in the project sample for P1 and P3 may pose a limitation on the relevance of the findings for other Business Schools. As factors that influence member service participation may vary according to the institutional type, it is reasonable to expect that the same will hold true for influences on member leadership. This limitation may be partially mitigated by the minimal overlap between departments included in each study and the similarity between the school's structure and other Business Schools of similar size. Despite this limitation and the differences there may be between Business Schools, the projects do make significant contributions related to two areas of leadership theory; shared and distributed leadership and contextual leadership. It is also important to recognize that the findings are limited to leadership at the department level and acknowledge that leadership processes also operate at the university and school level, which may also have significant influence on departmental leadership.

When conducting qualitative research, it is good practice, particularly in the coding stage to have multiple researchers involved so that codes and themes can be

cross-checked and refined. Of course the use of multiple researchers is problematic in the case of doctoral research, where there is the expectation that the researcher works on an individual basis. In order to address this limitation at several stages of both P1 and P3, peer reviews were conducted in order to secure feedback on coding categories, theme development and project findings.

Caution also needs to be taken in the application of the project findings. The findings are but a preliminary step in theory development and the frameworks and propositions require empirical evidence. It is also important to recognize that findings related to hierarchical structure can only be applied to settings in which organizations where a conscious attempt has been made to distribute and share leadership. In order to apply the project claims to other settings additional research involving a wider range of business schools. As departments do not operate in a vacuum, additional research examining how leadership at higher levels with the institution, including Business School Deans and University Senior Administrators, influence department level leadership.

For P1 and P3, the researcher possessed insider status in the organization, though the specific department in which the researcher worked was not included in either project sample. While insider status may limit respondents' inclination to provide personal and sensitive information both projects took steps to minimize this potential limitation. While the insider status may pose some limitations it can provide the researcher with some valuable insight into an organization's culture and practices.

### **1.7.2 Direction for future research**

While the dissertation with its three projects incorporated some of the recommendations for future research from project to project, there are several different avenues that may form the basis for future research endeavours.

### **1.7.2.1 Other Institutions**

As service participation may vary from higher education institution to institution (Blackburn and Lawrence, 1995; Lawrence et al., 2010), the same may be the case for the nature and form of distributed leadership in other Business School departments. One path for future research could utilize the models and frameworks developed in this dissertation to examine a broader range of Business Schools to ascertain their relevance to a broader sample and the need for further refinement. Along this line, future research could also be undertaken to determine the relevance of the findings to a broader range of academic departments, which again may serve to confirm the broader application of the findings or demonstrate differences according to academic discipline (Smart and Elton, 1975; Gmelch et al., 1984; Stoecker, 1993; Ylijoki, 2000; Del Favero, 2005).

### **1.7.2.2 Relational Leadership**

Although the project has broadened the scope of leadership agency beyond formal leaders to include members' perspectives, there are some researchers that suggest that agency views do not fully explain leadership processes in organizations (Sawyer, 2002; Scribner et al., 2007, Hartley 2009). Building about Gronn's (2002) suggestion about the use of leadership activity as the unit of analysis and applying a relationship leadership perspectives can provide insight to the role other structures and mechanisms play in how leadership is distributed within a shared leadership setting.

### **1.7.2.3 Lack of Collaboration**

One surprising aspect of the findings was the minimal level of member collaborative leadership taking place in the department`s included in the project sample. A better understanding of what conditions support and inhibit collaborative leadership in shared leadership settings could be another avenue to explore in future research.



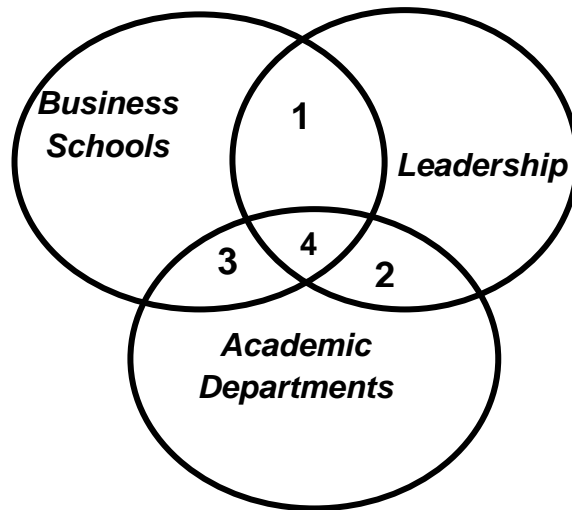
## **2 SCOPING STUDY**

This scoping study examines three areas of research literature; the leadership challenges facing North American Business Schools, the structure of higher education institutions and traditional and emerging perspectives on leadership practice, with the intention of justifying the need and value of researching the distributed nature of leadership practice in Business School departments.

### **2.1 Introduction**

The first stage of the scoping study examines the specific challenges facing North American business schools and the highlights the need for effective leadership. The second stage of the study examines the complex environment in which academic leaders must operate. This section will focus primarily on academic departments, as the majority of academic decisions take place at this level. Traditional leadership perspectives, which focus on formal leaders within organizations, are of limited value to academic leaders who lack the power and authority of their counterparts in other work organizations (Bolton, 1996; Stevens, 2000). Therefore, the third stage of the study examines the evolution of traditional and emerging leadership perspectives and how these perspectives have been applied to an academic context.

The three main scoping areas for the study are represented in the following diagram.



**Figure 2 - Scoping Study Literature**

The purpose of the scoping study is to answer the following questions and clearly identify a gap within the existing body of research that when addressed will contribute to both the theoretical understanding and practical application of leadership within the Business School context.

1. Why is leadership critical to North American Business Schools at the present time?
2. How does the structure of the Academy impact on academic leadership practice?
3. How do traditional leadership perspectives help explain with the challenges of leadership in academic departments?

## **2.2 Challenges to Business School Leadership**

Business schools provide a relevant context for examining academic leadership as these schools are facing a range of strategic and leadership challenges that can be difficult to address within the collegial culture that exists within academia (Bolton, 1996; Schoemaker, 2008). The first Business Schools in North America were formed in the late 19th century (Khurana, 2007). In their initial stage of development, Business Schools, while located within institutions of higher learning, were focused on the training of professional managers (Schoemaker, 2008). This orientation began to change in the late 1950's as a result of Ford and Carnegie Foundation reports criticizing Business Schools for the lack of scientific rigour and scholarly depth (Khurana, 2007). To remedy this situation, both foundations provided significant grants to major U.S. Business Schools, which began to shift their focus to include both professional training and academic research (Schoemaker, 2008).

Over the past thirty years Business Schools have experienced almost unparalleled growth and have become the success story of the academic world (Bolton, 1996; Thomas, 2007). During this period an increasing number of universities began to offer business education programs (Hawawini, 2005; de Onzoño and Carmona, 2007) and by the beginning of the 21st century, Business Schools were awarding 20% of undergraduate and 25% of masters' degrees in the U.S. (Pfeffer and Fong, 2004). This huge growth resulted in a new set of challenges for Business Schools and comes at a time when traditional conflicts over professional versus academic focus are resurfacing as a major issue within the Management Academy.

In order to meet market demand, schools have expended both their undergraduate and graduate offerings and developed a host of new programs including continuing education, on-line, executive education and international exchange

programs (Hawawini, 2005; de Onzoño and Carmona, 2007). The rise in both demand and supply has created an increasingly competitive environment. This competition has been fuelled by media attention, that on an annual basis provide rankings of Business Schools. Schools have begun to respond to this competitive pressure by increasing marketing efforts including branding their programs (Hawawini, 2005). University based Business Schools are no longer only competing among themselves. Over the past twenty years for-profit (e.g. University of Phoenix, Walden, Regents College and UNext) and corporate (e.g. Ford Motor Company, First Union National, Siemens) universities have entered the business education marketplace (Stevens, 2000; Julian and Ofori-Dankwa, 2006; Tullis and Camey, 2007).

The economic structure of business schools has also changed. Increased enrolments have made business schools the “cash cows” of many universities and in some cases these increased revenues have been used to subsidize less financially viable academic programs (Bolton, 1996). There has also been a reduction in government subsidies for business schools, particularly for graduate programs. In search of alternate sources of funding many schools have secured increased funding from alumni and corporate gifts and endowments. This reliance on external stakeholders can result in increased governance pressures as the contributors may demand a greater voice in organisational decision making (Hawawini, 2005).

The increasing competitive environment has also raised business school interest in securing accreditation as part of its overall branding program (Hawawini, 2005). The accreditation process, with its strong bureaucratic orientation, can have significant impact on school curriculum, staffing and research policies which can also present a significant challenge for governance within business schools (Julian and Ofori-Dankwa, 2006). The pressure to conform with Association to Advance Collegiate Schools of Business (AACSB) requirements creates pressure on departments and faculty to conform to goals and objectives which may

compromise the expression of the academic freedom and autonomy of individual faculty members (Smith and Rubenson, 2005).

These challenges come at a time in which there is significant conflict in the academy over the future direction of business schools (Bennis and O'Toole, 2005). Several prominent academics have criticized the academic orientation of business schools and have called for a return to a more professional and practical orientation (Trank and Rynes, 2003; Mintzberg, 2004). Critics claim that business schools have lost their way and the careerist and compensation based orientation of business schools have been responsible for the most recent wave of corporate scandals such as Enron (Khurana, 2007; Bennis and O'Toole, 2005). There are also forces within the academy that support the status quo. Certainly the AACSB accreditation process with its emphasis on doctoral qualification and research production is at odds with the call for a more professional orientation (Tullis and Camey, 2007; Bennis and O'Toole, 2005).

These factors combined create a turbulent environment for Business Schools and highlight the need for effective leadership in order to meet these strategic challenges. However the leadership response to address these challenges may be particularly difficult to organize within the Academy (Fragueiro and Thomas, 2011). While Stevens (2000) suggests that academic leadership is the single most important issue facing business education, there are significant constraints within the academy that leaders in other types of organizations do not experience. For example, Business School deans claim to have less power than their counterparts in other sectors, though they are still expected to provide the equivalent level of strategic leadership (Bolton, 1996; Stevens, 2000).

Similar to other university departments, collegiality is still an important force in North American Business Schools and major academic decisions require faculty agreement (Roberts, 2004). Most business schools have continued to maintain

their traditional department based structures in which academic leadership is shared between faculty and department chairs (Tullis and Camey, 2007; Dhir, 2003). As a result Business School leaders, including Department Chairs, need to rely on their ability to convince and persuade rather than their authority to implement major changes (Stevens, 2000). In order to deal with the challenges they face, Business Schools, particularly in the United Kingdom and Australia, have begun to replace collegial forms with greater reliance on managerial forms, which provides academic leaders with greater authority (Bareham, 2004; Middlehurst, 2004). While there is some evidence of this trend in North America, greater reliance on non-tenured faculty and the increase in post-tenure performance review are two examples; the collegial structure of academic department has remained largely intact (Roberts, 2004).

To meet these challenges, Business Schools must ensure that effective leadership can be enacted throughout the organization. However the unique structure of the North American Business Academy presents significant limitations on the type of leadership actions academic leaders can take. The next step in this study is to examine the structure of the academy, particularly departmental structures, as these structures provide a powerful influence on academic leadership.

### **2.3 Structure of the Academy**

The existing structure of higher education in North America has its roots in the English system that emphasized collegiality and curriculum (Hobbs and Anderson, 1971). The system was also influenced by the German research tradition that has resulted in the promotion and tenure system (Hobbs and Anderson, 1971). The combination of these traditions continues to be important factors in the structure of the academy and serve to shape the role of faculty members and the tenure system. The tenure system is geared to ensure the academic freedom and autonomy of university faculty (Tierney, 2004). It provides faculty with a high level of discretion in matters of research, teaching and working hours. Tenure, with its

accompanying job security, enables individual faculty members to exert upward influence with relative low risk of coercive action, especially in comparison with staff of most other work organizations (Becker and Gordon, 1966). While there has been an increase in the numbers of non-tenured contract and part-time faculty, most university faculty have continued to be tenured (Roberts, 2004).

The final major influence in the structure of the academy was the evolution of the powerful role of central administrators particularly in the North American system. This development can be traced to the general trend in the United States toward privatization and the establishment of private universities, in which boards were established to oversee university faculty (Tierney, 2004). This trend toward central administration was later adapted by public universities in North America. These factors have served to create the existing three part focus of departments, research and teaching and the administration of both functions (service).

Faculty members within the modern university system are typically organized into departments based on their academic specialty. The individual autonomy and control that faculty members possess also extends to the departmental unit, as most academic related decisions are determined in a democratic manner (Bess, 1988). Departments are able to maintain much of their autonomy within the trend to bureaucratize university organisational structures, as the specialized expertise required to make academic related decisions are best carried out by faculty, who maintained significant autonomy and authority as a result of their tenured status (Beyer and Lodahl, 1976). Departments are typically headed by chairs (Bess, 1988). Departmental chairs report to a dean who is responsible for a group of departments which constitutes a School or Faculty. The dean in turn reports to a senior position within the University's central administrative structure.

### **2.3.1 Departmental Governance**

The system of governance in higher educational institutions is unique in comparison to most other workplace organizations. As the governance structure of academic departments presents unique leadership challenges to formal leaders, an examination of the governance structure is necessary as a prelude to exploring the nature of leadership within departments. There have been a number of models proposed to explain the governance system within academic departments, including collegial, bureaucratic, political, anarchic and cybernetic models (Birnbaum, 1989). These are discussed below.

#### **2.3.1.1 Collegial Models**

Building on the early English origins of the university, some researchers identified departments as a community of scholars (Smart and Elton, 1975). In the collegial model, authority is shared between faculty members and decision making is managed through democratic means. Collegial decision-making gives faculty members significant discretion in departmental academic policy development and ensures that relevant information is being applied to decisions (Beyer and Lodahl, 1976). The collegial process can be seen in a variety of academic related decisions involving class size, departmental curriculum and departmental admission requirements, all of which must be decided by departmental faculty as a whole. It is important to recognize that there are other decisions, such as faculty hires and tenure recommendations that are made by only those faculty that are tenured, which can be described as an oligarchic aspect of collegiality (Bess, 1988). Knight and Trowler (2000) though recognizing that certain aspects of the structure may be collegial, raise questions as to whether the ideal of collegiality is actually achievable. Tierney (2004) supports this view and suggests that there is little empirical evidence to support the collegial model.



### **2.3.1.2 Bureaucratic Models**

Building on the work of Weber, a number of authors have described the structure of academic departments as bureaucratic, in which the department chair is assigned specific authority related to their place in the universities' hierarchal structure (Smart and Elton, 1975; Blau, 1973). There are a number of chair responsibilities that can be considered bureaucratic, mostly related to administrative matters such as budgets, course scheduling, administrative support, as these tasks typically fall within the authority of the chair. This model continues to receive support from some authors (Johnson et al., 1998; Nelson, 1999), while others suggest, that bureaucracy in of itself fails to capture the structural complexity of academic departments (Bess, 1988). In their comparative study of U.S. and English universities, Beyer and Lodahl (1976) found that faculty perception of departments as collegial or bureaucratic structures depend on the perception of the relative influence of department chairs and faculty.

### **2.3.1.3 Political Models**

Given the rights and status of faculty members, which is reflected in the tendency of some university faculty to formally organize as labour units, Baldrige (1971) conceptualized academic departments as political entities in which conflicts are resolved by bargaining and politics. This view is supported by Perrow (1973) who suggests in the political model, subunits such as academic departments; seek to replace organisational goals with goals to further their own interests. Bess (1988) makes the point that while the structural nature of departments may be collegial or bureaucratic, many decisions are settled through bargaining and conflict management processes that are political in nature. The political nature of the structure can be seen in situations in which faculty members have the power to influence other members in supporting actions and decisions that may be opposed by the department chair (Hobbs and Anderson, 1971). Hill (1967) makes the distinction between routine and non-routine departmental decisions and suggests that the non-routine decisions are characteristic of the political dimension of the departmental structure. Hardy (1990) questions the use of the political as a

distinct model, as the political process lies at the heart of most organizations, which may explain why the model, which was popular immediately after its introduction, has been little used in more recent research (Tierney, 2004).

#### **2.3.1.4 Anarchic Models**

Cohen and March (1974) proposed that academic department structures are anarchic, through which no distinct pattern of decision making predominates. The vague and ambiguous nature of goal setting and the lack of clarity of structural processes provide additional evidence of the anarchic nature of departments (Kezar, 2001). There are a number of examples of decision making patterns that can be described as anarchic and these decisions can relate to either cross boundary issues involving other departments and administrative entities or internal situations with specific departments (Bess, 1988). Departmental faculty members often serve on various university-wide committees in which their contribution to decision making is within their own discretion. Within the internal context of the department, under the umbrella of academic freedom, faculty make individual decisions related to designing the courses they are teaching and their research interests. Anyone of these decisions may be described as anarchic as they may not necessarily be aligned with university and/or departmental goals and objectives.

#### **2.3.1.5 Cybernetic Models**

A number of researchers proposed that these models are not independent and some or all of these elements operate in concert (Hobbs and Anderson, 1971; Becker and Gordon, 1966; Bess, 1988; Eastcott, 1977). Birnbaum (1989) combined the models into a single model that he labelled cybernetic. Though the model has been the focus of more recent theoretical work, there has yet to be sufficient empirical analysis to support it. (Tierney, 2004). However as decision-making in departments contain characteristics of each of the other models identified; the cybernetic model does make intuitive sense. Bergquist (1992), in

his work on academic culture, builds on the cybernetic model and suggests that there are four cultures in the academy; collegial, managerial, developmental and negotiating and makes the point that departmental culture is not uniform even within a single university and cultures may change and develop in response to each other. The relevance of these models form part of the findings in Project 1.

### **2.3.2 Uniqueness of Academic Departments**

Given the variety of decision making streams, university departments can be considered to be unique organizations (Cohen, 1974). It is estimated that 80% of academic decisions made within universities are made at the department level (Knight and Holen, 1985). By virtue of their professional status and the provision of academic freedom, faculty members have a role in departmental decision-making that few non-managerial staff in other organizations have. (Austin, 1990). For this reason Weick (1976) cited academic departments as an example of a loosely coupled system, in which staff experienced a high degree of autonomy and independence from central administrative authorities. While the formal leadership positions in Departments are held by chairs, the nature of and the conditions in which this position operates is also significantly different than formal leaders in most other organizations and contributes to the unique nature of academic departments.

In keeping with the North American approach to bureaucratizing the academy, the position of chair was established to manage the administration, curriculum and research functions within departments (Hobbs and Anderson, 1971). Chairs retain their faculty status during their term as chair and in most cases assumes their previous status as a faculty member at the completion of the term (Gmelch, 2000). Even in cases where faculty is organized into collective bargaining units or other type of employee associations, chairs typically remain members of these units during their tenure as chair (Rakos, 2001). Given the range of tasks and their continuing faculty role, the chair role tends to be a balancing act and has been

referred to as “the man in the middle” (Wolverton et al., 1999). As shared authority is central to the relationship between faculty and chairs, the chair has little formal authority over faculty within the department particularly in respect to most academic decisions (Bess, 1988; Del Favero, 2003). The position of academic chair is typically located at the bottom of the university’s organisational chart and is viewed by both incumbents and other faculty as the least influential branch of the academic organization (Hill and French, 1967), despite the key role of the department in institutional decision-making.

Tucker (1993) notes that while chairs are designated as formal leaders they are given minimal authority to carry out this task. This situation, in which the formal leader of an organisational unit has little formal authority over the other staff within the unit, provides a somewhat unique leadership challenge for department chairs. Chairs, unlike managers in most other organisational settings, can rarely resort to position based power to accomplish leadership functions (Hill and French, 1967). There is also the risk that any attempt to lead or manage may serve to offend faculty collegial ideals making it more difficult for the chair to carry out the duties of the position (Bolton, 1996). The chair’s leadership can also be undermined through the collective action of departmental faculty (Hecht et al., 1999).

The situation is further complicated by the selection criteria for chairs, which tends to emphasize academic accomplishments rather than the leadership, management and administrative skills required to be successful in the position (Trocchia and Andrus, 2003). In addition, chairs tend to receive a minimal level of preparation prior to assuming the position (Tucker, 1993; Gmelch and Burns, 1993). Even with all of these limitations, senior administrators still expect high levels of managerial performance from departmental chairs (Roach, 1991).

Having established the organisational context in which departmental leadership must operate, the next stage of the study will examine different perspectives on the nature of leadership in organizations.

## **2.4 Leadership Perspectives**

In order to place academic leadership within the context of leadership research in general, the major leadership perspectives will be reviewed. Definitional clarity and precision of concepts has been a longstanding issue in leadership theory (Pearce et al., 2007). As such it is important to clearly define the concepts driving leadership research. Research into leadership has been an exhaustive pursuit within the Academy. This is evidenced by the 109,849 articles that appear in ABI/Inform database when one searches scholarly journals using the term leadership. As one can imagine there exists a large number of definitions within the research literature to define leadership. In the interest of expediency, rather than review the different approaches to defining leadership, Yukl's (2006) definition, which has been adopted by a large number of researchers in areas related to this study, will be used for the purposes of this study. As such, leadership will be defined as "the process of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the process of facilitating individual and collective efforts to accomplish the shared objectives" (Yukl, 2006, p. 8).

In addition to the varied approaches taken to defining leadership, there is a long, exhaustive literature addressing how leadership operates within organizations. In order to make sense of this vast and varied literature this scoping study will be limited to examining the major perspectives that have been utilized in the study of academic leadership. While this review investigates these perspectives from a historical standpoint, it is important to recognize that each of these perspectives continue to be active objects of leadership research.

As the scoping study is specifically focused on examining leadership within the academic departments, it would be appropriate to include research findings on academic leadership as it relates to each perspective. It is important to note that the research on academic leadership within North American Business Schools is quite limited. The little that does exist tends to focus on the position of the dean (Bolton, 1996; Stevens, 2000; Bareham, 2004; Johnson et al., 1998; Gallos, 2002; Green and Spritzer, 2002) rather than the chair's position, although there are a few studies that examine academic leadership within specific departments such as marketing and accounting (Roberts, 2004; Trocchia and Andrus, 2003; Gomes and Knowles, 1999). As such the scoping of the literature on academic department leadership will focus on the general research related to departmental chairs, which is also not extensive (Gomes and Knowles, 1999; Brown and Moshavi, 2002; Bryman, 2007). The recent empirical research on academic chair leadership has tended to focus on the competency, behavioural, contingency, transformational, power and influence and distributed perspectives.

#### **2.4.1 Trait/Competency Perspective**

The trait perspective, which proposes that leaders are more likely to have specific physical, personality, social and intellectual traits than non-leaders, has a history that dates back to the 19th century (Kirkpatrick and Locke, 1991). In his literature review of leadership in the late 1940's, Stogdill (1948) concluded that it was impossible to identify a consistent listing of traits from the extensive research related to leadership personality. More recently researchers have revived this perspective in the form of leadership competencies or skills and abilities (Mumford et al., 2000). This approach has had a significant influence and impact on leadership selection and development processes; though it has been criticized in a number of ways. There is an underlying assumption the competencies or traits will be equally effective despite the situation, in addition it has been demonstrated that individuals with different combinations of traits and/or competency can be equally effective (McShane, 2004).

The competency perspective, in particular, has been featured prominently in academic department leadership literature. Bryman (2007), in his literature review on leadership in higher education, attempts to make the case that most empirical research on department chair leadership conducted since 1985 confirms the competency perspective as the most effective lens through which to view department chair leader effectiveness. However he does temper this claim by recognizing that most competencies are generic in nature, different competencies may clash with each other, competencies on their own do not provide a complete explanation and situational factors may play a significant role (Bryman, 2007). However there are some issues with Bryman's (2007) conclusions. Of the 13 competencies he identified he includes factors such as initiating structure, consideration, clear direction/vision, credible role model and the proactive promotion of the department all of which fit more appropriately within the behavioural or transformational leadership perspectives.

#### **2.4.2 Behavioural Perspective**

The behavioural perspective of leadership, which was developed in the 1940's and 1950's, represented a shift from the trait perspective with its focus of personal characteristics of leaders to examining what leaders actually do (Yukl, 2006). The early behavioural studies identified two basic characteristics of leader behaviour, initiating structure and consideration, and claimed that effective leader behaviour consists of various high and low combinations of these behaviours (Hopfe, 1970). Other researchers, while agreeing with the two characteristics model, referred to the characteristics as employee or people orientation and production or task orientation (Bess, 1988). Building on the behavioural perspective, Blake and Moulton (1964) proposed the managerial grid to identify different leadership styles using combinations of the two behaviours and claimed that best way to lead was utilizing a high people and high production orientation. A number of limitations have been identified with the behavioural approach. The first criticism relates to reducing behaviour to two categories (McShane, 2004). Though behavioural researchers at the University of Michigan (Bowers and Seashore, 1966) expanded

the construct to four dimensions; supportive behaviours, interaction facilitation, goal emphasis and work facilitation, this change did not address the second criticism that leadership behaviour in of itself fails to explain effectiveness as the situation itself may be a determinant of what leadership behaviour is most effective (Larson et al., 1976).

There has been a number of studies examining academic department leadership from the behavioural perspective and proposing a correlation between high-high (concern for people and production) leadership behaviour and chair effectiveness (Barge and Musambira, 1992). It is important to note that most of the studies rely on either faculty or administrator perceptions of effectiveness and as such it is difficult to ascertain the actual correlation to chair performance (Knight and Holen, 1985; Coltrin and Glueck, 1977). A number of more recent studies have only found support for one or the other of the behavioural factors (Gomes and Knowles, 1999; Brown and Moshavi, 2002).

### **2.4.3 Contingency Perspectives**

Beginning in the 1950's, researchers responding to the critique that traits and/or behaviours may not apply to all leadership situations began to examine how environmental factors influence leader effectiveness. While there are a number of models that developed around the perspective that effective leaders need to adjust their style to fit with the situation, the four most commonly cited models are Fiedler's Contingency Model, Path-Goal Theory, Hersey and Blanchard's Situational Leadership, and Substitutes for Leadership (McShane, 2004).

The Fiedler Contingency model identified leader-member relations, task structure and position power as the three contingencies, which serve to determine the appropriate leadership style in a given situation (Fiedler, 1967).



Path Goal Theory builds on the initiating structure and consideration elements from the behavioural perspective and suggests that effective leaders assist followers by providing support and direction that will enable them to achieve personal goals that are compatible with organisational objectives (Yukl, 1989). While Path Goal Theory has received significant research attention, there is only limited support for the task structure contingency (Schriesheim and Neider, 1996). Although the model has been updated to include additional styles and contingencies, there has been limited research performed on the revised model (McShane, 2004).

Hersey and Blanchard's Situational Theory, suggests the choice of leader behaviour will depend on the ability and motivation of the people they lead (Bess and Dee, 2007). The model proposes that the characteristics of subordinates in relation to a specific task determine which of four leadership styles will be most effective in any given situation. Despite its popularity, a number of researchers have been unsuccessful in their attempt to demonstrate empirical support for the model as a whole (Vecchio, 1987; Blank et al., 1990).

Kerr and Jermier (1978) suggest that organisational characteristics related to task structure, organisational design and subordinate qualities may serve as substitutes for the leadership usually associated with formal leadership positions. The empirical evidence supporting this perspective has been mixed, with some studies supporting some characteristics and other studies finding minimal support (Dionne et al., 2005).

There are few studies that have examined departmental chair leadership from a contingency perspective. Creswell and Brown (1992) have found a correlation between chair leadership behaviour and the career stage of the faculty within the department. Given the differences between autonomy of the tenured and non-tenured faculty these findings do make intuitive sense. There have been a

number of critiques of the relevance of contingency approaches for academic leadership. Rakos (2001) suggests that given the nature of academic structures contingency approaches are of limited value. In examining the leadership substitutes, Bryman's (2007) suggests the move to new public management models in the United Kingdom may be an indication of the ineffectiveness of the collegial model as an effective leadership substitute in academic departments.

#### **2.4.4 Transformational Perspective**

The transformational perspective of leadership was initially developed by Burns (1979) to examine political leadership and was extended to other organisational contexts through the work of Bass (1985) and others (Rafferty and Griffin, 2004; Day et al., 2004; Dvir et al., 2002; Avolio et al., 1999). This perspective makes a distinction between transactional and transformational leadership. Transactional leaders engage in leadership tasks to ensure organisational efficiency and effectiveness, whereas transformational leaders are engaged in the development of new visions and strategies (McShane, 2004). Rafferty and Griffin (2004) identified vision, inspirational communication, intellectual stimulation, supportive leadership and personal recognition as the five dimensions of transformational leadership. The transformational leadership perspective is currently a popular focus, both within leadership research and practitioner application (Dvir et al., 2002; Day and Harrison, 2007; Conger, 1999). There are a number of criticisms of the transformational perspective related to its focus on the top leaders within organizations and the tendency toward its universal application regardless of organisational context (Alimo-Metcalfe, 1995; Pawar and Eastman, 1997; Hunt, 1999).

In keeping with the general popularity of the transformational perspective, a number of studies of departmental chair leadership have used this perspective. A number of studies specifically cited strategic vision as an important factor in departmental leadership (Trocchia and Andrus, 2003; Creswell and Brown, 1992;

Stark et al., 2002; Bland et al., 2002). Other factors associated with transformational leadership, such as integrity ((Barge and Musambira, 1992), communicating vision (Creswell and Brown, 1992) and advocacy (Creswell and Brown, 1992; Bland et al., 2002) have also been cited as evidence of relevance of the transformational perspective to department chair effectiveness. Knight and Trowler (2000) hold that as the transformational perspective is a managerial ideology based on command and control organisational structures, it is not an appropriate lens to examine departmental leadership, which they characterize as being team oriented and collegial. While they propose another perspective, which they label interactional leadership that is based on directed collegiality, teamwork and networking, there has yet to be any empirical research to support their claims.

#### **2.4.5 Power and Influence Perspective**

As leadership is being defined as an influence process, it is important to consider the impact that power and authority has on leadership. In the 1950's Bertram Raven and John French identified five sources of leadership power, that for the most part are still accepted by researchers today (McShane, 2004). Three of the sources, legitimate, reward and coercive relate directly to the authority a leader has as a result of their position within the organisational hierarchy. The other two sources, expert and referential relate more to the personal characteristics of individual leaders (Raven, 1993). This perspective on leadership power gave rise to the investigation of the role of influence within organisational structures. This research first examined what tactics managers and subordinates used to influence each other behaviours and made a clear distinction between leadership and organisational politics (Kipnis et al., 1980). Yukl (1996), in a series of studies with a number of other researchers in the 1990's, examined how influence operated within upward, downward and peer relationships. While his research demonstrated that different influence strategies are utilized depending on the direction of the attempt, the research primarily investigated only those relationships within traditional hierarchical structures.

A number of researchers have recognized the important role power and influence play in academic department leadership. Hill's (1967) findings that department chairs are viewed by themselves and others as having less power than other managers in the academy, results in the need for chairs to rely on personal rather than position based power. The presence of multiple power and authority structures within departments that constrain chair leadership has been noted by a number of researchers (Rakos, 2001; Del Favero, 2003; Gomes and Knowles, 1999; Birnbaum, 1988; Elias and MacDonald, 2006).

There are a number of frameworks and perspectives that address the leadership issues that arise from the low levels of power and influence of departmental chairs, though at present there is limited empirical evidence to support these claims. Gomes and Knowles (1999) suggest chairs must use a variety of influence mechanisms to navigate the complex departmental leadership landscape. In keeping with the need to use influence mechanisms, Rakos (2001) suggests that chairs' ability to effectively use postcedant control is quite limited and their focus should be on antecedent stimulus control. Elias and MacDonald (2006) make a similar point in their findings on the positive impact of promotive versus restrictive control department chair behaviour. A number of researchers propose, given the power dynamics within departments, social exchange theory may be a helpful lens to use in examining leadership in academic departments (Rakos, 2001; Del Favero, 2003). The work within this perspective can make an important contribution to the study of academic departmental leadership, in that unlike the academic leadership studies based on more traditional perspectives, it recognizes power and authority as important factors that make the academic context unique when compared to other organisational settings.

#### **2.4.6 Leader Member Exchange (LMX) Perspective**

The Leader Member Exchange (LMX) perspective suggests that effective leadership is a function of the interpersonal relations between leaders and followers. In their meta-analytical review of LMX research, Gerstner and Day (1997) found that followers who have strong interpersonal relationships with leaders exhibit higher levels of job performance, satisfaction, commitment, role clarity and lower levels of role conflict and turnover intentions. Schriesheim (1999) suggests that there are four stages of the evolution of the LMX relationship and that in the third stage, collaborative partnerships are developed and leadership is shared between leaders and followers.

#### **2.4.7 Implicit Perspective**

The implicit perspective provides a radical departure from the aforementioned perspectives as it questions the assumption that formal leaders are solely responsible for leadership within organizations. The perspective suggests that this assumption may be the result of follower attribution, rather than the actual leadership enacted by formal leadership (Offermann et al., 1994).

#### **2.4.8 Shared/Distributed Perspective**

Over the past twenty years there has been an emerging literature that disputes the notion that organisational leadership is a top down hierarchical process stemming only from formal leaders (Ensley et al., 2006). There are a number of leadership models based on this conception of leadership. These include distributed leadership (Gronn, 2002; Spillane et al., 2004), shared leadership (Avolio et al., 2003; Pearce and Conger, 2003; Carson et al., 2007), complexity leadership (Plowman et al., 2007), empowered leadership (Manz and Sims, 1987; Kirkman and Rosen, 1999; Mathieu et al., 2006; Srivastava et al., 2006) and team

leadership (Burke et al., 2006). This perspective is of particular relevance to this study and will be developed further in the thesis.

There are two main theoretical drivers underlying these various models, shared and distributed leadership. Pearce and Conger (2003), two leading theorists on shared leadership define it as “a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organisational goals or both. This influence process often involves peer, or lateral, influence and at other times involves upward or downward hierarchical influence (page 1).” The empirical research within the areas of shared, empowered and team leadership tend to focus on settings where there is a conscious attempt to reorganize the hierarchical arrangements within organization to distribute a portion, or portions, of position based leadership authority to subordinates.

The distributed leadership perspective incorporates a broader theoretical scope than shared and other emerging leadership models. Distributed leadership views leadership practice as a unit of analysis, which may or may not be related to the distribution of authority within organizations (Gronn, 2002). As is the case with other leadership theories, distributed leadership lacks definitional clarity and is often used interchangeably with similar leadership concepts (Gronn, 2002; Bennett et al., 2004; Woods et al., 2004; Harris, 2007). However, Bennett, Wise, Woods and Harvey (2004) make the point that distribution leadership studies typically feature poorly defined leadership boundaries and wide distribution of leadership opportunities appear as common elements.

There are two major theoretical streams with distributed leadership theory, which both tend to focus on the school settings (Zepke, 2007). Gronn (2002), one of the leading theorists, identifies distributed leadership as both a process and approach and draws on activity theory in developing his analytical framework. Spillane

(2006), the other leading theorist, draws on the theory of distributed cognition and believes that while distributed leadership is a powerful analytical tool, it has little prescriptive power (Zepke, 2007). Herein lies the major difference between shared and distributed leadership research, while both theories acknowledge that leadership is shared within organizations (Harris, 2007), shared leadership tends to focus on the structural attributes of the phenomena, while distributed leadership incorporates both structural and process dimensions. This view on leadership as a process builds on Rost's (1991) notion that as leadership is both a social and cultural construction, the next phase of leadership research needs to focus on what is leadership, rather than how individual leaders behave. A number of researchers building on the theoretical frameworks of Gronn (2002) and Spillane (2006) have identified other features of distributed leadership including the nature of emergence (Harris, 2007), type of leadership action (Leithwood et al. 2009; Harris, 2003), form of delegation (MacBeath, 2004) and driving mechanisms (Leithwood et al. 2009). Currie and Lockett (2011) using Gronn's (2002) concepts of concertive action and conjoint agency as independent variables in a 2x2 model suggest distributed leadership may vary in form.

Given these perspectives are relatively new, it is not surprising that to date there has been minimal empirical work related to academic departments. All of the research that has been performed has been in universities outside North America. Bolden, Petrov and Gosling (2008) examined distributed leadership in UK universities. While they found that the term distributed leadership cannot readily be differentiated from leadership, there are some limitations in the research that are important to consider. The study investigated the perceptions of representatives from different levels of university staff as to whether leadership is distributed rather than examine actual leadership practice at the department level. It is also difficult to ascertain how much of new managerialism has impacted perceptions of distributed leadership as the tenure system in the UK has been largely dismantled.

However there are a number of reasons why this perspective can provide valuable insight into leadership practice within North American academic departments. There is some value that traditional leadership perspectives bring to the examination of academic leadership in that it provides a lens to examine how formal leaders of departments, carry out their leadership role. However, given the shared authority structures and the relative autonomy of faculty, the focus of leadership only enacted by the chair is problematic and addresses only one piece of the leadership puzzle (Bensimon, 1989). While in other organisational settings, there may be clearer distinction between leaders and followers and their relative contribution to leadership processes; this is typically not the case in academic departments as a result of the distribution of power and authority between the leader and staff in the unit.

As such the leader/follower assumption that lies at the root of most of the traditional leadership perspectives provides a poor fit to examine leadership in academic departments as it is difficult to classify faculty members as followers, particularly in North American institutions. There is also another issue related to the application of traditional leadership perspectives to academic departments in that most of the research using these models fail to consider the important role collegial, anarchic and political characteristics play in framing leadership within departments (Kezar, 2001). In order to understand leadership practice within academic departments, a perspective that is able to incorporate the elements that are unique to academic departments and moves beyond the leadership role played by the formal leader is required. It is important at this stage to make a distinction between the distributed leadership perspective and other related perspectives, particularly shared and empowered leadership. To a great extent the shared, empowered and team leadership research has examined leadership in settings where the formal hierarchical structures have been maintained, though there is some redistribution of authority between organisational levels (Carson et al., 2007; Manz and Sims, 1987; Kirkman and Rosen, 1999; Pearce and Sims Jr., 2002; Druskat and Wheeler, 2003; Edmondson, 2003; Pearce and Barkus, 2004).



While for most organizations this view, which maintains vertical leadership relationships while redistributing some authority, is appropriate, it is less relevant to academic departments in which the authority vested in vertical leadership is more limited. Thus the distributed perspective with its broader theoretical framework may be the best suited perspective in which to examine leadership practice within academic departments. Some team leadership research may also be a relevant lens; particularly that which focuses on leadership practice within self-managed work teams as in many cases power and authority is not centralized within a formal leadership position (Eckel, 1998).

## **2.5 Conclusion**

While most of this study has focused on the gap in research in examining leadership practice in academic departments and the need to move beyond the position-centric orientation of existing research, there has been minimal attention paid to investigating the relevance to Business School departments. The reason for this relates to an even larger gap in research related to academic department leadership within this context. However, as from a structural point of view these departments are similar to academic departments in other faculties; using generic academic departmental leadership research is a reasonable substitute.

The leadership challenges facing Business Schools however have a greater urgency than those of other academic departments, which makes this context particularly relevant for examination. While it would be presumptuous to suggest that other University faculties are not facing significant challenges, the nature of these challenges and the competitive environment may not be as critical to their mission as it is for Business Schools. As a professional school, there is a higher level of interaction with external stakeholders than in other academic based departments. As most other university based professional schools are to subject governmental regulatory control, these programs tend to face less competition

from private sector organizations than Business Schools. Both of these factors contribute to the case to be made for the relative importance of Business School leadership within the Academy.

The examination of the distributed nature of leadership practice within Business School departments can be of value to both Business School and other university administrators and faculty in fostering a greater understanding of the roles both parties play in the leadership process. The research can also make a contribution to leadership theory, by extending the scope of the shared/distributed leadership perspective into a new context.

The issue of the leadership role in Business School departments is relevant given the challenges faced by U.S. and Canadian Business Schools and the critical role the position plays within the system of Higher Education Administration (Tucker, 1993). While there is an abundance of books and articles concerning the role of departmental leaders, empirical research on the topic has been minimal (Barge & Musambira, 1992; Bryman, 2007) and has tended to focus on cross-departmental lines rather than concentrate on a specific discipline (Brown & Moshavi, 2002; Creswell and Brown, 1992; Knight & Holen, 1985; Stark, 2002) such as Business. The existing research also fails to factor in the limitations posed by the structural and governance models that significantly impact the power and influence of departmental leaders. The research also tends to examine departmental leaders in relation to traditional leadership models which tend to be based on leader-follower dichotomies, which given the distribution of autonomy between departmental leaders and faculty members may be of limited relevance to this organisational context.

Given the increased enrolments in University Business programs and the competitive pressures experienced by Business Schools, this setting provides a unique context to examine the leadership dynamics of the Department Chair role.

As such the first project of the dissertation will examine how the leadership process operates within organisational units in which the formal leader has minimal legitimate authority with a particular focus on how the role of the formal leader is conceived within departments of a Canadian Business School. The project will specifically focus on answering the following questions:

*What factors influence leadership processes at a department level?*

*What impact does the leader's limited authority have in influencing their ability to implement departmental strategic objectives?*

## **3 UNDERSTANDING LEADERSHIP IN BUSINESS SCHOOL DEPARTMENTS: THE IMPORTANCE OF CONTEXT, RELATIONSHIPS AND AUTHORITY**

### **3.1 Abstract**

Business Schools are operating in a more complex and competitive environment than they have ever experienced. In order to meet the challenges they are facing, leadership at all levels within Business Schools is becoming increasingly important. Most research on academic leadership is based on traditional leadership perspectives, which focus on individual leadership and do not take into account the shared authority and faculty autonomy that exist within academic institutions. This project addresses the gap in the literature by examining the leadership process within three departments at a Business School in Central Canada to understand how leaders and members conceptualize the leadership process and the factors enhancing and inhibiting leadership action. The data indicates that leadership in this setting is both a shared and distributed process and subject to a range of contextual influences, including governance structure and factors related to the chair, faculty and department and nature of the initiative being considered. The project provides business schools with the potential for a better understanding of the factors that influence the leadership processes within academic departments.

### **3.2 Introduction**

This Project builds on the scoping study, which argued that it is important to move beyond the leader-centric orientation of most research examining leadership in academic departments in which the formal leader shares authority with members who possess significant authority. While the leader-centric focus of traditional leadership perspectives may fail to capture the full extent of the leadership

processes within any organization (Meindl and Ehrlich, 1987), the focus on the leader may be an even greater limitation to understanding the leadership processes in organizations that feature shared authority and high member autonomy. This first of three empirical projects required for this dissertation is a qualitative study of the leadership process within three departments of a Canadian Business School with the intention of revisiting the relevance of traditional leadership perspectives in this setting. It is also expected that the project findings will assist in identifying the direction of the additional research projects required to complete this dissertation.

### **3.2.1 Professional Organizations**

Professional organizations, which feature decentralized structures of power and assign conditional authority to unit administrators, provide a unique setting to examine leadership (Green, 2003). According to Wallace (1995) these organizations can be classified into two types. Firstly, these organizations can be classified as autonomous professional organizations or adhocracies, such as medical clinics and law and accounting practices, where professional practice is the main activity of the organization. Secondly, as professional bureaucracies, such as hospitals and universities, where professional content is central to the organisational mission but professionals are only one aspect of the organisational fabric. A number of structural elements within professional based organizations, including the nature of authority and autonomy, career progression, collegiality and specialization, have significant influence on the leadership process within these organizations (Wallace, 1995). However it is important to recognize that there are significant differences between professional bureaucracies and adhocracies. While individuals within professional bureaucracies may engage in innovation within their own discipline, professional bureaucracies tend to be less innovative at the institutional level than adhocracies, where groups of professionals operate without the constraints of bureaucratic structures (Mintzberg, 1994). This project will specifically focus on professional bureaucracies where leaders must not only

engage with professional priorities but must balance professional interests with institutional priorities.

### **3.2.2 Universities as Professional Bureaucracies**

Within Universities individual faculty members have significant autonomy, control over their work and operate according to standards defined by academic associations (Green, 2003). Inside the University context, departments can be viewed as the basic building block of the organisational structure (Hardy, 1991), where it has been estimated that 80% of decisions are made at the department level (Knight and Holen, 1985). By virtue of their professional status and the provision of academic freedom, faculty members' role in departmental decision-making is much more extensive than non-managerial staff in other organizations (Austin, 1990). For this reason Weick (1976) cited academic departments as an example of a loosely coupled system, in which staff experienced a high degree of autonomy and independence from central administrative authorities. While the formal leadership positions in Departments are held by chairs, the nature of and the conditions in which these positions operate are significantly different than formal leaders in most other organizations, which contributes to the unique nature of leadership in academic departments. Given the influence of bureaucratic hierarchy on leadership increases at higher organisational levels within the university structure (Kezar and Eckel, 2004) this project will focus on leadership at the departmental level.

### **3.2.3 Business School Setting**

There are a number of reasons why Business School departments are particularly relevant for research on leadership processes. As professional schools in an increasingly competitive environment, the need for Business Schools to respond to both internal and external stakeholders creates challenges for leaders that are unique to this academic setting (Gioia and Corley, 2002). Business Schools are also unique compared to other professional schools, such as medicine, law,

architecture, which operate within a regulatory environment that limits competition from private sector and for-profit organizations (Khurana, 2007).

Business Schools also play an increasingly important role within the North American higher educational system as a result of their increasing share of university enrolments and revenue contributions (Tucker, 1993). Over the past thirty years, Business Schools have experienced almost unparalleled growth and have become a success story in the academic world (Thomas, 2007). By the beginning of the twenty-first century, Business Schools were awarding 20% of undergraduate and 25% of master's degrees in the U.S. (Pfeffer and Fong, 2004). The rise in both demand and supply has resulted in an increasingly competitive environment and an increased commercialization of the business academy (Prince and Beaver, 2004; Starkey et al., 2004). Until recently for much of their history business schools have experienced a relatively stable environment (Julian and Ofori-Dankwa, 2006). Despite the changes in market conditions most business schools have continued to maintain their traditional department based structures.

Collegiality, where power and authority is shared among peers remains an important force in North American Business Schools (Roberts, 2004). As such this setting provides the opportunity to examine leadership where the designated leader has limited legitimate authority, authority is shared between department chairs and faculty and individual faculty members have significant autonomy (Becker and Gordon, 1966). Despite being expected to provide the equivalent strategic leadership Business School Deans perceive that they have less power than their counterparts in other business sectors (Bolton, 1996). As the challenges these schools are facing require strategic leadership and timely decision-making, the ability for academic leaders to do so can be especially difficult to coordinate within a collegial culture (Bolton, 1996). Examining leadership at the department level, where a majority of decisions are made, can provide valuable insight toward an improved understanding of leadership processes in Business Schools. In addition, within the field of academic

leadership, Business Schools have received minimal attention in previous examinations of academic department leadership (Schoemaker, 2008).

The examination of the leadership process within Business Schools can be of significant benefit to administrators, chairs and faculty in fostering a better understanding of how the process works. Given the limited research on academic department leadership in general (Bryman, 2007); the project may also be of benefit to parties involved in academic department leadership in other disciplines. The project may also be of benefit to practitioners in other settings, such as professional practices, where leadership positions may also be vested with limited authority, as authority is shared with other professionals and professional members may have significant individual authority.

The project is aimed at answering the following key research questions:

Research Question 1

*What factors influence leadership processes at a department level?*

Research Question 2

*How do leaders with limited formal authority achieve departmental strategic objectives?*

### **3.3 Research Methodology**

This section of the document will provide the rationale for the theoretical approach taken to address the research questions and the unique challenges facing the researcher as a participant/observer within the organisational setting being researched.



### **3.3.1 Research Design**

The project utilizes a qualitative approach to answer the research questions. There are a number of reasons why a qualitative approach is appropriate for the project. As discussed in the scoping study, most previous research on the topic of academic department leadership examines the phenomena assuming that leadership is a function of the leader and fails to recognize the role that shared authority and faculty autonomy may play. The use of a qualitative approach for this project provides the opportunity to include multiple perspectives of the departmental leadership processes and to understand the phenomena through the eyes of the participants (Miles, 1994). The qualitative approach focusing on participant perceptions also provides the opportunity to capture the nuances of complex social phenomena, such as leadership (Lincoln and Guba, 1985). As one of the main objectives of the project is to understand the meaning that groups ascribe to this social phenomenon, the qualitative approach provides an effective means of accomplishing this objective (Creswell, 2008). Finally, the qualitative approach is particularly relevant in projects seeking to develop a more comprehensive research agenda (Blaikie, 2000) which is often the case in the first project of a multi-project dissertation. The exploratory design may also be helpful in identifying hypotheses or propositions that may be used to guide the second and third dissertation projects (Yin, 2008).

Given its exploratory nature, the project utilizes an inductive approach. Inductive approaches are well suited to research topics, such as this, where the absence of theoretical frameworks preclude the use of deductive approaches based on theory testing. The inductive approach is also a good fit in answering “what” questions (as opposed to how and why questions) that the study seeks to answer (Blaikie, 2000). While most inductive approaches are based on a set of predetermined concepts (Braun and Clarke, 2006); this project utilizes a bottom-up approach which includes the use of participant perspectives as a means of identifying concepts and themes. This approach, which relies on the views of the project participants, rather than preconceived notions, clearly places the project within the

social constructivist view (Creswell, 2008). While I am not a member of any of the departments included in the project sample, as a faculty member in the school I am clearly an insider in the study. The insider role taken by the researcher also contributes to the social constructivist orientation of the project, as the researcher's interpretation of the findings contributes to the social construction of the phenomena under investigation.

In order to gain a better understanding of the departmental leadership processes a modified single case study design (one Business School with embedded units; Departments) was adopted. Yin (2008) suggests that a single case approach is appropriate where an organization's structural features are similar to other organizations within the same sector. The department structure in the study site is similar to the structures of most of the other large business schools in Canada. The site may also be a useful example as the move to a departmental structure is a recent phenomenon for the organization and the shift to chairs as designated leaders is still an evolving process. An embedded design, using multiple departments in the school, was chosen for a number of reasons. The use of multiple units of analysis can serve to minimize the potential misrepresentation that may occur when only a single sample is used (Yin, 2008). The use of multiple units within the sample case also provides the opportunity to generate theoretical insights based on comparisons between the units (Eisenhardt, 1989). Bryman (1996) suggests that differences between similar organizations can be particularly effective in highlighting variations in leadership practices. The modification in the case study approach involved the use of only a single source of evidence (Yin, 2008). While it is typical for case studies to use multiple sources, this project relied primarily on semi-structured interviews. However the status of the researcher as a participant/observer insider has provided the researcher with previous informal access to documentation and direct observation that helped to provide a contextual framework for the data generated by the interviews.

Given the qualitative nature of the study, it is important to discuss how my bias, personal assumptions and or values may affect the study, recognizing that the impact has the potential for both positive and negative consequences (Creswell, 2008). This examination is particularly important for this project, as I am operating as a “backyard” or “insider” researcher as the project has been conducted within my own organization (Metz and Page, 2002).

My perceptions about departmental leadership have certainly been shaped by my experience as a departmental faculty member. While I have been a faculty member for over eight years, it is only in the last two years that I have been employed as a full-time faculty member. However since joining the department as a part-time faculty member I have been actively involved in departmental meetings. My understanding of the how departments and departmental chairs operate and the decision making process within departments, can be beneficial in understanding the basic nature of the environment and can assist in providing a more nuanced analysis than an outsider may be able to provide. However, this closeness also has the potential to introduce bias that may influence how the collected data is interpreted. Awareness of the potential for researcher bias is an important first step in minimizing the bias that may result from previous knowledge concerning the phenomena. As my experience is limited to a single department, I recognize that there can be a great diversity in how leadership in this setting may be conceptualized and operationalized and as such I am open to a variety of descriptions as may be provided by the project participants.

I also recognize that as an insider there is the potential for both disclosure and power issues that can influence the data provided by participants (Metz and Page, 2002). While these issues may be somewhat ameliorated by the selection and ethical review strategies that were employed in the design of the study and the participants own experience in social science research, the need to stay aware of these potential issues is important. There is also a delicate balance that will have to be considered in the reporting of the findings, in order to preserve the anonymity of

the project setting and its participants and this needs to be accomplished in a manner that does not compromise the integrity of the project.

In keeping with the practitioner focus of the Cranfield Doctor of Business Administration program, this initial dissertation project was conducted in the organization in which I am currently employed. In addition to the ease of access, the site has a number of characteristics that make it a good choice, particularly for an exploratory study of this type. The site is a well-established Business School that has been active for over 40 years. It is also one of the largest Business Schools in North America both in the number of students and academic departments. While the school's departmental structure is similar to other schools of its size, the site underwent a major structural change five years ago that significantly expanded the number of academic departments, which has created a rich diversity in which to explore leadership processes. Given the exploratory nature of the project, my familiarity with the site will also be beneficial as I have a basic understanding as to how departments fit into the overall school structure and can focus attention specifically on leadership processes. The project has received ethical approval from both Cranfield University and University where I am employed.

The project was undertaken in three departments at a Business School in a major University in Central Canada. In order to move beyond the designated leader centric focus that characterizes a significant portion of leadership research and understand how other key departmental stakeholders conceptualize leadership, faculty members and school senior administrators were included in the project sample. In order to get a wide range of perspectives at least one half of full time faculty in each Department was randomly selected for inclusion in the sample. As each departmental leader has a reporting relationship with the Dean of the school, the Dean was also included in the project sample. As there are other senior administrators in the school, who do not have a direct reporting relationship with the departmental leaders, but are stakeholders in decisions made in departments,

another senior administrator other than the Dean was also included in the project sample.

The first stage of sample selection involved the random selection of the departments to be included in the study. Once a department was selected, a letter was sent to the Chair inviting participation in the project. All three Chairs of the Departments that were randomly selected agreed to participate. The next step in the process was to randomly select the faculty from each department to participate in the project. A letter was sent to each of the faculty randomly selected inviting their participation in the study. In order to get the desired number of faculty members (12), letters were eventually sent to seventeen members, as five faculty declined to participate in the study. While not every faculty member who declined provided reasons for their decision, some did. Those who did have varied reasons including having prior knowledge of my research, being on sabbatical and a heavy workload. As there is only one Dean, obviously this selection was not random, but the other Senior Administrator was selected through a random process and as the first Administrator declined, the second Administrator selected was included in the project sample.

### **3.3.2 Data Collection**

While there are a wide range of data collection techniques that can be used in a qualitative approach, interviews were selected as the primary technique for this project. The rich nature of interview data is particularly effective in obtaining nuanced description of the life world of study participants. In-depth description of the respondents' feelings, thoughts and actions, enables both the interviewer and respondent to focus on relevant themes and also provide the opportunity to clarify ambiguities that are part and parcel of our complex personal realities (Kvale and Brinkmann, 2009).

The development of specific questions for the interviews was linked to each of the project research questions (see Appendix A). The interview questions varied slightly for each staff level within the Department (see Appendix B). While a semi-structured interview protocol was developed, the interviews did not strictly adhere to the structure and the interviews were conducted as guided conversations to ensure participants were free to explore themes that were important to them (Yin, 2008). Follow-up questions and probes were also used to more thoroughly examine themes identified by participants. The interviews were conducted in April and May, 2009 and were 45 to 60 minutes long. Each interview was tape recorded with the consent of the participant and transcribed verbatim. Participants were invited to review the interview transcriptions, though none of the participants expressed interest in doing so.

All the interviews were recorded and supplemented by written notes to enable the researcher to keep track of points to follow up on. A paid third party transcribed the audio recordings. The researcher reviewed the transcripts while listening to the audio recordings to ensure accuracy and correct any errors. During the transcription process a brief summary of how each of the participants addressed the project research questions was produced (Boyatzis, 1998). In addition to individual interviews a research diary was maintained. The diary included scheduling details for the selection and implementation of the interviews and reflection notes immediately following each interview.

The interview transcripts were loaded into NVivo to assist in the coding and categorization process. NVivo is a computer software application specifically designed to support qualitative data analysis, particularly in projects in which there are large amounts of data. The software facilitates the development of codes and provides the researcher with tools to search, query and identify themes and trends within the data. In addition to importing each interview as an independent source document, each interview was imported as an independent case so that attribute data could be assigned to each participant.

The coding was completed in several stages and utilized a thematic analysis, which can be described as “the process of identifying themes and concepts within the data in order to build a systematic account in what has been recorded” (Ezzy, 2002). The approach is data-driven in which initial coding is generated through induction from the raw data (Boyatzis, 1998) rather than forcing data to fit into pre-existing theoretical concepts (Orlikowski, 1993). The initial open coding of the text used a combination of inductive and a priori approaches. The inductive approach focused on terms used by participants (Strauss, 1987) related to relationships, activities, processes and events (Bogdan and Biklen, 1982). While the main focus of the initial coding was on how the data related to the research questions, care was taken to ensure that themes that did not have an obvious connection to the questions or were clearly important to the respondents were not ignored (King, 2009). The initial coding was performed on nine interviews, after which the open codes were grouped into categories that can be characterized as tree or axial coding (Strauss, 1987).

Once the tree codes were established, the data was systematically coded within a tree code framework. As part of the tree coding process, where the data was consistent with theoretical concepts in the relevant research literature, an a priori approach was taken (Spradley, 1979). While mixing inductive and a priori approaches can be valuable in developing insights from the data care must be taken to ensure that there is sufficient evidence to support the constructs being used (Fox-Wolfgramm et al., 1998). At each stage of the coding process an extensive set of memos were developed to guide the development and revision of the coding system and to record analytical insights (Miles, 1994).

### **3.3.3 Data Analysis**

The first stage of the analysis process involved clustering the tree codes into themes and categories. The themes were established in reference to the common issues identified by the respondents that were relevant to the research questions (Westbrook, 1994). In the second stage of the analysis all the data was systematically reviewed and minor changes to both the scope and order classification of coding, in accordance with project aims, were made (King, 2009). Several iterations between data, codes and themes were undertaken in order to establish the final framework (see Appendix C). As the revisions amounted to less than a 10% change to the coding, the review served to corroborate and legitimate the coded themes (Miles, 1994; Crabtree and Miller, 1999).

In accordance with the research question concerning the factors that influence the leader's ability to implement strategic objectives, the third stage of analysis examined how in some instances, individual factors combined to influence the leader. The final stage of analysis examined how the factors operationalize within each of the three departments involved in the project sample.

At each stage of the coding and analysis, many passages that had multiple descriptive and inferential meanings were coded at several, rather than at individual nodes (Miles, 1994). In constructing the thematic framework it is also important to recognize that while the frequency of codes was influential in focusing attention on certain areas and provides some measure of rigour, frequency in of itself does not demonstrate meaning (King, 2009). While the study was initially intended to focus on the leadership process as the unit of analysis, it became evident during the analysis stage that even though leadership was not the sole domain of the department chair, the chair played a primary role in the leadership process and as such the unit of analysis shifted from the process to the chair. In



the analysis phase a peer debriefing process (Lincoln and Guba, 1985) involving multiple chairs and faculty members from departments that were not included in the study sample was used to examine the findings.

### **3.4 Findings**

The findings section will begin with a short description of each department, then present the analysis of all the interviews and classify the data provided by the respondents into a set of contextual factors. The next stage of the findings will examine how these factors influenced the strategic initiatives within each department.

#### **3.4.1 Case Study Descriptions**

Each of the three cases within the project involves a department within the Business School.

##### **3.4.1.1 Department 1**

Department 1 operates within a professional discipline with strong links to associated affiliations. The Department consists of five Tenured Faculty members, which includes the Chair, two Tenure Track and ten Part-time Faculty members. The Department is one of the larger departments in the school and the ratio of non-tenured staff to tenured staff ( $n = 12/5$ ) is significantly higher than other departments. The relative number of leadership initiatives identified by respondents is low when compared to the other departments in the project. The Department offers two courses that all students in the school are required to take. There has been a long-standing issue related to the failure rate for students who are not majoring in the Department. The Department has been trying to develop a strategy to deal with this problem, but have made little progress on formulating a strategy that department members can agree upon.

### **3.4.1.2 Department 2**

Department 2 is a relative newcomer to the school. The Department has a total of 14 faculty members and membership is evenly split between tenured and non-tenured faculty. The relative ratio between tenured and non-tenured faculty is close to the average within the school. Faculty in the Department identified several leadership initiatives being undertaken by both the Chair and various faculty members. The Department has been working to enhance its reputation and has recently agreed to host a conference involving the two most prestigious national organizations within the department's disciplinary area. The Chair indicated that the success of the conference was dependent on the participation of department faculty in taking on organisational tasks related to the conference.

### **3.4.1.3 Department 3**

Department 3 has undergone a significant change in the composition of its faculty within the term of the current Chair, with four tenured staff having retired and replaced with tenured track and full-time contract staff. The Department now consists of 5 Tenured Faculty, 4 Tenured Track Faculty, and 2 full-time Contract Faculty. In addition the Department has, depending on the semester, has eight to ten Part-time Staff, many of whom take active involvement in department meetings and activities. The Department is the largest in the school and the ratio of non-tenured to tenured faculty ( $n = 14/5$ ) is the highest in the school. The chair has been proactive since the beginning of his/her tenure in trying to promote comprehensive curriculum change in the department, but was unable until recently to get agreement from departmental members to proceed with the curriculum redesign.

### **3.4.2 Contextual Influences**

This section of the findings is organized into various themes based on the data collected from the project respondents. As the other themes are all influenced by the context of the business school setting this will be the first theme to be examined. The rest of the findings have been categorized into the following four factors; chair (leader), faculty (follower), department and initiative.

#### **3.4.2.1 Business School Context**

In considering leadership within business school departments, most respondents indicated that the nature of leadership was shaped by the distinct organisational factors, such as faculty autonomy, leader tenure and selection, limits to power, shared authority and decision making (Appendix D.1) that exist within academic environments, but are not present in most other organizations,

*“I think that’s my understanding compared to other places like government or somewhere maybe somebody has more power, leadership, other like, somebody on the top, other people at the bottom but here we’re kind of same, same level”* (Faculty member, Department 2).

Within the Business School context, faculty, unlike department members in most organizations, have significant amounts of autonomy and for most work related matters faculty do not receive direction from the chair of the department. For example under the rubric of “academic freedom”, faculty are free to determine their own research agenda and how course content is presented in the classroom.

Seven respondents indicated that the chair selection process, where faculty often hold the majority of votes on the hiring committee, and the tenure of the chair, a five year term with possible renewal for one additional term, serves to influence how the leadership process operates within departments. One respondent suggested that the system serves as a powerful force in preserving the status quo

as many faculty members do not want change at the departmental level to interfere with their individual teaching and research responsibilities. The practice where the chair returns to a faculty position upon the completion of their term as chair was also identified as distinct influence on the leadership process,

*“You think very carefully about, about what you do and how you treat the chair and the chair thinks very carefully how he or she treats faculty and it’s like we’re all in this together. I happen to be the chair for these five years but then I came from the ranks; I’m going to go back to the ranks”* (Chair, Department 3).

As a result of the collegial structure, in which faculty members have democratic rights, the department chair does not have independent authority for most decision making within the department. This authority is shared with faculty members,

*“I think just the very culture, the very nature of an academic department it’s sort of, you know, everybody’s equal and no matter how long you’ve been here versus what you teach versus how many degrees you’ve got, I mean if you’re a member of the department, you’re a member of the department”* (Faculty member, Department 3).

While two respondents indicated that they saw little distinction between leadership in academic environments and other contexts, it was generally recognized, even by who believed there was little distinction, there are significant limits to the power available to chairs compared to other contexts. Both Chairs and Faculty Members spoke at length on the limitations Chairs faced in the performance of their role,

*“I mean, the, the mundane description of leadership and management at a university has been and is the herding of cats”* (Faculty member, Department 2).

Various aspects of the decision process within academic departments, such as process time, need for transparency and buy-in and the iterative, democratic and collegial nature of the process, were also cited as important influences on the departmental leadership process (Appendix D.2).

In some cases, particularly if an item results in controversy between department members, the time it can take to reach a decision can significantly delay the implementation of strategic initiatives. In one department the final decision for major curriculum changes was a four year process. It was also noted that the decision process needs to be transparent and the lack of transparency could result in the failure to receive departmental approval for an initiative.

Shared authority, in which decisions are made through a democratic process, was also described by respondents as another important influence on leadership processes. The democratic process requires leaders to secure the buy-in of faculty members and also results in an iterative process through which most proposals are thoroughly discussed and modified as part of the process. As such the decision process can be described as collegial in which there is a high degree of collaboration and respect for the viewpoints and opinions of all department members,

*“That was, we went through meetings and meetings, and there were different opinions about what were the skills that were applicable but eventually we worked through it. We worked through it as a group; it was a very collegial process”* (Faculty member, Department 2).

### 3.4.2.2 Chair (Leader) Factors

The data suggests three categories relating to the chair; change orientation, leadership style and use of power and influence (Appendix D.3). Chairs tended to exhibit two types of strategic orientation. Some chairs are change agents, who seek to foster and implement change. Other chairs were viewed as caretakers who seek to maintain the status quo and are primarily focused on the administrative aspects of the role.

The leadership style of the chair is also cited as an influence on the leadership process within the department. The styles indicated in the project sample fall into four categories: collegial, directive, encourager and transformational. The collegial style is personified as consensus seeking and viewing all faculty members as full partners in decision making. The directive style involves behaviours that promote and implement the Chair's interests. Chairs using an encourager style motivate and support faculty members to initiate and implement their own projects. The transformational style involves the development, implementation and securing buy-in for a change vision,

*“So this comes back to the type of leadership that you have and I, I, I think, certainly in the School of Business, we probably have a normal distribution of type of leadership within departments”* (Faculty member, Department 2).

It is important to recognize that the data concerning leadership style does not reveal a style that is specific to individual chairs, who may demonstrate multiple styles depending on the situation.

The Chair's use of power and influence was extensively noted by respondents. These comments related both to the influence tactics used by the chair and the bases of power the chair drew upon. The Influence tactics identified were a combination of hard and soft influence tactics. Examples of hard tactics used by Chairs included blocking, coalition forming, legitimizing and pressure. Soft tactics used included; consultation, exchange, ingratiation, inspirational appeal and persuasion (Appendix D.4).

In a similar vein, a number of sources of power are identified as having influence on the leadership process. These sources can be categorized as either position based, such as legitimate, reward, coercive and information power or personal based, such as referent and expert (Appendix D.5). It is interesting to note that most of the discussion of position based power sources focused on how, as a function of the governance structure, chairs were unable to draw upon position-based sources of power,

*"I think in academic departments whether it's this departments or, or virtually any other department the person in charge, the department head, the chairman of the school whoever it happens to be tends not to have the authoritarian, the power to make something happen, there's a word I'm looking for sorry I just can't find it, the responsibility and the authority" (Faculty member, Department 3).*

#### **3.4.2.3 Faculty (Member) Factors**

The data revealed two categories related to how faculty members influence departmental leadership processes; departmental orientation and employment status (Appendix D.6). Departmental orientation consisted of three dimensions; individual focus, leadership involvement and resistance to change.

Employment status focused on distinctions between faculty members who have

tenure and other faculty members who are probationary (tenure track) or part-time status.

The individual focus of a faculty member relates to the amount of time and effort concentrated on research and/or teaching activities and many interviewees revealed that they had neither the time nor interest to engage in strategic matters related to department level change,

*“I don’t have to tell you that and I think the initial reaction should be, if you want to be successful in this business, is to say no to taking on extra work because you already have too much to do. And anything that you do extra that doesn’t contribute to your role as a scholar particularly while it might be interesting, it might be worthwhile takes your, dilutes your efforts simply and in this highly competitive world, in the academic world, if you want to make it as an academic beyond the institution, you’re instant response has to be to say no”* (Faculty member, Department 2).

On the other hand many interviewees suggested that individual faculty members are often motivated to undertake departmental leadership initiatives. Faculty may also assume leadership roles in departmental activities initiated either by the chair or other faculty members. However most of the examples of faculty involvement in department leadership initiatives that were provided involved activities that were initiated by faculty members themselves.



There was universal agreement that academic leadership in a department is shared to varying degrees between the chair and department members,

*“But I think it really depends on the issue and but I do think that the reality isn’t departments, the chair tends to rely on a group of people that can take self-leadership roles if you want in certain areas whether its curriculum, whether its student engagement, whether its research, whether it’s outreach. The chair can’t do it all”* (Senior Administrator).

One example of the distributed nature of leadership within departments mentioned by most interviewees is the leadership faculty members take in designing and changing curriculum for the individual courses they are responsible for teaching,

*“But the reality is everybody tends to be so independent and take the leadership role in their own course or their own area”* (Faculty member, Department 1).

Three respondents highlighted a third dimension of departmental orientation relating to resistance to change. Two respondents gave specific examples of situations where a small number of few faculty members, who were interested in maintaining the status quo, could effectively block change at the departmental level,

*“We had three or four very vocal tenured faculty who said why are we doing that? We don’t need to do that. Let’s just keep it the way it is, we’re moving too fast, etcetera, etcetera”* (Chair, Department 3).

The findings concerning the impact of faculty employment status on the departmental leadership process had a number of dimensions. Eight of the respondents suggested that tenured faculty and probationary faculty could be treated differently. While most of the tenured track and tenured faculty were specific concerning these differences, one chair and one senior administrator suggested that while there was the potential for differential treatment based on status this was not the case in their department or school,

*“You have people who are dying to get tenured, you have people who are on two year contracts and hope to be renewed, you have people who are literally on no contract but teach from year to year so you have a very fragmented audience and the power over, the leader’s power is different depending on who is in the audience”* (Faculty member, Department 2).

In addition, the overall composition of the department faculty between tenured and probationary/contract faculty was cited as an important influence on the leadership process. In departments in which there were high percentages of probationary faculty, chairs tended to make more greater use of position based power and hard influence tactics,

*“Well, an example I guess when it looks like it’s happening that way is when the department leader or the department chair forces stuff on people and to a certain extent, I mean I think part of the challenge is you’ve got in our department in particular, we have several untenured faculty members and few tenured faculty members”.* (Faculty, Department 3)

#### 3.4.2.4 Departmental Factors

The data revealed a number of the factors that impacted on leadership processes related to departmental characteristic including; organisational culture, decision processes, academic discipline and size (Appendix D.7).

Three distinct types of organisational culture were identified in the data: change, collegial and directive. Organisational culture within this context refers to the perceptions of its members as to collection of beliefs, values and norms that guide the organization (Smart and St. John, 1996). Department 3 respondents described the department as one that was involved in a range of change initiatives and promoted and embraced change. A number of activities including conference planning, faculty-students initiatives, curriculum development and research activities were provided to support the claim that the Department was the “one that does things”. Respondents in Department 1 spoke at length about the importance of consensus in decision-making and the importance of collaborative action, two characteristics of a collegial culture. The directive culture exemplified in Department 2 was based on respondent data that spoke to the primary role of the Chair in setting the direction for the department. Each cultural type identified has specific implications for the leadership process within the department and each type of culture identified related specifically to a single department. However, it is important to note that organization culture can be shaped by other contextual factors and can change, particularly as changes occur in other contextual factors,

*“I think that very much that’s very personal to the department. I, I would be shocked if in looking at so we have \_\_\_\_\_ departments or schools here at \_\_\_\_\_. So if you look at them and you asked me to discern that question, I think I would have some basics that might be similar but I think I could discernibly say there’d be eleven very unique ways of doing that. So there’s the two extremes and I think we can find something in*

*between, everything from the pure collective, those who dare do a thing without our approval all the way through to you know either trust you or don't care enough" (Senior Administrator).*

While the decision process was previously identified as a governance factor, interviewees also suggested that there were decision processes that were unique to individual departments including the need for consensus and how proposals are developed.

Although democratic decision making was common to all departments, there was indication that in some departments a simple majority is not sufficient and that decision making required consensus among members,

*"We've had area for a long time; it's definitely been very much a consensus decision making model. What does everybody think? What should we do?" (Faculty member, Department 1).*

While Interviewees did not provide specific examples related to departments within the project sample, they did refer to the size of a department and the nature of the discipline as important factors influencing leadership processes in departments,

*"A good example was when I guess, we were asked as a department to put together our strategic objectives and the chair of the department put together a draft and then we kind of discussed them at a department meeting and people had an opportunity to comment and the chair appeared agreeable to the modifications and essentially people voted on things and it was decided or agreed upon" (Faculty member, Department 3).*

### 3.4.2.5 Initiative Factors

There was an indication that the nature of the initiative could also influence the leadership process within departments. The data relating to the nature of the initiative fell into four distinct categories: impact on faculty, importance to chair, and the source and the type of initiative (Appendix D.8).

The impact that the initiative has on individual faculty workload can be a significant influence as to whether or not faculty members support a particular initiative. As previously noted many faculty members are busy with their individual teaching and research activities and do not wish to get involved in projects or activities that will require additional work,

*“You have faculty that are docile, you can’t fight with it really it’s seeing all the departmental work as a chore and it’s hard for them to come to the meeting to begin with and if they come to the meeting they want an easy exist, they don’t really participate. There some colleagues of mine they never open their mouth to say anything, either yes or no” (Faculty member, Department 1).*

On the other hand faculty members did not indicate resistance to departmental initiatives proposed by others that only had a workload impact on the faculty involved in the project.

The importance an initiative has for the Chair is another factor that was cited as having an influence on the departmental leadership processes. Interviewees provided a number of examples including that demonstrated that when dealing with items that are important to them, chairs may change their leadership style and draw more upon position based sources of power and hard influence tactics.

These examples included the use of coalition forming tactics to influence a decision on hosting a conference and the use of pressure tactics and legitimate power to influence choice of course materials,

*“... but I think the key difference between where the collegial process worked and when it didn’t work was when it was of strategic importance to the leader versus when it was just something that needed to be done”* (Faculty member, Department 3).

The initiatives cited by respondents can be categorized as either generated within the department or outside the department. With initiatives that are generated outside the department, particularly those in which school senior administrators are applying pressure, there appears to be a greater inclination for departments to make decisions in a timely manner,

*“...and so as a result it, it’s not as difficult to get them to move towards change in the curriculum, might be if we didn’t have sort of a common desire to ensure that the students are ready for the (accreditation) bodies”* (Faculty member, Department 1).

The type of initiative can also have an impact on the leadership process within the department. Two basic categories of initiatives were identified by respondents; academic and administrative (Appendix D.9). Academic initiatives typically directly impact the academic mission of the department and include activities such as curriculum development, faculty hiring, academic planning and policy, mentoring, research and teaching. Administrative initiatives tend to include activities such as department administration, student activities and conference planning. The type of initiative may influence the source from which the Chair draws their power. While tenured factor tend to frown upon the chair’s use of legitimate power in academic

matters, the use of this power source appears to be more acceptable when it comes to administrative matters,

*“There’s other service things over which the chair has some discretion or has some influence, maybe work, nature of teaching workloads or things like that” (Chair, Department 2).*

However, even in this regard the chair’s power may be limited in that two tenured faculty members noted that these decisions may be subject to appeal,

*“Some leaders do it by fiat but when it really comes down to it, you can appeal, you can say I don’t want to teach this and that’s an interesting example where the leader does not have the power that we see in traditional leadership, let’s put it that way” (Faculty member, Department 2).*

### **3.4.3 Case Analysis**

Each of the three cases in the project provides a good example of how these contextual factors work in concert to influence the Chair’s ability to enact strategic change.

#### **3.4.3.1 Department 1**

As previously noted Department 1 operates within a professional discipline with strong links to associated affiliations. The Department consists of five Tenured Faculty members, which includes the Chair, two Tenure Track and ten Part-time Faculty members.

The major strategic initiative identified by the Chair and several members involved changing the department’s curriculum in order to improve the performance of non-majors in the department’s courses required for all students in the school. Prior to

this year, the Department was unable to agree upon a solution to the problem, though it recently found a solution that all faculty members agreed to. An examination of various contextual factors can help in explaining the Department's inability to reach a timely solution and how a change in some of the factors contributed to breaking the impasse to curriculum change.

The Department has been described by the Chair and other members, but not all respondents, as a consensus culture, in which the agreement of all members is required to move ahead on major decisions (Table 7). The Chair is viewed by most, but not all members, as having a collegial leadership style. All the department members interviewed were engaged in departmental matters, though most of the initiatives that were noted were related to curriculum development. However, with the exception of curriculum development of courses by individual members, all of the joint initiatives noted by respondents were connected to external sources, such as accreditation bodies and the school's senior administrator. Though only a single member indicated that the Chair's change orientation would fit the caretaker classification, given the expressed need for consensus and the lack of initiatives that were internally generated, this claim has some substance.

The Department's inability to introduce a curriculum change for its required course eventually brought pressure from the Dean's office to come up with a solution.

*"Actually it was (Senior Administrator) that basically, the failure rate is way too high so it was an administrative retention issue and I would say (Senior Administrator) pushed and pushed and pushed to have the courses changed"* (Faculty member, Department 1).

As a result of this pressure, the Chair leadership style changed. While consensus decision-making was maintained on the surface, the Chair in a departure from



their typical collegial style used harder influence tactics including lobbying and coalition building to gather support for a particular solution, while rejecting a solution brought forward by a minority of faculty members. One member reported that the lobbying efforts were particularly effective with non-tenured faculty, as the chair had influence over the long term employment security of these members.

*“I’m talking about within a department, the chair has more power, relatively chairs, senior faculty have more power than junior one because I’m not tenure. Sometimes I think like, I feel like senior people have more power”* (Faculty member, Department 1).

One member suggested that given the high ratio of non-tenured to tenured faculty (employment status) these tactics were particularly effective in the securing a wide base of support for the Chair’s preferred solution.

*“So the composition of the department is, is, is very, very important. It happens in my department you know, that we have part timers because there is no department rules on who participates, which is good for participation purposes but to have the same vote as full timers and since the numbers are greater then, then, then tenured faculty members and they have this kind of perceived obligation to please the chair. It’s predictable that the vote is going to go where the chair wants without having adequate representation”.*  
(Faculty member, Department 1)

Factor	Category	Factor	Exemplary Quote
Chair	Change Orientation	Caretaker	<i>I find my experience that the majority of Chairs, they're not generating ideas, is not of the kind that they will take the bull by the horns and open new paths. The majority of Chairs, especially if they are voted in, in our case here fundamentally we vote in the chair. There are people that are seen as the least dangerous for the status quo. So unfortunately this is one of the perils and one of the big handicaps of the university governance. you and I, let's say, and a few other colleagues today were to elect a new Chair for our department, I know we belong to different departments, what would motivate us to work for one person or another who would not be probably the best candidate but the one that we think is going to leave things as they are mostly. Faculty</i>
	Leadership Style	Collegial	<i>..... would be very much a collegial consensus builder, leader. Faculty</i>
	Use of Power and Influence	Hard Tactics	<i>We've reached decisions and one of those decisions that we reached as a group was then overwritten by the Chair because, for a good reason like it's not like I don't appreciate a reason. Faculty</i>
Faculty	Departmental Orientation	Leadership Involvement	<i>In curriculum development, the Chair or more senior people will take the lead in those kinds of activities. This one I totally agree, yes, especially Chair and senior people. Faculty</i>
Department	Culture	Consensus	<i>Basically it, the way I see it is that you're attempting to help move the department forward with cooperation from the rest of the faculty so what you're trying to do is sort of build some kind of team spirit rapport and get some kind of consensus that will move the department towards improving the academic qualities of the program and so as a result make it a better experience for the students as well but you have no clout. Chair</i>
	Decision Process	Need for Consensus	<i>We've had area for a long time; it's definitely been very much a consensus decision making model. What does everybody think? What should we do? Faculty</i>
Initiative	Academic	Planning and Policy	<i>So we have lots of discussion, how to some like, maybe redevelop the curriculum, redesign some classes or change the entrance requirement, something like that right? Faculty</i>
	Source	External	<i>Well a real example right now is we have an issue in my department of retention rates. We have two courses that are mandatory for all majors, both of them have high attrition rate, it means failure rate, dropout rate so facing the issue and the administration wanting answers from us. Faculty</i>

**Table 7 Department 1 Factors**

The resolution of the curriculum issue provides a good example of how changes within one contextual factor, in the case, the source of the initiative (the Dean's office) can influence changes in other factors, which involved changes in the chair's leadership style and use of power and influence. While for most strategic matters the department is willing to postpone decisions until a consensus is reached, in this matter, the external pressure served to influence the chair to a more directive style which resulted in the decision that finally produced a solution. It is also important to note that employment composition (tenured vs. untenured) in the Department was also an important factor in enabling the Chair to utilize a more directive style.

#### **3.4.3.2 Department 2**

As previously noted the main strategic initiative noted by the Chair involved the Department hosting a major academic conference. This case is another example of how a change in one contextual factor can influence changes in other factors in order to successfully implement a strategic change.

Department 2 is described by all the respondents interviewed as having a change culture. Both faculty and the Chair describe the Chair's leadership style as an encourager and agree the Chair has a strong change orientation. All of faculty who were interviewed pointed to several internally generated initiatives they and other faculty had worked on. One of the initiatives noted by three of the respondents involved the establishment of a local chapter of a national organization by one of the Department's faculty and this initiative provides a good example of how the Chair, faculty and department factors can operate in concert to influence the departmental leadership process (Table 8). The Chair's general leadership approach involves supporting faculty in the leadership initiatives they choose to undertake and tolerates faculty members' decision to not undertake leadership even when the member may not have tenure.

*“We don’t operate as if that’s true and I’ve had one of my probationary faculty concerned or under the impression that that might be the case that I better do what my chair wants me to do or what my DAC (Department Appointments Committee) wants me to do. And I’ve set this individual quite straight, no that’s not the case, we want you to be a good academic but where you want to go is in your own direction, you don’t have a boss” (Chair, Department 2).*

Factor	Category	Factor	Exemplary Quote
Chair	Change Orientation	Change Agent	We think of ourselves as the department that <i>does</i> stuff, so italics on does, we’re the department that does cool things. Chair
	Leadership Style	Encourager	So I think that everybody feels that they can contribute and then it’s a, therefore a very positive kind of a decentralized I’d say because you’re, you know it’s not like it has to come from the Chair. The Chair is very supportive of initiatives. Faculty
	Use of Power and Influence	Soft Influence Tactics	In order, therefore to get everybody marching in the same direction, you really do have to persuade them, you have to let them see that it’s a common direction worth going and for the most part, we’re successful at that but occasionally there are people who just don’t buy-in, which means you have to have a different level of tolerance for variation. Chair
	Departmental Orientation	Leadership Involvement	On the other hand we can have leadership cropping up anywhere within the department. Faculty
Department	Culture	Change	They seem to have assembled particularly a core group of people that agree that doing new things are important things. Faculty
Initiative	Academic	Student Activities	To give you a good example, in our area we have a very outstanding academic and he took it upon himself to develop chapter of at the School. Faculty
	Impact on Faculty	Individual	He did this all by himself, he organized the students, he went out and got the money, he’s got a grant for ..... Faculty
	Source	Internal	Case and point we hired ..... and he was passionate about creating support infrastructure for students. Chair

**Table 8 Department 2 Factors**

This approach may change depending on how important an initiative is to the Chair. In this case in order to enhance the stature of the Department, the Chair was interested in having the Department host a major conference.

“We’re going to put on a conference, a major conference in the fall; it’s a coup for ... to have gotten it and we want to do it very well”. (Chair, Department 2)

However in order to host the conference the chair required agreement and support from department members. In order to secure approval and buy-in, the Chair who usually relies on soft influence tactics, used harder tactics, such as pressure and coalition building to get agreement on the initiative.

*“So it was (former Chair) who brought it and then he talked to me and a couple of other influential members of the department and when that smaller group was convinced then it got on the agenda of the department meeting”.* (Chair, Department 2)

Even though members recognized that their work on the conference would require significant time, given their strong departmental orientation most are taking on a leadership role in organizing the conference.

*“I mean, we have committed to running this entrepreneurship conference next fall which you know which is a ton of time”.*  
Faculty, Department 2

So this case is an example of when the nature of the initiative is important to the chair, it can result in changes to their leadership style and the power and influence tactics that are used.

### 3.4.3.3 Department 3

When the chair started in Department 3 they viewed themselves as a change agent and had the goal to overhaul the Department's curriculum to better fit with current trends in their disciplinary area (Table 9). However as the department faculty consisted primarily of long term tenured members who opposed significant change, the chair was not able to implement any changes.

*"On the other hand, when you have, the reason we have not been able to move forward in the \_\_\_\_ department before, we had three or four very vocal tenured faculty who said why are we doing that? We don't need to do that. Let's just keep it the way it is, we're moving too fast, etcetera, etcetera. So I had the obstacles". (Chair, Department 3).*

The situation is a good example of how despite the leadership orientation of the chair, which in this case is a change agent, other contextual factors, such as departmental composition and the change orientation of members can impede a chair's ability to actualize change.

*"I've seen a number of chairs, a number of senior administrators, from presidents right down to chairs, the people you work with, can absolutely create an environment where nothing happens. I've seen it with deans, I've seen it with presidents, I've seen it with vice presidents, I've seen it with chairs. And so the notion that you can go in there and be a leader that is the one that's really in charge and is making the decisions and you direct people to do this, this and this. You can't do that." (Senior Administrator)*

Factor	Category	Factor	Exemplary Quote
Chair	Change Orientation	Change Agent	<i>I had a vision that I wanted. I wanted to make it, I'm a really good builder, so by the time I leave in five years, the new curriculum will be built. Chair</i>
	Leadership Style	Directive	<i>I would say in our department it would be the Chair who takes the lead and determining sort of the direction of the curriculum, direction of teaching requirements. Faculty</i>
	Use of Power and Influence	Hard Tactics	<i>And when there are issues of either strategic importance or sensitivity, members will make their comments that which may disagree with the strategic direction being presented. However, when it comes down to a decision or vote, there's a lot of outside pressures that cause you to conform to the leader's direction. Faculty</i>
		Position Based Power	<i>I mean, when you're tenured you have nothing to lose, when you aren't tenured, you might have something to lose. Chair</i>
Faculty	Employment Status	Composition of Faculty	<i>Now you can only blow up a curriculum when you don't have strong forces opposing you. I did not have strong forces opposing me. Chair</i>
	Departmental Orientation	Individual Focus	<i>On the other hand, when you have, the reason we have not been able to move forward in the marketing department before, we had three or four very vocal tenured faculty who said why are we doing that? We don't need to do that. Let's just keep it the way it is, we're moving too fast, etcetera, etcetera. So I had the obstacles. Chair</i>
Department	Culture	Directive	<i>I don't have a lot of people for whom this is part of their job and they're interested, you know. And you know tenured faculty can just thumb their nose at you, I have no control over the tenured faculty. They do whatever they want. Chair</i>
	Decision Process	Proposal Formation	<i>Now the Chair comes in with initial proposal to get the discussion going and, and then people will table their, in fact what Chair does is that she prepares a document which is more of a working document. Faculty</i>

**Table 9 Department 3 Factors**

There is also evidence that a number of factors can influence the leadership style employed by the Chair. For example, the use of a directive style where there are tenured faculty who are resistant to change can pose serious obstacles to the chair's ability to implement strategic objectives,

However the Department in the past 3 years began to undergo a significant change in relation to the composition of its membership. Three of the vocal tenured faculty members left the department and 5 new untenured full-time faculty members joined the Department. Though a few of the tenured members wanted little involvement in departmental activities and were focused on their individual teaching and research, the shift in composition to a larger percentage of tenure track and contract faculty created a shift in the power and influence dynamics

between the Chair and the department members. The change provided the Chair with the opportunity to initiate a major curriculum change project. While as previously noted it is difficult to utilize hard influence tactics and rely on position power with tenured faculty, eight respondents across the interview sample indicated that as probationary and contract staff may be more vulnerable it appears that these uses of power and influence can be more readily utilized.

*“With junior people it’s quite different. Junior people you know have much more specific responsibilities and the, their, the carrots and sticks are much stronger, certainly the stick or the threat of lack of tenure or, or further you know contract even that sort of thing”* (Faculty, Department 3).

With the change in member composition the Chair adopted a more directive leadership style and utilized more position based power and harder influence tactics, which enabled a major overhaul of the department’s curriculum.

*“Now you can only blow up a curriculum when you don’t have strong forces opposing you. I did not have strong forces opposing me”*. (Chair, Department 3)

While this case is similar to Department 1 related to the impact that the composition of department members may have on the Chair’s ability to implement strategic change initiatives, the difference here is the initiative came from the Chair, rather than through external pressure as in Department 1. The change in composition also resulted in changes in the department’s culture and decision processes.

All three cases all demonstrate the impact that contextual factors can have on the chair’s ability to implement strategic department change and that contextual factors do not necessarily operate in isolation but may operate interdependently.



Common to each of the examples is the need for Chairs to get agreement from faculty members in order to proceed with strategic change. In two of the cases, the composition of faculty members in the department, particularly the high ratio untenured faculty played a key role in enabling the chair to use power and influence to enact change.

*“You have people who are dying to get tenured, you have people who are on two year contracts and hope to be renewed, you have people who are literally on no contract but teach from year to year so you have a very fragmented audience and the power over, the leader’s power is different depending on who is in the audience”* (Faculty member, Department 2).

The Chair’s ability to use different power and influence strategies appears to be also related to the difference in perception between tenured and probationary faculty on their own power within the department. While almost all the tenured faculty spoke about their own autonomy, there are mixed views in this group as to the differences in power between tenured faculty members and untenured members. When a senior administrator was asked whether there were differences in Chair’s actions depending on the composition of faculty, they responded:

*“There shouldn’t be, I think there could be but I don’t think there should be.”* (Chair, Department 2)

This perspective contrasts with the view held by most of the non-tenured respondents in the sample. Tenured faculty tended to be quite vocal about the nature of faculty autonomy, the non-tenured faculty members did not mention this at all. Interviewees with tenure also tended to view the chair as a colleague. Non-tenured respondents tended to view both the chair and tenured faculty as having more power,

## **3.5 Discussion**

The discussion will focus on how the findings relate to the project's research questions and how the findings for each question confirm, deviate from or add to existing research and theory identified in the literature review. The first question examines leadership at the department level and involves leadership at both the chair and member level.

### **3.5.1 Departmental Leadership**

The findings suggest that departmental leadership has both focused (vertical) and distributed (horizontal) aspects. Each of the cases provides good examples of the chair's central role in the accomplishment of department strategic initiatives. This finding is consistent with most previous research on leadership within academic departments which suggest the prime role played by designated leaders in academic departments (Bryman, 2007). However there are other factors specific to the chair that may serve to limit the implementation of strategic initiatives within the department.

In Department 1, the chair appears to give a higher priority to consensus building rather than to change management and it is only after intervention by senior administration that actual change is implemented. While seven respondents discussed the importance of the Chair's change orientation to the department's leadership process, there is little reference to the importance of this factor in previous research on academic leadership. However some researchers cite change orientation as a third leadership behavioural style in addition to task and people oriented behaviours (Ekvall and Arvonen, 1991). Change orientation is often cited as a dimension of transformational leadership (Bryman et al., 1996), where the focus tends to be on the examination of proactive change which corresponds with the type of change agent. Less emphasis is given to the potential role of chair as caretaker, though the role may be similar to transactional leadership, with its focus of managerial tasks (McShane, 2004). However, the

leader's change orientation, in of itself, may not necessarily result in implementing change as was the case in Department 3. There are a variety of other factors both internal and external to the chair that can also serve to enhance or inhibit the chair's ability to implement change which will be the focus of the findings related to the second research question.

The majority of respondents indicated that faculty members also engage in leadership actions at the department level. In terms of faculty involvement in leadership, the findings demonstrate that as a result of shared authority structures and the relative autonomy of faculty, chair leadership is just one part of the leadership process within departments (Bensimon, 1989). While there has been a minimal amount of research concerning the nature of distributed leadership within academic departments, it is important to note that previous claims that distributed leadership could not be differentiated from other forms of leadership in departments may be a function of the UK focus of the studies, where the tenure system has been largely dismantled (Bolden et al., 2008). Whereas previous empirical studies on leadership distribution have focused on settings in which the shared leadership was driven from top down by the process of redistribution of authority between organisational levels (Manz and Sims, 1987; Kirkman and Rosen, 1999; Pearce and Sims Jr, 2002; Edmondson, 2003; Pearce and Barkus, 2004; Carson et al., 2007), these findings suggest the distribution of leadership to members is being primarily driven from the bottom-up and the extent and type of distributed leadership is determined by the interest and initiative of individual faculty members. Given the extent of member leadership identified by respondents the findings also lend empirical support to the notion that distributed and focused leadership do not exist in isolation, as in most distributed leadership studies there is always evidence of focused leadership and perhaps it is more appropriate to look at leadership process in distributed settings as configured (Gronn, 2009).

In summary, the project data and the above discussion suggest that leadership in academic departments consists of both focused (vertical) and distributed (horizontal) elements. Further, the extent of the leadership performed by members in academic departments is primarily driven by members rather than the formal leader.

### **3.5.2 Influences on the Chair`s ability to implement strategic objectives**

The project`s second research question examines the impact chair`s limited authority has on their ability to implement strategic objectives. The findings suggest that the chair`s ability to implement strategic change is a function of both factors internal and external to the chair. The internal factors involve the aforementioned chair`s orientation to change and their leadership style and use of power and influence. The external factors include aspects of governance, faculty, department and the nature of the initiative.

#### **3.5.2.1 Internal Factors Impacting the Chair**

In addition to change orientation, the chair`s leadership style and use of power and influence may serve to limit their effectiveness in implementing change. While the Chair`s leadership style was previously identified as a factor influencing leadership processes and a number of leadership styles were identified, the prime role given to this factor by previous researchers appears, at least in this setting, to be misleading. There are a number of examples in the study, including the initial attempt at transformational leadership in Department 3, that demonstrate that the chair`s leadership style may not be sufficient to actualize change. As demonstrated in Department 1 and 2, the chair`s leadership style may be a function of other factors, rather than a driver in of itself (Bryman and Lilley, 2009).

Although power and influence perspectives have only received minimal attention from researchers focused on academic leadership, the use of power and influence by Chairs was cited as an important factor by study respondents. The findings also

demonstrate the important role played by the chair's use of power and influence. In all three cases, the implementation of the strategic changes required the chair's use of their position and hard influence tactics. In at least two of the cases, Department 1 and 2, the use of the hard influence tactics was a departure from the chair's usual reliance on softer influence tactics. The findings fit within the perspective that Chairs draw upon specific power bases (French and Raven, 1959) that can be simplified into position and personal based sources of power (Yukl and Tracey, 1992).

The findings related to the limits of the Chair's power and their ability to use position based power is consistent with previous research findings recognizing the constraints posed by power and authority structures within academic settings (Del Favero, 2003; Birnbaum, 1988; Gomes and Knowles, 1999; Rakos, 2001; Elias and MacDonald, 2006). There is support for the notion that Chairs can rarely resort to position based power at the risk of offending collegial ideals and the ability to implement change (Bolton, 1996; Hill Winston W. and French, 1967; Hecht et al., 1999). However, these findings also suggest that legitimate power may be a function of the target's acceptance of legitimacy which can serve to explain the difference in the views of the Chair's position based power between tenured and untenured faculty (Kelman, 1974).

In relation to influence tactics, the findings are consistent with previous research that claims influence tactics can be categorized into hard tactics, which tend to be coercive and controlling, and soft tactics which provide the target with the opportunity to determine whether to comply or not (van Knippenberg et al., 1999). While many studies (Schriesheim and Neider, 2006; Yukl and Falbe, 1990) have found correlation between tactics and the type of agents, these studies tend to generalize the power differentials between organisational levels so it is difficult to ascertain how these tactics may differ depending on the relative power of the influence agent and individual or cluster of targets within the organisational unit. The findings in this project suggest that the Chair's use of influence tactics,

particularly hard tactics, may be related to a variety of contextual factors including the status of individual faculty, the overall faculty composition and/or how important a particular initiative is to the Chair. This contrasts with previous research that suggests that influence tactics are solely correlated with the hierarchical position of the influence agent (Peiró and Meliá, 2003). However, the findings indicating the use of soft influence tactics with higher status faculty members is consistent with previous research (Yukl et al., 1996).

This project also provides additional empirical evidence of the importance of power and influence as an analytical lens in which to examine leadership within academic departments (Del Favero, 2003; Gomes and Knowles, 1999), which has been previously limited to research dedicated to the Chair's use of control mechanisms (Rakos, 2001; Elias and MacDonald, 2006). The findings also point to the importance of power as a function of independence and reciprocity (Giddens, 1984; Krause, 2004) and how power imbalances can shape the use of power (Molm, 1981; Somech and Drach-Zahavy, 2002). The relative silence of probationary/contract faculty concerning their level of autonomy and the mixed messages as to the Chair's use of position based power and hard influence tactics with untenured faculty support the notion that the absence or skirting of discussion of power may be tied to implicit or explicit domination (Ryan and Bernard, 2003). However while the findings confirm the important role played by the leader in the leadership process, they also suggest that the leader attributes and style are just one piece of the puzzle in understanding the leadership process in academic departments.

### **3.5.2.2 External Factors Impacting the Chair**

The project findings suggest that four sets of factors may also limit the chair's ability to implement strategic initiatives; governance, faculty, department and initiative characteristics.

### **3.5.2.2.1 Governance Characteristics**

The findings concerning the importance of the business school context are consistent with the previous findings concerning the importance of collegiality as both a structural and process element (Hatfield, 2006). While there has been the suggestion by some researchers that collegial forms particularly in Business Schools are being replaced by more managerial forms, it is evident in this project that at least in this case, the collegial structure is still largely in place (Bareham, 2004; Middlehurst, 2004). However, as noted by Roberts (2004) the trend toward the greater use of non-tenured faculty is clearly evident and as evidenced by these findings the composition of faculty in a department can have significant implications on the chair's ability to enact leadership within the department.

While Tierney (2004) suggested that Birnbaum's (1989) contention of the cybernetic nature of academic governance structures lacked empirical evidence, these findings do support that academic governance within this setting contains elements of all four structures of the cybernetic model, collegial, bureaucratic, political and anarchic. The collegial structure can be seen in how most academic decisions are made through an iterative, democratic process involving the department. The bureaucratic structure was demonstrated by the various department administrative functions carried out by the Chair. The presence of a political structure is supported through the use of hard influence tactics and the reality that a Chair's initiative can be voted down by faculty members. The anarchic structure was also evident as a function of the autonomy of individual faculty members as their decisions related to teaching and research may be independent of departmental goals and objectives and their ability to determine their level of engagement in department initiatives. The tenuous position of the Chair portrayed as a "the man in the middle" and "a balancing act" as a function of shared authority was also confirmed (Bess, 1988; Wolverton et al., 1999; Del Favero, 2003).

### **3.5.2.2.2 Faculty characteristics**

A number of factors related to faculty may also serve as influences on the chair's ability to enact strategic leadership. The first factor relates to the faculty composition of the department. The findings concerning the impact of the employment status on untenured members is in some ways consistent with some previous research, but these findings present a more dynamic view of the phenomena. While previous research has contended that leadership power may be dependent on the organisational context, there tends to be the assumption that within organisational units, power differences between levels are static (Krause, 2004). These findings suggest that different levels of power imbalances within the department can be an important influence on the chair's choice of power and influence channels. These choices can operate on either an individual or composite basis depending on the mix of tenured and non-tenured faculty members within the department. While a number of previous studies on academic leadership have used faculty demographics as a variable, the main focus of this research was on the impact of demographics on length of chair tenure (Pfeffer and Moore, 1980) and faculty exits (McCain et al., 1983), rather than leadership processes.

The second factor that may influence the chair's ability to enact strategic change relates to members' departmental orientation. The findings related to departmental orientation were classified into three aspects; individual focus, leadership involvement and resistance to change. The individual focus of faculty members was consistent with previous research indicating that many faculty lack interest in departmental affairs as they tend to be focused on their individual teaching and research activities (Del Favero, 2003), which serves to influence whether or not members participate in department related leadership activities. The ability of faculty to resist Chair leadership initiatives has also been noted by other researchers (Bolton, 1996; Hecht et al., 1999) although there is some indication in these findings that the ability to resist may be a function of employee status, with tenured faculty having more autonomy than untenured members. As



was the case in Department 3, a cabal of tenured members was successful in thwarting the chair's attempt to radically change the department's curriculum. The situation changed when these members were replaced by untenured members and the chair was able to implement a new departmental curriculum.

#### ***3.5.2.2.3 Departmental Characteristics***

Findings related to the connection between leadership and a department's culture, discipline and size have some relevance to previous research. The distinctions between cultural types in the study have their foundation in the leadership research work related to the competing values framework (Quinn, 1984). Building on the competing values framework Denison and Spreitzer, (1991) identified a set of four cultural types; group, developmental, rational and hierarchical. While there was no evidence of hierarchical culture, with its emphasis on regulations, rules, efficiency and uniformity within the data, the other types of cultures identified in these findings have close fits with the cultural types identified by Denison and Spreitzer (1991). The change culture identified in these findings is a close fit with developmental culture in Department 2 with its focus on growth, simulation and change. The collegial culture is a close fit with the group culture in Department 1, which values belongingness, consideration and participation. Finally, the cultural type identified as directive is consistent with the rational type, where leaders tend to be directive, instrumental, goal oriented and functional as is the case with Department 3. While there has been previous research on the impact of organisational culture on academic departments, this research has focused on the impact of culture on faculty motivation (Peterson and White, 1992), organisational effectiveness and performance (Smart and St John, 1996) rather than leadership processes.

While the references in the study to academic discipline and size were not specific to the departmental examples cited by respondents, previous research has indicated the potential relevance of these factors to the functioning of academic

departments. Building upon Biglan's (1973) framework on the correlation between departmental differences and academic discipline, a number of researchers have confirmed the role of discipline on various aspects of departmental functioning (Smart and Elton, 1975; Gmelch et al., 1984; Stoecker, 1993; Ylijoki, 2000; Del Favero, 2005). However, this research does not specifically examine the connection between leadership processes and academic discipline or the differences between disciplines within a business school context. While size has also been identified as a possible influence on leadership within academic settings (Dill, 1984; Blau, 1994), these empirical studies do not focus on leadership processes but rather on the impact of size on chair tenure (Pfeffer and Moore, 1980) or on faculty turnover (McCain et al., 1983). While size and academic discipline were not specifically identified in this study, this may be the result of the small number of departments included in the sample and these factors should not at this stage be ruled out as potential contextual factors influencing leadership.

#### ***3.5.2.2.4 Initiative Characteristics***

While some previous research has touched on aspects related to the type of initiative being considered, most studies have taken a more macro approach to leadership without considering that leadership processes may change depending on the characteristics of the initiative. For example, Hill and French (1967) suggest that the nature of the decision making process may be more politically charged when dealing with non-routine compared to routine matters. While the source of the initiative has not been specifically identified, the difference between initiatives that involve external stakeholders may increase the likelihood of the Chair's experience of being the "man in the middle" and influence the leadership behaviour of the Chair ((Wolverton et al., 1999; Bess, 1988; Del Favero, 2003). This is consistent with the findings related to Department 1, where strategic changes initiatives were linked to pressures from either accreditation bodies or senior administration within the school.

### **3.5.3 Contextual Leadership**

The project findings point to the importance of context in understanding leadership process within this organisational setting. While these findings are consistent with the emerging leadership perspective of contextual leadership (Biggart and Hamilton, 1987; Tosi, 1991), this perspective was not specifically identified in the scoping study. This perspective is based on the premise that leadership research that focuses solely on individual leadership behaviours, competencies and styles is incomplete as there is an important connection between leadership and the social structures in which it operates (Bryman et al., 1996; Biggart and Hamilton, 1987; Pettigrew and Whipp, 1993; Leavy and Wilson, 1994; Osborn et al., 2002). Porter and McLaughlin (2006) in their review of the importance of context in leadership studies between 1990 and 2005 identified seven types of organisational contextual factors. Though there are some classification differences between the factors identified in the aforementioned study and this project, some of the factors are the same including organisational culture, processes and structure and member composition. However, much like the initial conception of this project, previous studies citing the importance of context were not focused attempts to examine context in a systematic manner, but rather the emergence of context as an important factor occurred almost as an afterthought (Porter and McLaughlin, 2006). A number of researchers have suggested that the use of context as an analytical lens is particularly important in examining leadership power (Krause, 2004) or where leadership is distributed (Currie et al., 2009), both of which have surfaced as important elements in this project.

A number of researchers have suggested that as a result of the influence of collegial, anarchic and political characteristics, context plays an important role in shaping leadership within academic settings (Rakos, 2001; Kezar, 2001). Bryman (2009), in supporting the importance of context in academic departmental leadership, is sceptical about the ability of traditional leadership perspectives to effectively explain leadership in academic settings. Furthermore, the studies that have examined departmental chair leadership from a contextual framework have

tended to focus on specific variables, such leadership and career stage of departmental faculty (Creswell and Brown, 1992) or influences on faculty performance (Peterson and White, 1992) rather than the leadership process in general. While the contingency perspective of leadership has been previously utilized in the examination of academic department leadership (Creswell and Brown, 1992) and contextual leadership certainly falls within the realm of the contingency leadership perspective, there are some important distinctions to consider. Most contingency approaches tend to rely on general constructions, such as task structure and position power, which is a more general level of analysis than can be derived from a more detailed examination of specific relevant contextual factors (Bryman et al., 1996).

### **3.6 Conclusion**

The final section provides an examination of the project's contribution to knowledge and limitations and implications for practice and future research.

While the study is exploratory in nature, the findings make a number of contributions to research related to leadership, particularly as it applies to academic departments within Business Schools. These contributions can be classified into a number of categories including support for theoretical proposals, demonstrating application of previous findings to a new settings and new contributions to knowledge. The project's contributions have been organized within the framework of the project's findings (Table 10).

The findings of this project may be helpful to Departmental Chairs, both within business schools and other academic disciplines to enhance their understanding of the leadership process within their own organizations. This understanding can help guide the choice of leadership action and behaviour as appropriate to the particular setting. As there appears to be connection between the governance

structure and the importance of context, this research may also be helpful to leaders in other professional organizations in which authority is shared between leaders and followers and where followers have significant levels of autonomy.

Although the project is intended as an exploratory study it is important to note that there are a number of limitations. The use of a single researcher for all data coding, categorizing and analysis limits the cross checking and refinement that is achievable with the multiple researchers. The inclusion of a single business school can also be viewed as a limitation and as such, caution is advised about generalizing these results to a wider context. While the findings may provide insight to the reader in thinking about the application of these results to other Business Schools or academic departments, as departmental organisational arrangements within different Universities can vary significantly particularly in relation to the authority allocated to department leaders, which may limit the direct application of these findings to other settings. It is also important to recognize that leadership processes within departments can also be influenced by processes at higher levels of the institution`s hierarchy including strategic initiatives coming from the Dean and University Senior Administrators and Officers.

Another limitation relates to the researcher`s status within the organization. Respondents` openness and willingness to disclose sensitive and confidential information to a colleague who is not performing a departmental leader role may have also influenced the data produced and more sensitive and controversial information may have not been disclosed by the respondents. While respondent shaping of interview data may be an issue regardless of the status of the researcher, it is important to acknowledge how the unique nature of the insider relationship may have influenced the data collected in this project.

Key Finding	Explanation	Contribution to Theory
Leadership in academic departments can consist of both focused (vertical) and distributed (horizontal) elements	This study suggests that focused and distributed leadership operate in concert rather than independently within organizations resulting in a leadership configuration rather than one or the other	The study provides empirical evidence to support claims made by Gronn's (2009)
The extent of the leadership performed by members in academic departments can be driven by members rather than the formal leader.	Findings suggest that leadership distribution within an organization may be determined by followers, particularly where they have significant autonomy, rather the delegation of authority in a hierarchical manner.	New contribution; authority and Previous research has suggested that rather the delegation of authority is hierarchical (Manz and Sims, 1987; Kirkman and Rosen, 1999; Pearce and Sims Jr, 2002; Edmondson, 2003; Pearce and Barkus, 2004; Carson et al., 2007; Druskat and Wheeler, 2003) and has largely overlooked the follower autonomy as a critical factor.
The chair's ability to enact strategic change in academic departments can be influenced by contextual factors including governance structure, the chair, faculty members, departmental and the nature of the initiative.	The data highlight the importance of contextual factors in shaping leadership in academic departments.	Provides additional empirical support for the importance of context in shaping leadership within academic environments (Bryman, 2009) and a conceptual framework for specific contextual factors influencing departmental leadership within a business school setting (Porter and McLaughlin, 2006).
The contextual factors shaping leadership within academic departments may operate in concert.	The study suggests the interrelationship between contextual factors is important and sheds some light onto how this system operates.	The study supports Porter and McLaughlin's (2006) claim that context operates in a systematic manner to influence the leadership process in organizations.
Changes in contextual factors may reshape the leadership process within academic departments.	Findings suggest that as contextual factors change over time their influence may reshape leadership processes within an organization.	Provides empirical evidence for the theoretical proposition of context as an integrated, coherent leadership perspective (Porter and McLaughlin, 2006), though how contextual changes can influence changes in leadership processes is a new contribution.

**Table 10 P1 Contributions**

However, in order to minimize the impact of my “insider status” a number of steps were taken including: providing participants with the opportunity to review transcripts, the ethical review provisions concerning informed consent and providing participants with the opportunity to withdraw from the project and the review of findings with third parties knowledgeable with both the phenomena and setting.

It is recommended that the next project in the dissertation concentrate on a more detailed examination into leadership process in shared and distributed settings specifically focusing on how contextual factors and authority relations impact on the nature of shared and distributed leadership. The project will focus on answering the research question:

What organisational factors, conditions and/or mechanisms influence leadership processes in organizations where the designated leader shares authority with organization members?

## **4 AUTHORITY RELATIONS, ORGANISATIONAL CONTEXTUAL FACTORS AND THE NATURE OF SHARED AND DISTRIBUTED LEADERSHIP: A SYSTEMATIC REVIEW AND METASYNTHESIS STUDY**

### **4.1 Abstract**

This project reviews and synthesizes empirical literature on shared and distributed leadership with the objective of understanding the role of authority and organisational contextual factors on leadership processes. Using a systematic review methodology, thirty-five papers were identified for inclusion in the study sample. Data was extracted from the project findings of the study sample using established frameworks for authority, organisational contextual factors and shared and distributed leadership. The synthesis of the extracted data was driven by the five types of hierarchical structures contained in the study sample and the classification of these structures into high and low levels of hierarchy. The findings confirm the importance of structural hierarchy in shaping leadership processes in shared and distributed settings and highlight the significant differences between settings with high and low levels of structural hierarchy. The findings provide support for the contention that a better descriptor for the range of leadership patterns in shared and distributive settings may be hybrid, blended or configured leadership. The methodological approach used in this project, metasynthesis, is still in the early stages of development and while concerns have been raised about synthesizing data from studies with varied contexts, populations, methods and epistemological approaches, the study is an example of the more pragmatic view in demonstrating that the approach can be of value in the interpretation of research across multiple studies as a first stage of establishing new theory and explanation. The findings will be of value to leaders in pluralistic settings in managing levels of autonomy and shaping organization context to facilitate the sharing and distribution of leadership with organization members.



## **4.2 Introduction**

This project builds on the findings of Project 1, which examined how leaders and members in Business School Departments conceptualize leadership processes. Project 1 findings indicated that departmental leadership is a shared and distributed process that is influenced by authority relations and is subject to a range of organisational contextual factors, including governance structure and factors related to the chair, faculty and department and nature of the initiative being considered. This project continues the investigation into leadership process in shared and distributed settings and is focused on examining how authority relations and contextual factors impact on the nature of shared and distributed leadership.

A number of researchers examining leadership within Higher Education settings have identified the importance of contextual factors on department leadership without detailing the specific factors that influence the process (Del Favero, 2003; Kezar and Lester, 2009; Bryman and Lilley, 2009). In considering the importance of context it is also worthwhile to understand the role authority plays in shaping these factors. The nature of authority within higher education institutions, in which the designated leader shares authority with members, is quite different than many other business organizations, where leader/follower relations are affected by traditional hierarchical structures (Gibbs et al. 2009). Higher education institutions, As Distributed leadership settings, given their distributed nature, provide an important setting for understanding how authority influences the contextual factors shaping leadership processes. The findings are intended to enhance the understanding of leadership processes in other organisational settings where members possess significant authority, and provide the focus for further empirical inquiry (Project 3).

### **4.2.1 Aim of the Project**

This project draws on three interrelated literatures: leadership, context and power, influence and authority. Within these areas the project is focused on shared and distributed leadership process; organisational contextual factors, that potentially impact on behaviour within the organization and authority relations between designated leaders and organisational members. The project will focus on answering the following questions:

1. What organisational factors, conditions and/or mechanisms influence leadership processes in organizations where the designated leader shares authority with organization members?

Specifically, the following questions will also be addressed:

2. How do authority relations shape the contextual factors influencing leadership in shared/distributed settings?
3. Which contextual factors shape leadership processes in shared and distributed settings?
4. How does authority influence the nature of shared and distributed leadership?

### **4.2.2 Rationale for Project Approach**

While the project was initially envisioned as a Systematic Review (SR), it became apparent as the project progressed that the standard approach to SR would need to be adapted and further developed in this project. It is not uncommon for research reviews to progress in ways that may have been unforeseen at the start of the process (Sandelowski et al., 2011). Systematic reviews typically focus on tightly defined questions and provide a critical synthesis of the existing research evidence related to those questions. Whilst there is an absence of research that directly addresses the questions driving this project, synthesis was achieved by exploring relevant constructs through metasynthesis.

In recent years, new forms of systematic reviews have been evolving in the medical, health sciences and education (Barnett-Page and Thomas, 2009). One exciting development has been metasynthesis, which encompasses multiple approaches that collect, analyse and synthesize findings across existing qualitative and quantitative research to produce new interpretations (Finfgeld, 2003). While the main focus of systematic review has typically been on finding “what works” through the synthesis of primary research findings, often privileging quantitative methods, metasynthesis approaches extracts and synthesizes qualitative data within research findings in order to generate new explanations, frameworks and/or hypotheses related to patterns of behaviour (Weed, 2008; Suri and Clarke, 2009). These approaches can be described as “research on research” and seek to go behind and beyond existing research and as such only include empirical research in the project sample (Bondas and Hall, 2007). While metasynthesis follows the same process as a traditional SR up to the project selection stage, it then departs from the standard SR in the extraction phase, where some form of thematic analysis, counting, tabulating and diagramming is performed in order to produce data that is pliable for analysis and synthesis (Sandelowski et al., 2011).

In the first stage of methodological development, metasynthesis may include such methods as narrative summary, qualitative comparative analysis, meta-project and thematic analysis (Dixon-Woods et al., 2005). However, the number of metasynthesis methods is rapidly expanding with the development of new methods such as; qualitative synthesis, framework synthesis and critical interpretative synthesis (Oliver et al., 2008; Carroll et al., 2011; Dixon-Woods, 2011). While most of these approaches utilize a similar approach to a traditional SR for project search and selection methods, there are distinct differences in metasynthesis methods once the papers to be used in the review have been selected (Moher et al., 2009; Bridges et al., 2010).

### **4.2.3 Project Overview**

The project is organized into the following sections. Section 4.3 will provide a detailed description of the methods employed in the project. This section will consist of two parts; the first will include specific detail on the search strategy and results and the quality appraisal used to select projects for inclusion. The second part will detail the methods used to extract and synthesize data from the selected projects. Section 4.3 focuses on data extraction and features the rationale for the extraction categories used and the results of the extraction process. Section 4.4 provides a framework for synthesizing the data and the synthesis results. Section 4.5 consists of a discussion of the findings. Section 4.6 concludes the project and will discuss the project limitations, practical application of the results and the implications for future research.

### **4.3 Project Methodology**

Metasynthesis employs a multi-stage process involving two main processes, project selection and data extraction and synthesis (Suri and Clarke, 2009). The first phase in the project was the planning stage, which involved the development of a methodological protocol, assembly of an expert panel and the development of the questions to be researched. The search for appropriate empirical projects to include in the project constituted the second phase of the process. The third phase was the search for appropriate studies which included the development of key search words and inclusion and exclusion criteria, the identification of appropriate search strategies, the search process, the initial screening of potential projects, the development of appraisal criteria and the quality appraisal of screened-in projects. The metasynthesis, the fourth phase, included the development of categories to drive data extraction, the coding of projects included in the sample, data extraction, the identification of constructs to inform data synthesis and data synthesis. This section of the report provides a detailed description of the methodologies employed in this project.

### 4.3.1 Consultation Panel

In order to provide additional expertise and guidance, a Consultation Panel was assembled to assist with the project. Panel members were selected in order to provide both content and process expertise on the project (Table 11). While panel members were consulted on a regular basis, with the exception of my supervisor, who was consulted throughout the process, the timing of consultation with other panellists was subject to the stage of the project.

Advisor	Title/Organisation	Involvement
<i>Professor David Denyer</i>	Supervisor, Professor, Cranfield University	Systematic Review Process, Distributed Leadership
<i>Professor Kim Turnbull-James</i>	Panel Chair, Professor, Cranfield University	Leadership
<i>Dr. Catherine Bailey</i>	Panel Member, Cranfield University	Research Methods
<i>Dr. Nina Cole</i>	Chair, Human Resource Management/Organisational Behaviour, Ted Rogers School of Management, Ryerson University	Leadership
<i>Naomi Eichenlaub</i>	Subject Area Librarian; HRM and Management, Ryerson University	Search Methodology, On-line Resources
<i>Lucina Fraser</i>	Subject Area Librarian; HRM and Management, Ryerson University	Search Methodology, On-line Resources
<i>Dr. Gerald Hunt</i>	Chair (former), HRM/OB, Ryerson University	Academic Chair, HRM/OB Specialist
<i>Dr. Ojelanki Ngwenyama</i>	Professor, ITM, Ted Rogers School of Management, Ryerson University	Theoretical Frameworks and Modelling
<i>Dr. Rein Peterson</i>	Professor Emeritus, York University	Expertise Academic Departments

**Table 11 Consultation Panel**

### 4.3.2 Search Strategy

The process to search for relevant projects involved a two-stage process. The first stage of the process was protocol driven and the second stage of the process used a 'snowballing' method that involved a systematic process of reference and citation checking of the materials identified in the protocol based search and subsequently identified projects (Greenhalgh and Peacock, 2005).

### 4.3.2.1 Protocol Driven Search

The protocol driven stage of the search process involved a number of steps including the identification of keywords related to each review question, the establishment of inclusion and exclusion criteria, the construction of Boolean strings and the identification of the appropriate database for conducting the search.

#### 4.3.2.1.1 Identification Key Search Words

The keywords selected were related to three categories, Leadership, Authority Relations and Contextual Factors and organized according to the categories that comprise the substance of the project (Table 12). Two sets of keywords related to leadership perspective and typical leader designations in organizations where leadership is either consciously shared or distributed. Two sets of keywords also related to shared authority and the organisational headings most typically featuring shared authority between designated leaders and organisational members who possess high autonomy. Keywords related to contextual factors focused on words related to organisational factors.

Category	Keywords	Rationale
<b>Leadership</b>	<i>Leadership, Shared Leadership, Distributed Leadership, Democratic Leadership, Participative Leadership, Collaborative Leadership, Collective Leadership, Team Leadership</i>	All forms of leadership that may describe leadership within organisational settings in which the leader shares authority with members with significant autonomy.
	<i>Chair, Department Head, Partner, Senior Partner, Leader, Administrator</i>	Terms that designate the leadership titles in SAHA organizations
<b>Authority Relations</b>	<i>Shared Authority, Limited Authority, Joint Authority, Influence, Shared Power, Autonomy</i>	All terms that may describe the type of authority relationships characteristic of SAHA organizations
	<i>Academic Departments, Higher Education, University, Professional Services Organization, Professional Bureaucracy, Professional Partnerships, Adhocracy</i>	Terms that capture various labels for SAHA organizations
<b>Contextual Factors</b>	<i>Contextual leadership, Contextual Factors, Situational Factors, Organisational Factors, Institutional Context, Organisational Factors, Organisational Context</i>	All terms that describe the phenomena being investigated

	<i>Culture/climate, Goals/Purposes, People/Composition, Processes, State/Condition, Structure, Time</i>	Terms that capture specific internal organisational factors
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**Table 12 Search Keywords**

#### ***4.3.2.1.2 Inclusion and Exclusion Criteria***

The next stage of the review process involved the evaluation of abstracts and if required a brief scan of the full paper. This stage is particularly important in the systematic review process as it will have a strong influence on which projects are screened and ultimately selected for the review (Becheikh et al., 2006). The following criteria guided the inclusion and exclusion of materials at this stage (Table 13). Materials selected in this stage were subjected to a more comprehensive quality appraisal.

#### ***4.3.2.1.3 Boolean Strings***

In order to select the main database for searching a test was done using the Boolean string (Leader\*) AND (Organization\* context) OR (Organization\* characteristic\*) OR (Organization\* factor\*) OR (Organization\* condition\*) OR (Organization variable\*) OR (Organization\* dimension\*) on 3 databases, ABI/Inform Global, EBSCO and SCOPUS. As the SCOPUS search (8794) yielded significantly more results than ABI/Inform Global (436) or EBSCO (267), SCOPUS was used as the database to conduct the protocol based review.

As SCOPUS enables the user to place limits on the search, the searches were conducted using the exclusions related to time period, source, language and location. Three sets of strings were used to search the database (Table 14). The initial search results yielded a large number of citations. In order to reduce this number to a manageable size, a second search was conducted limiting the search to top academic journals in the three main subject areas (Management, Health Sciences and Education) which all feature research in shared and distributed

leadership. The top management journals were selected by rerunning the search and limiting it to 3\* and 4\* journals contained in the Cranfield University School of Management and ASB journal listings and Q1 and Q2 nursing, educational and health sciences journals identified by Science Gateway (SJR) (Appendix E). In some cases SCOPUS was missing some of the years included in my search criteria and in those cases the individual journals were searched. This strategy reduced the number of projects that were identified for additional screening in each search.

Criteria	Inclusion Criteria	Exclusion Criteria
<i>Topics</i>	As the main focus of the review concerns leadership process, projects must include research related to how organisational context and/or authority relations impact on leadership.	Projects that are not concerned with at least two of the three major topic areas will be excluded.
<i>Leadership</i>	Projects must include a focus on the relationship between leadership and internal organisational contextual factors or shared power, influence and authority.	Projects concerning the relationship between leadership and other variables will be excluded.
<i>Contextual Factors</i>	Projects must include a focus on the relationship between internal organisational contextual factors and leadership or shared power, influence and authority.	Projects concerning the relationship between contextual factors and other variables will be excluded.
<i>Power, Influence and Authority</i>	Projects must include a focus on the relationship between shared power, influence and authority and internal organisational contextual factors or leadership.	Projects concerning the relationship between power, influence and authority and other variables will be excluded.
<i>Date of Publication</i>	The review will focus on projects that have been written in the last 25 years, 1985-2010.	The exclusion of projects more than twenty-five years old is based on concern over currency as research within the main fields of inquiry have undergone significant changes and development since the pre-1985 exclusion date.
<i>Source</i>	The primary focus will be to include projects from high quality peer reviewed journals. However relevant projects from lower tiered peer reviewed journals and conference proceedings will also be considered where there is a high relevance to the questions being researched.	The restriction to peer reviewed materials is intended to serve as a quality indicator that is recognized within the academic research community.
<i>Approach</i>	While the main focus will be on empirical projects, involving a quantitative or qualitative approach, theoretical projects making a significant contribution to the topics areas may also be included.	Projects based on personal experience and opinion will be excluded
<i>Language</i>	Due to the limitations of the researcher only materials in English will be consider for review	Studies, unless translated, in languages other than English will not be included given the language restrictions of the researcher. Materials in foreign languages also raise the potential issue of the transference of relevance to the national cultures that are the focus of the review



<i>Sector</i>	All sectors will be included in the review, though attention will be focused on sectors in which designated leaders share authority with members who possess high autonomy.	
<i>Location</i>	As national culture is a strong influence on behaviours in organizations, to minimize these differences only studies from Western Europe, New Zealand, Australia, Canada and the United States will be included.	Due to the potential influence of national culture on leadership behaviour, projects in locations other than western industrialized countries will not be included.
<i>Material type</i>	Only empirical projects will be included	Materials that also appear in academic journals and books, such as conceptual projects, editorials and book reviews will not be included in the project.

**Table 13 Inclusion and Exclusion Criteria**

The next phase of the protocol search involved the review of the project titles and abstracts to identify potential studies for additional screening. The selected studies were then screened to ensure that each project was consistent with the inclusion and exclusion criteria. This process yielded 102 projects for printing and reviewing prior to the quality appraisal process.

Constructs	String	Citations	Top Journals	Selected for Screening
Shared Leadership Authority	(leader*) AND (shared OR limited OR joint) AND (influence OR power OR Authority)	1561	119	22
Shared/Distributed Leadership Contextual Factors	(leader*) AND (shared OR distributed OR democratic OR participative OR collaborative OR collective leadership OR team) AND leadership) AND ((Organization* context*) OR (Organization* characteristic*) OR (Organization* factors) OR (Organization* conditions) OR (Organization* variables) OR (Organization* dimensions))	2276	1213	50
Shared Authority Contextual Factors	((shared OR limited OR Joint) AND (Influence OR Authority OR Power)) AND ((Organization* context*) OR (Organization* characteristic*) OR (Organization* factors) OR (Organization* conditions) OR (Organization* variables) OR (Organization* dimensions))	2499	104	30
Total				102

**Table 14 Boolean Strings**

#### **4.3.2.2 Snowballing**

The second phase of the search process involved a `snowballing` procedure. This procedure is a rigorous process in which each project screened through the protocol based search procedure is subject to “backward” and “forward” searches (Levy and Ellis, 2006). The “forward” search involves reviewing all subsequent projects that have cited the project that has been accepted for screening. Google Scholar was used to conduct the “forward” searching process. Papers that were screened in through this process were also subjected to citation checking. The “backward” search involved reviewing the references for each paper that was selected for screening through both the protocol and “forward” search processes. The papers screened in through this process were also subjected to “forward” and “backward” searching. This process resulted in identifying an additional 316 studies. The abstract review reduced the number of studies to be screened by 136 and 180 studies were printed and screened.

#### **4.3.3 Project Appraisal**

A structured approach was used to appraise each of the papers that were selected through the screening process. The first stage involved the screening out conceptual studies, which reduced the papers requiring appraisal to 65. The appraisal stage used six criteria to evaluate each paper; theoretical framework, contribution to knowledge, research design, sample size, data analysis and quality of sources. A three-part scale (low, medium, high) was used to indicate the quality for each criterion (Appendix F). In order to be accepted for the review, paper needed a score of 12 of the possible 18 points. However as the appraisal is not merely a cut and dry process, the inclusion criteria was relaxed to include a number of empirical studies with scores between 10 and 11 that were rated medium to high on theoretical frameworks and contribution to knowledge. A number of other projects that did not meet the quality criteria were rated as interesting given their contribution. While these studies were not included in the review sample, some were referenced in the discussion on the project findings. Full details of the appraisal of each screened project form Appendix G. A total of

35 projects were accepted for metasynthesis (Table 15). Summaries for each of the projects to be included in the metasynthesis are contained in Appendix H.

Studies Screened	Conceptual Projects Screened Out	Appraised	Accepted – Empirical Contribution	Accepted – Theoretical Contribution	Interesting Contribution	Rejected
100	35	65	26	9	7	23

**Table 15 Appraisal Results**

#### **4.3.4 Descriptive Findings**

The characteristics of the projects included in the final review can be described according to the empirical method used, journal quality, date of publication and location. The projects included in the review sample included both quantitative (n = 11) and qualitative (n = 24) studies. The quality of the projects were evaluated through a variety of sources (Appendix I-1). Almost one half of the projects (n = 17) chosen for the review were ranked in the Cranfield School of Management (CSOM) Journal Recommendations. Of these projects, eleven came from 4\* journals, five from 3\* journals and one from a 1\* journal. Two of the projects not included in the CSOM ratings were included in the Association of Business Schools (ABS) Academic Journal Quality Guide, one project received a 3 rating and the other a 2 rating. As the CSOM and ABS ratings tend to not cover Education and Health Sciences, Scientific Journal Rankings (SJR) rankings were used to determine journal quality for ten projects with six projects ranked in the first quartile and four projects ranked in the second quartile. The projects used in the review that were not included in the above rankings came from reports or book chapters. All the papers selected in the sample conformed to the time period inclusion criteria established in the review protocol (Appendix I-2). In keeping with the review protocol, most projects (n = 34) included involved North American, European, Australian and New Zealand studies. One project involved multinational sources (Appendix I-3).

#### **4.3.5 Metasynthesis Methodology**

The first stage in metasynthesis involves the extraction of relevant data from the papers in the sample (Thomas and Harden, 2008). The extraction process used in this project is based on a number of metasynthesis methodologies, which is common approach in metasynthesis projects (Grant and Booth, 2009). The main methodology is derived from qualitative synthesis. Despite its descriptive label qualitative synthesis is not necessarily limited to synthesizing qualitative projects, but constitutes a thematic approach to synthesizing reported data from existing empirical research. The methodology is a relatively new one that has been primarily used in the health and medical sciences (Bridges et al., 2010). Although this methodology has rarely, if ever, been used in management and organisational studies, it is particularly suited to this project as the pertinent previous research relevant to the project has used both qualitative and quantitative approaches. Once the projects have been selected, qualitative synthesis involves three distinct stages (Morton et al., 2010).

It is important to recognize that qualitative synthesis, much like other metasynthesis methods, typically only utilize qualitative projects within the project sample. However there are an increasing number of studies that incorporate a mixed methods approach to enhance the value of existing empirical research (Sandelowski et al., 2011; Suri and Clarke, 2009). This approach, which has been labelled critical interpretative synthesis, is based on the premise that both qualitative and quantitative analysis can be suitable to interpretative processes (Dixon-Woods et al., 2006). The thematic synthesis focus on narrative also makes it uniquely suited to using research that involves a mixture of analytical methods (Mays et al., 2005).

The first stage of the qualitative synthesis, much like a number of qualitative research methods, involves the coding of data into various categories (Oliver et al., 2008). While most metasynthesis methods, including qualitative synthesis, utilize grounded or inductive approaches for the data extraction process (Barnett-

Page and Thomas, 2009), given this project's focus on three specific constructs it is more appropriate to adopt a deductive approach to data extraction. The use of *a priori* codes in the initial extraction phase is consistent with the approach taken in another metasynthesis method, framework synthesis, an offshoot of qualitative synthesis (Dixon-Woods, 2011). While previous framework synthesis projects have tended to develop their own or adopted a "best-fit" approach to the establishment of *a priori* frameworks (Carroll et al., 2011), the availability of existing theoretical frameworks for each of the constructs being examined warrants using these frameworks for data extraction. Consistent with most metasynthesis projects the only data used for coding is that which is part of the within as project findings is used (Carroll et al., 2011; Brunton et al. 2006).

The second stage of the metasynthesis uses the extracted data to provide descriptions of the frameworks used for coding process (Morton, 2010). This process may also utilize other descriptive themes that emerge from the data (Dixon-Woods, 2011).

The third stage of the method is an interpretative stage that synthesizes the data to generate new explanations, frameworks and/or hypotheses for the constructs under consideration (Barnett-Page and Thomas, 2009; Suri and Clarke, 2009; Thomas and Harden, 2008). This approach constitutes a top-down method to synthesis, in which data from individual or grouped projects are mapped or organized to create new conceptual frameworks (Sandelowski et al., 2011). In this project the synthesis of the data uses a framework based on groupings of organisational hierarchical structure that emerge from the projects included in the sample.

## **4.4 Data Extraction**

The data extraction process of this project consisted of two stages. The first stage is the identification of categories and factors to analyse the findings in the projects included in the sample. Given the availability of models and frameworks for each of the three constructs being investigated, a deductive approach using a priori categories to code the findings was taken. Therefore the first part of this section will focus on the rationale for the frameworks and categories to be used in extracting data. The second stage of the data extraction process consists of analysing the data that has been extracted for the sample as a whole.

### **4.4.1 Frameworks for Extraction**

The data extraction process involves identifying the relevant frameworks and models from each of the three main constructs; authority, organisational contextual factors and shared/distributed leadership that are the focus of the project.

#### **4.4.1.1 Authority**

A useful starting point for the analysis of authority relations are the three types of relationships identified by Weber (1968); legal-rational or institutional authority, traditional authority based on customs or social norms and charismatic authority based on personal qualities. Peabody (1962) suggested that authority relations are also shaped through the perceptions of the actors involved in the relationship and proposed four factors shaping the perception of authority; legitimacy (related to legal order), position (linked to office), competence (based on individual expertise and skill) and person (an individual's philosophy and style of working). Rather than a static phenomenon Hirschhorn (1990) proposed that members negotiate authority relationships within an organisational context, which may result in the delegation of legitimate authority from designated leaders to other organisational members. Khan and Kram (1994) suggest that the negotiation

process is influenced by an individual’s internal model of authority, which may be dependent, counter dependent or interdependent in type. While it is important to recognize that authority relations are often a negotiated process even within hierarchical structures (Kahn and Kram, 1994), the micro workings of authority relationships within hierarchical structures is beyond the scope of most of the work focused on shared and distributed leadership and as such will not be included in this review. However the nature of legitimate and position authority is relevant to the review. As both operate as a function of the governance structure, the four factors shaping perceptions of authority relations between designated leaders and members identified by Peabody (1962) will be used to extract data from the studies under review (Table 16).

As most of the research on distributed and shared leadership has been within professional settings, it is worthwhile to also consider the specific type of professional autonomy that is characterized in each project. Raelin (1989) identified three types of professional autonomy; strategic or institutional autonomy, in which professional members set policy and goals; administrative autonomy, the management and coordination of activities across an organisational unit and operational autonomy, freedom of action within the restraints set by first two types of professional autonomy (Raelin, 1989). These categories will be also be used in the data extraction process (Table 16).

Construct	Categories	Factors
<b>Authority</b>	Perceptual Factors	Legitimacy, Position, Competency, Personal
	Professional Autonomy	Strategic, Administrative, Operational

**Table 16 Authority Frameworks**

#### **4.4.1.2 Contextual Leadership Factors**

The call for the consideration of context as an important factor in the understanding organization behaviour phenomena has a long history (Cappelli and Sherer, 1991; Shamir and Howell, 1999). However it is important to be clear about the difference between context as factors that influence a phenomenon and cross-context patterns and regularities that occur across organisational settings, which is more commonly referred to as contextualization (Bamberger, 2008). Chen and Bliese (2002) suggest that theories incorporating context elements may be of particular value to managers and policy makers in implementation of research findings. While a number of researchers have pointed out contextual factors may include both external (environmental forces) and internal (organisational characteristics) factors to the organization (George and Jones, 1997; Rowley et al., 2000), this project will limit its focus to internal factors.

The use of contextual based theory has a prominent history in leadership research in the form of contingency based theories. However, it is important to acknowledge that the models associated with contingency theories tend to use universal prescriptions and lack sensitivity to specific aspects of the variety of social settings and actors that exist in different organizations (Biggart and Hamilton, 1987). The conception that leadership is context sensitive is based on the view of leadership as an embedded relationship within a social setting that needs to take into account both the setting and actors in order to understand the process (Bryman et al., 1996). The need to move beyond leader's behaviour and characteristics and include contextual factors influencing leadership processes as an important focus of leadership research has been recognized by a number of researchers (Shamir and Howell, 1999; Tosi, 1991; Boal and Hooijberg, 2001).



There have been a number of studies that have sought to establish a framework to capture the various contextual factors that influences organisational phenomena. George (1997), though working with spontaneity, rather than leadership, proposes a four level framework of contextual influences consisting of individual, group, organisational and inter-organisational levels. Huxham and Vangen (2000), in their work on collaborative leadership in partnerships, propose a framework with three types of contextual factors; structures, processes and participants. Johns (2006) in his examination on the importance of context on organisational behaviour suggests that context operates on one of two levels; omnibus and discrete. While for social science inquiry, the omnibus approach consisting of who, what, where, when, how, why may be of limited value, the discrete level of analysis, consisting of task, social and physical elements is certainly more relevant, though the inclusion of physical elements such as light, temperature and built environment are not relevant for all social science research.

Porter and McLaughlin (2006) in their comprehensive literature review identified seven types of factors that influence leadership processes; culture, goals/purposes, people/composition, processes, state/condition, structure and time. While contextual factors were not the primary object in almost all of the conceptual and empirical projects reviewed, these factors were noted as influencing agents in the project findings and conclusions. As the Porter and McLaughlin (2006) framework includes most of categories of the other contextual frameworks and is more comprehensive (Table 17), it is utilized to extract data related to organisational contextual factors from the project sample.

Project	George (1997)	Huxham (2000)	Johns (2006)	Porter (2006)
Factors	<b>Individual Factors</b> (skill level, self-efficacy, role definition, interpersonal behaviour, help-seeking)	<b>Participants</b> (Individual, groups and organizations)		<b>People/composition</b> (demographics, capability)
		<b>Process</b> (formal and informal instruments of communications)	<b>Task</b> (autonomy, uncertainty, accountability, resources)	<b>Processes</b> (technologies in use, task factors, governance, standardization, policies)
	<b>Group Factors</b> (group norms, interdependence, goals)		<b>Social</b> (social density, social structure, social influence)	Culture (cultural type, norms, ethics)
				<b>Goals/purposes</b> (goals, strategies, mission)
				<b>State/Condition</b> (stability, resources, organisational health)
	<b>Organisational Factors</b> (Organisational Structure, culture, policies, rewards)	<b>Structures</b> (structural connections between individuals and groups)		<b>Structure</b> (size, degree of formalization/centralization, hierarchical levels, spatial distance)
				<b>Time</b> (duration of effects, organisational life cycles, succession history)
	<b>Intra-organisational</b> (Isomorphic forces)		<b>Physical</b> (temperature, light, built environment, décor)	

**Table 17 Contextual Factors Frameworks**

#### 4.4.1.3 Shared and Distributed Leadership

It is necessary to determine what data related to shared and distributed leadership will be extracted. Compared to the other two constructs, shared and, in particular, distributed leadership have a more extensive set of theoretical frameworks to consider. There is a considerable overlap in the use of the terms shared and distributed (Fitzsimons et al., 2011). As the distributed leadership research conducted in the education sector has the most developed set of theoretical constructs and frameworks, these frameworks which will be used to extract data from the projects in the sample. The discussion on theoretical frameworks will start with constructs proposed by its two main theoreticians, Gronn (2002) and Spillane (2006) and will also incorporate constructs from other scholars building on these initial frameworks.

#### ***4.4.1.3.1 Conjoint Agency and Concertive Action***

Gronn (2002) proposes that distributed leadership is both conjoint and concertive. Conjoint agency can be one of three types; spontaneous collaboration, intuitive working relationships and institutional practices (Gronn, 2002). Concertive action can take one of two forms; synergetic, in which the distributive leadership actions contribute more than the sum of the individual action and reciprocal influence, in which individual leadership actions serve to influence the leadership actions of others within the organization (Gronn, 2002). While most of the studies in the sample cite Gronn as a theoretical influence, few explicitly use his framework in discussing or presenting their project findings. Currie (2011) has suggested that, depending on the presence or absence of conjoint and concertive actions, distributed leadership can be classified into one of four dimensions; pure distributed, collaborative, individualistic, and shared/team leadership. As this classification does not distinguish between the forms of conjoint agency and concertive action and simply combines these constructs for the purposes of a higher order classification, the system loses important distinctions between the forms of distributed and may be of limited value. While Leithwood (2007) offers a different take on types of engagement than Gronn (2002), some of the categories, such as planful alignment and institutional practice and spontaneous alignment and spontaneous collaboration, have some degree of overlap (Harris, 2008). However the Leithwood (2007) category of anarchic misalignment in which distributed leadership is occurring but not necessary aligned with other leadership initiatives in the organization is a category worth including in the extraction process as an aspect of conjoint agency.

#### ***4.4.1.3.2 Nature of Emergence***

As a means of determining the nature of emergence for distributed leadership, Harris (2007) proposes a two-by-two model for classifying the variables; alignment/misalignment and emergent/planned. While the alignment/misalignment variable has already been captured as part of the conjoint agency construct, it is

still worthwhile to consider the emergent/planned nature of the phenomena. While a number of researchers have defined distributed leadership as an emergent property of groups or networks of individuals (Bennett et al. 2004; Bolden, 2011), it is evident in some cases that distributed leadership can also be of a planned nature (Pearce and Manz, 2004; Scribner et al., 2007).

#### **4.4.1.3.3 Driving Mechanism**

A number of researchers have commented on the importance of understanding the driving mechanism by which leadership is distributed (Spillane, 2006; Leithwood et al., 2009). These mechanisms can be characterized as either formal mechanisms, which may be a function of the leader's authority or other aspects of formalization in the organization, or informal, in which distribution is driven by organisational members that may not relate to formal structures in the organization (Spillane, 2006). These two factors will also be used in the extraction process.

#### **4.4.1.3.4 Co-performance**

While Spillane (2006), like Gronn (2002) also uses activity theory as the theoretical foundation, instead of using conjoint agency to describe patterns of distribution, he uses the construct co-performance, which includes collaboration, collective and coordinated action. Although Fitzsimmons et al (2011) attempt to reconcile the frameworks by suggesting that co-performance can be equated with conjoint agency, the two constructs have some significant differences. As conjoint agency specifically describes the basis of the distribution pattern and co-performance refers to the nature of interdependence in the working relations at the activity level, it is appropriate to consider them as separate constructs for the purposes of data extraction (Table 18). However Leithwood (2009) proposes another category of working relations that can be viewed as an aspect of co-performance but is distinct from the categories proposed by Spillane (2006). The category parallel performance can be defined as leadership activity within the group performed by multiple individuals but is not a function of interdependence (Leithwood et al., 2009). This category will also be included for extraction purposes.

Construct	Activity		
Gronn's Conjoint Agency	spontaneous collaboration (leadership evident in interactions and relationships, pooling skills, expertise from multiple levels for duration of task)	intuitive working relationships (emerges between 2 or more people within an implicit framework of understanding)	institutional practices (structures working together – committees)
Spillane's Co-performance	Collaborative (2 or more work together on same leadership activity)	Collective (2 or more separate but interpedently to perform a leadership activity)	Coordinated (2 or more work in sequence to perform a leadership activity)

**Table 18 Comparison Conjoint Agency and Co-Performance**

#### **4.4.1.3.5 Type of Leadership Action**

Spillane and various associates use a socio-cultural lens to define distributive leadership as a network of leadership interactions and activities that operate across situations and people (Harris, 2008). Though the socio-cultural theory posits itself as interpretative perspective, Spillane and others using his framework suggest that distributed leadership can be linked to outcomes, which is inconsistent with socio-cultural theory (Hatfield, 2006). With this limitation in mind it is still worthwhile to catalogue the type of leadership interactions and activities featured in each project. While shared leadership theory is often framed as an influence process, the focus in distributed leadership theory tends to focus on leadership functions and activities (Leithwood et al., 2009). Spillane (2009) suggests two main activity areas, administrative and curriculum and instruction, which is of course specific to educational settings, other researchers have identified a range of specific leadership activities and functions that may be distributed (Harris, 2003; Leithwood et al., 2009). However all of these functions and activities can and will be grouped into three main activity categories of leadership action; strategic, operational and administrative.

#### 4.4.1.3.6 Delegation Mechanisms

Another aspect of distributed leadership relates to delegation mechanisms. While MacBeath (2004) suggests three forms of delegation; formal (intentional), pragmatic (negotiated) and informal (ad hoc) delegation, Harris (2009) incorporates some of these forms into a more comprehensive model that includes; ad hoc (loose organisational structure with leadership practice distributed among formal leaders and members in an uncoordinated and random way), autocratic (participation and involvement of members encouraged by formal leaders), additive (members limited form of involvement primarily in change efforts) and autonomous (leadership disseminated productively to generate innovation). Given its wider scope the Harris (2009) framework will be used for extraction purposes.

In total the seven elements related to shared and distributed leadership have been identified for extraction purposes (Table 19).

Construct	Categories	Factors
<b>Shared/Distributed Leadership</b>	Conjoint Agency	Spontaneous Collaboration, Intuitive Working Relationships, Institutional Practices, Anarchic Misalignment
	Concertive Action	Synergetic, Reciprocal
	Nature of Emergence	Planned, Emergent
	Driving Mechanisms	Formal, Informal
	Co-Performance (Interdependence)	Collaboration, Collective, Coordinated, Parallel
	Leadership Actions	Strategic, Administrative, Operational
	Delegation Form	Autonomous, Autocratic, Ad Hoc, Additive

**Table 19 Shared and Distributed Leadership Factor Frameworks**

#### 4.4.2 Analysis Extracted Data

The next stage in the process involves using the constructs and categories identified in the previous section (Tables 16, 17 and 19) to extract and analyse the relevant data from the projects in the sample. The analysis of the findings will include tables summarizing the data; the full detail on the data extraction is contained in Appendix J.

##### 4.4.2.1 Authority

The data extracted from the studies included in the review reference each of the four factors influencing authority relations identified by Peabody (1962). All projects in the sample cited at least one source of authority.

Influence	# of Studies	Studies Citing Factor <sup>1</sup>	% of Studies Citing Factor
<b>Position</b>	35	23	66%
<b>Personality</b>	35	15	43%
<b>Institutional</b>	35	11	31%
<b>Competency</b>	35	15	43%
Total	35	35	100%

**Table 20 Authority Influence**

Within the sample set, position represents the most prevalently cited authority influence, followed by personality and competency. Institutional influences were cited least frequently (Table 20).

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<sup>1</sup> Some projects identified more than one influence type

Autonomy Type	# of Studies	Studies Citing Factor <sup>2</sup>	% of Studies Citing Factor
<b>Operational</b>	35	21	60%
<b>Strategic</b>	35	17	49%
<b>Administrative</b>	35	4	11%
<b>Total</b>	35	31	89%

**Table 21 Professional Autonomy Type**

Each type of professional autonomy proposed by Raelin (1989) is also cited within the sample set, however not every study includes a reference to autonomy type. Operational autonomy is the most prevalent type within the sample, though almost half the studies also cite strategic authority. Administrative autonomy, though cited in a number of studies, appears to be a minor characteristic (Table 21). The frequency of references to both these aspects of authority would suggest that authority relations has relevance in the study of shared and distributed leadership.

#### 4.4.2.2 Organisational Contextual Factors

The data extraction related to organisational contextual factors presented a rich array of data.

Contextual Factor	# Studies	Studies Citing Factor	Percentage of Projects
Culture	35	30	86%
Structure	35	28	80%
Goals	35	25	71%
People	35	25	71%
Process	35	24	69%
State	35	20	57%
Time	35	9	26%

**Table 22 Organisational Contextual Factors**

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<sup>2</sup> Some projects identified more than one autonomy type



Every project in the review sample, to varying degrees, cites organisational contextual factors as an influence in distributed leadership settings. The broad citation of contextual factors as influences in the project sample gives credence to the importance of context in considering leadership processes particularly in shared or distributed settings. However a closer examination of the data indicates some factors are cited more frequently than others (Table 22).

#### **4.4.2.3 Shared and Distributed Leadership Factors**

While the most of the factors in the previous two constructs were frequently cited in the project sample, some of the factors for shared and distributed leadership were not cited as frequently. This lower level of frequency needs to be taken into account when considering the extracted data and subsequent data synthesis for shared and distributed leadership. For example, two studies in the sample, while having findings related to authority and context had no findings related to shared and distributed leadership.

The first construct examined was conjoint agency. Slightly less than one-half of the projects in the sample presented any findings relevant to conjoint agency. For the projects that did present data related to conjoint agency, reciprocal agency had twice as many citations as synergic agency (Table 23a).

While there is a higher frequency of citation related to concertive action, the number of references is still lower than the data presented for the authority and context constructs. There is not a distinct difference in the number of references for any of the action types proposed by Gronn (2002), with each type being cited in less than 30% of the sample (Table 23b). However as there were no citations of anarchic misalignment, this category of action does not appear to be relevant to most shared and distributed leadership settings.

Table 23a Conjoint Agency										
# of Studies	# of Studies Citing Agency <sup>3</sup>	% of Studies citing agency	Reciprocal	% of Agency Type	Synergy	% of Agency Type				
35	16	46%	12	34%	5	14%				
Table 23b Concertive Action										
# of Studies	# of Studies Citing Action <sup>4</sup>	% of Studies Citing Action	Institutional practices	% of Action Type	Intuitive working relationships	% of Action Type	Spontaneous collaboration	%Agency of Type	Anarchic Misalignment	%Agency of Type
35	21	60%	9	27%	6	17%	8	23%	0	0%
Table 23c Nature of Emergence										
# of Studies	# of Studies Citing nature <sup>5</sup>	% of Studies Citing Nature	Planned Nature	% of Action Type	Emergent Nature	% of Action Type				
35	27	77%	14	40%	15	43%				
Table 23d Driving Mechanisms										
# of Studies	# of Studies citing Mechanism <sup>6</sup>	% of Studies Citing Mechanism	# of Studies citing Both	% of Studies Citing both	Formal Mechanisms	% of Mechanism Type	Informal Mechanisms	% of Mechanism Type		
35	31	89%	19	54%	27	77%	22	63%		

**Table 23 Shared and Distributed Factors**

<sup>3</sup> Some projects cited both types of agency

<sup>4</sup> Some projects cited more than one type of action

<sup>5</sup> Some projects cited both types of nature

<sup>6</sup> Some projects cited both types of mechanisms

The shared and distributed leadership factor related to the nature of emergence, was cited more frequently than the previous two factors. As the referencing of both factors was almost equal, no general conclusion can be ascertained as to the relative importance of either factor (Table 23c).

The majority of projects identified the relevance of both formal and informal driving mechanisms. The citation of formal mechanisms was slightly more frequently cited than informal mechanisms, though many projects indicated the presence of both mechanisms (Table 23d). Just over 50% of the projects indicated the presence of both mechanisms.

Slightly more than 50% of the projects included citations related to co-performance. Collaborative and coordinated interdependence are cited twice as frequently as collective interdependence. As references to parallel distribution structures were quite minimal, it appears this is not a significant factor in shared and distributed settings (Table 24a).

Most projects in the sample reference the type of leadership action being distributed. The distribution of strategic or operational leadership is cited in about 50% of the projects. Administrative leadership is less likely to be a distributed feature as it is cited in only 4 studies (Table 24b).

The final factor extracted related to the type of delegation. This factor has been cited by a significant percentage of studies in the sample. Autocratic delegation is most frequently cited, while autonomous and ad hoc delegation forms are cited less frequently (Table 24c). It is interesting to note that the additive form proposed by Harris (2009) has not been cited by any of the projects within the sample.

Table 24a Co-Performance										
# of Studies	# of Studies citing Co-performance <sup>7</sup>	% of Studies Citing Co-performance	Collaborative	% of Type	Collective	% of Type	Coordinated	% of Type	Parallel	% of Type
35	19	54%	10	28%	5	14%	9	26%	1	3%
Table 24b Leadership Action										
# of Studies	# of Studies citing Type of Action <sup>8</sup>	% of Studies Citing Action	Strategic	% of Action Type	Operational	% of Action Type	Administrative	% of Action Type		
35	29	83%	16	46%	19	54%	4	11%		
Table 24c Delegation Type										
# of Studies	# of Studies citing delegation type <sup>9</sup>	% of Studies citing delegation type	Autonomous	% of Delegation Type	Ad Hoc	% of Delegation Type	Autocratic	% of Delegation Type	Additive	% of Delegation Type
35	26	74%	8	23%	6	17%	11	31.4%	0	0

**Table 24 Shared and Distributed Leadership Factors**

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<sup>7</sup> Some projects cited more than one type of co-performance  
<sup>8</sup> Some projects cited more than one type of leadership action  
<sup>9</sup> Some projects cited more than one delegation type

Other than providing support for the importance of authority relations, organisational context and the nature of distribution in shared and distributed leadership settings, the results of the data extracted and analysed from the whole of the sample have limited value. However synthesizing the data at a deeper level provides more valuable insights.

## **4.5 Data Synthesis**

The data synthesis approach in this project uses interpretive synthesis in which projects are grouped together within a conceptual framework to create new explanations and/or hypotheses (Sandelowski et al., 2011). The first stage in this process is the development of the relevant frameworks. The next stage is to utilize the frameworks to synthesize the extracted data.

### **4.5.1 Hierarchical Frameworks**

The projects included in the review contain a distinct variety of hierarchical authority arrangements and can be organized in five distinct structural types. The first type constitutes a traditional hierarchy structure, in which individual members report to a formally designated leader. This traditional hierarchical structure is evident in the ten projects in the sample all of which are schools settings (Wallace, 2002; Timperley, 2005; Ritchie and Woods, 2007; de Lima, 2008; Mascall et al., 2008; Anderson et al., 2009; Currie et al., 2009; Gronn, 2009a; Hulpia et al., 2009; Heck and Hallinger, 2010). In these cases authority is vested in the formal leader (principals) and leadership distribution is a function of the delegation of this authority to organisational members (teachers).

The second type of hierarchical structure is a team based hierarchy. There are six projects in the sample with team based hierarchical structures (Pearce and Sims Jr., 2002; Hiller et al., 2006; Klein et al., 2006; Chen et al., 2007; Hoch et al., 2010;

Künzle et al., 2010). These organizations have team-based structures in which the reporting relationship is between designated leaders and teams. While in some of the projects there may be a team member, who is assigned as a team leader, leadership tasks in all cases are delegated to the team through structural mechanisms.

The third type of hierarchical structure is independent teams. There are five projects that are characteristic of this type (Scribner et al., 2007; Brown and Gioia, 2002; Ensley et al., 2006; Carson et al., 2007; Engel Small and Rentsch, 2011). The teams in the sample included in this type are either university student project teams or top management teams (TMT). While these teams may exist within a hierarchical structure, all these teams have significant autonomy and the ties to the formal hierarchy are looser than teams in a team based hierarchy.

The fourth type of hierarchical structure is collegial structure. There are five projects in the sample that exhibit this type of structure (Kezar and Lester, 2009; Bryman and Lilley, 2009; Stark et al., 2002; Bolden et al. 2008; Gibbs et al., 2008). In this type of structure while there is a designated leader (chair), as a result of the shared authority in academic departments between leaders (chairs) and members (faculty), leadership is actualized through democratic processes (Gibbs et al. 2009).

The fifth and final type of hierarchical structure relates to inter-organisational teams. There are eight projects in the sample that can be characterized as this type of structure (Denis et al., 1996; Denis et al., 2001; Armistead et al., 2007; Buchanan et al., 2007; Zhang and Faerman, 2007; van Ameijde et al., 2009; Chreim et al., 2010; Denis et al., 2010). In this type of structure teams consist of members from different organization units and authority relations between group members are quite ambiguous. Leadership distribution tends to be more of a function of group dynamics than hierarchical structure.

In considering these five types of hierarchical structure, it is evident that if one was to create a hierarchical structure scale, the projects in the sample could be arranged on a scale of high to low levels of hierarchical structure. At the high end of the continuum are projects that feature a direct reporting relationship in which authority relations are determined by the leader's authority or by structural arrangements within a team based organization. In this case, both the traditional hierarchal and team based structures can be designated to the higher end of the hierarchical structure continuum. The lower end of the scale would feature structural types in which the authority relations are more loosely coupled between formal leaders and members. Collegial, independent teams and inter-organisational teams are fit within the low end of structural hierarchy. For the purposes of data synthesis this framework will be considered level of hierarchical structure.

#### **4.5.2 Analysis of Synthesized Data**

The first stage in the data synthesis process was the grouping of extracted data according to hierarchical type to see if any patterns emerge. In the second stage extracted data was analysed according to the level of structural hierarchy. Both stages of the analysis were done for each of the main project constructs.

##### **4.5.2.1 Authority**

The findings suggest that depending on the structural type and level of hierarchical structure, leaders draw on different sources of authority and delegate different forms of autonomy to members (Appendix L). In examining the differences between the five types of structural hierarchy there are a number of distinctions. While position authority has been cited by a majority in each hierarchical type, it appears as a more important factor in independent ( $n = 4/5$ ) and hierarchical based teams ( $n = 5/6$ ) and traditional ( $n = 7/10$ ) structures. Personality as a source of authority appears as an important source in collegial ( $n = 4/5$ ),

independent team ( $n = 3/5$ ) and inter-organisational structures ( $n = 7/9$ ). Institutional authority is cited with slightly less frequency than other types of authority ( $n = 11/35$ ), though with a higher frequency in collegial ( $n = 2/5$ ) and traditional ( $n = 5/10$ ) structures. While competency as a source of authority is cited with greater frequency in inter-organisational structures ( $n = 7/9$ ), it is less frequently cited in other hierarchical structures ( $n = 8/26$ ).

When the data is synthesized into high and low levels of hierarchical structure, position appears an important source of authority both within high hierarchical ( $n = 12/16$ ) and low hierarchical ( $n = 12/19$ ) structures. While there is little difference in institutional authority between high and low hierarchical structures, there are distinct differences in personality and competency as sources of leader authority. Personality ( $n = 14/19$ ) and competency ( $n = 10/19$ ) appear more frequently as sources in low hierarchical structures than settings with higher levels of hierarchy ( $n = 3/16$  and  $n = 6/16$ ). Thus it appears that in settings with lower levels of hierarchical structures, personal sources of influence (personality, competence) become a more important source of authority than in settings where hierarchical structure is higher.

There are also differences related to the type of autonomy leaders delegated to members. Strategic autonomy is more prevalent in inter-organisational ( $n = 9/9$ ) and independent team ( $n = 3/5$ ) structures than in traditional ( $n = 2/10$ ), collegial ( $n = 2/5$ ) and hierarchical based team structures ( $n = 1/6$ ). However, operational autonomy is higher in collegial ( $n=4/5$ ), traditional ( $n = 7/10$ ) and hierarchical based teams ( $n = 6/10$ ) than in inter-organisational ( $n = 2/9$ ) and independent team ( $n=2/5$ ) structures. Administrative autonomy appears to be a much less significant factor in all types of hierarchical structure ( $n = 4/35$ ).

When the data is synthesized into high and low levels of hierarchical structure a distinct pattern emerges. Strategic autonomy appears to be a more significant



factor in organizations with lower levels of hierarchy (n = 14/19) and operational autonomy appears more significant in organizations with higher levels of hierarchy (n = 13/16).

#### **4.5.2.2 Organisational Context**

The findings indicate that contextual factors influence leadership processes in shared and distributed settings. The influence of contextual factors on leadership within each of the five types of hierarchical structure was determined by examining the total number of factors cited within each hierarchical structural type compared to the maximum number of factors that could be achieved within each type (Appendix M-1). Although each hierarchical type had context scores above 50%, the vibrancy of context is particularly evident in inter-organizational structures where 92% of potential number of factors were cited.

The frequency of which contextual factors were cited within each type of hierarchical structure varied according to the type of structure and each structure had a unique contextual profile (Appendix M-2). However all five hierarchical types have high frequency of cultural and structural factors and time factors were infrequently cited in four of the five structural forms.

When the data is synthesized according to the level of structural hierarchy (Appendix M-3), while it appears that contextual factors are cited more frequently in structures with low hierarchy than in structures with high hierarchy, this pattern is being driven by the high frequency of contextual factors citations in inter-organisational structures rather than systematic differences between the two types of structures. While these findings do confirm the importance of the influence of organisational contextual factors on leadership processes in organizations where leadership is being shared or distributed, there appears to be no significant differences between low and high levels of structural hierarchy.

#### 4.5.2.3 Shared and Distributed Leadership

Data synthesis and analysis was conducted for each of the seven shared and distributed leadership factors identified in the data extraction stage to ascertain how hierarchical structure type and level influence each factor. For clarity purposes, each of the factors and its various forms have been italicized.

For the distributed form of *conjoint agency (reciprocal and synergistic agency)*, while there are no examples of reciprocal agency in collegial structures, there are some examples of this form of agency in each of the other four structural types (Appendix N-1). Synergistic agency has only been cited in two structural types, inter-organisational (n = 4/9) and independent (n = 1/5) teams. The differences become more pronounced when the data is synthesized by level of structural hierarchy. Reciprocal agency is cited twice as frequently in studies featuring high structure (n = 8/16) than studies with low structures (n = 5/19). While there are also differences in synergetic agency between low (n = 5/19) and high (n = 0/16), this is the primarily the result of this form of agency within inter-organizational team ((n = 4/19) studies.

There are several differences between hierarchical structural types and levels in the nature of *concertive action (institutional practices, intuitive working relationships and spontaneous collaboration)*. While the institutional practices form is cited in traditional hierarchies (n = 4/10) and independent (n = 2/5) and hierarchical (n = 3/6) based teams, it is not a factor in either inter-organisational or collegial structures (Appendix N-2). Intuitive working relationships are only cited as a factor in inter-organisational (n = 4/9) and traditional (n = 2/10) hierarchical structures. Spontaneous collaboration is cited in all hierarchy types, with the exception of collegial structures, but while the frequency is low in each of the other types of structures (n = 1), it is cited frequently in projects (n = 5/9) featuring inter-organisational structures. When concertive action is synthesized according the

level of hierarchical structure, as the frequency of citations is limited, it is difficult to draw many definitive conclusions from the findings. However it does appear that hierarchies with high structures (n = 7/16) are more likely to feature the concertive form of institutional practices than is the case with lower hierarchical structures (n = 2/19).

Most structural types have examples of one or the other type of *emergence (planned or emergent distributed leadership)*. All structural types feature examples of distribution of a planned nature and, with the exception of traditional hierarchies, all also have examples of distribution as an emergent quality (Appendix N-3). Again with the exception of traditional hierarchies, examples of both forms can be found in each other type. When the data is synthesized according to the level of hierarchy a different picture emerges. While the planned form of leadership emergence is cited close to the same frequency in low (n = 8/19) and high (n = 8/16) levels of hierarchical structure, the emergent form of distribution is more likely to present in low (n = 14/19) than high (n = 3/16) structures.

The *driving mechanism (formal or informal)* through which leadership is distributed to members varies according to the type of hierarchical structure. Although formal engagement is cited frequently in all hierarchical types, traditional (n = 8/10), hierarchical teams (n = 5/6) and inter-organisational (n = 8/9) structures more often cite formality than collegial (n = 3/5) or independent teams (n = 3/5). When the type of engagement is examined from a level of hierarchy point of view while projects with both high (n = 13/16) and low levels (14/19) of structural hierarchy cite high frequencies of formal initiation, the frequency of informal engagement is significantly higher in projects with lower levels of hierarchy (n = 15/19) than projects with high levels (n = 7/16).

*Co-performance (collaborative, collective, and coordinated)* was infrequently reported in most of the studies (Appendix N-5). In the projects with collegial structures there is no mention of any form of co-performance. Independent teams only cite the collaborative form (n = 2/5). The type of co-performance mechanisms in the other structural types varies with little discernible pattern and there appears little evidence to support the addition of parallel structures to the original model proposed by Spillane (2006). Given the low level of citation of co-performance forms, it is difficult to draw definitive conclusions concerning differences between high and low levels of structural hierarchy.

The nature of *leadership action (strategic, operational and administrative)* performed by organisation members varies significantly depending on the type of hierarchical structure (Appendix N-6). Strategic tasks are most frequently cited in studies involving inter-organisational structures (n = 9/9) and in less than half of the studies involving other types of structures. Operational tasks are most frequently cited in traditional (n = 6/10) and team (n = 6/6) structures and in less than half of the studies involving other types of structures. Administrative tasks are only cited in collegial (n = 2/5) and traditional hierarchical (n = 3/10) structures. When the data is synthesised at the level of hierarchical structure a different picture emerges. Strategic tasks (n = 14/19) tend to be associated with lower levels of hierarchical structure, while operational tasks (n = 12/16) are associated with higher levels of structure.

The *delegation mechanism (autonomous, ad hoc and autocratic)* through which members assume leadership roles within distributed settings also varies according to the type of structural hierarchy, although there are some specific patterns within some structures (Appendix N-7). With the exception of collegial structures where no mechanisms were identified, autonomous delegation is most frequently cited in independent (n = 3/5) and inter-organisational (n = 4/9) team studies. Only inter-organisational teams studies (n = 6/9) cite the ad hoc form of delegation. Autocratic forms of delegation are only cited in traditional (n = 7/10) and team

based (n = 4/6) hierarchical structures. When delegation mechanisms are examined by the level of hierarchical structure, a clear pattern emerges. Leaders in high hierarchical structures (n = 11/16) tend to rely on autocratic forms of delegation. As there are no instances of autocratic delegation in studies with low hierarchical structure, leaders in these settings are more likely to rely on autonomous (n = 7/19) and ad hoc (n = 6/19) forms of delegation.

## **4.6 Discussion of Findings**

Given the questions raised by this project, the discussion section will examine how the findings address each question. As the findings provide more substantive answers to some of the questions, this section will discuss the answers in order of significance.

### **4.6.1 Authority and Shared and Distributed Leadership**

The findings demonstrate how the nature of shared and distributed leadership is shaped by authority relationships in different hierarchical structures. One of the critiques of shared and distributed leadership research is the absence of discussion on the impact of authority, power and influence on shaping leadership processes in shared and distributed settings (Hartley, 2009; Youngs, 2009; Bolden, 2011). It is interesting to note that most of this criticism comes from the researchers examining the phenomena (Gronn, 2009b; Currie and Lockett, 2011; Denis et al., 2012). These project findings highlight the role played by structural hierarchy in shaping distributed patterns of leadership. The findings suggest that each form of hierarchical structure have a unique blend of shared and distributed leadership characteristics (Table 25). The distinct profile for each level of hierarchy clearly supports claims that shared and distributed leadership cannot be considered a uniform construct (Currie and Lockett, 2011; Anderson et al., 2009). While Ritchie and Woods (2007) found that different patterns of distributed leadership were associated with differences in hierarchical orientation of school leaders, they did not associate distributed leadership with differences in

hierarchical structures. The differing patterns of distributive leadership according to the level of hierarchical structure also lends support to the range of theoretical propositions that suggest rather than delineating leadership into categories of focused/vertical leadership and distributed/shared leadership it may be more appropriate to view distributed patterns as a combination of the two categories and more aptly labelled as hybrid leadership (Gronn, 2009a), blended leadership (Collinson and Collinson, 2009) or leadership configuration (Denis, 2001). Gronn (2009) argues that such models better reflect the close association between power, influence and authority in pluralistic settings and the difficulty in treating all forms of distribution the same as they differ in the degree of focused and distributed tendencies. A unique contribution of this project is the demonstration on how hierarchical structure is a prime influence on how leadership is configured in pluralistic organizations.

The findings examining shared and distributed leadership at the level of structural hierarchy produces an even more striking contrast on the specific characteristics of distributed processes (Table 26). In organizations with high levels of structure hierarchy, the nature of leadership is shaped by formal, institutional, planned and autocratic practices. Interactions tend to be reciprocal and coordinated and focused on operational tasks. In organizations with lower levels of structural hierarchy, leadership is shaped by formal and informal, spontaneous, emergent and autonomous and ad hoc practices. Interactions tend to synergistic and collaborative and focused on strategic tasks. While a number of researchers have suggested the connection between hierarchical structure and selected distributed leadership variables such as reciprocal agency (Sivasubramaniam et al., 2002), synergistic agency (Gronn, 2002) and conjoint agency and concertive action (Currie and Lockett, 2011), these findings include a broader scope of the relationship between structural hierarchy and distributed patterns of leadership. These findings suggest that while the form of shared and distributed leadership may be uniquely configured depending on the organization, the extent of leadership shared or distributed among leaders and members is shaped by the

level of hierarchical structure on a continuum between high and low levels of shared and distributed leadership.

While the features of shared and distributed leadership in structures with low levels of hierarchy are consistent with the stretching of the leadership function across organisational levels, the findings of the characteristics in structures with high levels of hierarchy provide support and evidence to those who question whether much of the shared and distributed leadership literature characterizes leadership at all (Hatcher, 2005; Denis et al., 2012). Some researchers do acknowledge, particularly in the school sector, where there is the most significant amount of empirical research, that shared and distributed settings with high levels of hierarchy can be characterized as “weak” forms of distributed leadership (Mascall et al., 2008; Currie 2009). Hartley (2009) suggests that leadership in schools have not really escaped from bureaucratic control and questions whether or not distributed leadership in schools really constitutes a new paradigm of leadership. Denis, Langley and Sergi (2012) also note the tensions between distributed leadership in settings of concentrated authority and those found in diverse power settings.

Hierarchical Structure Type	Authority Influence	Professional Autonomy	Contextual Richness	Prominent Contextual Factors	Conjoint Agency	Concertive Action	Nature of Emergence	Leadership Engagement (Most Prevalent)	Co-performance (most prevalent)	Leadership Task	Delegation Mechanisms
<b>Collegial</b>	Personality, Position	Operational	Medium	Culture, Structure	N/A	N/A	Planned and/or Emergent	Informal	N/A	Strategic, Administrative	N/A
<b>Independent Teams</b>	Position, Personality	Strategic	Medium	Culture, Goals, Structure, Time	N/A	Institutional Practices	Planned or Emergent	Informal	Collaborative	Strategic, Operational	Autonomous
<b>Inter-Organisational</b>	Personality, Competency	Strategic	High	Culture, Goals, People, Process, State, Structure	Synergy	Intuitive working relationships, Spontaneous collaboration	Planned and/or Emergent	Informal	Collaborative	Strategic,	Ad Hoc
<b>Traditional Hierarchy</b>	Position	Operational	Medium	Culture, Structure, People	Reciprocal	Institutional Practices	Planned	Formal	Coordinated	Operational	Autocratic
<b>Hierarchical Based Teams</b>	Position	Operational	Medium	Culture, Goals, People, Process, Structure	Reciprocal	Institutional Practices	Planned and/or Emergent	Formal	Collaborative and Coordinated	Operational	Autocratic



**Table 25 Synthesis Results by Hierarchical Type**

Characteristic	High	Low
Authority Influence	Position	Personality
Professional Autonomy	Operational	Strategic
Conjoint Agency	Reciprocal	Synergistic
Concertive Action	Institutional Practices	Spontaneous collaboration
Nature of Emergence	Planned	Emergent
Leadership Engagement	Formal	Formal and Informal
Co-performance	Coordinated	Collaborative
Leadership Task	Operational	Strategic
Delegation Mechanisms	Autocratic	Autonomous and Ad Hoc

**Table 26 Impact of Level of Hierarchical Structure**

In consideration of the project findings and the above discussion the following propositions emerge:

P1 The form of structural hierarchical structure influences the configuration of how leadership is shared and distributed within organizations

P2 The level of hierarchical structure influences the extent leadership is shared and distributed between leaders and members within an organization

#### **4.6.2 Organisational Contextual Factors and Shared and Distributed Leadership**

The project findings confirm the importance of contextual factors on leadership processes and suggest that each form of hierarchical structure is influenced by different contextual factors. Some contextual factors appear to be more prominent than others as they are cited in more than half of the studies within each hierarchical form. These factors include culture and structure. Other factors such as goals, people and processes also appear important as they appear in over half of five of the six structural forms. The importance of context and the need to better understand the relationship between contextual factors and shared and distributed leadership have been cited by a wide range of researchers (MacBeath, 2005; Timperley, 2005;

Ball, 2007; Nowell and Harrison, 2010). While a number of researchers have proposed that distributed settings may exhibit different variable features related to structural, cultural and social factors, (Bennett et al. 2004; Gronn, 2008) few, as is the case with this project, have identified the specific factors related to each type of setting.

These findings, while providing limited detail to how organisational contextual factors actually shape leadership processes, do provide details as to the factors that may be most relevant to different forms of distributed leadership (Appendix K). The findings provide specific evidence to the claim of the importance of context in in shared and distributed leadership settings (Currie et al., 2009; Iszatt-White, 2011) and are a step forward in responding to the call for the development of theory on how contextual factors influence leadership processes, particularly in distributed settings (Bryman et al., 1996).

Certainly there are variations of leadership patterns within structural types and these differences may be explained by organisational contextual style. Klein (2006) provides the example of 'dynamic delegation' in which leadership is shared within an organization with high level of hierarchical structure, through changes in leadership style, organization culture and development of member competency. Scribner (2007) suggests that in order to stretch leadership across organisational levels in school settings, the autonomy of individual members needs to be expanded. Flessa (2009) suggests that the some factors, such as resources and goals, have political dimensions which can influence leadership processes in distributed settings.

In consideration of the findings on shared and distributed leadership and organisational contextual factors the following proposition emerges:

P3 Leadership in shared and distributed settings is influenced by organisational contextual factors, which may include culture, structures, processes, people and goals

### **4.6.3 Authority and Organisational Contextual Factors**

The metasynthesis of the sample data does not provide a great deal of insight on the role of authority in shaping organisational contextual factors as there are significant overlaps between factors cited across hierarchical types (Appendix K). For example cultural and structural factors are frequently cited in each type of hierarchical structure. The one distinct difference relates to inter-organisational structures, which cite a wider range of contextual influences than other structures. It is possible the ambiguous nature of authority in these settings (Denis et al., 1996) increases the importance of contextual factors though additional research is required to determine if this is the case.

There does however appear to be some differences in both factors related to authority relations between settings with high and low levels of hierarchy. While there are examples of position as a source of influence in both levels, in lower levels of hierarchy, personality and competence are also cited as sources. There are also differences in the type of professional autonomy exercised. In settings with high levels of hierarchical structure the autonomy is operational in nature, wherein autonomy in organizations with lower levels of hierarchy autonomy tends to be strategic.

It is important to recognize that the scope of this project is limited to an emphasis on structural authority. As authority relations are also shaped by other factors, such as perception and identity (Hirschhorn, 1990; Kahn and Kram, 1994) an examination of these factors may be required to fully understand the role authority plays in shaping the organisational factors impacting leadership processes. Research of this type may be particularly helpful in understanding the differences in leadership configurations in settings with similar hierarchical structures.

#### **4.6.4 Use of Metasynthesis**

The metasynthesis approach was quite useful in synthesizing data from existing research papers in order to explain how the relationship between authority and organisational contextual factors shape leadership processes in shared and distributed settings. While the methodology has primarily been used in medical and health settings (Suri and Clarke, 2009), the approach does hold some promise in utilizing existing research as a basis for theoretical explanation and development in organization and management studies.

While the methodology used in this project is grounded in a number of existing approaches, there are a number of unique contributions this project makes to metasynthesis methodology. The first contribution was the development of a new methodology which integrated qualitative synthesis and interpretative framework synthesis into a single integrative approach. This new methodology was particularly effective in enabling a deep penetration of the findings of the papers included in the project sample and produced a distinct two stage process of extraction and synthesis each using conceptual frameworks to generate data for analysis. The second contribution involved the use of existing frameworks for “a priori” coding in the data extraction phase, which is a departure from previous metasynthesis methodology. One advantage of using existing frameworks for extraction purposes is that it grounds the synthesis to existing theoretical frameworks. The use of selected research projects as a foundation for developing the framework for synthesis also constitutes a contribution to metasynthesis methodology. The final contribution related to metasynthesis involved the development of the frameworks identifying the type and level of structural hierarchical within shared and distributing settings.

#### **4.7 Conclusion**

In concluding, the project limitations, implications for practice and future research directions will be discussed.

### **4.7.1 Project Limitations**

The project has a number of limitations. As previously noted this project is one of the first projects in management and organisational studies to use a metasynthesis approach. There have been a number of generic issues raised about metasynthesis methodology including concerns on the reliability of synthesizing data from studies that describes characteristics and behaviours within a specific contexts and populations (Sword et al., 2009), the ability to synthesise qualitative and quantitative data in a single synthesis (Mays et al., 2005) and to bridge differences in epistemological foundations by using projects using varied qualitative approaches (Dixon-Woods et al., 2005). It is important to acknowledge that metasynthesis is still in the early stages of methodological development and these issues need to be resolved over time (Atkins et al., 2008). However the more pragmatic view is that the methodology can be of value in interpreting research across multiple studies as a beginning stage in establishing new theories and explanations (Dixon-Woods et al., 2005). While the approach moves beyond the traditional focus of systematic review of utilizing existing research as a means of determining “what works” (Tranfield et al., 2003), synthesis approaches have a long history of building knowledge and theoretical advances (Weed, 2008) and may be more useful than traditional systematic review in generating new explanations and hypotheses (Lucas et al., 2007).

Another limitation of the project concerns the focus on individual actors and does not address the emerging perspective concerning the relational-entity inconsistencies in distributed leadership research. While both Gronn (2002) and Spillane (2006) identify leadership action or activity as the appropriate unit of analysis to examine distributed leadership, the approach taken in most studies using these frameworks does not take into account the conflation between agency and structure and Sawyer’s (2002) claim that situated action cannot be reduced by giving individuals and situations distinct ontological standing (Scribner et al., 2007). Given the lack of empirical studies that focus on the examination of process, which is more consistent with socio-cultural theoretical foundations of distributed leadership (Hartley, 2009), the addressing of entity/relationship inconsistency is beyond the scope of this project.

Caution also needs to be taken in the application of the project findings. The findings are but a preliminary step in theory development and the frameworks and propositions require empirical evidence. It is also important to recognize that findings related to hierarchical structure can only be applied to settings in which organizations where a conscious attempt has been made to distribute and share leadership.

#### **4.7.2 Implications for Practice**

While the main contribution of the project has a number of implications for research practitioners, there are also some implications for practitioners, particularly those operating in shared and distributed leadership settings. The knowledge of the specific authority, contextual and shared and distributed leadership factors that influence the leadership process within the various types of structural hierarchy can help both leaders and members shape their identity in order to enhance the effectiveness of shared and distributed leadership (DeRue and Ashford, 2010). The findings can also enable leaders to manage levels of autonomy (Scribner et al., 2007) and contextual factors (Wallace and Tomlinson, 2010) to achieve the goals and objectives of sharing and distributing leadership roles.

#### **4.7.3 Future Research Direction**

These findings raise a number of interesting questions, any of which can form the basis of Project 3. While this project has highlighted the importance of structural hierarchy in shaping leadership processes it is only one dimension of power and influence. As Project 1 demonstrated, different organisational units sharing the same governance structure have different leadership configurations. This situation begs the questions as to what other factors related to power and influence shape leadership processes in pluralistic settings?

Given the presence of different leadership configurations in similar settings also raises a more practical question. If leadership practice can lie along different points between focused and distributed leadership, what practices contribute to the configuration being more or less focused or distributed within the same pluralistic setting?

The findings also raise questions about the leadership roles of both leaders and members of organizations with low levels of hierarchy. In relation to members in these settings, the question as to what factors inhibit or facilitate member involvement in leadership activities can also be pursued. As the findings of P1 suggested that the choice of members determine the levels of shared and distributed leadership activity within a department, P3 will also focus on understanding how members construe their own departmental leadership and what factors influence member decisions as to whether to participate in departmental leadership activities.

## **5 FACULTY DEPARTMENTAL LEADERSHIP IN BUSINESS SCHOOLS**

### **5.1 Abstract**

Previous work in this thesis suggests that faculty members in academic departments have high levels of autonomy, may share authority with chairs and have significant freedom in choosing the activities they undertake. This project examines the nature of faculty members' involvement in department leadership activities, investigates how members construe their department leadership and discusses whether this constitutes leadership or management. It then explores the form of distribution of leadership activities and identifies contextual factors that influence member leadership engagement.

The findings indicate that members in understanding their leadership practice use a unidimensional perspective that construes leadership and management activities. However if a bidimensional lens, which delineates management and leadership activities, is used, many of the activities identified by respondents are more appropriately classed as management. The study also reveals faculty member leadership take a multiple of distributed forms. Whilst evidence of leadership distribution are found in this study, members also report that they are often involved in the performance of discrete activities on an individual basis, a form of leadership usually thought limited to designated leaders. The project also highlights the importance contextual factors play in influencing member engagement in leadership. The project provides senior administrators and chairs with insight on the factors that influence member engagement that can assist with implementing practices to engender higher levels of faculty leadership in academic departments.



## 5.2 Introduction

P3 builds on the findings of P1, an empirical study of how contextual factors affect a designated leader's ability to implement strategic change and P2, a review and synthesis of the literature on leadership, specifically focusing on shared and distributed leadership, contextual factors and authority relations. Specifically, P1 findings suggested that within Business School Departments leadership is a shared and distributed phenomena and is shaped by a range of contextual factors. P1 findings also indicated that the level of distributed leadership within the departments in the study was largely determined by its members. P2 examined how the nature of distributed leadership is shaped by the level of hierarchy within an organization. The findings in P2 indicated that for organizations included in the review and synthesis, those with high levels of structural hierarchy, the nature of shared and distributed leadership could be more appropriately characterized as delegation. However in organizations with lower levels of structural hierarchy, the nature of leadership that was shared and distributed was emergent, autonomous and synergistic. While organizations with low levels of structural hierarchy, such as academic departments, may feature distributed leadership, it is unclear whether or not this is the case for all departments. Existing research does not adequately explain what contributes to the differences in the levels of shared and distributed leadership in organizations that have the same low level of structural hierarchy. This project examines the nature of leadership distributed to members, the form of distribution and the contextual factors influence faculty members to engage in leadership.

Understanding the nature of the leadership being distributed to members and the contextual factors that influence members' to participate in departmental leadership will help to broaden our understanding of the shared and distributed leadership, particularly in those organizations with low levels of structural hierarchy. The identification of the factors influencing members' decision to participate can also provide insight to departmental leaders on how to encourage and minimize the barriers to engagement in order to engender greater levels of leadership activity within the department.

The project is organized into the five sections. This section provides an introduction, rationale and background for the project and specifies the research questions. Section 5.2 provides an overview and rationale for the research design, details the project's data collection process and the techniques used to analyse the data. Section 5.3 focuses on the reporting of the project findings. Section 5.4 features a discussion of the findings in relation to previous research. Section 5.5 summarizes the project's contribution to knowledge and includes a discussion of the project limitations, its practical application and implications for future research.

The main literature review underpinning this project can be found in the scoping study (Chapter 2). While P1 included several examples of faculty members' roles in sharing departmental leadership, the focus of that project involved the examination of the factors that influenced the implementation of strategic department initiatives. This project is specifically focused on the nature of departmental leadership exercised by faculty members. Though this project is particularly focused on the departmental domain, it is important to recognize that there are other avenues in which a faculty member may engage in leadership action including the institutional, disciplinary and community levels. Faculty member department leadership activities, which typically involves service work as opposed to teaching and research (Kezar and Lester, 2009), can be grouped into two categories, service that is internal to the department and that which is external to the department. As a function of the autonomy and academic freedom faculty members enjoy they can choose the nature and setting of their service and leadership activity. Faculty members have opportunities for service and leadership in a number of internal and external settings. While most of the previous work examining departmental leadership focuses on the chair position (Middlehurst, 2008; Macfarlane, 2014), there is some research that addresses leadership performed by department members. However the previous research is limited and while most specifically focus on activities related to curriculum and new course development (Kezar and Lester, 2009; Stark, 2002). Juntrasook (2014) in his examination of leadership at a single university in New Zealand reports a broader range of departmental leadership activities cited by faculty

members including committee work, conference planning, securing resources for other faculty members and students and mentoring students and younger faculty. In addition to leadership engagement within the department, members can also take leadership in a number of roles external to the department. Leadership roles external to the department may include institutional leadership (Macfarlane, 2005; Lawrence, 2011), professional association and/or disciplinary community (Macfarlane, 2005; Blackburn, 1995; Neumann, 2007) public and community service (Macfarlane, 2005; Antonio, 2000) or associated practitioner or business communities (Blackburn, 1995).

As the focus of analysis of this project and the dissertation in general is at the department level, the project only examines faculty member leadership activities directly related to the department. This singular focus on internal, external settings or specific activities in Higher Education research is quite common. For example, Antonio (2000) and Jaeger (2006) focuses their attention exclusively leadership and services activities external to the University. Other researchers focus on strictly on service and leadership to the institution (Wong, 2001; Kezar, 2009). The focus on internal service and leadership within the university may also concentrate on specific activities such as research (Ball, 2007; Evans, 2014) and committee work (Porter, 2007). External service work could include activities within the wider university community and work associated within their academic discipline which may include activities related to their research and practitioner communities (Blackburn and Lawrence, 1995).

Given the highly contested views about how to define leadership (Rost, 1993; Bass and Bass, 2008), rather than focusing on a specific definition of leadership, the project seeks to understand leadership from the perspective of individual members. The approach is consistent with the view of the importance of understanding how individuals construct their own leadership practice (Juntrasook, 2014; Alvesson and Sveningsson, 2012). While it is certainly appropriate to determine if the respondent's view of leadership is consistent with other conceptions of leadership, this issue will be addressed in the discussion section of this project.

*RQ1: How do faculty members construe their own departmental leadership activities?*

As noted previously in the introduction, leadership is a highly contested construct. It has been suggested that there are almost as many definitions of leadership as there are researchers defining it (Northouse, 1997). Even by the 1990's, Rost (1993) identified over 200 definitions of leadership and Fleishman et al. (1991) identified over 60 ways of classifying leaders. One of the most contested areas concerning leadership involves reconciling leadership and management (Terry, 1995; Simonet and Tett, 2013).

While some researchers hold that leadership is synonymous with possessing a management position (Bedeian and Hunt, 2006; Hunter et al., 2007), others suggest distinction between the constructs of leadership and management (Zaleznik, 1977; Bennis and Nanus, 1985; Yukl and Lepsinger, 2005). In many cases research treats the two constructs interchangeably without any discussion about the potential differences between the two (Bedeian and Hunt, 2006). Certainly this has been the case with research on leadership in Higher Education, which is dominated by the view that leadership is associated with formal management roles (Middlehurst, 2008; Macfarlane, 2014).

While there have been various attempts to bridge the leadership/management conundrum within the Higher Education context (Kekale, 2003; Middlehurst et al., 2009) there is still a significant lack of clarity over the differences in this context. Though Bryman et al. (2007) suggests that previous research related to higher education leadership is inconsistent in how it treats the differences between leadership, management and administration, others suggest clear differences in the two functions (Gibbs et al., 2008). Others however suggest the two are closely integrated, particularly at the department level (Kekale, 2003; Middlehurst, 2004).

Some of the confusion involves using the same term to connote different constructs or using different terms to denote the same construct. A case in point MacFarlane (2014) suggests different forms of departmental leadership. One form is classified as managerial leadership and involves financial, human resources and operational planning. Using similar functions Bolden and Petrov (2014) refer to these activities as academic management. However MacFarlane (2014) suggests a second form which he labels as academic management involves activities such as academic recruitment and teaching and research support activities, which is consistent with Bolden and Petrov's (2014) definition. The third form of leadership, intellectual leadership identified by MacFarlane (2012) focuses on influencing the development of academics as researchers, which Bolden and Petrov (2014) label as academic leadership.

In an effort to clarify the different approaches taken toward the relationship between the two constructs, Simonet and Tett (2012) classified the differences into five categories. The first category (bi-polar) holds that leadership and management are two distinct functions and people are either leaders or managers (Zaleznik, 1977). In the second category (bi-dimensionality) leadership and management are considered to be complementary with some overlap between the two processes (Bass and Bass, 2008; Bennis and Nanus, 1985; Kotter, 1990; Yukl, 2006). The third category (unidimensionality) suggests that given the difficulty in separating the two processes, which share the same goal of organisational success, from a practice point of view it makes little sense to consider the two constructs separately (Sveningsson and Alvesson, 2003; Mintzberg, 2004). The last two categories, labelled hierarchical by Simonet and Tett (2006), suggest either management is a function within the broader construct of leadership (Hersey and Blanchard, 1969; Morgeson et al., 2010) or the leadership is a function within the broader construct of management (Bedeian and Hunt, 2006; Avolio et al., 2004).

Bedeian and Hunt (2006) call for the need to clearly operationalize leadership by stating research assumptions. Just as one cannot assume that all people by nature of their hierarchical position engage in leadership, the same holds true for work

distributed from designated leaders to other members of the organization. Not all of the distributed functions may necessarily be leadership. Some, depending on how the constructs are operationalized, may be considered to be management rather than leadership. In operationalizing the two constructs within this context it is important to recognize that unlike most leadership research in higher education which focuses on formal management positions (Middlehurst, 2008; Macfarlane, 2012), the focus on the project is on leadership performed members not holding formal management positions. Given this situation, it is suggested that from an analysis point of view, the bidimensional perspective would be the most appropriate model to determine if what has been identified as leadership by project respondents is appropriately classified. It is important however to acknowledge that this perspective is only one of the lenses that can be used to examine the data and if another perspective was used, for instance the unidimensional perspective, the findings may be significantly different. Prior to evaluating the specific activities identified by respondents it is necessary to operationalize each of the constructs. In order to do so it is helpful to examine how other researchers have delineated the differences (Table 27).

While there is certainly no general agreement among those advocating a bidimensional approach as to what specifically constitutes leadership and management, it is possible to make some generalizations on each of the two constructs. In order to evaluate the activities that respondents identified as leadership, working definitions based on the major themes drawn from the above table are required. As such leadership is defined as an influence process over groups and/or individuals focused on the achievement of organisational goals, which frequently involve change processes.

Author (s)	Leadership	Management
Bennis and Nanus, 1985	Creatively solves organisational problems	Problem solver involving routine organisational matters
Kotter, 1990	Copes with change and uncertainty	Copes with complexity related to matters including budgeting and planning, staffing and organizing, control and problem solving
Cuban, 1988; Bush 2008	Linked to change	Linked to maintenance
Hersey and Blanchard, 1988	Influence the behaviour of others	Achievement of management goals
Zaleznik, 1997	Advocate change	Advocate stability
Grint, 2005	Sets direction linked to change, movement and progress	Enacts routines and maintains stability (control)
Bass and Bass, 2008	Produces constructive and/or adaptive change	Key activities are monitoring the environment, coordinating and representing others, handling information and its sources
Bolden and Petrov, 2014	Puts structures in place to further the interests of the group	Frames tasks and processes, such as allocation of workload, performance monitoring and assessment and provision and distribution of resources

**Table 27 Alternative Leadership/Management Definitions**

Management on the other hand is defined as the control of routine tasks and processes to accomplish organisational goals and constitutes more of a maintenance focus than a change focus (Table 34). Examining the activities identified by the respondents from the bidimensional view, all of those activities involving the maintenance of existing structures, processes and activities will be classified as management activities. For an activity to be classified as leadership the activity needs to involve an influence process that results in changes to structures, processes or activities. Using these basic definitions it is now possible to unpack

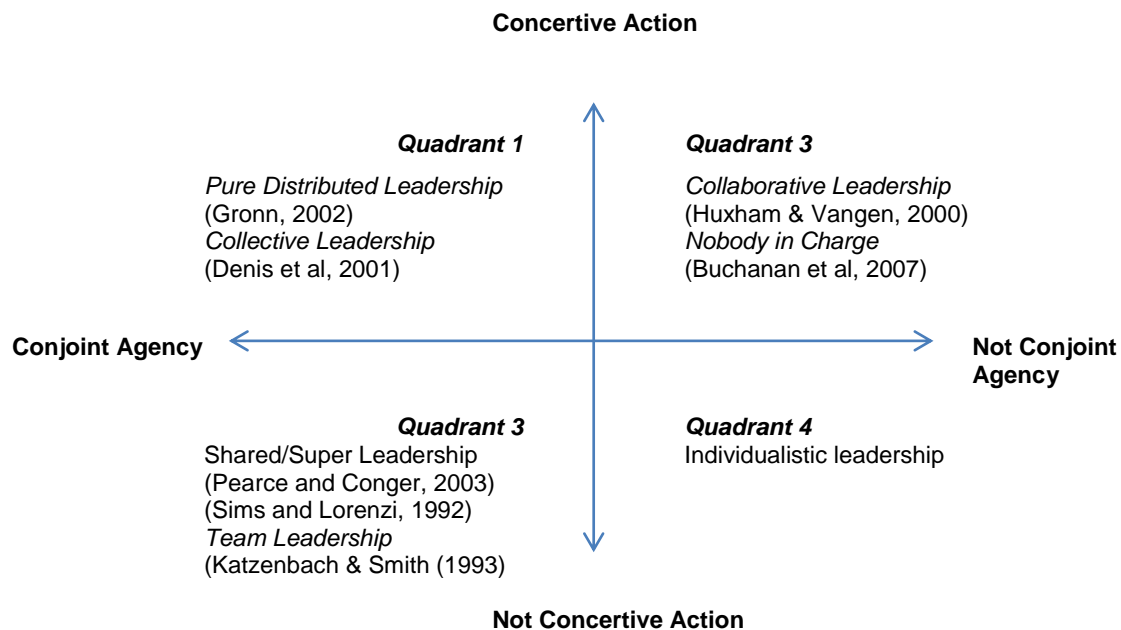
what was identified by members as leadership and answer the second research question.

*RQ2: To what extent do the departmental activities identified by members relate to existing classifications of leadership and/or management?*

While there are divergent views on the specific definition of distributed leadership (DL) (Spillane, 2006), most of the research literature is based on Gronn's (2002) model of DL, which utilizes the concepts of concertive action and conjoint agency. While other researchers (MacBeath, 2004; Harris, 2007; Harris, 2008; Leithwood, 2009) have introduced additional features and attributes that may characterize distributed leadership, (P2, 145-149) Gronn's concepts of concertive action and conjoint agency feature prominently as a foundation for many distributed leadership studies. However in a major departure from Gronn's (2002) conception, Currie and Lockett (2011) suggest that distributed leadership can take a number of different forms and may or may not involve concertive action or conjoint agency. The classification of distributed leadership into different forms is helpful in that acknowledges that not all the forms are the same and distributed leadership is not necessarily a homogeneous construct.

Using concertive action and conjoint agency as independent variables, Currie and Lockett (2011) developed a two-by-two model that delineates four types of distributed leadership, with each form populated by examples from related research (Figure 3).





**Figure 3 Currie and Lockett's (2011) spectrum of distributed leadership variants**

Prior to examining the Currie and Lockett's (2011) model in detail it is worthwhile to revisit Gronn's (2002) conception of concertive action and conjoint agency. Concertive action, as conceived by Gronn (2002) consists of leadership action generated through the joint efforts of multiple individuals as opposed to the aggregation of leadership actions taken by individual agents. In conceptualizing forms of distributed leadership that are not concertive, Currie and Lockett (2011) hold that leadership can either be distributed to multiple agents involved in the same leadership action (concertive) or to individual members undertaking leadership action independently (not concertive).

Gronn (2002) defines conjoint agency as "... agents synchronize their plans by having regard for their plans, those of their peers, and their sense of unit membership" (p.431). However he views conjoint agency as a feature of concertive

action and suggests that within each form of concertive action members either demonstrate synergetic or reciprocal agency (Gronn, 2002).

While for the most part, Currie and Lockett's (2011) application of concertive action conforms to Gronn's (2002) definition, there is an issue with how they define and apply conjoint agency. In identifying leadership that is concertive, not conjoint (Quadrant 3), Currie and Lockett (2011) identify two forms of leadership, Collaborative Leadership (Huxham and Vangen, 2000) and "Nobody in Charge" (Buchanan et al., 2007), both of which feature groups of leadership agents collaborating on the same leadership action. As Gronn (2002) holds that all concertive action is conjoint by nature, it does not appear that using his definitions the constructs can be used as binary constructs as Currie and Lockett (2011) have suggested. This raises the question as to how Currie and Lockett (2011) concluded that the two constructs could be used as binary constructs.

It is important to recognize that Currie and Lockett (2011) claim that their model faithfully employs concertive action and conjoint agency as defined by Gronn (2002).

*"For the purposes of our analysis (and parsimony), we employ Gronn's (2002) concertive action and conjoint agency dimensions of DL" (p. 289).*

Currie and Lockett (2011) state that in developing their model they reviewed

*"...the body of work that relates to DL (for recent reviews of DL, see: Bennett et al. 2003; Leithwood et al. 2008; Woods 2004). In doing so, we examined how different authors have defined DL, and how they relate to one another, with a focus upon identifying some contingent features of DL" (p.287).*

The examination of each of these reviews can aid in understanding how the constructs used by Currie and Lockett (2011) morphed from integrated constructs to binary ones. Bennett et al. (2003) in explaining Gronn's (2000) definition of

concertive action suggest “Concertive action is about the additional dynamic which is the product of conjoint activity” (p. 7). It appears that this directly contrasts with Gronn’s (2002) statement that concertive leadership unit members act conjointly. Bennett et.al (2003) offers no explanation as to why their interpretation differs from Gronn (2002). Although Bennett et al. (2003) go on to suggest that the central principle of Gronn’s conception of distributive leadership is that individual agency is replaced by leadership consisting of members acting together in “structurally constrained conjoint agency”, which is consistent with Gronn’s (2002) conception, it is the previous contradiction concerning conjoint agency that gets carried forward in the second review cited by Currie and Lockett (2011).

It is important to note that Currie and Lockett’s (2011) citation of the Woods (2004) study is problematic, as the authors for this study are the same as Bennett et al. (2003) study with the exception that Woods rather than Bennett is the lead author. This project repeats the suggestion of concertive action as a product of conjoint agency and goes on to suggest that leadership can be “the product of concertive or conjoint activity”. Again there is no explanation or acknowledgement that this constitutes a departure from Gronn’s (2002) definitions of the constructs. The last source used by Currie and Lockett (2011) is Leithwood et al. (2008). While Leithwood et al. (2008) briefly notes that concertive action is a form of distributed leadership which involves the stretching of organisational leadership across social and situational settings; no mention is made of conjoint agency.

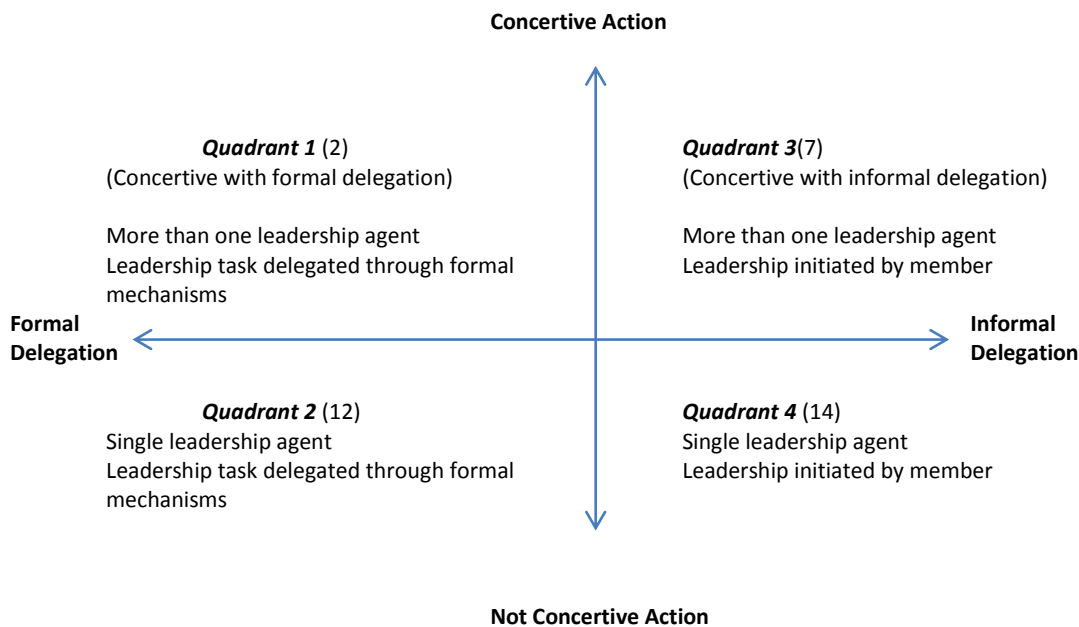
Adding to the confusion over Gronn’s (2002) definitions of concertive action and conjoint agency, Currie and Lockett (2011, p. 290) themselves state, “In broad terms those more top-down driven DL models are more likely to ensure that direction is aligned (conjoint agency), but less likely to engender the widespread synergy and ongoing reciprocal influence (concertive action) described by Gronn (2002)”. This statement reverses Gronn’s (2002) definition of the constructs. In considering the change to the constructs, it is important to recognize that all the above researchers never make any suggestion that Gronn’s (2002) constructs require revision, but rather claim to be applying Gronn’s constructs without reservation.

While it is clear that different forms of distributed leadership cannot be delineated using Currie and Lockett's (2011) model, it raises the question if a model using other variables can be used to distinguish different forms. As previously noted the use of the variable of concertive action is useful as it distinguishes between group and individual forms of member leadership. While conjoint agency cannot be used a second variable, a number of distributed leadership researchers have used different variables to describe various forms of distributed leadership. Many of these variables were utilized in P2 to distinguish features of distributed leadership identified in previous research (Pages 145-149). There are three of these variables that are worthwhile to consider for use in a revised model to distinguish different forms of distributed leadership.

The first variable relates to how a particular leadership action is aligned with organisational goals (Harris, 2007). The second variable involves whether the leadership initiative was planned or emergent (Harris, 2007). The last variable examines the delegation mechanism, formal or informal, used to initiate the leadership action (Leithwood et al., 2009; Spillane, 2006). While any of these variables may be suitable to examine forms of distributed leadership, ultimately the choice of variable must be driven by the questions that are driving a particular study. For this project which examines the nature of leadership undertaken by members and the factors that influence members to take leadership, understanding whether leadership tasks are assigned (formal delegation) or initiated by members themselves (informal delegation) is more relevant to the project objectives than the alignment with organisational goals or whether the action was planned or emergent.

For the purposes of analysis the method of delegation is determined by the mechanism through which the member leadership action was initiated. Leadership actions that were undertaken as a result of the member being asked by the department chair or other colleagues or volunteering for a task suggested by these parties are classed as formal delegation. Leadership actions that are initiated by the

member fall into the classification of informal delegation (Leithwood et al., 2009). The revised model using concertive action and form of delegation (Figure 4) is used in answering the third research question for this project:



**Figure 4 Revised spectrum of distributed leadership variants**

RQ3: *What form(s), if any, of distributed leadership is (are) undertaken by faculty members?*

While it is important to understand the form or forms of distribution that characterize the leadership performed by faculty members, it is also important to explore the factors that influence members to engage in leadership. Although a range of factors were identified in P1, including governance, leader, member, group, situation factors, the main focus of the project was on how these factors affected the designated leader’s ability to implement strategic change rather than a members’ decision to engage in leadership. This project, with its focus on the member level, seeks to identify the specific factors that influence their involvement in departmental leadership. To identify these factors, the project is informed by the contextual

leadership typology developed by Porter and McLaughlin (2006), which identifies seven types of contextual factors that influence leadership processes (Table 28).

Porter and McLaughlin (2006)
<b>People/composition</b> (demographics, capability)
<b>Processes</b> (technologies in use, task factors, governance, standardization, policies)
<b>Culture</b> (cultural type, norms, ethics)
<b>Goals/purposes</b> (goals, strategies, mission)
<b>State/Condition</b> (stability, resources, organisational health)
<b>Structure</b> (size, degree of formalization/centralization, hierarchical levels, spatial distance)
<b>Time</b> (duration of effects, organisational life cycles, succession history)

**Table 28 Conceptual Factors Influencing Leadership**

Though there has not yet been a systematic examination of factors that influence members to engage in departmental leadership, there are a variety of factors that have been cited in previous research as influences on the decision of faculty members to engage in service activities. Given that member leadership primarily consists of service related activities, it is worthwhile to examine these factors to determine their relevance to leadership engagement. While most of the factors influencing service participation included in this review are from studies that focused on internal service activities (Wong and Tierney, 2001; Neumann and Terosky, 2007; Porter, 2007; Kezar and Lester, 2009; Lawrence et al., 2010; Misra et al., 2011; Bowden and Gonzalez, 2012), some studies examining service participation (Blackburn and Lawrence, 1995; Toutkoushian and Bellas, 1999; Link et al., 2008) include both internal and external service and these have also been used in the review.

To maintain consistency with the Porter and McLaughlin (2006) typology, the factors previously identified as influencing service participation will be classified in the same format. Previous research indicates that faculty participation in service activities is influenced by people/composition, goals/purposes and cultural/climate factors.

The people/composition factors influencing service participation include demographic factors and individual characteristics. The demographic factors that have been identified as influencing service activity include gender, race and employment status. Some studies suggest that women are more likely to participate in service activities than men although this may not encompass all types of service work, as Toutkoushian and Bellas (1999) report no significant differences in gender participation in committee work. Previous research also suggests that visible minorities are more likely to participate in service activities than Caucasians (Porter, 2007; Misra et al., 2011; Toutkoushian and Bellas, 1999).

Two factors, career stage and appointment type have also been cited as demographic influences on participation. Though most of the previous research suggests that service activity increases as faculty move through early to mid-career stage, this conclusion does not have universal agreement as Baldwin et al. (2005) have concluded just the opposite. There is greater agreement on the impact on appointment type as the research factor suggests that tenured faculty tend to have higher rates of service participation than untenured members (Neumann and Terosky, 2007; Bowden and Gonzalez, 2012; Link et al., 2008).

In terms of individual characteristics, workload and change efficacy have been identified as influences on service participation. While individual characteristics were not specifically mentioned by Porter and McLaughlin (2006) in their typology, as these characteristics directly relate to people, it is appropriate to include them within this category. Lawrence et al. (2010) suggest that individual workload influences service participation, with the level of participation in service diminishing for faculty with significant teaching and research loads. Participation in service activities may also be influenced by an individual's level of change efficacy, whereby individuals who believe their participation will result in effective change exhibiting higher rates of engagement than those who have less confidence on their ability to effect change (Blackburn and Lawrence, 1995).

There are also a number of factors that influence service participation that relate to goals/purposes. It has been suggested that those members who personally value service or have a positive association with the university will have higher levels of participation (Blackburn and Lawrence, 1995; Wong and Tierney, 2001). This role of personal values as a factor influencing leadership processes was also identified in Project 1. While in P1 this factor was labelled as departmental orientation, further review of the literature has demonstrated that the more appropriate label for the factor is the emerging construct; social value orientation. Department orientation in P1 was used to describe the value that individuals placed on department related work compared to personal work. This description is consistent with social value orientation, which refers to individual outcome preferences and is focused on the degree to which individuals are concerned with personal (pro-self) or group (pro-social) outcomes (Bogaert et al., 2012).

The other factor that was identified in previous research examining contextual influences on service participation relates to culture. Members who perceive that service is valued by the organization are more likely to participate, though this only impacts members who also value service participation themselves (Lawrence et al., 2010). Kezar and Lester (2009) hold that supportive cultures have a positive impact of faculty engagement in leadership, while dysfunctional cultures tend to limit engagement. They also noted the positive impact that supportive chairs can have on faculty leadership engagement.

This project seeks to identify the factors that influence member leadership participation and compare these factors to those that impact service engagement. The answer to this final question will also investigate how these contextual factors impact member leadership engagement. This leads to the fourth research question:



*RQ4: What factors influence members in undertaking of departmental leadership and how do the factors explain different levels of leadership engagement?*

Prior to examining the findings related to each of these questions, the next section will detail the methodologies employed in the project.

### **5.3 Research Methodology**

This section of the document will provide the details concerning the project's research design and the methods employed to collect and analyse data.

#### **5.3.1 Research Design**

In many ways the research design for this project mirrors the approach taken for P1. Therefore, a more detailed discussion of the common methodological approaches between the two projects can be accessed in P1. Where appropriate, references to P1 including the specific page numbers have been included in this project. This project utilizes a qualitative approach to address the research questions. This qualitative approach, similar to approach taken in P1 (Pages 80-81), is suited to the purpose of this project as it provides the opportunity to include multiple perspectives of participants and captures the nuances of a complex phenomenon (Lincoln and Guba, 1985). The project uses a combination of inductive and deductive approaches depending on the research question asked. Similar to P1, to answer the first research question, concerning the nature of departmental leadership carried out by members, the project takes an inductive approach in which the data supplied by respondents drive the conception of leadership practice. This approach is particularly appropriate in examining phenomena, which are in the early stages of theoretical development as is the case with shared and distributed leadership (Blaikie, 2000). However to answer the second, third and fourth questions a deductive approach using predetermined constructs was used (Braun and Clarke, 2006). To determine the nature of the leadership identified by respondents (RQ2) a

bidimensional model delineating management and leadership activities was developed. To examine the forms of distributed leadership (RQ3) the analysis will employ concepts from the revised model developed from Currie and Lockett's (2011) model. For factors influencing members to engage in leadership (RQ4), the analysis will utilize Porter and McLaughlin's (2006) typology. The project's focus on the views of participants in explaining the phenomena places this project within the social constructivist realm of inquiry (Creswell, 2008).

The use and rationale of the modified embedded single case study design for this project is similar to the approach used in P1 (Page 81). As was the case in P1, the use of multiple units in an organization that has a similar structure as other organizations in the same sector can minimize the potential for misrepresentation (Yin, 2008) and provide the opportunity to generate theoretical insight by comparing units (Eisenhardt, 1989). The approach is also particularly well suited in highlighting differences in leadership practices (Bryman et al., 1996).

As was the case with P1, the insider status of the researcher has a number of implications that were thoroughly detailed in P1 (Pages 82-83). This status as an insider has the potential for both positive and negative consequences. The benefits of the insider status can result from knowledge of the organization and its internal processes and access to data. The insider status can also lead to the introduction of bias in collecting and interpreting data and power and disclosure issues between the researcher and project participants (Metz and Page, 2002). The design of the project has incorporated a number of elements designed to minimize the potential for these negative consequences including the exclusion of the researcher's own department from the sample, the use of faculty members peers not included in the project sample to review findings, random selection of participants, providing the opportunity for respondents to review interview transcripts and the anonymous identification of respondents and departments.

The project involved twenty-eight faculty members from six departments within a Business School at a major University in Central Canada. The project was initially intended to include faculty from five departments, all of which did not participate in P1, in order to secure additional representation from faculty in the mid-career stage, three members from two additional departments were added to the sample. The first stage of sample selection involved getting approval from Chairs and Directors for their departments to participate in the project. Since career stage was identified as a possible factor influencing leadership engagement, the initial selection process involved the random selection, through blind draw, of representatives from each department within early, middle and late career categories. A letter was sent to each of the faculty randomly selected inviting their participation in the project. Within the five departments included in the target sample, there were a total of forty-three faculty members. To ensure a representative sample for each department, the initial intention was to secure 50% of each department's full-time members. This target was achieved in each department with one exception. However, as there were faculty members that declined in each department, eventually all members in each department were contacted to ensure the desired number of participants for the project. After the initial process was completed, as members in the middle career stage were underrepresented, members in this career stage from two other departments were recruited to participate so that sufficient data could be collected to ascertain differences between various career stages. While the data collected from these participants was useful in analysing the factors influencing faculty department leadership, these two departments would have not been included if the level of analysis of the case comparisons were at the department level given the lack of sufficient faculty representation. In total twenty-eight faculty members agreed to participate in the project.

While most of those who did participate in the project never responded to the invitations, those who did and were not interested were off work for a variety of reasons including illness, and sabbatical. Given my status as an insider, I am aware that many of those who declined to participate; particularly those in the late career stage are only minimally involved in school and department activities. The project received ethical approval from both my own and Cranfield University.

### **5.3.2 Data Collection**

As with P1 (Pages 84-86) interviews were used to collect data as they are particularly effective in capturing the complexities of the participant's life world and provide the opportunity for both the interviewer and participants to focus on emerging themes and shed light on and clarify ambiguities that may arise (Kvale and Brinkmann, 2009). Interview questions were tailored to generate data to answer each of the research questions (Appendix O). The interview questions varied slightly for those who have not been recently active (past three years) in departmental leadership, as the questions involving detailed descriptions of current activities were not relevant in these cases. In order to leave participants free to pursue themes that were important to them, the interview structure allowed for follow-up interviewer questions and probes to examine additional themes (Yin, 2008). The interviews were conducted in February, March and April, 2013 and were 20 to 45 minutes in length, with the shorter interviews involving those members with little to no recent leadership activity to report. With the consent of each participant, the interviews were digitally recorded, however there was one participant who requested the interview be manual recorded. The recordings were supplemented by written notes that enabled the researcher to keep track of points that required follow-up. Interviews were transcribed verbatim and participants were invited to review the interview transcriptions, which several participants did, though no changes were requested. The recordings were transcribed by a paid third party and the researcher reviewed each transcript while listening to the recordings to correct errors.

In order to keep track of scheduling details for the data collection phase a detailed research diary was maintained. The diary included details on correspondence with participants, interview dates and times, transcription and review schedules and reflection notes on the interviews. The reflection notes in the diary were used in the analysis stage to assist in identifying coding options and possible relationships between the coding categories.

### **5.3.3 Data Analysis**

The project, like P1, used NVivo to assist in the coding process (Pages 87-88). Prior to the coding, summaries were created of the answers to each question and of each interview (Boyatzis, 1998). An approach similar to the one used in P1 was taken to coding the data and identifying key themes and concepts (see pages 15-16). As many passages of text contained multiple meanings, these passages were coded at multiple codes (Miles, 1994).

The data analysis was driven by the research questions. For the RQ1 the data was grouped into themes and categories relevant to each element of the interview schedule (Westbrook, 1994) (Appendix P). Once the themes and categories were identified, several iterations of review and revision were undertaken to establish the final framework identifying the relevant influence factors (Miles, 1994; Crabtree and Miller, 1999). While the number of comments related to each coding category influenced the construction of the thematic frameworks, it is important to recognize in qualitative analysis that frequency in of itself does not constitute meaning and some categories with fewer comments can be equally or more meaningful than codes containing many comments (King, 2009). As the research question focused on the leadership engagement of each respondent the unit of analysis for this question was the individual members.

For the analysis of the RQ2, each activity identified by the respondents was analysed to determine its fit with the definitions developed for leadership and management activities identified in the project's literature review. The unit of analysis for this question was at the activity level. Interviewees were asked to specify examples of leadership activity. For RQ3 only those activities deemed to be leadership in RQ2 were analysed to determine the presence of conjoint agency and concertive action. As such the unit of analysis for this question was again at the activity level. In total thirty-four leadership examples were included in the analysis. Once each example of leadership was analysed it was classified into one of the four categories identified by Currie and Lockett (2011).

For the RQ4 examining how contextual factors impact on high and low levels of member participation in leadership, a cross-case synthesis approach was used to analyse the data. The approach involved combining individual cases into two groups, with one grouping consisting of members who exhibited high levels of engagement and the other grouping comprising members with low levels of engagement, in order to ascertain similarities and differences between the two sets of cases (Yin, 2008). The set of cases examining high levels consisted of members who had engaged in four or more leadership activities in the past three years ( $n = 6$ ) and the set of cases examining low levels consisted of members who engaged in one or no activities in the past three years ( $n = 15$ ).

As suggested by Lincoln and Guba (1985), a peer debriefing process involving several faculty members who did not participate in the interviews was used to provide feedback to the researcher at several stages in collection and analysis phases. Feedback on the project design was received from faculty members in the researcher's own department as part of the department's research-in-process series. Prior to data collection, mock interviews with two faculty members not included in the sample were conducted in order to ensure the interview questions were clear and concise. A review of preliminary findings primarily focused on the nature of leadership distributed to members and the factors influencing member leadership participation was also conducted with members of the researcher's department, again as part of the department's research-in-process sessions.

## **5.4 Findings**

The findings section consists of four parts, each part specifically related to each one of the research questions. The first part examines departmental leadership practice as construed by respondents themselves. The second part analyses the leadership reported by the respondents using a bidimensional lens to classify as either leadership or management action. The third part considers which form of distribution characterizes the leadership undertaken by members. The fourth part the identifies

the factors that respondents indicated influence their decision to engage in departmental leadership and how those factors influence high and low levels of leadership engagement.

#### **5.4.1 How faculty members construe leadership activities**

A number of themes emerged from the data provided by respondents concerning the nature of leadership they performed (Appendix P). The first theme involved the general nature of departmental leadership undertaken by members. The second theme involved the specific leadership activities performed by members. The last theme focused on how the nature of member department leadership is contested even within the respondent group.

##### **5.4.1.1 Nature of Leadership**

It is not surprising that the construction of leadership by respondents is not uniform and is a contested notion (Rost, 1993; Northouse, 1997; Fleishman et al., 1991). The findings related to this question begin with an examination of the most commonly beliefs held by respondents about their leadership and follow with how this view is contested by some respondents.

In their response to the question concerning what departmental leadership they undertook, two forms of activity were identified; project based initiatives and committee work. The more common form of leadership cited by most of the respondents (n = 27/28) is the leadership of discrete activities with an operational focus as opposed to strategic initiatives that have significant impact on departmental operations and departmental staff.

*“I have worked in two different departments, three actually, and faculty leadership, individuals, some will do project leadership, so they will take on a project” (Tenured faculty, Department 5).*

While many of these activities feature some influence aspects, particularly in the form of structural relations between members, including activities such as program development and planning and departmental representation, most activities undertaken by respondents tend to be of a discrete nature as opposed to involving systemic departmental change. It was suggested by one respondent that the focus on discrete activities is quite intentional as the types of initiatives undertaken by department faculty tend to feature minimal change orientation and have limited impact on other faculty. These initiatives generally do not require buy-in from other faculty members and are driven by individual members.

*“Ok, yes so we also have case competitions and you know that involves coaching. But some of that is, you know there’s some degree of leadership, departmental leadership in that people who do take the lead on those sorts of student initiatives or extracurricular initiatives, if you want to call it that. That I think that’s ... a little bit of a different thing than some of the things that affect everybody in our department like curriculum changes, and you know if its workload changes, or the way we think about doing research or the way we think about doing teaching” (Tenured member, Department 7).*

The other leadership activity cited by interviewees involved leadership roles within various departmental committees (n = 14/28). There are up to five committees within a department; a department council, curriculum committee and hiring committees for full-time and part-time faculty. These committees usually are headed by the department chair, though in some cases faculty may take formal or informal leadership roles.

The mention of leadership actions involving systematic departmental change initiatives was minimal. However there was one mention of leadership action involving coalition building and this situation involved members feeling that the chair was abusing power and engaged in inappropriate behaviour. So it appears that



while faculty members may engage in more strategic leadership affecting the department as a whole it may only happen in rare and specific circumstances and conjunction with other members.

*“Um, we just started talking in the hall and it was clear that we all had a common cause, a common vision. And so it was just a simple matter of rather than, as individuals we don’t like the direction certain things have taken, you know. We realized we were a group, we can actually work together strategically to bring about positive change”* (Tenured member, Department 2).

The leadership identified by respondents tends to be performed independently of other members. Of the fifty-six academic and student based leadership initiatives identified, only seven were identified that involved more than one faculty member, with six of these initiatives being partnerships between two members. Some respondents (n = 3/28) noted that there is a lot less collaboration taking place between faculty members than they expected, which surprised them given the collegial nature of the governance structure.

*“Well in terms...it is still...let’s put it this way, it’s not as collaborative as one could expect. But I guess, but because everybody has their own committees that they work on, but if you’re working on the same committee then of course it’s more collaborative, right, in that sense”* (Untenured faculty, Department 3).

#### **5.4.1.2 Leadership Activities**

The activities identified by respondents can be grouped into three categories; academic, student and committee work (Table 29). There were a total of sixty-one leadership examples provided.

Academic Activities	# of Faculty	Student Activities	# of Faculty	Committee Work	# of Faculty
Program Review and Development	9	Student Organizations	8	Hiring	3
Research Planning and Institutes	6	Case Study Coaching	4	Curriculum	2
Curriculum Development	5	Student Mentoring	3	Department Council	1
Departmental Representation	4	Career Development and Special Events	3		
Resource Development	3	Field Trips	2		
Conferences/Symposium Planning	3				
External Liaison	2				
Continuing Education Coordination	1				
Course Coordination	1				
Faculty Mentoring	1				
Total	35		20		6

**Table 29 Leadership Activities**

#### **5.4.1.2.1 Academic Activities**

Academic activities (n = 35) are defined as those having specific academic content and relate to academic programs, curriculum and research. The most often cited academic activities (n = 9/35) are related to program review and development which includes changes to the program's minors and graduate programs and formal reviews of a department's programs and offerings.

*"I've been involved in the periodic program review in the drafting of the periodic program review. I was involved also in the formulation of the part time degree and related certificates."*

(Untenured member, Department 4)

A number of initiatives (n = 6/35) involved the development of department-wide research plans and the creation of research institutes. Some curriculum development initiatives were also cited (n = 5/35). These initiatives include new course development and revisions to existing courses. While there are a number of school committees that faculty serve on as independent faculty members, there are also a number of other committees in which faculty serve as representatives of the

department (n = 4/35), In these committees the leadership role for members involve managing departmental academic interests within the Business School as a whole.

*“So I operate as a liaison between my department in terms of articulating their learning goals. I try to refine the process by meeting with this committee to understand if our goals are articulated in a way that they can be measured” (Untenured member, Department 3).*

A number of initiatives (n = 3/35) involved the development and/or introduction of new resource material, such as learning tools and research databases. Some leadership activities (n = 3/35) involved members organizing academic conferences or symposiums. Given the professional nature of the school, a couple of initiatives (n = 2/36) involved liaising with industry groups to provide a link between a department’s academic program and industry practice. There were also some activities that were one-off activities, including coordinating the department’s Continuing Education program, coordinating courses that have multiple sections and instructors and mentoring younger faculty members in matters related to teaching and research.

#### **5.4.1.2.2 Student Activities**

The student activity category also involved a number of initiatives (n = 20). The most noted activity relates to involvement with student organizations (n = 8/20). Some respondents (n = 3/20) spoke about the pro-active role they take in mentoring students. It is interesting to note that one respondent indicated that he considered student mentoring as “informal” leadership, as this work could not be recorded as a service activity in the annual reporting system.

*“Right, so this is where students have come to me, prefer not to go to advisors to talk about a range of things from personal stress from family issues and I can’t turn them away because they have chosen me, they want to talk to me about that. So that is, that perhaps may not be recognized officially as service*

*in my department, but I see that as something that I do care about"* (Untenured faculty member, Department 3).

Other student related activities included organizing case study competitions (n = 4/20), career development and special events (n = 3/19) and academic field trips (n = 2/20).

#### **5.4.1.2.3 Committee Leadership**

The last set of leadership activities involves the extension of the formal leadership structure and relates to various departmental and school sub-committees, such as departmental hiring and curriculum committees and the school council. Faculty in these instances identified leadership involvement as either as committee chair or as a member. Though many respondents (n = 12/28) mentioned committee work as a leadership activity in general terms, few specific examples of leadership action were provided (n = 6/61) and this activity was cited less frequently than both academic and student initiatives.

#### **5.4.1.3 Contested Notions of Leadership**

As noted there was not universal agreement from respondents about what constitutes departmental member leadership. Some respondents (n = 5/28), in discussing the differences, indicated that for an action to be considered leadership it would have to involve one or more of the following aspects; initiation, innovation and/or change actions, though not all leadership activity identified by respondents had these features.

Several respondents (n = 8/28) commented on the difference between leadership of and participation in service activities and noted that not all service activities involve leadership and much of member involvement in service activities was participatory in nature.

*"Well there's a lot of service that you can do that doesn't involve leadership. An incredible amount of it, you know so*

*there's a lot of low level things where. I participate in millions of different things around here but I'm not leading in those things, I'm just participating"* (Untenured faculty, Department 5).

This distinction was pointed out particularly in reference to committee work, where at least one respondent suggested that this work tends to be more administrative in nature.

*"If you're sitting around on a curriculum committee, chances are that's administrative more than it is leadership. The same thing if you're on the hiring committee, the DAC and all those things, it's administrative it's not leadership"* (Tenured member, Department 3).

Given the emphasis on discrete activities, which are often performed on an individual basis, a few respondents (n = 3/28) commented that they did not consider the actions taken by faculty members within the department as leadership at all. They conceded that if it could be considered leadership, it was markedly different than what they experienced in other organizations as the actions taken by faculty members tend to lack a strategic change element or influence over other departmental members. It is interesting to note that each of the respondents making this comment have extensive non-academic work experience.

*"And I don't think it matters actually what level you are because I've seen directors...because of tenured faculty. You know and I compare this to business, where I've been fortunate in business where if I've been able to persuade my boss it gets done, when I've been the boss, I get it done"* (Untenured member, Department 4).

#### **5.4.2 Delineating of Leadership and Management**

The second part of the findings examines the form of leadership that respondents identified. Using the bidimensional lens which delineates leadership and management into separate constructs, actions identified by respondents were classified into one of the two constructs. In order to avoid confusion between the general label, activities and leadership actions specifically labelled activities, this section and section 5.4.3 will refer to the general category of activities as actions. For an action to be classified as leadership, the respondent's action needed to demonstrate a change to the department's structures, processes or activities. Actions that involved the maintenance of the department's structures, processes or activities are classified as management.

The analysis of the actions identified by respondents fall both within leadership and management categories. While the majority of actions ( $n = 23/37$ ) can be classified as leadership a significant number of actions ( $n = 14/37$ ) can be more appropriately classified as management (Appendix Q). With the exception of a single action, all the other identified actions, whether classed as leadership or management, involved structures, processes or activities. Structures involve aspects of the governance system and include committee work and other department programs and roles such as student organizations, department representation, case competitions and course coordination. While the person responsible for the structural element may change on a year-to-year basis the function needs to be fulfilled on an on-going basis. Processes include mechanisms through which departmental work is accomplished such as program reviews, research planning and resource development. Activities tend to be one-off events and/or functions that are often specific to individual faculty members. Activities include special student events, conferences and symposiums, curriculum development projects and student and faculty mentoring. In addition to structures, processes and activities there was a single mention of a strategic change process intended to create a positive organisational culture (Table 30).

Activity Type	Structure	Process	Activity	Change Process	Total
Management	23	3			26
Leadership	14	6	14	1	35
Total	37	9	14	1	61

**Table 30 Leadership and Management Activities using a Bidimensional Lens**

Actions have been classified as management, where the individual member has the responsibility for maintaining structures and/or processes. Of the total 26 actions classified as management, 88% were structural in nature and 12% were process oriented. As respondents were describing leadership engagement over the past 3 years, it is not surprising that there were none classified as activities. While structures and processes are seen as leadership by respondents, activities which do not involve change are not typically recognized as leadership. Details on the specific elements within each category are contained in Appendix Q.

With a single exception, all the examples classified as leadership involve the creation of new structures, processes or activities. Of the actions classed as leadership, 40% were structural in nature, 17% were processes, 40% were activities and 3% were change initiatives (Appendix Q). While the identified actions do not meet the full criteria of the definition of leadership action, which includes influence over individuals and/or groups, it does fulfil at least a portion of the definition that relates to change. The implications of this limitation will be examined in the project’s discussion section.

### **5.4.3 Forms of Distributed Leadership**

The third part of the findings examines the form(s) of distributed leadership in relation to concertive action and form of delegation. The analysis for the form of distribution will focus on only the actions that have been classified as leadership in the previous section. These actions fall within each of the four DL quadrants

identified in the revised model of variants of distributed leadership (Figure 4). The exclusion of management actions in this section is not meant to suggest that distribution of management is not a worthy area of examination; rather the analytical model is primarily focused on leadership. It is helpful to examine the leadership actions identified by respondents on a quadrant by quadrant basis.

### **Quadrant 1 – (Concertive Action/Formal Delegation Mechanism)**

Member leadership located in this quadrant features actions co-led by two or more members (concertive) and which were delegated through formal departmental mechanisms. Only two leadership actions (6%) fall within Quadrant 1, which features both concertive action and formal delegation. The leadership action in both instances involve the leading the development of a departmental research plan (Appendix R-1). The concertive form of both these actions fall under the category of institutional practices as the activity stemmed from committee work members were involved in.

*“It was a call from the dean’s level asking for each school to send a representative to serve on the committee ... the reason for me to initiate and work on the plan is because I’m on that committee”* (Tenured member, Department 5).

### **Quadrant 2 – (Not Concertive Action/Formal Delegation Mechanism)**

Member leadership within this quadrant involve actions that were led by an individual member and were delegated through formal departmental mechanisms. Over 30% (n = 11/35) of the leadership actions identified falls within this quadrant. The leadership actions within this quadrant include curriculum and program development, departmental research planning and organizing new research institutes and symposiums (Appendix R-2). There is a 50/50 split between actions in which the member was asked to lead the activities and members volunteering for the leadership role.



*“And so he (Chair) said we’ve got to do something to keep the heat off and can we do a mentoring program here, and I said ‘yeah sure’ and so I put it together”* (Untenured member, Department 2).

It is important to note that there are some overlaps in the types of leadership activities between quadrants as some of the same type of activities may be led by an individual or groups.

### **Quadrant 3 – (Concertive Action/Informal Delegation Mechanism)**

Member leadership in this quadrant involves actions co-led by two or more members who initiate activities on their own rather than through formal mechanisms. Twenty percent ( $n = 7/35$ ) of the leadership actions cited by members fall within this quadrant. The leadership activities included in this quadrant include student programs, conference planning, research institutes and culture building (Appendix R-3).

Within the quadrant there are examples of two forms of concertive action. There are several examples of intuitive working relations ( $n = 4/7$ ), where a close working relationship between specific members results in on-going leadership collaboration.

*“The other thing we initiated was, myself and again my colleague \_\_\_\_\_ because we work a lot in conjunction with each other, we started a not for profit that focused on \_\_\_\_\_ and housed it at \_\_\_\_\_”* (Tenured Member, Department 1).

There are also a number of examples ( $n = 3/7$ ) of spontaneous collaboration in which two or more members identify a specific leadership opportunity and join together to lead the initiative.

*“We just started talking in the hall and it was clear that we all had a common cause, a common vision. And so it was just a simple matter of rather than, as individuals we don’t like the direction certain things have taken, you know. We realized were a group, we can actually work together strategically to bring about positive change”* (Tenured Member, Department 2).

Similar to Quadrant 2, there is at least one overlap between the leadership activities in this quadrant and the second quadrant, as while most research institutes are initiated by an individual or a group, there is one example in Quadrant 2 in which an Institute was initiated through formal delegation.

#### **Quadrant 4 (Not Concertive Action/Informal Delegation Mechanism)**

Member leadership in this quadrant involves actions led by individuals who initiate activities on their own rather than through formal mechanisms. More leadership actions cited by members ( $n = 15/35$ ) fall within this quadrant than any other quadrant. The leadership activities included in this quadrant include student programs, external liaison, resource development, mentoring, program and course development and conference planning (Appendix R-4).

*“I found them an amazing tool, pedagogical tool in our environment. I’ve marketed that if you wish. I haven’t pushed it; I think I’ve taken a minor leadership role, in making sure, and I’ve seen some more faculty actually use them. So I’ve taken that”* (Untenured member, Department 5).

In examining the overall distribution of activities in the model it is interesting to note that more leadership activities are not concertive (26/35) than concertive (9/35). There is also a greater frequency of activities that are delegated through informal mechanisms (21/35) than through formal mechanisms (14/35).

#### **5.4.4 Factors Influencing Distributed Leadership Activity**

The fourth aspect of the project findings examines the contextual factors that influence member participation in leadership. This section has three parts. The first part examines, using Porter and McLaughlin (2006) framework, the contextual factors discussed by respondents that influenced their involvement in departmental leadership (Appendix S). The second part classifies factors into those that support leadership engagement and those that inhibit it. The last part examines factors associated with high levels of leadership involvement and those associated with lower levels of involvement. For this stage of the analysis, as respondents did not delineate between leadership and management activities the analysis is based on the leadership activities as construed by the respondents.

##### **5.4.4.1 Contextual Factors Identified by Respondents**

Respondents identified various influence factors that fit within six of the seven contextual categories identified by Porter and McLaughlin (2006).

###### ***5.4.4.1.1 People/Composition***

The first set of contextual factors relates to people/composition and includes both demographic factors and individual related characteristics. The demographic factors influencing leadership engagement include age and employment status (Appendix T). It is interesting to note that while several respondents in the late stages of their career ( $n = 3/28$ ) indicated that their age was a factor in their decision to not engage in leadership activities, some respondents at the same career stage ( $n = 10/28$ ) do engage.

The more significant demographic factor is employment status. It was generally held ( $n = 20/28$ ) that those respondents who were employed on full-time contracts or probationary tenure status were less likely to engage in leadership as they are

focused on research and teaching activities that were critical to achieving tenure. This is particularly true for untenured members who are in the early career stage, as there were two examples of untenured respondents in the mid-to-late stage of their overall careers that engaged in multiple leadership activities. A number of respondents (n = 4/28) commented that engaging in leadership activities may pose risks for untenured members, as an activity may have a negative impact on someone serving on the member's tenure review committee.

*"I want to keep a low-profile if and until when I get tenure. I feel that that's the best thing because leadership involves taking a certain amount of risk. And at the moment I have to be risk averse"* (Untenured member, Department 4).

There are several characteristics that relate to members' individual characteristics. These factors include skill match, workload, workplace presence, incentives and change efficacy (Appendix T). It is important to recognize that these factors do not apply to all members and some members in the same circumstance may view the same factor as a positive or negative factor in their decision to engage in leadership activity. Given the relative autonomy of members it is not surprising that individual factors are important in their decisions to engage in leadership activity.

The majority of respondents (n = 20/28) indicated that their expertise and skill level within a particular activity was a prerequisite for assuming a leadership role.

*"So that's why I you know propose the idea and follow through. And also part of it you know is just trying to maximize my expertise in my contribution. If I feel like that's an area I feel comfortable, I have connections. I can contribute in my own unique way."* (Tenured member, Department 4)

A few respondents (n = 2/28) indicated that they may be willing to take on a leadership activity as a means to develop or improve a skill in a particular area.

Workload was cited by almost one-half of the sample (n = 13/28) as a factor that impacted on their decision to engage in leadership. While this may be a factor in holding back some respondents, others appear willing to take on additional work, as some of the respondents (n = 2/5) who engaged in four or more activities suggested that while they need to cut back on these activities they probably would not do so.

A number of other individual characteristics were cited and while the number of respondents identifying these factors were lower than for the other factors identified in this category, these factors can be quite important on an individual basis. The physical presence, or lack thereof, of members in the workplace was cited as a factor by a number of respondents (n = 6/28), who suggested that members who are infrequently on campus are less likely to engage in leadership. The comments about incentives to engage in leadership (n = 6/28) centred on the lack of incentives and the suggestion that this served to discourage engagement. The last individual characteristic involves change efficacy, particularly the impact of negative self-efficacy. A number of respondents (n = 5/28) cited that either their leadership activity would not result in real change or previous unsuccessful change attempts as rationales for their lack of interest in engagement.

#### **5.4.4.1.2 Processes**

The next set of contextual factors relate to processes, which may include governance, task factors, policies, etc. (Porter and McLaughlin, 2006). The factors identified by respondents as influencing leadership engagement all involved governance and included three factors; faculty autonomy, role of the chair and committee requirements (Appendix U).

One half of the respondents (n = 14/28) interviewed discussed how their autonomy provides them with the choice as whether or not to participate in departmental leadership activities. While members may be asked by chairs to take on leadership roles, members can either accept or reject the request. While untenured members

technically have the same level of autonomy, these members tend to operate less independently as they do not have the same level of job security as tenured members.

*“Well I think simple that if you are not tenured, your situation is not as comfortable as being tenured, in other words you still got to get promoted to being a tenured prof”* (Tenured member, Department 1).

Related to member autonomy, a few respondents (n = 3/28) indicated some members do minimal service work without any apparent consequence.

*“When I would see right, that question if you were to split the faculty in terms of looking at the senior faculty, I think ...I don’t gather that service was strictly emphasized in terms of institutions, based on what I observe as their attitude”* (Untenured member, Department 3).

While teaching as a work activity was mentioned by a number of participants (n = 7/28), these comments focused on teaching requirements and how in some cases it contributes to faculty workloads. By contrast the discussion about research requirements was much more detailed. A number of comments (n = 15/28) were made about the importance and priority given to research activities. Some faculty (n = 4/28) commented that participation in leadership activities would take away time from their research activities and as such they were not prepared to make this sacrifice.

*“Why haven’t I taken on a leadership role? I just got very involved with doing research, doing a lot of research studies”* (Tenured faculty, Department 1).

As well, the need to research and publish was an important consideration in the decision to undertake leadership, particularly for probationary and contract staff.

The next governance factor relates to the role of the chair. While the chair/director is generally recognized as the formal leader, a couple of respondents (n = 2/28), both tenured, noted indicated that the chair is not their boss.

*“I think it’s much more normal in academic settings to say that you know the head of the department is first among equals, maybe, but not the boss”* (Tenured member, Department 5).

It is generally recognized that the chair has the legitimate authority to run the administrative aspects of the department such as scheduling, budgeting, liaison with senior administration, etc. In addition, though two respondents expressed the chairs are limited in the control they have over department faculty, several members (n = 8/28) indicated that for initiatives to proceed the support of the chair is required. This suggests that while the chair may not be the “boss” in the traditional sense, they still do carry some authority over members for service related activities.

The third governance factor involves the use of committees at both the department and school level. As the time spent on committee work counts toward a members’ service requirement, this time may reduce a members’ availability to engage in other service activities. As previously noted this committee work may or may not involve leadership roles and some respondents (n = 4/28) indicated that this work was primarily administrative in nature. It was suggested by some respondents (n = 4/28) that the need for members to populate committees at both the department and school level may have a more significant impact on smaller departments as most of the time allocated to service work may be absorbed by committee responsibilities.

#### **5.4.4.1.3 Culture/climate**

The third set of contextual factors relates to cultural/climate factors which include an organizations’ established culture and the accompanying behavioural norms and values (Porter and McLaughlin, 2006). Two aspects of culture were identified by respondents as having an influence on their participation in leadership activities; the

department's prevailing culture and the leadership style of the departmental chair (Appendix V).

Respondents were asked to describe the culture of their department and how they believed culture impacted on member engagement in leadership activities. The most common description of departmental culture was collegial (n = 21/28). This culture was described as open, friendly and supportive and some respondents specifically noted that this type of culture was conducive to faculty taking on leadership roles. This can be compared to department cultures that were described as negative. Some respondents within one department (n = 4/28) noted these cultures were not conducive to engendering leadership engagement, which was reflected in the low levels of leadership examples provided by members of that department.

*“Our particular department, the atmosphere I guess or the morale or alignment amongst interest in faculty members has evolved just lately, like in the last couple years to be not very conducive to people wanting to take a leadership role”*  
(Tenured member, Department 7).

Some respondents (n = 5/28) indicated that their department's culture was undergoing transition. These transitions involved moving from a negative to a more positive culture that had resulted from changes in the chair position. A couple of respondents in one department indicated that as a result of the cultural change they are considering re-engaging in leadership activity.

The presence of countercultures was noted in some departments. The countercultures cited consisted of faculty members that had little interest in service activities and engaging in departmental leadership activities. At least one respondent believed that these countercultures could have a negative impact on the willingness of other members to engage in leadership activities though no specific examples were provided.



It was clear from respondents' comments that the chairs' leadership style is an important influence on the department's culture and can impact on a members' decision to engage in leadership.

Interviewer: *"So how would you describe the culture of your department?"*

*"I think it depends on the chair"* (Tenured member, Department 1).

Some respondents (n = 8/28) discussed how their chair's supportive style was a positive factor in the decision to engage in departmental leadership activities. On the other hand the respondents who spoke about chairs with controlling styles (n = 6/28) believed this approach served to discourage faculty departmental leadership. The impact of the chair's style on faculty leadership engagement is clearly evident in one department that has recently replaced a controlling chair with a supportive one.

*"Our last Chair was not conducive to do that, \_\_\_ was very controlling and never wrong, and never looked for input, except when \_\_\_ asked for it, which was seldom, at least in my experience. So I think the new Chair is going to have a challenge getting people energized"* (Tenured member, Department 2).

While leadership engagement in that department was minimal, several respondents in the department (n = 3/6) indicated that as a result of the change they are either actively participating or considering doing so in the future.

#### **5.4.4.1.4 Goals/Purposes**

Goals/purposes are the fourth category of contextual factors that can influence leadership and can involve the group or individual level of analysis (Porter and McLaughlin, 2006). Respondents' comments focused primarily on purposes as it related to them as individuals and includes factors related to members' interest, social value orientation and sense of obligation (Appendix W).

Given the relative autonomy of members it is not surprising that personal interest in the leadership activity was identified as an influence by a number of respondents (n = 10/28). For some the motivation to engage in leadership activities goes beyond interests into the realm of passion as several respondents (n = 12/28) noted the role passion plays as a driver in their engagement in leadership activities.

*"Yeah, yeah. I mean would I have stepped up if I hadn't had the requirement? Yeah maybe, I mean I'm not here for the money, I'm not here for anything else than I love the kids" (Untenured member, Department 1).*

Many respondents (n = 15/28) indicated that their willingness in undertaking leadership roles relates to a strong interest in solving departmental problems, improving departmental performance and creating opportunities for students. Each of these rationales relate to a pro-social value orientation.

A sense of obligation was also a factor that motivated members to engage in leadership. Several respondents (n = 10/28) expressed that engaging in leadership was part of the psychological contract of being a faculty member and fulfilling this responsibility was important to them.

*"Sometimes you just can't help because you are compelled, you're obligated to participate, you can't always excuse*

*yourself. You have to pay your dues; you have to pull your weight"* (Tenured member, Department 1).

A few respondents (n = 5/28) specifically mentioned their sense of responsibility related to dealing with matters they felt were not being addressed within the department.

#### **5.4.4.1.5 State/Condition**

The next set of factors involves the state/condition of the organization and may include stability, resources and organization health (Porter and McLaughlin, 2006). The availability of resources to support initiatives and activities was cited by a number of respondents (n = 10/28) as an influence on their decision to engage in departmental leadership activities (Appendix X).

*"I think it changes year by year, and it depends on the support that you have. You know I don't think we'll do another field trip just because I don't think we have the financial support to conduct another field trip"* (Tenured member, Department 1).

Several examples were provided in which resources were made available to support an initiative and the initiative was dropped when resources were no longer available.

#### **5.4.4.1.6 Structural Factors**

Structural factors influencing leadership may include the degree of centralization/formalization, size, hierarchical levels and spatial distance (Porter and McLaughlin, 2006). The two structural factors influencing leadership engagement cited by respondents related to size and the degree of centralization (Appendix Y).

As noted in the governance section, the size of the department can impact on a members' decision to engage in leadership, particularly impacting on the type of activity that is undertaken. Given the need for tenured member representation on department and school activities some respondents (n = 4/28) in small departments

noted that they are often overloaded with these responsibilities, particularly if the department has few tenured members. As a result it was suggested that these members are much less likely to self-initiate other types of leadership.

*“Again were a small department and so, you know I mean I’m probably thinking too much of things like committee work because I’m on a disproportionate number of committees. Partly because I have tenure and there are only so many of us in the department have tenure and so I’m doing a lot of teaching evaluations, and committees and stuff like that., so not really leadership per se”* (Tenured member, Department 5).

While this sentiment was expressed by respondents who work in small departments, in practice there appears to be some discrepancy as three of the five members who engaged in four or more leadership activities were from smaller departments.

Centralization of decision-making was also identified as a negative factor influencing member leadership engagement in the two departments in which the chair was described as controlling, which was discussed in detail in the section on cultural factors.

#### **5.4.4.1.7 Time Factors**

The last set of contextual factors relates to time and may include succession history, duration of effects and organisational life cycle (Porter and McLaughlin, 2006). Although none of these factors were explicitly mentioned by those interviewed, it is possible that duration of effects may be influencing the non-participation of some tenured members in Department 1. Two of the respondents with low levels of participation had mentioned previous problems with the departmental chair, although they noted culture has since changed to a positive one. A third respondent who also has a low level of leadership engagement was also a faculty member during this previous period. While each cited a number of individually related factors that influenced their decision to not participate in department leadership, it is possible that the previous negative culture is having a lingering effect on their decisions. It is

also possible that succession history could be a factor in influencing member leadership engagement, as while some respondents (n = 3/28) noted that they were considering reengaging in the future with the recent leader changes in the department and school, they had not yet taken on new leadership responsibilities.

#### **5.4.4.2 Factor influences on Leadership Engagement**

While the findings related to some of the factors lend themselves more readily to generalization across the sample, other factors may be relevant to some members, but irrelevant to others. For example, the comments related to employment status, skill match, member interest, passion and personality characteristics had high levels of consistency between respondents. Other factors such as age, workload, incentives and workplace presence appeared important to some members and unimportant to others.

In addition to summarizing the findings, it would be helpful to indicate how each factor serves as either a supportive or inhibitive influence on leadership engagement. Based on the number of comments and the consistency within each factor it is possible to surmise the strength of the connection to the actual engagement in leadership (Table 31). A connection is designated as stronger where there is a consistency between the comments made by respondents and the level of engagement or non-engagement in leadership activities. For example all the respondents citing a sense of obligation spoke of it as a positive influence and the vast majority of respondents citing the factor engage in multiple leadership activities. The designation of a weaker connection is where there are differences between the comments made by respondents and/or the consistency with which the factor served to influence all respondents. For example for both department size and workload, while some respondents identified these as factors that could inhibit leadership engagement, there are numerous examples of respondents within small departments and/or with significant workloads actively engaged in leadership activities.

Categories	Factors	Codes	Supportive	Inhibitive
<b>People/composition</b>	Demographic Factors	Age		Older Faculty (Weaker)
		Employment Status	Tenured (Weaker)	Probationary/Contract (Stronger)
	Individual Characteristics	Skill Match	(Stronger)	
		Workload		(Weaker)
		Workplace Presence (absence)		(Weaker)
		Incentives	(Weaker)	
		Change Efficacy (negative)		(Stronger)
<b>Processes</b>	Faculty Autonomy	Inconclusive		
	Role of Chair	Inconclusive		
	Committee Work	Inconclusive		
<b>Culture</b>	Culture	Positive	(Weaker)	
	Chair Leadership Style	Supportive	(Weaker)	
		Controlling		(Stronger)
<b>Goals/Purposes</b>		Member Interest	(Stronger)	
		Passion	(Stronger)	
		Social Value Orientation	(Stronger)	
		Sense of Obligation	(Stronger)	
<b>State/condition</b>	Resource Availability		(Weaker)	
<b>Structure</b>	Size (small)			(Weak)
<b>Time</b>		Inconclusive		

**Table 31 Factor Influence on Leadership Engagement**

#### **5.4.4.3 Factor Relationships to High and Low Levels of Participation**

In order to explain how these factors influence members' decision to engage in departmental leadership activities a case comparison approach was used which segmented the sample into groups with high levels of engagement (four or more activities) and low levels of engagement (one or no activities) and examined commonalities within each group that could help explain the differences in levels of engagement. The approach provided some valuable insights.

#### 5.4.4.3.1 High Levels of Leadership Engagement

Six respondents indicated engagement in four or more activities in the past three years. While this group only consisted of slightly more than 20% of the sample, they accounted for over 60% of the leadership activities that were identified. They also accounted for 16 of the 24 activities (73%) that were described as self-initiated and with one exception they were all involved in both academic and student activities. Thus the question arises are there commonalities that can help to explain the high level of engagement in these cases?

The data analysis reveals that there are a number of similarities that can assist in explaining this level of involvement. These similarities involve a number of factors including department culture, career stage and personality characteristics (Table 32). There are also some common factors within the group that challenge other respondents' claim about the influence of department size and workload.

	High Engagement (n = 6)	Low Engagement (n = 15)
<b>Percentage of Sample</b>	6/28 (21.4%)	15/28 (53%)
<b>Percentage of Leadership Activities</b>	37/61 (60.6)	10/61 (16%)
<b>Method of Initiation</b>	16/24 self-initiated (67%)	8/15 asked (53%)
<b>Employment Status</b>	4 tenured, 2 untenured	8 tenured, 7 untenured
<b>Career Stage</b>	3 mid, 3 late	5 early, 3 mid, 7 late
<b>Department Culture</b>	6/6 positive	9 positive/6 negative
<b>Social Value Orientation</b>	6/6	5/15
<b>Sense of Obligation</b>	5/6	5/15
<b>Student Activities</b>	5/6	2/15
<b>Passion</b>	5/6	2/15

**Table 32 Factors Influencing High and Low Levels of Participation**

Though the respondents were from five different departments, they all described that the size of their department as an influence on leadership engagement. With three of the six were from small departments it raises the question as to the significance of size as an inhibiting factor.

Four of the six were associate professors and in the mid to late stage of the careers. The other two respondents were assistant professors in the late stages of their probationary status; however both had substantive non-academic careers prior to joining the academy, which placed them in the mid to late stages of their overall career. One of these respondents had also been associated with the university for over twenty years.

This group also shared a number of factors related to goals/purposes. All members of this group provided comments that demonstrated a pro-social value orientation. Most of this group ( $n = 5/6$ ) also provided comments about their sense of obligation to engage in leadership activities. Most ( $n = 5/6$ ) had engaged in student activities and those who did spoke frequently about the importance they place on enhancing the experience of students. While workload was cited as a factor that could serve to limit leadership engagement, this did not appear to be a factor limiting this group. While a number ( $n = 4/6$ ) spoke of the workload pressures as a result of their leadership engagement, given the number of activities they were involved in, workload did not seem to limit their engagement. This may be partly explained by the sense of passion for their work in this area exhibited by most of the members of this group ( $n = 5/6$ ).

#### ***5.4.4.3.2 Low Levels of Leadership Engagement***

There were fifteen cases in which respondents engaged in one or no leadership activities. This set ( $n = 15/28$ ) comprised 53% of the sample. The group performed 10 of the 61 leadership activities (16%) identified in the sample. Although there is some self-initiated activity ( $n = 5/15$ ) in this group, it is more common for members to engage in leadership activities upon being asked.



Although some of the members of this group (n = 2 to 5 depending on factor) share some characteristics of the group with higher levels of participation (Table 32), there appears to be some common factors that are influencing this lower level of engagement. However unlike the previous set of cases, these factors are not consistent across the set. These cases involved six of the seven departments in the sample and the only department not represented in this set had only a single member interviewed.

Five members of this set were from the department that was described as a negative culture by a number of its members. This group only identified six leadership activities in total, three of which were performed by a single member. This supports the contention that a negative culture can have a detrimental impact on the willingness to engage in leadership activities.

Although the rest of the set were from departments that were described as having positive cultures, it is clear that culture alone cannot explain level of involvement. A number of respondents suggested that it could be expected that untenured full-time faculty members would have low levels of leadership engagement. This can be supported by the fact that seven respondents of this set are untenured members.

The last four members of this group all come from departments they described as having positive cultures. As it happens all four of the members provided rationales for their lack of engagement which fall under individual characteristics. One member attributed her non-engagement as being the result of not being supported in a previous leadership attempt. The other three members preferred to spend their time on research activities and chose non-leadership roles to fulfil their service requirements. It is interesting to note that these three members are from a department that during the time they were employed had previously been a negative culture, raising the possibility that the previous culture had a lasting effect on their

lack of current engagement. All other members of the department included in the sample joined the department after the culture became more positive and supportive and demonstrated higher levels of leadership engagement. However more research is required to determine the long-term effects of negative cultures on leadership engagement.

#### **5.4.4.4 Relationship between Influence Factors and Forms of Distribution**

While there appears to be little connection between the factors influencing members to engage in departmental leadership and the forms of distributed leadership identified in the model, there appears to be some factors connected to distributed leadership that is not concertive and involves formal delegation (Quadrant 2). These factors include the skill match between the member and leadership task, deference to the authority of the chair and sense of obligation toward member leadership (Appendix Z). Among those engaging in the Quadrant 2 form of distributed leadership 5 of the 7 members are influenced by each of these three factors. While members engaging in other forms of distributed leadership may also be influenced by these factors, the majority of members indicating these influences (skill match,  $N = 5/9$ ; chair authority,  $n = 5/7$ ; sense of obligation,  $n = 5/9$ ) fall within Quadrant 2.

### **5.5 Discussion and Contribution**

This section will examine the relationship between the project findings and previous research related to each of the four research questions. The section will also highlight the contribution the findings make to the relevant theoretical frameworks and concepts associated with the project.

#### **5.5.1 Members' perspectives on the nature of leadership**

These findings suggest that members construe leadership as encompassing a broad range of service activities. These activities tend to be discrete functions that have a limited scope of influence on departmental goals, change processes and other departmental members. The activities also tend to be performed independently of

other members. However, there is some dissent among respondents as to what actually constitutes leadership at the member level.

The project provides additional support for a wider range of departmental leadership activities when faculty members self-reflect on their leadership practice compared to the leadership attributed to them by formal leaders (Juntrasook, 2014). In addition to previous research that identifies such member leadership activities as curriculum development (Kezar and Lester, 2009; Stark et al., 2002), committee work, mentoring colleagues and students, conference planning and securing project resources (Juntrasook, 2014), these findings provides additional leadership activities including student organizations, program review and development, research planning, case competitions, departmental representation and external liaison. In the inclusion of all of these types of activities as leadership, members, whether consciously or not, appear to adopt a unidimensional perspective on leadership and management in which little distinction is made between the two constructs (Simonet and Tett, 2013).

Although there is some consistency to how respondents describe their department leadership as members, there are also different perceptions about what constitutes leadership. While some respondents demonstrated no hesitancy in detailing their department leadership, other respondents harboured doubt as to whether what other respondents construe as membership was in reality participation rather than leadership. Other respondents, echoing the view that departmental leadership in academic settings with its focus on collegial culture and member autonomy differs from leadership in other contexts (Middlehurst et al., 2009; Knight and Trowler, 2000; Kligyte and Barrie, 2014), questioned whether any member activity can truly be considered leadership. This range of member perception on the nature of leadership reflects the view of leadership as a contested construct (Bedeian and Hunt, 2006; Bryman, 2007), which appears to be the case even for members of the same organization occupying the same position.

In relation to the first research question concerning how faculty members construe their departmental leadership, the main contribution of the project suggests that faculty adopt a unidimensional perspective toward leadership, in which management and leadership are conflated into a singular construct.

### **5.5.2 Nature of Leadership Described by Respondents**

Using a bidimensional lens (Table 30) to operationalize leadership and management, a significant number of the actions identified by respondents may be more appropriately classified as management. While other actions have been classified as leadership, the leadership actions are characterized by changes to structures, processes and activities (Bolden, 2014) and are limited in reference to organisational wide strategic change and influence processes over individual and groups. The form of leadership described by respondents is consistent with some aspects of the functional leadership perspective (Mumford, 1986; Morgeson, 2005; DeChurch and Marks, 2006; Drath et al., 2008; Kort, 2008; Raelin, 2011). However the scope of leadership described by respondents is narrower than other forms of functional leadership as it does not include such features as shared goal setting, building commitment and openness to strategic change (Raelin, 2011).

When the bidimensional lens is used to analyse the leadership identified by respondents, it is clear that there is significant conflation between leadership and management actions. This should come as little surprise as conflation of the two constructs is common in many leadership studies (Bedeian and Hunt, 2006; Bryman, 2007). The conflation of the two constructs is also consistent with the contested nature of leadership, not only between researchers (Terry, 1995; Simonet and Tett, 2013), but in this case between practitioners.

It may also be questioned as to whether some of the actions identified by respondents actually constitute either leadership or management. For example, is the mentoring of faculty and students a management or leadership action? While respondents provided these actions as examples of their leadership, others may

dispute whether this truly constitutes a leadership or management function. This question raises the importance of operationalizing the leadership construct in research projects (Bedeian and Hunt, 2006) as it often lies in the eye of the beholder unless clear definitions and frameworks are utilized.

It would seem that at least some of the leadership examples provided by respondents are based on the notion of “taking the lead” for an activity, which translates into taking responsibility for a function without necessarily distinguishing whether the action constitutes leadership or management. This view is consistent with the unidimensional view that suggests that from a practitioners’ point of view the distinctions between leadership and management may not be all that useful (Mintzberg, 2004).

Although the nature of membership departmental leadership does not appear to be addressed in the literature, the leadership as described by respondents tends to be focused on discrete projects and initiatives at an operational level that has minimal impact on the work of other members within the department. In general the leadership described consist of actions that involve specific aspects of departmental structures, processes and activities and rarely involve actions that impact the whole of the department on a strategic level. This contrasts with the more strategic initiatives identified by chairs in P1, which impacted the work of most members of the department and included change projects such as departmental curriculum change and program restructuring. With few exceptions the leadership action reported by respondents tends to be performed on an individual basis and rarely involves other members.

While the findings suggesting member leadership primarily consists of discrete actions may be challenged on the basis of a number of the interview questions (Appendix 0) which specifically refer to leadership roles and activities, there are a number of explanations that demonstrate respondents’ limited description is characteristic of member leadership within this setting. The initial interview question

inquiring about the forms of leadership undertaken by members provided respondents with an open ended opportunity to identify a broad range of leadership action they had experienced being used by themselves and others. While most respondents focused on discrete actions with limited strategic scope and influence over other members, other respondents used the opportunity to challenge whether members, given the absence of strategic initiatives and influence over others, constituted any leadership at all, which demonstrates that respondents were free to interpret “leadership” according to their own viewpoint. Some respondents suggested the absence of leadership action involving influence over members was a deliberate strategy given the minimal power members had with each other. Given the difficulties that even chairs have in influencing faculty members, which has been described as ‘herding cats’ (Hammond, 2004; Bryman and Lilley, 2009), it is not surprising that members concentrate on activities that do not require influence over other members. Though later questions in the interview were framed in term of leadership activities and roles, respondents at this stage still had the opportunity to discuss broader leadership action. While one respondent did speak about working with other members to influence cultural change in the department, no other respondent identified leadership involving strategic initiatives and/or the need to influence other members. The absence of broader forms of leadership may also be explained by other leadership opportunities members have outside the department at the institutional level and in their research and/or professional communities (Juntrasook, 2014; Bolden et al., 2012). In many cases, these external activities may be easier to accomplish and more relevant to members’ academic careers. As previously noted, given the importance of research within the academic community, faculty members’ primary association may be with their research community rather their academic department (Bolden et al., 2012), which may serve to encourage leadership undertakings related to their academic work.

The limited nature of collaboration in departmental leadership, which was specifically noted by some respondents, may also be unexpected given the high level of autonomy members’ possess (Collinson and Collinson, 2009). However as noted by Knight (2000), Middlehurst (2009) and Kligyte (2014) the academic setting, in which members have significant autonomy compared to other organisational settings may

contribute to the independent nature of leadership activity. For example, unlike other occupations in which members have professional autonomy, academics may be less likely to experience limits on their autonomy than other professionals, such as lawyers (Nelson, 1985), accountants (Lengermann, 1971) and nurses (Kramer et al., 2006) given the lower level of bureaucratic control (Engel, 1970) and the lower impact of market forces, client and organisational obligations (Swailles, 2003) within academic departments. This may be attributed to the individualized nature of most of the work performed by faculty members, who tend to spend a majority of their working time on teaching and research responsibilities (Milem et al., 2000). While faculty members may engage in research with other academics, often this does not involve colleagues within their own department (Bolden et al., 2012). Similarly teaching is also done independently of other colleagues (Ramsden and Moses, 1992). As these activities receive a greater proportion of a members' time than service related service activities, it may not be too surprising that when members choose to engage in leadership of these activities, they do so independently.

While there was little evidence of department-wide strategic change initiatives led by members in this project, a number of strategic change projects, such as department wide curriculum renewal and the formation of a new school, had been identified in P1, so this form of activity cannot be dismissed as a form of department leadership but rather may be more likely to be led by the Department Chair. These change projects identified in P1 also tend to impact the work of most members of the department and require influence based leadership to accomplish.

While some of the actions identified by respondents can be classified as management, given the absence of organisational level strategic change and influence over groups and individuals it is possible to challenge the legitimacy of these activities as leadership. The absence of these elements clashes with the mainstream view of leadership as a process in which leaders influence followers in the achievement of shared goals (Burke, 2010), however the leadership identified does fit with certain aspects of a number of emerging leadership perspectives, including shared/distributed leadership, functional leadership, relational leadership

and complexity leadership (Drath et al., 2008; Bolden et al., 2010). These perspectives share the view that leadership needs to be viewed as a distributed activity that includes other members of the organisational unit (Parry and Bryman, 2006; Crevani et al., 2010). These project findings are consistent with the view that the traditional leadership perspective is particularly limited in explaining leadership in contexts, such as academic departments, where designated leaders share authority with members (Drath et al., 2008). The focus in this project on members' leadership that involves discrete and independent action is consistent with a number of elements of the functional perspective, with its primary focus on goal identification and accomplishment (Hackman, 2010). While the functional perspective has been used to explain the leadership actions of formal leaders, it can also include deliberate goal orientated actions by any organization member and can include actions that do not feature interpersonal relations (Kort, 2008). This perspective, which has been adopted by researchers working in the area of team leadership, also suggests that any behaviour that results in goal attainment can be construed as leadership (Mumford, 1986; Morgeson, 2005; DeChurch and Marks, 2006; Klein et al., 2006). While most accounts employing functional leadership also incorporate other features, such as shared goal setting, building commitment and openness to strategic change, the perspective also recognizes that leadership may still take place without these elements (Raelin, 2011). Gronn (2008) in examining the future of distributed leadership research raises the question as to whether what has been identified as distributed leadership is truly leadership or rather something else. These findings suggest that while the form of leadership distributed to members may be different than influenced based perspectives of leadership, it can be considered to be a form of leadership aligned with the functional perspective.

In relation to the second research question, the project contributes to literature by suggesting when examined through a bidimensional lens, the leadership identified by faculty members construe leadership and management activity and a significant portion of what is being claimed as leadership can be more appropriately classified as management. In addition, the nature of leadership activities performed by respondents has minimal emphasis on systemic organisational change and influence based actions over other members.



### **5.5.3 Form of Distributed Leadership**

In considering the findings on the form of leadership being distributed to members, it is important to recognize that at that department level, leadership is shared between leaders and members. However when the level of analysis shifts to the member level, leadership can be distributed to members in different forms. The findings indicate leadership distributed to members can take the forms characterized in all four quadrants of the revised model (Figure 4). Though the form of distribution can be top-down or bottom-up and concertive or individualistic, the findings suggest that within this setting member leadership is more likely to be bottom-up and individualistic.

The mix of top down (formal delegation) and bottom up (informal delegation) forms of leadership reinforces previous suggestions that distributed leadership is blended (Collinson and Collinson, 2009) or configured (Gronn, 2009). While the findings do confirm the importance of the formal leader in distributive settings (Collinson and Collinson, 2009; Gronn, 2008; Bolden et al., 2008), the frequency of bottom-up leadership is consistent with Collinson and Collinson's (2009) suggestion that bottom-up emergent leadership may be more common in the Higher Education sector as a result of member autonomy.

While most previous research on distributive leadership is based on Gronn's (2002) concept of concertive action or Spillane's (2006) of co-performance in which leadership is shared between leaders and members or between members, these findings suggest leadership distributed to members also may take an individualistic form. While Currie and Lockett (2011) do acknowledge two forms of distributive leadership that are not concertive, only one of these forms features bottom up member leadership. The first form of not concertive leadership they identified, consistent with Team and SuperLeadership perspectives, involves members in leadership processes but requires formal leadership to influence and organize member leadership (Currie and Lockett, 2011). This form of not concertive member leadership is consistent with the forms of leadership identified in these findings as

involving formal delegation mechanisms (Quadrant 2). The other form of not concertive leadership Currie and Lockett (2011) identify is associated with individual agency, which they claim is outside the realm of distributed leadership as it is primarily linked to formal leaders. These findings however suggest that member leadership that is not concertive and bottom-up (Quadrant 4) can be a form of distributed leadership. This form of individualistic member leadership is consistent with an anarchic view of academic departments, in which faculty may choose to follow their own path rather than conform to the leader's vision and goals (Birnbaum, 1988). This individual form of leadership distribution may be attributed to the significant level of member autonomy, particularly for those in tenured positions and have high degrees of freedom on the activities they choose to engage in. It also has some of the qualities of Leithwood's et al.'s (2007) anarchic misalignment, in which the distributed leadership performed by members may not be necessarily aligned with other organization initiatives. Though anarchic misalignment suggests the rejection of the legitimacy of formal leadership direction and has negative consequences for the organization, these findings suggest that member leadership may be anarchic but not necessarily misaligned and while the bottom-up leadership is not based on planning or tacit agreement it can still makes a positive contribution to the organization.

While Currie and Lockett (2011) attempted to develop a working model that delineates different configurations of distributed leadership that includes both individual and concertive forms of distribution, the issues related to their use of concertive action and conjoint agency as independent variables renders the model unworkable. The model presented in these findings on the other hand, substituting delegation mechanisms for conjoint agency provides a model that can be operationalized. The project also provides a theoretical contribution in the demonstration that leadership distributed to members may not be concertive in nature.

#### **5.5.4 Factors Influencing Member Leadership Engagement**

The range of factors identified as influences on member leadership engagement reinforce the importance of context in understanding leadership in this setting (Bryman, 2007). The importance of context as an influence on leadership processes, particularly in higher education settings has been cited by a number of researchers (Kezar and Lester, 2009; Bryman and Lilley, 2009; Del Favero, 2003). While citing the general importance of context, previous research has tended to not detail the specific factors that influence leadership processes.

These project findings suggest that while there are many similarities in the factors influencing participation in service activities and the leadership of these activities, there are also some differences as well as some factors that have not been previously identified. The contextual factors identified in these findings also reinforce and extend the conceptual framework developed by Porter and McLaughlin (2006). The findings include factors related to six of the seven contextual categories within the framework (Table 28). While there was no specific example related to time, some respondents did indicate that succession history could influence their engagement in the future.

The factors identified as potential influences on member leadership that have been previously identified as influencing service participation include career stage, age, change efficacy, workload, culture, member interest, sense of obligation and social value orientation. However, there are some differences in the impact several of these factors have on member leadership, than has been previously reported in service participation literature.

In relation to career stage, while the findings concerning lower levels of leadership engagement of untenured faculty are consistent with Porter's (2007) findings related to service participation on committees, the same does not apply to reported increases in participation for members in mid-careers (Blackburn and Lawrence, 1995; Neumann and Terosky, 2007; Turnbull and Edwards, 2005). While some

respondents in the mid-career stage did exhibit high levels of leadership participation, this was not the case for all respondents at this career stage. The same is the case with age, where it has been previously reported that service participation decreases as members approach retirement (Blackburn and Lawrence, 1995). While there are examples in these findings where this is the case, there are also several examples of members who are nearing retirement and demonstrate high levels of leadership engagement. The lack of uniformity in the effects of career stage and age is consistent with Lawrence et al.'s (2010) findings that members' behaviour related cannot be linked directly to these factors, but rather varies according to the individual member.

While change efficacy, in general, has been previously identified as a factor influencing service participation (Blackburn and Lawrence, 1995), these findings only found evidence related to the impact of negative change efficacy on leadership participation. Respondents identified two ways in which negative change efficacy served to inhibit their interest in engaging in leadership. The first was based on their experience in being unsuccessful in previous leadership attempts and the second was based on their belief that their leadership engagement would not lead to real change (Wong and Tierney, 2001).

Lawrence et al. (2010) suggest that high workloads can be a factor that limits a member's willingness to participate in service activities. While some respondents cited workload as a deterrent to leadership participation, it is difficult to reach a definitive conclusion on the impact of workload as many of the faculty most engaged in leadership have significant workloads.

While previous research findings acknowledge the importance of culture on both service participation (Lawrence et al., 2010) and member leadership (Kezar and Lester, 2009), there are some differences between those findings and this project. Although Lawrence et al. (2010) only address culture in general terms, Kezar and Lester (2009) specifically note the impact of supportive (positive) and dysfunctional

(negative) cultures on grassroots faculty leadership. Though this project's findings on the inhibitive impact of negative cultures are consistent with Kezar and Lester's (2009) findings related to negative cultures, these findings suggest that while the impact of positive cultures may engender leadership engagement, this is not the case for every person in the organization. A similar distinction relates to the impact of the support of the chair. While Kezar and Lester (2009) cite chair support as a positive influence, these findings provide examples of both high and low levels of member leadership in departments with supportive chairs. However this project's findings also suggest influence of chairs with controlling styles tend to have a more consistent negative influence.

The influence of social value orientation in these findings demonstrates a similar pattern to culture and climate. While Bogaert et al. (2012) suggests the positive impact of social value orientation on a faculty member's affective commitment, these findings indicate that while most of the respondents with high levels of leadership engagement exhibit high pro-social orientation, other respondents with pro-social orientations had lower levels of leadership engagement. In these cases there were other factor influences that appeared to be more powerful in influencing leadership, which will be discussed in more detail in the next part of this section.

There are also some factors that have been identified as influences on service participation that did not appear to influence the factors identified in this project. While race and gender have been cited as influences on service participation (Porter, 2007; Misra et al., 2011; Link et al., 2008), these factors did not appear to be influential in this project. The absence of gender differences however is not without precedent as Toutkoushian and Bellas' (1999) also found no differences in their work examining service participation in departmental committee work. The absence of findings related to race may be the result of a relatively small project sample.

A number of factors that have been cited as influences on leadership participation in this project that have not been previously cited as influences on service participation including the role of member interest and passion, governance, skill match, presence in the workplace, resource availability and department size.

The findings also demonstrate that some factors serve to support members' decisions to engage in departmental leadership, while others factors serve to inhibit member leadership. For some factors there appears to be consistency between respondents on the impact of the factor. For example, skill match, member interest, passion, social value orientation and a sense of obligation are consistently viewed by respondents as positive influences, while untenured status, negative change efficacy, negative department culture and chairs with controlling leadership styles are views as barriers to member engagement in leadership. Other factors, for example, age, workload and incentives, appear to have a less consistent impact, in which the factor may be an influence on some members but not others. These differences may be the result of Bolden et al.'s (2008) contention of how the interaction of organisational factors and individual agency can influence distribution patterns and various factors may not have the same impact for every individual. The data suggests that while the decision is ultimately an individual choice (Lawrence et al., 2010) there are a number of factors that may be of more importance in influencing members' decisions to engage in leadership than others.

While engagement in departmental leadership may ultimately be an individual choice, the findings do provide some insight as to the relative importance of several factors in either supporting or inhibiting leadership engagement. The importance of specific factors becomes clearer when the two sets of cases featuring high and low levels of engagement are examined (Table 32). Culture/climate appears as an influence with both respondents who demonstrate high and low levels of engagement. While all respondents in the high engagement group are from departments reporting positive departmental cultures, as there are some

respondents in the lower engagement group within these same departments, a positive culture in of itself may not be sufficient to engender higher levels of engagement. However a negative culture appears to be consistent as an influence in inhibiting member leadership. This can be seen in Department 2, described as a negative culture by a number of respondents, where there is minimal engagement in departmental leadership activity, with 4 of 6 respondents demonstrating low levels of leadership activity and no respondent performing 4 or more leadership activities. A negative culture may also have lingering effects, even when the culture changes from a negative to positive one. This can be seen in the comments from some respondents in Department 2 who noted that as the culture was changing; they were reconsidering engagement but were still uncertain. This lingering effect may also explain the minimal engagement of the three tenured respondents of Department 1 who had previously experienced a negative culture during their time with the Department.

Demographic factors, including employment status and career stage, also emerge as particularly important factors. The high level of self-initiation in the high engagement group may be partially a reflection of members' status as tenured faculty, who may experience higher levels of autonomy as a result of their secure position. While two members in this group are not tenured, they are both in the mid to late stages of their career, which may serve to empower them in taking on leadership activities. Untenured members in the low participation group, six of seven of whom are in the early stages of their career, may feel less empowered to initiate their own activities. The important role that power plays in shaping how leadership is distributed has been previously identified by Hatcher (2005). It is interesting to note that even some of the respondents who self-initiate leadership activities speak about the need to secure support from the chair, reinforcing the importance of vertical leadership even within distributive settings (Collison, 2009; Gronn, 2009).

Member goals and purposes also appear to be an influential factor in engendering higher levels of leadership engagement. The findings indicate that all members in this group have pro-social value orientations and most are influenced by their

passion and sense of obligation. While not all respondents who share these qualities are engaged in high levels of departmental leadership, it appears that those who do are likely to be influenced by these contextual factors.

The connection between members' engagement in the Quadrant 3 form of leadership (not concertive, formal delegation) and the influence factors; chair support and sense of obligation, may help to explain how these members internally conceptualize authority. Hirschhorn (1990) and Kahn and Kramn (1994) propose that the ability of formal leaders to enact authority is partially dependent on how followers, through internal psychological mechanisms, accede authority to those in leadership roles. The members in these findings demonstrating Q3 leadership tend to assign higher importance to having the support of the chair in undertaking leadership roles than other members. They also tend to cite a sense of obligation as an influence more than members whose leadership is classed in other quadrants. The combination of assignment of authority and sense of obligation is consistent with Hirschhorn's (1990) conception of the modern type of authority relations.

These findings, in relation to the fourth research question, make a number of contributions. The first contribution relates to the demonstration of importance of context as an influence on members within distributive leadership environments. The second contribution is the identification of specific contextual factors that influence member leadership engagement. The third contribution highlights the particular importance departmental culture, demographics and purpose/goals may play in influencing member leadership engagement.

## **5.6 Conclusion**

The project aimed to further our understanding of the nature of leadership distributed to faculty members, the forms of DL undertaken by members and the factors that influence faculty members' engagement in leadership activities. The findings contribute to a number of aspects of leadership research including



management/leadership dichotomies, distributed leadership, the influence of context on leadership engagement and departmental leadership in Higher Education. The contributions include a number of new contributions to distributed leadership theory and relating previous research findings to new settings (Table 33). This final section of the project discusses implications for practice, limitations and directions for future research.

	Contribution	Theoretical Perspective
1	Member perception of their own department leadership includes both leadership and management activities. The focus on how members construct their own leadership is generally lacking in DL research	Previous research on DL in Higher Education focuses on designated leaders (Middlehurst, 2008; Macfarlane, 2012), which privileges the view of one group over another.
2	Project introduces multiple perspectives on the distribution of leadership and management activities to members which can be considered unidimensional or bidimensional depending on the lens	Applies the recognition of the importance of operationalizing leadership/management typologies (Simonet and Tett, 2012) in Distributed Leadership research.
3	Departmental leadership performed by members may not conform to an influence based forms of leadership but primarily a form of functional leadership	Gronn (2008) speculates whether or not distributed leadership is truly leadership or something else. This project suggests that the nature of leadership distributed to members may be different from leadership exercised by designated leaders
4	A model that can effectively operationalize different forms of leadership distributed to organisational members	Constitutes a revision to Currie and Lockett's (2011) model of distributed leadership
5	Members may practice a individualistic form of distributed leadership that does not feature concertive action	Builds on and clarifies Currie and Lockett's (2011) forms of not concertive action
6	Confirms the importance of context as an influence on leadership undertaken by members in academic departments and cites specific factors the serve to both influence and inhibit member leadership engagement	Demonstrates the importance of contextual influences on members' decisions to engage in departmental leadership (Kezar and Lester, 2009; Del Favero, 2003; Bryman and Lilley, 2009)

**Table 33 Summary of Project Contributions**

### 5.6.1 Implications for Practice

The study findings have a number of contributions to make to practice. The findings may be of value to Business School administrators and department chairs in expanding leadership practice within academic departments. The findings demonstrate that leadership distributed to members includes both leadership and management activities. Previous leadership distribution research rarely makes this distinction. However there is a gap in perceptions between academic administrators

and faculty members as to what constitutes leadership (Juntrasook, 2014) with members adopting the unidimensional perspective (combining leadership and management) and administrators taking a bi-dimensional perspective (making distinction between leadership and management activities). This finding has a practical implication as the gap in perceptions tends to minimize the level of contribution made by members, which may encourage members to seek other outlets for their contribution.

Understanding the factors that influence members' decisions whether or not to engage in leadership can enable chairs to leverage positive factors and minimize negative factors in their efforts to increase the level of leadership distribution within the department. The findings also highlight the importance of maintaining positive department cultures and how low levels of member engagement in departmental leadership may be a sign of organisational cultural issues. For administrators the findings also highlight the importance of hiring chairs with supportive, rather than controlling leadership styles.

The findings may also be of help in the recruitment of tenured faculty. Given the important role that goals/purposes may play in the individual's decision to engage in departmental leadership, giving consideration to a candidate's previous level of engagement and/or interest in departmental leadership may result in hiring faculty who will demonstrate higher levels of engagement. Picking up from the example of one of the departments in the study, requesting faculty to engage in at least some service activity involving departmental leadership activities during their probationary period, may also lead to higher levels of engagement once these staff achieve tenure.

As there are other organisational types, particularly professional practices, that may also feature shared authority between designated leaders and members who have high autonomy, the findings may also be helpful in understanding the factors influencing member leadership engagement in these settings.

### **5.6.2 Future Research**

While this project concludes the research agenda associated with this thesis, the project does raise a number of questions that are worthwhile for future investigation. The first question relates to institutional arrangements. We do know from previous research some of the factors that influence service participation may vary depending on the type of higher education institution. A project that examines Business Schools with different structures and institutional settings could be helpful in determining if the nature of member leadership, the forms of distribution and the contextual factors influencing member engagement in the findings of this project are consistent with departments within other Business Schools. Both empirical projects in this dissertation focused specifically on Business School departments. A second question that can be examined is the application of these findings to other academic disciplines.

Academic departments are not the only organization type with collegial governance forms. Another question that can be raised relates to the application of these findings to other settings with similar governance i.e. law, medical or engineering professional practices.

It is also possible at this stage to empirically test some of the findings of this project. For example does the relationship suggested between social value orientation and high leadership engagement hold through quantitative testing. Other variables identified in this project such as change efficacy and perceptions of organisational culture could also be examined.

While this project makes a contribution by extending the examining agency in distributed leadership at the member level, rather than from the perspective of the designated leader, it would be worthwhile to use various department leadership initiatives to examine academic department from a relational leadership perspective.

This approach could examine the role other organisational structures and mechanisms play in influencing leadership distribution.

The findings also suggest that there is minimal member leadership participation in departmental strategic initiatives and little collaboration between members in undertaking departmental leadership action. The nature of member leadership engagement tends to be on discrete initiatives on an individual basis. While this finding does assist in shedding some light as to the nature of distributed leadership within this context, the rationale for the minimal strategic and collaborative activity was beyond the scope of the project and provides an opportunity for future research.

A final possibility for future research involves examining the full range of leadership activities engaged in by departmental members including those actions that are external to the departmental unit.

### **5.6.3 Limitations**

It is important to note that this study has a number of limitations. This project, given the similarities in design and methodology, shares a number of limitations cited in P1. These similarities include the inclusion of a single organization, the use of a single researcher for coding and the insider status of the researcher. However given the findings that the factors that influence service participation can vary according to institutional type (Blackburn and Lawrence, 1995; Lawrence et al. 2010) caution on generalizing these results to other business schools and academic departments is warranted.

As the primary data source of the project consists of interviews with faculty members there may be, as is the case with all projects featuring this data collection method, differences between the respondent's portrayal of their role in events and their actual behaviour. However securing accounts from multiple individuals and reviewing

findings with members who were not part of the sample may minimize the impact of this limitation.

While the inability to unpack management and leadership activities to determine specific influences on leadership as distinct from influences on management activities may be considered to be a limitation, it raises the question as to whether or not these constructs which are linked to members' perception can truly be separated and considered independently. While the answer to this question is beyond the scope of this project, additional research may shed light on this issue.

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## Appendix A Research/Interview Question Mapping

Research Question	Chair Interview	Faculty Interview	Sr. Administrator Interview
<b>Personal Background</b>	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed
	2. How long have you been in your current position?	2. How long have you been in your current position?	2. How long have you been in your current position?
<b>Personnel Involvement</b>	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the school and university?
<b>Department Background</b>	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?
<b>Question 1</b> <b>What factors influence leadership processes at a department level?</b>	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?

<b>Research Question</b>	<b>Chair Interview</b>	<b>Faculty Interview</b>	<b>Sr. Administrator Interview</b>
<b>Personal Background</b>	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed
	2. How long have you been in your current position?	2. How long have you been in your current position?	2. How long have you been in your current position?
<b>Personnel Involvement</b>	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the school and university?
<b>Department Background</b>	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?
<b>Question 1</b> <b>What factors influence leadership processes at a department level?</b>	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?

<b>Research Question</b>	<b>Chair Interview</b>	<b>Faculty Interview</b>	<b>Sr. Administrator Interview</b>
<b><i>Personal Background</i></b>	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed	1. Please outline your career history, including education and professional qualifications and jobs you have performed
	2. How long have you been in your current position?	2. How long have you been in your current position?	2. How long have you been in your current position?
<b><i>Personnel Involvement</i></b>	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the department and university?	3. What is the nature of your involvement in the administrative matters of the school and university?
<b><i>Department Background</i></b>	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?	4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?
<b><i>Question 1</i></b> <b><i>What factors influence leadership processes at a department level?</i></b>	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?	5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?



<b>Research Question</b>	<b>Chair Interview</b>	<b>Faculty Interview</b>	<b>Sr. Administrator Interview</b>
	6. Who in the department takes the lead and in relation to what matters.	6. Who in the department takes the lead and in relation to what matters.	6. Who in departments takes the lead and in relation to what matters.
	7. How are decisions related to departmental goals and objectives made?	7. How are decisions related to departmental goals and objectives made?	7. How do you think that decisions related to department/program goals and objectives made? 8. Are there differences in the above between departments/programs and if so what are they?
<b>Question 2</b>  <i><b>How do leaders with limited formal authority achieve departmental strategic objectives?</b></i>	8. What have been the most significant issues and challenges that the department has faced during your tenure as chair?	8. What have been the most significant issues and challenges that the department has faced during your time as a faculty member?	9. What do you see as the important issues and challenges facing the school?
			10. How are departments/programs involved in these issues and challenges?
	9. What are the sources of these issues and challenges?	9. What are the sources of these issues and challenges?	11. How do issues and challenges at the school level get resolved at the department/program level?
	10. How were they resolved?	10. How were they resolved?	
	11. What has been your role in addressing these issues and challenges?	11. What has been your role in addressing these issues and challenges?	12. Who in departments/programs are instrumental in addressing these issues and challenges?

<b>Research Question</b>	<b>Chair Interview</b>	<b>Faculty Interview</b>	<b>Sr. Administrator Interview</b>
	12. Who else has been influential in dealing with these issues and challenges?	12. Who else has been influential in dealing with these issues and challenges?	
	13. Have there been important department objectives that you have been unable to accomplish?	13. Have there been important department objectives that you have been unable to accomplish?	13. Have there been important school issues that you have been unable to or accomplish with difficulty t the Department/Program level?
	14. If so what were the circumstances and why were the objectives not embraced by the department?	14. If so what were the circumstances and why were the objectives not embraced by the department?	14. If so what were the circumstances and what caused the failure or difficulty?
	15. If you wanted to make a significant change in the Department, how would you go about it?	15. If you wanted to make a significant change in the Department, how would you go about it?	15. If you wanted to make a significant change at the Department/Program level, how would you go about it?

## **Appendix B Interview Schedules**

### **B.1 Department Chairs Interview Schedule**

#### **Introduction - Study Background**

There is a significant body of literature about what it takes to be a successful leader. I am interested in examining leadership in the context of business schools, particularly as it relates to the role of Department Chair/Program Director. The project, which is a requirement of my DBA program, consists of a series of interviews with Chairs/Directors, Faculty members and Senior Administrators at a number of Canadian Business Schools.

The interview will be confidential and anonymous. While I will be taping the interview, once the transcripts are completed the tape will be erased and the transcript will not identify participants by name. If you are interested I will make the transcript available to you for your review and revision.

This project has gone through the Ethical Review Process at \_\_\_\_\_ University, and Cranfield Universities and I have a detailed description of the project and a consent form for you to sign prior to the start of the interview.

#### **Signing of Form**

Before I begin do you have any questions about the project?

#### **Personal Warm-up**

1. Please outline your career history, including education and professional qualifications and jobs you have performed.
2. How long have you been in your current position?

#### **Personnel Involvement**

3. What is the nature of your involvement in the administrative matters of the department and university?

### **Departmental Background**

4. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?

### **Departmental Leadership**

5. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?
6. Who in the department takes the lead and in relation to what matters.
7. How are decisions related to departmental goals and objectives made?

### **Role of Leadership in Decision-making**

8. What have been the most significant issues and challenges that the department has faced during your tenure as chair?
9. What are the sources of these issues and challenges?
10. How were they resolved?
11. What has been your role in addressing these issues and challenges?
12. Who else has been influential in dealing with these issues and challenges?
13. Have there been important department objectives that you have been unable to accomplish?
14. If so what were the circumstances and why were the objectives not embraced by the department?
15. If you wanted to make a significant change in the Department, how would you go about it?

**Close**

Those are all the questions I have for you, is there anything you wish to add before we conclude the interview?

Thank you for participating in the interview

## **B.2 Faculty Members Interview Schedule**

### **Introduction - Study Background**

There is a significant body of literature about what it takes to be a successful leader. I am interested in examining leadership in the context of business schools, particularly as it relates to the role of Department Chair/Program Director. The project, which is a requirement of my DBA program, consists of a series of interviews with Chairs/Directors, Faculty members and Senior Administrators at a number of Canadian Business Schools.

The interview will be confidential and anonymous. While I will be taping the interview, once the transcripts are completed the tape will be erased and the transcript will not identify participants by name. If you are interested I will make the transcript available to you for your review and revision. I am also happy to provide my final report to you, if you would like it.

This project has gone through the Ethical Review Process at both \_\_\_\_\_ University and Cranfield Universities and I have a detailed description of the project and a consent form for you to sign prior to the start of the interview.

### **Signing of Form**

Before I begin do you have any questions about the project?

### **Personal Warm-up**

1. Please outline your career history, including education and professional qualifications and jobs you have performed.
2. How long have you been in your current position?

### **Personnel Involvement**

3. What is the nature of your involvement in the administrative matters of the department and university?

### **Departmental Background**

1. Can you provide some background as to your departmental objectives and recent strategic issues the department has been dealing with?

### **Departmental Leadership**

2. Academic Departments present certain challenges to conventional organisational leadership theory ... how would you describe what leadership means in academic departments?
3. Who in the department takes the lead and in relation to what matters.
4. How are decisions related to departmental goals and objectives made?

### **Role of Leadership in Decision-making**

5. What have been the most significant issues and challenges that the department has faced during your time as a faculty member?
6. What are the sources of these issues and challenges?
7. How were they resolved?
8. What has been your role in addressing these issues and challenges?
9. Who else has been influential in dealing with these issues and challenges?
10. Have there been important department objectives that you have been unable to accomplish?
11. If so what were the circumstances and why were the objectives not embraced by the department?
12. If you wanted to make a significant change in the Department, how would you go about it?

### **Close**

Those are all the questions I have for you, is there anything you wish to add before we conclude the interview?

Thank you for participating in the interview

## Appendix C Tree Code Structure

Theme	Category	Branches	Codes	Sub-codes	
<b>Initiative</b>	<i>Type</i>	Academic	Curriculum Development	Departmental Course	
		Administrative	Planning and Policy Student Retention Mentoring Research Faculty Hiring Department Administration Conference Planning Student Activities		
<b>Faculty (Follower)</b>	<i>Source</i>	Internal External			
	<i>Importance to Chair Impact on Faculty Employment Status</i>				
<b>Departmental</b>	<i>Departmental Orientation</i>	Department Involvement Individual Focus Resistance to Change	Committee Involvement		
	<i>Size Discipline Culture</i>	Change Collegial Leader Driven			
<b>Chair (Leader)</b>	<i>Decision Process</i>	Consensus Proposal Development			
	<i>Change Orientation</i>	Change Agent Caretaker			
	<i>Leadership Style</i>	Directive Collegial Encourager Transformational			
	<i>Use of Power and Influence</i>	Power Bases	Position Base	Legitimate	
<b>Business School Governance Factors</b>	<i>Faculty Autonomy</i>		Personal Base	Reward Coercive Information Expert Referent	
			Influence Tactics	Hard Tactics	Legitimizing Coalition Pressure Blocking
	<i>Shared Authority Leader Hire/Tenure</i>			Soft Tactics	Persuasion Inspirational Appeal Consultation Exchange Ingratiation



Theme	Category	Branches	Codes	Sub-codes
	<i>Decision Making</i>	Process Time Need for Transparency Need for Buy-in		
	<i>Limits to Power</i>	Democratic Collegial		

## Appendix D Contextual Influences

### D.1 Governance Factors - Business School Structure

Theme	Category	Respondents	References	Exemplary Quote
<b>Business School Governance Factors</b>	<i>Faculty Autonomy</i>	13	44	<i>You're dealing with a large number of tenured faculty and they don't have to follow and, and this is obvious and, and, and there's no real penalty if they don't and, and I've seen a number of chairs, a number of senior administrators from presidents right down to chairs, the people you work with can absolutely create an environment where nothing happens. Senior Administrator</i>
	<i>Leader Tenure/Hiring</i>	7	15	<i>We have the tenure process, because the chair tends to be on the DAC but you know, this is a, it's, people take turns being the leader (laughs) you know, that's the thing about academic leadership is you take turns being the leader. Chair, Department 3</i>
	<i>Limits to Power</i>	13	38	<i>I think in academic departments whether it's this departments or, or virtually any other department the person in charge, the department head, the chairman of the school whoever it happens to be tends not to have the authoritarian, the power to make something happen, there's a word I'm looking for sorry I just can't find it, the responsibility and the authority I guess, that's the word I'm looking for. In my experience the head of the department in an academic situation doesn't have the, the, the far reaching authority that somebody in a comparable position in a non-academic department that is the, the private sector has. Faculty, Department 3</i>
	<i>Shared Authority</i>	14	25	<i>So I think there, there's the issue of partnership and collegiality and the leader has got to get you on board as, as a respected partner not as a, as a subordinate. I think that in an academic environment, I think that, that's something that I see. Faculty, Department 3</i>
	<i>Decision Process</i>	17	152	<i>Somehow bring the ideas together, to distil those ideas, to create some sort of action, some outcome. So collegial decision making doesn't mean there's no outcome, it means that there's a participatory form I guess, almost democracy. And I think when people get, when chairs really run into trouble, they stop listening and stop communicating and stop involving people. Ultimately it's about respect, respect of ideas and respect of individuals. Senior Administrator</i>

## D.2 Governance Factors - Decision Factors

Theme	Category	Branch	Respondents	References	Exemplary Quote
Governance Factors	Decision Process	Process Time	8	14	<i>It sort of was a couple year process for determining what we needed to do, the changes we needed to do, what business was looking for and sort of tying to our ability to be able to do that so and then, sort of then, spending about a year really trying to finally tune down exactly on what would be you know the selection of courses, etcetera. Faculty, Department 3</i>
		Need for Transparency	6	9	<i>But I think you have to be fair, you have to be transparent, you have to give people involved and if not, you're going to get immediate feedback or feedback very quickly so, people have to understand what's going on. Senior Administrator</i>
		Need for Buy-in	10	12	<i>But I think the chair in order to get, the leader, let's call the leader, in order to get, in order to achieve the things that they need to do has to be able to do it in some huge collegial kind of way that somehow gets me on board to whatever direction she or he wants to go. Faculty, Department 3</i>
		Iterative Nature	15	50	<i>I think that decisions happen the same way, I think in the sense that they get presented, there's discussion, sometimes there's modifications and then there's a vote. Faculty, Department 3</i>
		Democratic	13	29	<i>By vote. At some point somebody makes a motion and more often than not the motion will come from the floor as opposed to the chair. The chair may say any other conversation, any other discussion; would somebody like to make the motion? And again as often as not the motion is discussed and reworded so it's a very open, very open process then there's a vote. Faculty, Department 3</i>
		Collegial	13	38	<i>So that indicates a high degree of collaborative perhaps even collegial process, overwhelmingly individual to the point where that department has made the decision that truly the director or chair cannot speak without the authority of the collective so that's one model and that happens fairly frequently. Senior Administrator</i>

### D.3 Chair (Leader) Factors

Theme	Category	Branch	Respondents	References	Exemplary Quote
<b>Chair (Leader) Factors</b>	Change Orientation	Change Agent	9	24	<i>Because it varies depending on the, on who's in that position from someone who is simply filling in forms and making sure that loading is done properly to actually moving the department ahead academically with innovative curriculum development and professional development and putting our own school, so to speak, on the map, right so it varies. Faculty, Department 2</i>
		Caretaker	9	14	<i>One is that the chair is, this would be more of a caretaker position, the chair is the academic leader of a group of colleagues and takes care of some administrative matters. Chair, Department 2</i>
	Leadership Style	Collegial	8	17	<i>So they would do it in some ways yes but I would say our chair is very much a consensus builder. And that's definitely been the culture here like when we interview we always talk about a collegial environment we talk about the culture that exists here. Faculty, Department 1</i>
		Directive	11	23	<i>I'm not sure there is a process. Some decisions are made in a, what would you call it, in a dictatorial manner. Some decisions are made by discussions with individual faculty. Some decisions are made by discussions with the faculty as a whole. The, the relative value or the relative number of those decisions is really a function of the leadership of the chair. Some chairs keep groups in the dark about things, some chairs share every little detail that comes up in various other meetings Faculty, Department 2</i>
		Encourager	5	8	<i>So our impact on the school is disproportionate to the size of the department because we have people who are passionate about things and we encourage that. We encourage people to develop passions, we hire people who have passions and we let them do it. We get out off their way. Part of my role is to allow people to pursue whatever they're passionate about. Chair, Department 2</i>
		Transformational	4	4	<i>I think you have to, as a leader, have a certain willingness to cast some kind of vision and, and, and do all the things related to getting people engaged in, passionate about, aligned behind, so all those things actually that we talk about, to me are exactly the same. Senior Administrator</i>
	<b>Chair (Leader) Factors</b>	Use of Power and Influence	Influence Tactics	14	82
Power Bases			17	106	<i>If you have a PHD or a very high level degree there tends to be a sense of power that comes with that and people will give you more, it's like a signalling of credentials. And it gives you more clout as you might say or more power and influence. Faculty, Department 2</i>

## D.4 Chair – Influence Tactics

Branch	Code	Respondents	References	Sub-codes	Respondents	References	Exemplary Quote
Influence Tactics	Hard Tactics	14	35	Blocking	7	11	<i>I mean recently we had some issues to discuss and the faculty member submitted something, another faculty member submitted also you know, in writing a totally different approach, one made it to the department and the other one never appeared and the faculty members were not aware of the fact that there was another submission that never made it to the floor. Faculty, Department 1</i>
				Coalition Forming	5	7	<i>We'll probably do a little bit of politicking in the sense of discussing it with certain members that may be of the same view and seeing whether they can talk to the other individuals as well so that ultimately we can come to. Chair, Department 1</i>
				Legitimizing	7	7	<i>The department collectively agreed to do it after which that gives me some moral authority to start assigning tasks related to the conference, to people. Chair, Department 2</i>
				Pressure	8	10	<i>How do you get people like me who don't want to do any kind of administrative thing, thank you very much, to, to agree to put in the effort to, to do that and you know sometimes its cajoling. Faculty, Department 3</i>
	Soft Tactics	13	47	Consultation	9	17	<i>The interesting part about leadership at this level is that compared to say the literature leadership is that you are forced to ask people for their opinion and consider their opinion. Faculty, Department 2</i>
				Exchange	6	8	<i>But if an individual wants to opt out, fair game. I now expect them to pick up some slack somewhere else so I adjust workload to suit and things like that. Chair, Department 2</i>
Influence Tactics	Soft Tactics			Ingratiation	2	2	<i>I'll say to my chair you know well you're my boss or you're the best boss I've ever had but we say it almost jokingly, right. Faculty, Department 3</i>
				Inspirational Appeal	4	5	<i>That's what you have to do, you basically have to make the case that this is a worthwhile thing to do and it's not and you also have to make it clear that it's not my trip, it's not the leaders trip that I'm going to get famous, do this and that for me, we'll all in this. And I guess to make the case that its good for the institution, it's good for the department. Faculty, Department 2</i>

Branch	Code	Respondents	References	Sub-codes	Respondents	References	Exemplary Quote
Influence Tactics	Soft Tactics			Persuasion	11	16	<i>The idea, the idea, the importance of selling new ideas to those who are going to implement is very, very important in leadership. Faculty, Department 1</i>

## D.5 Chair – Power Sources

Branch	Code	Respondents	References	Sub-codes	Respondents	References	Exemplary Quote
Power Sources	Positional Bases	17	83	Legitimate	15	51	<i>In my experience the head of the department in an academic situation doesn't have the, the, the far reaching authority that somebody in a comparable position in a non-academic department that is the, the private sector has. Faculty, Department 3</i>
				Reward	7	13	<i>So for example rather than having three preparations, they can give me one preparation. So rather than teaching three, four days a week, they can give me my classes in one day so I have free time. So the chair does have some tools to make the life of the faculty easier and that can be used as an inducement. Faculty, Department 1</i>
				Coercive	7	13	<i>And I mean the only real lever you have over them is loading but you ever use that lever, you'd be skewered, you know and we talked a lot about it, but in fact we don't, at least I would never use it. Chair, Department 3</i>
				Information	4	6	<i>That is presented in a very transparent way every second week and that information is supposed to be taken back to the school. That is the chair's responsibility to report that, I don't know whether they do or not. Senior Administrator</i>
Power Sources	Personal Bases	9	23	Referent	6	11	<i>Like it's really critical that the chair be seen I think as providing, to provide credible academic leadership, must be considered first among equals, one of the principles of that that I think is being well established is giving the academic house the responsibility for choosing that leader, anointing that leader practically for all intents and purposes. I think the more process respects the department's choice, the more likely that the leader will be given some latitude to lead. Senior Administrator</i>
				Expert	7	12	<i>So (the chair) certainly does produce research particularly, yeah he's good and he has the other tools, I don't know if he's an administrative guy, he's capable. Faculty, Department 2</i>

## D.6 Faculty (Member) Factors

Theme	Category	Branch	Respondents	References	Exemplary Quote
<b>Faculty</b>	<i>Departmental Orientation</i>	Individual Focus	12	34	<i>A number of folks, maybe it was age, maybe they were working on their thesis, maybe they had done their thing, they were about to retire. They said I've done my thing, I'm not going to, I'll give you my input on day to day issues or putting together proposals. But you couldn't rely on them to you know, 'a' because maybe it was a new idea, and they thought well geez, that changing how the department was. Senior Administrator</i>
		Leadership Involvement	17	98	<i>Because like I said, so leadership is distributed by who has vision and passion and is willing into put energy into a given topic. For the most part, most of our initiatives, we have enough initiatives underway that on any given one there's only one person who wants to run with that or if two people do they'll work out some sort of joint way of doing that. Chair, Department 2</i>
		Resistance to Change	4	5	<i>I mean over the years only because I've been here so many years, I've seen somebody come forward with an idea that made imminent sense and there may be ten or fifteen people involved in the department but two or three people can hold it up. Even though, even though the idea is bang on, absolutely right, makes sense for any number of reasons, just because it's a good idea that makes all sense doesn't mean the chairman or somebody can get it done. Faculty, Department 3</i>
	<i>Employment Status</i>	Tenure	12	33	<i>Whereas, whereas those of us that are tenured and have been around we're less open to being led. So I will, I will guard my academic freedom in the classroom much more strongly than a junior person will. Faculty, Department 3</i>
		Probationary/ Contract	12	43	<i>I'm talking about within a department, the chair has more power, relatively chairs, senior faculty have more power than junior one because I'm not tenure. Sometimes I think like, I feel like senior people have more power. Faculty, Department 1</i>



## D.7 Departmental Factors

Theme	Category	Branch	Respondents	References	Exemplary Quote
<b>Department Factors</b>	Culture	Change	6	12	<i>There's a spirit of change, what's nice there's always an invitation to improve things in the sense of you can always improve, there's so many things we can get connected to, so many synergies and that is brought to the table. So I think that everybody feels that they can contribute and then it's a, therefore a very positive kind of a decentralized I'd say because you're, you know it's not like it has to come from the chair. Faculty, Department 2</i>
		Collegial	8	22	<i>I do think we have a real because we try and have certainly in our department my experience has been we've tried for a collegial approach as opposed to the leader and maybe sometimes it worked but traditionally you do not have the leader say here's my suggestion of what you'd like or we'd like to do, we're trying to build a consensus around where we're going. Faculty, Department 1</i>
		Directive	4	8	<i>But what I see is this chair taking a very directed position as to what this is going to be, what it's going to look like, how we're going to do it, what the timetable looks like, what kind of resources we're going to put behind it, you know making a lot of decisions and really pushing it through. Faculty, Department 3</i>
	Decision Process	Need for Consensus	6	10	<i>Certainly in the department, it's an emerging or assumed consensus mode, I don't, I have yet to see a formal vote on anything at all levels I have been at. Faculty, Department 2</i>
		Proposal Development	4	8	<i>And the chair sends it out to all faculty ahead of time, maybe two weeks ahead of time And if you feel strong about things, you write a memo, many people actually send memos and copy everybody on it. So when we get to the faculty meeting, everybody is familiar with the content. Faculty, Department 3</i>
	Discipline		4	6	<i>I think maybe in some ways, although I am not entirely sure that kind of maybe disciplinary, so for instance I think the more social elements of our profession versus the more analytical may put a higher premium on relationships and inter relationships and elements of that than the more analytical or didactic departments. Senior Administrator</i>
	Size		3	5	<i>I think size of the department matters, I think the bigger the department, this example is a smaller department. I think if the department gets bigger, the informal communication loops probably don't work as much or as well and there's so many of them that they get crossed. So I think in a larger department you need more formal structure, you probably need more formal meeting structures and opportunities. In a small department, you go around and check five or six people, pull them all together in a flash because you're standing in the hall. Senior Administrator</i>

## D.8 Nature of the Initiative

Theme	Category	Branch	Respondents	References	Exemplary Quote
<b>Initiative</b>	<i>Impact on Faculty</i>		9	17	<i>So somebody brought this opportunity to the table, this organization was willing to have this conference hosted by the School but it would mean a whole lot of work by everybody, do we want to do this or not? Chair, Department 2</i>
	<i>Importance to Chair</i>		9	25	<i>Where it's something that has significance strategic influence then I'll try to influence people's thinking by pre-selling things, conversations prior to meetings, that sort of stuff. But ultimately, each person has one vote. Chair, Department 2</i>
	<i>Source</i>	External	10	25	<i>So we need to reformulate those objectives in line with the AACSB so again this is being proposed, obviously this is less negotiable. You can't go against the AACSB. Faculty, Department 3</i>
		Internal	13	23	<i>The chair and those are really important decisions, in terms of curriculum development. I mean I think the ideas don't necessarily come from the chair; those ideas come from the bottom up. They certainly don't come from a dean, a dean can have some ideas but the dean isn't going to create them. Senior Administrator</i>
	<i>Type</i>	Academic	16	71	<i>In our department for example we're doing a major curriculum change and you've probably heard about that you have been talking to our people. You know there were new courses that need to be developed so somebody has to develop that course. Faculty, Department 3</i>
		Administrative	12	48	<i>Hiring, so that, dealing with all the student matters in terms of appeals and you know, that kind of thing, counselling students, counselling faculty, loading, reports, academic plans, fundraising, that's what occurs to me at the moment. Chair, Department 3</i>

## D.9 Nature of the Initiative – Academic and Administrative Initiatives

Branch	Code	Respondents	References	Exemplary Quote	Sub-codes	Respondents	References
Academic Initiatives	Curriculum Development	15	78	<i>To me revamping curriculum is important because first of all you need to live with it for a long time. But revamping curriculum means going back into the course content. Faculty, Department 3</i>	Departmental	15	61
				<i>I would take the lead of what we should do and what we should change in my own course. Faculty, Department 1</i>	Course	10	17
	Faculty Hiring	8	12	<i>My department has faced a number of challenges that may not be germane to the other departments. For example, we have a hard time attracting PHDs for a variety of reasons. Faculty, Department 1</i>			
	Academic Planning and Policy	10	18	<i>Oh, the other one that I guess we've been dealing with is around local norms and so the department has been discussing you know, what local norms should be and what is the process. Faculty, Department 3</i>			
	Mentoring	5	11	<i>So we're working through, these are my young ones, you know, trying to get them, this is how you do research so part of it is mentorship and if they've been mentored so when they're in the, in the situation of being a tenured faculty member, they will see it as a part of their role to mentor. Chair, Department 3</i>			
	Research	9	18	<i>So we've got lots of examples like that, one of our guys is launching a journal; one of our guys runs a research institute. Chair, Department 2</i>			

Branch	Code	Respondents	References	Exemplary Quote	Sub-codes	Respondents	References
	Teaching	4	12	<i>Whereas having been in three different universities you know, I know how to teach this topic thank you very much or this is how I do a case thank you very much. You know so I'm less, I'm more set in my ways and so the leader's task is more difficult in some ways with me. On the other hand the leader doesn't, there's a lot of things that the leader doesn't need to, to tell me or teach me because I've been there, done that.</i> Faculty, Department 3			
Administrative Initiatives	Department Administration	8	21	<i>So there are the things that are dictated, there's a bunch of administrative stuff. There's forms that need to be filled in and stuff like that, that needs to go back to the dean's office or central Jorgensen, surprising amount of that.</i> Chair, Department 2			
	Conference Planning	5	13	<i>I mean, we're committed to running this entrepreneurship conference next fall which you know which is a ton of time.</i> Faculty Department 2			
	Student Activities	7	14	<i>These are minor things, but we, we have tried to make more of a departmental commitment to support our student groups.</i> Faculty, Department 3			

## **Appendix E High Quality Journals**

### **Management Journals**

Academy of Management Journal  
Administrative Science Quarterly  
British Journal of Management  
Harvard Business Review  
Human Relations  
Journal of Applied Psychology  
Journal of Management Studies  
Journal of Organisational Behavior  
Leadership  
Leadership Quarterly  
Organisational Science  
Organization Studies  
Organisational Behavior & Human Decision Processes

### **Educational Journals**

British Educational Research Journal  
Education Research  
Educational Research  
Educational Administrative Quarterly  
Educational Research and Evaluation  
Higher Education in Europe  
Innovative Higher Education  
Journal of Educational Administration  
Journal of Educational Research  
Journal of Higher Education  
Quality in Higher Education  
Research in Higher Education  
Review of Educational Research  
Review of Higher Education  
Studies in Higher Education  
Teaching in Higher Education

### **Health Services Journals**

Academic Medicine  
Health Services Management Research  
Intensive and Critical Care Nursing  
International Journal of Nursing Studies  
Journal of Advanced Nursing  
Journal of Healthcare Management  
Journal of Nursing Administration  
Journal of Nursing Management  
Journal of Nursing Scholarship  
Nursing Administration Quarterly  
Nursing Research  
Qualitative Health Research  
Research in Nursing and Health  
Society of Nursing

## Appendix F Project Appraisal Criteria

Criteria	Ratings			
	<i>Low (0-1)</i>	<i>Medium (2)</i>	<i>High (3)</i>	<i>Not Applicable</i>
<b><i>Theoretical framework</i></b>	Review fails to cite most or any relevant concepts and theories relevant to project	Review captures most of the theoretical frameworks relevant to project	Excellent review of theories and concepts relevant to the project	
<b><i>Contribution to Knowledge</i></b>	Project makes little to no contribution to field	Project makes a relevant contribution to the field	Project makes a significant contribution to field	
<b><i>Research Design</i></b>	Project design is a poor or inappropriate match to the purpose of project	Project design is a satisfactory match to the purpose of the project	The project represents a methodological Breakthrough in the topic area	
<b><i>Sample</i></b>	Sample size and characteristics insufficient to validate findings	Sample size and characteristics sufficient to validate findings	Sample size and characteristics support a high level of generalization and certainty of findings	
<b><i>Data Analysis</i></b>	Insufficient information to evaluate project data analysis or major data issues	Data analysis provides some support to project findings	Data analysis sufficient to support generalization and certainty of project findings	
<b><i>Quality of Sources</i></b>	Most references and citations from low quality journals and publications	Mix of high and low quality journal and publication references	Most references form high quality journals and publications	
<b>Total Score</b>				

## Appendix G Paper Appraisals

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
<b>Accepted empirical studies</b>								
Armistead (2007)	Exploring leadership in multi-sectorial partnerships	Excellent (3) - Comprehensive examination of SL in partnerships	Medium (2) – identify a number of contextual factors to understand SL in partnerships	Medium (2) – interesting design using forums to collect data	Medium (2) – sample size is satisfactory	Low (1) – data summarized in narrative, no actual data presented	Medium (2) – Mix of journal quality	12 - accepted
Bolden (2008)	Developing Collective Leadership in Higher Education	Medium (2) – discusses DL but with limited relevant theoretical frameworks	Medium (2) – A number of frameworks are developed including functions of DL and frameworks for how leadership in HE is focused and shared	Medium (2) – Project design is a satisfactory match	Medium (2) – sample size is adequate, issue about	Low (2) – analysis performed in a satisfactory manner	Medium (2) – mix of high and low	12 – accepted
Brown (2002)	Making things click Distributed Leadership in an online division of an offline organization	Medium (2) – light on distributed leadership references, raised in discussion of findings	Medium (2) – finds evidence of distributed leadership in top management teams	Medium (2) – Satisfactory design	Medium (2) – Satisfactory – grounded theory approach	Medium (2) – satisfactory for approach	Medium (2) – all the projects cited are from high quality journals, quite a number of books though	12 - accepted
Chriem (2010)	Change Agency in a primary health care context	Low (1) – paper frames focus as change as the theoretical framework than uses some relevant concepts	Low (1) – introduces the importance of social capital to the process of DL, but concept not defined	Medium (2) – design is a satisfactory match to project purpose	Medium (2) – single case project, size and characteristics are satisfactory	High (3) – Data analysis sufficient to support findings	High (3) – mostly high quality journals	12 - accepted
Carson (2007)	Shared Leadership in Teams: An Investigation of	Medium (2) – include shared by not distributed	Medium (2) – makes relevant contribution	Medium (2) – close to high given mixed methodology	Medium (2) – size is certainly sufficient, but	Medium (2) – some limitations stemming from	High (3) – mostly from high quality	13 - accepted

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	Antecedent Conditions and Performance	leadership			students and single site pose some limitations	sample and design	journals	
Chen (2007)	A multilevel project of leadership, empowerment, and performance in teams.	Medium (2) – mostly on empowerment, not much on DL, SL or authority but still relevant	Medium (2) – LMX impact of delegated leadership	Medium (2) - appropriate design for project	Medium (2) –	Medium (2) – detailed presentation of data	Excellent (3) – mostly high quality journals	13 - accepted
Currie (2009)	The Institutionalization of distributed leadership: A ‘catch-22’ in English public services	High(3) – clear and detailed theoretical frameworks	Medium (2) – makes a relevant contribution in relation to the importance of institutional impact	Medium (2) - Project design is satisfactory	Medium (2) – Sample size and characteristics sufficient to validate findings	Medium (2) – provides some support – lacking detailed data, some examples	High (3) – includes all critical references	15 - Accepted
De Lima (2008)	Department Networks and distributed leadership in schools	Medium (2) - includes most but not all DL references	Medium (2) – introduces social network patterns as an influence on DL	High (3) – use of social network analysis is a new method within this research area	Medium (2) – sample size – 2 schools a bit low, but sufficient to findings	Medium (2) – provides some support to findings	Medium (2) – mix of high and low	13 – accepted
Denis (1996)	Leadership and strategic change under ambiguity	Medium (2) – framework well described although I would question how relevant it is as main frame relates to leadership and strategic change agency	Medium (2) – again making a contribution to distributive change roles in ambiguous authority relations through propositions	Excellent (3) – introduces some new methods (use of archetypes) as a means of analyzing data	Medium (2) - sample size appears satisfactory given the project design – single case project	Excellent (3) – extensive charting and analysis	Excellent (3) - almost all journal references are from high quality journals	15 - accepted
Denis (2001)	The Dynamics of Collective Leadership and Strategic Change in Pluralistic Organizations	Low (1) – review fails to cite most of the frameworks being used	Medium (2) – Project makes a contribution	Medium (2) – Satisfactory design	Medium (2) – satisfactory considering it is a case project	Medium (2) – strong, detailed analysis	Excellent (3) – references primarily from high quality journals	12 - accepted
Ensley (2006)	The importance of vertical and shared	Medium(2) – comprehensive	Medium (2) – focus is on outcomes –	Medium (2) – design is	Medium (2) – sample size is	Medium (2) – analysis is	Excellent (3) – comprehensive	13 - accepted



First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	leadership within new venture top management teams: Implications for the performance of start-ups	coverage of SL, not much focus on DL	particularly performance and project creates a link between SL and performance	appropriate for the project objectives	satisfactory	satisfactory	set of references, mostly from high quality journals	
Heck (2010)	Testing a longitudinal model of distributed leadership effects on school improvement	Excellent (3) – although distributed leadership is used as a latent construct, the examination of the framework is comprehensive	Excellent (3) – demonstrates a link between distributed leadership and learning outcomes	Excellent (3) – Comprehensive design that draws support for methodology	Medium (2) – sample size is sufficient for project purposes	Excellent (3) – analysis is at a high level with sufficient support provided	Excellent (3) – wide range of references used, most from high quality journals	17 - accepted
Hiller (2006)	Collective enactment of leadership roles and team effectiveness: A field project	Medium (2) – focus is on collective leadership and some minimal DL and SL is included	Medium (2) – some contribution to field	Medium (2) – Satisfactory to match project purpose	Medium (2) – size and characteristics support level of generalization	Medium (2)- high level of detail on analysis	Excellent (3) - almost all journal references are from high quality journals	13 - accepted
Hoch (2010)	Is the Most Effective Team Leadership Shared? The Impact of Shared Leadership, Age Diversity, and Coordination on Team Performance	Excellent (3) – comprehensive examination of SL framework	Medium (2) – demonstrate the impact of contextual factors (age diversity and level of coordination) on effectiveness of SL	Medium (2) – quantitative project, satisfactory design for hypothesis being tested	Low (1) – single organization, number of respondents (96) on the low side	Low (1) – analysis is comprehensive, but some issues with data, the age spread is quite narrow, teams rate their own performance, not clear on what constitutes coordination	Excellent (3) – mostly high quality journals	12 - accepted
Hulpia (2009)	Development and validation of scores on the distributed leadership inventory	Medium (2) – most of the common references are there	Medium (2) – methodological contribution	Medium (2) – Close to a breakthrough in measurement	Medium (2) – sufficient, may be high	High (3) – Thorough job of data analysis	Medium (2) - mix of high and low – lots of books and	13 – accepted

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
							dissertations	
Kezar (2008)	Supporting faculty grassroots Blasé leadership	Excellent (3) – provides in depth examination of relevant frameworks	Medium (2) – identifies factors supporting and inhibiting faculty leadership	Medium (2) – design appropriate to project	Medium (2) – sample satisfactory for project design	Medium (2) – some presentation of data, but minimal	Low (1) – primarily books very few journal projects	12 - accepted
Klein (2006)	Dynamic Delegation: Shared, Hierarchical and Deindividualized Leadership in Extreme Action Teams	Medium (2) – at low end given brief nature of literature review	Low (1) – no substantive contribution to DL/SL	Medium (2) – Satisfactory – qualitative inductive approach	Medium (2) – size and characteristics sufficient	Excellent (3) – thorough data analysis	Excellent (3) – Most references high quality	13 - accepted
Kunzle (2010)	Leadership in anesthesia teams: the most effective leadership is shared	Low (1) – while the focus is on teams does mention shared leadership but lacking detailed theoretical framework	Medium (2) – do identify a number of contextual factors influencing DL	Excellent (3) – use of video to collect data on leadership actions	Medium (2) – sample satisfactory for project design	Medium (2) – adequate presentation of data	Excellent (3) – wide range of journals from a variety of disciplines	13 - accepted
Pearce (2002)	Vertical Versus Shared Leadership as Predictors of the Effectiveness of Change Management Teams	Medium (2) – while main focus is on leadership style, there is a section on shared leadership, though distributed leadership is ignored	Excellent (3) – demonstrates a relationship between shared leadership and effectiveness and demonstrates relationships between leadership style and shared leadership	Medium (2) – methods appropriate for project and clearly laid out	Medium (2) – sample size is sufficient	Medium (2) – analysis is sound and clearly outlined	Excellent (3) – while a number of books are cited, almost all journals are high quality	14 - accepted
Ritchie (2007)	Degrees of distribution: towards an understanding of variations in the nature of distributed leadership in schools	Medium (2) – draws on very minimal set of studies	Medium (2) – introduces a framework that examines the variations in DL	Medium (2) – case project approach consistent with project objectives	Medium (2) – relatively small sample but satisfactory	Medium (2) – data analysis satisfactory	Medium (2) – on low end as the number of references quite limited	12 - accepted

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
Scribner (2007)	Teacher Teams and Distributed Leadership: A Project of Group Discourse and Collaboration	Medium (2) – theoretical contributors, but little empirical	Medium (2) – identify contextual factors influencing DL	Medium (2) – Satisfactory – Case Project	Medium (2) – 2 embedded cases – 13 participants	Medium (2) – high level of detail on analytical techniques and data	Medium (2) – some high level journals, lots of books	12 - accepted
Small (2010)	Shared Leadership in Teams	Medium (2) – framework examined at high level rather than a comprehensive level	Medium (2) – connection between SL and team performance and correlation to trust and collectivism	Medium (2) – appropriate design for project, though only single site was used	Low (1) Behaviour in student project teams is significantly different than work teams and not best setting to determine the hypotheses posed by the project	Medium (2) – detailed presentation of data	Excellent (3) – mostly high quality journals	12 - accepted
Timperley (2005)	Distributed leadership: developing theory from practice	Medium (2) – this is an early project and has the basic components of the relevant theoretic frameworks	Medium (2) – provides some useful concepts important to the project of distributed leadership	Medium (2) – given the lack of theory at this stage of development, the grounded theory approach is a relevant approach to take	Excellent (3) – data was collected in 7 schools over a 3 year period	Medium (2) – there are some issues about using different aspects of the samples for some of the concepts and not others	Medium (2) – focus is primarily on education journals, though most cited are of high quality	13 - accepted
Vangen (2003)	Enacting leadership for collaborative advantage: Dilemmas of ideology and pragmatism in the activities of partnership managers	Medium (2) – satisfactory coverage of collaborative leadership	Medium (2) – present a model for leadership enactment in SL between partner leaders	Medium (2) – good design for exploratory project	Medium (2) – sample size is satisfactory	Medium (2) – good presentation of data and method	Medium (2) – most journals of high quality, many references from books	12 - accepted
Van Ameijde (2009)	Improving leadership in Higher Educational institutions	Medium (2) – very close to high captures most of theories and concepts	Medium (2) -Makes relevant contribution	Medium (2) – Project design is satisfactory	Medium (2) – single site but good sized sample	Low (1) – not much data is presented, data is generalized	High (3) – Most references are from high quality journals	12 - Accepted

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
Zhang (2007)	Distributed leadership in the development of a knowledge sharing system	Low (1) – light on some important aspects of DL/SL frameworks	Medium (2) – makes a relevant contribution	Medium (2) – Satisfactory approach case project	Medium (2) – single case, 19 participants	Medium (2) – thematic analysis	High (3) – most references from high quality journals	12 - accepted
<b>Accepted – Empirical Studies with Theoretical Contribution</b>								
Anderson (2009)	Positioning the principals in patterns of school leadership distribution	Medium (2) – Good use of DL as a theoretical framework	Medium (2) – suggests correlation between the importance of the goal to the formal leader and the extent of DL	Medium (2) –	Medium (2) – Sample size is satisfactory given the research design	Low (1) – although analytical methodology fine, no data examples provided	Low (1) – Quite limited, mostly books, again given the prominence of the author may be less relevant	10 – accepted on basis on theoretical contribution
Bryman (2009)	Leadership Researchers on Leadership in Higher Education	Low (1) – minimal framework presented	Medium (2) – Refutes previous research which focuses on leadership style and presents context as a medium of understanding leadership in higher education	Medium (2) – qualitative design appropriate for project	Medium (2) – sample satisfactory for project design	Medium (2) – just barely, not a lot of detail on analytical methodology	Medium (2) – not extensively referenced, some high quality journals	11 – accepted on basis on theoretical contribution
Buchanan (2007)	Nobody in charge: Distributed change agency in healthcare	Medium (2) – framework well described although I would question how relevant it is as main frame relates to leadership and strategic change agency	Medium (2) – again making a contribution to distributive change roles in ambiguous authority relations	Low (1) – almost no details given on how data was collected	Medium (2) – sample size appears satisfactory given the project design – single case project	Low (1) – although it is unclear how the data was analyzed, a large amount of data is presented	Excellent (3) – almost all journal references are from high quality journals	11 – accepted on basis on theoretical contribution
Denis (2010)	The Practice of Leadership in the Messy World of Organizations	Low (1) – light on theoretical references	Medium (2) – leadership as embedded in context –relevant contribution	Medium (2) – project design is a satisfactory match	Medium (2) Sample size and characteristics satisfactory	Low (1) – while analysis does provide some support, unclear how much this is	Medium (2) – mix of high and low – lots of books and dissertations	10 – accepted on the basis of theoretical contribution

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
						pickings rather than systematic analysis of the data		
Gibbs (2008)	Disciplinary and contextually appropriate approaches to leadership of teaching in research-intensive academic departments in higher education	Low (1) – theoretical framework is quite narrow and shallow	Medium (2) – found that leadership was impacted differently depending on contexts such as discipline, size	Medium (2) – used a version of thematic analysis	Medium (2) – medium, while sites were identified, difficult to ascertain # of interviews	Medium (2) – lots of details set out in tables	Low (1) – very few references used	10 – accepted on basis of theoretical contribution
Gronn (2009)	Hybrid Leadership	Medium (2) – a bit light on theoretical framework, particularly related to sourcing claims	Medium (2) – this is an important contribution, but the case may be made better elsewhere	Medium (2) – satisfactory for project	Medium (2) – adequate for project	Medium (2) – adequate for project	Low (1) – limited sources	11 – accept, given theoretical contribution
Mascall (2008)	The Relationship Between Distributed Leadership and Teachers' Academic Optimism	Medium (2) – Review captures most but not all	Medium (2) – there is a contribution but it is weakened by methodological issues	Low (1) – some issues related to survey design	Low (1) – some issues related to response rates	Medium (2) – analysis limited by design and sampling issues	Medium (2) – mix of high and low	10 – accept, given theoretical contribution
Stark (2002)	Curriculum Leadership Roles of Chairpersons in Continuously Planning Departments	Low (1) – theoretical framework based on curriculum development	Medium (2) – finds that contextual elements have an impact of departmental leadership	Medium (2) – solid research design	Medium (2) – Sample size is satisfactory given the research design	Medium (2) – Thematic analysis will lots of process and content detail	Low (1) – almost exclusively books	10 – accept, given theoretical contribution
Wallace (2002)	Modelling distributed leadership and management effectiveness: Primary	Medium (2) – mostly focused on effectiveness of school SMT, but	Medium (2) – presents a model of different levels of hierarchical	Medium (2) – Good design for exploratory work	Medium (2) – sample satisfactory for project design	Medium (2) – adequate presentation of data	Low (1) – minimal set of projects from single discipline,	11 – accept, given theoretical contribution

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	school senior management teams in England and Wales	important to remember that this is an early paper in field	leadership influencing DL				though important to remember this is an early project	
<b>Empirical Studies – Interesting Contribution</b>								
Ball (2007)	Leadership of Academics in Research	Low (1) – most frameworks dealt with on a superficial level and are not directly related to topic of inquiry	Low (1) – not much contribution to knowledge, provides general statements on faculty views	Low (1) – qualitative design, not much detail on selection or data analysis approach	Medium (2) – sample is satisfactory despite issues with design	Low (1) – minimal data used to support claims	Low (1) – mostly books, missing quite a number of relevant projects	7 – reject, but may be interesting
Greenfield (2009)	Distributed leadership to mobilize capacity for accreditation research	Low (1) – DL framework quite limited and lacks comprehensiveness	Medium (2) – the contribution here primarily relates to cross organisational collaborations	Medium (2) – appears to be satisfactory, process research	Low (1) – unclear as to sample size	Low (1) – no data provided, all in the form of the authors’ narrative	Low (1) – project is missing key authors in this area, Denis and Buchanan	8 – rejected, keep in as the result of interesting contribution
Kekale (1999)	“Preferred” patterns of academic leadership in different disciplinary (sub)cultures	Low (1) – Project done prior to main SL and DL work, focus on leadership and culture	Low (1) – suggest that there is a correlation between leadership and discipline, but narrow sample makes contribution questionable	Medium (2) – Design is a reasonable one	Low (1) – sample size of 1 school is too small to determine correlation	Low (1) – some data presented, but low level of information about data and analysis	Low (1) – limited to education journals, many of the references are books	7- reject, may be included as interesting – though conclusion that discipline drives culture and leadership process is simplistic
Louis (2009)	The role of sensemaking and trust in developing	Low (1) – cursory examination of theoretical framework	Medium (2) – find a number of school	Medium (2) – Research design appropriate for	Low (1) – comparative case project with 2	Low (1) – minimal presentation of	Medium (2) – mostly educational journals that range	9 – reject, keep in as the result of

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	distributed leadership		characteristic that influence DL	type of project	sites	data	in quality	interesting contribution
MacBeath (2005)	Leadership as distributed: a matter of practice	Low(1) – almost no examination of the theoretic frameworks driving the project	Medium(2) – this is an early project and does provides an interesting taxonomy of the forms of distribution	Medium (2) – used both qualitative and quantitative methods, lacking clarity on the quantitative instruments used	Low (1) – while number of schools is sufficient, no indication of number of interviews, though sample size of the surveys is adequate	Low (1) – qualitative analysis is sufficient, quantitative analysis does not include statistical analysis only ranking	Low (1) – small set of references, mostly books	8 – rejected, though the taxonomy of distribution is an interesting
Nowell (2010)	Leading change through collaborative partnerships: A profile of leadership and capacity among local public health leaders	Low (1) – Framework covered in a superficial manner	Medium (2) – identify some organisational context factors influencing SL	Low (1) – little explanation for design rationale	Medium (2) – just meets standard for medium	Low (1) – no explanation on how data was analyzed	Medium (2) – minimal references, some high quality journals	9 – rejected, include as interesting
Spillane (2009)	School Principals at Work	Low (1) This is a book chapter and does not provide a detailed framework which may not be required given the author	Medium (2) – links DL to the type of activity and school specifics	Medium (2) – innovative in that it uses activity logs	Medium (2) – Sample size is satisfactory given the research design	Low (1) – Analysis based on %	Low (1) – Quite limited, mostly books, again given the prominence of the author may be less relevant	9 – rejected on the basis of rigor, accept as interesting given the contribution to knowledge
<b>Rejected Studies - empirical</b>								
Arnone (2010)	Shared Leadership: from rivals to co-CEO's	Low (1) – minimal use of theoretical framework	Low (1) – minimal contribution, primarily a practice project	Low (1) – Interview based, consulting rather than research approach	Medium (2) – sample size could be appropriate if not significant problems with research design	Low (1) – not many details provided	Low (1) – mostly books, minimal references	7 – rejected

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
Bento (2010)	Organisational complexity and departmental leadership: Perceptions of leadership and teaching/learning in a US research-intensive academic department	Medium (2) – uses complexity theoretical framework and provides some support	Low (1) – contribution not stated in theoretical terms	Low (1) – major issue with design in that it is qualitative and the author clearly looking to support the framework they are investigating	Low (1) – unclear as to the sample size	Low (1) – quotes selected are used to support framework of project	Low (1) – minimal references, many of which are books	7 - reject
Blasé (1998)	Implementation of shared governance for instructional improvement: Principals' perspectives	Low (1) – missing most of the key influential thinkers that form foundation	Low (1) – prior to the development of much theory on topic and doesn't contribute much from a theoretical point of view	Medium (2) – design appropriate to project	Medium (2) – sample satisfactory for project design	Medium (2) – adequate presentation of data,	Medium (2) – mostly from books but do have some quality journals	10 – rejected, low theoretical contribution
Bolden (2008)	Tensions in Higher Educational Leadership	Medium (2) – discusses DL but with limited relevant theoretical frameworks	Medium (2) – some contribution, not incredibly strong	Medium (2) – Project design is a satisfactory match	Medium (2) – sample size is adequate, issue about characteristics as no info on sample selection	Low (0) – no information to evaluate project	Medium (2) – mix of high and low	10 – reject, replace with other project from same database
Bolden (2009)	Distributed Leadership in Higher Education	Medium (2) – discusses DL but with limited relevant theoretical frameworks	Medium (2) – barely relevant contribution	Medium (2) – Project design is a satisfactory match	Medium (2) – sample size is adequate, issue about characteristics as no info on sample selection	Low (0) – no information to evaluate project	Medium (2) – mix of high and low	10 – reject, replace with other project from same database
Cawthorne	Leading from the	Medium (2) – captures	Low (0) –	Low (0) – reporting	N/A – given issues	N/A – given	Medium (2) – mix of	4 - Rejected



First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
(2010)	Middle of the Organization	only shared leadership frameworks does not include DL frameworks	primarily a normative approach investigating the relevance of SL to libraries	of survey results , no quantitative analysis other than mean scores	with research design	issue with research design	high and low – lots of books and dissertations	
Carte (2006)	Emergent Leadership in Self-Managed Virtual Teams	Low(1) – Very light on SL and DL frameworks	Low(1) – mostly outcome based, demonstrating evidence of the impact of shared leadership on team performance and presence of focused and shared leadership	Medium (2) – used an interesting framework to measure shared leadership based on leaderplex and content analysis of e-mail	Low (1) – sample size is small, 22 teams in 3 universities, always the issue of applying these results to the workplace SMWT	Medium (2) – analysis is satisfactory for project	Excellent (3) – mostly high quality journals	10 – reject, low theoretical contribution
Choi (2009)	The emergence of shared leadership from Organisational Dimensions of Local Government	Low (1) – provides some framework, but limited and not well supported	Low (1) Dealing with the factors that contribute to the perception of shared leadership, not a significant contribution	Medium (2) – several issues, single case, measurement of variables	Low (1) – single case for quantitative analysis problematic	Low (1) – use of descriptive statistics and regression to associate variables	Low (1) – mostly books, very limited number of high quality journals	7 -rejected
Crevani (2007)	Shared leadership: a post-heroic perspective on leadership as a collective construction	Medium (2) – somewhat limited in detailing framework	Low (1) – not a significant contribution	Low (1) – limited sample, focused on new organizations still run by founders – not a good fit for question being studied	Low (1) – poor fit between sample and question	Medium (2) – narrative approach taken, analysis is satisfactory	Medium (2) – mix of high quality, medium and low and books	9 - rejected

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
Gibbs (2009)	Departmental Leadership of Teaching in Research-Intensive Environments	Medium (1) – Limited foundations for theoretical frameworks	Excellent (3) - distinguishes between different types of distributed i n and organisational culture	Low (1)- Case Project but little detail on project design	Excellent (3) – 19 case studies	Low (1) – no detail provided as to how data was analyzed	Low (1) – mostly books and review journals	10 – reject, as more targeted journal project already included
Gleeson (2003)	Reluctant Leaders: An analysis of Middle Managers’ Perception of Leadership in Further Education in England	Low (1) – several frameworks – lack of clarity on most of them	Low (1) – mostly an opinion type piece	Low (0) – almost no details	Low (0) – no details	Low (1) – other than selected quotes no details how it was done	Low (1) – mostly books	4 - rejected
Grubb (2006)	A Job Too Big for One": Multiple Principals and Other Nontraditional Approaches to School Leadership	Low (1) – most of emphasis is one structuring of the leader’s job	Low (1) – looking at some of the factors contributing to the success or failure of structuring the leadership position – minimal contribution	Medium (2) – adequate for project	Medium (2) – adequate for project	Medium (2) – adequate for project	Low (1) – lots of books and unpublished papers	10 – rejected, low theoretical contribution
Leithwood (2007)	Distributing Leadership to Make Schools Smarter: Taking Ego out of the system	Low (1) – cursory view of theoretical literature mostly focused on Gronn and Spillane.	Medium (2) – as this is an early empirical project there are some useful empirical findings that set direction for future studies	Low(1) – the paper is the 1st stage of the project, but the design appears convoluted as there are 13 hypothesis and in the first stage none are tested	Medium (2) – sample size is sufficient for both qualitative and quantitative aspects of project	Low (1) – not much detail on how interviews were analyzed or coded, no support for data analysis methods used	Medium (2) – a range of high and medium journals covering both education and management	9 – rejected
Maxcy (2006)	The Politics of	Medium (2) – provides	Low (1) –	Low (1) – difficult to	Low (1) – selected	Low (1) – does	Medium (2) – mix of	7 - rejected

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	Distributing Leadership, Reconsidering Leadership Distribution in Two Texas Elementary Schools	satisfactory framework	present a challenge to the limits of DL within top down hierarchies	ascertain the basis of research design	2 cases, one for the examination of each theoretical challenge, appears cases were used to support hypothesis	not appear to be a systematic approach taken to analyze data	journal ratings, numerous books	
Mehra (2006)	Distributed leadership in teams: The network of leadership perceptions and team performance	Low (1) – very limited framework used, primarily focused on social networks	Low (1) – provides some evidence that distributed - coordinated leadership structures	Medium (2) – design is satisfactory for purpose of project	Medium (2) – sample size is satisfactory	Medium (2) – uses social network analysis and analysis is well presented	Excellent (3) – almost all journals cited are of high quality	11- rejected
Milburn (2010)	The role of programme directors as academic leaders	Medium (2) – captures many of the frameworks relevant to subject	Low (0) Little to no contribution	Medium (2) -The qualitative approach is a good match for the exploratory approach	Low (1) – Small sample size and single site, appropriate for exploratory project	Low (1) – Not much explanation of methods, selection, etc. , little data presented	Low (1) – few high quality journals included	7 - Rejected
Pinnington (1995)	Team leader autonomy in new product development	Low (1) – minimal focus on autonomy, predates DL, SL	Medium (2) – link between delegated strategic autonomy and outcomes	Low (1) – Lacks detail about measurement of constructs	Medium (2) - sample size is satisfactory	Low (1) – little data on variables related to autonomy	Low (1) – mostly books and almost no empirical studies	8 - rejected
Ritchie (2005)	Individual and Collective Leadership in School Science Departments	Low (1) – examining leadership roles and focus is on individual and collective dialectics almost nothing on SL or DL	Low (1) – while challenging existing leadership discourse, adds little to the field	Low (1) – do not provide much detail justifying the case project design	Medium (2) – Sample size satisfactory	Medium (2) – data analysis provides satisfactory support	Low (1) – most references from books and others from low quality journals	8 - rejected
Rosengren	Nurses' views of	Low (1) – mostly	Low (0) –	Medium (2) –	Medium (2) –	Low (1) –	Low (1) – all nursing	7 - rejected

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
(2010)	shared leadership in ICU: A case project	projects related to shared leadership, nothing on main theorists	looking at attitudes toward shared leadership and no contribution to any theoretical framework	Project design is satisfactory	Sample size and characteristics sufficient	performed hypothesis testing but they are not included in the paper	journals no attempt to include research from wider field	
Solansky (2008)	Leadership Style and Team Processes in Self-Managed Teams	Medium (2) – Literature review contains a satisfactory overview of shared leadership	Low (1) – focus is mostly on outcomes and demonstrates collective efficacy and transactive memory as shared leadership outcomes	Low (1) – teams consisted of students and transitory nature of these teams is an issue. Shared leadership was identified by team members and given the nature of the situation; occurrence of leadership may have been over reported.	Low (1) – relatively small sample – 20 teams in a single class	Medium (2) – quantitative analysis satisfactory, content analysis lacks methodological detail	Excellent (3) – most references are from high quality journals	10 – rejected (may be of minor use in reporting outcomes of SL in SMT)
Wood (2005)	Determinants of shared leadership in management teams	Low (1) – very cursory examination of SL theoretical framework	Medium (2) – examines willingness of members to share in leadership and finds that perception of empowerment is a strong determinant	Low (1) – confusion over if project is factor relations or hypotheses testing	Medium (2) – sample size is satisfactory	Low (1) – hypotheses proposed but no testing	Medium (2) - mix of high and medium quality journals	9 – rejected
Wood (2007)	Exploring the impact of shared leadership	Medium (2) – includes shared leadership but	Medium (2) – barely, while	Low (1) – hypothesis not	Medium (2) – some limitations,	Low (1) – issues related to	Low (1) – mostly books and low	9 - rejected

First Author (year)	Paper Title	Theoretical Framework	Contribution to Knowledge	Research Design	Sample	Data Analysis	Quality of Sources	Total Score
	on management team member job outcomes	ignores DL	the focus is on outcomes, there is a contribution to the relationship between SL and context	clearly spelled out	but results are not highly generalized	design	quality journals	
Zepke (2007)	Leadership, power and activity systems in a higher education	Excellent (3) – thorough background underpinning project	Low (1) – no real contribution	Low (1) – using examples to make points	Low (1)	Low (1)	Low (1) – mostly lower rated journals	

## Appendix H Summary Accepted Papers

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Denis, J.L.; Langley, A. and Cazale, L. (1996)	How does leadership operate in organizations where the authority structure is ambiguous and goals and processes are unclear	16 (Canada)	Qualitative (Organisational Archetypes)	Interviews, Observation, Documents	In contexts in which authority is ambiguous and goals are unclear in order to successfully enact change collaborative leadership is required and symbolic, political and substantive effects of leadership tactics drive change in a cyclical fashion
Denis, J. L.; Lamothe, L. and Langley, A. (2001)	To determine how leaders enact strategic change when leadership roles are shared	100 (Canada)	Qualitative (Temporal Bracketing)	Interviews, Observation, Documents	Strategic change is more likely to take place in pluralistic settings where there is collective leadership, leadership manages the tension between the three types of coupling involved (strategic, organisational and environmental), respond to cycle conditions, manage politics, and minimize the number of pluralistic

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
					dimensions.
Brown, M.E. and Gioia, D.A. (2002)	To examine how the leadership and competition play out in organizations operating on-line	17 (United States)	Qualitative (Thematic Analysis)	Interviews	Speed and complexity/ambiguity of these settings necessitate the distribution of leadership across the senior management team
Pearce, C.L. and Sims Jr., H.P. (2002)	To examine the impact of various leadership sources, including shared leadership, to determine relationship with Change Management Team Effectiveness	236 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	Both vertical and shared leadership are related to team effectiveness, though shared leadership may be a more useful predictor of team effectiveness
Stark, J.S.; Briggs, C.L. and Rowland-Poplowski, J. (2002)	To examine the role of chairs in leading continuous curriculum change and how contextual factors influence the process.	44 (United States)	Qualitative (Thematic Analysis)	Interviews	Leadership of curriculum development in academic departments is a shared process and leadership roles in departments can vary depending on department size, discipline and institution

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
					type
Wallace, M. (2002)	To promote distributed leadership as a means to facilitate school improvement and effectiveness and demonstrate the use of qualitative data in model-building	58 (United Kingdom)	Qualitative (Grounded Theory)	Interviews	Unified and egalitarian senior management teams in schools provide the strongest anchor to promote organisational wide synergy to improve teaching and learning
Vangen, S. and Huxham, C. (2003)	To understand how leadership is enacted in collaborative partnerships in order to develop theory to explain the phenomena	13 Collaborations (United Kingdom)	Qualitative (Thematic Analysis)	Notes from meetings, phone calls, workshops	Collaborative leadership is enacted through the tension between collaborative leadership practices (embracing, empowering, involving and mobilizing) and pragmatism (manipulating the agenda and playing politics).
Timperley, H.S. (2005)	To illustrate key aspects of distributed leadership through an empirical study in the education sector	21 (New Zealand)	Qualitative (Thematic Analysis)	Interviews, Observation	Distributed leadership cannot be understood in isolation from the leadership context of the setting



Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Ensley, M.D.; Hmieleski, K.M. and Pearce, C.L. (2006)	To examine the explanatory value of shared versus vertical leadership at the organisational level	417 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	Both vertical and shared leadership are significant predictors of new venture performance, though shared leadership accounts for a more significant amount of variance beyond vertical leadership variables
Klein, K.J.; Ziegert, J.C.; Knight, A.P. and Xiao, Y. (2006)	To understand the theoretical framework of team leadership in dynamic settings	120 (United States)	Qualitative (Grounded Theory)	Interviews, Observation	Dynamic Delegation, in which, the formal leader withdraws their leadership role can improve performance in dynamic settings. Dynamic Delegation is enabled by values and structures which meld hierarchical and bureaucratic structures into more flexible ones
Armistead, C.; Pettigrew, P. and Aves, S. (2007)	To examine the practical leadership aspects of multi-sector partnerships	100 (United Kingdom)	Qualitative (Thematic Analysis)	Focus Groups	Leadership in partnerships is more complex than in single organizations and require first (traits and behaviours), second (inter-personal and inter-organisational) and third (structures, processes and systems) person strategies.

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Buchanan, D.; Addicott, R; Fitzgerald, L.; Ferlie, E. and Baeza, J. (2007)	To explore the antecedents and nature of distributed change agency in a health services setting	21 (United Kingdom)	Qualitative (Thematic Analysis )	Interviews	Distributed agency can accomplish complex organisational change without the benefit of formal management structures, roles and plans
Carson, J.B., Tesluk, P.E. and Marrone, J.A. (2007)	Test conditions that support shared leadership in teams, improve conceptualization and operationalization of shared leadership construct and predict performance outcomes of shared leadership	348 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	A team's internal environment and external leader coaching are important antecedents. Coaching is particularly important where the internal environment is weak. Support and extend findings on the linkage between shared leadership and performance.
Chen, G.; Kirkman, B.L.; Kanfer, R.; Allen, D. and Rosen, B. (2007)	To examine team leader behaviour and motivation at both the team and individual level.	445 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	In more interdependent teams, Leader-member exchange influence individual performance through individual empowerment and leadership climate partly influenced through team empowerment and team empowerment moderated the relationship between performance and individual empowerment.

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Ritchie, R. and Woods, P.A. (2007)	To understand how the degrees of distribution can be differentiated in different settings	50 (United Kingdom)	Qualitative (Thematic Analysis)	Interviews	Identified three degrees of distribution, embedded, emerging and developing and the degree is dependent on playing down hierarchical aspects, sense of autonomy, internal source of change and opportunities for leadership
Scribner, J.; Sawyer, R.; Watson, S. and Myers, V. (2007)	To examine the social and situational aspects of distribution in public school teacher teams	9 (United States)	Qualitative (Discourse Analysis)	Observation, Digital recordings	Organisational conditions related to purpose and authority shapes the social distribution of leadership
Zhang, J. and Faerman, S.R. (2007)	To determine how leadership is distributed across a set of individuals in the development of a knowledge sharing system	19 (United States)	Qualitative (Thematic Analysis)	Interviews	Leadership in knowledge sharing systems development is distributed among project leaders, executives and knowledge champions in an emergent, interdependent manner.
Bolden, R.; Petrov, G. and Gosling, J. (2008)	To enhance empirical evidence base for Higher Education leadership practice in the United Kingdom	152 (United Kingdom)	Qualitative (Thematic Analysis)	Interviews, Focus Groups	Distributed leadership is a necessary feature of academic leadership and may vary in form according to the setting. Distributed Leadership has benefits and disadvantages and exists within a hierarchical leadership system

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
de Lima, J.A. (2008)	To determine how both formal and informal leadership functions are distributed from department heads to teachers	116 (Portugal)	Quantitative (Network Centrality and Density)	Questionnaires	In this setting there were four distinct patterns of distributed leadership; focused formal, multiple, alternative informal and void. Distributed leadership did not extend to teacher's professional practice (This could be an example of self-leadership in this category).
Gibbs, G; Knapper, C. and Piccinin, S. (2008)	To expand the examination of departmental leadership of teaching beyond the focus on designated leaders to include the context within which the leader is operating	19 Departments (Multinational)	Qualitative (Thematic Analysis)	Interviews	Organisational context provides a better framework for departmental leadership than the general application of leadership theories
Mascall, B.; Leithwood, K.; Straus, T. and Sacks, R. (2008)	To examine the relationship between different patterns of distributed leadership and academic optimism	1640 (Canada)	Quantitative (Variable Correlation)	On-line Questionnaire	Academic optimism is significantly and positively related to leadership distribution that is shared and the lack of optimism is significantly and negatively related to unaligned and unplanned approaches.

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Anderson, S.E.; Moore, S. and Sun, J. (2009)	To explore leadership distribution nature and patterns relative to school based sources of leadership influence	288-360 (United States)	Qualitative (Thematic Analysis)	Surveys, Interviews	Important to distinguish between additive (goal specific) and holistic (school-wide) distribution of leadership in schools, which are largely determined by the formal leader based on the external and internal influences they experience within the specific school setting.
Bryman, A. and Lilley, S. (2009)	To examine the perspectives of leadership researchers on the factors contributing to leadership effectiveness in academic departments in which they were the academic leader	24 (United Kingdom)	Qualitative (Thematic Analysis)	Interviews	Effective leadership at the Department level is more of a function of the response to contextual factors rather than specific leader characteristics or approaches.
Currie, G.; Lockett, A. and Suhomlinova, O. (2009)	To investigate the forces that facilitate and retard the implementation of distributed leadership in the public sector	51 (United Kingdom)	Qualitative (Proposition Testing)	Interviews	Distributed leadership is dependent on institutional forces that can serve to foster or limit its adoption

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Gronn, P. (2009)	To pinpoint different forms of distributed leadership	27 (Australia)	Qualitative (Hypotheses Testing)	Interviews	The nature of leadership in schools is neither entirely focused nor distributed, but a hybrid combination of the two. Hybridity occurs as a function of dealing with internal and external contingency factors
Hulpia, H.; Devos, G. and Rosseel, Y. (2009)	To develop and validate a survey instrument to measure distributed leadership	3,750 (Belgium)	Quantitative (Factor Analysis)	Questionnaires	Shared leadership for principals, assistant principals and teacher leaders formed a 2 factor model consisting of supervision and support
Kezar, A. and Lester, J. (2009)	To examine faculty perceptions on how universities support faculty grassroots leadership	81 (United States)	Qualitative (Thematic Analysis)	Interviews	Identified valuing leadership initiative, creating networks, reducing dysfunctional department dynamics, role modelling, enhancing flexibility and autonomy and altering contingent contracts as ways to engender faculty leadership

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
van Ameijde, J.D.J; Nelson, P.C.; Billsberry, J. and Van Meurs, N. (2009)	To gain an understanding of how leadership is distributed in project teams in Higher Education settings and if such distributed is correlated with the distribution of leadership	25 (United Kingdom)	Qualitative (Thematic Analysis)	Interviews	Successful distributed leadership in project teams is a function of critical organisational (tailoring message, feedback on progress and involvement of key people) and team level (information sharing, performance monitoring, activity coordination, adaptive behaviour, inclusiveness) factors and critical external (community and decision maker support) and internal (autonomy, clear goals and responsibilities, internal expertise, team size) conditions.
Chreim, S.; Williams, B.E.; Janz, L. and Dastmalchian, A. (2010)	To increase understanding of the relationship between leadership behaviour and varying levels of routine and standardization	41 (Canada)	Qualitative (Thematic Analysis)	Interviews, Meeting notes	Distributed leadership is important to accomplishing change initiatives where legitimacy, authority and influence are dispersed among partners. In such cases leadership is both planned and emergent and success is correlated with the social capital present in the partnership.

Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
Denis, J.; Langley, A. and Rouleau, L. (2010)	To examine micro level leadership practices to better understand leadership process in organizations with ambiguous authority relationships	3 Case Studies (Canada)	Qualitative (Organisational Archetypes)	Interviews, Meeting Observations, Documents	Leadership in pluralistic settings can be characterized as dynamic, collective, situated and dialectical
Heck, R.H. and Hallinger, P. (2010)	To explore how distributed leadership contributes to improving school capacity for change and student learning	13,391 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	Initial and changes to distributed leadership are significantly related to school improvement capacity and changes to distributed leadership has an indirect impact on student learning and is on par with the direct impact of improvement capacity on school achievement levels
Hiller, N.J; Day, D.V. and Vance, R.J. (2010)	To examine the presence of collective team leadership and its impact on team performance	277 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	Collective leadership involves planning and organizing, problem solving, support and consideration and development and mentoring and enactment of collective leadership was related to team members` collectivism. Collective leadership within the team was positively associated with performance



Author(year)	Project Objective	Sample (Study Location)	Project Type (Analysis)	Data Source	Primary Findings
					with development and mentoring being a particularly important factor.
Hoch, J.E.; Pearce, C.L. and Welzel, L. (2010)	To explore the relationship between age diversity and team coordination as moderators on the relationship between shared leadership and performance	96 (Germany)	Quantitative (Hypotheses Testing)	Questionnaires	Shared leadership has a positive correlation with performance when age diversity and team coordination is low.
Künzle, B.; Zala-Mezö E.; Wacker, J.; Kolbe, M.; Spahn, D.R. and Grote, G. (2010)	To describe shared leadership related to anaesthesia teams	26 (Switzerland)	Qualitative (Hypotheses Testing)	Videotapes	Team leadership tends to be positively related to performance when tasks are non-routine and low standardization
Small, E. E. and Rentsch, J.R. (2010)	To test the antecedents of shared leadership	280 (United States)	Quantitative (Hypotheses Testing)	Questionnaires	Shared leadership is positively related to team performance and to the antecedents of trust and team collectively

# Appendix I Descriptive Characteristics

## I.1 Journal Quality

Journal Quality *(CSOM) ^(ASB) Q(SJR)	Accepted Empirical Projects
4*	11
3*	5
2*	0
1*	1
3^	1
2^	1
1Q	6
2Q	4
Unrated	6
Total	35

## I.2 Project by Publishing Year

Year	Selected Empirical Studies
1996	1
1997	
2000	
2001	1
2002	4
2003	1
2004	
2005	1
2006	2
2007	7
2008	4
2009	7
2010	7
Total	35

## I.3 Project by Location

Country	Selected Projects
United States	14
United Kingdom	9
Canada	5
Australia	1
Belgium	1
Germany	1
New Zealand	1
Portugal	1
Switzerland	1
Multinational	1
Total	35

# Appendix J Data Extraction Summaries by Construct

## J.1 Authority Relations

Project	Legitimate/Position Authority	Authority Type
Supporting Faculty Grassroots Leadership	Institutional, Position, Personality	Strategic, Operational
Developing Collective Leadership in Higher Education	Institution, Position, Personality	Operational, Administrative, Strategic
Disciplinary and contextually appropriate approaches to leadership of teaching in research-intensive academic departments in higher education	Competency	Operational
Shared Leadership in Teams: An Investigation of Antecedent Conditions and Performance	Position	Operational
Shared Leadership in Teams: A Matter of Distribution	Personality	Strategic
Teacher Teams and Distributed Leadership: A Study of Group Discourse and Collaboration	Position	Operational, Administrative
The importance of vertical and shared leadership within new venture top management teams: Implications for the performance of startups	Position, Personality	N/A
Making things click: Distributive leadership in an online division of an offline organization	Position	Strategic
Exploring leadership in multi-sectorial partnerships	Personality, competency, institution	Strategic and Operational
Enacting Leadership for Collaborative Advantage: Dilemmas of Ideology and Pragmatism in the Activities of Partnership Managers	Competency	Strategic
Change agency in a primary health care context: The case of distributed leadership	Institution, position, competency, personality	Strategic
The dynamics of collective leadership and strategic change in pluralistic organizations	Personality	Strategic
Leadership and strategic change under ambiguity	Institutional, Position, Competency, Personality	Strategic
The Practice of Leadership in the Messy World of Organizations	Position, Competency, Personality	Strategic
Distributed leadership in the development of a knowledge sharing system	Position, personality, competency	Depends on the Level, Strategic and Administrative between PL and Executives, Operational between PL and Champions
Improving leadership in Higher Education institutions: a distributed perspective	Personality, competency	Strategic
Nobody in charge: Distributed change agency in healthcare	Personality, Position, Competency	Strategic

Project	Legitimate/Position Authority	Authority Type
Department in networks and distributed leadership in schools	Position, Competency	Operational (Professional Development)
The institutionalization of distributed leadership: A 'catch-22' in English public services	Institution, position	Operational
Degrees of distribution: towards an understanding of variations in the nature of distributed leadership in schools	Position, Institution	N/A
Testing a longitudinal model of distributed leadership effects on school improvement	Institution	Operational
Distributed leadership: developing theory from practice	Position, Competency	Operational
Development and Validation of Scores on the Distributed Leadership Inventory	Position, Personality	Strategic, Operational
The relationship between distributed leadership and teachers' academic optimism	Competency, Institution	N/A
Modelling Distributed Leadership and Management Effectiveness: Primary School Senior Management Teams in England and Wales	Position, Institution, Competency	Strategic, Operational, Administrative
Hybrid Leadership	Position	Operational, Administrative
Collective enactment of leadership roles and team effectiveness: A field study	Position	Operational
Dynamic Delegation: Shared, Hierarchical, and Deindividualized Leadership in Extreme Action Teams	Position, personality, competency	Strategic, Operational
Vertical Versus Shared Leadership as Predictors of the Effectiveness of Change Management Teams : An Examination of Aversive, Directive, Transactional, Transformational, and Empowering Leader Behaviors	Position, personality	Operational
A multilevel study of leadership, empowerment, and performance in teams.	Position	Operational
Is the Most Effective Team Leadership Shared? The Impact of Shared Leadership, Age Diversity, and Coordination on Team Performance	Personality	Operational
Leadership in anaesthesia teams: the most effective leadership is shared	Institutional, Position, Competency	Operational
Positioning the Principals in Patterns of School Leadership Distribution	Institutional, Position, Competency	Operational
Leadership Researchers on Leadership in Higher Education	Personality	N/A
Curriculum Leadership Roles of Chairpersons in Continuously Planning Departments	Position, Competency, Personality	Operational

## J.2 Organisational Contextual Factors

Title	Culture	Goals	People	Process	State	Structure	Time
Supporting Faculty Grassroots Leadership	Culture/Dysfunction	N/A	Demographics	Policies	Resources	N/A	N/A
Developing Collective Leadership in Higher Education	Trust	Strategies	Individual factors	Governance, task factors	N/A	Organisational Structure	N/A
Disciplinary and contextually appropriate approaches to leadership of teaching in research-intensive academic departments in higher education	Culture/Discipline	Strategies			Problems	Size	
Shared Leadership in Teams: An Investigation of Antecedent Conditions and Performance	Social Support, Participation and Input	Shared Purpose	N/A	N/A	N/A	N/A	N/A
Teacher Teams and Distributed Leadership: A Study of Group Discourse and Collaboration	Active and Passive Discourse	Purpose	N/A	task factors	N/A	Autonomy and hierarchical levels	Time as a limiting factor
Making things click: Distributive leadership in an online division of an offline organization	Culture (learning)	Strategies	N/A	Technologies	Crisis	Organisational type	Need for speed
The importance of vertical and shared leadership within new venture top management teams: Implications for the performance of startups	N/A	Vision, Goals	Individual factors	N/A	N/A	Hierarchical	Stage of venture development
Shared Leadership in Teams: A Matter of Distribution	Norms (Trust)	N/A	Individual factors (collectivity)	N/A	N/A	N/A	Time effects

Title	Culture	Goals	People	Process	State	Structure	Time
Improving leadership in Higher Education institutions: a distributed perspective	Norms	Goals and Strategies	Individual Capabilities	Coordination, Information Sharing, Performance monitoring	Change Initiative	Size, Low Formalization	N/A
Distributed leadership in the development of a knowledge sharing system	Setting of norms - collaboration and trust	Vision setting	Individual Capabilities	N/A	Provision of Resources	N/A	N/A
Exploring leadership in multi-sectorial partnerships	Ethical emphasis, trust, communication consensus norms	Vision and Commitment	Individual Capabilities	Governance and policies	Provision of Resources	Low hierarchical levels, formalization over time	Partnership Life Cycle
Enacting Leadership for Collaborative Advantage: Dilemmas of Ideology and Pragmatism in the Activities of Partnership Managers	Culture (collaborative)	N/A	Individual Capabilities	Governance (structures to support collaboration)	N/A	N/A	N/A
Change agency in a primary health care context: The case of distributed leadership	Trust	Mission	Individual Capabilities	Task Factors, Governance	Resource Acquisition	Hierarchical Levels, Formalization,	N/A
The dynamics of collective leadership and strategic change in pluralistic organizations	Social Embedded, Culture	Goal Alignment	Individual capability, Demographics	N/A	Slack Resources	Formal leadership role	Time needed for change
Leadership and strategic change under ambiguity	Professional culture	Ambiguous goals, symbolic management	Individual capability	Collegial Decision Making,	Stability or crisis	Degree of formalization	Cyclical

Title	Culture	Goals	People	Process	State	Structure	Time
The Practice of Leadership in the Messy World of Organizations	Culture	Vision	Individual factors	Governance	Crisis	Organisational type, hierarchical levels	Duration of leadership impacts
Nobody in charge: Distributed change agency in healthcare	Culture	Performance Targets	Individual characteristics	Structures to support change	Level of Stability	Networks	N/A
Department in networks and distributed leadership in schools	Culture (collaborative)	N/A	N/A	task factors	N/A	network density and centrality	N/A
The institutionalization of distributed leadership: A 'catch-22' in English public services	Negative norms	N/A	N/A	Governance	N/A	Hierarchical Levels, Formalization and Centralization	N/A
Degrees of distribution: towards an understanding of variations in the nature of distributed leadership in schools	Collaborated Culture	Collective Vision	Individual capability	N/A	Organisational Health	Facilitative structures	N/A
Testing a longitudinal model of distributed leadership effects on school improvement	N/A	Outcomes	Individual Capacity	Governance, standardization	Resource Management, Staff Turnover	Size	N/A
Distributed leadership: developing theory from practice	Norms	Goals, Vision	Individual capability	N/A	Resource availability	N/A	N/A
Development and Validation of Scores on the Distributed Leadership Inventory	Norms (support)	Vision	Individual Factors	N/A	N/A	Supervision and evaluation provided	N/A
The relationship between distributed leadership and teachers' academic optimism	Culture	Organisational Goals	Individual Capacity	Decision-Making	N/A	N/A	N/A

Title	Culture	Goals	People	Process	State	Structure	Time
Modelling Distributed Leadership and Management Effectiveness: Primary School Senior Management Teams in England and Wales	Culture	Long-term Planning	Individual Skills	Teamwork, Decision-making	N/A	Network links	N/A
Hybrid Leadership	N/A	N/A	Leadership Style	N/A	N/A	Committees	N/A
A multilevel study of leadership, empowerment, and performance in teams.	N/A	N/A	N/A	task factors	N/A	Degree of formalization, Level of Interdependence	N/A
Collective enactment of leadership roles and team effectiveness: A field study	Supportive, considerate, development and mentoring	Goal Setting	N/A		Resource Allocation	Hierarchical	N/A
Dynamic Delegation: Shared, Hierarchical, and Deindividualized Leadership in Extreme Action Teams	Leadership style formal leader	Outcomes	Individual Capabilities	task factors	Crisis	Hierarchical Levels	Time
Is the Most Effective Team Leadership Shared? The Impact of Shared Leadership, Age Diversity, and Coordination on Team Performance	Norms	Goals, Vision	Demographics	N/A	N/A	N/A	N/A
Leadership in anaesthesia teams: the most effective leadership is shared	N/A	N/A	Individual Capabilities (Experience)	Standardization	Resource Acquisition, stability or crisis	Organisational type, hierarchical levels	N/A



Title	Culture	Goals	People	Process	State	Structure	Time
Vertical Versus Shared Leadership as Predictors of the Effectiveness of Change Management Teams : An Examination of Aversive, Directive, Transactional, Transformational, and Empowering Leader Behaviors	Teamwork	Goal Setting	Individual leadership styles	N/A	N/A	N/A	N/A
Positioning the Principals in Patterns of School Leadership Distribution	Norms	Goals	Individual Expertise	Process (Decision-making)	Resource Availability	Formal Structures, Committees	N/A
Leadership Researchers on Leadership in Higher Education	Culture, values	N/A	Nature of academics	N/A	N/A	Collegial Structure	N/A
Curriculum Leadership Roles of Chairpersons in Continuously Planning Departments	Culture of discipline	N/A	N/A	N/A	N/A	Department Size	N/A

### J.3 Shared and Distributed Leadership

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Supporting Faculty Grassroots Leadership	N/A	N/A	N/A	Both	N/A	Strategic, Administrative and Operational	N/A
Developing Collective Leadership in Higher Education	N/A	N/A	N/A	Both	N/A	Strategic, Operational	N/A
Disciplinary and contextually appropriate approaches to leadership of teaching in research-intensive academic departments in higher education	N/A	N/A	Both	Both	N/A	Operational	N/A
Shared Leadership in Teams: An Investigation of Antecedent Conditions and Performance	N/A	institutional practices	Emergent	Both	N/A	Operational	Autonomous

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Teacher Teams and Distributed Leadership: A Study of Group Discourse and Collaboration	Reciprocal	Institutionalized Practice	Planned	Informal Roles	Collaborative	Operational	Autonomous
Making things click: Distributive leadership in an online division of an offline organization	Synergy	Spontaneous collaboration	Emergent	Formal Roles	Collaborative	Strategic	Autonomous
The importance of vertical and shared leadership within new venture top management teams: Implications for the performance of startups	N/A	N/A	N/A	Both	N/A	N/A	N/A
Shared Leadership in Teams: A Matter of Distribution	N/A	N/A	N/A	Informal	N/A	Strategic	N/A
Improving leadership in Higher Education institutions: a distributed perspective	Reciprocal	Intuitive working relationships	Both	Both	Collaborative and Collective	Strategic	Autonomous

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Distributed leadership in the development of a knowledge sharing system	Both	Spontaneous collaboration	Emergent	Both	Collaborative	Depending on level, Strategic and Administrative between Managers and Operational between PL and members	Autonomous
Exploring leadership in multi-sectorial partnerships	N/A	N/A	Emergent	Both	N/A	Strategic and Operational	Ad Hoc
Enacting Leadership for Collaborative Advantage: Dilemmas of Ideology and Pragmatism in the Activities of Partnership Managers	N/A	Spontaneous collaboration	Emergent	Informal Roles	Collaborative	Strategic	Ad Hoc
Change agency in a primary health care context: The case of distributed leadership	Synergy	Spontaneous collaboration	Planned and Emergent	Both	Collective and Coordinated	Strategic	Autonomous
The dynamics of collective leadership and strategic change in pluralistic organizations	N/A	N/A	Emergent	Formal Roles	Coordinated	Strategic	Ad Hoc

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Leadership and strategic change under ambiguity	Reciprocal	Intuitive working relationships	Both	Both	Coordinated	Strategic	Ad Hoc
The Practice of Leadership in the Messy World of Organizations	Synergy	Spontaneous collaboration, Intuitive working relations	Emergent	Both	Collaborative	Strategic	Ad Hoc
Nobody in charge: Distributed change agency in healthcare	Synergy	Spontaneous collaboration, Intuitive working relations	Both	Both	N/A	Strategic	Autonomous and Ad Hoc
Department networks and distributed leadership in schools	Reciprocal	institutional practices, spontaneous collaboration	Both	Both	Collaborative, Coordinated and Parallel	Administrative (Professional Development)	Autocratic
The institutionalization of distributed leadership: A 'catch-22' in English public services	N/A	N/A	Planned	Formal Roles	N/A	N/A	Autocratic
Degrees of distribution: towards an understanding of variations in the nature of distributed leadership in schools	N/A	N/A	Both	Both	N/A	N/A	Autocratic

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Testing a longitudinal model of distributed leadership effects on school improvement	N/A	N/A	Planned	N/A	N/A	Operational	N/A
Distributed leadership: developing theory from practice	Reciprocal	Spontaneous collaboration	Both	Both	Collaborative	Operational	Autonomous
Development and Validation of Scores on the Distributed Leadership Inventory	N/A	N/A	N/A	Both	N/A	Strategic and Operational	N/A
The relationship between distributed leadership and teachers' academic optimism	N/A	Institutional Practices	Planned	N/A	N/A	N/A	Autocratic
Modelling Distributed Leadership and Management Effectiveness: Primary School Senior Management Teams in England and Wales	Reciprocal	Intuitive working relationships, Institutional practices	Planned	Formal Roles	Collaborative	Strategic, Operational, Administrative	Autocratic
Hybrid Leadership	Reciprocal	Intuitive working relations	Both	Formal Roles	Collective and Coordinated	Operational, Administrative	Autocratic

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
A multilevel study of leadership, empowerment, and performance in teams.	Reciprocal	Institutional practices	Planned	Formal Roles	Collaborative distribution in teams with results	Operational	Autocratic
Collective enactment of leadership roles and team effectiveness: A field study	N/A	Institutionalized Practice	Planned	Both	Varied	Operational	Autocratic
Dynamic Delegation: Shared, Hierarchical, and Deindividualized Leadership in Extreme Action Teams	Reciprocal	Institutionalized Practice	Emergent	Formal Roles	Coordinated	Strategic and Operational	Autocratic
Is the Most Effective Team Leadership Shared? The Impact of Shared Leadership, Age Diversity, and Coordination on Team Performance	N/A	N/A	N/A	Informal Roles	N/A	Operational	N/A
Leadership in anaesthesia teams: the most effective leadership is shared	Reciprocal	Spontaneous collaboration	Emergent	Both	Coordinated	Operational	Autocratic

Title	Conjoint Agency	Concertive Action	Nature	Leadership Engagement	Interdependence	Leadership Actions/ Practices	Stimulus
Vertical Versus Shared Leadership as Predictors of the Effectiveness of Change Management Teams : An Examination of Aversive, Directive, Transactional, Transformational, and Empowering Leader Behaviors	N/A	N/A	Both	Formal Roles	N/A	Operational	Autonomous
Positioning the Principals in Patterns of School Leadership Distribution	Reciprocal	Institutional Practices	Planned	Formal Roles	Collective, Coordinated	Operational	Autocratic
Leadership Researchers on Leadership in Higher Education	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Curriculum Leadership Roles of Chairpersons in Continuously Planning Departments	N/A	N/A	N/A	N/A	N/A	N/A	N/A



## Appendix K Data Synthesis Organisational Contextual Factors

Structural Type	Contextual Factors														
		Culture		Goals		People		Process		State		Structure		Time	
Authority Structure	# Studies	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor
Collegial	5	5	100%	2	40%	3	60%	3	60%	3	60%	4	80%	0	0%
Independent Teams	5	4	80%	4	80%	2	40%	2	40%	1	20%	3	60%	4	80%
Inter-organisational	9	9	100%	9	100%	9	100%	9	100%	9	100%	9	100%	4	44%
Traditional Hierarchy	10	8	80%	6	60%	7	70%	6	60%	4	40%	8	80%	0	0%
Hierarchical Based Teams	6	4	67%	4	67%	4	67%	4	67%	3	50%	4	67%	1	17%
	35	30	86%	25	71%	25	71%	24	69%	20	57%	28	80%	9	26%

## Appendix L Synthesis – Authority

### L.1 Authority Source

Authority Source – Structural Type									
Hierarchical Structure Type	Position			Personality		Institutional		Competency	
	# Studies	# Studies	% of Structure Type	# Studies	% of Structure Type	# Studies	% of Structure Type	# Studies	% of Structure Type
Collegial	5	3	60%	4	80%	2	40%	2	40%
Independent Teams	5	4	80%	3	60%	1	20%	1	20%
Inter-organisational	9	5	56%	7	78%	2	22%	7	78%
Traditional Hierarchy	10	7	70%	1	10%	5	50%	4	40%
Hierarchical Based Teams	6	5	83%	2	33%	1	17%	2	33%
Total	35	23	66%	15	43%	11	31%	15	43%
Authority Source – Hierarchical Level									
Hierarchical Structure Level	Position			Personality		Institutional		Competency	
	# Studies	# Studies	% of Structure Type	# Studies	% of Structure Type	# Studies	% of Structure Type	# Studies	% of Structure Type
Low	19	12	63%	14	74%	5	26%	10	53%
High	16	12	75%	3	19%	6	38%	6	38%

## L.2 Delegated Autonomy

Professional Autonomy – Structural Type							
		<i>Strategic</i>		<i>Operational</i>		<i>Administrative</i>	
Hierarchical Structure Type	# Studies	# Studies	% of Structure Type	# Studies	% of Structure Type	# Studies	% of Structure Type
Collegial	5	2	40%	4	80%	1	20%
Independent Teams	5	3	60%	2	40%	1	20%
Inter-organisational	9	9	100%	2	22%	1	11%
Traditional Hierarchy	10	2	20%	7	70%	1	10%
Hierarchical Based Teams	6	1	17%	6	100%	0	0%
Total	35	17	49%	21	60%	4	11%

Professional Autonomy – Hierarchical Level							
		<i>Strategic</i>		<i>Operational</i>		<i>Administrative</i>	
Hierarchical Structure Level	# Studies	# Studies	% of Activity Type	# Studies	% of Activity Type	# Studies	% of Activity Type
Low	19	14	74%	8	42%	3	16%
High	16	3	19%	13	81%	1	6%

## Appendix M Synthesis – Organisational Contextual Factors

### M.1 Contextual Richness

Hierarchical Structure Type	# Studies	Factors	Factor Total	Factors Cited	Context Score
Inter-organisational	9	7	63	58	0.9206
Collegial	5	7	35	20	0.5714
Independent Teams	5	7	35	20	0.5714
Hierarchical Based Teams	6	7	42	24	0.5714
Hierarchical Based Teams	10	7	70	39	0.5571

### M.2 Frequency of Citation

Structural Type	High (>67%)	Low (<50%)
Collegial	Culture, Structure	Goals, Time
Independent Teams	Culture, Goals, Structure, Time	People, State
Inter-organisational	Culture, Goals, People, Process, State, Structure	Time
Traditional Hierarchy	Culture, Structure, People	Time
Hierarchical Based Teams	Culture, Goals, People, Process, Structure	Time

### M.3 Level of Hierarchy

Level of Hierarchy	<i>Culture</i>			<i>Goals</i>		<i>People</i>		<i>Process</i>		<i>State</i>		<i>Structure</i>		<i>Time</i>	
	# Studies	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor	# Studies	% of with Factor
Low	19	18	95%	15	79%	14	74%	14	74%	13	68%	16	84%	8	42%
High	16	12	75%	10	63%	11	69%	10	63%	7	44%	12	75%	1	6%

## Appendix N Synthesis – Shared and Distributed Leadership Factors

### N.1 Conjoint Agency

		Reciprocal		Synergy	
Hierarchical Structure Type	# Studies	# Studies	% of Agency Type	# Studies	% of Agency Type
Collegial	5	0	0%	0	0%
Independent Teams	5	1	20%	1	20%
Inter-organisational	9	3	33%	4	44%
Traditional Hierarchy	10	5	50%	0	0%
Hierarchical Based Teams	6	3	50%	0	0%
<b>Total</b>	35	12	34%	5	14%
Level of Hierarchy		Reciprocal		Synergy	
	# Studies	# Studies	% of Agency Type	# Studies	% of Agency Type
<b>Low</b>	19	4	21%	5	26%
<b>High</b>	16	8	50%	0	0%

### N.2 Concertive Action

		Institutional practices		Intuitive working relationships		Spontaneous collaboration	
Hierarchical Structure Type	# Studies	# Studies	% of Action Type	# Studies	% of Action Type	# Studies	% of Action Type
Collegial	5	0	0%	0	0%	0	0%
Independent Teams	5	2	40%	0	0%	1	20%
Inter-organisational	9	0	0%	4	44%	5	56%
Traditional Hierarchy	10	4	40%	2	20%	1	10%
Hierarchical Based Teams	6	3	50%	0	0%	1	17%
Total	35	9	25.7%	6	17%	8	23%
Level of Hierarchy		Institutional practices		Intuitive working relationships		Spontaneous collaboration	
	# Studies	# Studies	% of Agency Type	# Studies	% of Agency Type	# Studies	% of Activity Type
<b>Low</b>	19	2	11%	4	21%	6	32%
<b>High</b>	16	7	44%	2	13%	2	13%

### N.3 Nature of Emergence

Hierarchical Structure Type	# Studies	Planned		Emergent		Both	
		# Studies	% of Nature Type	# Studies	% of Nature Type	# Studies	%
Collegial	5	3	60%	3	60%	1	20%
Independent Teams	5	1	20%	2	40%	0	0%
Inter-organisational	9	4	44%	9	100%	3	33%
Traditional Hierarchy	10	5	50%	0	0%	4	40%
Hierarchical Based Teams	6	3	50%	3	50%	1	17%
Total	35	20	57%	17	49%	9	26%

Level of Hierarchy	# Studies	Planned		Emergent	
		# Studies	% of Nature Type	# Studies	% of Nature Type
Low	19	8	42%	14	74%
High	16	8	50%	3	19%

### N.4 Leadership Engagement

Hierarchical Structure Type	# Studies	Formal		Informal	
		# Studies	% of Engagement Type	# Studies	% of Engagement Type
Collegial	5	3	60%	3	60%
Independent Teams	5	3	60%	4	80%
Inter-organisational	9	8	89%	8	89%
Traditional Hierarchy	10	8	80%	4	40%
Hierarchical Based Teams	6	5	83%	3	50%
Total	35	27	77%	22	63%
Level of Hierarchy	# Studies	# Studies	% of Engagement Type	# Studies	% of Engagement Type
Low	19	14	74%	15	79%
High	16	13	81%	7	44%
	35	27	77%	22	63%

## N.5 Co-performance

		Collaborative		Collective		Coordinated		Parallel	
<b>Hierarchical Structure Type</b>	# Studies	# Studies	% of Type	# Studies	% of Type	# Studies	% of Type	# Studies	% of Type
<b>Collegial</b>	5	0	0%	0	0%	0	0%	0	0%
<b>Independent Teams</b>	5	2	40%	0	0%	0	0%	0	0%
<b>Inter-organisational</b>	9	4	44%	2	22%	3	33%	0	0%
<b>Traditional Hierarchy</b>	10	3	30%	2	20%	3	30%	1	10%
<b>Hierarchical Based Teams</b>	6	1	17%	1	17%	3	50%	0	0%
Total	35	10	29%	5	14%	9	26%	1	3%
<b>Level of Hierarchy</b>	# Studies	# Studies	% of Type	# Studies	% of Type	# Studies	% of Type	# Studies	% of Type
<b>Low</b>	19	6	32%	2	11%	3	9%	0	0%
<b>High</b>	16	4	25%	3	19%	6	38%	1	6%



## N.6 Leadership Tasks

Hierarchical Structure Type	# Studies	Strategic		Operational		Administrative	
		# Studies	% of Task Type	# Studies	% of Task Type	# Studies	% of Task Type
<b>Collegial</b>	5	2	40%	1	20%	2	40%
<b>Independent Teams</b>	5	2	40%	2	40%	0	0%
<b>Inter-organisational</b>	9	9	100%	2	22%	0	0%
<b>Traditional Hierarchy</b>	10	2	20%	6	60%	3	30%
<b>Hierarchical Based Teams</b>	6	1	17%	6	100%	0	0%
Total	35	16	46%	17	49%	5	14%
Level of Hierarchy	# Studies	# Studies	% of Action Type	# Studies	% of Action Type	# Studies	% of Action Type
<b>Low</b>	19	14	74%	5	26%	2	11%
<b>High</b>	16	3	19%	12	75%	3	19%

## N.7 Delegation Mechanism

		Autonomous		Ad Hoc		Autocratic	
<b>Hierarchical Structure Type</b>	# Studies	# Studies	% of Stimulus Type	# Studies	% of Stimulus Type	# Studies	% of Stimulus Type
Collegial	5	0	0%	0	0%	0	0%
Independent Teams	5	3	60%	0	0%	0	0%
Inter-organisational	9	4	44%	6	67%	0	0%
Traditional Hierarchy	10	1	10%	0	0%	7	70%
Hierarchical Based Teams	6	1	17%	0	0%	4	67%
Total	35	9	26%	6	17%	11	31%
<b>Level of Hierarchy</b>	# Studies	# Studies	% of Stimulus Type	# Studies	% of Stimulus Type	# Studies	% of Stimulus Type
Low	19	7	37%	6	32%	0	0%
High	16	2	13%	0	0%	11	69%

# Appendix O Interview Protocol

## Introduction - Study Background

As you may be aware for my DBA dissertation I have been examining departmental leadership, particularly in business schools. I am particularly interested in examining the role of faculty members in departmental leadership initiatives and would like to speak with you about your own personal experience.

The interview will be confidential. While I will be taping the interview, once the transcripts are completed the tape will be erased and the transcript will not identify participants by name. If you are interested I will make the transcript available to you for your review and revision. I am also happy to provide my final report to you, if you would like it.

This project has gone through the Ethical Review Process at both \_\_\_\_\_ University and Cranfield Universities and I have a detailed description of the project and a consent form for you to sign prior to the start of the interview.

## Signing of Form

Before I begin do you have any questions about the project?

## **Interview Questions**

### **Personal Warm-up**

3. Please outline your career history as a faculty member.
4. How long have you been in your current position?
5. What did you do prior to starting your academic career

### **Personnel Involvement**

6. In your experience do faculty members engage in leadership at a department level and if so what form or forms does the leadership take?
7. In the performance of your role as a faculty member have you taken a leadership role in any department related activities<sup>10</sup>?
8. For the activities, if any, you have cited can you identify when you performed the activity and what the activity involved. (Who initiated) (If asked/chair or peer – who asked and what influenced your decision to undertake the activity/role)
9. For each activity within the past 3 years, can you describe your motivation for undertaking these roles<sup>11</sup>?
10. What factors, if any, either within the department or external to it do you think may have been an influence in your decision to play a leadership role?
11. If not self-initiated, ask why not undertake department leadership under own initiative

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<sup>10</sup> For those who have not identified any activities, the interview will continue with Q. 5a

<sup>11</sup> For those who have not identified any recent involvement, the interview will continue with Q. 7b

12. In addition to the activities that you had a leadership role, you noted other activities (or were presented with other examples) that you did not take a leadership role, what were your reasons for not taking a leadership role in these activities?
13. Are you satisfied with the level of department activities that you take a leadership role? If not what would you change?
14. Do you see the level of your involvement changing in any way in the future?
15. I am interested in examining the relationship between member leadership and departmental culture, how would you describe the culture of your department (have definition)
16. Are there cultural factors that affect your decision as to whether or not to undertake departmental leadership activities and/or roles?

**For faculty who have not taken any leadership role**

- 5a. Why have you chosen to not undertake leadership initiatives as part of your role as a faculty member?
- 6a. Can you foresee a time when your decision to not take a leadership role as a faculty member may change? (If yes, then when and how)
- 7a. What factors may influence your decision to undertake such a role?
8. I am interested in examining the relationship between member leadership and departmental culture, how would you describe the culture of your department (have definition)
9. Are there cultural factors that affect your decision as to whether or not to undertake departmental leadership activities and/or roles?

**For faculty who have not taken a role in the past 3 years**

- 7b. Why have you not undertaken leadership initiatives as part of your role as a faculty member more recently?

- 8b. Can you foresee a time when your decision to not take a leadership role as a faculty member may change? (If yes, then when and how)
- 9b. What factors may influence your decision to undertake such a role?
10. I am interested in examining the relationship between member leadership and departmental culture, how would you describe the culture of your department (have definition)
11. Are there cultural factors that affect your decision as to whether or not to undertake departmental leadership activities and/or roles?

**Close**

Those are all the questions I have for you, is there anything you wish to add or ask before we conclude the interview?

Thank you for participating in the interview

## Appendix P Tree Code Structure – Leadership Themes

Theme	Category	Branches	Codes
<b><i>Nature of Leadership</i></b>	<i>Project Based Committee Work Strategic Initiatives Individual Focus Lack of Collaboration</i>		
<b><i>Leadership Activities</i></b>	<i>Academic Activities Student Activities Committees</i>		
<b><i>Contested Construct</i></b>	<i>Leadership Requirements Leadership vs. Participation Differences in organizations</i>		

## Appendix Q Classification Leadership/Management Activities

Member	Activity	Leadership/ Management	Rationale for Classification
F1	Student Case competition	Management (Structure)	Regular part of department's program
F2	Student Career Fair	Management (Structure)	Regular part of department's program
F3	Committee Leadership - Hiring	Management (Structure)	Regular part of department's program
F8	Committee Leadership – Hiring	Management (Structure)	Regular part of department's program
F10	Hiring Committee Chair	Management (Structure)	Regular part of department's program
F11	Coordination CE Program	Management (Structure)	Regular part of department's program
F14	Student Case Competition	Management (Structure)	Regular part of department's program
F14	Student Organization	Management (Structure)	Regular part of department's program
F15	Department Representation	Management (Structure)	Regular part of department's program
F16	Student Case Competition	Management (Structure)	Regular part of department's program
F19	Curriculum Committee – Chair	Management (Structure)	Regular part of department's program
F19	Student Organization	Management (Structure)	Regular part of department's program
F19	Student Organization	Management (Structure)	Regular part of department's program
F20	Course Coordination	Management (Structure)	Regular part of department's program
F25	Department Representative	Management (Structure)	Regular part of department's program
F26	Department Representative	Management (Structure)	Regular part of department's program
F26	Department Representative	Management (Structure)	Regular part of department's program
F26	Student Organization	Management (Structure)	Regular part of department's program
F26	Student Organization	Management (Structure)	Regular part of department's program
F26	Student Organization	Management (Structure)	Regular part of department's program
F26	Student Organization	Management (Structure)	Regular part of department's program
F26	Department Council Chair	Management (Structure)	Regular part of department's program
F26	Curriculum Committee Chair	Management (Structure)	Regular part of department's program
F4	Department Program Review	Management (Process)	Regular part of department's program



Member	Activity	Leadership/ Management	Rationale for Classification
F22	Department Program Review	Management (Process)	Regular part of department's program
F28	Department Program Review	Management (Process)	Regular part of department's program
F2	Student Mentoring Program	Leadership (Structure)	New program created by member
F4	Program Development - New Minor	Leadership (Structure)	New program created by member
F5	New Student Organization	Leadership (Structure)	New organization created by member
F5	New Research Institute	Leadership (Structure)	New Institute created by member
F11	External Liaison	Leadership (Structure)	New external relation instituted by member
F11	Course Development	Leadership (Structure)	New course developed by member
F14	Case Competition Workshop	Leadership (Structure)	New program created by member
F17	New Research Institute	Leadership (Structure)	New Institute created by member
F19	New Research Institute	Leadership (Structure)	New Institute created by member
F22	Course Development – Case Studies	Leadership (Structure)	New course developed by member
F25	External Liaison	Leadership (Structure)	New external relation instituted by member
F25	Course Development - Field Work	Leadership (Structure)	New course developed by member
F26	Program Development – New Degree Program	Leadership (Structure)	New program created by member
F22	Program Development – New Degree Program	Leadership (Structure)	New program created by member
F4	Department Research Plan	Leadership (Process)	New periodic process created by member
F12	Introduction of New Database	Leadership (Process)	New resource created by member
F19	Department Research Plan	Leadership (Process)	New periodic process created by member
F21	Department Research Plan	Leadership (Process)	New periodic process created by member
F23	Introduction of New Classroom Technology	Leadership (Process)	New resource created by member
F25	Department Research Plan	Leadership (Process)	New periodic process created by member
F5	Student Field Trip	Leadership (Activity)	New activity created by member
F5	Conference Planning	Leadership (Activity)	Organized conference hosted by department
F5	Student Special Event	Leadership (Activity)	New event created by member
F5	Student Special Event	Leadership (Activity)	New event created by member
F14	Student Mentoring	Leadership (Activity)	New activity undertaken by member

## Appendix R Forms of Distributed Leadership

### R.1 Quadrant 1 (Concertive/Formal Delegation Mechanism)

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D5	F21	Department Research Plan	Process	Volunteered	Research plan led by two members (concertive), who volunteered to undertake the initiative (formal mechanism)
D5	F25	Department Research Plan	Process	Volunteered	Research plan led by two members (concertive), who volunteered to undertake the initiative (formal mechanism)

### R.2 Quadrant 2 (Not Concertive/Formal Delegation Mechanism)

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D1	F2	Student Mentoring Program	Structure	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D1	F4	Department Research Plan	Process	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D1	F4	Program Development – New Minor	Structure	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D4	F18	Curriculum Development	Activity	Volunteer	Member volunteered to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D4	F19	Department Research Plan	Process	Volunteer	Member volunteered to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D4	F19	New Research Institute	Structure	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D4	F19	Symposium Planning	Activity	Volunteer	Member volunteered to lead this initiative (formal mechanism) and leadership action was performed on an individual basis (not concertive).
D5	F22	Curriculum Development – Cherette	Activity	Volunteer	Member volunteered to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D5	F22	Program Development – New Degree Program	Structure	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D6	F26	Program Development - New Degree Program	Structure	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).
D7	F28	Program Development – New Course Content	Activity	Asked	Member was asked to lead this initiative (formal mechanism) and the leadership action was performed on an individual basis (not concertive).

### R.3 Quadrant 3 (Concertive/Informal Delegation Mechanism)

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D1	F5	Student Field Trip	Activity	Self	Leadership shared between two members (concertive) who initiated the action on their own (informal).
D1	F5	Conference Planning	Activity	Self	Leadership shared between two members (concertive) who initiated the action on their own (informal).
D1	F5	Establishment of New Student Organization	Structure	Self	Leadership shared between two members (concertive) who initiated the action on their own (informal).
D1	F5	New Research Institute	Structure	Self	Leadership shared between two members (concertive) who initiated the action on their own (informal).
D2	F10	Building a Positive Departmental Culture	Change	Self	Several members joined together (concertive) to initiate on their own (informal) measures to change departmental culture.
D3	F14	Case Competition Workshop	Structure	Self	Activity co-led by two members (concertive), who initiated the workshop on their own (informal).
D3	F17	New Research Institute	Structure	Self	Research Institute created by two members (concertive), who initiated the Institute on their own (informal).

### R.4 Quadrant 4 (Not Concertive/Informal Delegation Mechanism)

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D1	F5	Student Special Event	Activity	Self	This event for departmental students was organized independently by a single faculty (not concertive) the activity was initiated by the member (informal)
D1	F5	Student Special Event	Activity	Self	This event for departmental students was organized independently by a single faculty (not concertive) the activity was initiated by the member (informal)

Depart.	Faculty Member	Leadership Activity	Type	Method of Initiation	Rationale
D2	F11	External Liaison	Structure	Self	The liaison was initiated by the member (informal) and relationship only involved the member (not concertive)
D2	F11	New Course Development	Structure	Self	A new course was initiated by the member (informal) and developed on their own (not concertive).
D2	F12	Introduction of New Database	Process	Self	Only unit member involved in the implementation of the database (not concertive) the activity was initiated by the member (informal)
D3	F14	Student Mentoring	Activity	Self	Mentoring carried out as an individual activity (not concertive) and initiated by the member (informal)
D3	F14	Faculty Mentoring	Activity	Self	Mentoring carried out as an individual activity (not concertive) and initiated by the member (informal)
D3	F15	Student Mentoring	Activity	Self	Mentoring carried out as an individual activity (not concertive) and initiated by the member (informal)
D4	F22	Program Development – Service Learning	Activity	Self	A single member was responsible for developing the program for inclusion in the department's curriculum (not concertive), the activity was initiated by the member (informal)
D5	F22	Course Development – Case Studies	Structure	Self	Only unit member involved in course development and implementation (not concertive), the activity was initiated by the member (informal)
D5	F22	Course Development – Simulations	Activity	Self	A single member was responsible for developing the program for inclusion in the department's curriculum (not concertive), initiative was initiated by member (informal)
D5	F23	Introduction of New Classroom Technology	Process	Self	Only unit member involved in implementing new classroom (not concertive) technology, which was initiated by member (informal)
D5	F25	Course Development - Field Work	Structure	Self	The course was developed and implemented by an individual member (not concertive) the activity was initiated by the member (informal)
D5	F25	Conference Planning	Activity	Self	The conference was organized by a single member of the department (not concertive) the activity was initiated by the member (informal)
D5	F25	External Liaison	Structure	Self	Only unit member involved in establishing departmental relationship with external liaison (not concertive), initiative was initiated by member (informal)

## Appendix S Tree Code Structure - Contextual Factors

Theme	Category	Branches	Codes
<b>People/composition</b>	<i>Demographic Factors</i>	Employment Status Age	Tenured Untenured
	<i>Individual Characteristics</i>	Skill Match Workload Workplace Presence Incentives Change Efficacy	Skill Development
<b>Business School Governance Factors</b>	<i>Faculty Autonomy</i>	Work Requirements Service Research Importance	
	<i>Role of Chair</i>		
	<i>Committee Requirements</i>		
<b>Culture/Climate</b>	<i>Culture</i>	Collegial Negative Transition Counterculture	
	<i>Chair Leadership Style</i>	Controlling Supportive	
<b>Goals/Purposes</b>	<i>Member Interests</i>	Passion	
	<i>Social Value Orientation</i>	Pro-Social	
	<i>Sense of Obligation</i>	Leadership Gap	
<b>State/Condition</b>	<i>Resource Availability</i>		
<b>Structure</b>	<i>Size</i>		
<b>Time</b>	<i>Succession History</i>		
	<i>Duration of Effects</i>		

## Appendix T People/Composition Factors – Individual Characteristics

Factor	Code	Respondents	Illustrative Quote
Skill Match		N = 20/28	<i>“So that’s why I you know propose the idea and follow through. And also part of it you know is just trying to maximize my expertise in my contribution. It’s I feel like that’s an area I feel comfortable, I have connections, I can contribute in my unique ways” (Tenured Member, Department 4).</i>
	Skill Development	N = 2/28	<i>“For me, it’s alright because it’s a new kind of experience; I’ve never done it before so I want to give it a try” (Untenured member, Department 4).</i>
Workload		N = 13/28	<i>“In terms of time commitment, I’m satisfied because I don’t think it would be fair to take on more, because one has to try to do an honest work as an educator, and to stay current and stay top on your field. That’s continuous work. To deal with a growing number of students, teach them, and the grade their papers and help them through their academic career, as an educator is a lot more than just dishing out facts and course content. That’s continuous work. To do research on top of that; so basically when it comes to time management if I participate in causes and committees I give my best, but I don’t think I have more ambitions and I don’t think I have more to give because then sometimes going to give. Then probably then my research would suffer, or my teaching would suffer at the expense of doing more administrative work or committee work. So that’s a very fine balance, how one can manage the resources given” (Tenured member, Department 1).</i>
Workplace Presence		N = 6/28	<i>“Because we’re here for teaching and if we want to get any research done you know you do that at home basically and a lot of us live quite a ways away so it’s harder to get in here, so were restricted” (Tenured Member, Department 2).</i>
Incentives		N = 6/28	<i>Ok, put it this way, when people want to take a role to be a leader to drive whatever projects, he or she often wants to see some kind of reward. No matter if it’s like as simple a reward as a word of ‘thank you very much’ or you know, the organization appreciates your work. Or like a financial reward, or some kind of recognition” (Untenured member, Department 2).</i>
Change Efficacy		N = 6/28	<i>“I don’t have any ambitions to be more involved in the leadership because I’m very skeptical in terms of, with the best of intentions, how one can actually make meaningful changes” (Tenured member, Department 1).</i>

## Appendix U Processes Factors

Factor	Code	Responses	Illustrative Quote
Faculty Member Autonomy		N = 14/28	<i>"I had a teacher here, a new research person, who I said, 'you weren't at the meeting last week; she said 'David can't tell me what to do'. I said, well he's the head of the department? She said, 'well that doesn't mean anything in University' and I said 'oh, ok'. So I found that was an interesting conversation" (Untenured faculty, Department 1).</i>
	Work Requirements	N = 5/28	<i>"At various levels, and then your expected, because when you're hired you understand that. There's three parts that you must participate; there's the teaching, there's the research, and there's the outreach, or service" (Tenured Faculty, Department 4).</i>
	Service	N = 14/28	<i>"That means that the big focus of virtually everybody is on research. A lesser focus on teaching and a minimal focus on service" (Tenured faculty, Department 3).</i>
	Research Importance	N = 15/28	<i>"I'm going to need to cut back, because the university doesn't reward it. I can just imagine trying to get hired; I don't think they really care about it, the service. The tenure track they're only going to care about research, so I guess service doesn't matter. Right, so you could probably do better if you did nothing, right, and just did research. Right, and your career path would go better which doesn't make sense to me, but I think that is the culture I'm noticing" (Untenured faculty, Department 1).</i>
Role of Chair/Director		N = 14/28	<i>"And when I looked at what I called the Bermuda Triangle of for instance my own promotion, so there is a departmental boss who is not my boss; and he can't hire, fire, demote, promote me, but running the department where I am employed" (Tenured faculty, Department 1).</i>
Committee Requirements		N = 21/28	<i>"You know we need so many people on a committee so people just show up and they fulfill their duties versus actually being, you know...leadership...trying to make committees or whatever work better, more efficient" (Tenured faculty, Department 1)</i>



## Appendix V Culture/Climate Factors

Factor	Code	Respondents	Illustrative Quote
Culture	Collegial	N = 21/28	<i>"It's collegial but you know it's more sort of the department that, you know I've been out to lunch with most of my colleagues, we don't, you know hang out together on the weekends or anything like that. It's not that kind of chummy department, so. Yeah, yeah, yeah, yeah. Um I mean I think the fact that, I mean there's probably an irony here, the fact that other people do seem willing to take on leadership roles, makes it you know makes it easier to do it yourself without feeling resentment right. You don't feel like, you know god dammit it's me again, kind of thing. I can imagine that because yeah everyone you know literally everyone in the department takes a leadership role in different aspects of the departments work"</i> (Tenured member, Department 5)
	Negative	N = 4/28	<i>"Our particular department, the atmosphere I guess or the morale or alignment amongst interest in faculty members has evolved just lately, like in the last couple years to be not very conducive to people wanting to take a leadership role"</i> (Tenured member, Department 7).
	Transition	N = 5/28	<i>"The fact that the culture went from one before where if you said the wrong thing there could be...you know you were worried about negative consequences. To now, you know there's this core understanding so you know if you make a mistake, say the wrong thing, people are more understanding. And so that makes it easier to take a leadership position because you don't feel that there's people waiting for you to fail, instead they want you to succeed"</i> (Tenured member, Department 2).
	Counter-culture	N = 4/28	<i>"Yes, I think that in our department there...not that it has ended up actually influencing me to date, but there are moments where the counterculture that exists, again limited, but it tends to be a demotivater to taking on additional leadership roles"</i> (Tenured member, Department 6).
Chair Leadership Style	Controlling	N = 6/28	<i>"Our last Chair was not conducive to do that, she was very controlling and never wrong, and never looked for input, except when she asked for it, which was seldom, at least in my experience"</i> (Tenured member, Department 2).
	Supportive	N = 8/28	<i>"In leadership, I think that if the leadership within, the formal leadership, within the department or school is positive and moving in a direction that you agree with, that you aspire to and things like that, then I think people are keen to be a part of that. Or, that you are part of creating that future that you have an opportunity to participate in creating that. I think those are all very positive culture"</i> (Tenured member, Department 1).

## Appendix W Goals/Purposes

Factor	Code	Respondents	Illustrative Quote
Member Interests		N = 10/28	<i>"Oh yeah. I mean everything I try to do I try to do in ways which actually parallel my own expertise and my own interests. I really don't think there's...it's valuable for me to take on something that basically...potentially I wouldn't do a good job, because it just doesn't parallel my own interests and expertise. So I purposely take on the ones that I think are a good fit with who I am as a person"</i> (Untenured member, Department 5).
	Passion	N = 12/28	<i>"Yeah, yeah. I mean would I have stepped up if I hadn't had the requirement? Yeah maybe. I mean I'm not here for the money, I'm not here for anything else than I love the kids. So my, what I think a teacher should do is do anything they can to be closer to the kids and know the kids, as opposed to whatever else happens around here"</i> (Untenured member, Department 1).
Social Value Orientation	Pro-social	N = 15/22	<i>"I volunteered to do these things, or to lead these initiatives. But certainly my history, my background and history over the years whether it's coaching, or leading an organization in business, that...that allowed me to understand that I truly am motivated by helping. So when the opportunities come about, I do that, I volunteer"</i> (Tenured member, Department 6).
Sense of Obligation		N = 10/22	<i>"Doing those things I find very fulfilling, and I feel it is a right and proper role for people at, certainly at my stage of career to start giving back the other way to the University"</i> (Tenured member, Department 1).
	Leadership Gap	N = 5/22	<i>"I think really there was no one who wanted to you know take the initiative or the time to try and organize these seminars"</i> (Untenured member, Department 3).

## Appendix X State/Condition Factors

Factor	# of Respondents	Exemplary Quotes
Resource Availability	N = 10/28	<i>"We are now trying to expand the scope of the .... Research Institute, so we probably, again funding is the issue"</i> (Untenured member, Department 3).

## Appendix Y Structural Factors

Factor	Responses	Illustrative Quote
Size	N = 10/28	<i>"The lack of people, lack of resources, because we only have two, you know, full time tenured professors, they are actually sitting on every single committee that the school has and it is not an ideal situation"</i> (Untenured member, Department 4).

## Appendix Z Relationship between Influence Factors and Forms of Distributed Leadership

Q	Member	Career Stage	Employ Status	Skill Match	Efficacy	Sense Autonomy	Research	Chair authority	Culture	Chair Style	Interest	Passion	Problem	Obligation	Resources	Size	Leadership Activity
1	F21	L	T	Y		Y			+			Y				-	L
	F25	L	T						+			Y	Y	Y	Y		H
2	F2	L	UT	Y	Y	Y	Y	Y		C		Y				+	L
	F4	L	T	Y		Y			+	S				Y			H
	F18	M	T	Y		Y		Y	+		Y			Y		+	L
	F19	M	UT	Y		Y		Y	+					Y			H
	F22	L	UT					Y	+	S		Y		Y	Y		H
	F26	L	T					Y	+			Y		Y			H
	F28	M	T	Y					-	C	Y		Y				M
3	F5	M	T						+								H
	F10	M	T	Y		Y			-	C				Y			L
	F14	L	T				Y		+			Y	Y		Y	+	H
	F17	E	UT	Y				Y	+		Y	Y	Y		Y		L
4	F5	M	T						+								H
	F11	L	T			Y	Y		-	C							L

Q	Member	Career Stage	Employ Status	Skill Match	Efficacy	Sense Autonomy	Research	Chair authority	Culture	Chair Style	Interest	Passion	Problem	Obligation	Resources	Size	Leadership Activity
	F12	E	UT						+		Y						L
	F14	L	T				Y		+			Y	Y		Y	+	H
	F15	E	UT			Y	Y				Y			Y			L
	F22	L	UT					Y	+	S					Y		H
	F25	L	T	Y				Y					Y	Y	Y	-	H

**Legend**

Q = Quadrant

Career Stage – L = late, M = mid, e = early

Employment Status – T = tenured, UT = untenured

Culture - + = positive, - = negative

Chair Style – C = controlling, S = supportive

Size - + = small positive impact on leadership, - = negative impact on leadership

H/L (Level of Leadership Involvement) – H = high (4 or more activities), M = medium (2-3 activities), L = low (1 activity)