

**LEADERSHIP IN RESEARCH INSIGHTS AND BUSINESS INTELLIGENCE:  
A CONCEPTUAL FRAMEWORK AND GUIDE**

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## **Abstract**

Research insights and business intelligence are the cornerstones of informed business decisions. When these functions within a company are led effectively and work well, the value speaks for itself. To address the challenge of leadership, especially change leadership through programmatic growth on research insights and business intelligence teams, this capstone project provides a conceptual and theoretical framework and guide for effective leadership. Specifically, this capstone project elucidates concepts including leadership fundamentals, leadership theories, change theories, guiding principles and visioning, communication, team development, strategic planning, building capacity, and reflexivity. This capstone project is intended to be a guide for effective incorporation of theory-based actions to augment a leader's existing praxis and inspire productive and rewarding reflexive analysis of current leadership practices.

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## **Abbreviations**

**NACRO** Network of Academic Corporate Relations Officers



## Glossary

Adaptive capacity	An organization’s “ability to learn as an organization and identify ways to improve, to change in response to client needs, to create new and innovative programs, and to create an environment that is motivating to staff.” <sup>1</sup>
Alignment model	A model that describes the situationally specific nature of leadership. Proposed by Barry Dym and Harry Hutson.
Analytical approach to transformational leadership	Characterized by using “logic and in-depth analysis to improve the strategic fit between your organization and its environment’.” <sup>2</sup> Described by Kevin Kearns.
Authority-obedience management	A management style at “organizations that are high on production (task) and low on relationships. Essentially, they are dictatorships although they may be productive.” <sup>3, 4</sup> Defined by Robert Blake and Jane Mouton.
Behavior leadership theory	Defined by Ohio State University. Attributes effective leadership to task behaviors and relationship behaviors. These behaviors define leadership styles.
Business intelligence	Business-related intelligence derived from aggregated data.
Capacity	Comprises “program delivery capacity, program expansion capacity, and adaptive capacity”. <sup>5</sup>
Capacity building	A process to “develop, sustain, and improve the delivery of a [nonprofit’s] mission”. <sup>6</sup>
Change theories/Change leadership	Theories that pertain to how leaders can guide their team through transformation.

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<sup>1</sup> Michael J. Worth, *Nonprofit Management: Principles and Best Practices* (Los Angeles: SAGE Publications Inc., 2017), 188.

<sup>2</sup> Kevin Kearns, *Private Sector Strategies for Social Sector Success* (San Francisco: Jossey-Bass, 2000), 32.

<sup>3</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>4</sup> Hal G. Rainey, *Understanding and Managing Public Organizations* (San Francisco: Jossey-Bass, 2014).

<sup>5</sup> Christine Letts, William Ryan, and Allen Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact* (New York: John Wiley & Sons, 1999).

<sup>6</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*, 4.

Change-centered	Change theory that puts the desired change at the forefront. Defined by James E. Kee and Kathryn E. Newcomer.
Charismatic leadership	Leadership approach characterized by a confident leader who uses out-of-the-box visioning and rhetoric to persuade and influence followers rather than relying on formal authority. Defined by Hal G. Rainey.
Closed loop communication	A pillar of productive communication. A process of quality assurance by which the recipient of information acknowledges and clarifies information with the sender.
Competencies	“ <i>Abilities</i> [italics original] that an organization can manage that ideally helps it perform well”. <sup>7</sup>
Conceptual model of translational medical science collaboration	The organization of abstract concepts into categorized and articulated groups.
Contingency theories	A branch of situational theories that “provide a way of matching leadership styles to defined situations.” <sup>8</sup> Defined by Fred E. Fiedler.
Country club management	A management style at organizations that are “high on relationships and low on concern for production.... They may be great places to work but get little or nothing accomplished.” <sup>9, 10</sup> Defined by Robert Blake and Jane Mouton.
Distinctive core competencies	“Something the organization does well and that other would find difficult to do as well.” <sup>11</sup>
Flow of information	A pillar of productive communication. The way in which information moves throughout a business unit via emails,

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<sup>7</sup> John M. Bryson, *Strategic Planning for Public and Nonprofit Organizations* (San Francisco: Jossey-Bass, 2011), 154.

<sup>8</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>9</sup> *Ibid.*, 111.

<sup>10</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>11</sup> Bryson, *Strategic Planning for Public and Nonprofit Organizations*, 154.

	direct messages, phone calls, brainstorm, workshops, meetings, websites, etc.
Follower-centered	Change theory that puts the followers at the center of the desired change. Defined by James E. Kee and Kathryn E. Newcomer.
Guiding principles	A clear picture of the future with easily communicated pillars. Used as macrocosmic guides for leaders when making decisions.
Harvard policy model	Generic steps to follow for strategic planning and implementation.
Impoverished management	A management style at “organizations that are low on both concern for people and production.... These would be dreadful places to work, and most people would likely not stay long in such an uninspiring environment.” <sup>12, 13</sup> Defined by Robert Blake and Jane Mouton.
Incremental approach to transformational leadership	Characterized by evolving “out of experience as the organization goes along, one decision at a time.” <sup>14</sup>
Information exchange protocols	A pillar of productive communication. Formalized framework that facilitates “information presentation, recall, and shared understanding.” <sup>15</sup> Described by Lauren E. Benishek, et al.
Leader-centered	Change theory that puts the leader at the center of the desired change. Defined by James E. Kee and Kathryn E. Newcomer.
Leader-member theories	Leadership style theory in which effective leadership is determined by interactions between leader and followers. Described by Peter G. Northouse.
Leadership approaches	The way in which a leader approaches their position of power.
Leadership style	Amalgamation of traits, skills, and behavior theories.

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<sup>12</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>13</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>14</sup> Kearns, *Private Sector Strategies for Social Sector Success*, 44.

<sup>15</sup> Benishek, et al. “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 6.

McKinsey & Company Capacity Framework	A framework that essentializes the capacity building “into a pyramid of 10 essential elements”. <sup>16</sup>
Metacritical analysis	Looking unto oneself through a constructively critical lens. Observing oneself to improve.
Path-goal theories	Leadership style theory focused on adapting behaviors to motivate followers and increase satisfaction and performance. Described by Peter G. Northouse.
Political frames for transformational leadership	Structural, human resources, symbolic, and political frames for effective transformational leadership. Defined by Lee Bolman and Terrence Deal.
Process-based conflicts	Conflicts based on different opinions on approach or processes.
Program delivery capacity	“Grows out of the organization's knowledge of a specific field.” <sup>17</sup> Defined by Christine Letts, William Ryan, and Allen Grossman.
Program expansion capacity	The expansion of program delivery. Involves a more comprehensive organizational expansion plan.
Reflexivity	Observing oneself as one exists in the professional environment to improve.
Relationship-based conflicts	Conflicts based on individual differences.
Research insights	Primary and/or secondary research that provides market insights or other actionable information.
Servant leadership	Leadership approach advanced by Robert Greenleaf and characterized by the leader as a steward for their team. Leadership that is centered on serving others rather than self-interest.
Shared knowledge structures	Frameworks developed to “combine [and] organize disparate knowledge bases.” <sup>18</sup> Described by Lauren E Benishek, et al.

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<sup>16</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 190.

<sup>17</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*.

<sup>18</sup> Benishek, et al. “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

Situational theory	Leadership style theory that emphasizes adaptability as a hallmark of effective leadership. Described by Peter G. Northouse.
Skills theories	Attributes effective leadership ability to the technical, human, and conceptual skills the leader possesses. Defined by Daniel Katz.
Strategic planning	The process of planning for change based on internal and external information. Strategic planning does not produce strategy.
SWOT analysis	Strengths, Weaknesses, Opportunities, and Threats analysis. This method allows an organization to “identify its core and distinctive competencies”. <sup>19</sup>
Team competencies	The skills and abilities a team possesses by virtue of the skills and abilities the team members bring to the table.
Team management	A management style at organizations that “show high concern for both people and production.” <sup>20, 21</sup> This is “the ideal management style.” <sup>22, 23</sup> Defined by Robert Blake and Jane Mouton.
The incomplete leader	The acknowledgement that there is no such thing as the “complete” leader. Highlights the need for relying on the strengths of others to augment one’s leadership weaknesses. Defined by Deborah Ancona, et. al.
The science of team science	The scientific approach to the study of teams conducting scientific research. <sup>24</sup> Defined by Daniel Stokols, et al.

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<sup>19</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 178.

<sup>20</sup> *Ibid.*, 111.

<sup>21</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>22</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>23</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>24</sup> Daniel Stokols, Kara L. Hall, Brandie K. Taylor, and Richard P. Moser. “The Science of Team Science: Overview of the Field and Introduction to the Supplement.” *American Journal of Preventive Medicine* 35, no. 2 (2008).

Trait theories	Attributes effective leadership ability to innate characteristics or skills. Defined by Ralph Stodgill.
Transactive memory systems	“A cooperative division of labor for learning, remembering, and communicating relevant team knowledge”. <sup>25</sup> Described by Kyle Lewis.
Visioning	The act of developing and articulating a vision of the future. This is often informed by the guiding principles.
Visioning approach to transformational leadership	Characterized by beginning “with the leader’s vision and working backward to determine” how to achieve it. <sup>26</sup> Defined by Kevin Kearns.

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<sup>25</sup> Kyle Lewis. “Measuring Transactive Memory Systems in the Field: Scale Development and Validation.” *Journal of Applied Psychology* 88 (2003).

<sup>26</sup> Kearns, *Private Sector Strategies for Social Sector Success*, 31, 41.

## **Chapter 1. Introduction**

### **1.1. Background**

Research insights and business intelligence are the cornerstones of informed business decisions. When these functions within a company are led effectively and work well, the value speaks for itself. The following capstone project provides a conceptual framework and guide for effective leadership on research insights and business intelligence teams as they work through programmatic growth.

Often, adjustment in leadership approach is induced by changes in personnel, internal or external review, financial pressures, performance, a desire to capitalize on new opportunities or directions, regulatory matters, or some combination of those forces. Though the rationale for change is certainly logical, it is highly reactionary. Alternative is an action-oriented attitude toward fine-tuning leadership practices within a research and business insights operation. This perpetual optimization approach leads to increased process efficiencies, enhanced outputs and, perhaps most importantly, more satisfied team members.

This suggested cultural shift is far easier said than done. To address the challenge of leadership, especially change leadership, and creating opportunities for efficiency and improvement, this capstone project provides a framework based in current leadership theory while acknowledging the epistemic limitations therein. Ultimately, this work seeks to inspire productive and rewarding metacritical analysis of current leadership practices.

### **1.2. Statement of the Problem**

This capstone project addresses the need for a conceptual framework and methodology based in existing leadership theories to enable individuals who lead research insights and

business intelligence teams to hone their ability to maintain a reflexive, open-minded, and malleable management style in their institutional context. There are many headwinds to this end. For example, maintaining day-to-day operations and outputs, balancing institutional politics, meeting goals and deadlines, acknowledging one's own responsibilities as a leader and an employee of others, all while introducing impactful change.

While these forces can oppose lasting and meaningful change, they also offer windows of opportunity. Specifically, there are many steps within the change management framework offered in this capstone project that increase team support, enhance operations and output, create opportunities for consideration and constructive questioning of systemic politics, promote the acceleration of goal and deadline achievement, and allow the kind of self-reflection necessary for an individual who is simultaneously leading and being led.

### 1.3. Project Question

This capstone project answers the following questions:

1. What theories exist about leadership best practices and transformational leadership?
2. How can those theories be translated into practice via an actionable methodology in a research insights and business intelligence setting?
3. How can leaders best create meaningful and lasting change in research insights and business intelligence departments based on the existing epistemological foundation?

### 1.4. Project Objectives

This capstone project seeks to empower leaders in research to enhance their research insights and business intelligence operations through theory-based action and reflexivity.



### 1.5. Significance

Progressive agility is an asset to research insights and business intelligence units. These functions, though incorporating retrospective information, are largely future-oriented and, therefore, should take an action-oriented approach to leadership and organization. However, spurring change and maintaining a willingness to perpetually fine-tune the status quo is far easier said than done. In fact, championing change, maintaining momentum, and ensuring team members don't fall back into old ways can be some of the biggest challenges faced by a leader. Ultimately, this capstone project equips leaders with a theoretical framework of leadership and change management to augment and complement their praxis.

### 1.6. Exclusions and Limitations

This theoretical review and resulting framework do not seek to offer a one-size-fits-all solution to leadership fundamentals or transformational leadership in all settings. Instead, it seeks to offer a review of relevant materials in leadership and organizational epistemology that leaders in research insights and business intelligence might adopt and adapt to their institutional contexts. Additionally, this work does not include specific approaches to bureaucratic politics as those are situationally specific. Instead, included in the pages that follow are suggestions for potential techniques for navigating big picture milieu while acknowledging the existence of subcultures therein. In the same vein, detailed conflict management tactics and budgeting are outside the scope of this project, though mentioned briefly as a fundamental aspect of leadership.

## Chapter 2. Literature Review

### 2.1. Overview of Literature Review

The following literature review offers an overview of current trends in the theoretical approach to leadership fundamentals. Research insights and business intelligence units are unique in their need to be highly agile segments of an organization. They must respond to internal and external needs and changes quickly and smoothly. Additionally, as a revenue generating operation, reflexive analysis of the product, marketing strategy, customer engagement, and others are necessary to ensure the information being generated is adequately filling the needs of the stakeholders. Leadership in such a situation demands a fundamental understanding of existing theory and the ability to translate that knowledge into praxis. Specifically, this literature review provides a flyover of existing leadership theories, the formation of guiding principles and visioning, communication, team development, strategic planning, building capacity, and reflexivity. This examination provides a conceptual framework for effective leadership in general, and in research insights and business intelligence units by extension.

### 2.2. Details of Review

#### 2.2.1. *Leadership Fundamentals*

Primarily concerned with “purpose, vision, and direction,”<sup>27</sup> leaders focus on the “‘where’ and the ‘why’ rather than the ‘how’.”<sup>28</sup> Elaborating on this definition of leadership, Garry Sanders (“Syllabus Review: Overview of Research Enterprise”, n.d.) succinctly said

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<sup>27</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 109.

<sup>28</sup> *Ibid.*, 109.

“leadership is engagement with others, commitment to a vision, and presence to have perseverance to see a vision through.”<sup>29</sup> Leaders are assiduous in their desire to grow and learn from experiences. Reflecting on their successes and failures and those of others in the interest of continuously developing leadership acumen.<sup>30</sup> In other words, leaders should be the antithesis of passive learners, actively engaging with other leaders around them and incorporating their “stories of making decisions, delegating, engaging with people and, with setting visions” into their own practice.<sup>31</sup>

A general approach to leadership might take a conical structure with perpetual and concurrent engagement with all responsibilities.<sup>32</sup> At the vertex is the leader’s dedication to developing themselves. Moving down the altitude of the cone, is a leader’s commitment to developing the individuals on their team, and finally, developing the cultural environments in which those teams reside.<sup>33</sup> These responsibilities rest on an indispensable foundation of trust built by the leader as they work with and for their team.

### 2.2.2. Leadership Theories

Underlying the praxis of leadership are generalized theories intended to be situationally adaptable. In other words, there is no “correct” theory for all situations, rather, they are intended to be used, exchanged, revised, and tailored to the most natural state of leadership for the practitioner, the team with which they are working, and the larger institutional landscape in

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<sup>29</sup> Garry Sanders, *Syllabus Review: Overview of Research Enterprise* (Baltimore: Johns Hopkins University, n.d.).

<sup>30</sup> Alexis Shoemaker, *Final Assignment* (Arlington, VA, 2021), 2.

<sup>31</sup> *Ibid.*, 2.

<sup>32</sup> *Ibid.*, 2.

<sup>33</sup> *Ibid.*, 2-3.

which they function. Barry Dym and Harry Hutson (“Leadership in Nonprofit Organizations,” 2005), proposed the alignment model to describe this situationally specific nature of leadership. Specifically, this model integrates the theories discussed in this section and provides “an overarching conceptual framework that brings the theories together, or at least describes how the theories relate to one another.”<sup>34</sup> This model “argues that nonprofit executive effectiveness results from having the right person in the right job at the right time; in other words, it is necessary to have a good fit between the leader and the needs of the organization at the time.”<sup>35</sup> While this may seem like jumping ahead, as the theories Dym and Hutson integrate in their model are described below, it is valuable to begin analysis of existing theories with the idea that these should not be understood as disparate entities. Ultimately, this discussion serves as a conceptual foundation of leadership discussed in the following pages.

Leadership theory has undergone two evolutions since its inception. “Among the earliest theories were the trait theories.”<sup>36</sup> These theories work to “explain leadership in terms of the innate characteristics of individuals who are leaders.”<sup>37</sup> In other words, “they are essentially ‘great man-or-woman theories,’ which hold the qualities of leadership to be fundamental aspects of an individual’s personality.”<sup>38</sup> Certainly, an individual can be more or less inclined to desire leading, however, many traits found to be common among leaders can be taught and learned.

Though Ralph Stodgill, in 1948 (“Personal Factors Associated with Leadership: A Survey of the

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<sup>34</sup> Barry Dym and Harry Hutson, *Leadership in Nonprofit Organizations* (Thousand Oaks: SAGE Publications Inc., 2005), 36.

<sup>35</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 119.

<sup>36</sup> *Ibid.*, 110.

<sup>37</sup> *Ibid.*, 110.

<sup>38</sup> *Ibid.*, 110.

Literature”, 1948) found leaders to be “better than the average person in terms of intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence, and sociability.”<sup>39</sup> Due to the difficulty involved in altering these traits, Northouse (“Leadership: Theory and Practice” 2013) concluded that “trait theories imply that leaders are born, not made; that is, leadership is not something that can be taught or learned.”<sup>40, 41</sup> This narrow view creates difficulties in practice that other theories seek to ameliorate.

In pursuit of a fuller picture of leadership theory, “in about the middle of the twentieth century, theorists began to take a different approach, developing *skills theories* [italics original] of leadership.”<sup>42</sup> These theories focus on the titular ingredient: skills. Specifically, they hold that “effective leadership depends less on what the leaders are and more on what they are able to do.”<sup>43</sup> For example, Daniel Katz, in 1955, (“Skills of an Effective Administrator”, 1955) “suggested that effective leadership depends on the leader possessing skills in three areas: technical (knowledge of the job, profession, or task), human (the ability to work with people), and conceptual (the ability to understand ideas and principles).”<sup>44</sup> Skills theory “is the assumption underlying most leadership training or development programs.”<sup>45</sup>

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<sup>39</sup> Ralph Stodgill, “Personal Factors Associated with Leadership: A Survey of the Literature,” *Journal of Psychology* 25 (1948): 35-71.

<sup>40</sup> Peter G. Northouse, *Leadership: Theory and Practice* (Thousand Oaks, SAGE Publications Inc., 2013), 32.

<sup>41</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 110.

<sup>42</sup> *Ibid.*, 110.

<sup>43</sup> *Ibid.*, 110.

<sup>44</sup> *Ibid.*, 110.

<sup>45</sup> *Ibid.*, 110.

Continuing in the development of leadership theory, behaviors emerged as “associated with effective leadership.”<sup>46</sup> Ohio State University produced some of “the most famous of leadership studies”<sup>47</sup> on behavior leadership theory. “These studies identified two basic types of leader behaviors: task behaviors (actions that relate to the work to be done) and relationship behaviors (actions that focus on the feelings of subordinates).”<sup>48</sup> At the University of Michigan, studies revealed “essentially the same categories, which researchers there labeled production orientation and employee orientation.”<sup>49</sup> The combination of “task and relationship behaviors can define a leadership style.”<sup>50, 51</sup>

#### 2.2.2.1. Leadership Styles

Leadership styles are the amalgamation of these traits, skills, and behavior theories. “Among the theorists who analyzed leadership styles are Robert Blake and Jane Mouton (1985) who developed the well-known managerial grid.”<sup>52, 53</sup> This grid identifies four unique leadership styles based on “different combinations of task and relationship behaviors.”<sup>54</sup> The four styles are defined below:

“Organizations that are high on production (task) and low on relationships are said to have authority-obedience management. Essentially, they are dictatorships although they

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<sup>46</sup> Ibid., 111.

<sup>47</sup> Ibid., 111.

<sup>48</sup> Ibid., 111.

<sup>49</sup> Ibid., 111.

<sup>50</sup> Northouse, *Leadership: Theory and Practice*, 76-78.

<sup>51</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>52</sup> Ibid., 111.

<sup>53</sup> Robert Blake and Jane Mouton, *The Managerial Grid III: A New Look at the Classic that has Boosted Productivity and Profits for Thousands of Corporations Worldwide* (Houston: Gulf Publishing, 2012).

<sup>54</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

may be productive. Those high on relationships and low on concern for production are described as having country club management. They may be great places to work but get little or nothing accomplished. Organizations that are low on both concern for people and production exhibit impoverished management. These would be dreadful places to work, and most people would likely not stay long in such an uninspiring environment. The ideal type, showing high concern for both people and production, is called team management.”<sup>55, 56</sup>

The classification system offered by Blake and Mouton represents a high-level perspective on leadership techniques and their impact on an organization or team. There are, however, other theories that color in the details of leadership styles and offer insight into how leaders are accomplishing their style.

Circumstances often dictate the type of management style needed to inspire morale and induce productivity. Importantly, these styles need to be revisited and adjusted as conditions change. One such set of theories are “the situational theories,” which “emphasize the fact that different styles might be more appropriate in certain situations than in others.”<sup>57</sup> Ultimately, adaptability is a hallmark of an effective leader. As such, the ability to read a situation or environment and adapt oneself is essential. Taking this a step further, “contingency theories... provide a way of matching leader styles to defined situations.”<sup>58</sup> Fred E. Fiedler (“A Theory of Leadership Effectiveness”, 1967) held that

“The situation may be favorable or unfavorable to the leader, depending on three variables: leader-member relations (e.g., the degree of trust, cooperativeness, and friendliness between the leader and followers), the task structure (whether the job to be done is clear and specific or ambiguous and uncertain), and the position of power of the leader (i.e., the formal position of authority the leader holds).”<sup>59</sup>

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<sup>55</sup> Ibid., 111.

<sup>56</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>57</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>58</sup> Ibid., 111.

<sup>59</sup> Ibid., 111.

Specifically, it is far more favorable when the variables are high. Of course, each is a sliding scale, and therefore it is most common that there are combinations of high, moderate, and low in any given situation. Ultimately, “according to Fiedler’s findings, task-oriented leaders do best when conditions are very favorable or very unfavorable, while relationship-oriented leaders do best in the intermediate circumstances.”<sup>60</sup> This further highlights the need for metacritical analysis of oneself as a leader and one’s environment on a micro and macro scale. That is to say, looking at one’s immediate team, the department, organization, and organization’s position in the larger landscape. By evaluating these circumstances with varying cadence, that is, examining the microenvironments more frequently than the macros, a leader is positioned actively for success. The converse, and less effective leader passively engages with their responsibilities and exists in a reactionary state. Overall, “contingency theories add a level of sophistication beyond the trait, skill, and behavior theories of leadership” and “begin to explain why some styles of leadership may be successful in certain circumstances and not others.”<sup>61</sup>

Other popular leadership style theories include “path-goal theories” which “emphasize how leaders can adapt their behaviors to motivate followers and enhance satisfaction and performance.”<sup>62, 63</sup> Additionally, “leader-member exchange theories” which “view leadership in

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<sup>60</sup> Ibid., 111.

<sup>61</sup> Ibid., 111.

<sup>62</sup> Ibid., 112.

<sup>63</sup> Northouse, *Leadership: Theory and Practice*, 137.



terms of interactions between leaders and followers.”<sup>64, 65</sup> These theories, incorporated into a leader’s practice, augment their own experience as a leader as well as their team’s experience with their leadership.

#### 2.2.2.2. Leadership Approaches

Intertwined with leadership theories are leadership approaches. For example, “one approach to leadership,” advanced by Robert Greenleaf (“*Servant Leadership: A Journey into the Nature of Legitimate Power and Greatness*”, 1977), “that has gained a following, . . . [is] servant leadership.”<sup>66, 67</sup> Greenleaf holds “that leadership begins with the leader’s values and commitments and that moral leaders are more concerned with serving others than with meeting their own self-interest.”<sup>68</sup> This perspective of the leader as a steward for their team as an underlying quality is an impactful method. Specifically, envisioning oneself as a facilitator of a team, working for and with them rather than above them, flips the traditional hierarchy on its head and creates an ethos of collaboration and camaraderie. An important aspect of this approach is shared success. In other words, balancing individual success with group success and using one’s position as a leader to bring greater visibility to the work of the team.

Yet another approach to leadership, is the charismatic leader. Behaviors associated with the charismatic leader are defined concisely by Rainey (“*Understanding and Managing Public Organizations*”, 2014). In his view the leader:

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<sup>64</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 112.

<sup>65</sup> Northouse, *Leadership: Theory and Practice*, 161.

<sup>66</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>67</sup> Robert Greenleaf, *Servant Leadership: A Journey into the Nature of Legitimate Power and Greatness* (Ramsey: Paulist Press, 1977).

<sup>68</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 112.

“Advocates a vision that is different from the status quo but still acceptable to followers, acts in unconventional ways in pursuit of the vision, engages in self-sacrifice and risk taking in pursuit of the vision, displays confidence in his or her own ideas and proposals, uses visioning and persuasive appeals to influence followers, rather than relying mainly on formal authority; uses the capacity to assess context and locate opportunities for novel strategies.”<sup>69, 70</sup>

To achieve this approach to leadership, the practitioner “cannot permit himself or herself to be too familiar.”<sup>71</sup> Balancing the need and human desire to be close to those with whom one works while simultaneously holding oneself apart can prove difficult. Estranging oneself from one’s team to maintain mystery and separateness can cause factious behavior in the team and result in the leader losing touch with the quotidian experience. As they say, it’s lonely at the top.

#### 2.2.2.3. The Incomplete Leader

Taking the leadership theories, styles, and approaches together, it is valuable to acknowledge and accept the incomplete leader. In fact, there is literature accepting and leveraging imperfections in leadership qualities. For example, Deborah Ancona, Thomas W. Malone, Wanda J. Orlikowski, and Peter M. Senge (“In Praise of the Incomplete Leader”, 2007) urge leaders to “accept that you’re human, with strengths and weaknesses.”<sup>72</sup> As part of this embrace of incompleteness, Ancona et al. propose “four leadership capabilities all organizations need: sensemaking – interpreting developments in the business environment, relating – building trusting relationships, visioning – communicating a compelling image of the future, [and]

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<sup>69</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 114-115.

<sup>70</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>71</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 115.

<sup>72</sup> Deborah Ancona, Thomas W. Malone, Wanda J. Orlikowski, and Peter M. Senge, “In Praise of the Incomplete Leader,” *Harvard Business Review* (2007): 2.

inventing – coming up with new ways of doing things.”<sup>73</sup> Importantly, these four capabilities are highly interdependent and intended to be balanced. With this approach, leaders identify and accept their own strengths and weaknesses and develop partnerships with others who make up for their weaknesses. This calls into question “the myth of the complete leader” and asserts that by fearing to appear incomplete, in fact, “executives... exhaust themselves and damage their organizations in the process.”<sup>74</sup> In Ancona et al.’s view, the incomplete leader knows when to let go, when to ask for support, and how to do so in a productive and alliance-building way. This certainly functions on the practical level, but also functions on the interpersonal level. Specifically, people generally enjoy teaching others and leveraging the desire to learn from a peer or colleague strengthens interpersonal ties and builds trust. The inclusive nature and optimistic framing of the incomplete leader, that is, focusing on nurture over nature, serves the purpose of this capstone project as it focuses on perpetual learning and improvement over innate ability.

### *2.2.3. Change Theories*

Change is the only constant. As such, change leadership, or leading through change, is a significant facet of leadership. There are a few predominant change theories and models described in the literature. In fact, essentially, change leadership and change theories are extensions of leadership theories. For simplicity’s sake, Kee and Newcomer (“Transforming Public and Non-Profit Organizations: Stewardship for Leading Change,” 2008) “propose a taxonomy of change models, placing some well-known theories into categories of leader-

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<sup>73</sup> Ancona, Malone, Orlikowski, and Senge, “In Praise of the Incomplete Leader,” 2.

<sup>74</sup> Ibid., 2-3.

centered, follower-centered, and change-centered leadership.”<sup>75, 76</sup> These theories describe different approaches to leading through change. Taking these change models together and applying them to change leadership, Kotter (“Leading Change,” 1996) concisely concludes that “only by anchoring [desired] changes in the organization's culture can the leader pursuing the change ensure that the board and successive generations of management will also adhere to new ways of doing things.”<sup>77</sup> Kotter (“Leading Change,” 1996) suggests the following sequential steps to “ensure momentum for change is not overwhelmed by the inertia of existing culture and practices and to make certain the change is real and permanent”.<sup>78</sup>

1. “Establish a sense of urgency
2. Create a guiding coalition [principles]
3. Develop a vision and strategy
4. Communicate the change vision
5. Empower broad-based action
6. Generate short-term wins
7. Consolidate gains and produce more change
8. Anchor new approaches in culture”<sup>79</sup>

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<sup>75</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 124.

<sup>76</sup> James E. Kee and Kathryn E. Newcomer. *Transforming Public and Nonprofit Organizations: Stewardship for Leading Change* (Vienna: Management Concepts, 2008).

<sup>77</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 125.

<sup>78</sup> *Ibid.*, 125.

<sup>79</sup> *Ibid.*, 125.

By following these steps and “not moving on to the next until the previous has been solidly accomplished”<sup>80</sup> the leader will be able to effectively institute their desired change and that change will be engrained in the organizational culture moving forward.

#### 2.2.4. *Guiding Principles and Visioning*

Leadership requires taking time off the proverbial treadmill to take stock of past achievements, current conditions, and future goals. At its core, guiding principle development and visioning are creative processes by which leaders develop roadmaps and bring the team together. John P. Kotter (“On Change Management”, 2011) succinctly says, “the guiding coalition [principles] develops a picture of the future that is relatively easy to communicate and appeals to customers, stockholders, and employees.”<sup>81</sup> Developing guiding principles directly impacts the ease with which larger decisions can be made. In other words, when it comes time to make a decision, a leader can refer to the guiding principles and determine how they may direct the desired outcome. Guiding principles can also function to “encourage [team members] to work... outside the normal hierarchy.”<sup>82</sup> Developing guiding principles results in a grounded and focused leadership style. To assist a leader in the development of guiding principles, and then a vision, Baron Wolf, Terri Hall, and Katherine Robershaw (“Best Practices for Research Analytics & Business Intelligence within the Research Domain,” 2021) provide useful insight and “best practices in using data tools to impact decisions, processes, and programming”<sup>83</sup> and demonstrate the impact of data-informed decisions. Importantly, though, guiding principles are

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<sup>80</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 125.

<sup>81</sup> John P. Kotter, “On Change Management,” *Harvard Business Review 10 Must Reads* (2011): 8.

<sup>82</sup> Kotter, “On Change Management,” 4.

<sup>83</sup> Baron Wolf, Terri Hall, and Katherine Robertshaw, “Best Practices for Research Analytics & Business Intelligence within the Research Domain,” *Research Management Review* (2021): 1.

not meant to remain static, and leaders should not hold fast to these pillars. Instead, guiding principles are intended to be a flexible framework to be revised as necessary.

Taking root in the guiding principles, “a vision always goes beyond the numbers that are typically found in five-year plans. A vision says something that helps clarify the direction in which an organization needs to move.”<sup>84</sup> Developing a shared vision can pose a challenge. Creating “a strong captivating vision [that] serves as a magnet to attract people to participate and helps create the highly functioning team’s foundation”<sup>85</sup> is far easier said than done. This vision can be interpreted differently across the team depending on team members’ “roles and responsibilities... or their stage of career development.”<sup>86</sup> As such, essential to the vision is not that it be prescriptive by nature, instead “what is most important is that each person understands the overall vision and goals... and how they contribute to the collective effort.”<sup>87</sup> Following vision creation, is strategy development. That is, specific steps to achieve the vision. This can be done first unbounded by resources, and then further developed to work within the bounds of the resources at hand. This process can help define those resources that may need to be requested and can serve as rationale for the request.

By embodying the vision and intentionally incorporating the guiding principles into everyday activities, leaders empower others to act on their vision and fold their vision into the cultural vernacular. Turning a vision and guiding principles into action involves removing obstacles for team members so the act of incorporating the vision is the path of least resistance.

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<sup>84</sup> Kotter, “On Change Management,” 8.

<sup>85</sup> L. Michelle Bennett, Howard Gadlin, and Christophe Marchand, *Collaboration Team Science Field Guide* (2010): 58.

<sup>86</sup> Bennett, Gadlin, and Marchand, *Collaboration Team Science Field Guide*, 58.

<sup>87</sup> *Ibid.*, 58.

To this end, systems and structures that undermine the vision should be removed. This is not, however, a solitary job. In fact, part of communicating the vision involves empowering and encouraging employees to approach obstacles creatively, “try[ing] new approaches, develop[ing] new ideas, and provide[ing] leadership” to others.<sup>88</sup> Importantly, handing new processes to team members without involving them in the development process and building the day-to-day experiences and nuances into them, generally does not lead to meaningful or lasting change. As simple as it may seem, the act of allowing team members to take ownership over new processes brings a sense of purpose and pride that isn’t necessarily possible when processes are handed down from the top.

#### *2.2.5. Communication*

Underpinning effective leadership and mentioned briefly in the previous section is communication. As it pertains to a leader’s guiding principles and vision, they should be crafted succinctly so they may be concisely shared with others. Communicating the vision is vital. To do so, Kotter (“On Change Management”, 2011) explains the leader should use “every vehicle possible to communicate the new vision and strategies. Teaching new behaviors by example of the guiding coalition [principles].”<sup>89</sup> Part of this process of creation and regular reiteration engrains the direction into the fabric and daily behaviors of the team. Glatman and Daneau (“The Three C’s for Successful International Collaborations: Compliance (Non-Financial and Financial), Communication, and Continuous Monitoring,” August 2020) provide a useful, albeit simple, conceptualization of the importance of communication as it pertains to compliance and continuous monitoring of a team. Floris van der Leest (“The Nine C’s of Effective

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<sup>88</sup> Kotter, “On Change Management,” 11.

<sup>89</sup> Ibid., 4.

Communication: Part 2,” 2022) expands on this idea to include the necessity for clear, correct, complete, concrete, concise, courteous, coherent, consistent, and creative communication.”<sup>90</sup> Ultimately, “communication fosters trust, cohesion, inclusiveness, and psychological safety, which are all attitudes essential for fruitful collaborations.”<sup>91</sup>

Diving further into communication as it pertains to guiding principles and visions, Kotter (“On Change Management,” 2011), identifies three actions of executives who communicate well. Specifically, these successful leaders incorporate their vision messages into hour-by-hour activities, seeking opportunities to tie ideas, decisions, and actions back to their guiding coalition [principles] and/or vision.<sup>92</sup> They effectively use every possible channel to communicate their vision, especially those being wasted on nonessential information.<sup>93</sup> For example, “they take ritualistic, tedious quarterly management meetings and turn them into exciting discussions of the transformation.”<sup>94</sup> Finally, and perhaps most important, as Kotter sees it, “they consciously attempt to become a living symbol of the new corporate culture.”<sup>95</sup> Maja Marjanovic, Mike Pearson, and Kristin Sarver (“The Art of Communication,” 2014) provide a valuable framework for developing infographics as a facet of communicating complex concepts in simple, visually

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<sup>90</sup> Floris van der Leest, “The Nine C’s of Effective Communication: Part 2,” January 13, 2022, accessed February 19, 2022, <https://www.srainternational.org/blogs/srai-news/2022/01/12/the-nine-cs-of-effective-communication-part-2>.

<sup>91</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 6.

<sup>92</sup> Kotter, “On Change Management,” 10.

<sup>93</sup> Ibid., 11.

<sup>94</sup> Ibid., 11.

<sup>95</sup> Ibid., 11.



interesting ways to avoid information overload.<sup>96</sup> Ultimately, “communication comes in both words and deeds, and the latter are often the most powerful form. Nothing undermines change more than behavior by important individuals that is inconsistent with their words.”<sup>97</sup>

Beyond communication in the context of the guiding principles and vision, Lauren E. Benishek, Ashley M. Hughes, Megan E. Gregory, Shirley C. Sonesh, Eduardo Salas, and Elizabeth H. Lazzara (“Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice” 2014) provide a broader and particularly useful view of communication, defining it as “the exchange of information between a sender and a receiver.”<sup>98</sup> More specifically, they describe effective communication as “characterized by openness (not holding back), adaptability, conciseness, clarity, and accuracy.”<sup>99</sup> In the end, communication “allows teams to mitigate information overload as well as handle and adapt in dynamic situations, predict team members’ needs, foster seamless coordination, and execute plans efficiently.”<sup>100</sup> Incorporated in this view of communication is timely and precise feedback, and leaving room for processing changes and adapting to new contexts, all of which “lead to functional outcomes for the entire team.”<sup>101</sup>

As part of Lauren E. Benishek et al. 's (“Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice” 2014) framework, they

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<sup>96</sup> Maja Marjanovic, Mike Pearson, and Kristin Sarver, “The Art of Communication,” *NCURA Magazine* (2014): 46-47.

<sup>97</sup> Kotter, “On Change Management,” 11.

<sup>98</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 4.

<sup>99</sup> *Ibid.*, 4.

<sup>100</sup> *Ibid.*, 5-6.

<sup>101</sup> *Ibid.*, 7.

identify three pillars for productive communication, and describe a methodology for developing these techniques. First, they highlight the flow of information, and encourage leaders to improve this flow, including incorporating brainstorming, workshops, regular meetings, interactive websites, and boundary spanners into their leadership practice.<sup>102</sup> Second, they describe closed loop communication, “a process of acknowledging and clarifying information with the sender of the communicated message to assure that the recipient did receive and comprehend the information in the same manner as it was originally intended.”<sup>103</sup> This method of communication is a “process of quality assurance and affirming information for accuracy.”<sup>104</sup> Finally, they define “information exchange protocols,”<sup>105</sup> practices that “enable structured communication to facilitate information presentation and recall as well as a shared understanding.”<sup>106</sup> As part of this, Lauren Benishek et al. suggest “fostering presentation, recall, and shared understanding by leveraging information exchange protocols... [as] essential for successful” teams.<sup>107</sup> In terms of outcomes, the authors claim “individuals who employ information exchange protocols have greater team attendance, greater satisfaction, and a decrease in missed information.”<sup>108</sup> By optimizing a team’s communication and leveraging the leader’s position to that end, teams are more likely to see success, productivity, and contentment.

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<sup>102</sup> Ibid., 6.

<sup>103</sup> Ibid., 6.

<sup>104</sup> Ibid., 6.

<sup>105</sup> Ibid., 6.

<sup>106</sup> Ibid., 6.

<sup>107</sup> Ibid., 6.

<sup>108</sup> Ibid., 6.

### 2.2.6. Team Development

Much literature exists about the science of team science. This field “encompasses an amalgam of conceptual and methodologic strategies aimed at understanding and enhancing the outcomes of large-scale collaborative research and training programs.”<sup>109</sup> The science of team science provides a compelling overarching framework to employ in the process of team development and illustrates “the impact of interpersonal processes and leadership styles on scientific collaboration.”<sup>110</sup> Diving into specific facets of team science, and core for the purpose of this capstone project, are the following topics: team competencies and individual skills, building teams, conflict management, culture construction and maintenance, and, underlying all of the above, trust.

#### 2.2.6.1. Team competencies and individual skills

Interdisciplinarity is an inherent aspect of teams. In other words, each member of the team comes to the table with valuable skills and dynamic perspectives. The literature on this subject demonstrates “a coordinated effort to synthesize concepts and methods from respective disciplines in such a way that a common but much more complex goal is met.”<sup>111</sup> To accommodate and develop the skills and perspectives on teams, literature encourages leaders to incorporate shared knowledge structures.<sup>112</sup> By employing this method, leaders overcome the

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<sup>109</sup> Stokols, Hall, Taylor, and Moser, “The Science of Team Science: Overview of the Field and Introduction to the Supplement,” S77.

<sup>110</sup> Ibid., S84.

<sup>111</sup> Stephen M. Fiore. “Interdisciplinarity as Teamwork: How the Science of Teams Can Inform Team Science.” *Small Group Research* 39, no. 3 (June, 2008): 254.

<sup>112</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

distributed expertise that defines transdisciplinary research teams.<sup>113</sup> To “effectively combine these disparate knowledge-bases” teams can “establish shared mental models, which are organized knowledge structures common across team members.”<sup>114</sup> Ultimately, this is a facet of culture curation. Culture inherently comprises many subcultures and a leader’s ability to bridge those gaps is critical.

On many research insights and business intelligence teams, there need also be transactive memory systems.<sup>115</sup> That is, “a cooperative division of labor for learning, remembering, and communicating relevant team knowledge.”<sup>116</sup> By employing this technique to distribute expertise, members are freed up “to specialize deeply in their preferred disciplines.”<sup>117</sup> In practice, shared knowledge structures and transactive memory systems “allow team members with unique expertise to combine their disparate knowledge into a novel product or outcome that

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<sup>113</sup> Ibid., 7.

<sup>114</sup> Ibid., 7.

<sup>115</sup> Ibid., 7.

<sup>116</sup> Kyle Lewis. “Measuring Transactive Memory Systems in the Field: Scale Development and Validation.” *Journal of Applied Psychology* 88 (2003).

<sup>117</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

extends beyond any one discipline.”<sup>118</sup> These methodologies have, in fact, “been associated with improved team effectiveness, team learning, and member satisfaction.”<sup>119, 120, 121, 122, 123, 124</sup>

Building on this notion of shared knowledge is mentorship. An effective “mentor recognizes the strengths of each team member, identifies areas in which [colleagues] have the greatest potential to grow, and can help coach people to attain their aspirations.”<sup>125</sup> Mentorship functions on a few levels: it “recognizes the strengths of each team member,” empowers teammates to be leaders and teachers, fosters interpersonal ties, facilitates communication and collaboration, distributes the responsibility of training, identifies aspirations and growth opportunities.<sup>126</sup> Mentorship links to the broader idea of team competencies, shared knowledge structures, and transactive memory systems as they all involve formal and informal forms of knowledge transfer and organization and result in the development of the team which is “synchronous with strengthening team dynamics.”<sup>127</sup>

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<sup>118</sup> Ibid., 7.

<sup>119</sup> Ibid., 7.

<sup>120</sup> Samer Faraj and Lee Sproull. “Coordinating Expertise in Software Development Teams.” *Management Science* 46, no. 12 (December 2000).

<sup>121</sup> E. Michinov, E. Olivier-Chiron, R. Rusch, and B. Chiron. “Influence of transactive memory on perceived performance, job satisfaction and identification in anaesthesia teams.” *British Journal of Anaesthesia* 100, no. 3 (March 2008).

<sup>122</sup> J. R. Austin. “Transactive memory in organizational groups: The effects of content, consensus, specialization, and accuracy on group performance.” *Journal of Applied Psychology* 88, no. 5 (2003).

<sup>123</sup> Lewis. “Measuring Transactive Memory Systems in the Field: Scale Development and Validation.”

<sup>124</sup> Diane Wei Liang, Richard Moreland, and Linda Argote. “Group Versus Individual Training and Group Performance: The Mediating Role of Transactive Memory.” *Personality and Social Psychology Bulletin* 21, no. 4 (April 1, 1995): 384-393.

<sup>125</sup> Bennett, Gadlin, and Marchand, *Collaboration Team Science Field Guide*, 2.

<sup>126</sup> Ibid., 2.

<sup>127</sup> Ibid., 2.

### 2.2.6.2. Team building

Team building for effective collaboration can be challenging as there are several abstract and interconnected individual and group dynamics. Lauren E. Benishek, Ashley M. Hughes, Megan E. Gregory, Shirley C. Sonesh, Eduardo Salas, and Elizabeth H. Lazzara (“Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice” 2014) provide a “conceptual model of translational medical science collaboration”<sup>128</sup> applicable to research insights and business intelligence units within an organization. This model defines

“Sets of antecedent, process, and outcome variables that influence and are influenced by one another. Antecedents refer to the factors that affect the “collaborative readiness” of research teams and how teams go about meeting their goals.... Processes refer to members; cognitive, verbal, and behavioral interdependent activities and dynamic team properties directed at organizing taskwork and converting inputs into outcomes to achieve collective goals.... These processes all contribute to the creation of outcomes, which are the products or results that the team expects to achieve.”<sup>129</sup>

The process component of the model is further fleshed out and comprises affective, behavioral, intellectual, and interpersonal categories.

“Affective processes refer to those beliefs and feelings team members possess that impact other team processes and outcomes. Behavioral processes are those physical activities in which team members engage in an effort to build team objectives. Intellectual processes describe the team’s cognitions and efforts to generate novel ideas and integrate conceptual frameworks. Interpersonal processes refer to the dynamics that take place between team members.”<sup>130</sup>

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<sup>128</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 2.

<sup>129</sup> Ibid., 2-3.

<sup>130</sup> Ibid., 3.

By understanding and incorporating this framework into team development both on the individual and the group levels, leaders can effectively organize abstract concepts into easily categorized and articulated groups.

A challenging aspect of team building is conflict. This can be “both a challenge and a resource.”<sup>131</sup> Handled well, conflict can result in new knowledge and expanded thinking.<sup>132</sup> Handled poorly, conflict can “impede effective team functioning [and] stifle advancement.”<sup>133</sup>,<sup>134</sup> Conflicts can be either relationship-based, meaning “individual differences that create annoyance or tension between team members” or process-based, meaning “differing opinions on how to divide and delegate responsibilities among team members.”<sup>135, 136, 137, 138</sup> Glauner and Jones (“Cross Cultural Communication: Think AND, not BUT (Don’t Mind the Gap, bridge it),” 2018) provide a successful framework for leaders including recognition, respect, and reconciliation.<sup>139</sup> Ultimately, “the effective management of conflict allows creativity and

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<sup>131</sup> Bennett, Gadlin, and Marchand, *Collaboration Team Science Field Guide*, 2.

<sup>132</sup> *Ibid.*, 2.

<sup>133</sup> *Ibid.*, 2.

<sup>134</sup> Leslie A. DeChurch, Jessica R. Mesmer-Magnus, and Dan Doty. “Moving beyond relationship and task conflict: Toward a process-state perspective,” *Journal of Applied Psychology* 98, no. 4 (2013).

<sup>135</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 8.

<sup>136</sup> Karen A. Jehn. “A Multimethod Examination of the Benefits and Detriments of Intragroup Conflict,” *Administrative Science Quarterly* 40, no. 2 (June 1995).

<sup>137</sup> Jehn. “A Qualitative Analysis of Conflict Types and Dimensions in Organizational Groups.”

<sup>138</sup> Kristin J. Behfar, Randall S. Peterson, Elizabeth A. Mannix, and William M. K. Trochim. “The critical role of conflict resolution in teams: a close look at the links between conflict type, conflict management strategies, and team outcomes,” *Journal of Applied Psychology* 93, no. 1 (January 2008).

<sup>139</sup> Annika Glauner and Caroline Jones. “Cross Cultural Communication: Think AND, not BUT (Don’t Mind the Gap, bridge it),” *NCURA Magazine* (May/June 2018): 28-30.

collaboration to flourish in translational teams, thereby improving their ability to generate new outcomes.”<sup>140</sup>

### 2.2.7. Strategic Planning

Strategy development emerges as a fundamental aspect of leadership and a core competency of effective leaders. This process involves intentional metacritical analysis at various contextual levels. From the organization as it exists in the fabric of its competitors, clients, and the broader landscape, to the department and its place in the organizational milieu. While these can certainly be daunting tasks, there is an abundance of literature and methodologies for incrementally approaching each exercise resulting in clear and actionable direction. Below is a discussion of three general strategy and capacity building techniques followed by a review of the Harvard policy model for strategic planning.

“Developing strategy and building capacity” are cornerstones of transformational leadership.<sup>141</sup> To this end, Kevin Kearns (“Private Sector Strategies for Social Sector Success,” 2000) “identifies three approaches to formulating strategy for an organization.” First, the visioning approach. “This approach begins with the leader’s vision and then works backward to determine ‘what strategies, tactics, actions, and resources are needed to achieve it.’”<sup>142</sup> Second, the incremental approach. This “strategy evolves out of experience as the organization goes along, one decision at a time, buffeted by bargaining and push-and-pull of its constituencies.”<sup>143</sup> Finally, the analytical approach, “in which ‘you use logic and in-depth analysis to improve the

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<sup>140</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 8.

<sup>141</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 171.

<sup>142</sup> Kearns, *Private Sector Strategies for Social Sector Success*, 31, 41.

<sup>143</sup> *Ibid.*, 44.



strategic fit between your organization and its environment’.”<sup>144</sup> These approaches, while broad, enable leaders to identify their current approach to strategy development and situationally adjust their process.

Elizabeth M. Lintz (“A Conceptual Framework for the Future of Successful Research Administration,” 2008) offers yet another broad conceptual framework and methodology for strategic planning for transformative change. This “conceptual framework [is] based on six cornerstones of research administration: mission, information, communication, collaboration, transition or transformation, and outcomes.”<sup>145</sup>

Once a broad approach is identified, strategic planners can employ specific tactics to achieve their goals. Built for strategic planning, “the Harvard policy model, developed at the Harvard Business School by various scholars over a period of decades” directly applies to transformational leadership and is a useful practice to that end.<sup>146</sup> Displayed in Figure 1, this model clearly describes nine generic steps that can be easily adapted to fit contextual demands.

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<sup>144</sup> Ibid., 32.

<sup>145</sup> Elizabeth M. Lintz. “A Conceptual Framework for the Future of Successful Research Administration,” *The Journal of Research Administration* 39, no. 2 (2008): 68.

<sup>146</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 173.

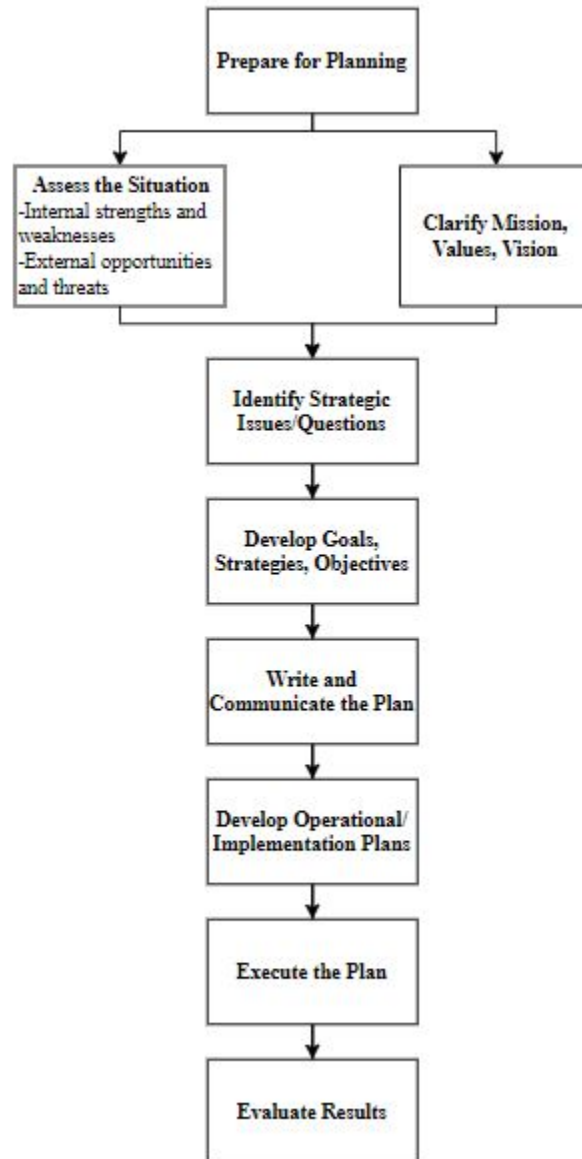


Figure 1: Basic Harvard Policy Model for Strategic Planning.<sup>147</sup>

Importantly, strategic planning and strategic management by extension, “emphasizes an ongoing process that integrates strategic planning with other management systems.”<sup>148</sup> Strategic planning

<sup>147</sup> Ibid., 175.

<sup>148</sup> Jack Koteen, *Strategic Management in Public and Nonprofit Organizations* (Westport: Praeger, 1997), 21.

is not, however, “synonymous with and does not inevitably produce strategy.”<sup>149</sup> Instead, by employing this form of planning, leaders are forced to consider the department and organization’s mission and confront rudimentary questions about where they stand, what they do, and where they want to go.<sup>150</sup> This methodology also functions to facilitate stakeholder alignment on the fundamentals of the business.

A valuable part of the strategic planning is SOWT analysis. This methodology stems from the Harvard policy model described above. “In this approach, the organization itself is surveyed to identify strengths (S) and weaknesses (W), and the external environment is examined to discern opportunities (O) and threats (T).”<sup>151</sup> This practice brings clarity to what can otherwise be a complex system of interconnected elements. “As a result of this analysis, the organization will identify its competencies and distinctive core competencies.”<sup>152</sup> In this case, core competencies are “*abilities* [italics original] that an organization can manage that ideally helps it perform well.”<sup>153</sup> Meanwhile, “a distinctive core competency is, as the term suggests, something the organization does well and that others would find difficult to do as well.”<sup>154</sup> By assessing internal and external circumstances and the competencies of the research insights and business intelligence unit, leaders desiring change are empowered with contextual knowledge to begin developing specific strategies.

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<sup>149</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 185.

<sup>150</sup> *Ibid.*, 186.

<sup>151</sup> *Ibid.*, 178.

<sup>152</sup> *Ibid.*, 178.

<sup>153</sup> Bryson, *Strategic Planning for Public and Nonprofit Organizations*, 154.

<sup>154</sup> *Ibid.*, 154.

These broad approaches and strategic planning processes coalesce into actionable items. When leaders desire change, often instituting that change can face headwinds and can seem like a daunting undertaking. However, by relying on a theoretical framework and defined methodology for strategic planning, leaders can position their desired change appropriately in the situational context and articulate it clearly to the impacted constituents.

### 2.2.8. *Building Capacity*

Once a strategic plan is developed, it is necessary to build capacity. Capacity building, as defined by Christine Letts, William Ryan, and Allen Grossman (“High Performance Nonprofit Organizations: Managing Upstream for Greater Impact” 1999), is a process to “develop, sustain, and improve the delivery of a [nonprofit’s] mission.”<sup>155</sup> Augmenting this understanding of capacity building, Mike Hudson (“Managing at the Leading Edge” 2005)

“Divides capacity into internal and external elements, writing that building organization capacity is about systematically investing in developing an organization’s internal systems (e.g., its people, processes, and infrastructure) and its external relationships (e.g., with funders, partners, and volunteers) so that it can better realize its mission and achieve greater impact.”<sup>156</sup>

While Hudson certainly offers a more specific classification of capacity, Christine Letts, William Ryan, and Allen Grossman (“High Performance Nonprofit Organizations: Managing Upstream for Greater Impact” 1999) “offer a more comprehensive framework.”<sup>157</sup> To do so, they identify three elements of capacity: “program delivery capacity, program expansion capacity, and

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<sup>155</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*, 4.

<sup>156</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 187.

<sup>157</sup> *Ibid.*, 188.

adaptive capacity.”<sup>158</sup> More specifically, “program delivery capacity grows out of the organization's knowledge of a specific field.”<sup>159</sup> Program expansion capacity comes from the expansion of program delivery and involves a more comprehensive organizational expansion plan. Adaptive capacity, held by Letts, Ryan, and Grossman, is the key. Specifically, an organization needs adaptive capacity “to be sure it is delivering on its mission,”<sup>160</sup> including “the ability to learn as an organization and identify ways to improve, to change in response to client needs, to create new and innovative programs, and to create an environment that is motivating to staff.”<sup>161</sup> Ultimately, to effectively lead through change, it is essential to build capacity. In the context of research insights and business intelligence teams, adaptive capacity comes to the fore as the job necessitates high degrees of agility and perpetual shifts to accurately and impactfully develop outputs.

With capacity building defined and the importance therein established, the question turns to how capacity is built. McKinsey & Company (“The Organizational Capacity Assessment Tool (OCAT)” 2013) offer a “comprehensive capacity framework” and essentialize the undertaking into “a pyramid of 10 elements” pictured in Figure 2.<sup>162</sup>

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<sup>158</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*, 20.

<sup>159</sup> *Ibid.*, 20.

<sup>160</sup> *Ibid.*, 20.

<sup>161</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 188.

<sup>162</sup> *Ibid.*, 189.



Figure 2. McKinsey & Company Capacity Framework.<sup>163</sup>

To use this framework, McKinsey & Company “emphasize the importance of following a process that begins at the top of the pyramid and works down” based on their experience.<sup>164</sup>

Clearly illustrated by Figure 2,

“Capacity building may mean more than making modest enhancements to staff skills or management systems. Like strategic planning, capacity building may also require disruptive transformational change that goes to the basic values and purpose of the organization.”<sup>165</sup>

Important to note, though capacity building can be a key feature in instituting change and transformational leadership, “several scholars have proposed theories for examining the link

<sup>163</sup> Ibid., 190.

<sup>164</sup> Ibid., 190.

<sup>165</sup> Ibid., 190.

between capacity and outcomes.”<sup>166</sup> However, Minzer et al. (“The Impact of Capacity-Building Programs on Nonprofits: A Random Assignment Evaluation” 2014) concluded “that there had been ‘virtually no work’ on finding evidence of such a link.”<sup>167</sup> As such, and as with any theoretical framework, pulling applicable and useful pieces based on situationally specific demands is a necessary practice.

### *2.2.9. Reflexivity*

Impactful leadership involves reflexive self-awareness. This includes strengths, weaknesses, and one’s position in the fabric of the team and the organization. Leaders serve as the flashpoint for the creation of guiding principles and a vision for the team and are relied upon to set forth a general roadmap for the team to follow. Underpinning the decision-making processes is the need for perpetual revisitation and fine-tuning of one’s vision and strategy. This metacritical analysis functions on three levels. First, it brings the guiding principles that might otherwise be lost in the day-to-day to the forefront. Second, it encourages a habit of perpetual reflexivity and adjustments to new circumstances and information. Third, it models positive metacritical behavior and demonstrates a willingness to learn and develop. To do this, leaders can pull from metrics used in other aspects of business. For example, one can employ quantitative, qualitative, outcomes-based, activity-based, short-term, and long-term measures.<sup>168</sup> Ultimately, reflexivity is a necessary facet of leadership and transformational leadership.

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<sup>166</sup> Ibid., 193.

<sup>167</sup> Ibid., 193.

<sup>168</sup> Network of Academic Corporate Relations Officers (NACRO) Benchmarking Committee. “White Paper: Metrics for a Successful Twenty-First Century Academic Corporate Relations Program,” *NACRO* (August 2, 2012).

“Transformational leadership, as the name implies, is leadership that changes people.”<sup>169</sup> As James MacGregor Burns, in his book, *Leadership* (1978), puts it,

“Transformational leadership inspires and enables people to grow, both morally and in terms of their levels of motivation. It empowers individuals to go beyond self-interest and pursue goals that are in the common interest. Transformational leaders accomplish this by developing a relationship with followers and tapping into their personal values in a way that matches them to the values of the organization.”<sup>170</sup>

This form of leadership requires the practitioner to examine, re-examine, and revise their leadership techniques to best fit changing dynamics of team research. As a leader, it can be easy to fall into transactional leadership, “an exchange process in which the leader exchanges rewards or punishments for the behavior of others.”<sup>171</sup> Essentially, transactional leadership is management.<sup>172</sup> As such, this pattern of behavior is easy to fall into – it beguiles based on its simplicity and lack of nuance.

However, this black and white view is not necessarily effective. In fact, Bernard M. Bass and Bruce J. Avilo (“Improving Organizational Effectiveness Through Transformational Leadership,” 1994) “developed a more comprehensive model of transformational leadership.”<sup>173</sup> Specifically, they “emphasized that transformational leaders also use transactional techniques in that they do provide goals and rewards for reaching them.”<sup>174</sup> They claim that “there is not a

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<sup>169</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 112.

<sup>170</sup> *Ibid.*, 112.

<sup>171</sup> *Ibid.*, 112.

<sup>172</sup> *Ibid.*, 112.

<sup>173</sup> *Ibid.*, 113.

<sup>174</sup> *Ibid.*, 113.



problem as long as they do not overemphasize these techniques, especially those that are negative.”<sup>175</sup> The process by which leaders assess their techniques is inherently self-aware.

Finally, literature reveals four political frames that insightful leaders define and consistently re-visit. These are defined by Lee Bolman and Terrence Deal (“Reframing Organizations: Artistry, Choice, and Organizations,” 2003) as

“Structural, focusing on structures and formal relationships; human resources, emphasizing interpersonal relationships and worker morale; symbolic, through which a leader may see events, rituals, and stories as central to his or her work; and political, recognizing the inevitable interplay among the organization’s important constituencies.”<sup>176</sup>

These four frames provide context for transformational leadership and drive home the importance of intentional consideration of oneself and one’s team. Ultimately, by employing reflexivity as a core practice of leadership in agile and fast-paced research insights and business intelligence units, the practitioner ensures their leadership practices are reflective of the ultimate goals. Even if the goal posts are often changing.

### 2.3. Applicability of Literature Review

The literature review provides an epistemological survey of the fundamentals of leadership, dominant leadership theories and change theories, guiding principles and visioning, communication, team development, strategic planning, building capacity, and reflexivity. Research insights and business intelligence units are unique in their need to react quickly to changes in the external social, economic, and political landscapes and develop analytical depth in their response to the aforementioned spaces. As such, leaders of such endeavors must have a firm

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<sup>175</sup> Ibid., 113.

<sup>176</sup> Ibid., 119.

grasp on their “purpose, vision, and direction,”<sup>177</sup> that is, the “‘where’ and the ‘why’ rather than the ‘how’.”<sup>178</sup> The responsibility does not stop at defining guiding principles and visioning, though. Effective articulation of this direction and strategic planning to that end are invaluable as ways to get the team on board and facilitate each team member's understanding of their role in the bigger picture. Additionally, developing the team and team competencies is highly necessary as it ensures all members are equipped to carry out their duties as parts of the larger whole. Finally, reflexivity and a leader’s intentional metacritical analysis serve to effectively align leadership practices with the needs of the team, organization, and landscape. Ultimately, leadership theories serve as pillars on which practitioners can build leadership styles. The existing leadership theories can serve as a jumping-off point for contextually specific adjustments. The gap between theory and praxis can be difficult to bridge. This gap will be addressed and filled in subsequent chapters.

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<sup>177</sup> Ibid., 109.

<sup>178</sup> Ibid., 109.

## Chapter 3. Needs Assessment

### 3.1. Needs Assessment

#### 3.1.1. Assessment of Need

Conducting a needs assessment helps define operational structures, professional responsibilities, and links that infrastructure to the business unit and organization's strategy. It is valuable for a leader to understand the organizational structure and the needs therein to ensure lines of communication, procedures, processes, and responsibilities are clearly defined. Often, business units that grow rapidly tangle these lines of communication and this can hinder the quality of the work. Needs assessments allow leaders to quickly identify gaps and determine how best to fill those gaps.

With the fast pace of research, it is extremely important that all members of the team have processes in place to quickly and effectively execute their responsibilities as so many responsibilities are linked to others on the team. When, however, these operations break down, or when a department is facing potential growth (as is the case in the research insights and business intelligence team discussed in this capstone project), a leader must understand how to perform a needs assessment and astutely interpret the results. Essentially, this assessment helps establish the need, or "a discrepancy or gap between 'what is' and 'what should be'."<sup>179</sup> Specifically,

"a 'needs assessment' is a systematic set of procedures that are used to determine needs, examine their nature and causes, and set priorities for future action.... In the real world, there is never enough money to meet all needs. Needs assessments are conducted to help program planners identify and select the *right job* before doing the *job right*."<sup>180</sup>

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<sup>179</sup> Office of Migrant Education, *Comprehensive Needs Assessment* (2001), 2.

<sup>180</sup> *Ibid.*, 2.

These tools are best used when a department is first starting, as it is growing, and when things aren't functioning properly. However, the best practice would be conducting such an assessment annually so as not to fall behind. By understanding the needs of the department, leaders can effectively facilitate streamlining with the intention of best supporting the strategies and goals of the institution.

At the outset of any potential change, whether that includes a change in financial resources, headcount, or the addition of a leadership guide (as is the case with this capstone project), it is valuable to establish why that new addition is necessary. Fundamentally, one is creating a case and setting priorities for the change or changes taking place. Before establishing the need for this capstone project, it is necessary to define a few key terms. A “‘need’ refers to the gap discrepancy between present state (what is) and desired state (what should be). The gap is neither the present nor the future state; it is the gap between them.”<sup>181</sup> A “‘target group’” is the focus of the needs assessment “ideally, needs assessments are initially conducted to determine the needs of the people (i.e., service receivers) for whom the organization or system exists. However, a ‘comprehensive’ needs assessment often takes into account needs identified in other parts of a system.”<sup>182</sup> Finally, “a ‘needs assessment’ is a systematic approach that progresses through a defined series of phases” with a focus “on the ends (i.e., outcomes) to be attained, rather than the means (i.e., process).”<sup>183</sup> Ultimately, these assessments “gather data by means of established procedures and methods,... set priorities and determine criteria for solutions,... [and]

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<sup>181</sup> Ibid., 5.

<sup>182</sup> Ibid., 5.

<sup>183</sup> Ibid., 6.

lead to action that will improve programs, services, organizational structure and operations, or a combination of these elements.”<sup>184</sup>

Phase one of determining the need for this project includes “investigating what is already known about the needs of the” research insights and business intelligence team; “to determine the focus and scope of the needs assessment; and to gain commitment for all stages of the assessment; including the use of the findings for program planning and implementation.”<sup>185</sup>

In this case, the research insights and business intelligence team at the institution in question comprises three units: research insights, business intelligence, and a research library. These teams have distinct projects throughout the year but come together on two endeavors: the market forecast and the creation and curation of thematic stock indexes. Both endeavors are managed by members of the business intelligence team but require the participation of the research insights and research library personnel to spread out what would be an onerous load for one unit given the current resources.

In the last year the market forecast, and thematic stock index programs have experienced rapid growth. For the market forecast, this expansion resulted in an increased volume of publications. For the thematic stock indexes, this growth resulted in an exponential growth of the indexes managed. Both expansions have resulted in mounting pressure on the research insights and research library teams as they try to balance their primary responsibilities within their units alongside the increasing demand for collaboration. The target groups for this project are the three teams that make up the research insights and business intelligence department. The scope of this needs assessment is defining these changes and addressing how leadership can effectively

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<sup>184</sup> Ibid., 6.

<sup>185</sup> Ibid., 8.

manage through them and respond to the needs of the team during this time of growth. Ultimately, this project directly responds to the needs assessment by offering a conceptual framework and guide for effective leadership through programmatic growth for research insights and business intelligence teams. This framework will be used by those in leadership positions in the department as they plan to address the expansions in the coming year.

### 3.2. Sources and Metrics

The need for this capstone project was established through department, team, and individual discussions. Additionally, the corporate and departmental goals informed the need with specific numbers. For example, one of the corporate goals revolves around developing at least three new partnership opportunities for the thematic stock index work. This goal will require increased staff time from all three units within the research insights and business intelligence team. Meanwhile, another research-related goal revolves around publishing at least three new research studies focused on emerging technologies or industry trends. This goal will impact exclusively the research insights team. This macroscopic growth comes from a positive place and a desire to enhance a well-performing team.

At a departmental level, there is also a push for growth. Specifically, increasing international research in Canada, which impacts the research insights team, and creating a new market forecast product, which impacts the business intelligence team. There are, however, departmental goals that focus on streamlining processes and increasing the headcount by at least two. Ultimately, these goals reflect the important desire to continue expanding. However, they come with the need for highly effective leadership to properly scale the research efforts. Ultimately, the team is primed for change because of this growth. The collective desire for change is a window of opportunity for leadership to conscientiously develop overarching

improvements that will have meaningful and lasting impact. Expanding product offerings and headcount are pivotal moments and leadership practice rooted in current literature and best practices is essential. This capstone project seeks to serve as a guide for such an endeavor and will provide a useful framework for current and future leadership practice.

## Chapter 4. Project Description

### 4.1. Discussion of Project Elements

This capstone project is a conceptual framework and guide. It is intended to equip leaders of research insights and business intelligence units with tools based on existing literature about leadership theory and praxis. This project guides leaders through the existing literature in an easily digestible way that prompts further reading as desired. The guide comprises the following sections:

- Leadership theories,
- Leadership styles,
- Leadership approaches,
- Change theories,
- Guiding principles,
- Visioning,
- Communication,
- Team development,
- Strategic planning,
- Building capacity, and
- Reflexivity.

There are activities throughout the guide that prompt leaders to engage deeply with the material and apply real-world situations to the conceptual framework to organize and articulate their thoughts. Ultimately, though reflexivity is the final section of the guide, metacritical analysis of



one's leadership methods imbues the exercise as leaders are encouraged to analyze their existing practice and consider opportunities for their own professional future growth.

## **Chapter 5. Methodology**

### 5.1. Methodology Overview

This capstone project relies heavily on existing literature on leadership principles. As such, the author conducted extensive primary and secondary research to ground the eight topics included in the leadership guide in the most enduring theories. This guide is designed to be disseminated to leaders in an organization following an informal “lunch and learn” presentation of the theoretical framework during the first business quarter. The “lunch and learn” is intended to occur annually each first quarter and will incorporate new information and encourage leaders to actively engage in reflective exercises and professional development.

### 5.2. Project Design and Discussion

The capstone project is designed to guide leaders in a stepwise manner with the goal of effectively instituting meaningful and lasting change. The project has three steps, defining the foundations of leadership, developing guiding principles and a vision, and putting the plan into action.

**Step One: Theoretical Foundations of Leadership**

Leadership Theories

Activity

Leadership Styles

Activity

Leadership Style Theories

Activity

Leadership Approaches

Activity

Change Theories

Activity

**Step Two: Developing Guiding Principles and a Vision**

Guiding Principles

Activity

Visioning

Activity

Putting the Plan into Action

Activity

Communication

Activity

Team Development

Activity

**Step Three: Team Competencies and Individual Skills**

Team Building

Activity

Strategic Planning

Activity

Building Capacity

Activity

Reflexivity

Activity

Figure 3: Leadership Conceptual Framework and Guide Diagram

### *Step One: Defining the Foundations of Leadership*

This section details the foremost leadership theories. These theories are designed to be used, exchanged, revised, and tailored to fit the context in which the leader is practicing. Following this brief discussion is an activity that prompts the leader to consider the theories in the context of their own practice. The guide then outlines primary leadership styles and leadership style theories. Following this exploration is an activity that prompts leaders to look unto their own leadership practice and classify their current methods within the given framework. Additionally, the activity prompts leaders to consider which methods they would like to employ in the future. Finally, the activity prompts action-oriented thinking, requesting that the leader list tactics so they may begin shifting their leadership style. The guide then details leadership approaches as they are defined in the literature and prompts the leader to consider which approach resonates with them in their leadership context.

### *Step Two: Developing Guiding Principles and a Vision*

The guide defines and describes the importance of guiding principles. Following this brief description is an activity that prompts leaders to develop a draft of their guiding principles. This is to be used as a framework throughout the remaining guide as it would be in the real-world. Following defining guiding principles is defining a vision. In this section, the guide defines “vision” and describes the importance of visioning as it pertains to leadership. Following this discussion is an activity that prompts leaders to consider their ideal future, first unbound by resource restrictions then bound by these restrictions. This activity also illustrates how the guiding principles should be used as a tool in the visioning process by prompting the leader to consider how the guiding principles can serve as a foundation for actualizing the vision.

### *Step Three: Putting the Plan into Action*

The third section begins with communication as an underpinning of a successful strategy. This section delves into the existing communication theories. The activity that closes out this section prompts leaders to brainstorm reasonable ways they can employ specific communication frameworks. By rooting this activity in the real-world, it bridges the gap between theory and praxis. The guide then describes team development. This section first describes team competencies and individual skills, offering techniques defined by the existing literature on the subject. This section ends with an activity that asks which of the methods would be a most reasonable first step toward realizing the previously defined vision and asks the leader to consider how they would use the guiding principles to help determine the best place to start. This activity also directly prompts bridging the gap between theory and praxis by defining an actionable first step toward building capacity.

The guide then describes team building including a brief discussion of the existing literature. The guide prompts leaders to apply their understanding of the theories to their own team development in the context of realizing their vision. Then the guide discusses strategic planning including theories and a generalized model for planning. The activity prompts leaders to consider how the theories relate to their own practice, create a general strategic plan for some aspect of their vision, define actionable items that have come from the process, and consider how to best position their desired change in their situational context. The guide then turns to building capacity and defines the various types of capacity as they exist in the literature. This section includes a framework for building capacity including a step-by-step guide. The activity asks leaders to consider their organization's capacity and asks them to map their vision onto the capacity framework provided.

Finally, the guide concludes with a section on reflexivity and describes the existing literature on metacritical analysis and reflexive examination of one's practices. The activity prompts leaders to consider how to incorporate this analysis into their leadership practice and asks leaders to consider how the guide can be of use in the future. Though this is merely one section, the guide is imbued with reflexivity and prompts leaders to perpetually look unto themselves and their practices with a critical eye and a desire for self-improvement.

## Chapter 6. Project Results and Discussion

### 6.1. Project Results

This capstone project addresses the need for a conceptual framework and methodology to enable individuals who lead research insights and business intelligence teams to hone their ability to maintain a reflexive leadership style in their institutional context. There are many headwinds presented to leaders who desire meaningful and lasting change, but this project provides an incremental approach that allows leaders to balance their duties with their desire to grow. This conceptual framework and guide create an opportunity for leaders to increase team support, enhance operations and output, create opportunities for consideration and constructive questioning of systemic politics, promote the acceleration of goal and deadline achievement, and allow the kind of self-reflection necessary for an individual who is simultaneously leading and being led.

This project provides an overview of the principal theories for leadership best practices and transformational leadership by distilling complex concepts into an easily digestible format while simultaneously prompting further reading as desired by the leader. Additionally, the conceptual framework and guide provides clear methods for translating the theories into praxis via activity questions that require leaders to apply the theories directly to their current circumstances. Ultimately, this guide helps leaders institute meaningful and lasting change rooted in existing theory.

## Chapter 7. Recommendations and Discussion

### 7.1. Introduction

This capstone project is designed to be used, reused, visited, and revisited by leaders in research insights and business intelligence and beyond. The theories described and activities assigned prompt deep reflexive consideration of one's strengths and weaknesses and provide many options for how to change and improve. Importantly, this conceptual framework and guide acknowledges that there is no "one-size-fits-all" leadership methodology and provides distilled versions of the existing literature to prompt leaders to consider their circumstances and adapt their learnings accordingly. From this capstone project came two primary recommendations described in the section below.

### 7.2. Recommendations

#### *7.2.1. Recommendation One*

Leaders should engage with literature on leadership, at least at a basic level, so they have a clear picture of general leadership theories, styles, style theories, approaches and change theories. Ultimately, this commitment to bettering oneself leads to better performance not just for the leader, but for the team(s) they direct.

#### *7.2.2. Recommendation Two*

Leaders should take time for reflexivity and should actively engage in their own growth and development. Getting off the proverbial treadmill and taking time to fine-tune one's guiding principles and vision is a fundamental aspect of effective leadership. This revisitation and revision involve metacritical exercises to ensure one's leadership tactics are effectively supporting the success of the team and the ultimate realization of the vision. It is suggested that



leaders casually revisit the leadership guide at least once per business quarter (or four times per year) and more seriously reflect and engage with the guide in the first quarter of the fiscal year (or one of the four times per year).

## Chapter 8. Conclusion

Research insights and business intelligence are the cornerstones of informed business decisions. The value of their work speaks for itself, and effective leadership is paramount to ensure this business unit is functioning effectively and efficiently. This capstone project provides a conceptual framework and guide for effective leadership in general but also through programmatic growth on research insights and business intelligence teams.

Primarily concerned with “purpose, vision, and direction,”<sup>186</sup> leaders focus on the “‘where’ and the ‘why’ rather than the ‘how’.”<sup>187</sup> To this end, an understanding of leadership theories as they related to leadership styles and approaches is an asset. The nomenclature of leadership theory provides leaders with a taxonomy and way of conceptualizing and articulating their leadership practices. This empowers leaders to engage in reflexivity within a leadership lexicon. Taking this a step further, the acknowledgement and acceptance of the incomplete leader drives home the value of self-awareness and the importance of finding colleagues and team members who can fill in the gaps where one is not naturally adept. What’s more, this collaborative leadership perspective illustrates the value of taking time to learn from team members.

Leading a team through change can be one of the most trying challenges faced by a leader. To root the leader amid what might be a tempest of changing circumstances are guiding principles and a sound vision. By taking time to establish these pillars, the leader is more easily able to stay grounded amid upheaval. Communication these guiding principles and vision to inspire the team and bring people together under the umbrella of a collaborative mission is

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<sup>186</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 109.

<sup>187</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 109.

critical. As is team development including developing team competencies and individual skills and team building. Strategic planning naturally falls out of the aforementioned facets of change leadership. With a sound vision, purpose, and direction the leader can determine the ‘where’ and the ‘why’ of the change taking place. Then the leader must rely on their team to support them and help determine the ‘how’. To achieve the strategic plan, building capacity becomes the focus. Capacity building can involve internal and external elements and is a process to “develop, sustain, and improve the delivery of a [nonprofit’s] mission.”<sup>188</sup> Underpinning each of the aforementioned steps is reflexivity and an enthusiastic willingness to undertake metacritical exercises in the name of improving leadership techniques. This brings the capstone project full circle as the first step in a productive reflexive exercise is possessing the vocabulary to articulate leadership theories, styles, and approaches.

Though changes in leadership approach are often induced by changes in personnel, internal or external review, financial pressures, performance, a desire to capitalize on new opportunities or directions, regulatory matters, or some combination of those forces, leaders should take their ongoing growth and development as a serious facet of their responsibilities. The desire to engage in reflexivity and metacritical analysis can be difficult. To address this challenge, this capstone project provides a conceptual framework based in current leadership theory with guided activities to bridge the gap between theory and praxis, text, and world. Ultimately, this work seeks to inspire a productive and rewarding engagement with professional leadership development as a facet of team development.

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<sup>188</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*, 4.

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## Appendices

### Appendix 1: Leadership Conceptual Framework and Guide

#### Leadership Conceptual Framework and Guide

##### Introduction

Primarily concerned with “purpose, vision, and direction,”<sup>189</sup> leaders focus on the “‘where’ and the ‘why’ rather than the ‘how’.”<sup>190</sup> Elaborating on this definition of leadership, “leadership is engagement with others, commitment to a vision, and presence to have perseverance to see a vision through.”<sup>191</sup> Below is a conceptual framework and guide for leadership considerations in research insights and business intelligence.

##### How to Use This Guide

This conceptual framework is intended to equip leaders with tools based on existing literature about leadership theory and praxis. It is suggested that leaders review the guide in combination with the in-depth theoretical framework provided in the *Literature Review* section of this capstone project. However, this can also be used as a stand-alone product. In general, actively reviewing the guide in its entirety and noting salient aspects of the guide for one’s own leadership practice is ideal. This review is recommended to occur quarterly with a more serious and in-depth review in the first quarter of the fiscal year. Additionally, leaders may review this

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<sup>189</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 109.

<sup>190</sup> Ibid..

<sup>191</sup> Sanders, *Syllabus Review: Overview of Research Enterprise*.

guide when facing the need for change, using it as a quick-reference guide to help organize and articulate their responsibilities and the means to their end.

### Step 1: Defining the Foundations of Leadership

#### *Leadership Theories*

Leadership theories are designed to be situationally adapted and used together. As such, there is no “correct” theory, rather, they are intended to be used, exchanged, revised, and tailored to the most natural state of leadership for the practitioner. These general theories include:

- Alignment model
  - Proposed by Barry Dym and Harry Hutson (“Leadership in Nonprofit Organizations,” 2005), this model describes the situationally specific nature of leadership. Specifically, the model “argues that nonprofit executive effectiveness results from having the right person in the right job at the right time; in other words, it is necessary to have a good fit between the leader and the needs of the organization at the time.”<sup>192</sup>
- Trait theories
  - Attribute effective leadership ability to innate characteristics or skills. Ralph Stodgill (“Personal Factors Associated with Leadership: A Survey of the Literature,” 1948) defined these traits:
    - Intelligence
    - Alertness
    - Insight

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<sup>192</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 119.

- Responsibility
  - Initiative
  - Persistence
  - Self-confidence
  - Sociability
- Skills theories
    - Attribute effective leadership ability to the technical, human, and conceptual skills the leader possesses. Daniel Katz (“Skills of an Effective Administrator,” 1995) “suggested that effective leadership depends on the leader possessing skills in three areas:
      - Technical – knowledge of the job, profession, or task
      - Human – the ability to work with people
      - Conceptual – the ability to understand ideas and principles.”<sup>193</sup>
- Behavior theories
    - Attribute effective leadership to task behaviors and relationship behaviors. These behaviors define leadership styles. Ohio State University “identified two basic types of leader behaviors:
      - Task behaviors – actions that relate to the work to be done
      - Relationship behaviors – actions that focus on the feelings of subordinates”<sup>194</sup>

<i>Activity</i>
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<sup>193</sup> Ibid., 110.

<sup>194</sup> Ibid., 111.

1. Which of the theories above resonates most with you? Why?

### *Leadership Styles*

Leadership styles are the amalgamation of traits, skills, and behavior theories. They include:

- Authority-obedience management
  - A management style defined by Robert Blake and Jane Mouton, at “organizations that are high on production (task) and low on relationships. Essentially, they are dictatorships although they may be productive.”<sup>195, 196</sup>
- Country club management
  - A management style defined by Robert Blake and Jane Mouton, at organizations that are “high on relationships and low on concern for production.... They may be great places to work but get little or nothing accomplished.”<sup>197, 198</sup>
- Impoverished management
  - A management style defined by Robert Blake and Jane Mouton, at “organizations that are low on both concern for people and production.... These would be dreadful places to work, and most people would likely not stay long in such an uninspiring environment.”<sup>199, 200</sup>

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<sup>195</sup> Ibid., 111.

<sup>196</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>197</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>198</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>199</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>200</sup> Rainey, *Understanding and Managing Public Organizations*.

- Team management
  - A management style defined by Robert Blake and Jane Mouton, at organizations that “show high concern for both people and production.”<sup>201, 202</sup> This is “the ideal management style.”<sup>203, 204</sup>

### *Leadership Style Theories*

- Situational theories
  - Leadership style theory that emphasizes adaptability as a hallmark of effective leadership.
- Contingency theories
  - A branch of situational theories, defined by Fred E. Fiedler, “provides a way of matching leadership styles to defined situations.”<sup>205</sup> A “situation may be favorable or unfavorable to the leader, depending on three variables that are all high in the ideal situation. “Task-oriented leaders do best when conditions are very favorable or very unfavorable, while relationship-oriented leaders do best in the intermediate circumstances.”<sup>206</sup> The three variables are:
    - Leader-member relations (e.g., the degree of trust, cooperativeness, and friendliness between the leader and followers)

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<sup>201</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>202</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>203</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>204</sup> Rainey, *Understanding and Managing Public Organizations*.

<sup>205</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 111.

<sup>206</sup> *Ibid.*, 111.

- The task structure (i.e., whether the job to be done is clear and specific or ambiguous and uncertain)
  - The position of power of the leader (i.e., the formal position of authority the leader holds).”<sup>207</sup>
- Path-goal theories
  - A leadership style theory focused on adapting behaviors to motivate followers and increase satisfaction and performance.
- Leader-member theories
  - A leadership style theory in which effective leadership is determined by interactions between leader and followers.

*Activity*

1. Which of the leadership styles above do you believe you currently employ?
2. Which would you like to employ in the future?
3. List three tactics you can use to begin changing your leadership style.

*Leadership Approaches*

- Servant leadership
  - A leadership approach advanced by Robert Greenleaf and characterized by the leader as a steward for their team. Leadership that is centered on serving others rather than self-interest.
- Charismatic leadership

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<sup>207</sup> Ibid., 111.

- A leadership approach, defined by Hal G. Rainey and characterized by a confident leader who uses out-of-the-box visioning and rhetoric to persuade and influence followers rather than relying on formal authority.
- The imperfect leader
  - Defined by Deborah Ancona, et. al., this is the acknowledgement that there is no such thing as the “complete” leader. Highlights the need for relying on the strengths of others to augment one’s leadership weaknesses. Ancona et al. propose “four leadership capabilities all organizations need:
    - Sensemaking – interpreting developments in the business environment
    - Relating – building trusting relationships
    - Visioning – communicating a compelling image of the future
    - Inventing – coming up with new ways of doing things”<sup>208</sup>

*Activity*

1. Which of the leadership approaches above resonates most with you? Why?

*Change Theories*

Change theories are theories that pertain to how leaders can guide their team through transformation.

- Kee and Newcomer (“Transforming Public and Non-Profit Organizations: Stewardship for Leading Change,” 2008) “propose a taxonomy of change models, placing some well-known theories into categories:
  - Leader-centered – puts the leader at the center of the desired change

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<sup>208</sup> Ancona, Malone, Orlikowski, and Senge, “In Praise of the Incomplete Leader,” 2.



- Follower-centered – puts the followers at the center of the desired change
- Change-centered leadership – puts the desired change at the forefront<sup>209, 210</sup>

*Activity*

1. Which model above do you prefer?
2. Which would be most effective at your current organization?

## Step 2: Develop Guiding Principles and a Vision

### *Guiding Principles*

Leadership requires taking time off the proverbial treadmill to take stock of past achievements, current conditions, and future goals. At their cores, guiding principles development and visioning are creative processes by which leaders develop roadmaps and bring the team together. John P. Kotter (“On Change Management”, 2011) succinctly says, “the guiding coalition [principles] develops a picture of the future that is relatively easy to communicate and appeals to customers, stockholders, and employees.”<sup>211</sup> Developing guiding principles directly impacts the ease with which larger decisions can be made. In other words, when it comes time to make decisions, a leader can refer to the guiding principles and determine how they may direct the desired outcome.

*Activity*

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<sup>209</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 124.

<sup>210</sup> Kee and Newcomer, *Transforming Public and Nonprofit Organizations: Stewardship for Leading Change*.

<sup>211</sup> Kotter, “On Change Management,” 8.

Take time to consider the characteristics you'd like to use to describe the ideal version of your team (e.g., collaborative, engaged, inspired, productive, etc.). These general characteristics become your guiding principles and should be reviewed when it comes time to make decisions and revised as needed.

### *Visioning*

Taking root in the guiding principles, “a vision always goes beyond the numbers that are typically found in five-year plans. A vision says something that helps clarify the direction in which an organization needs to move.”<sup>212</sup> Essential to the vision is not that it be prescriptive by nature, instead “what is most important is that each person understands the overall vision and goals... and how they contribute to the collective effort.”<sup>213</sup>

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<sup>212</sup> Ibid., 8.

<sup>213</sup> Bennett, Gadlin, and Marchand, *Collaboration Team Science Field Guide*, 58.

By embodying the vision and intentionally incorporating the guiding principles into everyday activities, leaders empower others to act on their vision and fold their vision into the cultural vernacular. Turning a vision and guiding principles into action involves removing obstacles for team members so the act of incorporating the vision is the path of least resistance. To this end, systems and structures that undermine the vision should be removed. This is not, however, a solitary job. In fact, part of communicating the vision involves empowering and encouraging employees to approach obstacles creatively, “try new approaches, develop new ideas, and provide leadership” to others.<sup>214</sup> Importantly, handing new processes to team members without involving them in the development process and building the day-to-day experiences and nuances into them, generally does not lead to meaningful or lasting change. As simple as it may seem, the act of allowing team members to take ownership over new processes brings a sense of purpose and pride that isn’t necessarily possible when processes are handed down from the top.

*Activity*

Take time to consider what the ideal version of the future of your business unit and team looks like (e.g., expanded programs, increased (or decreased) headcount, increased revenue, etc.).

1. Complete this exercise unbound by resources (i.e., budget, current capacity, etc.)
2. Review your guiding principles and consider how the guiding principles can serve as a foundation for bringing your vision to life.
3. Consider how your vision might be edited within the bounds of the resources at hand.

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<sup>214</sup> Kotter, “On Change Management,” 11.

### Step 3: Putting the Plan into Action

#### *Communication*

Underpinning effective leadership and mentioned briefly in the previous section is communication. “Communication fosters trust, cohesion, inclusiveness, and psychological safety, which are all attitudes essential for fruitful collaborations.”<sup>215</sup> As it pertains to a leader’s guiding principles and vision, they should be crafted succinctly so they may be concisely shared with others. Communicating the vision is vital.

- Kotter (“On Change Management”, 2011) explains the leader should use “every vehicle possible to communicate the new vision and strategies. Teaching new behaviors by example of the guiding coalition [principles].”<sup>216</sup> Part of this process of creation and regular reiteration engrains the direction into the fabric and daily behaviors of the team.
- Glatman and Daneau (“The Three C’s for Successful International Collaborations: Compliance (Non-Financial and Financial), Communication, and Continuous Monitoring,” August 2020) provide a useful, albeit simple, conceptualization of the importance of communication as it pertains to compliance and continuous monitoring of a team.
- Floris van der Leest (“The Nine C’s of Effective Communication: Part 2,” 2022) provides useful facets of effective communication. Floris van der Leest calls for:
  - Clear
  - Correct

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<sup>215</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 6.

<sup>216</sup> Kotter, “On Change Management,” 4.

- Complete
  - Concrete
  - Concise
  - Courteous
  - Coherent
  - Consistent
  - Creative communication.<sup>217</sup>
- John P. Kotter (“On Change Management.” 2011) identifies three actions of executives who communicate well. Specifically, these successful leaders:
    - Incorporate their vision messages into hour-by-hour activities, seeking opportunities to tie ideas, decisions, and actions back to their guiding principles and/or vision.<sup>218</sup>
    - Effectively use every possible channel to communicate their vision, especially those being wasted on nonessential information.<sup>219</sup> For example, “they take ritualistic, tedious quarterly management meetings and turn them into exciting discussions of the transformation.”<sup>220</sup>
    - Consciously attempt to become a living symbol of the new corporate culture.”<sup>221</sup>

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<sup>217</sup> van der Leest, “The Nine C’s of Effective Communication: Part 2.”

<sup>218</sup> Kotter, “On Change Management,” 10.

<sup>219</sup> Ibid., 11.

<sup>220</sup> Ibid., 11.

<sup>221</sup> Ibid., 11.

- Lauren E. Benishek, et al. (“Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice” 2014) provide a broader and particularly useful view of communication, defining it as “the exchange of information between a sender and a receiver.”<sup>222</sup> Ultimately, communication “allows teams to mitigate information overload as well as handle and adapt in dynamic situations, predict team members’ needs, foster seamless coordination, and execute plans efficiently.”<sup>223</sup> They describe effective communication as “characterized by:
  - Openness (not holding back)
  - Adaptability
  - Conciseness
  - Clarity
  - Accuracy.”<sup>224</sup>
- As part of Lauren E. Benishek et al.'s framework, they identify three pillars for productive communication, and describe a methodology for developing these techniques:
  - Highlight the flow of information, and encourage leaders to improve this flow
    - Incorporating brainstorms, workshops, regular meetings, interactive websites, and boundary spanners into their leadership practice.<sup>225</sup>
  - Closed loop communication

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<sup>222</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 4.

<sup>223</sup> Ibid., 5-6.

<sup>224</sup> Ibid., 4.

<sup>225</sup> Ibid., 6.

- “A process of acknowledging and clarifying information with the sender of the communicated message to assure that the recipient did receive and comprehend the information in the same manner as it was originally intended.”<sup>226</sup> This method of communication is a “process of quality assurance and affirming information for accuracy.”<sup>227</sup>
  - Information exchange protocols<sup>228</sup>
    - Practices that “enable structured communication to facilitate information presentation and recall as well as a shared understanding.”<sup>229</sup> As part of this, Lauren Benishek et al. suggest “fostering presentation, recall, and shared understanding by leveraging information exchange protocols... [as] essential for successful” teams.<sup>230</sup>

*Activity*

1. Brainstorm three reasonable ways you can employ each of John P. Kotter’s effective communication techniques for the vision you defined earlier.
2. Brainstorm three reasonable ways you can use Benishek et al.’s framework for effective communication in the near future.

Use your guiding principles to help you craft these tactics.

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<sup>226</sup> Ibid., 6.

<sup>227</sup> Ibid., 6.

<sup>228</sup> Ibid., 6.

<sup>229</sup> Ibid., 6.

<sup>230</sup> Ibid., 6.

## *Team Development*

The science of team science provides a compelling overarching framework to employ in the process of team development and illustrates “the impact of interpersonal processes and leadership styles on scientific collaboration.”<sup>231</sup>

### Team Competencies and Individual skills

Each member of a team comes to the table with valuable skills and dynamic perspectives. To accommodate and develop the skills and perspectives on teams, literature encourages leaders to rely on the following methodologies that are “associated with improved team effectiveness, team learning, and member satisfaction:”<sup>232, 233, 234, 235, 236, 237</sup>

- Incorporate shared knowledge structures<sup>238</sup>
  - Frameworks developed to “combine [and] organize disparate knowledge bases.”<sup>239</sup>

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<sup>231</sup> Stokols, Hall, Taylor, and Moser, “The Science of Team Science: Overview of the Field and Introduction to the Supplement,” S84.

<sup>232</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

<sup>233</sup> Faraj and Sproull, “Coordinating Expertise in Software Development Teams.”

<sup>234</sup> Michinov, Olivier-Chiron, Rusch, and Chiron, “Influence of transactive memory on perceived performance, job satisfaction and identification in anaesthesia teams.”

<sup>235</sup> Austin, “Transactive memory in organizational groups: The effects of content, consensus, specialization, and accuracy on group performance.”

<sup>236</sup> Lewis, “Measuring Transactive Memory Systems in the Field: Scale Development and Validation.”

<sup>237</sup> Wei Liang, Moreland, and Argote, “Group Versus Individual Training and Group Performance: The Mediating Role of Transactive Memory.”

<sup>238</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

<sup>239</sup> Ibid., 7.



- Establish shared mental models<sup>240</sup>
  - “Organized knowledge structures common across team members.”<sup>241</sup>
- Establish transactive memory systems<sup>242</sup>
  - “A cooperative division of labor for learning, remembering, and communicating relevant team knowledge.”<sup>243</sup> This technique “allows team members with unique expertise to combine their disparate knowledge into a novel product or outcome that extends beyond any one discipline.”<sup>244</sup>
- Establish a mentorship program
  - Mentorship “recognizes the strengths of each team member,” empowers teammates to be leaders and teachers, fosters interpersonal ties, facilitates communication and collaboration, distributes the responsibility of training, identifies aspirations and growth opportunities.<sup>245</sup> Mentorship links to the broader idea of team competencies, shared knowledge structures, and transactive memory systems as they all involve formal and informal forms of knowledge transfer and organization and result in the development of the team which is “synchronous with strengthening team dynamics.”<sup>246</sup>

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<sup>240</sup> Ibid., 7.

<sup>241</sup> Ibid., 7.

<sup>242</sup> Ibid., 7.

<sup>243</sup> Lewis, “Measuring Transactive Memory Systems in the Field: Scale Development and Validation.”

<sup>244</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 7.

<sup>245</sup> Bennett, Gadlin, and Marchand, *Collaboration Team Science Field Guide*, 2.

<sup>246</sup> Ibid., 2.

*Activity*

1. Which of the above method would be a reasonable and functional first step toward realizing the vision you defined?
2. How can you use your guiding principles to help you determine which would be the best place to start?

### Team Building

Team building for effective collaboration can be challenging as there are several abstract and interconnected individual and group dynamics. Benishek et al. (“Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice” 2014) provide a model that defines “sets of antecedent, process, and outcome variables that influence and are influenced by one another:

- Antecedents
  - The factors that affect the “collaborative readiness” of research teams and how teams go about meeting their goals.
- Processes
  - Members’ cognitive, verbal, and behavioral interdependent activities and dynamic team properties directed at organizing taskwork and converting inputs into outcomes to achieve collective goals.
    - Affective processes refer to those beliefs and feelings team members possess that impact other team processes and outcomes.
    - Behavioral processes are those physical activities in which team members engage to build team objectives.

- Intellectual processes describe the team’s cognitions and efforts to generate novel ideas and integrate conceptual frameworks.
  - Interpersonal processes refer to the dynamics that take place between team members.
- Outcomes
    - The products or results that the team expects to achieve” because of the processes.<sup>247</sup>

*Activity*

1. How can you apply your understanding of antecedent, process, and outcome variables to developing your team toward realizing your vision?

*Strategic Planning*

“Developing strategy and building capacity” are cornerstones of transformational leadership.<sup>248</sup>

- Kevin Kearns (“Private Sector Strategies for Social Sector Success,” 2000) “identifies three approaches to formulating strategy for an organization.”<sup>249</sup>
  - The visioning approaches

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<sup>247</sup> Benishek, et al., “Promoting Teamwork in Translational Medical Teams: Insights and Recommendations from Science and Practice,” 2-3.

<sup>248</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 171.

<sup>249</sup> *Ibid.*, 171.

- “This approach begins with the leader’s vision and then works backward to determine ‘what strategies, tactics, actions, and resources are needed to achieve it.’”<sup>250</sup>
    - The incremental approach
      - This “strategy evolves out of experience as the organization goes along, one decision at a time, buffeted by bargaining and push-and-pull of its constituencies.”<sup>251</sup>
    - The analytical approach
      - “In which ‘you use logic and in-depth analysis to improve the strategic fit between your organization and its environment’.”<sup>252</sup>
- Elizabeth M. Lintz (“A Conceptual Framework for the Future of Successful Research Administration,” 2008) offers yet another broad conceptual framework and methodology for strategic planning for transformative change. This “conceptual framework [is] based on six cornerstones of research administration:
  - Mission
  - Information
  - Communication
  - Collaboration
  - Transition or transformation
  - Outcomes.”<sup>253</sup>

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<sup>250</sup> Kearns, *Private Sector Strategies for Social Sector Success*, 31, 41.

<sup>251</sup> *Ibid.*, 44.

<sup>252</sup> *Ibid.*, 32.

<sup>253</sup> Lintz, “A Conceptual Framework for the Future of Successful Research Administration,” 68.

- Built for strategic planning, “the Harvard policy model, developed at the Harvard Business School by various scholars over a period of decades” directly applies to transformational leadership and is a useful practice to that end.<sup>254</sup> Displayed in Figure 1, this model clearly describes nine generic steps that can be easily adapted to fit contextual demands.

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<sup>254</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 173.

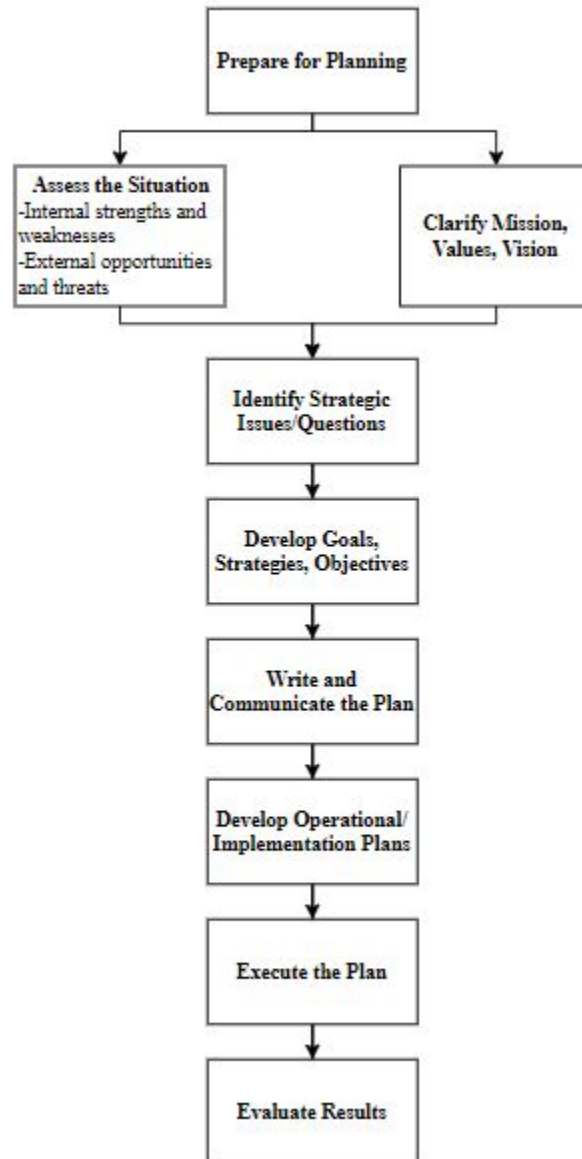


Figure 1: Basic Harvard Policy Model for Strategic Planning.<sup>255</sup>

<i>Activity</i>
1. Which one of Kevin Kearns’s approaches seem most effective in your leadership context?

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<sup>255</sup> Ibid., 175.

2. Take a moment to jot down a general strategic plan for one aspect of your vision. Note how your guiding principles can help you make decisions including which part of the vision to address first and how to approach the different strategic planning steps.
3. What actionable items have come out of this process?
4. How can you best position your desired change in your situational context?

### *Building Capacity*

Capacity building, as defined by Christine Letts, William Ryan, and Allen Grossman (“High Performance Nonprofit Organizations: Managing Upstream for Greater Impact” 1999), is a process to “develop, sustain, and improve the delivery of a [nonprofit’s] mission.”<sup>256</sup> “Capacity building may mean more than making modest enhancements to staff skills or management systems. Like strategic planning, capacity building may also require disruptive transformational change that goes to the basic values and purpose of the organization.”<sup>257</sup>

- Mike Hudson (“Managing at the Leading Edge” 2005) “divides capacity into internal and external elements:
  - Internal systems (e.g., its people, processes, and infrastructure)
  - External relationships (e.g., with funders, partners, and volunteers).”<sup>258</sup>

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<sup>256</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*, 4.

<sup>257</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 190.

<sup>258</sup> *Ibid.*, 187.

- Ryan, and Allen Grossman (“High Performance Nonprofit Organizations: Managing Upstream for Greater Impact” 1999) “offer a more comprehensive framework.”<sup>259</sup> To do so, they identify three elements of capacity:
  - “Program delivery capacity
    - “Program delivery capacity grows out of the organization's knowledge of a specific field.”<sup>260</sup>
  - Program expansion capacity
    - Program expansion capacity comes from the expansion of program delivery and involves a more comprehensive organizational expansion plan.
  - Adaptive capacity
    - Adaptive capacity is “the ability to learn as an organization and identify ways to improve, to change in response to client needs, to create new and innovative programs, and to create an environment that is motivating to staff.”<sup>261</sup>
- McKinsey & Company (“The Organizational Capacity Assessment Tool (OCAT)” 2013) offer a “comprehensive capacity framework” and essentialize capacity building into “a pyramid of 10 essential elements” pictured in Figure 2.<sup>262</sup>

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<sup>259</sup> Ibid., 188.

<sup>260</sup> Letts, Ryan, and Grossman, *High Performance Nonprofit Organizations: Managing Upstream for Greater Impact*.

<sup>261</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 188.

<sup>262</sup> Ibid., 189.



- To use this framework, McKinsey & Company “emphasize the importance of following a process that begins at the top of the pyramid and works down” based on their experience.<sup>263</sup>



Figure 2. McKinsey & Company Capacity Framework.<sup>264</sup>

*Activity*

1. Describe your organization’s various types of capacity.
2. Map out your vision on McKinsey & Company’s capacity framework.

<sup>263</sup> Ibid., 190.

<sup>264</sup> Ibid., 190.

## *Reflexivity*

Impactful leadership involves reflexive self-awareness. This includes strengths, weaknesses, and one's position in the fabric of the team and the organization. Leaders serve as the flashpoint for the creation of guiding principles and a vision for the team and are relied upon to set forth a general roadmap for the team to follow.

- Underpinning the decision-making processes is the need for perpetual revisitation and fine-tuning of one's vision and strategy. This metacritical analysis functions on three levels:
  - It brings the guiding principles that might otherwise be lost in the day-to-day to the forefront.
  - It encourages a habit of perpetual reflexivity and adjustments to new circumstances and information.
  - It models positive metacritical behavior and demonstrates a willingness to learn and develop.
- To do this, leaders can pull from metrics used in other aspects of business. For example, one can employ:
  - Quantitative
  - Qualitative
  - Outcomes-based
  - Activity-based
  - Short-term
  - Long-term measures<sup>265</sup>

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<sup>265</sup> NACRO Benchmarking Committee, "White Paper: Metrics for a Successful Twenty-First Century Academic Corporate Relations Program."

- Literature reveals four political frames that insightful leaders define and consistently visit, and re-visit. These are defined by Lee Bolman and Terrence Deal (“Reframing Organizations: Artistry, Choice, and Organizations,” 2003) as:
  - “Structural, focusing on structures and formal relationships
  - Human resources, emphasizing interpersonal relationships and worker morale
  - Symbolic, through which a leader may see events, rituals, and stories as central to his or her work
  - Political, recognizing the inevitable interplay among the organization’s important constituencies”<sup>266</sup>

*Activity*

1. How can you incorporate reflexivity and metacritical analysis into your days, weeks, months, years?
2. Reflect on how reflexivity and revisiting this conceptual guide might help you in the future.

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<sup>266</sup> Worth, *Nonprofit Management: Principles and Best Practices*, 119.

## Appendix 2: Curriculum Vita

Alexis Shoemaker currently manages the development of engineering standards for audio and video systems, and artificial intelligence technology. She has experience in research insights and business intelligence as a thought leader, panelist, presenter, and futurist with expertise in artificial intelligence, self-driving vehicles, health technology, and the North American consumer technology landscape. Alexis holds a Bachelor of Arts in Anthropology from Scripps College. She wrote her undergraduate thesis on the car as a cultural artifact and the perceived impact of technological advancements and the future of self-driving. Alexis has a special interest in the human-machine partnership in the context of automation.