

Graduate School of Business

**Structural barriers to transformational leadership and the influence
of internal organisational context**

David Ian Blyth

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To the best of my knowledge and belief this thesis contains no material previously published by any other person except where due acknowledgment has been made. This thesis contains no material which has been accepted for the award of any other degree or diploma in any university.

David Ian Blyth

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Abstract

This thesis explores the potential structural barriers to transformational leadership and the influence of organisational context. Qualitative research was undertaken across two case study firms using grounded research (Glaser & Strauss, 1967; Whiteley, 2004).

A number of themes emerged which collectively describe a range of structural barriers to transformational leadership. The empirical evidence of this research highlights the structural barriers and the influence of organisational context on transformational leadership. The themes that emerged and are discussed in this thesis include: understanding and influence of the strategic context; clarity of direction; organisational design; control systems; role context; the change dynamic within the organisation; the degree of empowerment; the organisational culture; the relational context; and the lack of time.

From these emergent themes and incorporating the extant literature a number of second order insights also emerged. In particular, the thesis examines the interplay between the levels of work and the nature of transformational leadership; the notion of 'nested leadership' where the leader's leader plays a much stronger role than simple role modelling; and the emergence of a new holism, wherein the dynamic interplay between transactional and transformational leadership is explored

The research confirms what Fiedler and others have suggested: "we can design situations that allow leaders to utilize their intellectual abilities, expertise and experience more effectively" (Fiedler, 1996, p. 249).

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1. INTRODUCTION

Where to begin? Marshall and Rossman (1999) describe research topic selection as a dialectic relationship between theory, practise, research questions and personal experience. What they fail to mention is the role of serendipity and access to opportunity. Opportunity is often one of the neglected areas of motivation theory: it plays a strong role in research.

This chapter lays out the story behind the research, putting transformational leadership theory into a very brief historical context before engaging the reader in the story that describes the serendipitous experience that led to this endeavour.

This chapter then defines the specific research question, the significance of this research, and provides a high level overview of the research approach and the underpinning rationale.

Finally, the chapter concludes with an overview of the thesis structure.

1.1 The Theoretical Context

1.1.1 Putting Leadership Theory into an Historical Context

The leadership process is like a river. Contained by its bed (the culture) it can be said to be flowing in one direction, yet, upon close examination, parts of it flow sideways, in circles, or even backwards relative to the overall direction. It is constantly changing in speed and strength, and even reshapes its own container. Under certain conditions, it is very unified in direction and very powerful; under other conditions it may be weak or may be flowing in many directions at once

(Barker, 1997)

The systematic social scientific study of leadership has a 70-year history (House & Aditya, 1997). The conceptualisation of leadership has evolved over that time along with the shifting research foci. These have ranged from initial leader-centric trait based concepts and individual-level skills, to dyadic supervisor-subordinate

relationships, through to emerging conceptualisations of leadership as a social process.

Early research was concerned with identifying traits, behaviours and personality patterns that would differentiate leaders from non-leaders (Fiedler, 1996). This research was largely atheoretical. While initial research showed promise, later studies were unable to replicate these findings. Consequently, it seems there developed "a near consensus that the search for universal traits was futile" (House & Aditya, 1997, p. 410)

In the 1950's & 1960's there emerged a largely behavioural orientation to leadership research, including behavioural observation in both laboratory settings and in field settings. The initial guiding assumption was that one could discern some universally effective leader behaviours, with little regard to the specific role demands or context (House & Aditya, 1997).

The dominant framework to emerge from the behavioural research identified two dimensions of leader behaviours: task-oriented and person-oriented behaviours. The task-oriented dimension indicates the degree to which leaders structure the roles and working relationships of their subordinates. The person-oriented behaviour is focused on how well leaders treated subordinates in terms of considerate, socio-cultural and employee centred behaviour. However, these dimensions lack predictive or correlational value in explaining either subordinate satisfaction or managerial effectiveness (Fiedler, 1996).

Through the 1960's & 1970's an array of contingency theories were developed that sought to reconcile discrepancies among the theoretical models and situational contexts. While a number of the early contingency models seemed to draw ambivalent support, later extensions of some of these appear to be attracting increasing support. Prominent among these now are the cognitive resource theory of leadership (Fiedler, 1995) and a revised version of the path-goal theory (House, 1996).

1.1.2 The Emergence of Transformational Leadership

The mid-1970s also saw the beginning of what has subsequently been labelled a major paradigm shift: the emergence of the so-called neo-charismatic leadership theories. Conger (1999) argues that this was a consequence of the confluence of two

dominant forces in the globally competitive business environment in the 1980's. Firstly, the rise of the Asian economic powerhouses of the 1980s, as well as European players such as Germany, forced many US corporations to radically reinvent themselves. In the process companies found that they lacked the leadership skills to orchestrate these major transformations. At the same time, the change efforts of these corporations led to massive downsizing, breaking the social contract between employer and employee: long-term employment for employee loyalty. Thus, in the 1980s major US corporations were faced with the seemingly contradictory challenges – building organisational adaptability and workforce empowerment (Conger, 1999).

Against this backdrop scholars were beginning to distinguish between leaders and managers. The original distinction appears to have been made by Zaleznik and Kets de Vries (Zaleznik, 1977; Zaleznik & Kets de Vries, 1975) popularised by Kotter (1990b). At about the same time, Burns (1978) proposed his now famous typology of transactional and transformational leadership. His theory was later extended and operationalised by Bass (1985).

Thus, the idea of leadership as either transactional or transformational seemed a natural complement to the manager/leader dichotomy, offering a possible explanatory model to grapple with the competing demands for organisational adaptation and workforce empowerment.

Conger (1999) has argued that there are now three dominant models of charismatic and transformational leadership in organisations: transformational leadership (Bass & Avolio, 1993); behavioural leadership (Conger & Kanungo, 1998); and charismatic leadership (Shamir, House, & Arthur, 1993). Despite differences:

there is considerable and growing overlap in terms of leader behaviours and activities. In many ways they are converging towards one another

Conger (1999, p.156)

However, such convergence is not universally accepted. (Yukl, 1999) argues that the two major types of leadership being studied under the neo-charismatic label – charismatic and transformational – may not even be compatible.

Other authors have argued that this so-called new paradigm is not even all that new:

What strikes a non-psychologist ... is how research investigating the new paradigm is still so heavily tied to the traits and behaviours of the leaders as measured by the reports of followers....

This search for relevant traits is reminiscent of what happened decades ago

(Beyer, 1999b, p. 308)

Despite this debate, the notion of transformational leadership has emerged as a normative leadership model (Conger, 1999).

Burns (1978) originally argued that transformational and transactional leadership were two ends of a spectrum of leadership styles available to leaders. However, as reconceptualised and operationalised by Bass (1985), transactional and transformational leadership are now regarded as separate dimensions.

Transactional leadership is exchange related: followers are motivated to satisfy performance expectations through a cost-benefit exchange process. The path-goal theory (House, 1996) is an example of a transactional leadership theory.

Transformational leadership is more uplifting. It occurs:

when one or more persons engage with others in such a way that the leaders and followers raise one another to higher levels of motivation and morality

Burns (1978, p.20)

Despite the shift to a 2-dimensional construct by Bass, the essence of transformational leadership is unchanged between these scholars. Bass (1985) defines a transformational leader as one who motivates followers to do more than they originally expected to do.

One of the most common instruments used to operationalise transformational leadership is the multifactor leadership questionnaire (MLQ), although there have been some criticisms of the factor structure underlying the MLQ (eg. Carless, 1998; Hartog, Muijen, & Koopman, 1997).

Despite these criticisms, a recent meta-analytic review of the MLQ literature, incorporating the results of 38 studies, concluded:

Results of the meta analysis supported the belief that transformational leadership is associated with work unit effectiveness. All hypotheses tested show higher associations between transformational scales and effectiveness than between transactional scales and effectiveness

(Lowe, Galen Kroeck, & Sivasubramaniam, 1996, p. 412)

Over 100 empirical studies across the broader neo-charismatic paradigm found similar results (Fiol, Harris, & House, 1999): those leaders described as charismatic, transformational or visionary produced effect sizes of 0.35-0.50 for organisational performance, and 0.40-0.80 for effects on follower satisfaction, commitment and organisational identity.

An ongoing global study looking at the applicability of the concept of transformational leadership across 62 different cultures found that most of the universally endorsed attributes of leadership are components of the neo-charismatic dimensions (Den Hartog, House, Hanges, Ruiz-Quintanilla, & Dorfman, 1999).

1.1.3 The Emergence of Context

Some writers argued in the early 1990's that the emergence of these new leadership approaches "marginalise contextual factors and seems to herald a return to universalistic prescriptions" (Bryman, Stephens, & a Campo, 1996, p. 356). However, notwithstanding the broad support for transformational leadership from the various there have more recently been growing calls for greater consideration of the influence of organisational context on leadership (eg. Bryman et al., 1996; Osborn, Hunt, & Jauch, 2002; Pawar, 2003), as reflected in the following:

the dominant portion of leadership theories and research is primarily concerned with relationships between leaders and their immediate followers or with supervisory behaviours. It is almost as if the leadership scholars....have believed that leader-follower relationships exist in a vacuum

... the fact is that the organisational and environmental context in which leadership is enacted has been almost completely ignored

(House & Aditya, 1997, p. 445)

This coincided with increasing attention to context in the broader organisational behaviour literature (Johns, 2001; Mowday & Sutton, 1993):

What is unique about behavior in organizations is presumably that being in the organization – the context of the organization – somehow shapes behavior

(Cappelli & Sherer, 1991, p. 97)

Pettigrew proposed a contextual framework that divided organisational contexts into the outer and inner context (Pettigrew, 1987). The outer context included elements such as the external constituents and socio-economic environment. The inner context included elements such as organisational structure, technology, and governance.

More recently Johns (2006) has proposed an alternative, meso level contextual framework comprising an omnibus context and discrete contexts: task, social and physical. He argues this provides a useful distillation of the myriad factors that various researchers have ascribed to context, “the net effect of which shapes organisational behaviour” (p. 391). Omnibus context refers to a broadly considered array of features which includes who, what, where and why. Task context incorporates uncertainty; role ambiguity; autonomy; accountability; and resources. Social context includes descriptors such as social density and social structure. Physical context includes the physical setting of the work environment. Dierdorff, Rubin, & Morgeson (2009) recently applied this contextual framework to the investigation of the nature of managerial work. This work is integrated into the discussion of the results of this research later.

Pawar & Eastman (1997) reviewed a number of papers that explicitly address the influence of contextual factors on transformational and charismatic leadership. The papers have been generally conceptual, and often focused on macro level variables (eg. life cycle effects). Shamir & Howell (1999) and Pawar & Eastman (1997) offer the most detailed exploration of contextual factors: these are summarised below.

The emergence of charismatic leadership in a crisis is a specific case of a more general condition that has been labelled ‘weak situations’ (Shamir & Howell, 1999). The term ‘weak situations’ refers to psychological situations in which people do not have clear external social or structural clues to guide their behaviour (Mischel,

1973). Shamir & Howell (1999) argue that charismatic or transformational leadership is more likely to emerge in weak situations, and articulate an array of specific examples of weak situations: eg turbulent environments; early and late life cycle positions; organic organisational structures.

Pawar & Eastman (1997) focus exclusively on the internal context. Drawing on the work of several other authors, they arrive at four overarching contextual factors and describe polarities that impact on the likelihood of receptivity to transformational leadership these (Figure 1.1 below). These factors can be related to Johns (2006) various factors, although they do not cover all of his factors.

Figure 1.1: Influence of Contextual Factors on Transformational Leadership Receptivity

Negative pole types	Contextual factors	Positive pole types
Efficiency	←--- Organisational orientation ---→	Adaptability
Dominant technical core	←--- Task system ---→	Dominant boundary spanning units
Market/professional bureaucracy	←--- Organisational structure ---→	Ad hoc or simple structure
Market or bureaucratic governance	←--- Mode of governance ---→	Clan style of governance
Low receptivity to transformational leadership		High receptivity to transformational leadership

Source: Pawar & Eastman (1997)

On the basis of Pawar & Eastman's contextual framework, and in line with Shamir and Howell's notion of 'weak situations' one might hypothesise that public sector organisations were less likely to be receptive to transformational leadership than

Fortune 500 type companies. This was one of the hypotheses tested in the meta-analysis of the MLQ literature, however, the results of the study were counter-intuitive:

directly contrary to expectations, however, transformational leadership behaviours were more commonly observed in the public organisations than in private organisations

(Lowe et al., 1996, p. 405)

Similarly, although the formal position of the leader within the organisational hierarchy was not identified by these authors as a contextual factor, numerous other authors (eg. Avolio & Bass, 1988; Etzioni, 1961) have argued that transformational leadership is more likely to occur at higher levels in the organisation. Again, this hypothesis was tested in the meta-analysis: the results confounded expectations. The influence of hierarchical level on transformational leadership emerges from this research and is discussed in detail in Chapter 5.

There are other contextual issues surrounding the role of leadership and the position of leaders within a hierarchy which various authors have discussed. Firstly, researchers have raised questions about how leadership activities occurring simultaneously at various levels of organisations influence each other (Beyer, 1999a; Trice & Beyer, 1991). Virtually all leadership within organisations occurs within what might be termed a nested context. Typically, leaders within a formal hierarchical structure are also simultaneously followers in their individual context. Thus, each leader operates within a context that may be substantially influenced by his or her own leader. Indeed, even a CEO operates within boundaries that are a product of the organisation's history and the governance structure of the entity. This issue appears to have received scant attention in the literature: leadership research has typically focused on the leader, the follower, or the leader-follower dyad (Yukl, 1999).

Secondly, to the extent that the contextual elements have been examined, they are typically regarded as either independent or moderating variables, rather than necessary or prime causal reasons (Beyer, 1999a). It is at least arguable that some of these contextual variables are themselves influenced by the very leaders being

studied. To assume otherwise is to reduce these leaders to the status of ‘cultural dopes’ (King, 2000).

1.2 The Research Catalyst

1.2.1 Experience meets Serendipity

The researcher began this research when he was engaged as an academic, teaching strategy and leadership on MBA programs, where he was able to integrate 20 plus years experience in various management consulting roles within the resources industry, combined with a vast literature repertoire and a passion for reading widely and across disciplines.

At the time the researcher was searching for a suitable topic area he came across an organisational development specialist who was leading a push by one of Australia’s largest resources companies to pursue a new leadership strategy: viz.

A key tenet of [our] strategy & operating philosophy is development and maintenance of world-class people leadership skills.

To this end, a divisional Leadership Strategy focused on developing mindsets, behaviours and skills for managers, supervisors and team leaders is being developed

(Source: confidential)

He went on to describe the results of a series of focus groups comprising various managers from within the business they had undertaken the design of the new leadership strategy through. They reportedly found there were three key barriers to line managers becoming world class people leaders paraphrased below:

- The lack of clarity around the vision and direction of the company;
- The sense of being overwhelmed by corporate initiatives – every week there’s a new initiative out of corporate; and
- The challenge of building the ‘esprit de corps’ and simultaneously having performance conversations with underperformers, exacerbated by the close physical proximity that people experience in their operating environment.

After nearly 20 plus years of working with the major resource companies around Australia the researcher was struck by the likelihood that the same issues might emerge if similar focus groups were held in these companies.

1.2.2 Practise and Reflection

From this observation the question arose in the researcher's mind whether there might be 'structural barriers' that may preclude these leaders from displaying the full gamut of their leadership skills? The concept of structure at this time was ill defined, but was intended to reflect the notion of some enduring force that existed within the organisational context. At its core, this was consistent with an observation of deeply patterned behaviour this researcher has observed over a long period within the industry.

One of these patterns is reflected in the response of the resources company described earlier. Given the goal of world class leadership the first response is to send the leaders off for training. However, if the organisational goal is enhanced leadership, application of the Lewinian force field model (eg. Weisbord, 1987) suggests that attention should be equally directed to removing possible barriers to leadership. In particular, the question arises whether there are structural barriers that may preclude these leaders from displaying the full gamut of their leadership skills?

Perhaps these structural forces are embedded in the nature of the work that is asked of these leaders, or perhaps it sits within the environments in which they are asked to deliver their leadership? That such a possibility exists is at least implied in Fiedler's (1996) remarks, who opines that instead of spending yet more time and effort on trying to improve leadership selection processes:

there are likely to be significant practical gains to be made by creating and designing situations in which leaders can more effectively use their existing capabilities

(Fiedler, 1996, p. 249)

Surprisingly, as the researcher briefly scanned the literature for relevant research on the nature of barriers or enablers of leadership what became apparent was that there was a seeming void. For example, a search of the Business Source Premier and Science Direct databases for 'leadership barriers' in the title, abstract or key words

found just two relevant references. Of these, only one was directly related to this question.

The Dean of the College of Medicine at Ohio State University described leadership at lower levels of the organisation as a responsibility of its higher level leaders. This frames his approach to what he calls ‘the leadership dilemma’:

Leadership doesn't happen on its own. It's up to us to make it happen. Indeed, we make it happen everyday through the choices we make and actions we take ... we want to make the right choices so we make responsible leadership happen but at times we encounter barriers

(Souba, 2007, p. 1)

He identifies several leadership barriers, including:

- The structure, organisation and governance of academic health centres as ‘loosely couple systems’
- The tension between the management and leadership demands [using the model popularised by Kotter (1990b)]
- Failure to separate the adaptive challenges from the more easily solved technical problems; and
- The lack of trust within organisations.

A search of the Business Source Premier and Science Direct databases for “enabling leadership” in the title, abstract or key words as an alternate approach to the issue revealed just four distinct references. Two of these were reviews of a book focused upon the effect of leadership on the workforce generally rather than a focus on what can be done to better enable leaders to deliver leadership. The third is an article in which the authors construct a new leadership framework, the Complexity Leadership Theory (CLT) which is premised upon several critical ideas. The focus of their work remains on how leaders might “enable rather than suppress or align, informal networks” (Uhl-Bien, Marion, & McKelvey, 2007, p. 302). And finally McAdam (2004) writes about the new kinds of organisations and new kinds of leaders required for success in this new century. Despite the tag line of the title – enabling leadership emergence – there is nothing substantive in this paper that goes to the issue of

‘enabling’ leadership. McAdam’s work is focused very strongly on psychological constructs rather than organisational constructs, using a combination of Herman’s Brain Dominance and Myer-Briggs types to construct yet another model which labels various ‘new’ leadership types.

In this preliminary research nowhere has this researcher found reference to how an organisation might reshape its structural context – formal or informal – to enable the leaders to better perform their leadership roles.

However, this research remains open to the possibility that the organisational structures that have been thought to constitute a barrier to transformational leadership may, in fact, act as enablers of transformational leadership. The fact that the meta-analysis points to higher levels of transformational leadership in what the literature regards as anti-requisite contexts at least suggests this possibility (Lowe et al., 1996).

1.3 The Research Emerges

This section provides a high level overview of the essence of the research: the approach to the research; the research question; the research method and the significance of the research. This is intended simply to provide the reader with a broad understanding of what will follow.

1.3.1 Make Mine ‘Grounded’

Having identified the broad topic area where it appeared there was scope to add value to both leadership practise and theory, the first choice to be made is between the more traditional, quantitative approach of theory testing or the more generative approach of qualitative research (Whiteley, 2004).

Parry (1998) notes the influence of psychology on the study of leadership which has arguably led to a dominance of quantitative analysis in leadership research. However, there have been concerns expressed about the influence this dominance may have on the richness of leadership research:

I believe that the dominance of surveys/quantitative methods in the research to date may be hindering our ability to discern contextual variables as well as differences between contexts

(Conger, 1999, p. 164)

The fact that the meta-analysis data described above controverts the prevailing wisdom at least raises the question around the influence of this bias to quantitative research.

Thus, the researcher was attracted to applying qualitative research, framing a research question that allowed him to immerse himself in the more generative research using grounded theory method (Glaser & Strauss, 1967) or a variant of this approach. Parry (1998) has identified some of the variants of grounded theory as “partial grounded theory” (p. 90) and identifies shortfalls in these methods which reduce their efficacy as research tools. Whiteley (2004) has made a case for what she calls ‘grounded research’ as an adaptation of grounded theory suitable for application in a business setting. This discussion is expanded upon in Chapter 3 but the researcher was keen to adopt a method which allowed for emergence and generation, and was aligned to one of the central features of grounded theory in that it gives voice to the stories of the respondents (Glaser, 1992; Whiteley, 2004).

In practise, the research approach and the research question are inextricably linked. Once the decision on the broad approach is arrived at, one can then realistically frame the research question; and from here, arrive at a broad research strategy (Whiteley, 2004). Chapter 3 details the central theoretical questions surrounding the research design issues of research paradigm or worldview and research methodology that create a theoretical and practical coherence in design.

1.3.2 The Research Question

The confluence of serendipity, theory, practise and experience described earlier made the case for further leadership research around two issues:

- The need for more interpretive research into the influence of organisational context on leadership; and
- The possibility that there are potential gains to be made through identifying structural barriers to more effective use of the leadership resources already available to organisations.

The following research question seeks to allow a synthesis of these two issues in an exploratory study. The research question is thus:

Does the organisational context create structural barriers to transformational leadership? And if so, what is their nature?

However, the researcher was open to the possibility that the organisation structures that are potential barriers to transformational leadership may, in fact, act as enablers of transformational leadership. The fact that the meta-analysis points to higher levels of transformational leadership in what the literature regards as anti-requisite contexts suggests this possibility (Lowe et al., 1996).

1.3.3 The Research Strategy

Bryman et al (1996) commented on the growing interest in the use of qualitative research in leadership studies and provided a summary of some of the research and concluded that there were essentially four kinds of qualitative research that could be discerned (p. 355):

- A detailed case study of a single organisation and leader
- A multiple case study with a small number of organisations based largely on semi-structured interviews with key actors
- Interviews with a large number of leaders about leadership practises; and
- A study that invites detailed commentary on leaders or their practises

Multiple case studies allows contextual differences between the organisations to be teased out to illuminate areas of difference and similarity (Bryman et al., 1996) as a means of generating theoretical insights (Eisenhardt, 1989).

In this instance the researcher had the opportunity to use to related case study firms as the focus of the research. The firms were both large mining operations within the north-west of Western Australia. Both firms were subjected to a major transformational strategy, and the researcher was able to gain access to a significant number of the leaders of these businesses. More details of the firms are provided in Chapter 3.

The approach to the data gathering and interpretation was founded on the principles of classic grounded theory method (Glaser, 1998) as summarised by Whiteley (2004, p. 32), a research practise for developing theory from respondents' ideas through a practise that included:

- Identifying categories of meaning derived from grounded data;
- Developing emergent concepts; and
- Matching these with existing theories

Parry (1998, p. 91) notes the contribution of grounded theory research to well worked areas of research “is not the generation of a new core concept or pattern, since these are usually saturated, but a better conceptual grasp of the basic social processes which might be missing.”

1.3.4 Significance of Proposed Research

Despite the occasional academic paper posing the question ‘Does leadership matter?’ the overwhelming weight of academic and industry views suggest it does. As Fiedler (1996: p241) puts it, “This may be a good attention getter, but sober reflection tells us that leadership does make a difference.”

While there has been an enormous history of research into the traits and behaviours of effective leaders, little has been done to identify possible structural barriers.

We cannot make leaders more intelligent or more creative, but we can design a situation that allows leaders to utilise their existing intellectual abilities, expertise and experience more effectively. In this highly competitive age, this is likely to be of considerable practical importance

(Fiedler 1996: p249)

The demand for leadership development has been noted above, and stands as testament to the desire of organisations to drive success through effective leadership. The researcher regards it as axiomatic that effective leadership is an essential element of all organisations. But as noted by Jaques & Clements (2007):

Neither effective leadership nor effective leadership development is possible unless the organizational conditions are right ... in managerial leadership have never been gotten even approximately right; they are universally primitive (p. 28)

They go on to argue that leadership development, however well intentioned “obscure the grossly undermining effects of the widespread organizational shortcomings and destructive effects” (p. 28).

If Jaques & Clement are even partially right, this provides a powerful incentive for the value that might be derived from more explicitly identifying potential barriers to transformational leadership from a practical viewpoint.

And from a theoretical perspective, the opportunity to look anew at the influence of contextual factors in creating potential structural barriers can make a useful contribution to the theoretical foundations of transformational leadership. It is also valuable to direct the focus specifically on the linkages between these contextual factors and transformational leadership from the perspective of understanding how leaders who have practical accountability articulate those barriers that prevent them from getting their followers to ‘deliver more than expected’.

1.4 Structure of the Thesis

This thesis follows a well accepted norm. Chapter 1 has laid out an introduction, describing the journey that led to the research focus and approach and provides a broad contextual backdrop to the research. It touches on some of the complex questions of research design without seeking to fully discuss them: that is beyond the scope of this introductory chapter.

Chapter 2 provides a comprehensive review of the literature surrounding two core dimensions of the research focus: the development and current state of knowledge surrounding transformational leadership; and the theoretical foundations of structure in all its meaning and form within the literature. There has been a question in the literature surrounding grounded theory as to the depth of literature review that should be undertaken before going into the field. Chapter 2 explores these competing arguments and presents the rationale underpinning the choices made by this researcher.

Chapter 3 details the central ontological, epistemological and methodological issues that provide a theoretically robust and logically coherent research approach. It also provides a detailed description of the actual research process: from familiarisation, to data collection, content analysis and synthesis. It also describes the researcher’s approach to theoretical sensitivity and the approach to constant comparison adopted

by the researcher. It is also in this chapter that the researcher provides a description of the two case study firms.

Chapter 4 details the research findings under the various emergent themes from each of the data sources separately, before integrating the findings to a single mind map that shows the entire themes of the research. From here, the researcher constructs a synthesis of the results into a form that provides the foundation for the discussion that follows in Chapter 5.

Chapter 5 discusses the emergent themes in the context of the extant literature, highlighting areas where the findings reinforce or contradict existing theoretical models. Where the findings highlight inconsistencies in the literature, the researcher offers observations linking the research data with other theoretical models as possible explanations of these differences. In this discussion of the detailed findings, there are a number of overarching themes that repeat themselves across the data set. The researcher offers these as potential key insights emerging from the research. This chapter also reinforces the theoretical sensitivities discussed in Chapter 3. The chapter concludes with implications for research and practise.

1.5 Chapter summary

This chapter has laid out the pathway to the research question and begun the dialogue around some of the key themes that are addressed in the course of the thesis. The case for the research has been made, and the significance of the research to the theory and practise of leadership has been identified.

This chapter has also laid out the pathway through the remainder of the thesis.

The next chapter provides a detailed review of the extant literature in core areas identified as important ahead of the field work.

2. LITERATURE REVIEW

The purpose of this chapter is to describe the current theoretical foundation surrounding these constructs within the boundaries of the research method. The research question incorporates three central theoretical constructs that each has their own theoretical foundations in the literature: structure; transformational leadership; and context.

However, before embarking on this, it is notable that there has been some discussion in the research literature around the nature of the literature review that the researcher should undertake before embarking on the field study in the case of grounded research (eg. Glaser, 1998, 2004; Morse, 1994b; Suddaby, 2006). The researcher has already indicated in Chapter 1 that he intended to pursue a research question that allowed a ‘grounded research’ approach designed to suit the business context (Whiteley, 2004). The different perspectives on the approach to the literature review and the researcher’s approach are described below.

The literature review of structure and transformational leadership follow a fairly traditional approach to the literature. The researcher chose to not complete a comprehensive review of the literature surrounding context until the data analysis and creation of the categories and themes was complete. However, to enable the reader to better understand the research scope, a brief overview of the main theoretical constructs is provided in this chapter. This is consistent with an approach applauded by Suddaby (2006, p. 637). Greater details of the literature surrounding context specifically related to transformational leadership emerged from the discussion of the results and the comparison to the extant literature in Chapter 5.

2.1 Approach to the Literature

There appear to be competing views within the qualitative research tradition on what constitutes an appropriate level of literature review to be undertaken prior to entering the field when undertaking grounded research. As noted above, this researcher deliberately set about to design his research questions and his research approach based upon an adaptation of grounded theory for application in a business setting (Whiteley, 2004). This method is ‘grounded’ in that it seeks emergence and

generation, and therefore faces the same theoretical and pragmatic dilemmas that confront grounded theorists when addressing the issue of the literature review.

At one end of the spectrum is the classical view reflected in the writing of Glaser, one of the originators of the grounded theory approach within qualitative research: viz

Grounded theory's very strong dicta are a) do not do a literature review into the substantive area and related areas where the research is to be done [emphasis in original text]

(Glaser, 1998, p. 67)

The central argument of Glaser against any serious literature review ahead of the fieldwork is a concern for the potential for the researcher to become an 'intellectual captive': the prospect that the researcher may become hostage to prior theory in a way which limits the researcher's capacity to see afresh. Glaser has described his concerns around 'remodelling of grounded theory' and recommends a particular approach to the literature:

to undertake an extensive review of literature before the emergence of a core category violates the basic premise of GT – that being, the theory emerges from the data not from extant theory. It also runs the risk of clouding the researcher's ability to remain open to the emergence of a completely new core category

(Glaser, 2004, para 46)

By contrast, Morse (1994b) argues from the opposite point of view with equal absolutism: viz.

the debate about how much the researcher should learn about the setting before beginning the study is not difficult to resolve: the researcher should learn everything possible ... search for and learn everything there is to know about the setting, the culture, and the study topic. Read both the classic and the lesser-known research

(Morse, 1994b, p. 26)

Morse (1994) acknowledges, however, the need for the researcher to attempt to put aside his or her theory and experience in an effort to open oneself as widely as

possible to the meaning presented in the research data. The goal is to “keep the literature in abeyance and at all times separate from the data to prevent this information from contaminating the data or the researcher’s perspective” (Morse, 1994, p27): this is known as ‘bracketing’.

However, Morse has been heavily criticised by Glaser for a range of views which he argues reflect a lack of understanding of grounded theory (Glaser, 2004).

More recently Suddaby (2006) offers a moderate view, proposing that grounded theory is not an excuse to ignore the literature, and suggesting that it is still “problematic for the researcher to defer reading existing theory until the data are collected and analysed ... the real danger ... is not that it will contaminate a researcher's perspective, but it will force the researcher into testing hypotheses” (p. 635). He goes on to offer a range of strategies by which the researcher can avoid this problem (Suddaby, 2006, p. 635):

- Avoid research that focuses on a single stream of literature, but rather focus on issues that bring into focus several substantive areas;
- Remain continuously aware of one’s own limitations and recognise the potential to be shaped by one’s own prior biases; and
- Do not overshoot ... look for an “elaboration of existing theory rather than untethered new theory”

Given the range of approaches to the literature review which could be justified by reference to the qualitative research literature, the position adopted herein has been largely pragmatic whilst still seeking to adhere to the required standards of qualitative research through grounded research methods. This path of pragmatism has been articulated in the literature:

The reality of grounded theory research is always one of trying to achieve a practical middle ground between a theory-laden view of the world and an unfettered empiricism

(Suddaby, 2006, p. 635)

Firstly, given the researcher had substantial existing knowledge of the literature and theory of transformational leadership before embarking on the research it seemed, at best, fatuous, and at worst dishonest, to pretend otherwise. Thus, the researcher

chose to complete a substantive review of the literature surrounding transformational leadership prior to embarking on the fieldwork. This review was updated during the latter stages of the research and thesis preparation.

The judgment surrounding the depth of review of the literature around the issue of structure was driven by different considerations. The challenge in this domain arose from the difficulty in determining the research paradigm: this is central to the design of the research. What appeared a relatively straightforward operational definition of structure into its constituent dimensions – visible and invisible – grew more and more complex as the researcher sought to better understand the meaning and nature of structure. The result was that the literature review of structure, too, became a substantial piece of work that at first preceded, and subsequently continued in parallel with, the early fieldwork. The review of the literature on structure presented in this chapter was completed prior to the substantive data analysis phase.

Finally, the issue of the depth of reading around the topic of ‘context’ became a judgement issue for the researcher. Conscious of the competing views outlined above, the researcher took the view that it was appropriate to sensitise himself to the current state of literature surrounding context as a factor in transformational leadership studies, but that such a review should represent more an overview than a detailed exposition. It was felt inappropriate to immerse oneself deeply, seek to find key underlying themes or models that might cloud the ability of the researcher to remain open to new possibilities in analysing the research data. The section on context reflects this decision. Inevitably, a more detailed commentary on context emerges appropriately in the discussion in Chapter 5.

Thus, for reasons largely pragmatic, the researcher has adopted an approach most closely resembling the views of Suddaby (2006).

2.2 Structure

Central to the research question is the concept of structure: specifically structural barriers to transformational leadership. The following sections detail the results of a more comprehensive review of the literature surrounding the issue of structure, starting with the emergence of structure from its traditional roots to a more holistic phenomenon with two constituent dimensions: formal and informal structure. This section also discusses the role of institutional theory in the structure conversation.

The researcher then expresses his perspective on structure given the various perspectives described from the literature.

2.2.1 What is Structure?

The concept of structure is usually understood to imply a configuration of activities that is characteristically enduring and persistent; the dominant feature of organizational structure is its patterned regularity

(Ranson, Hinings, & Greenwood, 1980, p. 1)

So begins Ranson et al. (1980) introduction to structures. In this sense, ‘enduring’ connotes constancy across time; ‘persistent’ suggestive of a robustness against the other passing forces.

Traditional studies (eg. Blau & Scott, 1963; Lawrence & Lorsch, 1967; Pugh, Hickson, & Hinings, 1969) had focused upon a limited range of structural attributes: the number of hierarchical levels; span of control and organizational size. Rice & Mitchell (1973) explored the influence of structure on individual behaviour in organisations, adopting an abstract notion of structure as a set of elements and their interrelations. They shifted from thinking of elements in terms of formally prescribed positions and roles to conceiving of elements as the individual persons, regardless of their positions or roles, and describing relationships in terms of two dimensions.

One dimension is associated with many of the traditional "structure as position" dimensions: authority, power and status. This type of relation has been referred to as the ‘dimensions structure’ (Rice & Mitchell, 1973) or ‘framework structure’ (Ranson et al., 1980).

The second dimension describes the relationships that exist between people, referred to as the interaction structure (Ranson et al., 1980; Rice & Mitchell, 1973). They sought to develop a series of measures of interaction structure in terms of the person’s direct and indirect linkages to other members of the organization.

More recently, in a review of various definitions of an organisation, Orton & Weick (1990) concluded that there were two components in common across all definitions of an organisation (p. 216):

- a source of order which consolidates, unifies or coalesces diverse elements or fragments; and
- elements or fragments that are consolidated, unified or coalesced by a source of order.

It is apparent that structure constitutes Orton and Weick's 'source of order', producing a patterned regularity that is both enduring and persistent. This is an appealing point from which to begin to explore structure in organisations.

2.2.2 Framework (Visible) Structure

The framework or visible structure comprises an organisation's formal configuration of roles and procedures, and is reflective of the dominant literature on organisational structure. Thus, for example, structure has been described as the "foundation within which the organization functions" (Dalton, Todor, Spendolini, Fielding, & Porter, 1980, p. 49), adopting the metaphor of structure and buildings to make their case:

Buildings have halls, stairways, entries, exits, walls and roofs. The specific structure of a building is a major determinant of the activities of the people within it. Similarly, behavior in organisations is influenced by the organizing structure. The influence of the structure, while not as apparent as that of a building, is assumed to be pervasive

(Dalton et al., 1980, p. 49)

The foundation theory which underpins our understanding of formal organisations and structure draws heavily upon Weber's (1947b) classical theories of authority and bureaucracy. Weber's concept of authority implies that certain specific commands from a source will be voluntarily obeyed by a given group of persons because the group members consider it legitimate for this source to control them. The 'voluntarism' is not independent but arises out of social constraints: it is the group's belief in the legitimacy of the authority that creates the social norm of compliance. Thus, authority incorporates voluntary compliance and an *a priori* suspension of judgment, obviating the need for persuasion (Blau & Scott, 1963).

Weber was a leading sociologist who first articulated an ideal type of bureaucracy which encompassed the following features (Weber, 1947b):

- Clearly defined hierarchy

- Division of labour
- Centralisation
- Closed systems
- Importance of rules
- Functioning of authority

Beyond Weber, one of the seminal writers on organizational structure was Mintzberg. He identified "five clear configurations... that are distinct in their structures, in the situations in which they are found, and even in the periods of history in which they first developed" (Mintzberg, 1981, p. 3). His five configurations included the simple structure, the machine bureaucracy, professional bureaucracy, divisionalised form and adhocracy. Other writers have similarly noted the sequencing of the functional form - Mintzberg's machine bureaucracy - and the divisional form (eg. Miles & Snow, 1992). These forms were later extended to include the matrix form which seeks to combine the best features of but the functional and the divisional organizational forms.

Perhaps more interesting to the context of the current research is Mintzberg's (1981) description of the five component parts that make up any organization. The *strategic apex* represents the top management team: these are the people with the business idea who hire people to do the basic work of the organization. This latter group, the people hired to do the basic work, represent Mintzberg's *operating core*. What today would be called middle managers – the intermediary between the top management team and the workers – Mintzberg labelled the *middle line*. These three groups were in turn supplemented by a *techno-structure* - the analysts who designed the formal planning and control systems - and the *support staff* - who provide indirect services to the rest of the organization.

The elements of structure include (Mintzberg, 1981):

- specialization of tasks
- formalization of procedures (Job descriptions, rules and so forth)
- formal training and indoctrination
- grouping of units (notably by function performed all markets served)

- size of each of the units
- action planning and performance control systems
- liaison devices such as task forces, integrating managers
- delegation of power down the chain of authority
- delegation of power out from the chain of authority to non-managers.

The elements that make up the framework structure are reflective of these governing principles and have been further categorised in terms of *structural* elements – size, span of control, and levels of hierarchy – and *structuring* elements – specialisation, formalisation and centralisation (Campbell, Bownas, Peterson, & Dunnette, 1974).

Specialization is a measure of the breadth of scope around which units and subunits are designed. A high degree of specialization reflects narrowly defined functional units and subunits. Formalization refers to the degree to which the expected behaviour within an organisation is described in writing. This might typically include, for example, job descriptions and broad policy statements. Formalization is closely associated with standardization:

- formalization refers to what one is asked to do [in writing]; whereas
- standardization refers to how one is to do it, also typically expressed in writing (Mintzberg, 1981).

Despite this distinction between standardization and formalization, it is hard to imagine one without the other. High levels of formalization are expected to be associated with high levels of standardisation and conversely.

Similar characteristic dimensions of structure have been articulated by other authors (eg. Pugh, Hickson, Hinings, & Turner, 1968).

In the context of the current research it is noteworthy that there are two alternate points of view with respect to the influence of formalization and standardization on individual and organizational performance. On one view, too little formalization and standardisation can result in role ambiguity with negative consequences for individual and organizational performance (Handy, 1993). At the other end, formalization and standardization may limit job scope, resulting in boredom,

alienation and job dissatisfaction, leading to negative results in terms of individual and organizational performance (Herzberg, 1967).

Centralisation refers to the extent to which decision-making authority within an organization is vested with a few people, usually at the top of the organisational hierarchy. Alternatively, in a decentralized organization, decision-making authority is distributed much more widely across the organisation – and consequently to much lower levels within the hierarchy (Mintzberg, 1981).

Described thus, structural refers to “what an organisation has”, whilst structuring refers to “what an organisation does”. In this context, structural elements do not overtly prescribe or constrain how individual actors may behave, whereas structuring specifically seeks to limit the behaviour of individual actors, either prescribing or proscribing behaviours through policies, systems and processes (Dalton et al., 1980, p. 51).

Framework structure has two basic functions:

first, structures are designed to minimise or at least regulate the influence of individual variations on the organisation ...structure is the setting in which power is exercised ... decisions are made ... and ... the organisations activities are carried out

(Hall, 1977, p. 109)

Thus, the framework structure is a prescribed structure which has traditionally been designed to achieve more calculable and predictable control of organisational performance (Greenwood & Hinings, 1993; Ranson et al., 1980). It is the explicit expression of how specific persons with formal authority intend the organisation to ‘look and feel’:

structures and systems ... are not neutral instruments, but embody – unwittingly or otherwise – intentionality, aspirations and purpose

(Greenwood & Hinings, 1993, p. 1055)

The ‘intentionality’ of formal systems leads to two further fields of organisational literature. Firstly, in the literature of the organisational theorists, the purpose of the formal organisational structure is predominantly expressed in the language of control as evidenced above. This issue of control, while inextricably linked with the notion

of leadership, will be dealt with later as appropriate subject to the emergent data from the field work.

Secondly, any discussion of the possible influence of formal structure would be incomplete without reviewing the literature of institutional theory. This is described briefly below.

2.2.3 Institutional Theory

Institutionalism was originally defined as a neutral concept:

the emergence of orderly, stable, socially integrating patterns out of unstable, loosely organised or narrowly technical activities

(Broom & Selznick, 1955, p. 238)

Institutional theory addresses itself to the *raison d'être* of organisational policies, systems and procedures and proffers an alternate rationale for their existence beyond Weberian rationality. In brief, it acknowledges that at least some aspects of formal or framework structure exist to establish or maintain legitimacy with external constituents by demonstrating that the organisation is “acting in a rational, stable and predictable manner” (Fogarty & Dirsmith, 2001, p. 248). This remains one of the central concepts of institutional theory:

perhaps the most significant aspect of institutionalism is infusion with value beyond the technical requirements of the task at hand

(Selznick, 1957)

This concept of “value beyond the technical requirement” was further expanded in a seminal paper by Meyer & Rowan:

Organisations are driven to incorporate the practices and procedures defined by prevailing rationalised concepts of organisational work and institutionalised in society. Organisations that do so increase their legitimacy and their survival prospects independent of the immediate efficacy of the acquired practices and procedures

(Meyer & Rowan, 1977, p. 340)

Importantly, these externally oriented symbols are decoupled from the technical core to avoid dysfunction as these structures are not designed to contribute to the organisations 'core tasks'(eg. Fogarty & Dirsmith, 2001; Meyer & Rowan, 1977).

Zucker has suggested institutionalisation in organisations has two defining elements:

a rule-like, social fact quality of an organized pattern of action (exterior); and an embedding in formal structures

(Zucker, 1987, p. 444)

Given institutional theory argues that these institutional processes do not contribute to the technical requirement for the organisation it is legitimate to contemplate the nature of the forces that create this force for 'compliance'. DiMaggio & Powell (1983, p. 150) argue that there are two core processes: one they describe as mimetic or imitative, where organisations seek to replicate the success of other organisations when they are otherwise uncertain; the other is normative, when the 'social facts' are transmitted through external parties. Social knowledge that becomes institutionalised as a social fact becomes part of the objective reality (Zucker, 1977, p. 83)

2.2.4 Interaction (Invisible) Structure

Individuals are thrust into the social milieu of an organization and exposed to group norms that aid them in interpreting their everyday work experiences. This experience regularizes their behaviors both by building a collective consciousness of the organization and by offering a broad repertoire of action strategies

(Fogarty & Dirsmith, 2001, p. 247)

Notwithstanding the intentionality behind the framework structure, it is recognised that organisations are essentially social institutions (Perrow, 1970). Ranson et al. (1980) suggest that, in fact, the actual working organisation bears only a superficial relationship to the formal structured organisation. It is this social domain that is the source of the interaction structure. They argue:

only by examining the patterned regularities of interaction ... can we arrive at a more fundamental understanding of organisation structure

(Ranson et al., 1980, p. 2)

The interaction structure reflects the social organisation that exists within the formal organisation where the social organisation refers to the way in which humans become organised due to social conditions rather than individual characteristics (Blau & Scott, 1963).

Porpora (1989) notes that despite the central importance of social structure within the field of sociology, there remains a widespread disagreement about what it means. It is not the purpose of this research to add substantively to that debate, but it was necessary for the researcher to arrive at a world view on social structure to enable proper research methodologies to be established.

In arriving at a world view on structure this section draws heavily on a paper by Porpora (1989) which presents four alternative conceptions of social structure before arguing the case for his preferred position. These posit social structure as:

- *Patterns of aggregate behaviour that are stable over time*
- *Law like regularities among social facts*
- *Systems of human relations among social positions*
- *Rules and resources*

(Porpora, 1989, p. 195)

Table 2.1 below provides an overview of these propositions, identifies the key theorists, and an insight into these various perspectives. These propositions are described more fully below.

The first of these describes structure as patterns of aggregate behaviour that are stable over time. Porpora (1989) summarizes the position of Homans (1975) and Collins (1981). Collins argues that an organisation is “an abstraction from the behaviour of all the individuals and summaries of the distribution of different micro behaviours in time and space” (Collins, 1981, p. 989). Proponents from this school of thought would argue, for example, that there is no such thing as organisational culture, simply individuals acting in a particular way that gives rise to an observable pattern of behaviour to which we ascribe a culture label.

Table 2.1: *Concepts of Social Structure*

Social structure as ...	Key theorists	Perspective	Commentary
Patterns of aggregate behaviour that are stable over time	Homans (1975) Collins (1981)	Social structure as micro situational/micro behavioural ... social patterns, institutions, and organizations are only abstractions from the behaviour all the individuals and summaries of the distribution all different micro behaviours in time and space	If social structure is just an abstraction it cannot exhibit causal force ... macro social structure is largely epiphenomenal
Law like regularities among social facts	Durkheim (1858-1917)	Social facts or group properties are related to each other by a pattern of law like regularities which together constitute social structure	Treats behaviour of social facts as autonomous of the psychological level. Social structure entirely devoid of the influence of human agency, independent of the human actor
Systems of human relations among social positions	Marx (1818-1883)	Social structure is a nexus of connections among actors, causally affecting their actions and in turn causally affected by them. Events are an outcome of the interaction of these two 'forces'.	Assumes structure has an objective (rather than intersubjective) element that is external to human action. Relationships have an analytical priority vis-a-vis intersubjective rules, norms etc.
Rules and resources	Giddens (1988)	Rules and resources 'structure' (i.e. generate & reproduce) the systemic patterns of relationships. Rules include norms, ideology and symbolic orders – cultural constructs inter-subjectively shared	Denies the any causal properties of material or objective structure; focuses on cultural structuring (i.e. shaping behaviour by culture) rather than social relations

1. Adapted from Porpora (1989)

On the basis of this description 'structure' is, in fact, and an outcome defined in behavioural terms rather than a causal agent in any form. Under this interpretation macrostructure is simply an abstraction that cannot therefore be a causal force in driving behaviour (Porpora, 1989). This limits the perspective to one of individualism which, whilst interesting, is not the perspective of this research.

Another school of thought historically associated with Durkheim's work from the late 1800's argues that social structure comprises a series of social facts or group properties that are "related to each other by a pattern of law like regularities" (Porpora, 1989, p. 198). This school is associated with the positivist scientific tradition, which envisages structure as an objective fact that is out there to be found. Critically, this approach treats social structure as independent of the influence of human agency.

This objectivising of social theories was the central perspective of the structural fundamentalists (Merton, 1968; Parsons, 1961), captured in the metaphor of the body and its organs: every society has certain institutions with specific functions that are necessary for a social system to effectively operate.

The attendant failure to recognise a purposiveness of the individual has been widely criticised: for example, for its "derogation of the lay actor" (Giddens, 1988, p. 71); and for the reduction of individuals to "cultural dopes who conformed unknowingly to the needs of the wider system" (King, 2000, p. 363). These shortcomings of this school of thought make this an unattractive perspective for the current research.

The latter two perspectives from Table 2.1 – Marx and Giddens – share an approach that acknowledges both the cause and effect nature of structure.

Whilst there is axiomatically a vast literature devoted to the fuller interpretation of the Marxian perspective, for the purposes of this research the interpretation of Porpora is accepted: the Marxian perspective argues that social structure is a system of human relationships among social positions (Porpora, 1989, p. 199). Whilst Marx is classically associated with positions within social classes, this conception of structure as 'networks of relationships' has been embraced by some symbolic interactionist writers (Blumer, 1969), and extended to the micro structure of families (Porpora, 1989). Symbolic interactionist writers essentially argue that people interact with each other on the basis of their interpretation of the actions and symbols of others: that interpretation mediates stimulus and response (Blumer, 1969).

This perspective argues social structure is a nexus of connections that have an objective element that is external to and influences human action, but this "objective" element is in turn influenced by human action.

Giddens would similarly argue a 'duality of structure', but from a quite different perspective. His core proposition is that:

structures can be analyzed as rules and resources which can be treated as 'sets' insofar as transformation and redistribution can be identified between the reproduced properties of social systems

(Giddens, 1988, p. 66)

For Giddens, it is the 'rules and resources' that generate and reproduce the social system. Giddens' 'rules' comprise rules, norms and ideology: cultural constructs intersubjectively shared (Giddens, 1988). Resources are "the rules of allocation and authority" rather than the materials themselves (King, 2000, p. 363). Indeed, Giddens' notion of structure is closely linked to his concept of practical consciousness:

Giddens locates practical consciousness between discursive consciousness, of which the actor is fully aware, and the unconscious, which can only be recovered by means of psychoanalysis ... practical consciousness consists of the shared understanding between individuals which are essential for the prosecution of social life but which understandings are not explicitly known ... refers to that knowledge which we know so well and which is constantly assumed in our interaction with others that it disappears from view

(King, 2000, p. 364)

This represents an important distinction between the perspective of Giddens and the earlier perspective of the structural fundamentalists: Giddens perspective leads the view that "the social system is not reproduced in spite of the individual but only by means of knowledgeable individual agency" (King, 2000, p. 363)

There are strong similarities between these latter two concepts of structure. They share a notion of the duality of structure; but have a point of difference reflected in the following passage:

A distinction is made between structure and system. Social systems are composed of patterns of relationships between actors or collectivities

reproduced across time and space. Social systems are hence constituted of situated practices. Structures exist in time-space only as moments recursively involved in the production of social systems. Structures have only a virtual existence

(Giddens, 1988, p. 70)

In advancing the Marxian as his own preferred perspective, Porpora (1989) argues that the difference between the two comes down to the difference between a concept of social structure as an objective reality and a concept of structure as an intersubjective reality. The Marxian analysis gives analytical priority to the objective aspect of structure, whereas the Giddens perspective gives no explicit acknowledgment of an objective structure.

Porpora reconciles these differences of view by acknowledging the existence of Giddens' 'shaping' of behaviour by cultural norms, whilst arguing that social relations play a more substantive role in structuring behaviour.

2.2.5 Recent Directions in Structure Research

Much of the literature cited above is grounded in theoretical traditions that arguably had their roots in an earlier era or organisational theory, but remain relevant to structuring challenges today. However, it is appropriate to summarise below some of the recent work on organisational structure to provide the reader a sense of emerging thinking and challenges that will impact future thinking around organisational structure. Much of the recent work has focused on what might be labelled the macrostructure of the organisation.

Macro organisational structures have evolved since the industrial age, shifting through successive eras of standardisation, customisation and innovation (Miles, Snow, Mathews, Miles, & Coleman, 1997). This emerging era of innovation focuses on the structuring of organisations to emphasise innovation and value creation, with greater emphasis on flexibility and creativity, whilst still valuing efficiency and control which have been the hallmarks of traditional theories of organisational structure (Galunic & Eisenhardt, 2001).

This has led to the emergence of so-called 'post-bureaucratic' organisational forms: dynamic networks (Miles & Snow, 1992); cellular organisations (Miles et al., 1997); project based organisations (Pettigrew, Massini, & Numagami, 2000); modular organisations (Galunic & Eisenhardt, 2001). This new era of innovation has seen the "erasure of traditional boundaries" (Friesen, 2005, p. 32): national boundaries have gone with globalisation; corporate boundaries

with alliances and outsourcing; boundaries within enterprises with empowerment of workers; and market boundaries with the emergence of e-commerce (Friesen, 2005; Morton, 1995; Pettigrew et al., 2000).

Architectural innovation at the corporate level requires the capacity to rapidly reconfigure organisations to take account of opportunities (Galunic & Eisenhardt, 2001) driven by the need to manage for discontinuities, adopting the world view of punctuated equilibrium and turbulent environments (D. A. Nadler & Tushman, 1999). Based on a study of a Fortune 100 company, Galunic & Eisenhardt (2001) articulate a number of principles to support this rapid reconfiguration: modularity with relatedness; internal markets buffered by a charter for cooperative behaviour; economic and social logic; and leaders as guardians of the culture. Interestingly, the first principle affirms a fundamental, unchanging dilemma of organisational design: the challenge of differentiation and integration (Ghoshal & Gratton, 2002; Nadler & Tushman, 1999).

Recent research has found that the adoption of these new 'loosely coupled' (Orton & Weick, 1990) organisational forms is positively associated with the degree of heterogeneity of inputs and demand, moderated by the presence of industry standards. Technological change and competitive intensity provide additional impetus for adoption of these structural forms of organisation (Schilling & Steensma, 2001).

Project based organisations are emerging in areas where knowledge creation and the ability to integrate cross disciplinary knowledge is critical, and made even more complex when operating in volatile environments. The argument for project based organisations is that conventional organisational structures are designed to protect or buffer organisations from such volatility and disruption (Staber, 2004), rather than to absorb and leverage the opportunities. Relatedly, it is argued that project organisations are "better suited for managing change than the functional organization" (Turner & Muller, 2003, p. 3).

These emerging organisational forms can be linked with the work on dynamic capabilities, with Augier & Teece (2006, p. 412) who argue "the ability to design near-decomposable organizational systems into the organization is another element of a firm's dynamic capabilities".

These various organisational forms have a central character: "the role of a tightly integrated hierarchy is supplanted by 'loosely coupled' networks of organisational actors" (Schilling & Steensma, 2001, p. 1149). In this world of collapsing boundaries the literature often argues that

hierarchies are becoming redundant, unsuited to the fast moving pace of change within ‘hyper-competitive’ environments (Friesen, 2005) leading Leavitt (2003, p. 96) to observe “hardly anyone has a good word to say about hierarchies”.

However, Leavitt also suggest that hierarchies serve deep psychological needs for order and security: they add structure and regularity that gives us routines and responsibilities. This may go some way to explaining the observation that most of the case studies of radical organisational change had, in fact, “retained the defining features of the bureaucracy – hierarchical forms of control, centrally-imposed rules and individual managerial responsibility” (Hales, 2002).

Elsewhere it has been argued:

Centralizing and decentralizing are not genuine alternatives for organization; the key issue is to decide the mix. Hierarchies can accomplish complex organizational tasks, but they are often associated with organizational properties inimical to innovation, such as slow (bureaucratic) decision making and weak incentives

(Teece, 1996, p. 200)

Thus, despite the emerging stream of literature that suggests the emergence of a variety of novel organisational forms, with some central ‘loosely coupled’ character, it appears that core elements of traditional organisational structural theory will continue to play an important role.

2.2.6 Researcher Perspective on Structure

Ahead of completing this review of the literature on structure the researcher had settled on a tentative ‘operational definition’ of structure along its two core dimensions he had labelled visible and invisible structure. These were broadly consistent with the dimensions of framework and interaction structure as discussed within this section.

Having completed the literature review the researcher re-examined these definitions.

There was nothing that emerged from the literature review that was inconsistent with the operational definition and thus, the operational definition was confirmed as follows:

Visible structure comprises the formal, enduring mechanisms for achieving calculable and predictable control of organisational performance. It includes the vertical and

horizontal structure of roles and responsibilities, and the formal decision systems (adapted from Greenwood & Hinings, 1993)

The invisible structure as initially considered by the researcher was more reflective of the Giddens' perspective: "cultural structuring" (Porpora, 1989, p. 208). It gives explicit acknowledgment to the 'objective' element of structure that influences and is influenced by the individual actors. The invisible structure incorporates Giddens' rules: the normative rules and modes of behaviour that reflect the culture and the values. These rules are intersubjectively shared: embodied in one's practical consciousness.

However, the researcher also acknowledges the argument of Porpora (1989) that social relations per se may also be a part of the social structuring of the behaviour. Without seeking to resolve the question of primacy or otherwise, it seems prudent to be open to the possibility that social relations per se may impact the results.

Thus, the operational definition of the invisible structure has been adjusted to reflect these perspectives. The final operational definition of invisible structure is:

Invisible Structure Is reflected in the culture, values, and social relations and the consequent normative rules and modes of behaviours to which members of the organisation tend to conform (adapted from Porpora, 1989)

Some researchers have argued that these two dimensions of structure – the visible and invisible structure – are analytically distinct. Others have rejected this line of reasoning and argue that whilst one can distinguish these two dimensions of structure it is more instructive to seek to analyse their interdependence (eg. Ranson et al., 1980; Rice & Mitchell, 1973). This is reflective of Blau & Scott who argue:

*the roots of the informal systems are embedded in the formal organisation ...
complex networks of social relations and informal status structures emerge ...
not completely determined by the formal institution ... [but] not ... entirely
independent of it*

(Blau & Scott, 1963, p. 6)

They go on to acknowledge that the distinction between the formal and informal aspects of the organisation is only an analytical one and should not be reified; there is only one actual organisation.

Ranson et al. offer the following paradigm to resolve this dilemma:

conceiving of structure as a complex medium of control of which is continually produced and recreated in interaction and yet shapes that interaction – structures are constituted and constitutive

(Ranson et al., 1980, p. 3)

This goes directly to the question of ontology that is addressed in Chapter 3.

Having addressed now the historical roots of the debate around structure it is appropriate to shift the readers' attention to the state of play in the field of transformational leadership. Whilst much of the theoretical foundations for structural perspectives have been laid down over the last 100 years, the field of transformational leadership is relatively new, having emerged in just the last 30 years.

2.3 Transformational leadership

Chapter 1 provided a high level overview of the historical and situational context of the emergence transformational leadership, from its origins in political leadership translated to the organisational domain. In this section the construct of transformational leadership is explored in detail.

This section begins with a high level review of the broad construct of leadership before embarking on an exploration of the emergence of the neocharismatic paradigm and the influence of charisma as a construct within and beyond transformational leadership. It is entirely appropriate to begin the exploration of transformational leadership through the lens of charisma given its prominence within the theory of transformational leadership. That leads to a comprehensive description of transformational leadership: its conceptual origins; its dimensional construction; and the measures of transformational leadership.

The section concludes with a brief review of the emerging topical themes within the research arena of transformational leadership.

2.3.1 Setting the Context – the Study of Leadership

If we know all too much about leaders, we know far too little about leadership

(Burns, 1978, p. 1)

So begins James McGregor Burns' seminal work into leadership that gave birth to the concept of transformational leadership. Twenty years on Barker (1997) argues that Burns was clearly trying to shift the discourse from leaders to leadership – something fundamentally different – arguing this is reflected in Burns' definition of leadership:

leadership is the reciprocal process of mobilising, by persons with certain motives and values, various economic, political and other resources, in a context of competition and conflict, in order to realise goals independently or mutually held by both leaders and followers

(Burns, 1978, p. 425)

Barker (1997) goes on to argue, however, that in the intervening years we have done little to progress the study of leadership. He argues that we have reduced leadership to slogans, equated it with economic success and manipulating people, confused it with management, associated it with authority, and become mired in traits, behaviours, roles and styles of people in high positions (Barker, 1997, p. 344). Whilst Barker (1997) is broadly critical of scholars who do not define leadership, Yukl (1998) rejects this is a major issue, arguing "at this point in the development of the field, it is not necessary to resolve the controversy over the appropriate definition of leadership" (p. 149). He has, however, identified common elements of in the definition of leadership: viz.

most definitions of leadership reflect the assumption that it involves a social influence process whereby intentional influences exerted by one person over other people to structure the activities and relationships in a group or organisation

(Yukl, 1998, p. 3)

That there is still debate at this most fundamental level, after 70 years of systematic, social scientific research into aspects of the leadership phenomenon, is perhaps testament to the extreme and enduring complexity of the leadership phenomenon itself (Conger & Kanungo, 1998, p. 109). As Fiedler (1996, p. 241) argues, if leadership were easy to understand, we would have had all the answers long ago.

The exploration of transformational leadership begins with the description of the neo-charismatic paradigm.

2.3.2 The Neo-charismatic Paradigm

Various writers agree that leadership research has entered a new paradigm, labelled the ‘neo-charismatic paradigm’ (Beyer, 1999c; Bryman, 1992; Hunt, 1999) on the basis that it highlights the prominence attributed to the role of charisma within the paradigm.

The neo-charismatic paradigm emerged from the nearly contemporaneous publication of two seminal works: House’s “1976 Theory of Charismatic Leadership” and Burns’ (1978) “Leadership”. Without these seminal works the shape and the detail of the new paradigm would have been different (Hunt, 1999, p. 139).

The paradigm comprises an array of theories that involve the concepts of charismatic or transformational leadership. While Beyer (1999c) has questioned whether, in fact, the paradigms are all that new, Yukl (1998) has challenged whether transformational and charismatic theories are even compatible. The rationale for neo-charismatic label has been articulated in detail by Fiol et al. (1999). Among their arguments in support of the neo-charismatic label they argue (p. 450):

- the new genre has much in common with the Weberian conceptualisation of charisma;
- charismatic behaviour is either explicitly or implicitly a central concept in all of the theories of the paradigm; and
- the theories of the paradigm focus primarily on affective rather than cognitive variables among followers, and the behaviours or traits among leaders that influence these affective variables.

Beyer’s (1999c) criticism of the new paradigm centres around whether it is, in fact, new. She argues that whilst the way research is viewing leadership has changed, leadership research within the paradigm is still heavily tied to a search for universal traits and behaviours of leaders reminiscent of what happened decades ago. While she goes on to suggest the phrase new paradigm is somewhat overused, the criticisms do not substantially detract from the value of ascribing an umbrella label to this group of leadership theories. The compatibility of transformational and charismatic leadership has been challenged, with Yukl (1999, p. 299) arguing that they are “distinct but overlapping”, and that the “simultaneous occurrence of transformational and charismatic leadership is both uncommon and unstable”.

While this background focuses on the charismatic and transformational leadership theories that dominate the paradigms, there are a number of similar theories that will not be dealt with explicitly here. These include, for example, visionary leadership (Nathan, 1996).

Charismatic leadership will be dealt with first on two grounds. Firstly, it is chronologically correct given the long history of charisma as a leadership construct, and with House's (1977) neo-charismatic theory preceding Burns (1978). Secondly, and perhaps more importantly, transformational leadership theory comprises various elements of which charisma the largest component (Bass, 1995, p. 473).

2.3.3 Charismatic Leadership

The paradigm label neo-charismatic makes clear that the current interest in charisma reflects a 'new' perspective. If it is new, what were its origins?

While the term charisma and its derivatives have a common usage today, scholarly thinking about charisma reflects the influence of Max Weber's writings in the mid-1940's. Prior to Weber's work, the term charisma was essentially confined to the religious domain (Conger & Kanungo, 1998). Although best known by organisational theorists for his work on bureaucracy, Weber was concerned more broadly with social and organisational change. Within that context, he argued authority emerges when a common value system legitimates its use (Weber, 1947a). One form of that authority was charismatic authority, which arose from a belief in a leader endowed with exceptional qualities (p. 348).

Despite the introduction of charisma into the organisational literature nearly 60 years ago, the topic was left relatively unexplored and overlooked until House's 1976 theory of charismatic leadership (Conger & Kanungo, 1998). There are now two charismatic leadership theories prominent today:

- a behavioural theory of charismatic leadership (Conger & Kanungo, 1998); which attributes charisma as an attribution made by followers on the basis of the leader's behaviour
- a self-concept based theory of charismatic leadership (Shamir et al., 1993) which explains the motivational effects of charismatic leadership on followers on the basis of its influence upon the followers' self-concept

These two theories are described in detail below. Firstly, however, we should address the fundamental question, "what is charisma?" This is a question not so easily answered. The

locus of charisma depends upon the perspective of the viewer. In everyday usage charisma is seen as a property of a person; within the neo-charismatic leadership paradigm it is seen as a property of the leader-follower relationship; and within the sociological theories charisma is a social structure that emerges from the complex interactions of multiple factors that cannot be neatly isolated (Beyer, 1999a, p. 313).

Weberian style charisma causes followers to "experience a magnetism and a power of attraction that goes beyond the usual experience and knowledge" (Trice & Beyer, 1986, p. 119). These effects "go beyond ordinary esteem, affection, admiration and trust and involve an intensely emotional component" (Bass, 1985, p. 36).

Trice & Beyer enumerated a five element definition of charisma based upon Weber's (1947b) original conception of charisma, reflective of its sociological roots (Trice & Beyer, 1986, p. 118):

- an extraordinarily gifted person;
- a social crisis or situation of desperation;
- a set of ideas providing a radical solution to the crisis;
- a set of followers who are attracted to the exceptional person and come to believe that he or she is directly linked to transcendent powers; and
- the validation of that persons and extraordinary gifts and transcendence by repeated successes.

This definition establishes the necessary conditions for charisma to emerge and endure. Each of these elements must be present at least to some minimal degree: it is not sufficient for just some elements to be present, even if present to a high degree (Trice & Beyer, 1986, p. 132). They also explicitly conceptualise charisma as a continuous variable that may be more or less present. Other writers in the charismatic leadership domain do not explicitly address this question although to the extent that the concept is operationalised through survey instruments with ordinal rankings the idea of weak or strong charisma is perhaps implied.

House identified three characteristics or traits of charismatic leaders based upon descriptive reports (House, 1977, p. 193): extremely high levels of self-confidence; dominance; and a strong conviction in the moral righteousness of his or her beliefs.

Trice & Beyer (1986) summarise a range of other studies around the concept of charismatic leadership which have followed House's 1977 work (eg. Berlew, 1974; Yukl & Van Fleet, 1982) that have elicited similar constructs such as inspiration, defined in terms of stimulating enthusiasm, but largely dismiss these as pale imitations of the more emotionally intense concept of charisma (p. 122). Read in conjunction with Trice and Beyer's notion of charisma as a continuous variable, these comments raise the possibility that charisma in its strongest expression represents one pole of a scale defined in terms of a continuous variable such as psychological attachment felt by the followers. Under this construction, the 'inspirational' leader may represent a somewhat weaker form of charisma.

Before turning to the current prominent charismatic leadership theories, it is useful to reflect on the influence of context in shaping our attributions of charismatic leadership. Perhaps the most public global figure to whom one might attach the label charismatic is President Obama. In the presidential campaign Obama was widely regarded as displaying "charismatic rhetoric, delivery and symbols" (Bligh & Kohles, 2009, p. 486). However, ahead of the events of the global financial crisis which took root during the week of September 14, 2008, with the collapse of Lehman Brothers, the race was deemed 'too close to call'. Bligh & Kohles hypothesise that follower readiness for charisma played a key role in Obama's victory. In this context "charismatic leadership can be viewed as a collective coping mechanism" (Bligh & Kohles, 2009, p. 487). Similar contextual circumstances surrounded New York's Mayor Giuliani's transformation from a widely unpopular mayor to arguably one of the most charismatic leaders in the US in the aftermath of 11 September 2001, winner of Time's Man of the Year that year.

Translating this to the business context provides useful additional insight. Some of It is clear that Lee Iacocca's charismatic reputation post his successful recovery of Chrysler did not follow him when he left Chrysler. Similarly, the attribution of charisma to Steve Jobs during his period of the enormous success in building Apple Computer did not follow him when he left there to found another company, Next, which was much less successful (Bryman, 1992).

This discussion highlights the complex interplay of factors that sociologists argue comprise charisma: "charisma is best understood by those sensitive to the complex interplay of human agency and meso and macro structural forces" (Jermier, 1993, p. 219).

2.3.4 Behavioural Theory of Charismatic Leadership

The behavioural theory of charismatic leadership (Conger & Kanungo, 1988) makes a number of explicit assumptions regarding the process of leadership generally and the nature of charismatic leadership in particular.

Firstly, the model assumes leadership is a process "that involves moving organisational members from an existing state toward some future state ... away from the status quo" (Conger & Kanungo, 1998, p. 49).

Secondly, the model accepts without qualification that the locus of charismatic leadership exists within the relationship between leader and followers: in the interplay between the leader's attributes and the needs, beliefs, values and perceptions of his or her followers (Conger & Kanungo, 1998, p. 639).

Finally, the model is predicated on the assumption that charisma is an attribution or phenomena, "made by followers who observe certain behaviours on the part of the leader within an organisational context" (Conger & Kanungo, 1998, p. 639).

The early model described a series of ten behavioural components that they argued were inter-related and formed a constellation of behaviours that were part of the charismatic leaders repertoire. This led to the identification of four variables that would lead to the attribution of charisma to leaders (Conger & Kanungo, 1998, p. 40):

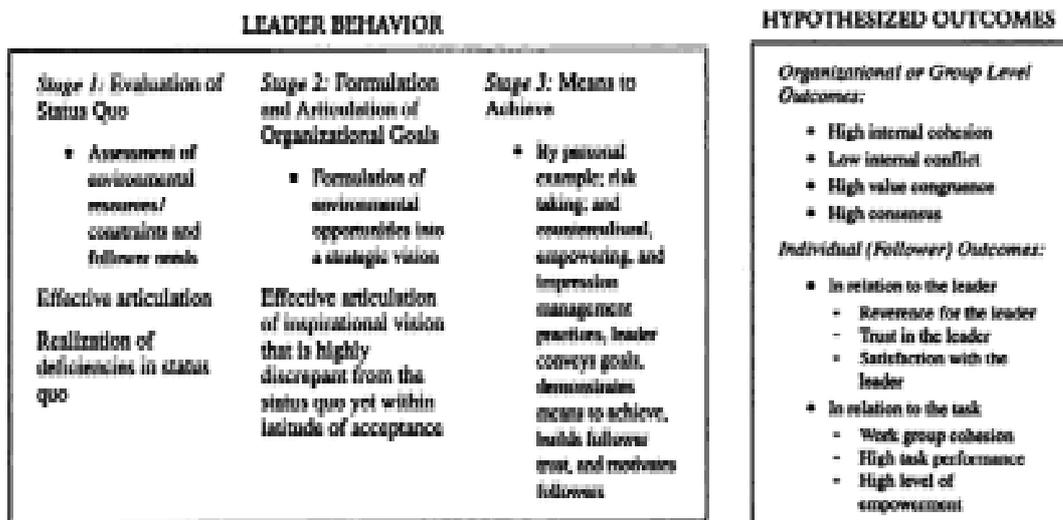
- the degree of discrepancy between the status quo and the future goals or vision advocated by the leader;
- the use of innovative and unconventional means for achieving the desired change;
- a realistic assessment of environmental resources and constraints; and
- the nature of articulation and impression management.

More recently, Conger and Kanungo (1998) have further refined and enhanced their original work. Whilst retaining the same underlying assumptions regarding the nature of charismatic leadership, and essentially the same constellation of behaviours, the refined model provides a clearer integration of these discrete behavioural elements. The result is a three stage process model of charismatic leadership (Figure 2.1), which also hypothesises certain outcomes, both at the organisational or group level and at the individual level.

One of the limitations of the earlier model was that while the behaviours were seen as a constellation, it was not clear if all of the behaviours were necessary before an attribution of charisma was possible. This question has now been addressed explicitly with Conger and Kanungo arguing that the likelihood of followers attributing charisma to a leader will depend on three major features (Conger & Kanungo, 1998, p. 61):

- the number of the components manifested in the leaders behaviour;
- the level of intensity of each component as expressed in a leaders behaviour; and
- the level of saliency or importance of individual components, as determined by the existing situation or organisational context and the level of follower proximity to the leader.

Figure 2.1: The Behavioural Theory of Charismatic Leadership



Source: Conger & Kanungo (1998, p. 50)

While Conger and Kanungo hypothesise certain likely outcomes of charismatic leadership this seems to the researcher to be an insubstantial addition to their model. In particular, in the researcher's view only one of the hypothesised outcomes - reverence for the leader - is unambiguously associated with charismatic leadership. Conger acknowledged as much when he noted that one of the significant differences between charismatic and transformational leadership theories was "that the transformational theories to date have concerned themselves

equally with *follower outcomes* whereas the charismatic theories have measured leadership from the standpoint of *perceived leader behaviour*" (Conger, 1999, p. 159).

Whilst this theory has focused on the charismatic leader's behaviours, perhaps the most prominent contributors to our understanding of the motivational effects of charismatic leadership have been Boas Shamir and Robert House. Their contribution is described below.

2.3.5 The Self-Concept Based Theory of Charismatic Leadership

The self-concept based theory of charismatic leadership represents potentially one of the most important models within the field of charismatic leadership. Whilst it is specifically labelled a charismatic leadership theory it offers a motivational theory that transcends the neo-charismatic paradigms (Shamir et al., 1993). Each of these theories highlights the profound emotional and motivational arousal of followers, but offer scant theoretical insight into the process by which in this leadership has its profound effect.

The problem is that the current theories of charismatic leadership claim that a variety of leadership behaviors transform followers from an individual-oriented, hedonistic, rational-economic mode of operation to a collective, moral and value-oriented mode of operation. However, these claims cannot be accounted for by current psychological theories of motivation, which assume either a rational-economic or a highly idiosyncratic need-satisfying model of human beings

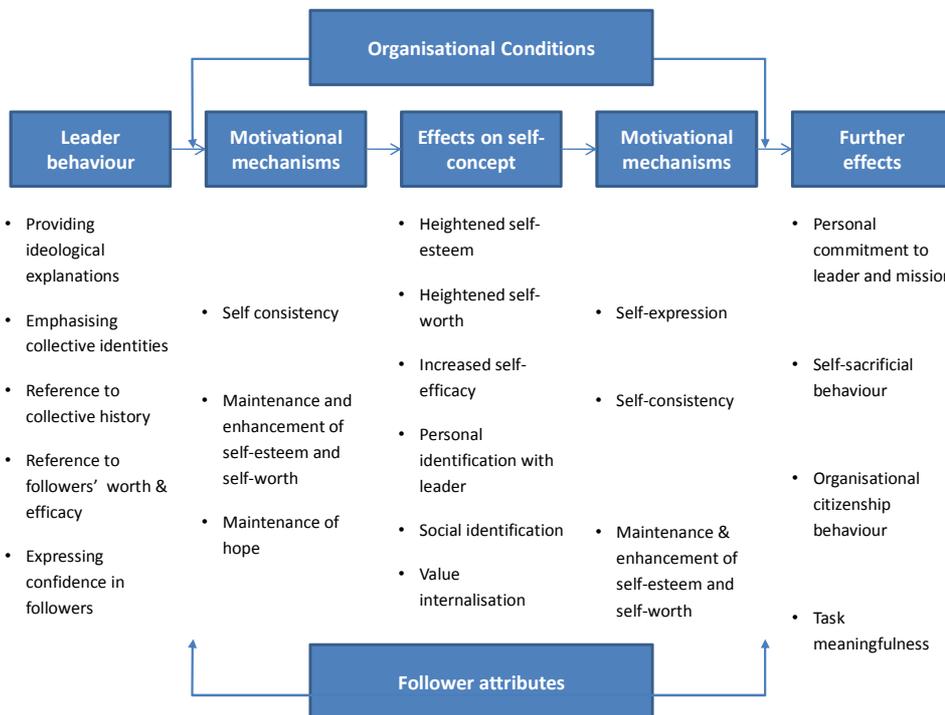
(Shamir et al., 1993, p. 579)

Shamir et al. (1993, p. 580) set out a number of assumptions that surround their self-concept based theory:

- humans are not only pragmatic and goal oriented but are also self-expressive;
- people are motivated to maintain and enhanced their self-esteem and self-worth;
- people are also motivated to retaining and increase their self-consistency;
- self-concepts including values and identities, both independent and social; and
- humans may be motivated by faith.

These assumptions lead Shamir et al to the following model that provides an outline of their theory.

Figure 2.2: An Outline of the Self-concept Theory of Charismatic Leadership



Source: Shamir et al. (1993, p. 583)

This theoretical framework suggests five strategies by which charismatic leaders motivate their followers (Shamir et al., 1993, p. 582-3):

- increasing the intrinsic valence of effort such that the effort itself becomes symbolic and expressive of important values or identity;
- increasing effort-accomplishment expectancies by enhancing followers self-esteem and self-worth;
- increasing the intrinsic valence of goal accomplishment and linking these goals with the collective past and future, reinforcing followers self-concept and group identity;
- instilling faith in a better future, emphasising more distant, utopian or ideal goals, and less of the short-term specific goals of traditional motivational theories; and
- creating personal commitment such that the vision or transcendent goal sustains followers commitment beyond a rational-pragmatic cost-benefit consideration.

While some elements of this motivational theory are similar to what might be expected using traditional expectancy theory, the emphasis on self-esteem, self-worth, identity and values represents a significant extension of the theory. In addition, the emphasis on more distal, utopian goals and the emphasis on the emotional rather than rational – pragmatic outcomes contraverts the usual outcomes of expectancy theory application, which suggest specific, concrete short-term goal accomplishments provide stronger motivation (eg. McShane & von Glinow, 2000, p.74-78).

Table 2.2 below summarises how the use of these motivational processes differ under traditional leadership versus charismatic leadership processes. The self-concept theory as outlined has its anchor around a few central constructs: identity, values, self-esteem/self-worth and consistency.

Table 2.2: Motivational Effects – Traditional vs. Charismatic Leadership

Motivational Processes	Traditional Leadership	Charismatic Leadership
Intrinsic value of behaviour	Making the task more interesting; varied; enjoyable; challenging	Linking behaviour to followers' self-concepts; internalised values and cherished identities
Behaviour-accomplishment expectancy	Coaching; training; providing material; instrumental and emotional support; clarifying goals	Increasing general self-efficacy (through increasing self-worth, communicating confidence & high expectations)
Intrinsic value of goal accomplishment	Setting goals; increasing task identity; providing feedback	Linking goals to the past and present, and to values in a framework which provides the basis of identification
Accomplishment-Reward expectancies	Establishing clear performance evaluation and tying rewards to performance	Generating faith by connecting behaviours & goals to a 'dream' or utopian future
Valence of extrinsic rewards	Taken into consideration in rewarding performance	Not addressed

Source: (Shamir et al., 1993, p. 585)

This leads Shamir et al to hypothesise that neo-charismatic leaders will communicate messages in terms of language and symbols which address these constructs. Thus, they suggest we should expect to see (Shamir et al., 1993, p. 586):

- more references to values and moral justification;
- more references to the collective and collective identity;
- more references to history;
- more positive references to followers worth and efficacy as individuals and as a collective;
- more expressions of high expectations from followers; and
- more references to distal goals.

This is a valuable contribution to the theory, as it makes explicit the links between the content of the messages expected from neo-charismatic leaders and the motivational process. Beyond a consistent view among the various theories that neo-charismatic leaders express optimistic visions for the future, there is a limited commentary on the content of the message. More focus is usually upon the process or delivery of the message with broad, general remarks such as "an exciting public speaker", or "appears to be a skilful performer when presenting to a group" (eg. Charismatic Leadership Questionnaire: Conger & Kanungo, 1998, p. 251).

The framing of these messages addresses the processes of personal identification and social identification, and value internalisation. These represent two of three distinct processes of social influence first articulated by Kelman (1961, p. 62): compliance, identification and internalisation. These three processes are not mutually exclusive: although these influence processes are defined in terms of pure cases, they generally occurred as mixed cases in real-life situations (p. 66). As a result of experiencing these messages, followers of the neo-charismatic leaders will experience greater levels of psychological attachment through identification.

This generalised process of motivation that transcends the neo-charismatic paradigm leads us to a detailed review of the specific literature surrounding transformational leadership.

2.3.6 Transformational leadership – Conceptual Origins

The concept of transformational leadership has its origins in the seminal work by James McGregor Burns (1978), an historian who was seeking to fashion a general theory of political leadership from descriptive research. Central to Burn's contribution is his articulation of two basic types of political leadership – transactional and transformational:

The relations of most leaders and followers are transactional – leaders approach followers with an eye to exchanging one thing for another: jobs for

votes, or subsidies for campaign contributions. Such transactions comprise the bulk of the relationships among leaders and followers, especially in groups, legislatures, and parties.

Transforming leadership, while more complex, is more potent. The transforming leader recognises and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leader looks for potential motives in followers, seeks to satisfy higher needs, and engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents

(Burns, 1978, p. 4)

Thus, transactional leadership occurs when a mutual exchange relationship is created between the leader and followers. The exchange, as conceptualised by Burns, could involve exchange of economic, psychological or political gain. The object is not a joint effort toward a common goal, but a *quid pro quo*: a bargain to aid the interests of the parties. However, this is the extent of the relationship: the participants to that exchange have no relationship beyond that exchange relationship. It is not a relationship that binds the leader and follower in a mutual and continuing search for a higher purpose (Burns, 1978, p. 20). One could argue this reflects, in part at least, the raw political context within which the research was done.

Burn's notion of leadership as an instrumental exchange relationship was not new to leadership theory: it was, indeed, the foundation of many of the traditional leadership theories such as leader – member exchange (eg. Graen & Uhl-Bien, 1995), and path – goal theory (House, 1971). However, Burns articulation of transforming leadership offered a new possibility within leadership theories. Central to this contribution is a form of leadership that gives rise to a cycle of rising aspirations that ultimately transforms both leaders and followers.

The cornerstone of *transforming* leadership is that the leaders:

shape and alter and elevate the motives, values and goals of followers through the vital teaching role of leadership. This is transforming leadership. The premise of this leadership is that, whatever the separate interests persons might hold, they are presently or potentially united in the pursuit of 'higher' goals, the realisation of which is tested by the achievement of significant change that represents the collective or pooled interests of leaders and followers

(Burns, 1978, p. 425)

Burns notes that though the leaders' and followers' motives may have started out as separate but related, through the transformational leadership process and the resultant engagement between leader and follower, these purposes become fused as one (Burns, 1978, p. 425).

Within this framework the hierarchy of needs, the structure of values, and the stages of moral development of leaders and followers play a central role. The role of the leader is played out in helping to move followers up through the levels of need and the stages of moral development. The process of leadership is one of conflict and choice, a dynamic process of ever-evolving deprivations and satisfactions, producing change and development. For Burns, such conflicts are the engine for change, forcing movement, where the response to concrete choices that reflect moral conflicts can only be resolved in the reorganised perspective of the next stage of moral or needs development. Within this framework, Burn's argues that only with conflict can followers be drawn out of "narrower collectivities and into 'higher' purpose and principle" (Burns, 1978, p. 428-9).

In articulating and developing this thesis, Burns draws upon the Kohlbergian stages of moral development: pre-conventional; conventional; and post-conventional (Kohlberg, 1981). He also draws upon Rokeach's work that distinguishes *instrumental* or *modal* values and *terminal* or *end* values (Rokeach, 1973). At pre-conventional levels of moral development, modal values are defined by rewards and penalties, and reciprocity or mutual 'back scratching' are governing principles. This is consistent with the instrumental orientation that underpins transactional leadership. At the conventional level, the values orientation is one that seeks the approval of others. Good intentions, conformity to group norms and established rules are valued as both necessary and desirable. At the highest level, modal values are rights defined on the basis of a conscience that emerges with end values such as justice, equity and human rights (Burns, 1978, p. 430).

Whilst this might seem at first to be a theory of leadership limited to the political domain, it is instructive to relate this to a recent paper that posed question within the context of an organisational change program: why do people follow leaders? Three motives have been offered (Valikangas & Okumura, 1997, p. 314):

- **Compliance** – motivated by the acceptance of influence in order to gain specific gratification of rewards and/or avoid deprivations or punishments;

- **Identification** – involving personal identification with the leader or social identification in belonging to a group; and
- **Internalisation** – the acceptance of leadership influence that is congruent with a person's values.

Interestingly, Burns original construction includes the concept of *transcending* leadership, whereby followers, aroused and energised by their leader, become more active themselves, thereby creating a new cadre of leaders. Despite the prominence now given to transactional and transformational leadership, it is interesting to note an apparent lack of interest or take up of his concept of transcending leadership. One apparent exception is Nadler & Tushman (1990) who argue that charismatic leadership is, itself, insufficient to achieve the levels of organisational change demanded today. Instead, they argue that what is needed is a blend of instrumental (transactional) leadership, charismatic leadership, and the institutionalising of the leadership of change through (p. 88):

- leveraging the senior team;
- broadening senior management; and
- developing leadership in the organisation.

Ahead of immersion in the data and analysis, the researcher commented: it may be that this is an area for further development as organisations today grapple with the notion of institutionalising leadership. This concept genuinely emerged in the research data as discussed in Chapter 5.

2.3.7 Transformational Leadership – Organisational Translation

In the mid-1980's Bass (1985) translated Burns' (1978) constructs from the broader political leadership perspective to the specific context of organisational management (Bass, 1985). His work is especially important because his conceptual work provides the foundation for the later development of the Multifactor Leadership Questionnaire (MLQ) that has become one of the most used instruments for measuring transformational leadership.

Bass (1985) describes the possibility and need for leadership that could produce quantum leaps in performance; a radical shift in attention; changing the contextual framework, reversing what is figure and what is ground. He articulated what he saw as some of the limitations of instrumental/exchange theories of leadership, suggesting these missed what “may be the most

important phenomena of leadership-leadership that accomplishes second order change" (Bass, 1985, p.4)

In translating the concept of transactional leadership to the organisational context, Bass described the transactional leader as follows:

considers a cost-benefit, economic exchange to meet subordinates current material and psychic needs in return for 'contracted' services rendered by the subordinate

(Bass, 1985, p. 14)

The relationship between the transactional leader and his or her subordinates is described as follows:

[the transactional leader] recognises what it is we want to get from our work and tries to see that we get what we want if our performance warrants it; exchanges rewards and promises of reward for our effort; and is responsive to our immediate self-interests if they can be met by our getting the work done

(Bass, 1985, p.11)

This led Bass to a model of transactional leadership and follower effort, based upon a simple variant of Vroom's (1964) expectancy theory. In essence, the transactional leader identifies the needs of the follower and connects the fulfilment of the task to the satisfaction of these needs. In the transactional mode, the follower has confidence that he or she can meet the demands of the task, and if the end goal is valued, the follower is motivated to meet the expectations of the leader. This is the essence of transactional leadership: it delivers what is expected.

In the organisational context, transformational leaders:

raise colleagues, subordinates, followers, clients, or constituencies to a greater awareness about the issues of consequence.

This heightening of awareness requires a leader with vision, self-confidence, and inner strength to argue successfully for what he sees as right or good, not for what is popular or is acceptable according to establish the wisdom of the time

(Bass, 1985, p. 17)

According to Bass, the transformational leader also recognises the followers existing needs, but the transformational leader is distinguished from transactional leadership in going further, "seeking to arouse and satisfy higher needs, to engage the full person of the follower" (Bass, 1985, p. 14). As a result, the transformational leader can move those influenced to transcend their own self-interest for the good of the group, motivating followers to do more than they originally expected to do. This model clearly draws upon the values based transformational model of Burns (1978).

Bass further expresses the difference between transformational and transactional leadership in terms of the propensity for transactional leaders to 'work within' organisational contexts, whereas the transformational leader is seen as one who changes the contexts as illustrated in Table 2.3 below.

Table 2. 3: The Transactional v. Transformational Leader

The transactional leader ...	The transformational leader ...
Works within the organisational culture as it exists	Changes the organisational culture
Accepts who rules and by what means	Changes who rules and by what means
Accepts the work group norms	Changes the work group norms
Accepts what can be talked about	Changes what can be talked about
Accepts group and self-identities as currently defined	Changes group and self identities
Accepts and uses the existing rituals, stories, and role models	Invents, introduces, and advances new cultural forms
	Changes the social warp and woof of the reality

Source: Adapted from Bass (1985, p. 24)

Bass articulates three differences between his conceptualisation and Burns original work:

- Bass added "expansion of the followers portfolio of needs and wants", thus releasing the theory from an absolute requirement for increasing levels of need along Maslow's hierarchy;
- Burns argues that Hitler's leadership was not transformational because it did not deliver a positive benefit. Bass argues it was, despite its tragic cost: the result of transformational leadership is not necessarily beneficial;
- Burns argued that transactional and transformational leadership were at the opposite end of a single continuum. By contrast, Bass argues that leaders exhibit "...a variety of patterns of both transformational and transactional leadership. *Most leaders do both but in different amounts[emphasis in original]*" (Bass, 1985, p. 22)

Given this understanding of the nature of transformational and transactional leadership has led researchers to the challenge of measurement. The most widely cited tool for measuring transformational and transactional leadership is the Multifactor Leadership Questionnaire, describe below.

2.3.8 Instrumental Measures of Transformational Leadership (MLQ)

The Multifactor Leadership Questionnaire (MLQ) was developed as an instrument that could operationally measure these constructs. Bass' journey along this path is captured in detail in the literature (Avolio, Bass, & Jung, 1999; Bass, 1995).

The original components of transactional and transformational leadership, derived from principal component factor analysis of 73 items, saw six leadership factors emerge – three transformational, two transactional and a passive avoidant laissez-faire factor.

The transformational factors comprised charismatic leadership, individualised consideration and intellectual stimulation. Charismatic leadership accounted for 66% of the variance in the correlation matrix. However, Bass extracted some of the inspirational items from the charismatic factor to create a fourth transformational scale, inspirational motivation, arguing that "a leader could move followers toward common goals, provide meaning, and generate acceptance of missions without necessarily being charismatic" (Bass, 1995, p. 471).

Similarly, factor analysis of the transactional leadership scales produced two factors: contingent reward and management-by-exception. Again, however, abandoning strict empiricism, Bass clustered items that essentially meant avoidance of leadership and labelled this laissez-faire leadership (Bass, 1995).

This factor structure has been subject to ongoing refinements: for example, the separation of management-by-exception into both an active and a passive component (Hater & Bass, 1988). However, the factor structure continues to attract criticism. Den Hartog et al. (1999) conducted a survey with nearly 1200 employees across eight Dutch companies using the MLQ (5X). While their results supported a broadly similar three-dimensional construct, they suggested passive management-by-exception fits more correctly within the laissez-faire leadership factor. They suggested, in turn, three alternate constructs that they refer to as inspirational, rational-objective and passive leadership instead of transformational, transactional and laissez-faire.

Similarly, Carless (1998) found a high proportion of covariation among first-order factors that can be explained by a single higher order construct. She concluded "there is little evidence to justify interpretation of individual subscale scores" (p. 357). These criticisms, combined with their own ongoing research, have led to a modified factor structure shown in Table 2.4 below.

Table 2.4: MLQ Six Factor Structure

Leadership Type	Factor	Definitions
Transformational	Idealised Influence (incl. charisma)	Provides followers with a clear sense of purpose that is energising, is a role model for ethical conduct and builds identification with the leader and his or her articulated vision
	Intellectual Stimulation	Gets followers to question the tried entry ways of solving problems, and encourages them to question the methods they use to improve upon them
	Individualized Consideration	Focuses on understanding the needs of each follower and works continuously to get them to develop their full potential
Transactional	Contingent Reward	Clarifies what is expected from followers and what they will receive if they meet expected levels of performance
	Management-by-Exception	Focuses on monitoring task execution for any problems that might arise and correcting those problems to maintain current performance levels
Passive-avoidant leadership	Laissez-faire	Tends to react only after problems have become serious to take corrective action, and often avoids making any decisions at all

Source: Avolio et al (1999)

Top leaders display both transformational and transactional leadership. They represent constructive, active forms of leadership, and repeated delivery on transactional reward promises builds trust and dependability, an essential element of transformational leadership (Avolio et al., 1999; Shamir, 1995).

Yukl (1999) provides a comprehensive exposition on what he perceives as conceptual weaknesses in the transformational leadership theory. These criticisms go to the fundamental premises of the theory, issues surrounding the construct validity, and the omission of what he regards as important leadership behaviours. At the fundamental level he argues (p. 287):

- the underlying influence processes are still vague and require further study.
- The theory focuses primarily at the dyadic level of the leader-follower rather than at the leader's influence on the group processes.

Yukl (1999) also argues that some of the transformational factor structure lacks construct validity. For example, individual consideration includes both supporting and developing behaviours. Whilst 'developing' offers the possibility of transformational outcomes, Yukl questions whether 'supporting' is a core transformational leader behaviour. He cites the widely accepted research that shows it increases satisfaction with the leader, but this has little effect on motivation and performance.

Similarly, Yukl suggests there is no evident rationale for including passive management by exception within transactional leadership, a point others have also made (eg. Den Hartog et al., 1999). He also notes the active management by exception scale items emphasise intrusive, controlling forms of monitoring and suggests the rationale for its inclusion in transactional leadership is also not clear.

Perhaps most interesting, however, are the high reward leadership behaviours at various levels – dyadic, group and organisational – that are missing from the MLQ (G Yukl, 1999). These are summarised in Table 2.5 below.

Table 2.5: Leadership Behaviours and Level of Effect

Level	Behaviours
Dyadic	Empowering, especially consulting, delegating and sharing sensitive information
Group	Facilitating agreement about objectives & strategies Facilitating mutual trust & cooperation Building group identification & collective efficacy
Organisation	Articulating a vision & strategy for the organisation; Guiding & facilitating change; Promoting organisational learning

Source: Adapted from Yukl (1999)

Given the widespread acceptance of transformational leadership as a construct and extensive research around the factor structure for its measurement over a 15-20 year period since Bass' original work in 1985, it is interesting to examine where the research agenda is heading. The next section provides a high level overview of the recent research.

2.3.9 What Next in Transformational Leadership?

Much of the literature cited in the previous section represented the period during which transformational leadership was becoming an accepted normative model of leadership (Beyer, 1999a; Conger, 1999). Since that period the research has been largely oriented to continued refinement of the construct and some novel research extensions.

The researcher searched the Science Direct database for all articles with transformational leadership in their title since 2003. Science Direct was chosen as a suitable database simply because it holds *Leadership Quarterly*, one of the landmark journals for leadership research. This provided a list of 56 journal articles. These articles demonstrate that research is continuing to explore the transformational leadership factors and testing the validity of the constructs of the MLQ. For example, Rafferty & Griffin (2004) tested the factor structure and concluded "support for a five factor model that distinguishes between vision, inspirational communication, intellectual stimulation, supportive leadership and personal recognition" (p. 347). It is likely research will continue in pursuit of a 'better factor structure', but one might question whether such research is likely to significantly advance our knowledge of transformational leadership.

Another area of research has been the effect of the individual: for example, the impact of personality and disposition toward transformational and transactional leadership behaviours (eg. Bono & Judge, 2004) and a study of the moderating role of individual differences on the extent of identification that arises in transformational leadership (eg. Epitropaki & Martin, 2005).

Another area of research in the last 5 years has been the cultural extension of the transformational leadership model which began with the seminal work of Den Hartog et al. (1999). This work had previously found that several specific aspects of the transformational leadership theory – charisma, visionary leadership and communication of the vision – are universal across countries although some elements are culturally specific – consideration and risk taking. More recently Ergeneli, Gohar & Temirbekova (2007) tested the influence of cultural values on propensity for transformational leadership and found a negative relationship “between the uncertainty avoidance dimension of culture and the ‘inspiring a shared vision’ and ‘modelling the way’ aspects of transformational leadership”. This contradicts the earlier work of Den Hartog et al. (1999). It would seem that the cultural dimension of transformational leadership remains open for further work.

There were also a number of studies that focused on specific outcomes of transformational leadership such as commitment to change (Herold, Fedor, Caldwell, & Liu, 2008); disseminating organisational goals (Berson & Avolio, 2004); and conflict management (Ayoko & Callan). Herold et al. (2008) specifically examined the impact of transformational leadership on change. The literature implicitly assumes a positive relationship “because of the ability of the transformational leader to engage followers ... [although] ... this has never been explicitly tested” (p. 353). Their results demonstrate a significant positive relationship between transformational leadership and individuals’ commitment to change. Interestingly, in the same study they found that the more traditional ‘change leader’ behaviours were not positively associated with commitment to change which itself is an important aspect of intentions to support the change (Fedor, Caldwell, & Herold, 2005). Berson & Avolio (2004) focused on the link between transformational leadership and the dissemination of organisational goals. They argued that despite the theoretical links there has been no empirical testing. Their results confirmed the theoretical links: “consistent with conceptual arguments ... we saw more agreement [over organisational goals] across hierarchies where top leaders were rated more transformational. Where leaders were rated less transformational, there was less consistency in their direct reports’ articulation of the strategic goals” (Berson & Avolio, 2004, p. 641). Ayoko

& Callan (in press) report increased task performance, significant positive impact on team performance and better management of negative events. These papers collectively continue to build the evidence base on the positive outcomes associated with transformational leadership.

Another cluster of papers appeared around a couple of specific team themes: particularly creativity and innovation (eg. Gumusluoglu & Ilsev, 2009) and the role of transformational leadership in virtual teams (eg. Purvanova & Bono, 2009). Gumusluoglu & Ilsev's reported "growing interest in the influence of transformational leadership on creativity and innovation" (p. 461). They found that transformational leadership had important effects at both the individual and group level, consistent with the expectations of the conceptual and theoretical frameworks which suggested that "transformational leadership behaviours closely match the determinants of innovation and creativity at the workplace" (p. 462). One of their significant contributions was that the study took place outside of the US – in Turkey – in real business settings. They note that previous studies in this area were largely "from the U.S., in experimental settings, and using student samples" (p. 463). Given the role of innovation and creativity in today's business setting this is a useful contribution to the literature. In exploring transformational leadership in virtual teams, Purvanova & Bono (2009) identify the emergence of virtual teams driven by the advancement of new communication technologies and the related research around the role of transformational leadership in supporting these teams. Their particular contribution has been to directly compare leaders in face-to-face and virtual team settings. Their research produced two interesting findings: firstly, leaders change their behaviour in these different settings; and secondly, transformational leadership had a stronger effect on performance in virtual teams than in traditional face-to-face teams (p. 352). These findings will likely act as a catalyst to further research in this emerging area.

Another researcher may have chosen to cluster these contributions differently, but they point to a continuing rich research base linked to the concept of transformational leadership. These results suggest the future is likely to continue to see empirical challenges to the factor structure underpinning transformational leadership, and research into particular contexts or focusing on particular effects, where empirical research will be a foundation for further testing our understanding of the mechanisms by which transformational leadership impacts in real world business settings.

This completes the review of the literature on transformational leadership, which leads us to the literature on context, outlined below.

2.4 Organisational Context – An Overview

As outlined in the introduction to this section, the decision was made to keep the review of the context literature at a level that sensitised rather than structured the researcher's thinking around context. Given this, the focus was upon a relatively small number of articles that directly connected contextual factors with transformational leadership. The relative absence of articles is partly a manifestation of the point made earlier: there is a relative lack of research surrounding contextual factors in transformational leadership (eg. Conger, 1999; House & Aditya, 1997; Hunt, 1999; Yukl, 1989), despite Beyer (1999a) declaring "surely context must at least be a constraint on performance" (p. 310). This section provides a high level summary of insights from reviewing a small number of key papers around context.

At the outset, however, it is worth noting the researcher's reaction when he began reading in this area: there seemed to be an absence of any useful meso level structuring of this arena that provided sufficient depth to enable valuable insight. It seemed to this author that the options were largely such macro level constructs – internal vs. external context – that it became too big to be useful, or the commentary was at such a micro level that everything was context and the researcher was overwhelmed by the array of situational variables. At this early stage the work of Johns (2006) had not yet emerged.

There were four 'context' papers that dominated the reading and insights for this researcher in framing his research question and preparing to enter the field. These are summarised below. The discussion of these papers occurs within Chapter 5 to the extent they connect with the emergent themes from the research.

Pawar & Eastman (1997) started by delimiting transformational leadership "to include leadership that spells out a vision that is in the interest of the followers and get followers to accept it by raising them to a higher level in their need hierarchy" (p. 84). They separated context into inner and outer context, and focused their research on the inner context. From here they progressively stepped through a number of specific contextual factors and developed conceptual or theoretical views on how these factors may influence the organisational receptivity to transformational leadership. The results were:

- Organisations will be more receptive to transformational leadership during a period of adaptation rather than efficiency orientation (p. 92)
- Organisations with dominant boundary spanning units will be more receptive to transformational leadership than organisations with dominant technical cores (p. 94)

- Machine and professional bureaucracies and divisional structural forms will be less receptive to transformational leadership than simple structures or ad hocacies (p. 95)
- Organisations with clan mode of governance will be more receptive to transformational leadership than organisations with market or bureaucracy governance (p. 97)

These polar types of organisational contexts gave rise to alternate context contingent forms of transformational leadership: context harnessing or context confronting transformational leadership (p. 99).

Shamir & Howell (1999) acknowledged that “the emergence and effectiveness of charismatic leadership may be facilitated by some contexts and inhibited by others” (p. 259). They arrive at various conceptual or theoretical propositions relevant to the business setting:

- Charismatic leaders are more likely to appear under crisis conditions, but these conditions are neither necessary nor sufficient to see its emergence (p. 262)
- Charismatic leadership is more likely to emerge in weak situations “where performance goals cannot be easily defined nor performance easily specified and measured, and where leaders cannot link extrinsic rewards to individual performance” (p. 263)
- Charismatic leadership is more likely in organisations operating in dynamic environments where there are likely to be more dominance of boundary spanning units (p. 264)
- Charismatic leadership is more likely to emerge in early and late stage organisational life cycles, rather than in the middle stages (p. 267)
- Charismatic leadership is more likely to emerge in organisations where the technology is less readily analysable (p. 267)
- Charismatic leadership is more likely to emerge in organic or adaptive organisations than in mechanistic or non-adaptive organisations, including organisations (p. 270-272)
- New leaders, especially those following non-charismatic leaders are more likely to be transformational (p. 273-275)

- Charismatic leadership is more likely to emerge at the top of organisations than lower levels, but it is not restricted to these upper levels (p. 277)

This work by Shamir & Howell (1999) was the most comprehensive theoretical or conceptual paper addressing contextual factors that the researcher was aware of leading into the research. In fact, it remains one of the most comprehensive descriptions of a contextual theory in the literature today to this writer's knowledge.

As noted elsewhere in this thesis, Conger (1999, p. 164) observes "the dominance of survey/quantitative methods in the research to date may be hindering our ability to discern contextual variables as well as differences between contexts". He comments that the work of Pawar & Eastman (1997) was the only "major theoretical work focusing to a large extent on these [internal contextual factors]" (p. 166) ahead of the work of Shamir & Howell (1999) noted above. Conger's paper adds little to the discussion of contextual variables, essentially summarising the work of the other contributors as appropriate in a review article.

The other 'major' paper that this researcher reviewed ahead of the field work was the contribution of Osborn et al. (2002) in which they "propose moving leadership theory and research to a new level" (p. 797). They seek to reposition context, arguing that "leadership is embedded in the context. It is socially constructed ... One cannot separate the leader(s) from the context any more than one can separate a flavor from a food" (p. 799). The interesting contribution of this work is that it focuses its attention largely on external contextual forces. Osborn et al (2002) describe four environmental contexts:

- Context 1 – stability; traditional still picture view focused on 'fit' within the environment. This is seen as largely the traditional context for transactional leadership (p. 806)
- Context 2 – crisis functioning impacting the middle managers, with little response time. This contextual description is dominated by the crisis, with selection of what must be done "far more mundane than the increasingly emphasized transformational, visionary or charismatic leadership" (p. 811)
- Context 3 – dynamic equilibrium-top-level and strategic leadership, where there are "a broader array of choices reflecting more diverse demands, greater opportunities, and fewer constraints" (p. 812). The focus of the paper in describing this context is the complexity of organisational life and intentionality in such an open context.

- Context 4 – edge of chaos – complexity theory and dynamic systems, where organisations confront “dynamism, nonlinearity, and unpredictability” (p. 822). This context requires the organisation to continuously experiment and shift, more dynamic than the traditional mental model of dynamic equilibrium might suggest. At this ‘edge of chaos’ strategic alignment is no longer valuable as it may inhibit responsiveness and the willingness to experiment with new ‘fitness peaks’.

This presents a very different insight into potential contextual influences, but is positioned from a much more externally determined contextual space.

2.5 Conclusion

This section has provided a review of the literature suited to the particular research. It explained the rationale for the position adopted in undertaking the literature review in each of the three domains covered. It provided a detailed commentary on the relevant literature surrounding the theory of structure, highlighting the different visible and invisible structural domains, and the role of institutional theory. The coverage of the transformational leadership domain began with an overview of the neo-charismatic paradigm, and a detailed insight into the literature surrounding charismatic leadership. This led to the full discussion of the conceptual origins of the theory of transformational leadership, its translation to the organisational context, and the challenges of measurement. It also concluded by highlighting some of the recent directions in transformational leadership research.

And, finally, the section concluded with a brief summary of some of the key papers on context that were part of the process of the researcher sensitising himself to the literature, but this section was kept to a level in keeping with the overarching goal: to avoid the thinking becoming dominated by any particular overarching contextual model.

This lays the foundation for the next section: the research methodology.

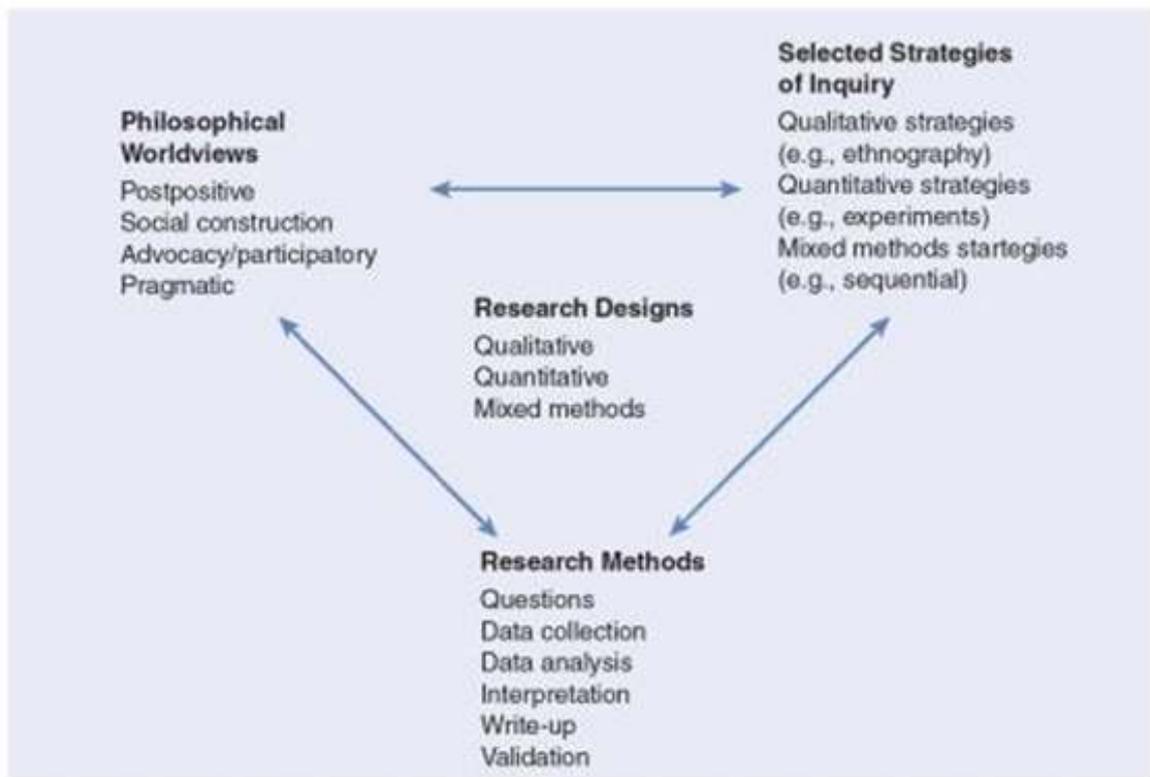
3. RESEARCH METHODOLOGY

Chapter 1 provided a very high level overview of the research design without providing any detailed theoretical foundation or logical rationale. It was noted that after decades of dominance of quantitative research in leadership a growing number of scholars had begun

calling for more qualitative leadership research (eg. Bryman, 2004; Conger, 1999; Parry, 1998). This author also declared his preference to frame a research question which lent itself to qualitative research. This influence of the researcher's preference on shaping the research strategy is acknowledged by Creswell (2009, p. 6).

The purpose of this chapter is to expand on the research methodology in a more substantive and theoretical manner. It describes the research design using a framework which reflects an interconnection of worldviews, research strategies and research methods (Fig. 3.1).

Figure 3.1: Framework for Research Design



Source: Creswell (2009, p.5)

3.1 Philosophical Worldview

3.1.1 Understanding Worldviews and Paradigms

The design of a study begins with the selection of a topic and a paradigm.

Paradigms in the human and social sciences help us understand phenomena

(Creswell, 1994, p.1)

So began Creswell's introduction to his publication on research design more than a decade ago. Paradigms are general frameworks or viewpoints (Babbie, 1995, p. 47). In the particular context of organisational studies a paradigm represents "a general perspective or way of thinking that reflects fundamental beliefs and assumptions about the nature of organisations" (Gioia & Pitre, 1990, p. 585).

While the term paradigm was popularised by Kuhn's (1970) seminal work on paradigms and the scientific revolution, the use of the term in the social sciences differs as outlined below.

Kuhn's (1970) work was directed toward understanding the influence of paradigms in the process of theory development and the scientific revolution. He argued that the scientific paradigm became entrenched in a way that effectively suppressed the emergence of a new paradigm until, eventually, the shortcomings of the old paradigm become plainly obvious. At this point a new paradigm emerges which supplants the old paradigm. Thus the migration of natural sciences from one paradigm to a new paradigm represents unequivocal progress: a shift from a false world view to a more correct view (Kuhn, 1970).

By contrast, in the social sciences paradigms are not supplanted in the same way. An alternative paradigm is simply that: an alternate way of viewing the world. A paradigm in the social sciences forms the lens through which we may view the world. Such a perspective will offer insights not available through an alternate lens but, in turn, will miss the view available from another perspective (Babbie, 1995).

More recently Creswell (2009) has adopted the language of 'worldview' as meaning "a basic set of beliefs that guide action" (from Guba, 1990, p. 17). While the term thus 'defined' is very broadly framed, "it is only those paradigms that guide disciplined inquiry that are of interest" in this context (Guba, 1990, p. 18).

Guba (1990, p.18) argued that the various paradigms can be characterised by the way they address three basic questions:

The ontological question	What is the nature of reality?
The epistemological question	What is the relationship between the researcher and the known?
The methodological question	How does the researcher gain knowledge of the world?

These basic questions have continued to shape our understanding of the researcher's world view and theoretical perspective since (eg. Creswell, 1994; Guba & Lincoln, 1994; Lincoln & Guba, 2000).

Creswell incorporates two additional questions in his articulation of the descriptors of the theoretical perspective (Creswell, 1994, p. 5; 1998, p. 75):

The axiological question	What is the role of values?
The rhetorical question	What is the language of research?

Lincoln & Guba (2000, p. 169) argue "that axiology should be included with basic beliefs". They also recognise 'voice' as an issue (p. 173) although do not see the need for it to exist at the same level of the traditional 'three basic questions'.

For the purpose of articulating the paradigm of choice for this research, the ontological, epistemological and methodological dimensions have been used. Adapting these to the framework of Figure 3.1 the ontological and epistemological dimensions represent the 'worldview' whilst the methodological dimension is reflective of the 'research strategy'.

There is an inherent interconnectedness between each of these facets of the inquiry paradigm as reflected in Figure 3.1: a decision on any one dimension imposes certain constraints upon the others (Creswell, 2009).

Guba & Lincoln (1994, p. 168) describe four particular inquiry paradigms, each with its own set of basic beliefs regarding the assumed ontology, epistemology and methodology. The four paradigms are described as:

- positivism
- post positivism
- critical theory; and
- constructivism.

Table 3.1 below describes the basic beliefs that underpin these four paradigms.

More recently, Lincoln & Guba (2000, p.168) have incorporated a fifth paradigm – participatory action research – in their updated table but this researcher regards this particular paradigm as not especially relevant to the current research. It does, however, reinforce the

point made above: the emergence of a new paradigm in the social sciences does not necessarily supplant an existing paradigm; it simply adds an alternate lens through which the researcher may view the world.

3.1.2 Adopting a Paradigm

The ontological question goes directly to the nature of ‘reality’. Does organisation structure exist? Is it real, or does it exist only in the minds of individual actors? Indeed, does an organisation exist or is it a mere abstraction? The issue depends upon one's worldview of what constitutes structure.

Section 2 provided a detailed discussion of four world views about the nature of structure. These were summarised in Table 2.1. The first of these four world views suggests that an structure is an abstraction from the behaviour of all the individuals and summaries of all different micro behaviours in time and space (eg. Collins, 1981; Homans, 1975). By contrast, Durkheim (1858-1917) would argue that organisations reflect a series of social facts or group properties that operate with ‘law like’ regularity independent of the influence of human agency.

This is reflective of Burrell & Morgan’s (1979) functionalist paradigm, however, these assumptions become problematic when there is change and “the existence of social ‘facts’ and the assumption of stability are called into doubt” (Gioia & Pitre, 1990, p. 587)

The latter two perspectives from Table 2.1 share a more structurationist approach that acknowledges both the ‘cause and effect’ nature of structure. Thus, a Marxian world view would argue that organisations are a nexus of connections that have an objective element that is external to and influences human action, but this ‘objective’ element is in turn influenced by human action.

Table 3.1: Basic Beliefs of Alternative Inquiry Paradigms

<i>Issue</i>	<i>Positivism</i>	<i>Postpositivism</i>	<i>Critical theory et al</i>	<i>Constructivism</i>
Ontology	Naïve realism – “real” reality but apprehendable	Critical realism – ‘real’ reality but imperfectly and probabilistically apprehendable	Historical realism – virtual reality shaped by social, political, cultural, economic, ethnic, and gender values crystallised over time.	Relativism – local and specific constructed realities
Epistemology	Dualist/objectivist; findings true	Modified dualist/objectivist; critical tradition/ community; findings probably true	Transactional/ subjectivist; value mediated findings	Transactional/ subjectivist; created findings
Methodology	Experimental/ manipulative; verification of hypotheses; chiefly quantitative methods	Modified experimental/ manipulative; critical multiplicity; falsification of hypotheses; may include qualitative methods	Dialog/dialectic	Hermeneutic/dialectic

Source: Lincoln & Guba (2000, p. 168)

Giddens would similarly argue a ‘duality of structure’, but from a quite different perspective:

structures can be analyzed as rules and resources which can be treated as 'sets' insofar as transformation and redistribution can be identified between the reproduced properties of social systems

(Giddens, 1981, p. 26)

There are strong similarities between these latter two concepts of structure. They share a notion of the duality of structure; but have a point of difference surrounding the nature of the structuring force. The Marxian analysis gives analytical priority to the objective aspect of structure, whereas the Giddens perspective above gives no explicit acknowledgment of an objective structure (Porpora, 1989).

Within this research, structure has been operationally defined to comprise both visible and invisible dimensions. The visible dimensions - the formal enduring mechanisms including vertical and horizontal roles and responsibilities and the formal decision systems – is strongly reflective of the Marxian perspective. It gives explicit acknowledgment to the ‘objective’ element of structure that influences and is influenced by the individual actors. The invisible structure incorporates Giddens notion of rules (Giddens, 1988): the normative rules and modes of behaviour that reflect the culture and the values. These rules are intersubjectively shared: embodied in one's practical consciousness. As such, these intersubjectively agreed rules exist beyond Giddens’ discursive consciousness of independent actors. Given these rules represent intersubjective agreement, one actor may not unilaterally change a rule: to do so would be to breach the intersubjectivity.

Giddens (1984) presents structuration theory as a means of bridging the functionalist/ interpretivist paradigms. Within the functionalist paradigm structure is viewed as stable, objective entity shaping the activities of organisation members in a fairly deterministic way (Gioia & Pitre, 1990). Within the interpretivist perspective, structuring is the product of intersubjective experience, where individuals develop patterned responses that represent structuring influences. Structuration offers a meta theory that embraces a duality of structure where structures are both constituted by human agency and at the same time are the medium of this constitution: constituted and constitutive (Ranson et al., 1980).

Gioia & Pitre (1990, p. 591) argue that structurationism presents a ‘bridge’ that overcomes the dilemmas of incommensurability whilst “offering the possibility of crating fresh insights” using a multi-paradigm approach.

On this basis, it is at least arguable that structure has a reality that reaches beyond the construction of independent actors. These intersubjectively held aspects of structure are likely to be ‘imperfectly apprehendable’. One could also argue that the ‘objective’ structure is similarly imperfectly apprehendable.

Given this is the researcher’s world view with respect to structure, how does this translate in terms of the ontological and epistemological questions. Within the literature there is a clear linkage between this world view of structure and the paradigm of ‘critical realism’:

critical realists are ... realists in the sense that they accept that socio-economic entities exist independently of our investigation of them ... the critical realist makes extensive use all the [often] unobservable entities such as social structures, causal mechanisms, social rules, relations and other entities

(Fleetwood, 2002, p. 35-36)

A critical realism ontology assumes that reality exists but is “imperfectly apprehendable because of the basically flawed human intellect and the fundamentally intractable nature of the phenomena” (Guba & Lincoln, 1994, p. 110). Critical realism contends (Tsang & Kwan, 1999, p. 762):

- The reality which it seeks to understand is the structures and mechanisms of the world rather than empirical events
- The underlying structures and mechanisms are only contingently related to observable empirical events
- Although scientific knowledge of social reality is never infallible, it is still possible to acquire such knowledge through creative construction and critical testing of theories

One of the original contributors to critical realism, Bhaskar began his work in this field writing under the label transcendental realism (later subsumed under the rubric of critical realism):

[transcendental realism] regards the objects of knowledge as the structures and mechanisms that generate phenomena; and the knowledge as produced in the social activity of science. These objects are neither phenomena (empiricism) nor human constructs imposed upon the phenomena (idealism) but real structures which endure and operate independently of that knowledge, our experience and the conditions which allow us access to them

(Bhaskar, 1998, p. 19)

What then is the relationship of the researcher to the known - the epistemological question?

Within the critical realist ontology the goal of the researcher is understanding (*verstehen*) of the meaning of social phenomena. This leads the researcher to what Guba & Lincoln (1994) labelled a *modified dualist/objectivist epistemology*. Schwandt (1994) describes this as interpretivist, and suggests, owing in part to unresolved tensions between their rationalists and romanticist roots, interpretivists wrestle with maintaining the opposition of subjectivity and objectivity, engagement and objectification. Thus, the researcher seeks to disengage from the first person subjective experience and objectify it. Schwandt (1994, p. 119) argues that within this middle ground the researcher must “avoid the subjectivity and error of naive inquiry through the judicious use of method”.

As noted, above, the critical realist believes there is a real ‘reality’ but that it is imperfectly apprehendable. But within the limits of human capacity a ‘warranted assertability’ is possible:

critical realists do not demand the truth of the proposition be justified, only that a person is justified in believing that the proposition is true. In other words, it ‘is reasonable to believe P [we are justified in believing P] if and only if P has withstood serious criticism’

(Bell, 1996, p. 43)

Huberman & Miles (1998) declare themselves as ‘transcendental realists’, which is subsumed under the more recent label of critical realists. Their explanation of this

world view is instructive for its simplicity in a world where these debates are often difficult:

Fundamentally, we think that social phenomena exist not only in the mind, but in the objective world as well, and that there are some lawful, reasonably stable relationships to be found among them. The lawfulness comes from the sequences and the regularities that link phenomena together; it is from these that we derive the constructs that account for individual and social life

(Huberman & Miles, 1998, p. 182)

Given this, how then is the researcher to ‘know’ structure? Guba & Lincoln (1994, p. 110) argue that the critical realist modifies the dualist perspective of the positivist, wherein the investigator and the researcher are assumed to be independent. Schwandt (1994) describes interpretivist thinking similarly, arguing "interpretivists wrestle with maintaining the opposition of subjectivity and objectivity, engagement and objectification" (Schwandt, 1994, p. 119). He goes on to describe a middle ground of methodology that “rejects certain negative characteristics of empiricist thinking but simultaneously holds that inquirers must avoid the subjectivity and error of naive inquiry through judicious use of method” (Schwandt, 1994, p. 119).

This approach does not deny the need for the researcher to ‘participate’ in the life world of others in order to understand the intersubjective meanings of human action. As Huberman & Miles argue, this approach “acknowledges the historical and social nature of knowledge, along with the meaning making at the center of phenomenological” (p. 182)

Thus, consistent with the critical realist perspective which assumes a real reality, however imperfectly apprehendable, the epistemology is modified dualist/objectivist.

3.2 Research Strategy

The research strategy defines the broad approach to the research: how can the researcher go about acquiring the knowledge that he or she requires in order to ‘know’ the answer to the research question? These are macro design questions,

beginning at the fundamental level: is it quantitative; qualitative; or mixed methods (Creswell, 2009)? The research question directs the researcher toward generative theory building or qualitative research rather than theory testing quantitative research. It is consistent both with the researcher preference for emergence and generation from the research data, and with the ontological and epistemological paradigm described above.

The key decisions in research strategy are then to be directed to the next level of detail. Given the research question and the overarching qualitative research strategy, what are the broad options ‘for going about acquiring the knowledge’ and which of these is best suited to the research question?

Tesch (1990, p. 59) offers an interesting typology of qualitative research strategies based on the focus of the research. In particular, is the research focused on the characteristics of language, the discovery of regularities, the comprehension of meaning, or simply reflection that the research seeks to unearth? The focus of this research is on identification of regularities – or otherwise – as a means of theory building around the influence of organisational context on leadership. According to Tesch’s (1990, p. 63) typology this lends itself to a range of possible research strategies, including: event structure analysis; ethnographic content analysis; ecological psychology; and grounded theory.

Grounded theory has received substantial attention in the literature and has been identified elsewhere as a suitable methodology for qualitative leadership research reflecting the nature of leadership as a social influence process (Parry, 1998). As noted in Chapter 1, there are now innumerable versions of what actually constitutes ‘grounded theory’ leading Whiteley (2004) to adopt the term ‘grounded research’ for application in the business setting. The theoretical foundations and the methods of ‘grounded theory’ are described below.

However, grounded theory does not prescribe or otherwise guide the researcher in terms of the sources of data from a strategic research design perspective. Again, as noted in Chapter 1, Bryman et al (1996, p. 355) identified four kinds of qualitative research in terms of their data sourcing: case studies, single or multiple; interviews with large numbers of leaders; or commentary on leaders and their practises.

In this instance, the researcher elected to adopt the multiple case study approach as the data source for the grounded research. The notion of ‘case study’ here has the meaning associated with Stake (2000, p. 435): “case study is not a methodological choice but a choice of what is to be studied”.

These next two sections provide a brief overview of the broad conceptual and theoretical foundations of these approaches. The details of the actual research method are described later.

3.2.1 From Grounded Theory to Grounded Research

Grounded theory, or more correctly ‘grounded theory method’, began with the original work of Glaser & Strauss (1967) as a response to rigid positivism (Suddaby, 2006). Grounded theory is, strictly speaking, “a theory that has resulted from the use of the grounded theory method” (Bryant & Charmaz, 2007, p. 3). However, for brevity and simplicity the phrase ‘grounded theory’ will be used to describe grounded theory method here.

Given grounded theory has become the dominant research method in social sciences (Bryant & Charmaz, 2007, p. 2) one might assume that there was at least a broad consensus on what constitutes the essential elements of grounded theory. This appears to be far from true. Bryant & Charmaz (2007) highlight the variety of ‘criteria’ that different authors have proposed establish the essence of the grounded theory.

One description of grounded theory argues that three features separate it from other research methods: “(1) theoretical sampling, (2) constant comparison of data to theoretical categories, and (3) focus on the development of theory via theoretical saturation of categories rather than substantive verifiable findings” (Hood, 2007, p. 163). This is consistent with the views of Suddaby (2006) who argues these principles violate some of the key tenets of the positivist school:

Constant comparison contradicts the myth of clean separation between data collection and analysis. Theoretical sampling violates the ideal of hypothesis testing in that the direction of new data collection is determined, not by a priori hypotheses, but by ongoing interpretation of data and emerging conceptual categories

(Suddaby, 2006, p. 634)

Parry (1998) similarly highlights the role of theoretical sampling in the grounded tradition. He also highlights the need for the researcher to bracket his or her experience, so that the researcher can see ‘with new eyes’; and the role of theoretical sensitivity to ensure appropriate application of the extant theory in developing emergent theory.

Specific details of the research method – data coding and analysis; theoretical sampling and saturation; and theoretical memos are described below in the section that details the actual research method.

For now, the case for the usage of grounded theory has been made by a number of authors. This section has outlined some of the key principles that appear to be integral to the methodology albeit these are as yet far from fully settled. It is appropriate now to examine the use of the case study to identify the source of the data for grounded theory research.

3.2.2 Case Study as the Choice of Research Source

There are at least two schools of thought surrounding the use of case study research. One school of thought is that championed by Yin (1994, p. 113) who defines a case study as “an empirical inquiry that investigates a contemporary phenomenon within its real life context, especially when the boundaries between the phenomenon and context are not clearly evident”. This school describes case study as a methodological choice whereas Stake (2000) applies the label to the choice of what is to be studied. It is this latter meaning to which this researcher is applying the concept.

Parry (1998, p. 92) notes that “grounded theory has much in common with case study research” [using the term as intended by Yin (1994)]. For example, case research adopts the same principle of ‘theoretical sampling’ as used within the grounded theory tradition (Eisenhardt, 1989, p. 537); and “a striking feature of research to build theory from case studies is the frequent overlap of data analysis with data collection ... field notes ... are an important means to achieve this overlap” (Eisenhardt, 1989, p. 538).

There are, however, important differences. Perhaps the most fundamental difference is the *a priori* approach constructing a preliminary theory before beginning the research (Yin, 1994, p. 27), specifying constructs to shape the initial design (Eisenhardt, 1989, p. 536). Gibb Dyer & Wilkins (1991, p. 617) note that Eisenhardt's approach starts "with a clear research focus, even with constructs and measurement instruments"; this goes well beyond the entry point for grounded research.

The other key difference is that case study research as a methodology may explicitly use both quantitative and qualitative data (Eisenhardt, 1989). Bryant & Charmaz (2007, p. 26) note that whilst grounded theory may be able to incorporate quantitative data "we would still hold to the generally accepted view that GTM is a qualitative research tool."

Stake (2000) describes three specific types of case study as the source of data:

- An 'Intrinsic' case where the researcher wants to understand the particular case:
- An 'Instrumental' case, where the researcher is seeking "to provide insight into an issue or redraw a generalization" (p. 437)
- A 'Collective case' which is essentially an instrumental case applied to multiple cases.

Single cases such as Stake's (2000) 'intrinsic' or 'instrumental' cases may be warranted where the case is *the* critical case in a particular research context; where the case is extreme or unique; or where it is likely to be particularly revelatory (Yin, 1994, p. 38-40). There are many instances where single case studies have made important contributions to the knowledge base across various domains (Eisenhardt, 1991; Gibb Dyer & Wilkins, 1991).

Multiple cases can be argued in pursuit of more compelling or more robust outcomes or for replication, where either the same results are expected, or differences may be expected for theoretical reasons (Yin, 1994, p. 45). However, the caveat to the multiple case exploratory studies is that the researcher makes a critical trade-off "between the deep understanding of a particular social setting and the benefits of comparative insights. The more contexts the researcher investigates,

the less contextual insight he or she can communicate” (Gibb Dyer & Wilkins, 1991).

It is important to note that case study research in the qualitative tradition is designed to generate insight and a future research agenda rather than generalisability that is the hallmark of the positivist research tradition (Yin, 1994).

3.2.3 Summary of the Research Strategy

This section has outlined the theoretical and conceptual foundations for the research strategy. The research strategy is qualitative, employing grounded theory as the means of data gathering, analysis and interpretation, and theory generation from within case study firms:

*The strengths of this approach are said to lie in its depth of inquiry
and its unimpaired interplay between theory and empirical data*

(Fendt & Wladimir, 2007, p. 437)

The specific details of the research methods, including details of the case study firms, are described in the following section.

3.3 Research Methods

Given the research question and overall theoretical and strategic research design articulated above, the ‘logistics’ of undertaking grounded research are widely recognised: selecting the case study firm(s); familiarisation and design of the data collection processes; data collection and management; data analysis, including coding, categorising and concept development; and the process of theoretical sensitivity to surface or emerge theoretical insights (eg. Creswell, 2009; Silverthorne, 2007; Whiteley, 2004). While these fundamental steps were followed, in practise the process is ‘more messy’ reflecting the iterative nature of the grounded research (Martin & Turner, 1986).

Glaser (2004, para 44) suggests the researcher “just do it ... as an open, generative and emergent methodology, GT [grounded theory] provides an honest approach to the data that lets the natural organization of substantive life to emerge”. Upon reflection post the research, there were probably moments when the researcher could well have ‘trusted’ the process more, but as an emerging practitioner a more

deliberative approach seemed warranted. As Suddaby (2006, p. 639) notes “many of the primary techniques of grounded theory research are developmental. That is, the quality of their application improves with experience”.

The remainder of this chapter describes in detail the specifics of the research process, including ‘rigour’ in this research.

3.3.1 Selecting the Case Study Firm(s)

The theoretical foundation for selecting case study firms is outlined above: the practical decision is ‘which firm(s) do we select?’ As Silverman (2000, p. 102) makes explicit, “very often a case will be chosen simply because it allows access.”

The ‘primary’ case study firm was selected on both theoretical and practical grounds: it was a firm that was in the midst of a transformational change which had the potential to make it ‘revelatory’ in Yin’s (1994) terms; and it was a firm which the researcher had a network linkage to that could make access possible.

Early versions of the research design contemplated an initial ‘in depth’ case study with this firm, with a subsequent multi-case comparative study across three distinct business contexts. Three events subsequently transpired that provided an opportunity to enrich the original research design.

Firstly, the opportunity arose to collect data from a much broader cross-section of the organisational leadership group in the primary case study firm. A group of about 100 of the leadership team would be together for a two-day leadership intervention, and permission was granted to use that forum as an opportunity for some initial data collection. This provided a much richer data source on the primary firm and broadened the data set beyond just interview data which appealed in terms of enhancing the rigour of the research (Parry, 1998).

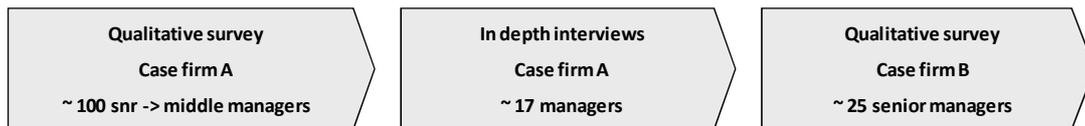
Secondly, it quickly became apparent that given the volume of data now available through the primary firm, to shift attention to three other fundamentally different business contexts would create a level of complexity that was beyond the resources and timeframe for this study.

Finally, post the detailed one-on-one interviews at case study firm A, the opportunity also arose to collect some additional data from another organisation from the same industry but at the early stages of a major transformational. This had

enough contextual similarities and differences to create an interesting comparative case study (Yin, 1994), albeit data collection in this firm was more circumscribed due to access conditions.

The result was that there were three distinct data capture opportunities spread across the two case study firms as shown in Figure 3.2 below:

Figure 3.2: Emergent Data Sources



The details of the data collection methods as signalled in Figure 3.2 are set out below, but first it is useful to describe the two case study firms and highlight the contextual similarities and differences as they were understood entering into the research.

3.3.2 Describing the Case Study Firms

The specific identity of the firms is protected for reasons of confidentiality agreed with the firms as part of the process of gaining access. As Baird (2004, p. 437) notes “entry into and acceptance in the organization are critical”.

The firms were both subsidiaries of one of the major global mining companies. The parent company’s market capitalisation was greater than \$USD50 Billion at the time of the study. Both firm’s mining operations are located in the remote north western part of Western Australia, with head offices in Perth, the capital of Western Australia.

3.3.2.1 Case study firm A

The firm commenced mining its main ore body in the 1980’s, and has a continuing mine life for several years to come. In the words of the firm itself:

the mine is characterised by a high level of efficiency, safety and productivity, coupled with a commitment to quality management, a skilled workforce and state-of-the-art technology.

[the firm] is committed to a number of key priorities that are essential to the success of its mining operations. These include the safety of all employees, the preservation of the environment and the development of strong and enduring relationships with local communities

(Source: Confidential)

The total workforce of the firm at the time of the study was several hundred, most of who were employed on the mine site. Because of its remote location the vast majority of the workforce, including study participants, operate on a fly-in/fly-out roster system. The roster system was quite complex, with different groups within the workforce operating on different roster systems.

At the time of the study the firm was two years into of an organisational transformation without which the operation would become uneconomic due to resource and cost issues. The organisation needed to continue the transformation to consolidate the recent changes and to produce further substantive changes to sustain the business into the next decade.

The Managing Director (MD) was the principal architect of the transformation. He was an intelligent, articulate, high energy individual who commonly talked of the need to lead with passion, energy and enthusiasm: he was a strong role model for this behaviour. The following remarks, taken from detailed field notes of an address by the MD to his leadership team, provide an insight into the leadership style of the MD and the organisational challenges.

On the nature of the change program:

this is an internal change program ... if the change is simply a response to external stimuli we are following, not leading ... leaders act because it is the right thing to do

On the nature of leadership and the challenges confronting the leadership team:

I am honoured and flattered by the positive feedback on my leadership ... but I cannot do this alone. It requires verve, passion and inspiration leadership is about giving more than you take, and that includes energy ...

we are about attracting willing investors, not entrepreneurial hostages - this is a game of mediocrity. Willing investors are emotional investors. What are they investing in? They are investing in our leadership product. But they have to see it, have to feel it. If they can't, they are not going to invest in it.

Willing investors are all leaders ... engaging in leadership in their own right. The leadership cadre is not just the people in this room

During his address the MD moved about the group, presenting in a passionate and animated way which captured the attention of the entire leadership team.

The Managing Director agreed to give the researcher full access to his management team to undertake this research.

3.3.2.2 Case study firm B

Firm B also operates largely in broadly the same geographic region: in the northwest of Western Australia. It has a multiple long life, large scale open-cut mining operations in that region, supported by an integrated rail and port infrastructure system: the rail system represents one of the largest private railways in the world.

At the time, its workforce was around five thousand employees. However, its regional geographic position is different to Firm A resulting in a combination of residential and fly-in fly-out operations. Thus, at least some of its employees do not suffer the same degree of physical isolation that is experienced by firm A employees.

At the time of the research intervention Firm B had initiated what was heralded as a major transformation to reassert itself into an industry leadership position. It was seeking to simultaneously drive through globalisation of the operations; a fundamental cultural shift toward a 'lean' culture; accelerate the next generation technologies for mine operations; and simultaneously, a drive for massive expansion of its current operations. At least one challenge confronting this transformation was that business was experiencing unprecedented growth and profitability: not the usual 'burning platform' that is widely touted as the catalyst for transformation

The CEO as sponsor of this transformation was a clear contrast to the previous firm's counterpart. In a presentation to his extended leadership team, his rallying message was "Deliver, do it better, be the best" (Source: confidential). This arguably lacks the emotional appeal of the language of the MD from Firm A. The researcher has watched both these executives over a period of time, and in leadership style, energy and language the executive of Firm B does not have the qualities one usually associates with transformational leaders.

3.3.2.3 Comparing the Firms

The two firms are both similar in some important dimensions, and yet present a contrast in other dimensions.

The contextual similarities include:

- The firms have the same parent company so the 'corporate' cultural dimensions are likely to be similar
- The firms operate in a similar physical context – remote north-west of Western Australia – albeit Firm B has a mix of residential and fly-in/fly-out workforce
- They are mature operating businesses

The contextual differences that are immediately obvious include:

- The position in the change cycle: firm A is well down the transformation pathway, whereas Firm B has just embarked on its transformation
- Firm A has a clear, urgent imperative: without urgent transformation the business will not survive. By contrast, the urgency for Firm B is difficult to articulate: the transformation is being initiated in a period of unprecedented organisational success
- In terms of scale as measured by workforce size, Firm A is nearly an order of magnitude smaller than Firm B. This has implications in terms of levels of hierarchy and the dimensionality of the leadership group.

3.3.3 Qualitative Surveys – Design & Data Collection

The term ‘qualitative survey’ is not commonly used in the literature: survey is more usually associated with the positivistic research tradition (Miles & Huberman, 1994). The term is used here to connote a survey in which the respondents are asked to give their responses in descriptive word form rather than as a numeric rating against a pre-determined range of constructs. This is in keeping with the qualitative tradition, where data is usually in the form of words rather than numbers: “words ... have a concrete, vivid, meaningful flavour that proves more convincing to a reader ... than pages of summarized numbers” (Miles & Huberman, 1994, p. 1).

The choice of which tools to employ depends on the goal of inquiry and the questions to be asked, which in turn depend on the context (Denzin & Lincoln, 2003, p. 3). However, the choice of the specific investigational method is influenced by a range of factors: some of them ‘technical’, but also influenced by other factors such as logistics, access and timing. The ‘best’ method may fail “because participants object to its use for some reason, for example because it is politically or ethically unacceptable” (Brown, 1992, p. 288).

So it was that the researcher determined to use qualitative surveys as a data collection tool with Firm A when an opportunity arose to ‘sample’ the views of 106 managers during a two day leadership forum ahead of the researcher’s entry to the business to undertake the detailed interview phase. The context required that the data collection be minimally invasive in terms of the program flow, which inevitably meant in terms of the time required for respondents to participate.

Notwithstanding this constraint, good design begins with clarity around intent (Miles & Huberman, 1994). The design intent was to elicit respondents’ descriptions around the focal issue: the presence of structural barriers to transformational leadership and the influence of organisational context within the qualitative tradition: to secure a ‘rich description’ of the respondents’ world (Denzin & Lincoln, 2003, p. 5). A specific goal was to establish at a macro level whether structural barriers were, indeed, significant in the minds of the respondents.

Given this, the survey instrument shaped the respondents’ focus on transformational leadership by asking them to recount an experience where the respondent was part of a team that produced extraordinary results ‘beyond expectations’, and asking

them to identify what the leader did on those occasions to contribute to that outcome. Having thus located the respondent in the mindset of transformational leadership, the respondents were then asked:

if you had a 'magic wand', were King/Queen for a day, what three things would you change that would have the most impact in terms of shifting you to the right [i.e. improving their transformational leadership] on the scale above. It doesn't have to be physically achievable (for example, you may want to become more physically attractive) - the only criterion is that it is designed to shift you to the right on the scale above

Importantly, the researcher deliberately chose not to ask directly about 'structural' barriers, choosing instead to allow the respondents' in this instance to identify *any* potential barriers. This is in keeping with the grounded theory tradition of allowing the issues to emerge from respondents (eg. Glaser, 1998; Whiteley, 2004).

Time did not allow piloting of the survey instrument. However it did go through a number of iterations based upon researcher judgement and feedback from colleagues and the research supervisor.

The researcher distributed the instrument during the first day of the workshop and gave a brief overview of its purpose and intended usage, reinforcing the anonymity and confidentiality of the responses. The respondents were then given 5-10 minutes to complete the instrument, at which time the instrument was collected by the researcher. Some preliminary analysis was undertaken overnight and fed back to the group next day as agreed.

The actual instrument used with Firm A is shown at Appendix A.

The opportunity arose later to capture similar qualitative survey data from the second case study firm – Firm B – during a strategy workshop of the senior leadership team. However, in keeping again with the grounded theory tradition, the survey instrument was adjusted to reflect the different context and the insights that had emerged during the course of the study to date (Whiteley, 2004). In particular, it had become apparent from the early data analysis from the qualitative survey of Firm A that structural barriers (or enablers) were a real phenomenon. Thus, the goal was to focus respondents on the organisational rather than personal factors:

respondents were therefore explicitly asked to identify organisational changes they would make to allow them to become more transformational leaders. Again, by way of locating respondents in the world of transformational leadership, they were first asked to comment on the extent of the organisational change anticipated in their business strategy, and to identify the most significant leadership contributions they could make to the success of this strategy. Given this positioning, respondents were then similarly asked to identify those organisational changes they would make that could allow them to become ‘more transformational’ leaders.

The actual survey instrument used with Firm B is shown at Appendix B.

As case study selection is often determined by availability (Silverman, 2000, p. 102), so too was this the case for the selection of respondents to the qualitative surveys within the firms. In both instances the sample group was determined by simple logistics: leaders that were part of the forum were invited to contribute. It was not statistical sampling, nor particularly either theoretical or purposive sampling. However, the resultant sample group in both instances produced a broad cross section of the organisations.

The other substantive element of design in the data collection process was the design of the interviews for the primary case study firm – Firm A.

3.3.4 Designing the Interview Process

Creswell (1998) identifies four basic types of information that can be collected, whilst acknowledging the range is growing: observations; interviews; documents; and audiovisual materials. He notes “interviews play a central role in the data collection in a grounded theory study” (p. 122). Parry (1998, p. 96) suggests “an interviewing strategy should be the core of the data gathering strategy for grounded theory research into leadership”.

Creswell (1998, p. 123-124) offers a step wise protocol for interviewing: identify interviewees based on purposeful sampling (eg. Silverman, 2000); determine the most appropriate interview type; design the interview protocol; establish the location for the interviews and seek the appropriate consent; and then stick largely to the interview protocol, being respectful and courteous.

These steps are broadly discussed with reference to the literature below before describing the application of this protocol in practise, starting with a discussion of the sampling protocol.

Morse (2007, p. 235) identifies three distinct sampling methods in grounded theory: convenience sampling; purposeful sampling; and theoretical sampling. Convenience sampling is based on selection of participants on the basis of accessibility. She argues this is acceptable in the formative stages of the research, but argues the researcher needs to move on from there once the research begins to develop. Purposeful sampling is the selection of a case “because it illustrates some feature or process in which we are interested” (Silverman, 2000, p. 105): critics consider this “the greatest weakness of qualitative inquiry” (Morse, 2007, p. 238). Theoretical sampling is one of the central tenets of grounded theory. Glaser (2004, para 52) describes theoretical sampling as “the process of data collection for theory generation whereby the analyst jointly collects, codes and analyses the data and decides what data to collect next and where to find them in order to develop the theory as it emerges.”

In practise, the sample group for the interviews in Firm A was largely convenience driven. This was due to the isolated location, requiring the researcher to travel to site at the cost of the case study firm, and a limit of a single site visit. One of the potential limitations with a convenience based protocol identified by Morse (2007) the potential early termination due to premature closure. Saturation as a theoretical construct is widely described in the literature, but not with any great clarity for the emerging researcher. For example, this quote from the literature describing when one is to stop collecting data: “the answer is deceptively simple. One stops when one no longer needs to continue” (Holton, 2007, p. 281). By contrast “the concept of theoretical saturation is as difficult to explain as it is for most researchers to understand” (Hood, 2007, p. 161). The researcher will explain how he satisfied himself below.

The greater potential limitation was the inability of the researcher to ‘discover and explore’ emerging themes with respondents as the coding and analysis unfolded. This was compounded, again by logistics, by the need for the researcher to conduct all the interviews during a single site visit, thus limiting the opportunity for the researcher to adapt the interview format during the site visit.

The trade-off is that the researcher has been able to gain access to an incredibly rich data set from a real world setting of a business steeped in a transformational change. This lends itself to adopting the labelling of Whiteley (2004): ‘grounded research’ for the business setting, as distinct from grounded theory.

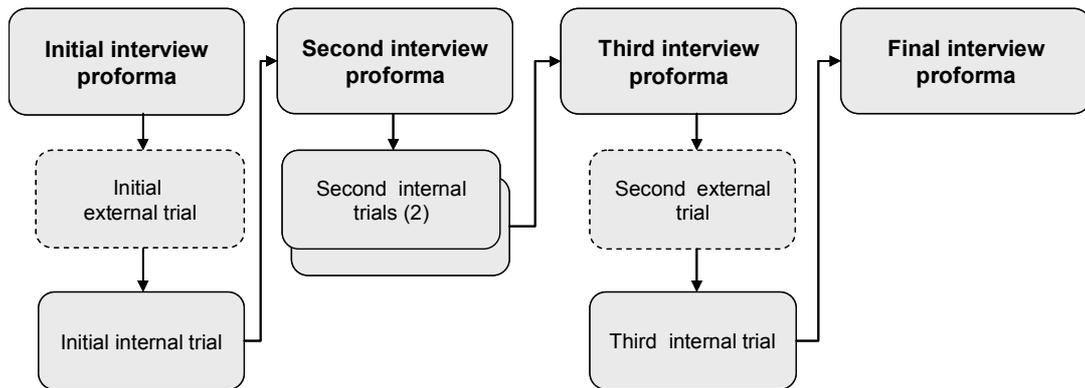
The next stage of Creswell’s (1998) process is to determine the best type of interview and design the interview protocol. Interview types range from highly structured interviews through to exploratory interviews, with a mid-range that includes either a specific range of questions, asked in a very open format, or some specific topic areas to be covered, with the exact format and sequencing determined during the interview (Chadwick, 1984, p. 104).

On balance the researcher elected to adopt an interview strategy which was largely based around specific but open questions, with increasing specificity as the interview unfolded. This gave the opportunity for the respondent to reveal commentary that was germane to the research topic from within his or her own stories rather than responding to an explicit prompt, but it also gave the researcher the assurance that all respondents would, ultimately, address specific questions on structural influences on transformational leadership.

Consistent with this approach, an interview guide was developed and refined through a number of trials consistent with good practise (Chadwick, 1984) to enable the researcher to gauge the effectiveness of individual questions in opening up a conversation or respondent’s story that might contribute substantively to the research goals, and to check the overall flow of the questions so that the transition from one to another can flow relatively seamlessly. Interview data captured during these trials was used solely for evaluating the interview design: it was not incorporated in the study results. The use of external parties as trial participants was driven by a desire to ensure that not too many of the potential case study participants were used in this phase which contributed to design rather than to final data collection.

The iterative process by which the interview guide evolved is shown schematically below.

Figure 3.3: The Development of the Interview Proforma



As a method of evaluating the appropriateness of a question, and to enable reflection on the success or otherwise of the interview design the interview proforma made explicit the intent of each part of the interview and the evaluation of its success recorded.

An extract of the penultimate version of the interview guide is included at Figure 3.4 overleaf to display the way in which this reflective design process worked for the researcher. A full copy of this version is also included at Appendix C, with the final version of the interview guide at Appendix D.

3.3.5 Data Collection – Interviews

Interviewing is one of the most basic forms of data gathering

(Chadwick, 1984, p. 22)

The major theoretical work that shapes the approach to data collection in the interview phase is embedded in well defined and understood ‘rules’ that govern interview processes to ensure the interview process has the best possible chance of delivering information and insight. The primary task is to engage the participant in a ‘real’ conversation: motivate them to open up, to participate fully in the dialogue (Chadwick, 1984).

The respondent must feel the interview worthwhile, and at the very least the experience should be a pleasant experience for the respondent. The researcher must be able to satisfy the person of the appropriate confidentiality and anonymity measures (Chadwick, 1984).

Whiteley et al.(1998) highlight the need to pay attention to a number of factors that may not be otherwise apparent: paralinguistics (the dynamics of language and expression); proxemics (the management of personal space); gender (affect on researcher/respondent dynamics); status (and relative status); and timing.

The issue of tape recording the interviews for later transcription is a moot point in the literature. Some writers suggest tape recording can act as a barrier both to free exchange and drive a transcript driven process rather than a genuine social process

Figure 3.4: Draft Interview Proforma with Reviewer Reflections

Draft Interview Protocol: Version 3 – Page 1

Questions	Purpose	Reflections
Introduce self; explain broad purpose; assure confidentiality and anonymity; establish rapport.	General introduction	
Could you please explain your role in the organisation eg. Nature of the job; number of direct reports; time in the position; time with the organisation	Allows respondent to warm up with a simple, easily answered question. Also gets the basic demographic information out of the way.	Works well – no changes needed
Over the years who do you think has most influenced your own leadership style? In what way has this person influenced your style?	Allows the respondent to begin to feel comfortable espousing theory of leadership indirectly, ie. describing another person's leadership influences rather than their own	Worked well, respondent identified a couple of specific lessons of leadership. However, not adding great value towards the research question
I am interested in a deeper understanding of your job. Could you tell me about a typical day in the last week? Describe the day in detail, from the time you arrived at work until the end of the day –	This question gives us insight in-to at least a couple of relevant dimensions. Firstly, the description of the day will give us some insight into the extent to which the respondent's job design controls his/her day: e.g. is respondent's day dominated by external/structural forces or is it within his/her control.	For the sake of efficiency, will cull this question.
-What did you do? Why?		The particular respondent gave an extraordinarily detailed account of his day. The result is a very good insight into the job, but as presented by this respondent at least the value was probably outweighed by the cost in terms of time.
-Who did you speak to? What about?	Secondly, the nature and content of the conversations will enable us to attribute a leadership style: either transformational, transactional, laissez-faire or some composite.	For its insight into the job, I want to try and retain this question , but I need to frame it in a way that limits the time the respondent takes to answer.
What were the most significant conversations you have had with your boss in the last few months?	Again, serves two purposes. Firstly, allows some insight into the leadership style of the respondent's boss, and the felt influence on the respondent.	This worked well in terms of giving some insight into the style of the respondent's leader. In this particular case, one might interpret the respondent's leader as laissez-faire.
-Describe the conversation		
-How has their conversation influenced the way you go about your job? Can you give me an example?	Secondly, as interviews are conducted down three tiers of a leadership nest, we can test for agreement or otherwise on significance of leadership conversations.	On reflection, may not have pushed hard enough to elicit the influence of this had on the respondent-need to work this harder when I use this question.

(eg. Glaser, 2004). Others suggest tape recording is almost mandatory (eg. Creswell, 1994)

The interviews were held on the site of the operating business over a three day period (21-23 October 2003) in a room allocated for the process. The room was private allowing respondents could speak without fear of being overheard. The room set up allowed the researcher to sit diagonally across from the respondents, enabling him to manage the proxemics without a physical barrier between him and the respondents.

The researcher has many years experience in interview processes through management consulting practises, allowing him to draw upon a repertoire of skills to put respondents at ease. He also has an easy familiarity with the industry and its jargon, allowing him to quickly ease into conversational mode using appropriate language and intonation to engage respondents.

Only one respondent was female due to the lack of women in these managerial roles on site. She was accustomed to working in male dominated environment and there was no evidence in her verbal or body language to suggest she had any difficulty in engaging fully in the interview process: she offered many insightful observations which suggest she was fully engaged. One could hypothesise that a female researcher may have uncovered insights that were not offered to this researcher – including, if not especially, with the male respondents – due to gender related issues. This researcher can do nothing more than note that possibility exists.

On the question of tape recording, the researcher judgement was ultimately given the context of the research it seemed prudent to tape the interviews. In opening the early conversation with respondents the interviewer assured them of confidentiality and anonymity. The rationale for the use of tape recording was explained to each respondent, along with instructions that invited them to turn the recorder off at any time. All interviews were recorded with the respondent's permission. The researcher is confident that the presence of the tape recorder did not materially affect the data capture process.

The recording of the interviews allowed the researcher to give his full attention to what was being said, although the researcher's personal practice was to take some

notes during interviews. The researcher's personal experience is that note taking provides an means of remaining focused on the respondent's commentary: it gives a more active orientation to listening. It also aids recall of remarks made by respondents that gave the researcher added context when later reviewing transcriptions.

On reflection, given the challenges of conducting effective interviews, the researcher was confident the respondents were at least reasonably if not fully engaged.

3.3.6 Finalising the Data Collection – Interview Transcripts

There is a strong presumption in the literature that interview transcripts should be 'verbatim' accounts of the interview (Patton, 1990). Poland (1995, p.14) notes that the implicit notion that 'verbatim' translates to a faithful reproduction of the aural record of the interview, but argues that this perspective excludes the emotional content of the interview. Even when the transcriber attempts to remain faithful to the aural record there are a number of potential errors that can alter the meaning of the text. Errors can occur due to judgement errors in the course of the transcription; failure to recognise when people are paraphrasing others; errors of omission; and mistaking of words or phrases for similar expressions (Poland, 1995, p. 21).

In practise, the audio tapes become a primary data source from each interview. These audio tapes were transcribed by a professional transcriber to convert them into a word format that was amenable to analysis. Each one-hour interview approximately five hours to transcribe.

The researcher then reviewed every transcript against the original audio record as a means of ensuring data integrity. Despite the use of a professional transcriber, her lack of contextual knowledge of both the mining industry and the specific subject area gave rise to some interesting alternative interpretations of what was said: viz.

Transcript as presented ...

“Have our leadership meeting with all our team leaders and *sit by as we start* and take that forward”

What was actually said ...

“Have our leadership meeting with all our team leaders and *supervisory staff* and take that

forward”

In talking about training packages...

“it is really about having met the
miracle sort of things”

“it is really about having met the
minimum competency”

These examples highlight the importance of contextual understanding in interpreting audio tapes. Correcting transcripts required typically 2-3 hours per transcript of the researcher painstakingly listening closely to every audio tape whilst reading the transcript. Often the words were difficult to hear clearly and require a good understanding of context to arrive at what appeared to be the intended meaning.

The final revised transcripts, which became the data, represented the best interpretation of the interview possible. Whilst it is clearly arguable that the transcriptions are still not absolutely accurate, they represent, nonetheless, a credible reflection of the interview content.

Note that one interview was deemed by the researcher to be unusable due to the poor quality of the audio record. This particular respondent was unclear and spoke too softly to allow more than partial capture of the interview by the transcriber. The researcher was also unable to significantly improve the quality of the transcription.

The next phase of the research method is data analysis. The theory and practise of data analysis are described below. Integral to effective data analysis and rigour in qualitative research is an effective data management protocol.

3.3.7 Data Management & Analysis

For the reader it is simpler to provide theoretical and practical details of the data management aspect first as it makes it easier then to explain the process of data analysis, constant comparison and the emerging of the themes.

Huberman & Miles (1998, p. 180) define data management as “the operations needed for a systematic, coherent process of data collection, storage, and retrieval”.

This researcher finds this definition becomes too all embracing to be useful as a practical element of the research methods.

More simply, Seidel & Clark (1984) describe two basic parts of data management: the mechanical part, and the interpretive part. The mechanical part involves simply the physical systems and processes for storing and retrieving the data, and for physically manipulating the data to reflect the analysis undertaken by the researcher.

Silverman (2000) describes the value of computer-assisted analysis of qualitative data (CAQDAS), highlighting its value in terms of its ability to process large amounts of data quickly, improving rigour in research, and helping with sampling decisions (p. 155). Parry (1998, p. 90) notes there is strong anecdotal support among researchers that the use of computer software to maintain large data sets should be “mandatory for good scientific grounded research”.

One program in particular that has been developed to meet the specific needs of grounded theory is ATLAS.ti (www.atlasti.de) which combines textual analysis with graphical representation. It includes the capacity for coding textual data, and creating networks which display the coding and allows the researcher to link the various codes (Muhr, 2004). It also allows the researcher to create memos – an important element of grounded theory – which can also be coded as part of the analytic process consistent with grounded theory (eg. Glaser, 1998; Martin & Turner, 1986).

Huberman & Miles (1998, p. 188) also highlight the power of effective graphical representation, noting that “valid analysis is immensely aided by data displays that are focussed enough to permit viewing of a full data set in one location”.

In practise, ATLAS.ti was used as the primary research data management tool. The researcher found it quite intuitive, and allowed the rapid “code and retrieve” element as described by Silverman (2000, p. 162). Most importantly, the text retrieval function allowed the research to actively engage in a process of constant comparison through constant recall of the text associated with individual codes. This also gave rigour to the process allowing the researcher to constantly compare the “common sense meaning” (Silverman, 2000, p. 162) of each instance of a particular code to ensure the consistency of meaning. The memo tool was

particularly useful, especially in the context of this particular research process where there were significant time lapses between periods when the researcher was able to commit substantive time to pouring over the data. There was nothing quite so valuable as being able to return to recent memos and remind oneself of the thinking at the previous sessions.

A second software package was used specifically to support the display of the content in a fashion that allowed Huberman & Miles (1998) viewing of a full data set on one page. Mindjet MindManager (www.mindjet.com) which provides a powerful means of organising and displaying data with a mapping function that allows a much simpler, cleaner graphical presentation and allow the researcher to more intuitively adjust clusters of codes. Most importantly, it has a function that allows the researcher to expand or contract the levels of display. The package also has a number of functions that support the qualitative researcher in a similar way to the ATLAS.ti package: it allows the researcher to add visual cues, add attachments and notes and link other documents. For example, a category that emerged around ‘collaborate and communicate’ was able to be annotated with the following researcher remarks:

Note the tone of these responses signals more collaboration, whereas in [Firm A] work the "equivalent" responses were more about "support" ... this is suggestive of differences in levels of work. At the VP level, they need to work across the organisation more to drive strategic change, whereas at the levels of the respondents in [Firm A], their role in implementation of strategy is largely within specific functional domains

(Extract from researcher annotations)

These notes provided a valuable means of the researcher capturing remarks or observations as he managed the process of constant comparison.

However, MindManager lacks the direct text management function that is so powerful for ATLAS.ti. In practise, the researcher used the ATLAS.ti software to create draft code network maps, and then using the text retrieval function

constantly compared the codes and meaning, before refining the networks using the MindManager package.

Working the two packages in collaboration allowed the researcher to achieve simplicity and effectiveness in displaying the networks and coding, whilst retaining the textual linkages.

Given this outline of the data management tools, it is now possible to explain the data analysis process.

Seidel & Clark's (1984) 'interpretive part' involves what Martin & Turner (1986) describe as the process that moves from data to code, category and concept, and a data management process, part of what Silverman (2000, p. 162) labels "code and retrieve". The interpretation and analysis of the data is described in more detail below.

Data analysis is based upon the principles of grounded theory research as modified for the business and organisational setting (eg. Martin & Turner, 1986; Whiteley, 2004). Grounded theory posits that the theory emerges from localised experiences and accounts leading to "the discovery of theory from data" (Martin & Turner, 1986, p. 142). May (1994, p. 10) rejects that view: "we talk about 'emerging from the data' – which is garbage. We DRAG it out of the data". She goes on to argue that "rigorous implementation and explication of method alone never explains the process of abstract knowing" (p. 13). Despite calls for the researcher to bracket his or her experience, the researcher clearly cannot approach the research *tabula rosa* having freed their minds from any theoretical preconceptions whatsoever (Kelle, 2007, p. 197).

Coding is a core process by which the researcher makes sense of the textual data in grounded theory (Morse, 1994a). In this sense, the text is used as a window into the human experience in the sociological tradition rather than the linguistic tradition (Ryan & Bernard, 2000). Codes are "tags or labels for assigning units of meaning" or more simply "coding is analysis" (Miles & Huberman, 1994, p. 56). Through the use of coding it is possible to identify common units of meaning occurring at discrete times or from different sources, thereby permitting analysis around that meaning (Martin & Turner, 1986).

While Glaser (1998) and Strauss & Corbin (1998) have argued around the use of ‘open coding’ – coding which is open to the meanings that emerge from the data – versus ‘axial coding’ – which seeks to make links between categories and codes around the axes of central categories – Miles & Huberman (1994) suggest an alternative: the creation of a ‘provisional code’ list based upon, *inter alia*, the conceptual framework, the research questions and key variables that the researcher brings to the study. More recently has emerged the label of ‘common sense categories’, which does not force data, but “refer to topics of interest contained in the data”, drawing on general commonsense knowledge (Kelle, 2007, p. 209)

Suddaby (2006, p. 638) warns of a potential neurotic overemphasis on coding which produces “a nice set of conceptual categories that, in the process of routine data analysis, become divorced from both the data and the research question”. Glaser’s (2004) concept of theoretical sensitivity is intended to protect the research process against the excesses of coding.

The grounded theory method prescribes specific strategies for working with data to emerge the theory. Through this process the researcher initially codes the data, then in an iterative cycle moves back and forth between levels of abstraction: initially creating categories of meaning, and then shifting to higher levels of abstraction to emerge concepts. But importantly this is not a simple linear process: the researcher moves back and forth between categories and concepts in a process of constant comparison, refining understanding and searching for a coherence of meaning that is loyal to the original utterances that first emerged as codes (Martin & Turner, 1986).

Constant comparison refers to the process whereby incidents or concepts are compared against each other and among themselves. The comparison of concepts against concepts is to establish a best fit of possible concepts against the underlying data and categories that make up the concepts (Glaser, 2004). It is through this constant interplay between the data, the categories and emerging concepts that the researcher lifts to more theoretical levels of abstraction (Suddaby, 2006).

Finally, memoing is a valuable element of grounded theory (eg. Glaser, 1998; Hood, 2007). Three different types of memos are identified in the literature: code notes; theory notes; and operational notes (Ryan & Bernard, 2000). Code notes

describe the concepts that are emerging; theory notes begin to explore the researcher's understanding of what is going on in the text; and operational notes refer to practical issues occurring during the research (p. 783).

The first substantive data analysis was undertaken with the data from the qualitative survey from Firm A. The key phrases used by respondents in answering this question represent the raw data of this part of the research. As such, they were transcribed almost verbatim onto index cards, with a separate card used for each theme within each response. There were 280 index cards which represented the phrasing used by respondents – effectively in vivo coding. The researcher chose to use this manual method at first instance to enable him to 'see the whole data set'. The capacity of the human mind to look over a vast data set and somehow 'see' the whole set at once is remarkable.

The index cards were then sorted into monothematic clusters. The cluster structure of the cards underwent a number of iterations until the researcher was satisfied the structure had an inherent logic. This was through a process of constant comparison, with the researcher asking himself: what does this card mean? Sometimes it is obvious: wish I was a better public speaker. At other times, the brevity of the responses made it difficult to properly interpret the meaning. For example, does 'better communication' mean the respondent was wanting to be a better communicator, or was he or she signalling they wanted to receive better communication. Sometimes the respondent's other comments gave a clue which assisted interpretation, but at the end of the day there remained a number of cards for which it was not possible to 'see' behind the phrase.

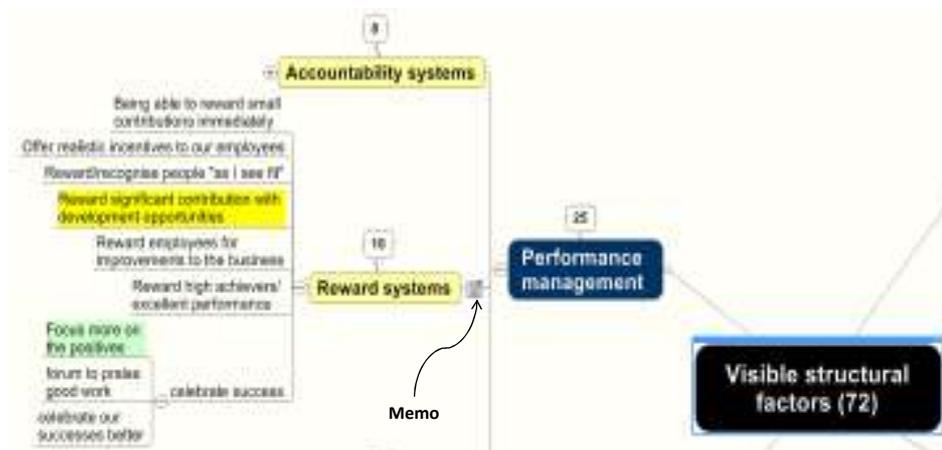
The data was then transferred from the cards into MindManager software to record and display the data. In the process, further refinements were incorporated into the data structure. Within MindManager each cluster was attributed a category label. For example, the following responses were clustered under a category labelled *reward systems*:

- i) reward for effort
- ii) better reward systems
- iii) reward and recognise people as I see fit

In some instances a number of these first order concepts logically combined to produce a second order concept. For example, the first order category *reward systems* (above) were combined with two related first order concepts: *accountability system* and *deal with performance* to produce a second order concept that was called *performance systems*.

In turn, categories were aggregated when they were judged to relate to a higher-level overarching theme. Figure 3.5 shows the results of this data clustering and aggregation method that produced a construct label *performance management*.

Figure 3.5: Extract of Construct Map



Note the use of a memo on highlighted on this display. By way of example, this memo is an example of a ‘theoretical memo’ as it begins to explore what might be sitting behind the data as illustrated in the extract below:

this suggests that the respondents see reward within a narrow formal system: one might suggest this reflects a constrained view of leadership and the potential role of informal feedback and recognition

It also carries connotations of the formal exercise of power - the ability to reward ‘as I see fit’ and the ‘immediate’ rewarding of contributions

(Extract from researcher notes in MindManager)

This process continued through a number of iterations until, again, the researcher was satisfied the category and theme labels appropriately reflected the empirical data. Once the process was completed, a summary model was created to display all of the constructs.

The same process coding, categorising and developing of themes through a process of constant comparison was employed with the data from the qualitative survey data from Firm B. The decision was made in the first instance to not attempt to ‘force’ the data into the same categories and themes that emerged from Firm A. However, after the categories and themes were constructed, there was a process of synthesis and constant comparison occurred as the researcher sought to bring the data together, along with the data from the interviews. This is described in more detail below.

The greater challenge lay in the application of this method to the vast data repository that was the textual record of the sixteen interviews. While the researcher was cognisant of the advice of writers in the field to avoid the collection of a vast array of data before substantive coding and the emergence of some of the early theoretical codes (eg. Silverman, 2000), as outlined above, the logistical constraints mitigated against a more episodic approach to data collection, analysis, and re-entering of the field to further refine the data collection through a process of theoretical and purposive sampling. This has been identified as a weakness but one which the researcher was prepared to accept for the trade-off of receiving direct access to a leadership team engaged in a transformational change process.

The challenges that confronted the researcher are reflected in some of the memos that he developed during the research process: viz.

From despair:

Running into a challenge again. Have I done the coding in the most efficient way for this next stage have tended to code around paragraphs, but in turn that same paragraph can have multiple meanings within it. Sometimes would be possible to code more tightly, other times not (sometimes the respondent rambles a little).

how do I overcome this issue? Is there a user forum where I can pose questions? Must check that with Des.

To work in progress:

Finished final coding first cut on 29 July. Begun reviewing and refining today. First pass, just printed out a coding report showing a complete list of the codes and the no. of times it appears in each PD. From this begun refining: merged a few codes eg "back to basics" with "business basics"; and "budget" and "budget blow out". Likewise, also split some codes eg. became apparent that change in focus and changed management style both overlapped, and within there was also some differences. For example, some of the quotes refer to individuals making changes, others referred to changes in the overall organisational style. These were split out into two different codes.

To almost euphoria:

Feel like I'm hitting my straps now. Have used levels of groundedness as a proxy for a first cut on importance, but then print off the quotes and review in detail. Am finding that some of the coded quotes are not really tightly connected to the overarching theme ... and then unlink these. Also find that the code is too broad, so begin the process of unpacking these codes to arrive at better coded descriptors that are then connected to the original code. The result is that the groundedness reduces, but density begins to increase

What is in evidence here is not only the challenge but also the process of constant comparison, whereby the researcher is seen to be constantly challenging whether the coding is appropriate, reflective of the underlying meaning and consistent with other textual examples.

The final breakthrough came when the researcher dropped the “neurotic overemphasis on coding” (Suddaby, 2006, p. 638). At this point, the researcher began to interrogate the text and coding around the focal questions within the interview format, and from that emerging structure began to bring in relevant coding and text from other parts of the interview. In a sense, it emerged as a ‘modified theoretical sample’ from within each interview. In other words, rather

than work from the entire text at once, the researcher began to focus on that text that was explicitly commenting on issues of structural barriers to transformational leadership, and from the codes and categories that emerged from this data, sought out related data elsewhere within the interviews.

This describes the process by which the individual 'data sets' were analysed: the final element of the analysis was the process of constant comparison and theoretical sensitivity with the integration of the data from the different data sets, and, reflective of the view of Glaser (2004) treated the extant theory as yet another source of data that can be validly used in developing grounded theory. The extent of the theoretical sensitivity can be gauged by the reader as he or she reads Chapter 5.

As noted above, and to paraphrase May (1994, p. 13) the process of knowing itself – and the process by which insight, understanding or the creative leap occurs – cannot be observed. However, the end result of this process has been the emergence of some higher order theoretical insights that make a contribution to the field of knowledge in this area.

The challenges of theoretical sampling in the particular context of this research have been discussed sufficiently above. It is appropriate to remark on the issue of saturation. The researcher argues that this has not been an issue of this study given the inclusion of the qualitative survey data from more than 100 respondents, and a very clear sense in the data analysis that 'saturation' had, indeed, been reached.

3.3.8 Rigour

In response to a felt need to address the criticisms of qualitative research from the positivist research community the traditional definitions of reliability and validity of the quantitative tradition were felt to be applicable and credible benchmarks by which the quality of all research could be judged (Whittmore, Chase, & Mandle, 2001, p. 523). Under this model, reliability refers to the stability of the findings, validity the truthfulness (Popay, Rogers, & Williams, 1998).

Despite the paradigmatic tensions Lincoln & Guba (1985) translated the criteria of quantitative research to qualitative analogues: internal validity became credibility; external validity became transferability; reliability became dependability; and objectivity became confirmability (Whittmore et al., 2001, p. 523). Since that time

there has been considerable paradigmatic debate which centres on the ontological and epistemological positions of the different canons of research.

The 'naive realists' argue that all research should be held to the same standards. The 'antirealists' argue that the world can only be understood from multiple perspectives, and therefore cannot and should not be assessed against the same quality criteria (Mays & Pope, 2000). A middle ground more aligned with the view of the critical realist is offered by Davies & Dodd (2002, p. 280):

rigor, in a general sense, does refer to the reliability and validity of research. Therefore, there is merit in upholding the value of rigor in all research. However, the criteria for evaluating rigor must be appropriate to the research and the type of research methods used

However, Creswell (1998, p. 217) has suggested that "it is impossible to reach consensus" on the evolving perspective on qualitative inquiry. This is held out by a number of other authors who have struggled to find a synthesis of views on quality standards for qualitative research. For example, Elliott, Fischer, & Rennie (1999) identified more than 40 different standards when trying to develop quality guidelines for the publication of qualitative research in psychology and related fields.

In a similar vein, Whittmore et al. (2001, p. 527) found "truth value, credibility, trustworthiness, authenticity and goodness have all been proposed as more suitable criteria to judge the quality of qualitative research" but "none of them have been overwhelmingly supported". They present a summary of the key validity criteria in the field over the previous decade distinguishing between the criteria, which are the standards against which the research can be judged, and the techniques, being the methods employed to meet the criteria. The results are reproduced in Table 3.2 below.

Table 3.2: Validity Criteria Development

Author	Validity Criteria
Altheide & Johnson (1994)	Plausibility; relevance; credibility; importance of topic
Eisenhardt & Howe (1992)	Completeness; appropriateness; comprehensiveness; credibility; significance
Guba & Lincoln (1989)	Truth value; applicability; consistency; neutrality
Leininger (1994)	Credibility; confirmability; meaning in context; recurrent patterning; saturation; transferability
Lincoln (1995)	Positionality; community as arbiter; voice; critical subjectivity; reciprocity; sacredness; sharing; perquisites of privilege
Marshall (1990)	Goodness; canons of evidence
Maxwell (1996)	Descriptive validity; interpretive validity; theoretical validity; evaluative validity; generalisability
Sandelowski (1993)	Credibility; fittingness; auditability; confirmability; creativity; artfulness
Smith, J (1990)	Moral and ethical component
Thorne (1997)	Methodological integrity; representative credibility; analytic logic; interpretive authority

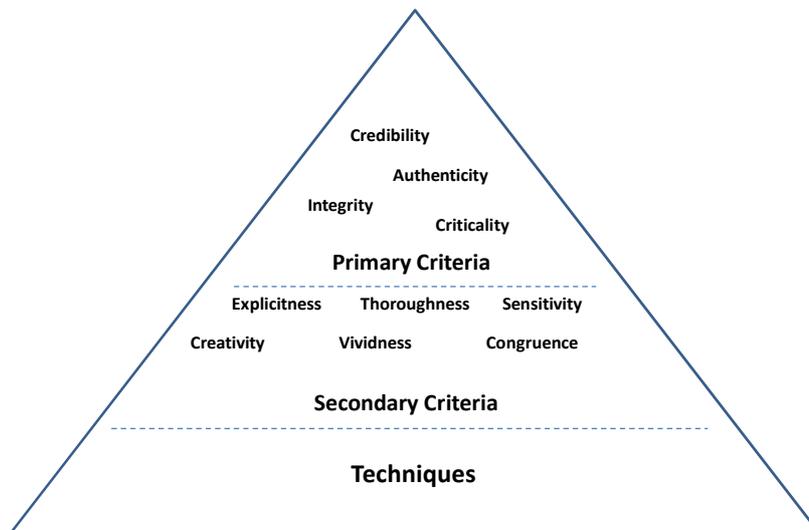
Source: Reproduced from Whittmore et al. (2001, p. 529)

Based on this work, Whittmore et al. (2001) derive a synthesis model encompassing primary and secondary criteria, and techniques to achieve the requisite quality: see Figure 3.6 below.

The primary criteria are: credibility; authenticity; criticality; and integrity. Credibility refers to the active effort to establish confidence in an accurate interpretation of the meaning of the data (Guba & Lincoln, 1989). Authenticity requires that the research reflects the meaning and experiences of the respondents (Sandelowski, 1993). Criticality seeks to ensure that the researcher has paid proper attention to issues of systematic research design; that there is evidence of critical appraisal of the evidence and the search for alternative explanations

(Marshall & Rossman, 1999). Finally, integrity pays attention to the subjective quality of the research, where the investigator as a person may uniquely shape the research, “yet integrity must be evidenced in the process to assure that the interpretation is valid and grounded in within the data” (Whittmore et al., 2001, p. 531).

Figure 3.6: Synthesis of Validity Criteria in Qualitative Research



Reproduced from Whittmore et al. (2001, p. 530)

Primary criteria are seen as necessary but not sufficient. The secondary criteria provide additional guiding principles that assist in the delivery of quality research. These include: explicitness (audibility); vividness (thick descriptions); creativity (novelty and imagination); thoroughness (sampling, data, approach); congruence (philosophical, methodological, methods and research question); and sensitivity (cultural and social) (Whittmore et al., 2001, p. 531-532).

Finally, there are a range of techniques by which the researcher can best position his or her work to ensure it meets these validity criteria. This includes design considerations; data generation; analytic; and presentation (Whiteley, 2002; Whittmore et al., 2001). Two dominant themes transcend this stage based typology: transparency and reflexivity (eg. Johnson, 1997; Mays & Pope, 2000). On transparency, rigour has been defined as “the attempt to make data and explanatory schemes as public and replicable as possible” (Anfara, Brown, &

Mangione, 2002, p. 28). Reflexivity is the process wherein the researcher “actively engages in critical self reflection about his or her potential biases and predispositions” (Johnson, 1997, p. 284)

The remainder of this section describes the techniques adopted throughout this research to meet the expected standards of qualitative research.

On transparency the researcher has taken a number of steps at different stages of the research to ensure transparency. Throughout this chapter the researcher has carefully articulated his philosophical world view and the rationale for decisions on design. Decisions on the rationale for the case choices and sampling strategies and some resultant limitations have been identified. The reader will also see examples of the reflexivity of the researcher throughout this thesis: for example, the memos on coding reflect both ‘good and bad’ and illustrate that the researcher has, indeed, been reflexive throughout the design and data collection phase. Further evidence of reflexivity will become apparent as the reader progresses through the discussion of the data, the analysis, and finally the discussion of the results.

Throughout the design phase, the researcher has made explicit his worldview, and taken care to explicate that and the linkages between that world view and the research methodology and methods (Elliott et al., 1999). The researcher has also incorporated triangulation (eg. Mays & Pope, 2000; Silverman, 2000) in data collection, overlaying two data sources from case study Firm A (qualitative survey and interview); and overlaying that again with data from Firm B. This also helps “illuminate different facets of the reality being investigated” (Popay et al., 1998, p. 347).

In data collection, the researcher has outlined the process of data collection, and noted the steps taken to assure the respondents of the confidentiality and anonymity of their responses. He has established a clear, auditable trail of the various interview guides and made explicit the purpose behind each of the questions incorporated in the final interview guide (Rubin & Rubin, 1985). In terms of ensuring the authenticity of the data (Whittmore et al., 2001), the researcher has outlined above the process by which the interviews were transcribed, and then subject to extensive re-listening by the researcher to check the integrity of the transcriptions.

In terms of the analysis, the researcher has addressed the issue of interpretive validity through extensive use of ‘low inference descriptors’ (Johnson, 1997) where the reader has direct access to verbatim quotes from the respondents. The researcher also presented early coding to an independent reviewer with the brief to check the plausibility of the coding attributed to the text of respondent’s interviews by the researcher. Again, in terms of presenting reflexivity, throughout Chapter 4 the researcher makes explicit the thinking where a reviewer might have occasion to question the rationale were other plausible options existed.

In the final discussion, the researcher also presents alternate plausible explanations, making transparent his thinking and rationale for his selection of plausible explanations. Part of the credibility check at this stage also rests with the reader. The question is: does the discussion and emerging theoretical insights present a cogent story? This is an outcome the reader can gauge better than the researcher can explain in the same way it is not possible to make explicit “the process of abstract knowing” (May, 1994, p. 3).

Finally, in the presentation of the data, the researcher has made extensive use of ‘mind maps’ to give a clear visual depiction of the underlying data structure and emergent themes allowing the viewing of a full data set on one page (Miles & Huberman, 1994). He has drawn heavily upon the extant literature to add data to the emergent theoretical perspectives; and has presented this in the most direct manner possible.

3.4 Chapter Summary

This chapter has laid out a comprehensive description of the research methodology. It began with an exploration of the philosophical worldviews, before declaring the researcher’s perspective as a critical realist and the consequent modified dualist/objectivist epistemology. The researcher then detailed the basis of his research strategy which he described as ‘grounded research’ (Whiteley, 2004) which translates grounded theory into the business setting whilst retaining the key features of the grounded theory method.

The chapter describes in detail the research method: from the selection of the case study firms; the development of the data collection strategies; the actual collection and management of the data; and the analytical process.

Finally, the chapter concluded with a commentary on the techniques adopted to assure the researcher meets contemporary standards for qualitative research.

This lays the foundation for the following chapter, where the reader begins to see the research findings.

4. RESEARCH FINDINGS

The purpose of this chapter is to detail the findings arising from the analysis of the data collected in each of the three distinct phases of the data collection described in Chapter 3. The nature of the data sets is briefly recapped below.

The first major data set emerged from the case study Firm A. With this organisation, there were two approaches to the data gathering. The first was a qualitative survey of 103 leaders from the case study firm undergoing transformational change driven by an urgent need to change or risk imminent organisational decline. The data collected focused upon the respondents' perspective of potential barriers to transformational leadership with no presumption or bias toward structural barriers.

The second data set from the same case study firm was captured via interviews with 17 managers exploring their thinking around the issues of transformational leadership, organisational context and specifically the influence of structure on transformational leadership.

The third data set was captured from the senior leadership team in the second case study firm (Firm B) also undergoing a transformational change toward a more global operating company. The organisation was seeking to drive the transformation at a time of unprecedented organisational success as measured by production, revenue and profitability records.

Overlaying the data from these two organisations undergoing a transformational change within a quite different context of the research allows the researcher to explore whether the different organisational context influences the perceived structural barriers to transformational leadership. The context varies both in terms of the context of the transformation – transformation under crisis versus transformation from a position of strength – and the hierarchical context: the respondents from the second organisation were a more senior group than the respondents in the first organisation.

4.1 Firm A – Qualitative Survey Results

4.1.1 Overview – Firm A Results

The first data set analysed was the response of 103 leaders from the case study firm. These leaders ranged in level from Managing Director through to Superintendents and Team Leaders. The actual number of respondents by hierarchical classification is shown in Table 4.1 below:

Table 4.1: Demographics of Respondents by Hierarchy

Level	Number of Respondents
Managing Director/ General Managers	5
Managers	10
Superintendent	74
Other ¹	14

1. Other included team leaders; specialists; advisors

The focal research question goes to the issue of the potential barriers to transformational leadership. This was phrased as follows in the survey:

If you had a ‘magic wand’, were king/queen for a day, what 3 things would you change that would have the most impact in terms of shifting you to the right on the scale above [the scale referred to asked respondents to rank themselves in terms of their leadership contribution in terms of “producing more than expected”, the classic descriptor of transformational leadership]. It doesn’t have to be physically achievable (for example, you may want to become more physically attractive) – the only criterion is that it would allow you to produce more than expected

Individual responses were typically three distinct words or phrases, each of which represented an individual data point. The responses were comprised typically

expressed in very short phrasing: from single word responses – ‘Listen’ – to slightly longer phrasing – ‘be a whizz at personnel issues – have answers, ask right questions’. The limitation of this form of data is discussed in Section 5.

The resultant data set comprised 280 data points out of a possible 309. Not every respondent chose to complete the question with three responses. Conversely, some answers presented multiple concepts within one response: these were coded in a way that represented these as multiple responses.

Because the responses were typically relatively short, each response was adopted as an *in vivo* code. Codes were then aggregated into categories where there was a common underlying meaning or intent. Thus, for example, the following five codes were aggregated to a category labelled ‘*Planning and control*’:

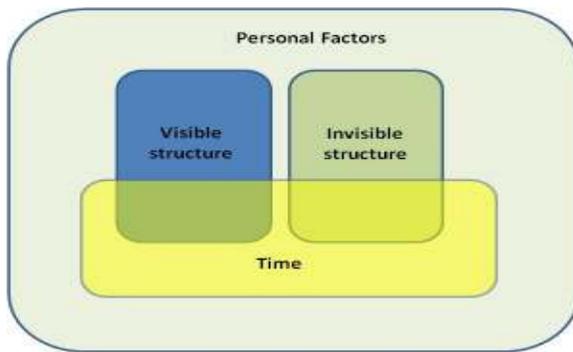
- Better planning
- Better organisational planning and communication
- Communicate plans – reduce uncertainty
- Better tracking and measurement
- Deliver on plans – better process control

From categories emerged themes, which reflected a higher level of abstraction. For example, the planning and control category was aggregated with four related categories – clarity around business direction; clear goals; clear role boundaries – to give rise to a theme which was labelled ‘**clarity of direction**’.

The resultant 280 codes were aggregated into 47 categories, from which 14 themes emerged. These 14 themes, in turn, were found to fit into four constructs (Fig. 4.1):

- Visible structure
- Invisible structure
- Personal factors
- Time

Figure 4.1 Emergent Four Factor Model – Firm A



The decision to use the constructs of visible and invisible structure may appear obvious given the focus of the research and the results of the literature review. In fact, the decision was not taken lightly. The process, described in detail earlier, saw the phrases aggregated into categories, and the categories into themes, until the final structuring of data satisfied the researcher. The original structuring of the data produced just three categories: organisational factors; personal factors; team factors. However, after an ongoing process of constant comparison, it became apparent that the organisational factors could be further distributed using what became the final construct labels: visible and invisible structure.

Time was originally encapsulated as a theme within the organisational factors construct, but with the separation of the visible and invisible structures, time no longer fitted neatly into one or other category. In fact, there are elements of each of the other three constructs within the time construct.

The results are discussed below under these construct labels.

4.1.2 Visible Structural Factors

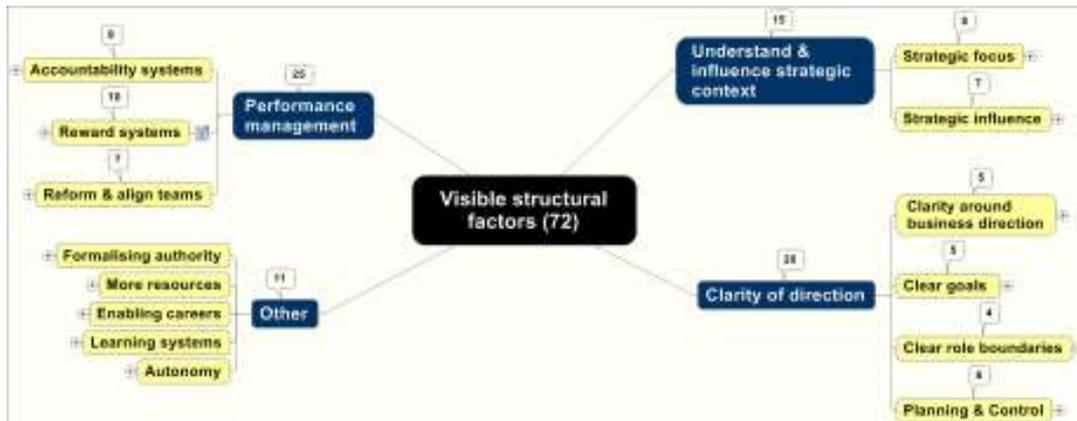
Within the construct of visible structural factors, there emerged 4 themes representing 14 categories covering 70 codes. The themes, and the number of codes that fall under each, were:

- Understanding and influence strategic context (15);
- Clarity of direction (20);
- Performance management (26); and

- a composite category of ‘other’ (9).

The four themes and the categories that make up the themes are shown in Figure 4.2 below.

Figure 4.2: Visible Structure – Emergent Themes & Categories



Under the theme of *understanding and influence of strategic context* (15), there were two categories identified:

- Strategic focus; and
- Strategic influence

The strategic focus was indicated by remarks such as:

More strategic focused // Crystal ball// crystal ball // More big picture information// More information re co. context from above// Broader understanding of co's global value chain// Improved understanding of overall business// Take more long term view// Ensure results are sustainable// more information re context from above

The desire for greater strategic influence was indicated by remarks such as:

More influence on strategic planning// Change co's position in overall parent-subordinate relationship// More options, wider perspective// Objective evaluation of options// Better access to decision makers// 'Fly on the wall' in decision making// More hands on higher up decision making

The second emergent theme was *clarity of direction* reflecting four categories:

- Clarity around business direction;
- Clear goals;
- Clear role boundaries; and
- Planning and control

Clarity around business direction appears to have two related dimensions: a greater understanding of the business's future direction, and better communication of direction: viz.

Clear direction where company is headed// Clear understanding of co's big goals & pathway//

And:

Better communication & direction from manager// Obtain frequent and credible information from mgmt and disperse// Better informed

There were five respondents who were seeking clear goals:

Set clear goals and expectations// clear goals// set goals and targets// clear goal setting// goals and accountability clearly defined and achievable

Four respondents sought clear role boundaries:

Clear & communicated job description// Role boundaries// Clearer understanding of boundaries// Knowledge of all I was responsible for

Whilst these three categories – clarity around business direction, clear goals, and clear role boundaries – indicate an underlying need for clarity of direction, it is possible to discern a distinction in the nuance of that need. The first category, clarity around business direction, is quite clearly directed at the organisational dimension. By contrast the responses in the third category go explicitly to individual role boundaries. Interpretation of the second category is somewhat problematic. It was not always clear from the respondents' remarks whether their focus was on clear goals for their individual roles, or in terms of the broader business goals. The nature of respondents' phrasing often made it difficult to discern exactly what they intended.

Another category that emerged under this theme was planning and control. Six respondents identified the need for better planning and control as a key enabling factor:

Greater structure of way forward – increased certainty// Better planning// better organisational planning and control// communicate plans – reduce uncertainty// deliver on plans- better process control// better tracking and measurement

Another theme to emerge was **individual performance management** (25) comprising three categories.

Firstly, there is a generic accountability systems category, which reflected both accountability and performance measurement issues:

Shared accountability & consequences// Have people take ownership of business issues// Have more accountability// Not doubt people will comply with regulations// Increased frequency of performance feedback interviews// Get more feedback// Benchmark against other internal BU's// Measure performance against values// Better able to correct and improve poor performers

The second and dominant overall category within the theme of performance management was a category labelled reward systems encompassing:

Being able to reward small contributions immediately// Offer realistic incentives to our employees// Reward/recognise people "as I see fit"// Reward significant contribution with development opportunities// Reward employees for improvements to the business// Reward high achievers, excellent performance// Celebrate success// Focus more on the positives// Forum to praise good work// Celebrate our successes better

These remarks suggest that the respondents see reward largely within a narrow, organisationally designed and constrained formal system. These remarks also carry connotations of the formal exercise of power - the ability to reward 'as I see fit' and the 'immediate' rewarding of contributions.

The final category within the theme of performance management was labelled reform and align team capturing the following remarks:

Ability to restructure// choose entire team from scratch// encourage those who don't want to be there to stay// employees aligned to the business// select appropriate people – get rid of negatives, or convert them// getting rid of dead wood// Need team members who can also lead

What is unmistakable here is the need to act on performance issues that have gone beyond coaching and improving. This reflects a much stronger intervention that empowers the leaders to act on under-performers and those who lack intentionality. What also emerges here is the felt sense of constraint. It is not clear, however, whether the respondent is referring to a felt constraint related to the external institutional context or the organisational context.

The category 'other' captured a range of idiosyncratic remarks with no discernible theme.

4.1.3 Invisible Structural Factors

Within the construct of invisible structure two themes emerged from six categories representing 43 codes. The emergent themes were ***better organisational environment*** (24 responses) and ***better leadership interactions*** (19 responses): see Figure 4.3 overleaf.

Under the theme of **better organisational environment** there were three categories: better relationships; better work environment; and more consistency, less politics.

Better relationships were grouped under three sub-categories: general comments; better relationships in a hierarchical context; and stakeholder relationships as shown below:

General relationships:

Better relations across all levels// Better working & personal relationships with others// Sometimes I feel alone and isolated// Forum to discuss personal issues

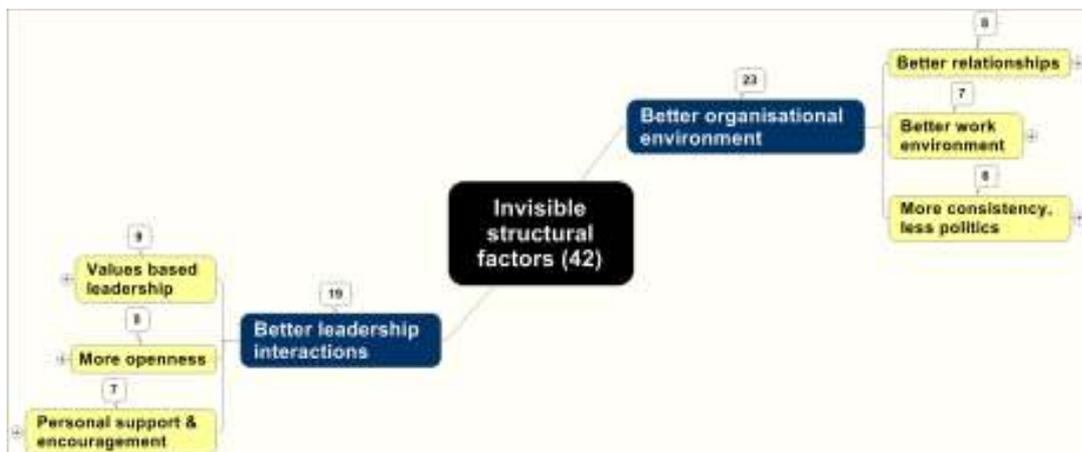
Within Hierarchical context:

*Better relations with Project Leader// More interaction with peers//
Develop relations with team - understand their motivators//
Develop workforce "equal & supportive" of each other*

And for stakeholders:

*Improved engagement with stakeholders// Greater involvement
from stakeholders*

Figure 4.3: Invisible Structure – Emergent Themes & Categories



There are two interesting points of note: the very personal nature of some of the needs of leaders in the business setting to support them and enable them to become better leaders; and better relationships are at least as much about relationships that are not related to hierarchical positions.

Better work environment captured an array of ideas concerned with the nature of the work environment: viz.

Environment where people want to do something special// Sense of fun and 'can do'// Establish work life balance// More effort changing culture// Avoid people conflict (perfect world)// Sustain safety// Obtain sustained contractor commitment to safety

These responses reflect commentary on both the psychological environment and the physical environment. While the other theme under the invisible structural factors domain, better leadership interactions, also leads to a better psychological

environment, these responses were distinguished because they are explicitly directed to a particular facet of that environment: namely, leadership interactions. By contrast, this category captures the more generalised environmental factors that could have their genesis through a number of influences.

More consistency, less politics was the final category under this theme capturing the following responses:

Remove politics ... allow leaders to get on// Remove politics from day to day// Stamp out politics// Consistent leadership// Be more consistent// Better if all people are treated as equals

As above, these ideas reside within this theme as they could have their genesis in a number of areas. While it could be argued that the issues of consistency and organisational politics largely reflect the actions of the leadership group, there could equally be actions that occur outside the direct interaction between a leader and the follower that give rise to this issue. These issues then shape the broader organisational context within which interactions occur between a leader and a follower.

The second theme that emerged was **better leadership interactions**, comprising three categories: values based leadership; more openness; and personal support and encouragement. These are also shown in Figure 4.3 above.

The first of these categories was values based leadership. This emerged from nine responses that had at their core explicit expressions about certain values: seven of the nine responses cited trust as the critical value. The other values that were identified were integrity and respect:

Greater trust// Greater trust// Have trust from above// Obtain total trust from staff// Trust more// Build more trust at all levels// Greater trust and integrity // Greater respect// Given more space

Perhaps more interestingly, trust was multi-dimensional: trust from above; trust from below; and, perhaps, trust from within. In this sense, it is not clear whether the phrase ‘trust more’ reflected a felt need of the respondent to learn to trust more, or whether the respondent was seeking others to ‘trust more’.

The category of more openness is clearly reflected in the following responses:

Challenge options, open dialogue// Eliminate ego blocking of suggestions from others// Communicate more openly// We could kill sacred cows on site

The final category reflected the need for personal support and encouragement:

Full support of upper management// Support of manager-once-removed ... and team to see that authority// More support of management// Support from peers// More encouragement// More encouraging

As previously, interpretation of these responses is clouded by the uncertainty of the very short phrasing of some respondents. Did the respondent who replied “more encouraging” mean to indicate that he or she felt the need for someone else to be more encouraging toward the respondent, or was it a sense that the respondent, if more encouraging, would become a more transformational leader?

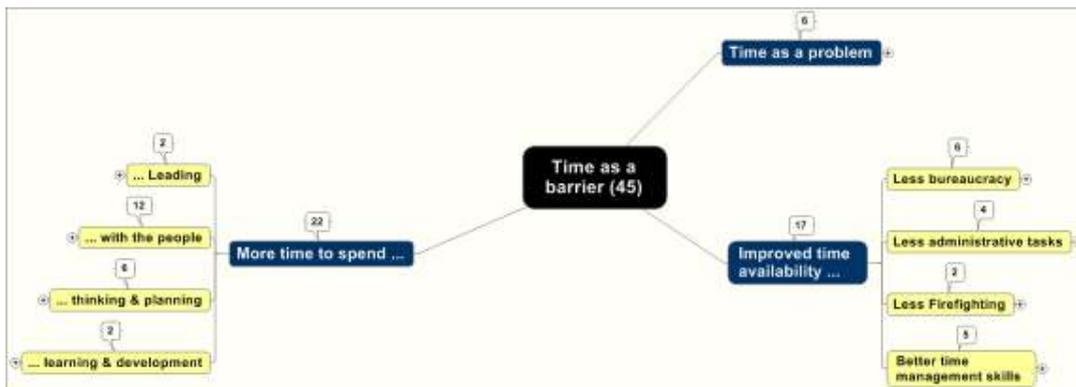
4.1.4 Time as a Barrier

Without doubt, one of the dominant issues in terms of raw count is the perception of time, or lack thereof, as a barrier to respondents delivering more transformational leadership.

Of the 45 responses under this construct, 28 explicitly indicated the need for more time. The other 17 responses making up this category explicitly identified the removal of various activities that could be regarded as ‘time killers’ — remove the bureaucracy — or explicitly proposed strategies to free up time. At least implicit in this group of responses is the notion that more time would enable the respondents to enhance their transformational leadership.

The structure of themes and categories under the construct of time as a barrier is shown in Figure 4.4 below. It essentially falls into three themes: the recognition of *time as a problem*, options for *improved time availability*; and *more time to spend* doing what?

Figure 4.4: Time as a Barrier – Emergent Themes & Categories



The implications of these results are discussed in Chapter 5, but if the respondents' answers are accepted prima facie it suggests that the time structure of the work in the respondents' work environment militates against transformational leadership.

The first theme of *time as a problem* exists without categories. It comprises six responses that quite simply and explicitly state that time is a problem: viz.

Time is the killer// More time// More time// Too little time// More hours in the day// More time - more patient

The second theme of *improved time availability* captured respondents' various strategies for freeing up time: less bureaucracy; less administrative tasks; less fire fighting and better time management skills.

The category of less bureaucracy captures the following responses:

Less bureaucracy & red tape// Dissolve bureaucracy & decision making// Not to have to battle the daily nonsense// Less hoops to jump through for sign off// Have my bureaucratic work done by someone else// Simplification of IT systems

This is very similar to the second category of less administrative tasks:

Remove admin duties// Less time on admin// Mandatory limit on emails// Better admin support

While it is arguable these two categories could be combined, ultimately it was the researcher's judgement that they reflect variations on underlying issues. The challenge of bureaucracy is suggestive of systems and processes that add little or no

value to the business. The issue of less administrative tasks may be similarly interpreted, but could simply mean that these administrative tasks are not without rationale and value, but that the nature of this work is such that it should be done, but by someone in a different role. Both are reflective of underlying structural factors, but their solution is quite different.

The third category under this theme was less firefighting:

More time, less firefighting// Less time fire fighting

Again, if this is a substantive issue, this would seem to reflect a potential structural issue of an organisation where instability creates a burden for leaders to manage.

Finally, respondents identified better time management skills as a potential antidote to the felt lack of time:

Greater organisational skills// Better time management// Better time management skills// Improve personal time management skills// Restrict time to key issues/points of leverage

The final theme under this construct of time as a barrier indicates where people would spend additional time if they had **more time to spend**. This includes categories around leading; more time with the people; more time thinking and planning; and more time invested in learning and planning.

Looking at each of these in more detail, the first category – more time to lead is quite generalised:

More time to lead my team// More time to devote to leadership

The next category more time to spend with the people is the major category by numbers under this theme, capturing 12 responses. The range of responses under this category is shown below:

more time to spend with people// More 1-1 time with the team// Spend more time with the people// More time at coal face// More time with team// More time with the front line// More time with the troops// Have "time with people" an accepted part of the role// Spend more time talking to people// Having more time to speak to the employees// More time for face to face discussions with team// Spend more time with team sharing experiences

Finally, there were specific leadership functions that respondents identified as warranting more time. The first of these was more time to spend on thinking and planning: viz.

More time to plan and lead// More time thinking and planning on HR// Time to reflect and plan// Spend more time on planning// Greater preparation time// More time to follow through ideas

The other function that captured respondents’ attention was learning and development: both their own, and that of their team: viz

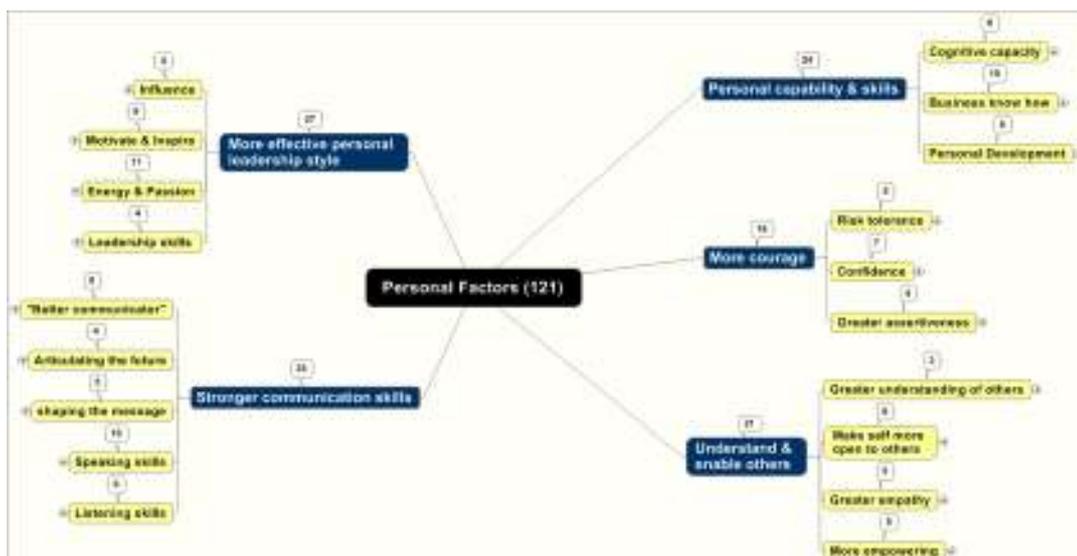
Commit time to educate newcomers// More time researching problems at other sites

4.1.5 Personal Factors

As a broad construct, personal factors appear prima facie to represent a substantive potential barrier to transformational leadership. There were 121 responses coded to this construct, made up of five themes, and 19 categories.

The themes that emerged were: personal capability and skills; more courage; understand and enable others; more effective personal leadership style; and stronger communication skills. These themes and the categories that sit beneath them are shown schematically in Figure 4.5 below, and described more fully in the paragraphs that follow.

Figure 4.5: Personal Factor – Emergent Themes and Categories



As is evident from the number of responses, categories and themes within this construct, this is the most dense of the four constructs that emerged from this research.

The first of these themes is *personal capability and skills*, which captured 24 responses across three categories: cognitive capacity, business know how and personal development.

Cognitive capacity captures remarks focused on the respondents' personal capacity, their ability to think creatively and to maintain focus:

*Greater cognitive capacity// Think creatively under pressure//
Stronger predictive skills - "what if?"// Cognitive capacity to see
scenarios, issues - long and short term// Less easily distracted//
Less fracture of thought*

The second category under the theme of personal capability and skills was labelled business 'know how' and targets capabilities and knowledge specifically linked to the business environment. The focus ranged across broad business knowledge – more knowledgeable of drivers of success – to more narrow knowledge of business tools – better facilitator skills. The responses coded to this category were:

*Better knowledge of current management methodologies// More
knowledgeable of "drivers of success"// Greater knowledge of
process// Better understanding of leadership styles// Greater
knowledge of mental models// Be a whizz at personnel issues ...
have answers, ask right questions// Better at counselling poor
performers// Better tools/skills// Given right tools// Improved
facilitator skills*

The final category under this theme was personal development. There were 8 responses coded to this category. These could be further categorised into a sub-category of self-awareness and growth, and more formal development options: viz.

Self-awareness & growth:

*Better understanding of my strengths// Understand my own future//
Find what presses my buttons - and drive in that direction// Engage
in more self development//*

Formal development options:

*Mentor to guide leadership development// Management diploma//
Continuing education ... e.g.. MBA// Gain more experience*

These responses collectively reflect a focus on the personal capability and skills of respondents.

The second theme that emerged under the construct of personal factors has been labelled **more courage**. For many versions of the data analysis, this category had been labelled intrapersonal style. While that label would not be wrong, it lacks descriptive insight that the final label – more courage – offers. In one way or another, each response under this theme arguably goes to the issue of courage. The categories that make up this theme are: risk tolerance; self-confidence; and greater assertiveness.

Looking at these in turn, risk tolerance captured the input of five respondents:

*Become greater risk taker// Greater courage to bear failures and
move on// Not internalise failures - learn from them// More
creative and adventurous - outside norm// Back my judgement more
often – less risk averse*

These responses each reflect a desire for the respondent to be able to tolerate risk, and work beyond the usual constraints.

The second of the categories is self-confidence. The responses coded to this category highlight the issues of self-confidence and self-belief:

*Greater self confidence// Greater self confidence/ self belief//
Greater self belief// Greater self confidence// More confidence in
my decisions// Wish my decisions were never wrong// Less "frail",
better personal management*

The final category under the theme of more courage was greater assertiveness:

Greater ability to assert - brutal honesty when required// More confidence to tackle people when I disagree// More forceful at times// better self-promotion

Arguably the categories of risk tolerance, self confidence and greater assertiveness have a significant degree of similarity, and potentially could be merged into a single category. However, the researcher's judgement was that there were sufficient responses under each category and the meaning of the responses coded under each was sufficiently narrowly expressed to warrant separate categories.

The third theme that emerged from the data was labelled ***understand and enable others***. Again, for a long period during the research this theme was labelled interpersonal style. While this would not be wrong, it does not give the same focus to the core underlying meaning that emerges from the respondents' words.

The 21 responses coded to this theme gave rise to four categories: greater understanding of others; make self more open to others; greater empathy; and more empowering.

The first category captured a generalised greater understanding of others. Just three responses were coded to this category:

Better understanding of other "mental make up"// More perceptive of others// Greater intuition re others reactions

The next category make self more open to others reflects a focus on respondents making themselves easier for others to connect with: less harsh, judgemental, more supportive: viz.

Greater interpersonal/social skills// My interactions sustain others self-esteem// Be more approachable// More outgoing team oriented personality// More tolerant // More patient// Less judgemental // Less critical

The third category under this theme was greater empathy capturing a number of the responses that were explicitly empathy, but also reflecting an orientation to being more caring and compassionate. The specific responses were:

Greater empathy - but sustain drive and focus// Greater empathy// Greater empathy with team// More compassion// Be more caring

The separation of these latter two categories – ‘make self more open to others’ and ‘greater empathy’ – was problematic, but in the end the researcher’s judgement was that the first category captured those responses that were more generally directed toward interpersonal interactions or had a more cognitive orientation – eg. more tolerant. The empathy category captured responses that had a more emotive interconnection. Another researcher might arrive at a different categorisation, but ultimately these responses fall under the same theme.

The final category under this theme goes centrally to the respondents’ willingness or ability to be more empowering:

Learn to empower people// Be prepared to give up the areas where my skills are// Be prepared to delegate more// Develop more of team to do my job// Give team more autonomy

The next theme to emerge from the data was labelled ***more effective personal leadership style***. A total of 27 responses were coded to 4 different categories under this theme: influence; motivate and inspire; energy and passion; and leadership skills.

The distinction between the first 3 categories was difficult. It is quite arguable that better influence skills produce more motivation; that more energy produces more inspiration; that passion adds to both inspiration and motivation. In the end, however, the researcher chose to apply a category descriptor that reflected the language of the respondents. Thus, for example, when the respondent used a phrase ‘be more inspirational’ this was coded to a category labelled ‘inspirational’. This led initially to separate categories of motivate, inspire, energy and passion. On reflection, however, the labels of inspire and motivate relate to the leader’s efforts to directly impact on others, while energy and passion relate to the leader’s personal style which the respondents believe will make them more transformational leaders. This distinction between the underlying meaning led to the amalgamation of these four separate labels into two paired categories: inspire and motivate; and energy and passion.

There were some other minor complexities in coding under this theme. For example, when a respondent replies “provide energy and inspiration to others”, should this be categorised under the label “energy” or “inspiration”? It is arguable

that this response should be divided into two, but the researcher's judgement was that this was unnecessary, and that little was lost in making an assignment to one category. This dilemma occurred in only a couple of instances, and was resolved by coding the response to the category that reflected the first descriptor: in the above example, this response was coded to 'energy and passion'.

Looking first at influence, there were four responses coded to this category:

*Better influencing skills// Better at influencing key people//
Unquestioned influence over others// Sales skills ... persuade others*

In keeping influence separate from motivate and inspire, the researcher's view was that while they are similar, the notion of motivate and inspire is qualitatively different from mere influence.

The next category captured nine responses that used the language of motivate and inspire. These responses are shown below, segmented into sub-categories of motivate and inspire: viz.

Motivate:

*Greater ability to bring the best out in others// Better motivating//
Greater knowledge re motivational behaviour// Greater
understanding of motivation// Ability to make all people want to
give 120%*

Inspire:

*Be more inspirational// Be more inspirational// Greater
inspirational capability// Greater skills motivating & inspiring*

The category of energy and passion captured another eleven responses, all of which reflect a very consistent underlying meaning. Again, these are shown below separated into their underlying sub-categories: viz.

Energy:

*More energetic in relationships// Provide energy & inspiration to
others// Increased energy levels// More personal energy to give//
Maintain energy levels// Personal motivation tends to ebb and
flow// Holiday for a few months*

Passion:

*More overtly passionate// Greater passion// Be more passionate//
More visible passion*

The final category that emerged captured a relatively small number of responses that reflected the respondent's desire for better generic leadership skills: viz.

Lead rather than manage// Improved leadership skills// Better leadership skills ... from concept to application// Change leadership styles to suit situation

The final theme under the construct of personal factors was labelled ***stronger communication skills***. It is arguable that this theme could form a category under the theme of more effective personal leadership style, but the number of responses that emerged under the theme of stronger communication skills was considered sufficient to justify its status as a distinct theme.

There were five categories that emerged which gave rise to the theme of stronger communication skills. The five categories that emerged were: better communicator; articulating the future; shaping the message; speaking skills; and listening skills. The meaning behind these categories is fairly self-evident from the labels, but is further evidenced in the responses shown below.

Firstly, the category of better communicator captured of a cluster of eight responses that are generic to this issue:

Excellent communication skills// Better communicator// Better communication// Better communication skills// Better communication skills// Better communicator - speaking and listening// Improve communication// Improved communication

The second category was articulating the future. This captures just four responses, and goes to respondents' ability to articulate the vision, future direction and goals of the organisation: viz.

Better able to articulate vision// Transfer more corporate beliefs more convincingly// Greater skill articulating ideas/ strategies// Clear communication skills - articulate goals

The next category goes to the ability of the respondents to shape the message. This captured five responses, and addresses the need for these leaders to be able to adapt a message for multiple stakeholders:

Better communication skills - tailor to message// Determine message better// Personalise message// Understanding audience needs// Communication skills adaptable to context

The dominant category under this theme was speaking skills, capturing ten responses. These responses largely clustered under the ideas of becoming better at public speaking or simply better at verbal communication skills:

Develop outstanding presentation skills// Better public speaking// Better public speaking// Better at public address// Better at public speaking// Improved crowd speaking// Be able to think quicker on feet with large groups// Better verbal communication skills// Better verbal communication skills// Better at presenting my arguments

The final category under this theme was listening skills: six respondents identified that they could become much stronger transformational leaders if they improved their listening skills:

Better listening - more self control and patience// Better listening skills// Better listening skills// Active listening// Listen better// Listen

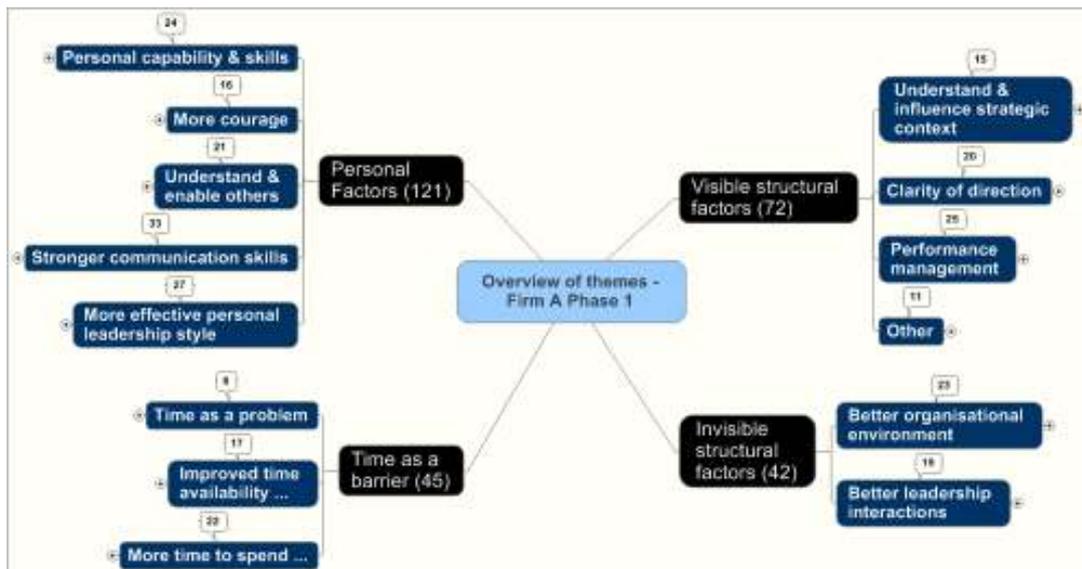
4.1.6 Firm A – Summary of Results

Figure 4.6 below provides a summary of the themes and the number of responses under each theme that was captured through this data capture and analysis process.

The result that has emerged has been four constructs expressing 14 themes representing 280 data points from 103 respondents. In raw number count, personal factors dominate the construct level data.

Looking beyond the constructs to the themes, time is the dominant theme, albeit in terms of the scope of the construct, time is a much narrower construct than any of the other three themes.

Figure 4.6: Summary of Emergent Themes – Firm A



4.2 Firm B: Qualitative Survey Results

4.2.1 Overview – Firm B Results

As noted above, firm B was facing a potentially significant transformation to give effect to a new strategy that had as its ambition “industry leadership”. However, this change was being driven at a time when the firm was experiencing record production, revenue and profitability figures.

The respondents were a group of 26 senior executives – 3 Managing Directors and 23 General Managers. Thus, relative to the respondents from Firm A reported above, these respondents were a more senior group from a significantly larger operation.

The data collection from this respondent group was undertaken using a very similar process, but the focus of the data gathering was modified to reflect insights from the data from Firm A. The Firm A data gave a strong indication that structural factors were a potentially significant barrier to transformational leadership. Given this, the researcher decided to explicitly direct Firm B respondents’ attention to organisational factors that could enable them to become more transformational leaders.

Thus, participants in the qualitative survey in Firm B responded to three key questions: what was the extent of change required to deliver the new strategy; what was their individual leadership contribution to the successful implementation of the strategy; and what would they change in the organisation to support their leadership efforts?

The use of the phrasing “organisational factors” rather than “structural factors” was chosen so as to not create too narrow a focus among respondents. In particular, the concern was that if respondents were asked explicitly about “structural factors” this was likely to direct them more explicitly formal structural variables, as structure is more usually used in this narrow context. The impact would have been to obviate any consideration of the impact of invisible structural factors.

4.2.2 Extent & Scope of Change

The first question was phrased as follows:

Please describe in words the extent of organisational change that you believe the strategies will require for [the organisation] to be successful

This question was designed to elicit an indication whether the changes being pursued in their industry leadership strategy were of a scale that might require ‘transformational leadership’.

In response to this first question respondents spoke of both the scale and scope of the changes required to pursue the industry leadership strategy.

Of the respondents that described the scale of change, these responses ranged included phrases such as deep, huge, significant, challenging and ‘a reasonable size move’. The specific responses that used an explicit label to signal the scale of change are shown below, with the particular scale descriptor label highlighted in bold:

*The strategies will require **deep** change in the whole approach the organisation follows// The “lean” initiative will be a **huge** change// **Significant** change// **Significant** change will be required// Significant move in the behaviour of leaders// **Significant** change required to interpret & translate the vision// **Significant***

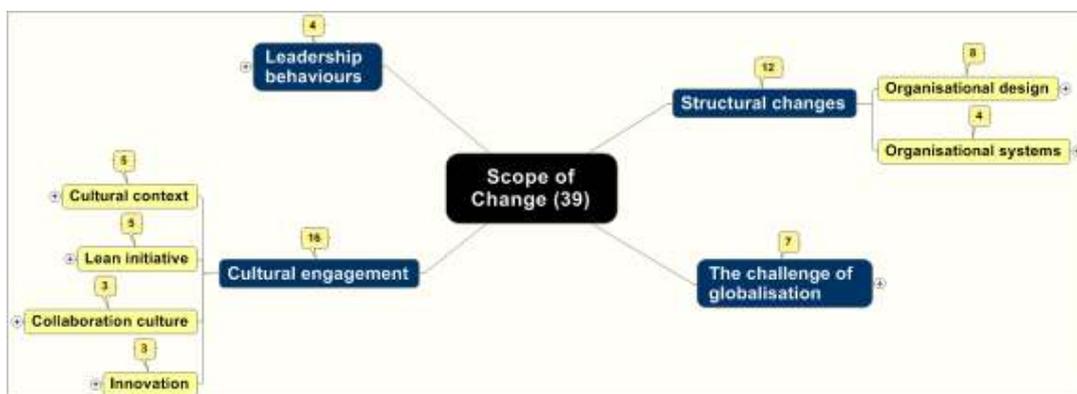
*organisational design work required to align structure with strategic intent// A **significant** change will be required in adopting innovative processes and leadership style// The extent of change required varies across the business ... this in itself poses one of the most **significant** challenges// Will need to push company in a **reasonable** size move// There will be required a **great deal of work** in this process// The skill sets required to achieve the global ambitions will be **challenging**// **Biggest** work will be cultural rather than structural// Our business will have to **grow to three times its current size***

These responses indicate fairly directly that the change being undertaken through the strategy is transformational in scale.

However, a large number of respondents actually responded to the question of the extent of change with commentary on the scope of change. Because the number of respondents in this data set is markedly less than for the previous organisation, not all themes have been accorded categories beneath the level of the themes. Thus, under the description of scope of change there were 4 emergent themes, with 6 categories identified within two of these themes.

The emergent themes were: structural changes; the challenge of globalisation; leadership behaviours; and cultural engagement. These are indicated in Figure 4.7 below, including the categories that underpin the themes of structural and cultural change.

Figure 4.7: Scope of Change – Emergent Themes & Categories (Firm B)



The theme of **structural changes** emerged from 12 responses that were categorised into two dimensions: organisational design and organisational systems.

Within the category of organisational design, the responses reflected a range of views, from one respondent suggesting significant organisational design work was required through to another respondent suggesting the current structure is appropriate at this stage. These responses are shown below.

Significant organisational design work required to align structure with strategic intent// There is structural work required, but more cultural change// The current structure is appropriate at this stage

The responses also suggested a range of dimensions of design: from macro structure – outsourcing of non-core activities – through to micro issues of job titles. The full range of responses around the particular nature of the structural changes expected is shown below:

Outsourcing of non core activities// The challenge will be to design an organisation that can cope with the range of scenarios that we may encounter// Matrix for innovation is essential// Movement to global structure for marketing product strategy, product bundling

Thus, despite there being some variation in the full dimensions of the structural changes, these responses suggest that the structural changes are likely to be potentially transformational.

One respondent identified more micro level structural issues that would be changed under the new strategies which is unlikely to drive transformational change:

It is the descriptions of the roles, and potentially titles that need to change

From this range of responses, the overall impression is that most of the respondents believe there is a need for a significant overhaul of the current structure, notwithstanding the relatively neutral or incremental nature of the changes articulated by two of the respondents.

The second category within this theme – structural changes – is organisational systems. This category comprised comments on a number of different ‘systems’:

incentives; boundary definitions; collaboration; IT systems and generic ‘business systems’. The specific responses are shown below:

*Redirecting incentives to change behaviours to embed strategy//
Needs work on systems, symbols and behaviours// Alignment and
clarity of internal procedures to clarify boundaries and achieve
greater collaboration// Key IT & Business Systems require review
& improve to support the move*

It is difficult to draw much insight from such a limited range of responses beyond a generic comment that these reflect potentially significant changes: this is consistent with the earlier commentary that suggests the change will be substantive.

The next emergent theme is **globalisation**. The range of responses that have been grouped under this theme are difficult to further categorise into more granular levels of detail without creating categories for each individual responses. Rather than do that, it makes more sense for interpretive purposes to simply assess the remarks under the theme label. These responses are shown below:

*Change requires us to go global// Key is to move from West
Australian centric view to global view// The complexity of
geographical spread// Needs work around how support roles will
function globally// The skill sets required to achieve the global
ambitions will be challenging// The obvious need is to develop our
global capability// Cultural change around thinking globally*

What is apparent is that these remarks touch upon the other themes: there is a clear structural element to some of the remarks; and there are clear cultural elements to the change.

Whilst it could be argued that for the purposes of categorisation and development of themes these responses could have been categorised under the broader labels, the researcher’s judgement was that the impact of globalisation is such a potentially pervasive organisational transformation that this warranted a position as a discrete theme.

The third theme that emerged from the data was **leadership behaviours**. Although this theme emerged from just four respondents, nevertheless there was a relatively clear coherence of ideas connected under the theme:

Significant move in the behaviour of leaders// The strategic work is well done ... it needs to be the focus of ExCo// The short term focus that currently exists will have to change// Be in contact with the reality of issues & ideas - the facts

Despite the fact this theme carried only four respondents' remarks it is difficult to identify another theme that better captures the tenor of these responses. Thus, notwithstanding the limited number of responses that fit within this theme, it has merit as a reasonable descriptor of a range of responses. There is nothing in the structuring of themes that requires a certain weight of responses by number before a concept can be accorded status as a theme. An alternative approach would have been to identify leadership behaviour as a category, and situate this category under another theme. However, it is the researcher's judgement that while this might satisfy a desire for simplification it would do so at risk of compromising the interpretive value of the categories and themes.

The final theme that emerged from the data was **cultural engagement**. This theme emerged from four distinct categories that were identified within the data. More than 25% of the respondents directly identified the scope of change as largely cultural. One respondent articulated the cultural engagement in broad terms:

We need to communicate and define the 'culture' we have and where we want to get (if it is lean, so be it, define the gap and start working on it). The most important point here is to involve managers, supervisors, operators and maintainers to a point to create the necessary trust to make the whole thing work. Trust is what allows you to influence people, and that is what leadership is about

The categories that emerged and later combined to form the theme of cultural engagement included descriptors of the cultural context, plus descriptors of the specific nature of the cultural change: innovation; lean; and collaboration. Note that for many of the earlier versions of this analysis, the theme label used was simply 'cultural change'. However, as the researcher wrote various notes and memos on the interpretation of the data it became increasingly clear that there was

an explicit form of this cultural change that was a dominant theme: the need for engagement.

The category of the cultural context captures remarks that describe the complexity and challenges of cultural change, and propose that the cultural change process needs to be one of involvement and engagement of the workforce:

Biggest work will be cultural rather than structural// It will be very easy for people to “do what we’ve always done”// The organisational culture of BU’s within company is very strong and will need to give way to a single company world// Need to communicate and define the “culture” we have and where we want to get// Need to involve entire workforce to create the necessary trust

This theme of engagement resonates with the commentary around the next category – the lean initiative which also posits a need for a broad engagement process. In this organisation the lean initiative refers to a deliberate strategy to incorporate the operating philosophy and tools of the Toyota Production System. The responses under this category reflect the scale and challenge of the cultural shift required:

The “lean” initiative will be a huge change and we need to take account of the level of “immersion” required// Cultural shift required - lean needs to become part of the organisational DNA// There will need to be cultural change in terms of engaging the workforce for lean// Escalate only what needs to be// Become an inclusive organisation that generates ideas and solves problems at the most appropriate & lowest level

The latter two remarks were coded to this category having regard to the dominant theme of employee empowerment and engagement that are central to the firm’s lean philosophy.

The next theme also captures a similar tenor with its focus on the need to create a collaboration culture. The specific responses here were:

Collateral work around solving problems horizontally// Change requires us to collaborate more effectively than achieved to date// The silo mentality will have to be altered significantly

The final category that adds to the theme of cultural engagement was innovation: the responses each had an explicit focus on innovation:

Cultural shift required - innovation needs to become part of the organisational DNA// A significant change will be required in adopting innovative processes and leadership style// The organization will need to encourage more diversity, creativity and innovation

These themes that reflect the scope of change – structural change, the challenge of globalisation, the need to change leadership behaviours and pursuit of cultural engagement collectively represent an organisation with a substantive transformational change agenda ahead. The leaders of this organisation clearly recognise this scale and scope of change. This is relevant to the research and the subsequent questions which explore their role in leading this strategic change and potential barriers to achieving this leadership agenda.

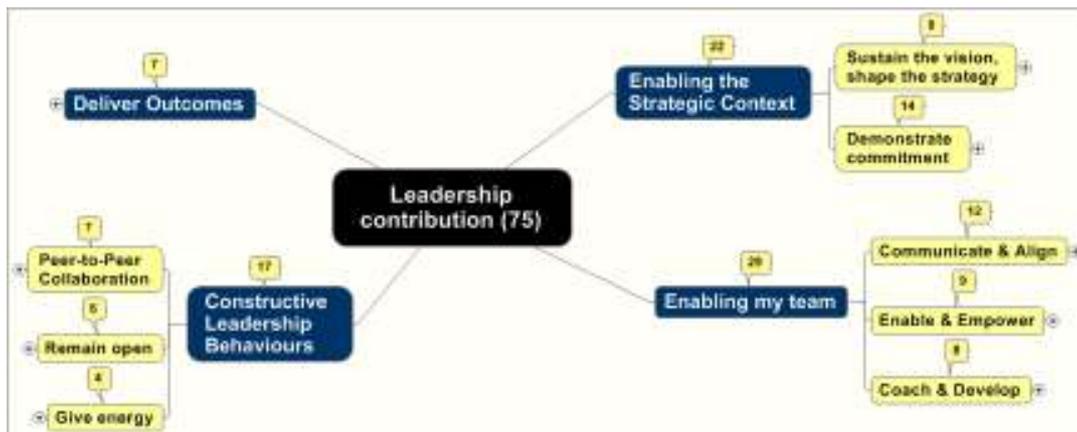
4.2.3 Leading Strategic Change

Given the respondents saw the change as transformational, the second question gives insight into what leaders believe their role is in leading this scale of strategic change. In particular, respondents were asked:

As a part of the organisation's senior team, the most significant leadership contributions I can make to the success of this strategy are...

The overarching structure of the themes and categories is shown in Figure 4.8 below. Four themes emerged from the respondent data, representing eight distinct categories. One theme was identified without any underlying categories. The themes that emerged were: enabling the strategic context; enabling my team; constructive leadership behaviours; and deliver outcomes.

Figure 4.8: Requisite Leadership Behaviours – Emergent Themes & Categories



The weight of responses balanced fairly evenly across the first three themes identified above: the fourth, ‘delivering outcomes’ captured just 7 responses out of a total of 75. This does not detract from its legitimacy as a theme, but does suggest that for the respondents the delivery of outcomes is a less critical focus in terms of enabling the success of the strategy.

The theme of **enabling the strategic context** emerged from 22 responses, representing almost 30% of all responses. These responses were categorised into ‘sustain the vision, shape the strategy’, and ‘demonstrate commitment’. The details of the responses under each of these categories are spelt out below.

Sustain the vision, shape the strategy was used as the category label to describe the following responses:

Clarity of vision// Resilience to demand that vision// Constancy of purpose// Promote company view, not BU view// Positively contribute to global strategy formation// Contribute to formation of strategy & the development over time// Think global rather than local to change culture// Understand the strategy well

The second category that emerged was labelled demonstrate commitment. This category captured the importance of these leaders ‘walking the talk’, demonstrating commitment, supporting the strategies, and playing a role in making the change happen. This is reflected in the remarks below:

Walk the Talk// Walk the talk// Walk the talk// Demonstrated commitment to the new structure// Demonstrate by behaviour // Demonstrate commitment through behaviour, actions// Demonstrate my commitment to the process// Commitment to the process & content// Support the actions once they are decided on// Support for the approach and direction// Support change from ops / marketing in business// Being across & contributing to change// Actively participate in activities spinning out from the strategy// Contribute the time required to make it a success// Input freely to the change process

This captured the most responses of any single category, representing a response from nearly half of the participants in this data capture process.

Together, these remarks give a strong picture of the need for these leaders to provide an enabling strategic context within which the strategy can be executed.

The second theme identified was **enabling my team**. This label was used to describe the underlying common theme articulated in 29 responses, representing approximately 30% of responses. Again, these responses were distributed across three emergent categories: communicate and align; enable and empower; and coach and develop.

The category of communicate and align was used to describe the meaning behind the following 12 responses:

Alignment of myself & my team with the overall direction// Align the direction of my division with the appropriate elements// Paint bigger picture rather than specific// Communicate both up and down using "new" vocabulary// Marketing the message, selling to my staff// Create the need for change & help my team & (others) to get there// Living and communicating the change and the need for it// Communicate to my team progress and understanding// Communicate and translate the strategy to my team// Articulate strategy to my people at appropriate opportunity// Cascade information to management team// Communication to my team

The second category was labelled enable and empower. This captured the spirit of nine different respondents, each of whom identified the need to enable their team members to become involved, think and contribute, and empower them to act on opportunities. The specific responses are listed below:

Get my people involved// Allow my people to think// Provide “room” for my teams to contribute// Empower others to form better teams// Delegate more to subordinates to empower them// Ensure I bring my team along with me// Provide context & resources (time) to free leaders to incorporate change, improving role// Change emphasis from control to facilitation// Implement creative thinking in my team

While these responses could be described as fairly wide ranging, in the researcher’s judgement the label of enable and empower reasonably captures the consistent underlying dimension.

The third category which combined with the previous two categories to make up the overarching theme of ‘enabling my team’ was labelled coach and develop.

More personal time to facilitate & work in teams// Coach by self example// Share previous experiences with the group// Feedback & coaching teams// Pass on my experiences from other organisations - share the learning// Spend more time mentoring / coaching my reports// Contribute to the group development, pull in ideas and challenge when ideas are formed// Developing the internal capability (people, process & system) to embed and develop strategies

With the exception of the final two responses above, each of these responses has a very clear orientation to the role of the leader as a coach, sharing his or her personal experience and wisdom to develop their teams.

Collectively, these three categories were felt to represent a strong and consistent theme around enabling the leader’s team. The respondents seek to achieve this through communication and aligning themselves and their teams to the need for change and the strategic direction; through enabling and empowering their teams; and through personal coaching and development of their teams.

The third theme that emerged was labelled **constructive leadership behaviours**. This emerged from 17 coded responses, representing approximately 20% of the total responses coded under this question. These 17 responses were categorised across three categories. Albeit this results in relatively small number of responses under the individual categories, the meaning within these categories is relatively homogeneous, and sufficiently distinct from the other categories to warrant distinct categories.

The three categories that emerged were: peer-to-peer collaboration; remain open; and give energy. The individual responses that collectively make up these categories are reported below.

Peer-to-peer collaboration captured 7 respondent's remarks that collectively represented an intent to work more collaboratively together, reinforced by a sense of developing a greater sense of empathy with their colleagues:

Collaborate & work as a team - share the brainpower!// Behave in a more collaborative manner// Constructive engagement and collaboration// Work with my Peers to break down divisional gaps// Seek opportunities to share my resources with colleagues// More empathy for my colleagues// Empathy to enable change

The second category that emerged was labelled remain open: as the label suggests, this reflects a series of remarks that captures respondent's intention to be more open, flexible, reducing defensiveness and helping to create more flexibility. The specific responses under this category were:

Being open to continual change// Flexibility in options review// Be open to new ideas, don't be defensive when changes are suggested// Be more open to the suggestions of others// Be open to change// Spend more time thinking about how things can be done, not why they cannot be done

The final category under this theme was labelled give energy. The flavour of these responses was distinct from the previous categories, but very consistent within this category: the key words of energy, inspiration, enthusiasm and passion featured in these responses:

*Provide inspiration// Energetic and enthusiastic leadership//
Champion the offshore projects// Be passionate about achievements
of the strategy*

The final theme that emerged from responses to the challenge “the most significant leadership contributions I can make to the success of this strategy are ...” was **deliver outcomes**:

*Drive to keep the lights on// Make it happen!!! Outcomes focus//
Deliver strategy responsibilities// Sense of urgency// Ability to
prioritise// Making my area successful*

This presents an insight into the commentary of the respondents on the necessary leadership ‘deliverables’. The process moved next to investigate potential structural barriers.

4.2.4 Identified Structural Barriers

The previous sections identified the perceived extent of the changes required to give effect to the intended transformational strategy and the role the individual leaders could play in enabling that transformation. Some of the responses to the second issue – the role individual leaders could play in enabling the transformation – could be interpreted as signalling structural changes that are required. In particular, it could be argued that the changes identified by the respondents and captured under the theme ‘enabling my team’ go to the heart of issues under the rubric of invisible structure. However, the focus of this research is not upon the changes needed to enable the respondents’ teams to better change, but on the potential structural barriers that were identified by respondents as impacting on their capacity to deliver transformational leadership.

To elicit this contribution, respondents were asked what they would change in the organisation to support their transformational leadership efforts. In particular, respondents were asked:

*If you had a ‘magic wand’, were king/queen for a day, what 3
organisational changes would you make that would have the most
impact in terms of helping you [become a more transformational
leader] (emphasis added for this report)*

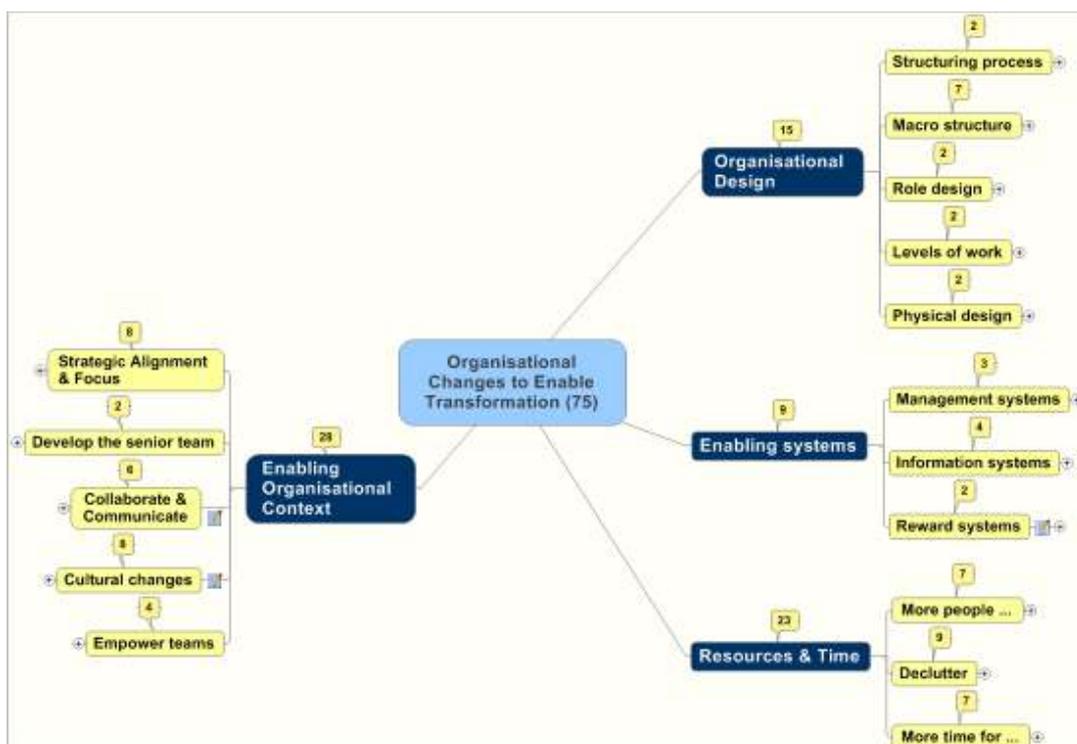
As noted previously, the key shift following the original data collection was that this question deliberately focused the respondent to comment upon organisational changes. As with the earlier case study, there were no boundaries to the scope of the changes: the questionnaire made it explicit that the changes proposed do not have to be “physically achievable”.

Of a ‘theoretical’ 78 (=26x3) individual responses, there were actually 75 responses coded from the 26 respondents. As before, not all respondents actually gave three distinct responses notwithstanding the question invited them to list three changes they would make. Some respondents gave just one response: others’ responses actually expressed more than one idea in an individual response.

As discussed in Section 4.1.1 and earlier, in vivo coding of responses created the individual data codes. These codes were then aggregated into emergent categories, which were then further aggregated into themes, representing a consistent higher order meaning.

The 75 coded responses gave rise to 16 categories that in turn collapsed into four themes. The full set of emergent categories and themes that emerged from the data is shown in Figure 4.9 below.

Figure 4.9: Emergent Categories and Themes – Firm B

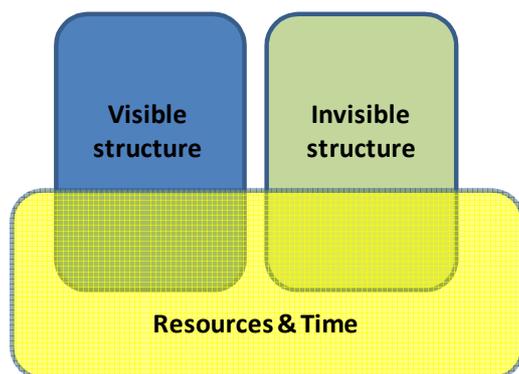


The four themes that emerged were:

- Organisational design
- Enabling systems
- Resources and time
- Enabling organisational context

These four themes, in turn, were translated into three constructs: visible structure; invisible structure; and resources and time. As before, there was a process of constant comparison used to form the constructs as the researcher developed successive iterations of the category, theme and construct model in Figure 4.10 below.

Figure 4.10: Emergent Three Factor Model – Firm B



It is immediately apparent that this model is very similar to the four factor model identified from the results of the data from Firm A with just two material variations. Firstly, this emergent model is minus the construct of personal factors which was so dominant in the Firm A data. This is unsurprising given the survey was deliberately designed to direct respondents to focus on organisational issues. Secondly, the third construct labelled here – resources and time – is similar to but broader than the third construct from Firm A – time.

4.2.4.1 Visible Structural Barriers

There were two distinct themes emerged that fell under the heading of visible structural barriers: organisational design and enabling systems: these themes captured 15 and 9 coded responses respectively.

The theme of **organisational design** captured five distinct categories. While each of these categories has relatively few responses, they each have distinct meaning, but at a higher level of abstraction are all reporting to the same underlying theme. The specific categories that emerged were: structuring process; macro structure; role design; levels of work; and physical design. The specific responses under each of these categories are reported below.

The dominant category in terms of number of responses was the category of macro structure. This captured 7 responses and reflected respondents' preferred changes ranging from corporate restructuring – get rid of head office – to innovative structuring:

Split business into two companies// Get rid of headquarters// Fully integrate acquired company// Fully integrate new operation// Introduce a matrix approach or structure for functions that cover numerous MD/GM areas// Re-organise service departments to support value adding work// Remove “Business Analysts” and provide goal orientated work for this staff cadre

Despite the relatively wide variation in the specific remedy proposed, each response specifically calls for organisational restructuring.

Under structuring process, respondents indicated the need for more transparency and participation in the organisational design work: viz.

More transparency in organisation design// Time was spent with the GM group developing the new structure

The next category that emerged was role design. Although this category captured only two responses, the researcher's judgement was that the nature of these responses was sufficiently different to warrant a specific category:

*Do the structural design work and clarify accountabilities & roles//
Change role descriptions to reflect required leadership behaviours
rather than control points*

The researcher wrestled with placing these responses under the broader rubric of structuring process, but ultimately felt that whilst these are part of the structuring process, it is distinctly different in terms of underlying meaning from the other responses under that category. The structuring process category focuses on transparency and involvement, while these comments are directed at the actual process outcomes.

The final category under the theme of organisational design was physical design. This captured two remarks that were specifically directed at the physical workplace design: viz.

*Relocate to an office that encourages collaboration// Move to a
building that fits everyone in & allow recruitment of full team*

The second emergent theme that is caught up in the construct of formal structure is **enabling systems**. Enabling systems was the label attached to reflect the meaning underlying the following three categories that emerged from 9 responses that were coded under the following categories: management systems; information systems; and reward systems.

There were three responses under management systems:

*Better planning// A lot of work is waste: - Different operations
doing different things with key systems// Revisit key systems for
uniformity / consistency in application*

Four responses were separately coded under a category label information systems:

*Improve systems and data// Improve Systems Information//
Seriously revamp IT / reporting capability to increase
transparency// Better systems support.*

A credible argument could be made that these two categories – management systems, and information systems could be aggregated into a single category such as ‘management and information’ systems. However, it was the researcher’s judgement that these are related but quite distinct issues. The one – management

systems – goes to systems and processes by which work is controlled or executed. The latter category – information systems – goes to the issue of the information that enables decisions to be made, judgements executed.

Finally, making up this theme were just two responses that spoke to the need for better reward systems: viz.

Change incentive scheme to reward innovation, collaboration and leadership// Reward people based on merit / actual performance

While each of these categories attracted relatively few coded responses, it appears that there is a consistent theme that underlies each of the responses, and that goes to the issue of enabling systems: improving the existing management and information systems.

The next theme identified here has been labelled ‘**resources and time**’, which goes to the issue of the number of people and the challenge of time. Under this theme three categories were explicitly identified: were ‘more people’ (7 responses); ‘declutter’ (9 people) and ‘more time for ...’.

The category more resources is unmistakable and quite direct, as reflected below:

More resources//Some more people / resources!// Resourcing issue - more of them// Provide team the resources to facilitate change// Additional resources - increased costs acceptable to a reasonable level// Beef up resources in certain areas of the organisation to create balance // Get one more team member then I have full complement of resources

While one respondent explicitly identifies a need for just one additional person, the tenor of the other comments suggest that these respondents were looking for more than just one or two additional people.

The second category under this theme that emerged was ‘declutter’:

Declutter// Kill the clutter! We need the courage to say what we won't do to enable us to focus our energy on the important// Seriously reduce the clutter and unnecessary work// Reduce “clutter” bureaucracy// Free up the important from the urgent// Reduce the low level workload I have// Less urgent, low value

adding meeting// Remove the clutter of overlapping management responsibilities// A need to re-prioritize some work, and delegate my personal tasks to others in the team

These responses bear a remarkable similarity to the responses seen from Firm A: the similarities and differences are discussed later.

Finally, various respondents explicitly discussed how they would use the additional time that might become available if the organisation provided additional resources and reduced the clutter. These responses were categorised under the category label more time for The responses fall broadly into two sub-categories: time to spend focusing on leading, thinking at the higher level; and time for face-to-face for coaching and development time. These are shown in the respondents' remarks below:

Free myself to spend more time thinking at the higher level// So I have time to lead, develop my people and to think about the business// "Enable" us to provide more focus on leadership rather than responding to current demands// Take time to practice the leadership behaviours // Spend more time with managers in a coaching role// More time for coaching teams// More time for face-to-face with direct reports to set context, review results & provide feedback

Implicit in these remarks is the sense that, for at least some respondents, leadership at least encompasses 'thinking at a higher level'.

The fourth emergent theme was labelled '**enabling organisational context**'. This captured 29 responses, the highest number of responses coded to a particular theme. Under this theme there were five discrete categories identified: strategic alignment & focus; collaborate and communicate; cultural changes; empowering teams; and support with training. Again, this model altered during the process of constant comparison, as the researcher juggled with category labels that reflected adequately the intent or meaning of the responses, but also was parsimonious. The details of the responses and their categorisation are spelt out below.

Firstly, the category strategic alignment & focus captured 8 individual responses. These responses explicitly identify the need to create a stronger alignment across

the business, ranging from a generic ‘improve alignment’ through to identification of specific components of the business that need to be brought into stronger alignment. The particular responses are shown below:

Better strategy alignment// Bring Procurement and Logistics within the strategy process// More systematic market portfolio planning// Achieve alignment between 'Expansions' & 'Operations' - cut out the divisiveness// Eliminate noise to re-focus on doing the right-smarter things that add value// Focus the organisation on 2-3 key initiatives - lean / business improvement is key// Adopt lean & improve consistency in nomenclature value stream// Shift the cost-focus to value-focus

While the combination of alignment and focus into a single category could be challenged, the rationale was that there was an underlying commonality in that both issues are about bringing a single, unified orientation to the business: the one is directed at the organisation; the other at the focal issues for the organisation.

The category of strategic focus and alignment is supported by the next identified category of develop the senior team:

Provide leadership training for MD / GM group to develop appropriate skills// Take GM/manager team on study tour

While leadership training is at least intuitively straightforward, the idea of a study tour warrants some additional explanatory context. In fact, the top leadership team of the case study firm were participants on a ‘study tour’ to the U.S. where they visited some leading global corporations in innovation, technology and strategy, such as Boeing, Motorola and Schlumberger. The design intent of the study tour was to ‘open minds’ of the top leadership team. Thus, the comment here reflects the suggestion that such a tour would also help ‘opening minds’ of this extended leadership team, and through this developing the capability they needed to translate the strategic intent into a transformation.

The third category identified in the data was collaborate and communicate. This category emerged from 6 responses that were each explicitly about creating stronger communication and collaboration particularly among the senior leadership team, but also more generically across the organisation: viz.

All GM's are committed to a collaborative organisation and contribute fully to the change// If ExCo were working even more collegially it would make my role more effective// Force people at senior levels to communicate face to face to clearly understand business direction// Easier and effective communication internally// ExCo focus their efforts on communication of strategy activity at every opportunity using formal, informal and business communications systems// More regular team workshop to improve interfaces with operations / provide more feedback to operators

Again, while it could be argued that communication and collaboration are distinct activities or behaviours, the rationale for combining them into a single category was both parsimonious and reflected the integrating idea that both activities are fundamentally reflect the need for the business to create a 'shared story'.

The fourth category that emerged in the data has been labelled cultural changes. The use of culture as a label is always problematic in this research given the wide scope of the label, but the key issue that emerges here is that respondents are articulating a culture more directed toward actualisation of intent. This could be described as a desire to see something happen rather than a more generalised culture (e.g.. diversity; equity; integrity). This is evidenced in the specific responses that were categorised under this label: viz.

Be more assertive and inspirational to drive change// Put courage into people to try// We need the courage to say what we won't do // Make the organisation more tolerant of mistakes// Challenge internal traditional thinking by using external expertise and view// Remove the "monitor evaluators"// Create a "can do" culture// Reduce the politics and unproductive behaviour

The final category was labelled empower teams and attracted responses focused on particular strategies for empowering the teams:

Create a bit more bottom up than top down// More decision power to run my part of the organisation// Create a level of context & delegation to team// Allow managers & their teams to focus on improvement & less on production issues

4.3 Firm A: Detailed Interview Results

The results of the detailed interviews are presented below.

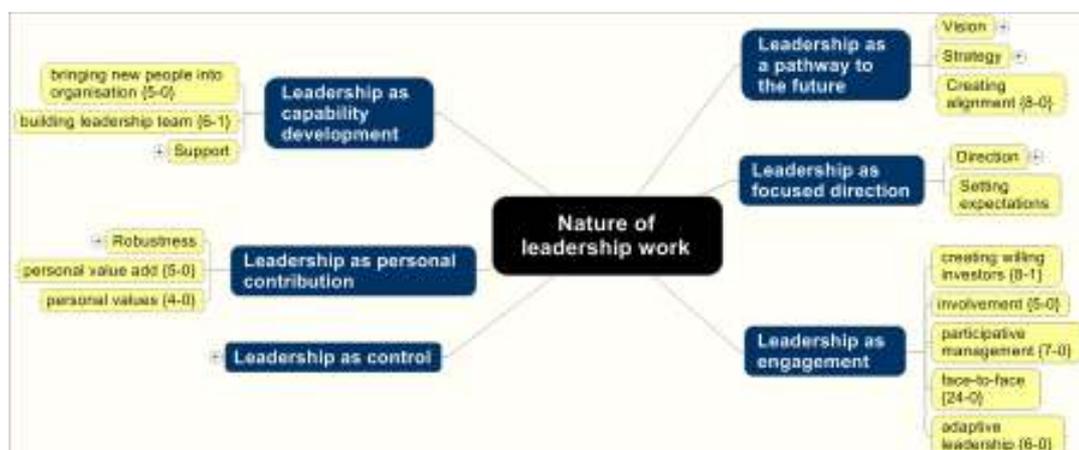
4.3.1 Leadership

While respondents were not directly asked to define leadership, their responses to various questions allowed the researcher to identify the respondents' implicit models of the nature of their leadership work. For example, in responding to a question around the balance of the organisational focus on leadership one respondent expressed it this way:

There's certainly - there's a requirement for management control. But it is not what is going to drive the success of the business. I mean management control is about effective systems and robust procedures and people following those. Leadership is about inspiring people and getting them to walk that extra 100 yards for you.

The various elements that make up the collective views on the nature of leadership are summarised in Figure 4.11 below. Six themes emerged: pathway to the future; focused direction; engagement; capability development; personal contribution; and control.

Figure 4.11: Nature of Leadership Work – Firm B



An overview of respondents' commentary on the nature of the leadership work is presented below.

Firstly, there was the emergent theme of ‘**leadership as a pathway to the future**’. The categories that aggregated to make up this theme were: vision, strategy and creating alignment. In the early stages of the analysis the categories reflecting ‘direction’ and ‘expectation setting’ were seen as part of this theme, but ultimately these categories were determined to be about more narrow and shorter term futures than the notions of vision, strategy and alignment suggest.

Some illustrative remarks around the category vision include:

I think we have created in a large part of the workforce and in the leadership team a shared vision of the future // Why am I here, I suppose? My role is to create value, I suppose ... It's about strategy setting; um, creating a new and better future and bringing the rest of the workforce with it // And it's about encouraging the number of people that I have to take that vision as their own and to be working with me in how do we actually achieve that// the CEO he's very clear on his vision, and I think his vision comes over very clearly. But the vision up there and what we are trying to do down here, there's a huge gap in the middle// I think leadership as being trying to inspire a vision is probably on the rise, and especially over the last 12 months

While it is apparent from this that not all the respondents see themselves as playing a key role in shaping the vision, they see the creation and articulation of the vision as an important element of work within the leadership domain. It also appears that there is a sense of appreciation of the ‘quality’ of the vision of the then MD.

There were a smaller number of respondents who explicitly identified strategy as a central idea. This gave rise to two sub-categories: strategic role, where respondents noted their particular contribution in strategy; the challenge of migrating from strategy as something to guide us to something we actually do.

Some of the commentary the ‘strategic role’ included:

Next year I think it [my day-to-day work] will be more around looking at the strategies to increase our capacity to employ in a local region and that will be working with others in the community relations area. Around what are the strategies that we can develop

jointly// He [my boss] is more a strategic sort of thinker; he is not interested in the detail. Um. He likes operating at a more senior level and I think that's why he is not so much interested in the detail// I tend to look at strategy, external issues, um, where we're going; why we're doing it; what it means in a business context rather than this must be done tomorrow.

The code of 'strategy vs. implementation' reflected a need to be better at the translation of the vision and strategy into something more tangible:

I can start spending more time on the pre planning side ... and start doing some direction in the overall leadership of the group, which is lacking at the moment, in the fact that I am not doing any strategy at all, and I should be spending a lot of my time on doing that sort of stuff// But I need - for me to add value to this business, I need to get out of the detail, more into the strategies; where we're going// I suppose the requirements for me to finish this project anyway require that I do spend a lot of time - my time - thinking about the more strategic vision rather than the operational stuff// I think that's a terrific vision. Then come down to earth and have a look and how we implement it; there's been no real planning and the implementation plan on how to do it ... so, what happens, the vision happens way up here then the control takes over

The final category that contributes to this theme was creating alignment, reflecting the comments from two respondents:

My role is to create value, I suppose ... my key triangle, I suppose, is about the best practice safety; aligning the workforce and ensuring a continuous improvement culture // we've got time now to do things differently. Inherently I know that leading in that way isn't going to align a workforce, and not having an aligned workforce is not going to achieve ultimately what we want to achieve as a business// starting to see some good things in terms of, you know, workforce coming on board ... starting to see some good signs there.

Starting to get some confidence that we're actually going to align this workforce//

This category – creating alignment – was originally interpreted as part of the next theme discussed below, ‘leadership as focused direction’. But like the two categories already discussed, this category reflected broad, directional leadership rather than the narrow specific leadership envisaged under the theme of ‘leadership as focused direction’.

The second theme of ‘**leadership as focused direction**’ emerged from two categories: direction and setting expectations. The coding that led to the category of direction included providing direction; setting direction; and direction setting conversations.

Some of the comments were in direct response to a question which asked respondents to describe significant conversations they had with their leader or their direct reports. However, not all of the remarks came from that interview prompt. The following quotes are indicative of the general tenor of these remarks:

generally signing off or seeking further guidance in terms of what [my manager], you know, directions he would like to see us taking in our plan or ... just, um, [my manager] confirming, you know, that - is that the direction we are taking// [My manager] is very good at giving direction and for someone who is autonomous and can just move on with it. It's - it's helped me a lot because he will just give you the feedback, yes, you're in the right direction, and set a little bit of a sort of direction for you// If I've got any issues, um, he is always there - and I'll go in there again and have a chat with him. So, um, in terms of, um, setting direction, I suppose, I don't have - haven't had the opportunity to see much direction from him but then I tend to set my own direction if you like // Our most significant conversations have been around, okay, what happened earlier in the year; what are we going to do to address it right now, and what are we going to do as our team, as a leadership team at the mine, to move forward

These appear to reflect fairly routine conversations around specific directions rather than the broader, more open nature envisaged in the ‘leadership as a pathway to the future’ theme.

The second category within this theme was setting expectations. Under this category the tenor of the remarks is somewhat similar: the expectations referred to seem relatively narrowly defined and specific, rather than broader, visionary expectations. For example:

trying to make sure they were clear on what was expected just on one crew who were fairly disruptive// [my boss] did some very good work in drafting up what he saw my key tasks as being so we spent a couple of hours talking through these are the things that I expect// [My manager] might say to me, we need to achieve our 7 million tonnes at the end of this month and that will set me up for the focus of what I need to achieve//. I guess I like a strong leader myself ... and even to say to me, this is where we are heading. Um. And this is what I expect from you. So I am very clear on that. I appreciate that, and I don't see - I just see lots of people around that are struggling to know what's required of them today and what's required of them in the next 3 months

As noted above, it was this narrowly defined end goals and shorter time horizons that ultimately led to this being identified as a separate theme.

The third theme that emerged from the leadership discussions was ‘**leadership as engagement**’. This emerged from five categories that represent similar categories of meaning: creating willing investors; involvement; participative management; face-to-face and adaptive leadership.

The category of creating willing investors emerged as a commonly used phrase among respondents and reflected a metaphor used within the business. The MD differentiated ‘willing investors’ as people who would essentially turn up for work even if they didn’t have a financial need, because of a belief in what the business or its people stand represent. His polar opposite he labelled ‘entrepreneurial hostages’: these were people who came to work essentially because they effectively had no choice, they needed the money.

The language of willing investor and entrepreneurial hostage are illustrated in some of the quotes: viz.

we are about people being willing investors ... it's important that people understood that they were few routes that people could take in the future and one is to become willing investors; the other one would be to understand that their role wasn't here // there is probably aspects of leadership where we just would not make the last hour of time available to really get people on board or something like that. I would say an unwilling investor or something like that and we would sort of say, well that's sort of, um, some of the wastage that you have in part of any process// I think by and large that people are keen to change. I mean, they're not entrepreneurial hostages as [the MD] likes to refer, and everybody wants to be here// Probably 2 years ago, a year ago ... very little leadership. Um, now understanding the need to create willing investors, and understanding the need to get people to go over and above the call of duty

There were also a couple of respondents whose ideas gave rise to the category of involvement. For example:

... you are the experts in your job, not me, then, I will leave it up to you to undertake a risk assessment. Right, and you go about it involve your team leader; involve those working with you; you go about it and you find the best way// We've got the group, you know, the group of people, get them all on board, get them to first of all be compliant, then involve those people more ... what are you going to do about it to get those people involved ...that gives them more ownership// it was all coming from the top ... It was all very - this is what we have to do. You know, the rest of youse aren't going to be helping us make that decision. Now it's - everyone makes the decision and now management end up making the final call, but the leadership team is involved

A very similar category emerged from several respondents where the language was commonly around participative management. Some of the respondents' remarks include:

When I came here I was obviously right of the Attila the Hun ... It's what we were asked to do, and you know, I suppose, you know, 12 or 18 months ago recognised that, okay, now we've got an extended mine life, it is now time to change our style ... we'll need to be much more participative// Wouldn't it be nice if the groups dished out their own performance appraisals, right, on each other. Okay. This is what we have to do at the start of the year. Right. You guys are the experts. Here's your ground rules. Right. I will help you in any possible way that I can; give you the support you need; you guys are going to do the work, right, and then, if someone is not pulling their weight, you'd better do something about it// I said, these are your accountabilities; these are your responsibilities and this is what we're going to achieve. Provided some direction, but wanted to leave the creative stuff to them, so they had some sense of ownership. Didn't want to say do this report, do that report, do this report. This is what we want as an outcome, go for it.

There was a large body of commentary around the category of face-to-face, which could reasonably be seen as a consequence of an explicit question which asked respondents to comment on the amount of face-to-face time they experienced. While this influences the number of respondents who remarked on the issue, there is no reason to imagine it substantively alters the broad flavour of the remarks:

Also, like to spend some time with those guys to go up on the hill as I call it - kick a few rocks around, and so they get a better idea of, okay this is one way you could do it, but have a look at this option// we will spend an hour going through any problems they might have; how was the week; what do we do in the next week// then I will go around and have a look, have a talk to most of the other, um, guys in the crew, guys and girls in the crew, and, um, apart from that there is invariably underground meetings, underground transition meetings// it is something that I am pretty conscious of the fact that

I need to spend more time with those people// a lot of the stuff in terms of sitting at computer stuff that's - trying to get, you know, trying to do a lot of walking around; I don't do anywhere near what I should

What begins to emerge from these remarks is also the suggestion that lack of time for face-to-face is seen by respondents as a significant issue: this is captured later in this section.

Through the process of constant comparison there was also a decision late in the piece to attach the category of adaptive leadership to this theme. What became apparent through the process of constant comparison was that the various examples of 'adaptive leadership' reflected the endeavour of the individual leader to treat the individual circumstance as unique to the particular individual, and through that process it is envisaged this creates an opportunity for the leader to deepen the sense of engagement the individual feels to the leader and perhaps the organisation. Typical of the remarks are the following quotes:

Tend to probably have more discretion with some of them, you know, you know, the older area superintendents like Fred and those sorts of guys// because most of our people have a lot of experience, because they have a lot of technical skills and because a lot of the areas I don't know enough about them to be technically orientated, I have to either trust them or look at their outputs and say, are they achieving what they are meant to do // I said to the super, hey, I'll just give you heads up. Think about - don't think of the black and whites – think about the fairness of what you are looking at with that particular person because you've got a very willing operator there ... He is not thinking about that or his annual leave, he is just saying, well, can you help me out here. He is putting his hand up// Yeah. It will depend on the person ... Some people you tend to have to manage a lot more than other people

Collectively, though, these categories all carry the sense of **leadership as engagement** as a central theme.

The next theme that emerged from the interviews was one of '**leadership as capability development**'. There were a number of categories that represent this emerging theme: bringing new people into the organisation; building the leadership team; coaching; confidence in others around you; and leader as support.

The category of bringing new people into the organisation reflects the organisational context, where clearly there is a need to attract and retain a significant number of people. The importance of this within the work scope of the leaders is reflected in the following commentary:

We've have to look at the whole way we bring people into the organisation and I've, um, been playing a big part in that because there was no such thing as a training department// And so it was basically all left up to us and we have a look at how we used to bring people into the organisation to be an operator, induct them, right, you'd train them up and get them 'good to go'// So quite a large proportion of my time in the last couple of months has been spent developing role descriptions; looking at preparing criteria for selection; working with people in HR in Perth to develop interview questionnaires and then work through the laborious task of sifting through 70 odd applicants for a role; and trying to find the right person

This is reflective of an organisation with significant challenges in attracting and retaining the right skills mix. In this environment, the leaders see themselves playing an important role in bringing the right skills to bear.

The notion of capability development as an important task of the leadership team included a category around building the leadership team. Some of the quotes reflective of this include the following:

we need to do things differently - we can focus much more on I suppose building the leadership team, aligning people// At the moment the team leaders are still - sort of standing back, saying, cripes, you know, I am one of the team here. And we're saying you're part of the leadership team. You are going to have pull yourself off the equipment and start leading your teams// Getting

the team leaders up to speed; educating them in the - as a front line leader - it hasn't happened before. Now, once they can be organised to run the crews ... then I can go back into the more leadership type role// I would say in the last, um, 6 months there's a lot of new - new blood around and I find that exciting actually. And to be honest I've been quite critical today, but, um, last week I - the feeling in that room was so much different to our climate and I actually felt there was a team starting to be formed and that gave me a lot of hope and a lot of - it's exciting, and I came away from that feeling really good. ... it is improving. So I mean it will be. If we keep people supported and moving forward

There is a third category – support – that contributed to the emergence of the theme of leadership as capability development. The category support itself emerged from three codes: coaching; leader as support; and confidence in others around you. Some of the utterances that led to these codes included:

Coaching:

... [the] rest of [my time] was just shifting in terms of either getting across messages unrelated immediately to the business as a whole, or some more direct, you know, coaching and working on the teams to, you know, to again achieve high levels of performance// So I'd spend a couple of hours with the team leader coaching them// So, yeah, generally, I think we get on well as a team, and I try and mentor them - a lot - I think some of them would see me as a mentor

Leader as support:

I think Ray was surprised the way I treated him. Probably expected me to be much less sympathetic to his position and issues he was dealing with and yeah, he was quite appreciative, I suppose, of the way I dealt with it in terms of offering support and actually just, you know, whatever you needed to do to work through this// You guys are the experts. Here's your ground rules. Right. I will help you in any possible way that I can; give you the support you need// I am lucky in that a lot of the people I have working for me have the skills

- skills sets to be self-correcting. They don't need a lot of management. They just need some direction or they need someone to bounce ideas off to confirm that they are doing the right thing// And he has shown support in that I told him that we need more resources and so, I am now recruiting two more people at the moment

Confidence in others around you:

I can't wait till I have all the answers or assess something to the n'th degree of detail before we actually go and make it happen. And there can be sorts - got to have at leaps of faith and have confidence in the decision and the people around you and that, and I think, um, that's the big change that I've seen// in the current climate if I think about, um, if I go and ask the maintenance superintendents of the processing plant what are the, you know, what are you doing about this, this, this or this which the areas of variance, and are those variances special or general causes. They wouldn't know. So I've got to put the controls in to make sure whammo!

It is noteworthy that the respondents speak of the issue of confidence in others, although not necessarily that they have confidence: but the issue of confidence in others impacts their role demands. It is also interesting to note the shifting behaviour of one of the respondents: he remarked his report had probably expected to see the 'stronger, harder me'. The tenor of his remark makes it apparent that the respondent sees that as a positive shift in his leadership.

The next theme that emerged from the data was the theme of '**leadership as personal contribution**'. This emerged from remarks that led to a category of robustness; and two codes that were interpreted as categories in their own right – personal value add, and personal values.

The category of robustness reflected the codes of confidence in self; coping with uncertainty; and energy.

Evidence of the ‘confidence in self’ has already been reported, expressing equal doses of confidence in self and in others. This same respondent also remarked on the uncertainty that comes with his role:

got to have at leaps of faith and have confidence in the decision and the people around you// I don't have all the answers. I can't expect to have all of the answers, a lot of this about intuition and getting it 80% right and making it happen; and 20% will probably come or it won't. I can't wait till I have all the answers//

The category of personal value add included the following quotes:

Why am I here, I suppose? My role is to create value, I suppose// But I need – for me to add value to this business, I need to get out of the detail, more into the strategies; where we're going, and I can only do that once I know I've a good support base under me// Here, with the role [there] is just so much that we could do and so much value that we could add but that still feels like a “could”; it doesn't really seem like all that achievable at the moment

And the category of personal values included the following remarks:

I stand with my hand on my heart, and say, you know, it pains me to put shit in your lives if this is what you think I am doing. I would like to think that you guys would demand this from me. // I am very, very, concerned, um, not just because of the fatality, but yes I did live through that for a month and saw what it did to the operators, the ERT members and the organisation. And to think that no-one would learn from that or to think we would continue to accept, right, “this is the norm”, pays no justice, no respect, no anything// It's hard enough trying to, you know, articulate a vision to a group of people anyway but if you - if you don't hold those values yourself, then it's - it's just impossible

What is apparent from these extracts is the clear sense that for some of the respondents their role as leader imposes on them a felt responsibility for an active role in championing values.

Thus, collectively, what emerges is a picture of leaders expressing a need for robustness that allows them to cope, a focus on delivering value to the business, and a deep sense of personal values. These collectively accumulate to produce the theme of leadership as personal contribution.

The final theme that emerged to capture the respondents' mental models of the nature of their leadership work was '**leadership as control**'. This theme evolved from nearly 100 different utterances that gave rise to 12 different codes. These codes themselves were aggregated into three categories: process & planning; discipline; and accountability.

The category of process & planning emerged from two codes: *boundaries* and *planning as leadership*. The consistent message under the utterances coded to these categories was the recognition of the importance of effective processes, and their role in planning. Typical of the comments under this label were:

So from that we'll develop a process that says, you know, this is the roles and responsibilities; this is the process we'll follow, you know, and everyone is aware of it ... rather than have five different people doing five different things, we'll have it// but I think the biggest problem that we have here is that you've got planning aspect, the pre planning for meetings// the goals and everything else that we pre plan to make sure we understand one, what it is, and how it affects us at certain levels // Because that - a lot of that planning has not been there. Ah. People have not - not been coping. The couple of years I've been here ... things have changed. They've changed the whole management structure three times. And we've changed everything else amongst that, // There is also sort of planning issues that need to be taken into consideration. Now we're preparing for our group executive's visit// There is no business plans. There is no, um - there is no real planning ever done

It is interesting to note the remarks translate to a clear role for leaders and managers to provide planning and processes, but that equally these leaders are in turn, also 'consumers' of these same processes. The imagery of Russian dolls is evoked,

where one notes leaders requiring leadership, each layer in turn perhaps requiring leadership from beyond.

The other code which reflects similar meaning in terms of setting frameworks was 'boundaries'. Some of the commentary that was coded here is shown below:

I believe things - these things [formal structure] actually - they're the goal posts, they're the boundary line which we work provides structure from ... which we operate// So I am going to be a little bit more, how would you be, um, firm with letting people know up front oh, we'll do it, but it is either this is going to suffer or we've got to get people in to do the job. We can't do everything that just comes through// I'm a team player; I tend to - I like being firm on people but it gives them the boundaries but I like being very fair// But then again if you don't have a good visible structure where people can see where they fit in the organisation; how they're meant to behave, where are their boundaries etc. then they will tend not to go in the direction that you really want them to

The second category within this theme was labelled discipline, using the word in the sense of discipline as controlled, regulated and strict. Thus, the codes that fitted into this description included rigour; exercising judgement; commitments; risk management and 'stronger harder'. This last code of stronger, harder reflected the remarks of a single respondent, but were reflective of a similar remarks by others. For example, the quotes coded to stronger harder quotes included:

There is a perfectionist streak to me, and I push very hard on this and don't tend to give a lot of leeway// it was really almost like this us group of guys trying to make this work and the workforce pushing back and that. We had to be pretty, um, I don't know, pretty hard, tough, and we bound together in order to actually make this happen. It was almost a case of, you know, I had people say to me - you will be only here for 3 years, we'll out see you. Or, you know, you'll only be here for 12 months we'll out see you. I mean, I just thought, no, it ain't going to work. I've been sent here to do something, so I'm going to do it. So, I said, get out of my way

That same respondent also spoke of rigour:

You know, I've probably put the boot in about this year's plan in terms of the rigour, or lack of - my perceived lack of rigour that has gone into that// I am very strong on management, always have been; it's my inherent style in terms of, you know, the administration control, rigour, minimising, um, bad surprises and the risk

But so too did other respondents:

Yep. I think we are very good on - we as an organisation are very good on management, systems, and rigour, stuff like that, much more than other organisations// It's difficult to lead and be felt - keeping on side - so I have found that. But to overcome that you make sure you get good people that have the same degree of sort of focus and rigour and once you can see that coming through in their work, you can then switch off into a more - and that's what I am hoping to achieve over the next year// It is interesting in that my - my current back to back - who's going to transfer to underground. He is probably the perfect foil for me. He is very systems orientated, very rigorous in his processes and everything else// Every day there was something significant, not always positive things. Sometimes you would see these things - you'd just shake your bloody head because you expect things might be done with a little - bit more rigour sometimes

It is apparent that among a significant number of respondents in this study rigour is a core part of the managers' lexicon.

4.3.2 Leadership vs. Management

Respondents were asked to comment upon the relative balance of organisational attention to the issues of leadership and management. In framing the question, the interviewer paraphrased the distinction between management and leadership that had been widely used within the business in a leadership development program nearly all respondents had participated in over the previous 12 months:

management is more around the notion of control, about eliminating variability, leadership more about notion of change, vision, and inspiration

In a follow-up to that question, participants were asked to comment upon the balance between these two domains in their own individual roles, and the factors which influence that balance. This was seen as an opportunity to understand from this perspective what the respondents identify as the forces that shape their approach to leadership.

Figure 4.12 displays the respondents' view of the relative strength of organisational focus on these two dimensions: leadership and management. The numbers within the bubbles are simple identifiers: they have no substantive meaning.

Figure 4.12: Organisational Bias towards Leadership vs. Management



16 Perceived actual emphasis (respondent #16)

Note that the purpose of this part of the interview was to open up the dialogue rather than explicitly locate the respondents on this matrix, so not every respondent answered in a way that made it clear where exactly they would place on this matrix. The result is only 11 of the 16 respondents are actually shown on this figure.

It appears that the majority of the respondents perceive a strong emphasis on management, with a number specifically arguing the management influence is much stronger than the leadership influence. Against this backdrop, a number of

respondents remarked that the current emphasis has changed significantly over the last few years, shifting from a much stronger emphasis on managerial control toward a stronger 'leadership' orientation.

The following quotes give an example of the respondents' remarks from each quadrant of this figure. Note that when respondents refer to a scale rating they are referring to a rating scale in which 1 represents a very weak rating, 10 a very strong rating.

Strong Management/Weak Leadership

Well, when I look at - one of the things that have a lot of time spent, management, is far - far more predominant around [here] in terms of you look at the systems. And what the systems require of you is much more in management control... 8 out of 10 for control. They try and - I've never seen so many systems and controls in my life. ... From a leadership point of view, um, I would put the leadership down around about 3 to 4// Well first of all I think leadership would be way down. I think that would be, um, I think there is a severe lack of leadership here, so it would probably be about, um, probably 4 at best. Ah, management - I think they're more focussed on the management side of things, but I also think that's not fully - I think it is outside some people's capability. Probably about a 6 or 7. About a 7

Strong Leadership /Weak Management

The organisation regards control probably very little. I mean, it is 2 or 3 out of 10. You know, targets, objectives, you know, achieving specifics are considered realistically more like guidelines. You know, I mean we will get there. We will move the tonnes anyway. If it takes us two more trucks, I mean, so be it. ... In terms of leadership, I think then the organisation does rate, and is beginning to value leadership, so I think the - that's a 6 or 7// I'd say the organisation probably sees leadership as - on a scale of 1 to 10, 8 in importance... And management in a scale of 1 to 10, as long as you are not asking for a subtraction, probably about 5.// I know

[the MD] places a lot of importance on leadership and so if you look at his level and probably the GM team and say, way up at 9... 9 out of 10. Um. I think that slips down the scale the more you go through the organisation. But not too bad. Probably 5 or 6 for the business as a whole, 6. ... [and management] Very poor, I find. I find we are out of control in some of the things and I think that's a real sign of poor management. The management practices, I'd say probably 3 or a 4. 4.

Strong Leadership /Strong Management

At this particular point in time, I think, the managerial side of things is probably dropping slightly from probably very high to - especially a couple of years ago; well, it was just all mandated; just to, um, you know, what we all might do. And I think, you know, sort probably, I don't know, say 75%, you know. 7.5 Whatever. Um. Whereas I think leadership is being trying to inspire a vision is probably on the rise, and especially over the last 12 months. And the underground is looking forward, you know. We've started [leadership development] courses. So. Actually, no. I would probably give - make managerial like a 6 and maybe leadership a 7.

Interestingly, despite the commentary of the number of respondents suggesting that the case study firm's focus is firmly on managerial control, the actual exercise of the managerial control is reportedly poor according to a number of respondents:

we need to put in place some fairly basic and fundamental processes, systems, operational procedures at the lowest level to make sure that on a day by day basis this business starts ticking over and actually meets its plan and other business objectives ... We just simply have to do that// a lot of the management systems are just all encompassing and then there is a dilemma because despite that, the perception that I have is that the superintendents in the organisation have a hell of a lot of authority, but very little accountability// Nobody seems to know whether their budget is under control; our injuries and things like that are out of control; um. Our compliance

to standards is poor. We are every day finding non compliances to our standards ... like I know I am not held accountable for a whole range of things that I expect to be held accountable for.

4.3.3 Leadership vs. Management as a Dynamic System

While the notion of leadership and management as distinct domains was introduced directly through the question structure, the idea that these two domains were linked in a systemic interaction emerged unexpectedly from the data. It was expressed in a number of different ways and interchangeably captured comments around formal and informal structure in a similar dynamic.

Several respondents remarked on the interplay between leadership and management in terms that explicitly reflect a dynamic interplay; however the nature and direction of that interplay had a different dynamic to the various respondents. Their responses might be paraphrased as follows, with supporting respondent quotations:

The drive for leadership has lessened control

I think we have lost a little bit of control, primarily because, I suppose, putting it simply, we are now, so much more focussed on creating better leaders

Formal structure enables leadership

We've got a big hurdle to get across, right, um, so we can get those - once those systems, um, are in place no matter what they are, whether it be safety systems or some of our reporting systems and all those sorts of things, once we get on top of those and then we can actually spend the time out there. Right. Leading people// Currently I sort of have taken the view and it comes up at the planning process there is so much mopping up work. I, for the next two months, will just focus on inventing systems and process and getting a stable platform to operate off from because to create change in a fairly chaotic environment just adds to the chaos

Conversely, lack of management systems requires leadership

Conversely because our management systems aren't that strong, there is a high reliance on leadership and that's been the trade off.

You need people that can lead - and can set direction and can respond to a changing environment

And lack of formal structure drives informal structure

And on invisible structure, we're probably reasonably high in that because of the lack - not lack, but because of some of the shortfalls of the formal structure or visible structure, that tends to compensate for it

Informal systems can make formal systems redundant

These things [formal structure] actually - they're the goal posts, they're the boundary line which we work provides structure from and a - you know, a process in which, through which we operate, but this [informal structure] if it's working for you can make this [formal structure] function so much better, and actually, you know, also we make a lot of it redundant ultimately in terms of some of the hierarchical systems and that sort of stuff

And informal systems allow you to reduce the formal systems

You know, I can see an emphasis to try and get into, you know, a team culture, team work. Um. You know, less of the - a little bit of backing off on some of the controls// Either in future times when - things - there is a little bit more stability in the leadership team; who will know the expectations; know what the requirements are and then control could slide back

Note one respondent explicitly argued that the leadership-management dynamic was a consequence of a mindset among the middle management group that leadership and management was an either/or trade-off equation, a view he rejected.

*I think, you know, us recognising that we need to do things differently - we can focus much more on I suppose building the leadership team, aligning people, but we've actually lost some of our control, and that's where I think we've got an issue, I suppose at certain levels on the leadership team where they see - **they see it is***

either or and there is less of this or more, and I don't accept that
[writer's emphasis]

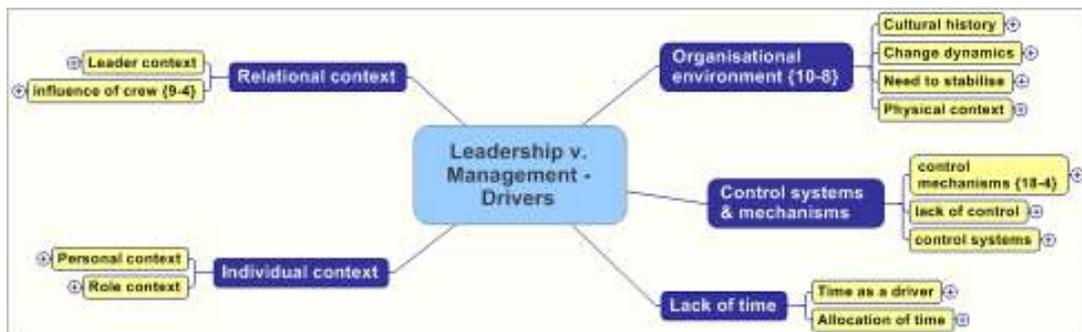
These results are discussed more fully in Chapter 5, but there is strong evidence to support a view of a systemic interaction between these dimensions, albeit the direction of the influence is not immediately obvious.

4.3.4 Leadership vs Management Drivers

Given the prior question around the management versus leadership orientation of the organisation, respondents were asked to discuss the factors that influenced the extent to which they focus their energies in the leadership domain versus the management domain. Implicit in this question is the assumption that respondents' discussion around this question may generate insights that are relevant to the focal question around potential structural barriers to transformational leadership.

There were five themes that emerged from the constant comparison of the codes and meaning: organisational environment; control systems and mechanisms; lack of time; relational context; and individual context. These themes and the constituent categories are shown in Figure 4.13 below.

Figure 4.13: Drivers in the Leadership vs. Management Orientation



The theme of **organisational environment** comprised the four categories: cultural history; change dynamics; the need to stabilise; and the physical context.

Cultural history as a category emerged from the following:

In South America you needed a very prescriptive leadership style; um, you couldn't be as involving, inclusive as I like to be. Um. You probably tended and needed to be more aloof. So that was - that

forced me - took a while to actually go through that learning of the cultural differences, // for me being out there wanting to do these things suits my management style or my, you know, way of working better than most organisations I've worked in, in that because there aren't the entrenched systems and the cultural norms here that exist in other organisations// There is not the entrenched power bases; there's not the turf fighting; there's not for the want of a better word, dick swinging that goes on in amongst the management level to try and puff themselves up like peacocks and see who is the biggest in the bunch

Thus, for these respondents the particular cultural norms of the country or business shaped their approaches to leadership and management, including the absence of a political organisational culture.

The second category labelled change dynamics captured a large number of respondents' remarks in the context of the balance of their leadership and management focus, capturing a simple aggregated label of change which was used to capture the range of experiences of change expressed by respondents, to specific remarks around the extent of change that had been happening over a period of time within the case study firm. Indicative of these remarks are the following quotes:

Management control, um, compared to some places I've worked - it's high, but compared to other organisations that are a similar size and nature to this is probably low. And I don't think that's a reflection on [the firm]. I think it is a reflection of the change they have gone through. There has been so much change; so many different things happening that nothing has really become an entrenched system// [Q: what do you think are the major forces that influence that balance] Ah. Well probably the turbulence associated with the transition from the old to the new// we've had the tech auditors come through and we've had the safety auditors come through and both of those groups of people said "Gees, you fucking change a lot, Um, for the sake of change, you know// And once again because of the level of change that the organisation is going through, there has been a lot of high level issues that have had to be

dealt with and they've never got back into, well, but at the same time we have to focus on these and actually get some these things done, changed, embedded

These are just a handful of many utterances that reflect an organisation in an extended, arguably continuous change process with no apparent end in sight that respondents' articulated.

There were also specific observations about the nature of the change or the change focus and relatedly the emerging new style of the organisation. Again, these are reflected in the following typical remarks:

so we went from I guess, you know, from a management perspective that we were concentrating on those things rather than leading the people, and motivating and inspiring, and it was all about okay what can we do to keep the place going// I think if you talked to them they would notice that there has been a change in management style and that there is a change in focus in terms of what we are trying to do// Systems, procedures are definitely got a lot of focus on now. Formal rewards are happening, performance appraisals we are not - we are nowhere near there yet. Formal job descriptions, yes, it has got a long way to go

Each of these remarks provides evidence that the management and leadership balance of these respondents has been shaped, at least in part, by the changing focus and style of the organisation.

Consistent with the view that there has been a lot of change within the case study firm that has impacted respondents' focus there were also a number of cries for the organisation to stabilise, giving rise to the category need to stabilise. For example:

So I feel that I am always left with those not quite knowing. Okay, well that's where we are and that's where we want to be and these are some of the things that we might think about doing. But what does a business actually expect from - from me, or I expect from others// We've got to consolidate, right. Get everyone back on the same page; get everyone to start to move forward, right, and then, right, you can start going off on our merry way// I think my specific

area but I would say that for [the business] operations as a whole we need stability; we need to put in place some fairly basic and fundamental processes, systems, operational procedures at the lowest level to make sure that on a day by day basis this business starts ticking over and actually meets its plan ... We just simply have to do that

These remarks are presented in the context not of simply observing the change, but reflecting on the impact these variables have on the balance of their individual focus.

The final category – physical context – of the theme organisational environment is arguably somewhat different, as it reflects a physical environment and its impact on the leadership challenges. There were two codes – *physical remoteness* and *commutes* that were captured by this category that have the same basic genesis in the remote operating environment. The impact of the physical context on leadership is reflected in the following comments:

to sit down for 2 hours and chin wag, it just doesn't happen unfortunately. You've almost got to try and do that outside of work so you have a good relationship with these guys, because you know, these - those guys are basically on site for probably 3 days and then it's back to Perth so it gets a bit awkward// But he is really not been on site a lot so. Yeah, he's been my manager since July but I've not - not had a lot of interaction with him// when you've got four panels [different rosters], if your invisible structure is stronger than your visible structure, then you can end up with four different mines and every time you come in one week// one of the problems that we have is, um. we have five teams that rotate each week and, ah, in the past it was - it was a major problem that each team or panel had their own way of doing things// In terms of unwritten ground rules there is - there is a high need to be socially conforming because we all live together

From these remarks it is evident that this physical context creates a certain influence that shapes the structure and leadership.

One of the dominant themes to emerge from the interview analysis was **control systems and mechanisms**, if dominance was measured by the volume of remarks. While this was a dominant theme, there was little consensus on the overall direction that these controls shaped, let alone around the details.

There were several categories that were aggregated to make this theme: climate of compliance; illusion of control; lack of business basics; lack of metrics; and enabling leadership.

There were a number of responses that gave rise to the category of climate of compliance. Typical of the remarks that constitute this category were:

How do they influence me? Um. We have so many systems, procedures. Um, -every, you know, right down to performance reviews, all that sort - it's - it's a very - there is a whole lot of all these systems that we use that actually rule our life// Um. Budgets, okay. Very strong on budgeting. Um. Planning focus. Um. Not ridicule, but you know when you stuff up sort of thing. You know, there's repercussions there ... there's bureaucracy involved, and that's a management imposed structure if you like to - to making things happen// I make sure my guys are, you know, if there is various procedures they have to abide by, that I am aware of, then, you know, I will make sure that they've got abide by them as well. That sort of thing. So I am enforcing that//When you are given standards to implement that's purely what I am about at the moment and how we are going to manage that so there is not a lot of time at the moment for me to be looking at the leadership side and that's when I start to probably not feeling that we are getting there, and we're are not. Um. So for me. My focus is about standards and that's all about compliance

However, other respondents suggested the compliance was more intent than actuality, leading to a category labelled the illusion of control:

Control is not as good as it should be because the managers don't have access quickly to the information that would give them control// It is almost delivering the pseudo control if you like ... I

think because we are so blinkered in making sure that we fill out all the blanks and everything else in the system, then we are not actually - are we doing - are we doing the right report; are we getting the right information out. Is it the right control mechanism that we need?// Systems and procedures. Have a hell of a lot of them. Um. But - but we don't use them. Might be again the compliance is not there - we're actually not going to use it. So. So there's a lot of systems; a lot of procedures, but we just work outside of that all the time. Because it is too hard and because we are allowed to

Some respondents were more explicit in terms of what they saw as a lack of business basics which became another category that reflected some of the underlying meaning within this theme:

I would say that because of our higher requirement for governance, compliance it has quite a large impact. // And even if you don't fully agree with it, a management policy, you sort of have to be united and - and, um, be supportive of it// Once we get the base right, then that's what we will be able to do and that ... We have to do back to basics and go - well, this is, what this is and we are on the bottom line// with this new workforce, um, its - I think it is even more important that we get, the base is compliance and then you build your team behaviours, you're safety behaviour, all those sort of things and you can look at behaviour based safety, you can look at all those different things

One respondent articulated well the implications of this for leaders in the business as he described the journey toward a stronger leader-centred business:

but I think it is tripping itself up at the moment because it is not got its systems under control; it's business under control. So it is hard. I mean, if leadership is about change and it is about everyone trying different things and having - being empowered to do that and having the courage to do that but gees when your actual systems are out of control you've got all these people trying all these different

things and it is just - it's hard to keep up with. It is hard to know what's effective and what's not because there is just so much going on.

Another related category that also emerged was the lack of metrics. Within the remarks that have been coded to this there is an emerging sense of the influence this might have on the leadership drivers within the business:

you have this absence of effective monitoring which then allows people to exercise their authority without a commensurate level of accountability being applied, and that I think, tips the scale from effective leadership, is about assuming the accountability for leading the organisation, as opposed to just applying the systems which is about management// I said, these are your accountabilities; these are your responsibilities and this is what we're going to achieve. Provided some direction, but wanted to leave the creative stuff to them, so they had some sense of ownership // Gees, wouldn't it be nice if the groups dished out their own performance appraisals, right, on each other. Okay. This is what we have to do at the start of the year. Right. You guys are the experts. Here's your ground rules// So I think the tension can be either created or alleviated through the measures that the organisation uses and my observations, as limited as they are, are that a lot of the measures seem to be on management measures, not on leadership measures// On this wheel, we don't have very good performance measures. Now we measure - we have that much data, but we don't turn it into information and then we don't do anything with that information

However, despite these remarks by some respondents, others noted that these systems enable their leadership, making it easier and allowing them to look forward in terms of their leadership ambitions. Thus, enabling leadership became another category within this theme:

I think the [company] system makes it, um, yeah, makes my job easy as far as, um, people - compliance issues are concerned and safety and it's, you know, a big part of my day is safety. You know, in

starts in the morning and you know, as well as dealing directly, before coming in here so, in that sense, makes the job a lot easier// // the conscious effort is to spend, you know, maybe as much as 70% of the time over the next few weeks and certainly until January, say 3 months, and just, you know, working through on the managerial controls so that you can afford to lift your eye line, you know, and look into the future without tripping up right in front of you// And a lot of - a lot of the legacy systems that are out there, people forget that when they first use them it was painful, it was difficult, it took time and everything else, but eventually because you used it so much, it became common.

This leads to the next theme which was labelled ‘**Time Demands**’. There was an overarching category emerged around the lack of time and the influence this had on the respondents’ leadership orientation. There were also a number of categories that describe the factors that influence this time demand. These include work load, management system demands, safety and a substantial number of remarks coded to a category managing people.

There were many respondents who identified issues around perceived lack of time as a barrier to leadership as reflected in the following remarks:

We’ve got a big hurdle to get across, right, um, so we can get those - once those systems, um, are in place no matter what they are, whether it be safety systems or some of our reporting systems and all those sorts of things, once we get on top of those and then we can actually spend the time out there. Right. Leading people, making sure they understand why - why we are heading that way and how they can become a part of it// So, hopefully, a lot of this stuff will start to be corrected by prevention instead of trying to cure the problem all the time. Then I can start spending more time on the pre planning side; the, um, look at the options ... and start doing some direction in the overall leadership of the group// I am struggling to show leadership at the moment. Um. And I think that’s purely because of the amount of work that is sitting there waiting to be done and having no one really to delegate that to// I

think the tension is built up from around having the time and whether or not that's actually one of those things that is monitored and someone is held accountable for

The challenge of time demands was articulated from one respondent in a colourful vignette that is reflective of the wider responses when asked “what are the major influences driving the leadership – management balance?”

Um. Probably workload. You can plan, prioritise your day, about the things you are going to do; about spending time with, ah, the team leaders; coaching them; having a good conversation with them; talking to people, ah, one on one so you are actually out there, and people can see, right, where you want to go. But as I've said we have also been mandating that, um, you will wear a pineapple if these incident reports aren't done by 7 days; any action items, right, outstanding right by over 14 days, right, you will, right, finish these. So, then you think about okay, what's urgent, what's important and what I am trying to say first? Right. I can be the best visionary in the whole world, go out there, and, mate, spell the Gospel. If I am not here because I didn't do my interim reports, then it was just wasn't, you know, it wasn't that.

An earlier quote is indicative of respondents identifying their individual work load as a potential driver of their leadership orientation:

I am struggling to show leadership at the moment. Um. And I think that's purely because of the amount of work that is sitting there waiting to be done// don't have, right, enough time to be out there sharing that vision, setting the direction and all those sorts of things because, you know, like, everyone just seems, right, to be just so damn flat out// So in my role I guess it is easier to do the management stuff because that's very clear and when there is a lot of on your plate; it's hard to know. I mean, leadership takes a lot of time and energy// It is a lot easier to sit in the office and manage. If you are predisposed to that type of work; that you can manage simply by going into the systems or assigning work through the

email system or something like that as opposed to leadership which is a lot more face to face and a lot more creating a sense of motivation purely from the conversations that you

There were also many comments that reflected the time demands that are driven by the management systems:

I think because of the enormous workload generated through the computer systems... unless they've delegated all of that authority to their superintendents, then I can't see how they can spend enough time in leadership. Leadership by wandering about; having the conversations; talking to their people; understanding what their people need and where they're at// I think there - there is a lot of administrative stuff and closing off incident reports for instance, reviewing incident reports ... so we are currently getting bogged down with a lot of that work but it is work that we have asked for// The current climate we spend, um, a great deal of our time managing. To make sure the systems are right; to make sure everything, and probably - and don't have, right, enough time to be out there sharing that vision

Much of the commentary around the time demands focused on safety related issues, which are very much present in mining generally, and more so perhaps for the case study firm in response to a fatality that had occurred within recent time.

I think there - there is a lot of administrative stuff and closing off incident reports for instance, reviewing incident reports. I spend a lot of time doing that// a typical day would be to review the production, safety and production issues. One thing that is probably worthy of note, recently, is that safety is quite a time consumer in terms of addressing issues related to either incidents, if they've occurred, or going back through and reviewing the risk registers// I come in of a morning and I'll go through any incidents - any safety incidents, and investigating those if I need to, or approve any of those. That can take a lot of - a considerable - a considerable amount of time

The other major time demand reflected in the respondents' commentary were around *managing people*, but as is evidenced from these quotes, mostly this is framed in the context of managing where there are problem issues rather than in a more positive construct:

you have a lot of different pressures from a lot of, um, different areas and you have to fulfil all of those things and then it just takes one small slip up where someone has a problem, right, or there is conflict between two people, right. That could be anything from 1 hours to 1 week// Because of the issues on site with personnel and changeovers and having people who are disaffected and having to deal with them and the disciplinary problems and the management problems they create, eats a lot of his time// I'll sit down and quite rigorously go through it and question them all on it and everything else; and give my opinion and if it is a fairly heavy disciplinary action, it goes to [my boss]. So these sorts of things happen all the time. They're - they're not a 5-minute job; there are - you know, it could be 2 hours sometimes// The majority of the time is spent on human resource issues and people issues and it takes up a lot of time. I would rather be spending more time on strategic stuff but unfortunately people have problems and, um, I mean, it generally comes through me

These various quotations are each from different individuals, but the underlying meaning is consistent. Of all the quotes coded to this category, only one reflected human resource issues in a manner which might give rise to a positive dialogue:

I've got a couple of projects on the go at the moment. I am doing PDP [personal development plans] performance for my team leaders and co-ordinators so I am trying to finalise their mid years at the moment so that's - that's taken up a lot of time over the last - might be the weekend anyway

Interestingly, although these responses are all directed to burdens incurred through the formal structure or management system, when asked about future possibilities

one respondent highlighted the potential time demands incurred by invisible structures:

the invisible components of what constitutes the structure therefore or the norms, you know, make it harder for you. ... so I think it takes sometimes more time because it is - you've got go through more hoops where, if everything was clear and visible and this is how you did things here and you could sort of follow the rules very easily then it should be no issue to anybody//

The categories and themes described to date reflect largely organisational drivers that impose demands on the leaders.

However, there were two distinct themes that reflect the influence of other contextual factors on the leadership drivers of individuals. These were labelled the **relational context** and the **individual context**.

On the relational context, there were two distinct categories: the leader-respondent context and the influence of the crew.

When asked how the leader influenced their own leadership approach respondents answers typically revealed the fact that these leaders are also themselves followers:

Probably the biggest influence is obviously his attention to detail. And me then forcing myself to do it, and forcing my people to do the same// It makes me more self-aware of my dealings with [my boss] in terms of, um, making sure that I'm actually aware or how I am posturing, and how I am interacting with him to make sure I am doing the right thing in terms of that relationship// Well I feel a bit more empowered to lay down the law in regard to, um, performance related issues in that if somebody's performing poorly or I don't think is, um, quite up to speed, um, he has given me, sort of, the comfort to know that I can deal with it, and not threaten staff// I don't want to follow the same style of leadership that he has demonstrated. Um. And I am certainly on site a lot more and I feel that I am a lot more available to staff. Um. That's it// Um, it influences highly with, um, with the outcomes where we want to - what we want to achieve. Some small discussions we've had

influence the way I might approach an individual situation// being able to work under that leadership style gives you a lot of freedom, gives you a lot of latitude in terms of looking for solutions. It is not a prescriptive management style.

These quotes indicate that while the specific direction and extent of the influence may vary, the leadership style of many respondents are clearly influenced by their manager's behaviour.

Some respondents clearly articulated dissatisfaction with the leadership they received from the other leaders in the business and positioned themselves as followers as well as leaders:

Um. Well I suppose that - my biggest disappointment with leadership is that I suppose if you like, I expect a system that, developing individuals who - are capable of more responsibility and those that, um, that don't have that capability. I just - I just get uncomfortable with some people in - in leadership positions, um, not, um, setting a good example ... I guess I like a strong leader myself; I like a strong manager. Well, not so much manager, a strong leader and even to say to me, this is where we are heading.

Um. And this is what I expect from you// And I said that to him, I would like to stay but gees, you know, would like some direction.

Um. Some support really

One respondent argued simply that the leader behaviour did not affect his own leadership styles and preferences:

I don't think it affects - affects my style at all, but I have noticed - certainly noticed a change in [my boss] in the last 6 months. He is becoming - I think he is sort of trying to push that - that, um, abruptness that he has down and I think that's positive

The other key relational category that emerged was the influence of the crew. Typical of the quotes that comprise this category are the following:

Now where you've got, half your crews have no skills, um, that leaves us in a position with very limited flexibility and you say, okay, and we still have to put forward all our local employment issues so

while still doing that we still have to be productive// I have to step in often and warn people, particularly new starters that they're not up to the expected standard that they should be at the level of training and, um, point out specific where they need more work and development // Once again the biggest problem we have is not being able to take them the next step on where do they want to go// I start to look at everything from how we plan and organise our day; how we are currently developing the skills of operators; yeah, any issues that we've got - so we cover conflict resolution. I look at any promotion systems; talk to the production assurance co-ordinators; how we are gathering the data and can we present it better// Some people, um, and you must know, it doesn't matter how much, right, you spend time with them, they will still say, like, I'm here for this at the end of the week, and you can be as nice as pie to me, you can do anything you like, I'm doing what's required, and that's it// I just - because most of our people have a lot of experience; because they have a lot of technical skills and because a lot of the areas I don't know enough about them to be technically orientated, I have to either trust them or look at their outputs and say, are they achieving what they are meant to do.

Thus there are some critical influences that are driven around the team follower dynamic that influence the role of the leader and their leadership orientation.

The final theme that emerged from respondents' commentary around the influencing the leadership – management balance is **individual context**. The individual context emerged from categories that were labelled personal context and role context.

Personal context was a category label used to reflect a number of codes that are associated with personal leadership styles and preferences, and the influence of experience.

The codes of *personal leadership style* and *personal preferences* captured the following typical respondent remarks:

I could see myself as a world-class manager and a leader in the making. Right? Because there - I am very strong on management, always have been; it's my inherent style in terms of, you know, the administration control, try and rigour, minimising, um, bad surprises and the risk. That's what I've always excelled at// Yeah. I struggle more the leadership side. I have no problems managing the control on the managerial side, and I have reasonable rapport with my guys// It is probably - probably just myself, I think. I - I am reasonably assertive but I wouldn't say I am, you know, right out there in the extrovert field. I tend to be more introverted than extroverted. But, yeah, I get along with people, so I think that would probably hold me back a bit on the leadership side. And I do, I am a control person// I can see, once we've got these guys set up, I would like it probably to be, you know, like, I'd like probably 70% of our time being spent with the guys doing the good leadership stuff. Going out talking to guys and then 30% working on the processes or the systems or the management, the real McCoys

The other category that contributed to the theme of **personal context** was the personal history. This included codes that were *influence of experience* and *influence of history*. Examples of the remarks under these categories were:

I mean we've had that sort of leadership over the time because I've come through the ranks from, you know, when I was here as a contractor or consultant I was looking after, you know, big drilling programs and big groups of people still// He was a control freak ... so I was - I was just a shock absorber to make sure that negativity never got down to the crew. Because when I got there it was an absolute shocker because he was getting right down to the workmen and just making - everyone was depressed and whatever// Sometimes there are risks that you've just got to live with. Or uncertainties that you've got to live with instead, and I think the longer you spend in these sort of roles, then you just get more comfortable with it// I suppose the reason behind that is because it is a product of my background of 15 years in the military

organisation where, um, the formal structure, um, does achieve results, if it is applied properly

The other category that was part of the overall theme of individual context was role context. This included remarks coded as ‘influence of professional training’ and ‘influence of role demands’.

The coding of remarks to *influence of professional training* captured remarks that suggest certain training and disciplines predispose one to prefer a certain mode: more leadership oriented or conversely, more management oriented. Examples of influence in each direction – managerially oriented and leadership oriented – are both evidenced in the interviews: viz.

I would be a bit different. I think from most, especially even up to this level because I've had the opportunity to see the value that leadership adds through the two year diploma.

And conversely:

I am a control person. ... I've always got an electrical background; I'm an electrical engineer. Seems to come to that sort of profession. A little bit meticulous

Making up the other dimension of this final category were remarks coded under the *influence of role demands* reflected in the following remarks:

there is still that work required but because again the role of the technical support department is also to provide that governance structure, I think, you know, through myself and the teams we will just have to focus a little bit on the more control side of things// taking that step in this role is that - I don't have all the answers. I can't expect to have all of the answers, a lot of this about intuition and getting it 80% right and making it happen; and 20% will probably come or it won't. I can't wait till I have all the answers or assess something to the n'th degree of detail before we actually go and make it happen ... you take out big risks and you minimise the obvious risk but without actually constraining yourself// Ah. Well, I mean, my role, implicitly my role is basically the need for change. Right. We've got to create value. We've got to make things happen,

make changes to improve// I suppose the requirements for me to finish this project anyway require that I do spend a lot of time - my time thinking about the more strategic vision rather than the operational stuff// When you are given standards to implement that's purely what I am about at the moment and how we are going to manage that so there is not a lot of time at the moment for me to be looking at the leadership side ... my focus is about standards and that's all about compliance

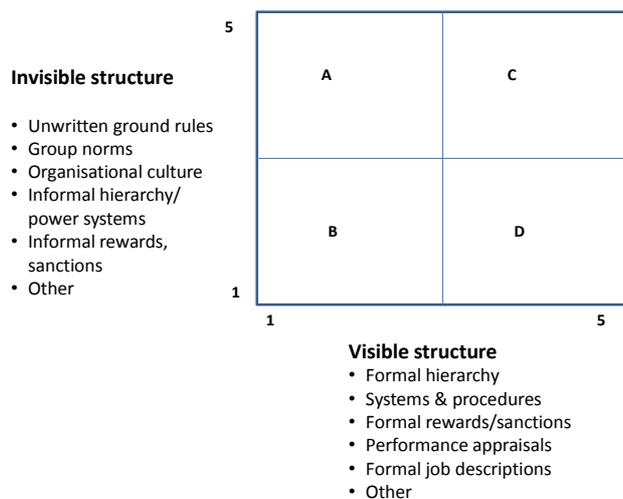
It is clear from these remarks that the role demands and the professional training shape the leadership orientation of individual respondents.

4.3.5 Structure Preferences

The concept of structure was explicitly introduced into the interview as described in Chapter 3 to ensure we elicited specific comment by respondents on this concept central to the research question. Respondents were shown the schematic at Figure 4.14 below representing the visible and invisible structure (x and y axis respectively), and asked to rate where the organisation currently sits in terms of relative strength of these structural dimensions.

Figure 4.14: Investigating Current Structural Balance

Where does your current organisation fit on this schematic?



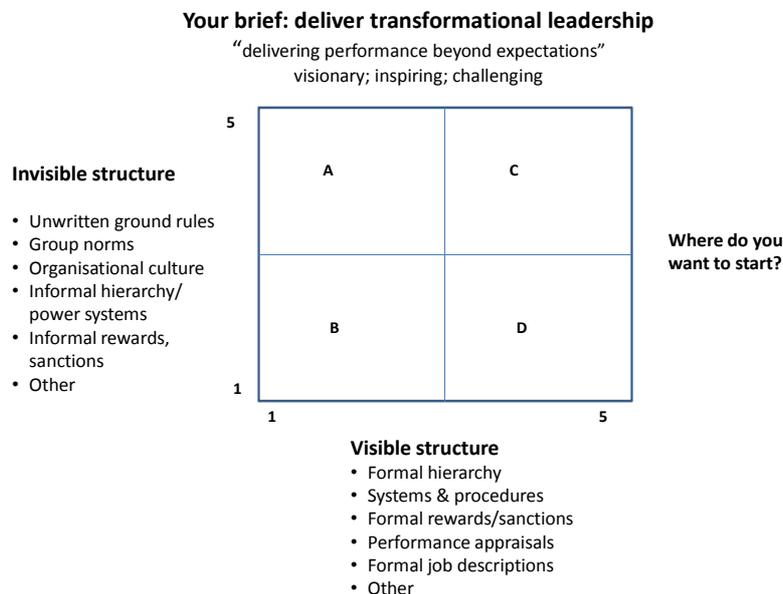
In responding to the question, respondents indicated the current position of the organisation by inserting an appropriate mark on the graphic, and explaining their rationale in words which were later transcribed. Whilst the graphic provides a simple shorthand way of respondents expressing their perceptions, its primary purpose was twofold:

- Establish a basis for a conversation around the extent and influence of structure
- Provide a ‘baseline’ for a discussion of preference for structure to support transformational leadership

The perspectives of respondents on the current structure are articulated below.

Respondents were subsequently asked where they would like to sit if their brief was to deliver transformational leadership: creating performance beyond expectations; being visionary, inspiring, challenging using the same construct (Figure 4.15).

Figure 4.15: Investigating Preferred Structural Balance for Transformational Leadership



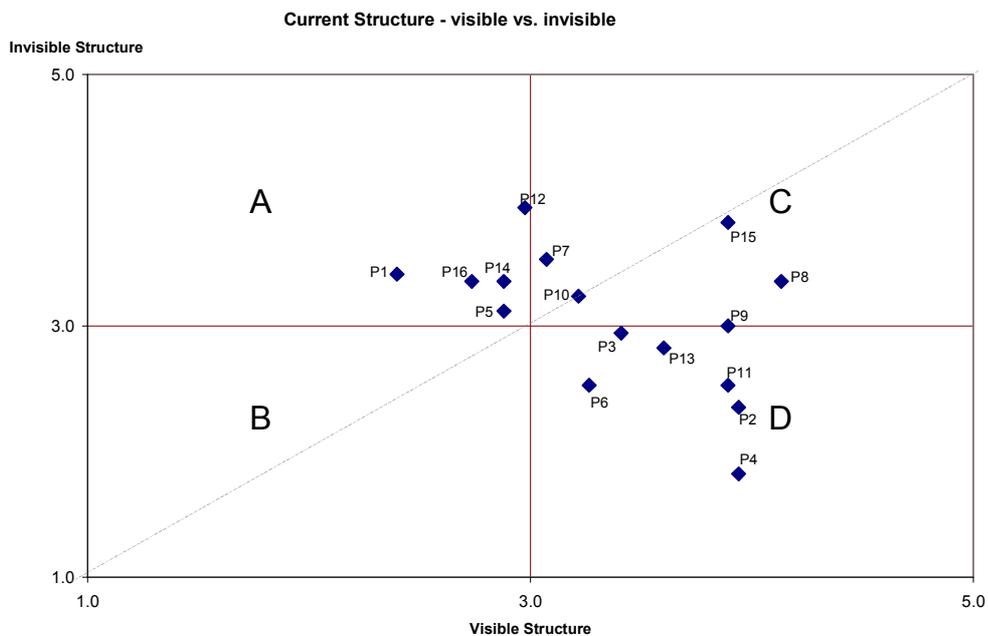
The juxtaposition of the current perception of the visible and invisible structure against the preferred visible and invisible structure when pursuing transformational leadership provides an insight into the extent to which visible and/or invisible

structure support and enable transformational leadership, or operate in a manner that disallows or disables transformational leadership.

4.3.5.1 Current structure balance

Figure 4.16 below shows the responses of participants in terms of describing the extent of the visible and invisible structure within the case study firm. For the purpose of describing the results, it is convenient to use the midpoint axes as the separator between ‘high’ and ‘low’ visible and invisible structure. Thus, for example, quadrant A below can be described in terms of relatively low visible structure with high invisible structure.

Figure 4.16: Current Structural Balance – Visible vs. Invisible



A number of observations may be made based on this data:

- perhaps the most immediately obvious observation is that none of the respondents rated both visible and invisible structure low;
- 11 of 16 respondents rated the strength of the visible structure above the scale midpoint;
- 9 of 16 respondents rated the strength of the invisible structure as above the scale midpoint;

- half (eight) of the respondents rated visible structure as being stronger than the invisible structure. Of the remaining eight, six respondents rated invisible structure as being stronger than the visible structure. Two respondents rated visible and invisible structure as virtually indistinguishable in terms of relative strength;
- 5 respondents rated visible structure high (i.e. greater than three) and invisible structure low (i.e. less than three) - quadrant D;
- 4 respondents rated invisible structure high (i.e. greater than three) and visible structure low (i.e. less than three)- quadrant A;
- 4 respondents rated both visible and invisible structure high (i.e. greater than three) - quadrant C.

The three data points which appeared to overlap one of the axes are not included in these numbers, although the respondent commentary is included.

As evidenced in the graphic above, and as has already emerged from other data collected, there were a range of views about the current extent of the visible and invisible structure. The range of views around visible structure is reflected in the following extracts:

From **‘we are actually very good at this’**

Look we are definitely up there in a formal structure so we are in quadrant D ... there is a lot of formal visible stuff that's there. We are actually very good on this (visible structure) from an actual mining perspective here// formal systems exist in the business and are quite strong// So we have formal performance appraisals and everything else; job descriptions, we have them but how relevant are they; they are slightly relevant. We tend to do whatever needs to be done so we are fairly flexible// we've got a high degree of visible structure, but at the same time there is a reasonable amount of - " this is the way we do things

At the **other end of the spectrum:**

I think visible structure, I mean at the moment, I think we're just not applying everything that is in place resolutely therefore non-

compliance with what is already laid down makes things difficult when you enforce compliance// control is not as good as it should be because the managers don't have access quickly to the information that would give them control

A similar range of views around the extent of the invisible structure is evident from respondents' commentary: viz.

Invisible structure is very strong:

I think it is high, reasonably high on the invisible structure. There's a culture here that is, it is fairly strong. And that's just - probably evolved over the last 17 odd years. So I think they are high in there.

To the midrange:

I'd say we've got pretty - you know, we've got a high - a high degree of visible structure; but at the same time, there's a reasonable amount of - "this is the way we do things".

To the respondents who regard **invisible structure as relatively low:**

there is a little bit of organisational culture that probably drives [my boss] there and that's all I'll say. You know, I wouldn't rate it down 1; it's probably down around about 2, I mean, 2 ½. There's some of that in there. Informal hierarchy, empowerment; don't really see that

4.3.5.2 Preferred structure balance

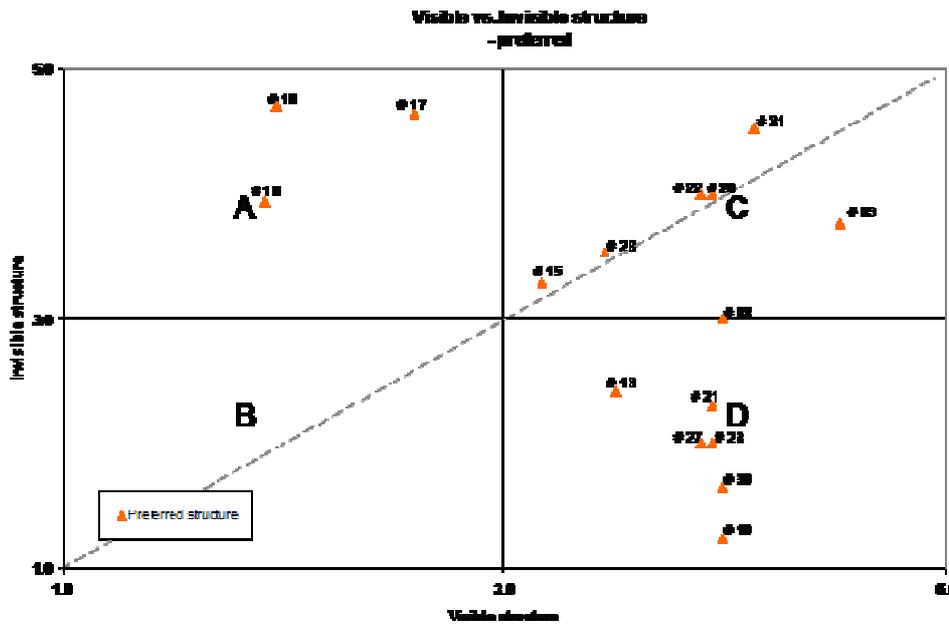
After respondents had completed their discussion of the current structure they were then asked to identify what would be the optimal mix of visible and invisible structure to enable them to deliver transformational leadership.

Whilst recognising the limitations of the graphic discussed earlier, it is interesting to look at the distribution of preferences on the same 2x2 matrix. These results are shown overleaf.

Notwithstanding the caveat already expressed regarding the vagaries of this format, there are a number of observations that one might make in response to this data:

- firstly, notwithstanding the negative influence of visible structure articulated by some respondents, the vast majority (13 of 16) of the respondents believe a significant amount of visible structure (greater than a mid-point rating) would support their efforts at transformational leadership;
- no one wants "weak" structure -i.e. no respondent is positioned in quadrant B;
- at least half of the respondents (nine of 16) believe a significant invisible structure (greater than a mid-point rating) would assist their efforts to deliver transformational leadership.

Figure 4.17: Preferred Structural Balance for Transformational Leadership

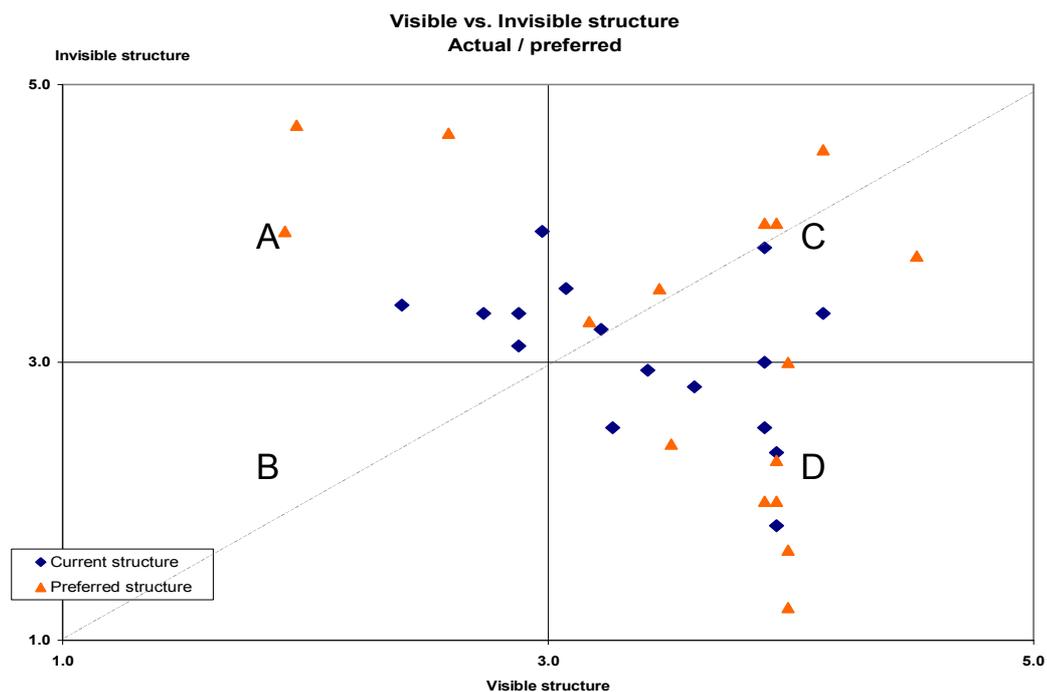


Displaying the respondents preferred structure mix against what they perceive as the current structure mix strengthens the suggestion at least implicit in the above data that respondents see structure, in both its forms, as useful in pursuing transformational leadership.

4.3.5.3 Interpreting the difference

Looking at Figure 4.18 overleaf the image suggests that respondents' prefer a greater degree of overall structure to support transformational leadership compared to what they are currently experiencing in their workplace.

Figure 4.18: Current vs. Preferred Structural Balance for Transformational Leadership

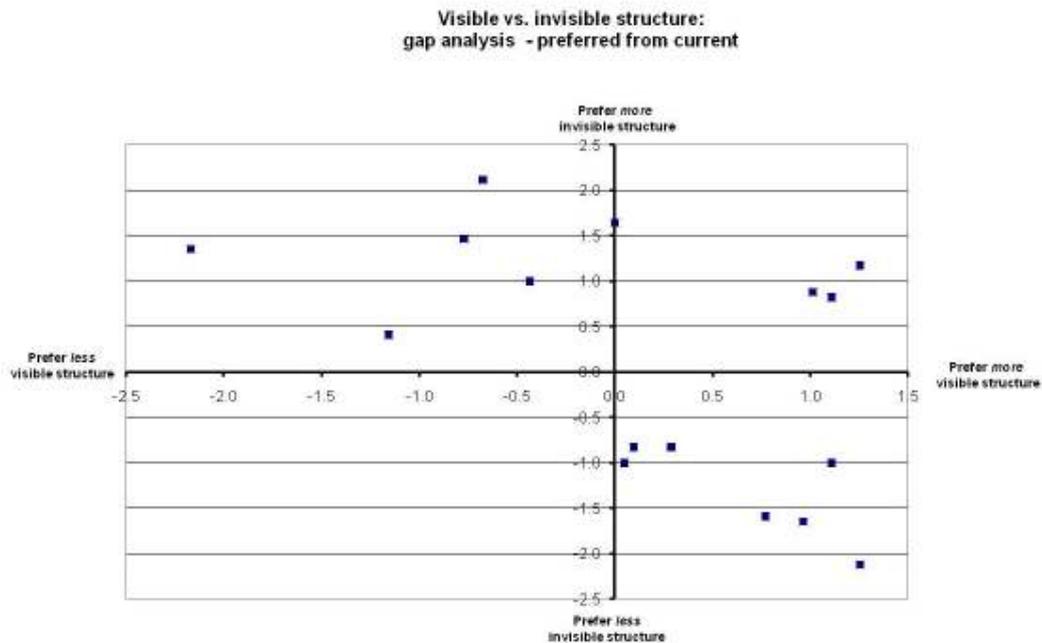


Finally, this can be simplified by looking at a gap analysis between respondent's 'preferred structure' against their perception of the 'current structure' as shown in Figure 4.19 below.

The horizontal axis indicates the gap between the respondents preferred visible structure versus the current visible structure. The vertical axis indicates the gap between the respondents preferred invisible structure versus the current invisible structure. Thus, if a respondent rated preferred visible structure as 3.5 and current visible structure as 3, then on the graphic below the x-axis this would appear at + 0.5. Similarly, a preferred invisible structure of 3.7 versus a current invisible structure of 2.8 would result in a y-axis value of 0.9.

Thus, any data points above zero on either axis indicates a preference for a greater degree of structure on that dimension: either visible or invisible.

Figure 4.19: Making the Structural Trade-off



Again, a number of observations can be made on the basis of this data:

- none of the respondents wanted less of both the visible and invisible structure;
- only three of 16 respondents wanted more of both visible and invisible structure;
- nine of the 16 respondents wanted more invisible structure;
- nine of 16 respondents wanted more visible structure.

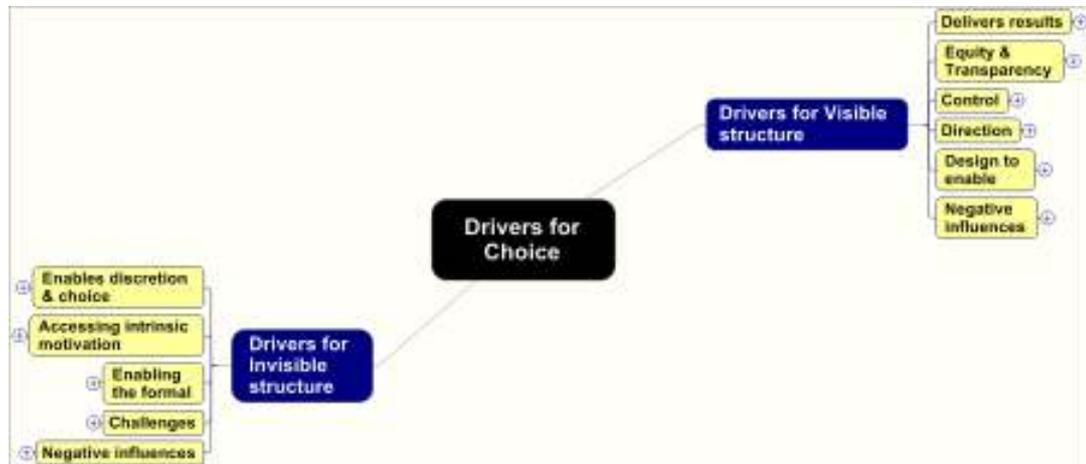
This data again reinforce the overall message from this part of the research: respondents generally wanted more structure than feel they currently have, by the invisible or visible, but only a few wanted more of both.

4.3.6 Preference Drivers for Structure

After respondents had described their structure preferences to support transformational leadership, they were asked to describe why. The respondents

remarks were coded and categorised to emerge the underlying drivers for structure – visible and invisible – as shown in Figure 4.20 below.

Figure 4.20: Preference Drivers for Structure



The sections that follow discuss the categories of meaning that emerged from the analysis of the respondents' comments. It is important to appreciate that respondents were not uniformly for one dimension and against the other: often they spoke of the value of both visible and invisible structure in supporting transformational leadership.

4.3.6.1 Preference Drivers for Visible Structure

The emergent categories that reflect the preferences of respondents for visible structure to support efforts at transformational leadership were: delivers results; equity and transparency; control; direction; and design to enable. There was an additional category labelled 'negative influences' that described the barriers that visible structure creates for transformational leadership.

Some respondents simply asserted that visible structure delivers results:

15 years in the military organisation where, um, the formal structure, um, does achieve results, if it is applied properly// I mean, successful sporting team or just individual sportsmen, I mean, they will have a very regular and highly structured disciplined approach which is what we need

Other respondents saw formal structure as providing equity and transparency:

How to do that in a - within a large organisation, um, would be - would be very difficult, I think. Um. Just because the - I think the number, you know, the number of people - what's fair; what's reasonable; what's consistent// To move it forward so that people get to something which they can have reliance on; consistency, delivers output to them in a consistent way; they're treated fairly etc. Probably that would give you more scope for making those changes// Because, well, to gain fairness, consistency and application then you have to use some sort of system to get a base

Still other respondents chose greater visible structure on the basis that it provides a foundation of control:

I don't think even that's about management, I think, in allowing management systems. Get things under control. So that they can be understood and you can improve on them// But you need a basic set of public - these are the ground rules and providing you have capable leaders of interpreting that and applying it consistently, then you can run

There was a related category of direction, where respondents saw visible structure as enabling through clarity of direction:

If you don't have a good visible structure where people can see where they fit in the organisation; how they're meant to behave, where are their boundaries etc. then they will tend not to go in the direction that you really want them to// these things [formal structure] actually - they're the goal posts, they're the boundary line which we work provides structure form and a - you know, a process in which, through which we operate// I think that, um, I think that having a visible structure is important because having clear expectations; having clear targets to me, gives people the vision and allows them to see what they need to achieve// It is more about taking them into the future, you know, bring them along for the ride.

So, yeah, if you've got these, the systems in place, everyone knows where they stand and don't - you can concentrate on that

But there were some caveats on the visible structure, particularly an orientation that requires that these systems are designed to enable:

to get there you would need to actually reduce some of the bureaucracy that's sitting in the visible structure. Some of the systems and procedures would have to be less rigid than they currently are. Less prescriptive than they currently are so people can exercise more in the unwritten ground rules// these things [formal structure] ... provides structure from and a - you know, a process in which, through which we operate ... all these things are meant to enable; if they are enabling then I believe they should be there

There were also those respondents who argued from a position which saw visible structure as a negative influence:

[invisible structure] allows people to be their own - um, to not feel inhibited boxed in if you like by some structural or procedural thing. It can tend to cloud their visionary - or cloud their creative ideas. ... you can have absolutely fantastic outcomes but also shocking ones// a lot of people don't like visible structure, they find it too restrictive; they find it unrewarding// so people can exercise more in the unwritten ground rules. And I think that, to me, is a classic ground for good - good leadership. Good leaders have the ability to exercise judgement, um, whereas you're actually - the more you want to proceduralise the more you want to rely on - on this [visible] zone, then you're actually constraining the ability of leaders to actually influence where they are going

4.3.6.2 Preference Drivers for Invisible Structure

The emergent categories that reflect the preferences of respondents for invisible structure to support efforts at transformational leadership were: enables discretion and choice; accessing intrinsic motivation; and enabling the formal. In addition, there emerged from respondents some explicit challenges in using invisible

structure to support transformational leadership efforts, and there were some respondents who saw invisible structure as a negative influence on transformational leadership.

The category of enables choice and discretion reflects ideas of flexibility, personality and individuality, and dismantling inhibition:

You need an element of this [informal] to have a bit of personality and a bit of individuality as well; and a bit of good team work stuff as well// I do think, you know, organisations need a bit of flexibility and there must be some things which are invisible, you know, to allow a bit of manoeuvring because I think that's a competitive edge// too highly structured you lose flexibility and I think you do lose the opportunities that come with flexibility

Other respondents spoke of the need to access intrinsic motivation:

It's intrinsic motivations rather than extrinsic. We don't need to have the chart on the wall saying that this is - how we, you know, how we do something because we just know it. So it is very much having an organic culture that's in there. That's inbuilt that we don't walk past shit and rubbish on the ground; we pick it up. Um, so that would be - you do need some visible structure in terms of corporate governance - but for true - you know, leadership, and that, it is really just got to be that they go there because they want to go there not because they have to go there// Invisible structure through supporting, through informal rewards, creating a bit of ownership within the group itself, empowerment and group norms// you can concentrate on that [invisible] and people know where they stand. It is more about taking them into the future, you know, bring them along for the ride. So, yeah, if you've got these, the systems in place, everyone knows where they stand and don't - you can concentrate on that [invisible]

Other respondents spoke of the importance of invisible structure as enabling the formal structure and ultimately the transformational leadership:

It has got to be a combination of both// this [informal structure] if it's working for you can make this [formal structure] function so much better, and actually, you know, also we make a lot of it redundant ultimately in terms of some of the hierarchical systems and that sort of stuff

Respondents highlighted some particular challenges trying to use invisible structure to support transformational leadership. The first one is how one creates or influences an invisible structure.

Well. I am not sure how you go about creating the invisible structure. I suppose, um, I mean, especially if you are going into a new organisation

Another respondent discriminated among different dimensions of the invisible structure:

Group norms, okay in the majority of cases, however you need to be fairly flexible in this sort of organisation. Organisational culture, I would actually say - well, yeah, we need to have a very high level organisational culture. So I would be taking organisational culture up to a 5 heading into the C area - But unwritten ground rules I would be heading back down this way. You know what I mean? So, but I am think of - I am quite into - I think informal rewards and sanctions are a good thing.

Another respondent articulated a felt need to make 'invisible' structure 'visible' without losing anything:

Culture definitely up, organisational culture. That isn't invisible? I - it is an invisible one, though. I mean, I wouldn't want organisational culture to be invisible. It needs to be -

[INTERVIEWER:

Okay. So you want strong culture, but you want it to be very apparent, very transparent]

RESPONDENT:

Yes. That's right. Yep.

The negative influences of invisible structure centred around its invisibility and with this, a lack of transparency. The consequence is a greater demand on the time and energy of leaders: operating within an unknown system whose definition cannot be clearly established imposes demands that are not present in the visible, formal system.

you will find that you will have to argue against something that you don't know, so, you know, the invisible components of what constitutes the structure therefore or the norms, you know, make it harder for you. You can't verify any of it, not on the spot ...

... it takes sometimes more time because it is - you've got go through more hoops where, if everything was clear and visible and this is how you did things here// from that leadership perspective, you would say, well, you know, you sometimes have to spend more time and energy

These abstract descriptions were made more concrete by one respondent:

take a typical example of informal rewards or sanctions or whatever you like, if they're formal, people know. Ah, if they don't, then they will tend to say, well, he got rewarded and I didn't ... I understand why he got rewarded, but over here I don't. This one [invisible] tends to - you need a lot more management in that particular area, I think.

4.3.7 Interplay between Visible and Invisible Structure

Many of the respondents explicitly articulated the concept of interplay between the visible and invisible structure. This idea is succinctly reflected in the following quotes:

it doesn't matter whether it is a small company or a big company, there will be both formal and informal hierarchies within that organisation. It is how people within that organisation choose to use that// Hell. You know, I think the visible structure is easy stuff. It is pretty much laid out. It's invisible stuff that adds a degree of complexity to our job, particularly around, you know, the

organisational culture and, you know, the unwritten ground rules in terms of, um, you know, this [the visible structure] is how it should work, and this [the invisible structure] is causing it maybe to work in a different way

One theme to emerge was the role of formal structure in setting ground rules and establishing boundaries so ‘people know where they stand’. Within these boundaries established by the formal structure, however, these respondents see invisible structure as the primary motive force: viz

Whilst that’s the formal process, yes, you have to follow that in any event but in order to get things done and to - to have support for where you want to go. I think it’s in the informal structure that is far more powerful than the formal one// I think, ah, the visible is expected to be done. So you are expected to go through the formal process as a minimum. You can enhance and accelerate by using the invisible// I believe things - these things [formal structure] actually - they’re the goal posts, they’re the boundary line which we work provides structure form and a - you know, a process in which, through which we operate, but this [informal structure] if it’s working for you can make this [formal structure] function so much better

The other theme to emerge was the idea of a systemic interdependence between the visible and invisible structure: the notion that a shift in one dimension of structure was necessarily linked to a shift in the other structural dimension. For example, two respondents explicitly proposed that the invisible structure may ultimately make parts of the visible structure redundant. Extending the previous quote:

this [informal structure] if it’s working for you can make this [formal structure] function so much better, and actually, you know, also we make a lot of it redundant ultimately in terms of some of the hierarchical systems and that sort of stuff.

Or:

Yes. I mean, everybody, with this one here [visible structure], everybody knows where they stand on the visible structure, but you

know, if we are going through change now there needs to be a visible structure so the people know where they stand, and then once the culture is there and it is embedded in, well you might be able to transition back to where it becomes less visible but they know it is there

The notion of systemic interdependency between the visible and invisible structure is explicitly identified by another respondents in a slightly different context:

And on invisible structure, we're probably reasonably high in that because of the lack - not lack, but because of some of the shortfalls of the formal structure or visible structure, that tends to compensate for it.

4.4 Summary of Findings

This chapter has presented a substantial volume of data from three distinct phases of the research involving qualitative survey data from more than 100 leaders from two distinct organisations, and detailed interview data from sixteen of the respondents from the major case study firm.

To enable this information to be analysed it was important to draw the data from these distinct phases of the research together into a manageable framework.

The first step of the synthesis was simply to 'see' the whole picture on a single page through producing a summary of the themes that emerged from the distinct phases of the research. There were a total of forty six themes that emerged from the analysis of the total research data set: fourteen themes emerged from the analysis of the qualitative survey data from firm A; another eight themes from the qualitative survey data from firm B; and a further twenty four themes from the detailed interview findings. These themes are shown together in a single mind map in Figure 4.21 overleaf.

There were essentially four focal issues that emerge from the overall data set that are directly relevant to the central research question:

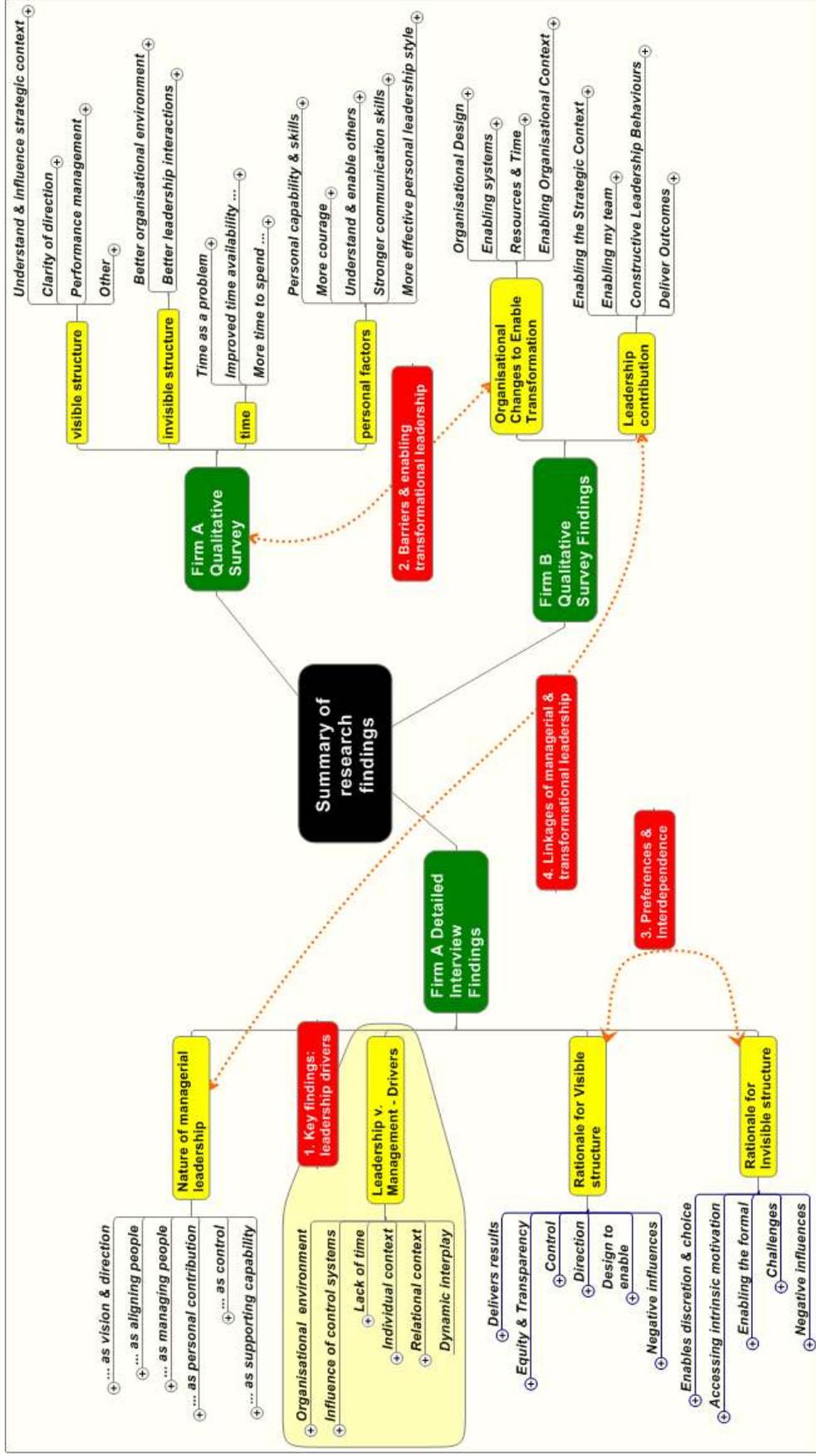
- Drivers of leadership and management;
- Barriers and enablers of transformational leadership; and

- Structural preferences to deliver transformational leadership.
- The nature of managerial leadership and its relationship to transformational leadership;

The research themes that emerged from each of the data were then reviewed as a complete data set, looking for emergent insights and new theoretical possibilities.

From a review of the totality of the research data there emerged an overarching framework for analysis of the results. The framework captures three core dimensions of the data: the visible structure; the invisible structure; and 'time' (see Figure 4.21). Each of these dimensions reflects an important part of the insights that emerged from the respondents' stories.

Figure 4.21: Summary of Research Data



The major themes that transcend the two firms under visible structure were:

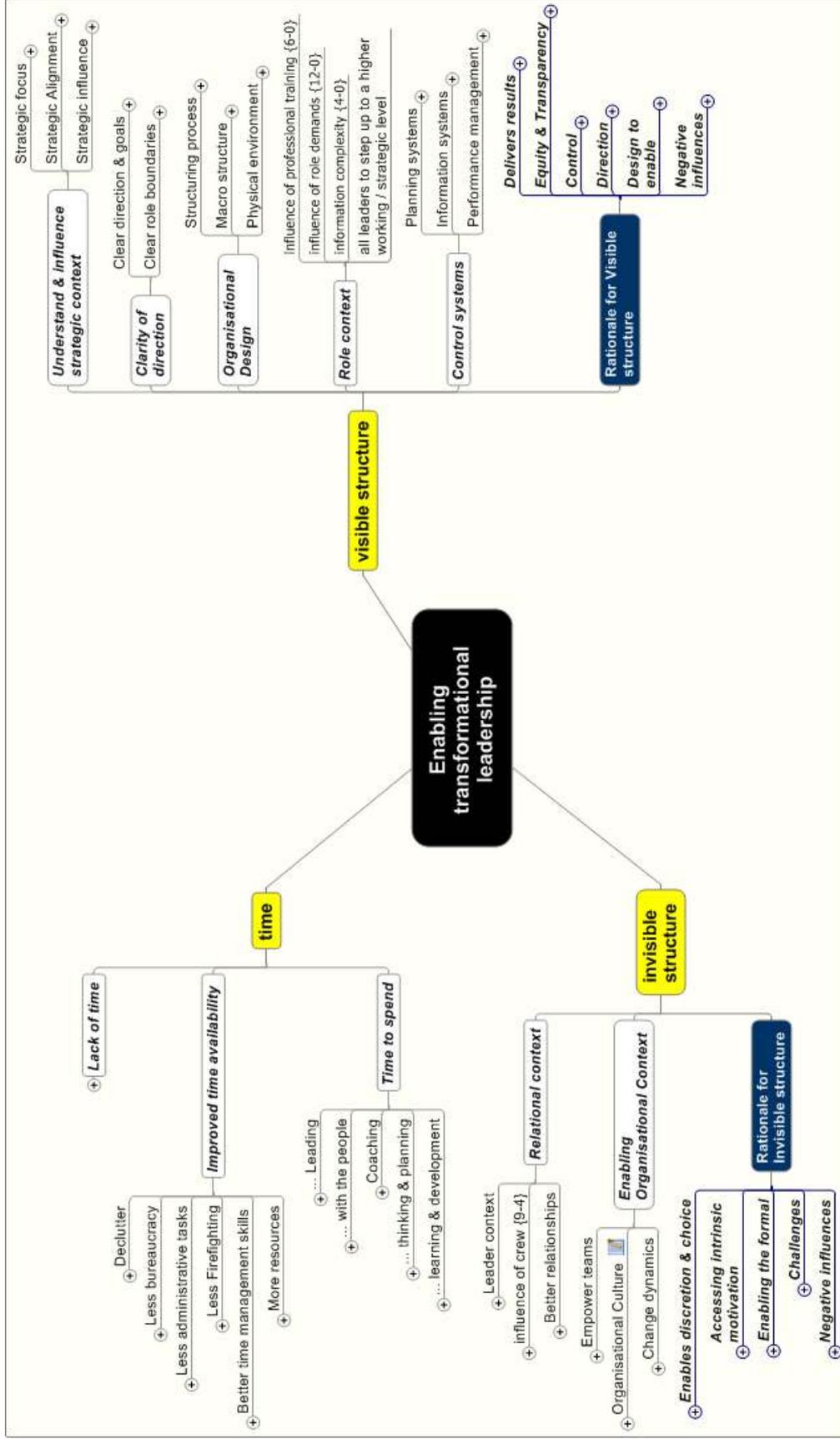
- Understand and influence the strategic context;
- Clarity of direction;
- Organisational design
- Role context
- Control systems

The major themes that transcend the two firms under the rubric of invisible structure were:

- Enabling organisational context; and
- Relational context

Chapter 5 discusses the results under each of these headings, with similarities and differences between the firms explored, and linkages made to the extant literature. In addition, the data also point to a number of other facets of the transformational leadership literature theory and practise. These ideas are explored and some fresh insights offered which this researcher believes are useful contributions to the literature.

Figure 4.22: Synthesis of Research Data – Core Dimensions of Barriers & Enablers



5. DISCUSSION

The previous chapter provided a comprehensive descriptive account of the findings of the research with extensive use of quotations from the respondents from the two case study firms. At the conclusion of Chapter 4 the researcher developed a summary and initial synthesis of the research findings. This led to the emergence of a series of explicit themes in terms of visible and invisible structure. In addition some further areas emerged that warranted further discussion in keeping with the qualitative research tradition.

What follows is a detailed analysis of the findings, drawing from the researcher insights and the existing literature. This analysis is presented in two parts. The first addresses the central research question:

Does the organisational context create structural barriers to transformational leadership? And if so, what is their nature?

The second part addresses the implications of these emergent ideas and insights, some of which go beyond the original research question.

5.1 The presence of structural barriers to transformational leadership

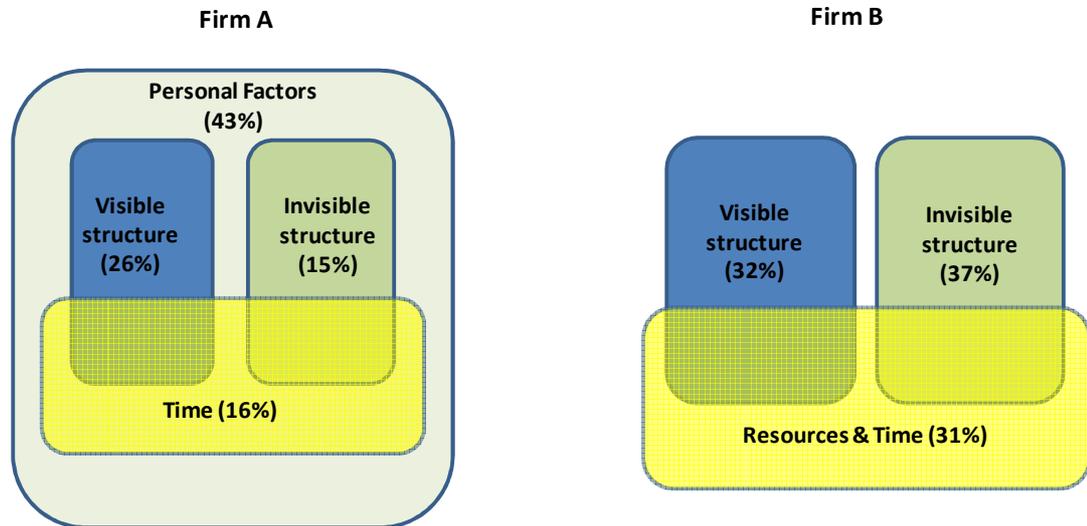
The central question of this research was: ‘Does the organisational context create structural barriers to transformational leadership? And if so, what is their nature?’

At Firm A the qualitative survey asked respondents to identify what they would change that would enable them to become more transformational leaders (using a simplified description of transformational leadership as ‘producing more than expected’). In this instance, there were no boundaries or directions as to the nature of the changes they could opt for. This allowed respondents to identify personal issues if they felt them important enough to fit into their top three changes.

The results were categorised into a four factor model as shown previously in Chapter 4 and reproduced below (Figure 5.1), incorporating the respective weightings of the various factors. A similar approach was undertaken in summarising the emergent themes from the respondents at Firm B. This produced a three factor model (Section 4.2.4) which was very similar to the model that emerged from Firm A excluding

personal factors. Again, the resultant model and respective weightings are shown in Figure 5.1 below.

Figure 5.1: Synthesis of Research Data – Common Factors



Given the focus of this research is on potential structural barriers to transformational leadership, the apparent dominance of personal factors at Firm A seems quite marked. However, when visible and invisible structural responses are aggregated then structural factors collectively account for virtually the same level of responses as personal factors. If one could posit that the “time” factor is, to a significant extent, a consequence of structural factors then, indeed, structural factors could collectively account for more than 50% of the factors that respondents would change to enable them to deliver more transformational leadership within Firm A.

In other words, when respondents in Firm A were asked in a completely open ended way what they would change to enable them to become more transformational leaders, more than half of the responses identified potential structural issues. Interestingly, a search for literature that focuses on creating organisational environments which support and enable transformational leadership revealed virtually no substantive literature. By contrast, there is a vast literature around leadership development.

These results are at least suggestive of the likelihood that structural factors do represent potentially significant barriers to transformational leadership. The absence

of reference to personal factors within Firm B that were so significant in the Firm A data can reasonably be assumed to be a result of the framing of the question. In Firm B respondents were specifically asked to identify ‘organisational factors’ they would change, thus excluding personal factors from consideration.

These results, with such a high level of effect attributed to structural factors, are consistent with the commentary of Fiedler who has remarked that instead of spending yet more time and effort on trying to improve leadership selection processes organisations would be better served creating situations that enable leadership:

We cannot make leaders more intelligent or more creative, but we can design situations that allow leaders to utilize their intellectual abilities, expertise and experience more effectively

(Fiedler, 1996, p. 249)

A similar theme is espoused by Jaques & Clement who argue strongly that the obsession with leadership development programs is misplaced:

neither effective leadership nor effective leadership development is possible unless the organizational conditions are right

(Jaques & Clements, 2007, p. 28)

They go on to outline what they believe are the critical dimensions of such organisational conditions: a system of organisational structures, accountabilities and practises that will “make it possible for ordinary people to exercise effective leadership” (Jaques & Clements, 2007, p. 15), where this leads to followers enjoying working together willingly and enthusiastically. It is credible to imagine that this leads to the outcomes of transformational leadership: people going beyond expectations.

Researchers focussing on the influence of context and its influence on broader organisational behaviour have argued that context is a ‘tension system’ or force field comprising opportunities and constraints, and, importantly in the context of this research:

constraints can be as important as opportunities in determining the occurrence of organizational behavior

(Johns, 2006, p. 387)

Whilst the research was not quantitative by design, inevitably the qualitative survey does give rise to numbers that do cause the researcher to consider some of the quantitative outcomes. In particular, the difference in the relative contribution of the various factors between the two firms is notable, particularly the variation in the relative strength of the 'visible structure' within Firm A (roughly 50% greater than the other structural and time factors). If the reader reverts to Section 3.6 there are a number of contextual differences that are described that may create a potential explanation of these differences. These will be explored within the detailed discussion through the remainder of this chapter.

Two contextual differences that are immediately apparent and would seem to have some face validity as potential contributors are:

- the difference in the hierarchical levels of respondents – Firm B respondents sit at higher level roles; and
- the different position of the firms in the change cycle. Respondents from Firm A having been enveloped in a transformational change program for more than 2 years. By contrast, the respondents from Firm B are about to embark on a change program.

Both of these factors are explored in the sections that follow as the researcher describes in detail both the differences and the similarities between the two firms and explains this in terms of potential contextual factors.

However, in summary, at a macro level it is clear from the respondents' comments from both firms that contextual and structural factors are significant influences upon the transformational leadership of the respondents.

The detail of the influences that shape the balance between leadership and management – or transformational and transactional leadership – and the changes respondents would make to enable them to become more transformational are described in the sections below. The visible structural factors are discussed first – understanding and influencing of the strategic context; clarity of direction; organisational design; role context; and control systems. This is followed by the discussion of invisible structural factors: the relational context, and the enabling organisational context.

And finally in this chapter the researcher explores the emergence of the theme of interdependency between the visible and invisible structure.

5.2 Theme 1: Understand and influence the strategic context

The research data revealed that a greater understanding and capacity to influence the strategic context of the business was identified by respondents from both firms as one of the key changes they would make to enable them to become more transformational.

The particular elements that emerge from the respondents' commentary are: strategic focus; strategic alignment; and strategic influence.

Looking at the detail behind this synthesis, it emerges that the Firm B respondents were largely looking for greater strategic alignment: alignment between different parts of the business (eg. Expansions/Operations); bringing other parts of the business 'into the tent'; and aligning behind the core initiatives. Thus, what emerges is a focus of the GM/MD group across the whole business or value chain. By contrast, the Firm A respondents were intent on a greater degree of personal engagement in the strategy process; move direct involvement in decision making; and a better understanding the big picture. The respondents from Firm A responded from a much more individual or personal frame of reference.

One possible explanation for this variance may lay in the differences in the hierarchical levels of the respondents and the extent to which their role allows them to engage in shaping the strategy. Firm A respondents were largely operational level managers and superintendents, compared to the respondents from Firm B who were all General Managers or Managing Directors.

Whilst the level of work is understood as a potential contextual factor that influences transformational leadership (eg. Pawar, 2003), there is relatively little substantive exploration of the issue and its linkage to stratified systems theory (Jaques, 1996; Rowbottom & Billis, 1977), which is arguably the most comprehensive theory to explain the difference in the nature of managerial work across a hierarchy. The exception to this is the work by Hunt & Ropo (1995).

Jaques' (1996) stratified systems theory (SST) which differentiates the work done at different levels within the enterprise on the basis of the complexity of work.

Complexity exists under conditions of ambiguity and uncertainty. It is a function of the number of variables, the extent to which these variables are abstract, the variability and dynamic interaction of these variables, and the time horizon between action and response or cause-effect (Stamp, 1981). Senge (1992) later simplified the construct of complexity into two dimensions: ‘detail complexity’, reflecting the number of variables and ‘dynamic complexity’ which arises from the interaction of the variables and the increasing time lag in cause-effect. He notes:

the real leverage in most management situations lies in understanding the dynamic complexity, not the detail complexity

(Senge, 1992, p. 72)

This is one of the key insights of the stratified systems theory, which posits that one of the core shifts in hierarchical systems is the extension of the time horizon within which managers and leaders operate (Jaques, 1996). Figure 5.2 summarises the nature of the work of the different hierarchical levels as expressed by various writers on SST (Jaques, 1996; Rowbottom & Billis, 1977; Stamp, 1981, 2009).

Figure 5.2: Summary of SST Role Domains

Level	Typical Role Titles	Nature of work	
V	Business Unit MD; CEO of mid-sized business	Shape strategic intent & corporate culture	} Creating value for the future
IV	General Manager	Strategic translation, macro systems architect	
III	Manager	Continuous improvement; maintenance of systems & practises	
II	Superintendent	Working within rules ... application of systems & practises to discrete situations	} Creating value for the present
I	Supervisor; front line employee	Hands on supervision and delivery	

Respondents and interviewees at Firm A were largely managers and superintendents: more than 90% of the respondents to the qualitative survey and all but one of the interviewees. In these roles they are responsible for ‘creating value for the present’. Under the SST model the leadership theme at this level is ‘excellence’, with a focus on continuous improvement through best practise benchmarking of the operating systems and processes (Stamp, 2009). The work at the manager level (Level III) takes place within a closed system and closed context: ambiguity is contained by the development of systems and practises (Stamp, 1981). The nature and context of work at this level is such that their primary relational identity is with their respective teams (Ashforth & Mael, 1989).

By contrast, the work of the General Manager is focused on adding value for the future “by transforming changes in expectations and values of major stakeholders” (Stamp, 2009, Part 1, p. 21). Thus, the nature of the role at this level is focused on innovation and strategic breakthroughs or transformation. The work of the General Manager is undertaken within a closed context, but operating within an open system with a wide range of alternatives. The GM’s systems work is focused on high level systems architecture, shaping the overall systems and the systems interaction within their accountability domain and beyond, and balancing the trade-off between the existing and the future needs of the business (Jaques, 1996; Rowbottom & Billis, 1977; Stamp, 1981, 2009). These roles create a context which leads to a primary relational identity (Ashforth & Mael, 1989) with their peers and the business rather than their teams.

If the reader reverts to Section 4.3.2 the respondents of Firm B, who were General Managers or Managing Directors (Level IV and V) spell out what their most significant leadership contribution could be to driving the transformational change envisaged as their new strategy (from Figure 4.8):

- Enabling the strategic context ... sustaining the vision, working to contribute to shaping the strategy;
- Enabling my team ... communication and alignment; enabling and empowering; and coaching and developing
- Constructive leadership behaviours ... collaboration with their peers; remaining open; giving energy

- Deliver outcomes

It is clear from this outline of SST and the different role accountabilities of the respondents from the two firms that respondents from Firm B as GM's or MD's were operating in the strategic domain, with input into or accountability for strategy setting, and accountability for strategic translation. These respondents had been engaged in a number of strategy workshops over the previous 12 months as part of a major strategic renewal project designed to reposition the business as industry leaders. Thus, these leaders were an integral part of the strategic conversation underway in the business.

By contrast, the call for greater personal involvement from the operating managers signals that, in their minds at least, they had not been extensively involved in these strategic conversations. It is likely that the top managers from Firm A would argue that their managers were involved in these strategic conversations through their participation in a single 3 day workshop.

Insights from other research offer some potential explanations.

Firstly, research has shown that senior leaders routinely underestimate the extent to which their direct reports share their understanding of the strategic context and the business strategy (Bartunek, Lacey, & Wood, 1992). The writer is reminded of one of Australia's most influential politicians of his time, Graeme Richardson, who once commented at a book launch that if he had learned only one thing in politics, it is that only after you have said something so many times you are at risk of falling asleep yourself as you repeat it yet again that people begin to hear the message. Whilst the national political context is somewhat different, the challenge of messaging within organisations undoubtedly has some of the same dimensions.

Westley (1990) suggested that the tradition in strategy has been to exclude all but the most senior managers from these conversations. Liedtka & Rosenblum go further when they argue:

it is through conversation we come to co-create the shared meaning behind the strategy ... managers deprived of these conversations lack the context in which to understand the strategic choices made and are confused and de-energized

(Liedtka & Rosenblum, 1996, p. 148)

Summary: the nature of transformational leadership & the influence of levels of work

The research data support the observations of other researchers that suggest that middle managers who are more engaged in strategic conversations will find it easier to shift their leadership contribution into a more transformational role. Conversely, the absence of engagement in these strategic conversations creates a structural barrier to transformational leadership.

The data from this research raises a fundamental question around the nature of transformational leadership. Are the notions of transformational leadership and organisational transformation synonymous? Do transformational leaders always ‘transform’ an organisation in the way the literature tends to treat organisational transformation? If so, is this an outcome of a deliberate strategy and the province of Level IV and above leaders in the SST parlance? And if this were the case, does this mean that Level III leaders (managers) and below in the hierarchy do not have scope to be fully transformational? This question is vitally important to the understanding of the nature of transformational leadership.

5.3 Theme 2: Clarity of Direction

From the leaders in Firm A one of the critical areas for change that respondents believe would enable a greater focus on transformational leadership were clarity around the organisational direction and goals, and clear role boundaries.

The leaders in Firm B also identified role design as a valuable enabler of transformational leadership with a focus on changing the role descriptions to reflect the required leadership behaviours rather than the ‘control points’ typical of job descriptions. Absent from the comments of these respondents was any call for greater clarity around the direction and goals of the business. This can reasonably be assumed to reflect their actual engagement through the strategy process as outlined above.

One contextual factor that is potentially significant in understanding this difference is the position of the firms in the change process. In particular, Firm B was just embarking on a major transformation project whereas Firm A respondents were 2 years into the change process.

The focus on greater goal and role clarity opens the question as to whether this is a structural factor or a reflection of the personal disposition of the individual respondents. Does a call for greater role clarity suggest a leader lacks a strong internal locus of control which might condition him or her to operate more as a transactional rather than transformational leader?

The general consensus in the literature appears to be that transformational leadership is more likely to emerge in organisations with less restrictive environments (eg. Bass, 1985; Shamir & Howell, 1999). Bass specifically identified goals and roles as an area where less structure is likely to lead to greater transformational leadership:

We speculate that transformational leadership is most likely to appear in organic organizations where the goals and structures are unclear

(Bass, 1985, p. 185)

However, the research data herein seemingly contradicts this expectation, with respondents from both firms indicating that greater goal and role clarity would enable them to become more transformational. What might explain this effect? Could it be that the data are indicating that the interviewees were relatively stronger transactional and weaker transformational leaders?

The call for greater goal and role clarity it is at least suggestive of a sense of the respondents waiting for 'the organisation' to provide the necessary clarity: that someone else controls this agenda. Looking for linkages in the extant literature led the researcher to the field of empowerment:

Empowered individuals do not wait passively for the work environment to provide direction; instead, they take a proactive approach toward shaping and influencing their work environment

(Spreitzer, De Janasz, & Quinn, 1999, p. 513)

Thus, the call of the respondents from Firm A for greater goal and role clarity is potentially expressing a lack of felt empowerment.

Empowerment was initially seen largely as a structural condition, where management practises focussed on delegating decision-making (Blau & Alba, 1982). It has expanded to a more fully developed concept of psychological empowerment, a process of creating a greater sense of self efficacy through removal of conditions that

create powerlessness: organisational; supervisory style; reward system; and job design. A number of specific elements have been identified under each of these categories that disempower employees. Focusing here on the organisational and job design elements of their work that have resonance with this research, the following specific factors have been previously identified as disempowering (Conger & Kanungo, 1988, p. 477):

- Significant organisational changes and transitions
- Lack of role clarity
- Lack of meaningful goals

The extent of organisational change in Firm A was widely evident in the data from Chapter 4. There has been substantial change at Firm A and, given the potential for organisational change to become disempowering, it is possible that those respondents felt disempowered through that process. Added to this, however, given that a lack of role clarity and meaningful goals is also seen as disempowering, it raises the reasonable possibility that Firm A respondents felt disempowered.

While it has long been understood that role clarity and goal setting are foundational tools for employee motivation, this work has traditionally focussed on front line employees (eg. McShane & von Glinow, 2000). Spreitzer (1996) specifically examined the social structural characteristics of psychological empowerment among middle managers across various Fortune 500 companies. Perhaps unsurprisingly, the factors that are important in explaining empowerment among front line employees are the same factors that are important in empowering middle managers.

Role ambiguity was found to have the strongest negative relationship with empowerment (relative to the other five hypotheses). Spreitzer explains this in the following terms:

If people do not know the extent of their authority and what is expected of them, they will hesitate to act and thus feel unable to make a difference. Moreover the boundaries of decision authority must be clear so that individuals can feel confident about their decisions, rather than fearful about the potential repercussions for decisions made under ambiguous authority

(Spreitzer, 1996, p. 487)

Thus, the evidence from both the detailed interviews and the qualitative survey data, and also from the literature, suggests that the context experienced by the respondents from Firm A is potentially disempowering. If empowerment leads to higher levels of transformational leadership, then conversely it seems logical that disempowerment creates a potential structural barrier to transformational leadership.

This also raises an interesting challenge but also speaks to the issue of the context within which transformational leadership is more likely to emerge. There is a widespread literature that highlights the greater emergence of charismatic leadership under conditions of crisis (Beyer, 1999b; Conger & Kanungo, 1998). Given that a crisis environment is likely to be a condition of weak signals and high levels of uncertainty, then this is an environment in which followers typically may feel disempowered. When transformational leaders engage in charismatic leadership it potentially produces a shift from disempowered to empowered, which itself may create a context in which followers deliver more than expected.

Spreitzer et al (1999) specifically examined the relationship between psychological empowerment and leadership and found that supervisors who felt empowered were seen by their subordinates as more inspiring, innovative and exercised greater upward influence. She identified these as change related elements of leadership. Inspiring subordinates is one of the core behaviours identified with transformational leadership (eg. Bass, 1985). Thus, the intuitive linkage between empowerment and transformational leadership appears to have empirical support. Given this, it suggests that a disempowering context is likely to be less conducive to transformational leadership.

It is noteworthy, however, that the relationship between empowerment and inspiring subordinates was “only adequate”, leading her to suggest that leaders need to develop more expertise in inspiring subordinates (Spreitzer et al., 1999, p. 521). While ‘personal factors’ are not the focus of this discussion, it is noteworthy that many of the personal issues that the respondents from Firm A would change to improve their capacity to be more transformational are likely to be highly related to ‘inspiring subordinates’. For example, the following categories emerged from the research

data: motivate and inspire; energy and passion; influence; and a major theme around communication.

Self-esteem and locus of control are likely to be antecedents of empowerment (Spreitzer, 1995) and may mediate this effect, but further exploration of the role of these personality traits is outside the scope of this research.

Summary: clarity of direction

It seems likely that a disempowering organisational environment represents a structural barrier to transformational leadership. Clarity around goals and role boundaries apparently contributes to empowerment which is linked to transformational leadership. This is contrary to the prevailing assumption in the literature.

This discussion also begins to suggest the emergence of a concept of ‘nested leadership’ which is explored more fully in the second half to this chapter. In brief, it would seem that felt empowerment is required at each successive level if transformational leadership is to become more institutionalised throughout the business. This has important implications for organisations that set themselves the goal of creating world class leadership as a strategy.

5.4 Theme 3: Organisational Design

The issue of organisational design emerged from the data from both firms and presents an insight into the formal structure and its influence on leaders’ capacity to deliver transformational leadership. Again, however, there was a qualitative difference in the data from the two firms.

The focus of the respondents from within Firm A was very much on the physical environment: in particular, the influence of the remote operations on a leader’s capacity to lead a team.

From Firm B, the responses were again much more externally oriented, focusing upon the macro structure: the interface with corporate; the need to integrate the ‘new’ part of the business into the broader business; and options for better aligning the service teams to deliver the requisite service in a business efficient manner.

This reflects partly the different physical arrangements, with many of the Firm B respondents Perth based. Even those who were not Perth based were located in an environment which was much less disrupted by the physical demands of the FIFO (fly in, fly out) operation at Firm A. The influence of the physical arrangements on the capacity of leaders to operate in the transformational style is discussed below.

The difference also reflects the difference in the levels of work as described earlier. In particular, Firm A respondents are working within a closed system: Firm B respondents were working across the organisation, with greater external focus. This is reflected in the different frame of reference from which respondents articulate the changes required.

As noted in Section 3, Firm A operates in a remote part of Western Australia, which imposes certain physical conditions which impact their leadership. The most frequently cited issue was the impact of rosters on the face to face time a leader has with his or her team: viz.

those guys are basically on site for probably 3 days and then it's back to Perth so it gets a bit awkward

If this observation is linked with the dominant theme that emerged around the lack of time, it becomes apparent that the leaders in this study found that the physical context places significant constraints on the leadership opportunities.

The physical context experienced by these respondents also plays out and shapes what this researcher has labelled the relational context. Section 4.3.4 provides some of the quotations where respondents referred to the need to be socially conforming. The so called FIFO living conditions mean that there is little opportunity to separate the work and non-work relationships. The people commute to the location for the period of their roster, and during their time on site all reside in an adjoining 'village'.

This same issue emerged from the focus group work which was described in the introduction and was, at least partially, the catalyst for this work. The offshore oil and gas industry operates in an even more extreme environment, where the living and working conditions are to a large degree inseparable due to the physical limitations of an offshore platform. The supervisors who were the participants in that focus group who apparently reported sense of felt conflict between the need to create a spirit of 'esprit de corps' which transcended the work and social

environment on the offshore platforms and simultaneously have performance conversations with these employees.

In the extant literature these issues have been labelled social context which includes the notions of social density, social structure, and social influence (Johns, 2006). The issues identified in this research are social density, which is an expression of the location of others in space, but also social influence, which is the discretionary social stimuli (Hackman, 1992). Despite the notion that social density is a passive variable, the research data shows how this context constrains the social influence.

The felt conflict experienced in close physical arrangements has an interesting linkage to the work of Kuhnert and Lewis (1987) who link transformational leadership with constructive/ development theory (Kegan, 1982). Based in constructivist ontology, the theory highlights patterning in the way that individuals construct meaning, and the development of this capability to reach increasing complex modes of understanding.

Kuhnert and Lewis (1987, p. 652) link three stages of the constructive/development sequence to 'lower order (Stage 2) and 'higher order' (Stage 3) transactional leadership and a higher order transformational leadership (Stage 4). These middle stages of development are described as follows:

at lower stages of CD [constructive development], individuals show very little empathy towards others' feelings and perspectives,. Middle stages are characterised by an internalization of other individuals concerns, being subject to the feelings, and sometimes approval, of others. Individuals occupying higher stages of CD, while showing concern for others, are not held by other individuals' perceptions

(Lucius & Kuhnert, 1999, p. 76)

Leaders at the higher order transactional level (Stage 3) are focused on negotiating mutual support, promises, expectations, obligations and reward with their followers, with their individual personal goals transcended by the collective needs. For these leaders, loyalty and commitment are the fundamental drivers, creating the tension expressed above:

*Stage 3 leaders may feel 'torn' in situations of conflicting loyalties
(eg. loyalties to the organisation versus loyalty to their subordinates)*

(Kuhnert & Lewis, 1987, p. 652-3)

According to Kuhnert and Lewis (1987), while Stage 3 leaders can be transformational in the sense that they create 'performance beyond expectations' through the strength of this loyalty and commitment, they do not shift the beliefs, the needs and the values of the followers, and as such fall short of the notion of transformational leadership as originally expressed by Burns (1978) and Bass (1985).

The commentary on what Kuhnert & Lewis report at stage 3 leaders is consistent with the framing of work used to describe the managers' work under SST. For these managers, one of the key 'lived' themes at this level is pride in work well done and a sense of team. However, at the next level of General Manager the primary identification shifts from their teams to their peers and the business (Stamp, 2009). This is an important adjunct to the insights above and as such is a central issue that this researcher will return to in the second half of this chapter.

However, more directly, the findings above suggest that the physical context experienced by the respondents does impact an individuals' capacity to deliver transformational leadership. An environment which imposes a close physical relationship that makes work almost indistinguishable from the non-work relationships appears likely to exacerbate felt conflict and will therefore demand higher leadership capabilities than other, less 'compressed' working environments.

And yet despite this apparent need for social conformity and physical linkages of the work and social environment, the researcher noted a comment from one respondent: "sometimes I feel so alone" (anonymous). Thus, it is possible the physical separation of the individuals from their 'normal' life context creates a certain psychological vulnerability for people living in these conditions. Engagement at work is contingent upon three conditions: the work must be meaningful; the environment must be safe; and the person must be psychologically available (Kahn, 1990). This latter condition is associated with having sufficient emotional and physical energy; feeling personally secure; and having a meaningful outside life.

Thus it would seem likely that these particular physical context experienced by at least some of these respondents would reduce their availability to be fully engaged, which is likely to be a prerequisite for transformational leadership.

This is a potentially fruitful area for further research.

Summary: the effect of physical context

The physical context places demands on the individuals in their leadership roles that places a premium on the developmental stage of the leader. This warrants further research.

The remote physical context of these mining operations imposes an emotional burden that reduces the availability of individuals to be transformational leaders in these circumstances

5.5 Theme 4: Control systems

A significant volume of the research data revealed commentary around the influence, or potential influence, of the control systems on enabling leaders to operate as more transformational leaders.

The label of ‘control systems’ was initially adopted by the researcher in the data management phase with a simple, pragmatic mental model that control systems are those management systems that seek to control the work done by the users. In its broadest sense this was expected to include the full range of management controls, including planning, operating and functional controls. The functional controls were assumed to include financial, human resources, and safety and environmental systems. Respondents’ commentary fell within that framework. The construct of managerial control as articulated in the literature is described below.

Within Firm A the utterances captured through qualitative survey suggest a sense of frustration with the existing systems. This was reflected in calls for better planning, better communication of the plans, and better tracking mechanisms to allow monitoring of the success of the implementation of the plans was the general tenor of responses. This was further explored through the individual interviews as respondents spoke of the influence these control systems had on the balance of their management versus leadership orientation and as they identified opportunities to

strengthen their capacity to deliver transformational leadership through more effective control systems.

Looking first at the commentary of the interviewees (Firm A), as noted in Section 4.3.2 and later in Section 4.3.4 the data indicate a range of views, from those that thought the systems were ruling their life through to those who thought control was not present. The detailed quotes appear in section 4.3.4 but the spirit of these quotes is reflected here:

there is a whole lot of these systems that we use that actually rule our life// It is almost delivering the pseudo control if you like ... I think because we are so blinkered in making sure that we fill out all the blanks // if you haven't got compliance, then it's not a good place to start from

What emerges from the interviewees' commentary (Firm A) is the sense of a business embroiled in continuous, ongoing change, with voluminous time and work demands made by various 'systems' that are largely ineffective in delivering control, and yet these very systems are apparently hobbling the leaders in their capacity to deliver both management and leadership.

There is some suggestion that notwithstanding what are widely perceived shortfalls of the current systems, at least in some sense these systems enable these leaders in their managerial work, if we assume that managerial work encompasses compliance:

I think the system makes ... my job easy as far as, um, people - compliance issues are concerned and safety

In the context of this research, however, what is perhaps more interesting is the respondents' commentary that once these management control systems are embedded, then it becomes easier for these leaders to shift their attention to transformational leadership, rather than investing their time on transactional leadership (management) activities. This is reflected in the category of enabling leadership detailed in Section 4.3.4.

Within Firm B the focus of the commentary was directed toward achieving better cross organisational planning and control, and using control systems to achieve greater uniformity across the business. The respondents from Firm B also

commented in a much more specific way about the need to improve the information systems to support management control.

The first observation might be to note that if the SST principles apply, then it is perhaps not surprising that the managers and superintendents of Firm A are substantially influenced by these control systems and mechanisms. Under the SST model, managers are accountable for the systems optimisation and continuous improvement; the superintendents for application of those systems to specific circumstances (Stamp, 2009).

Given the significance of management control systems as a potential enabler of transformational literature, it is appropriate to review some of the key features of the literature.

In the early 1970's management control was seen as one of the most neglected areas of management activity (Gigliani & Bedeian, 1974) notwithstanding its centrality to the field of scientific management (eg. Weisbord, 1987). Even a decade later scholars maintained that control systems "have not been extensively studied in organization theory" (Daft & Macintosh, 1984, p. 48). Over time, however, there have been a number of reviews that have synthesised the historical context and suggested future directions in the field of management control systems (eg. Berry, Coad, Harris, Otley, & Stringer, 2009; Gigliani & Bedeian, 1974; Otley, Broadbent, & Berry, 1995)

There are three hierarchically distinct levels of control identified in the literature: strategic or institutional control; management control; and operational control (Daft & Macintosh, 1984). Given the earlier discussion of levels of work, it is possible that although the respondents from the two firms are using the same language to describe two conceptually different constructs.

While the GM's and MD's are accountable for the strategic intent and strategy translation (Stamp, 2009), looking at this through the lens of 'managerial work', the nature of the hierarchical systems is such that each layer is judged on performance against specified rules and so called 'deliverables' of the layer below them (eg. Hales, 2002; Jaques, 1996). Thus, the GM's at Firm B are also held accountable for their individual output and the output of their direct reports.

What this translates to for MD's and GM's is the possibility that these strategic roles have to manage in a bimodal fashion in terms of control systems: they need access to both strategic and management control. The SST levels of work model would suggest that the strategic control system for GM's has a role more as an enabling tool, as the GM's represent the first layer which has an accountability for strategy translation, creating future value. The management layers beneath these people are working on delivering current value in the language of the SST model (Stamp, 2009). Thus, strategic metrics for the GM's should have the purpose of providing them with information and feedback on their performance in the translation of the strategy. However, their accountability for the output of their teams requires that they also have clear line of sight on the performance of their teams: management control.

Within the framework of management control there are two control strategies: management or 'bureaucratic' control and social or cultural control (eg. Ferner, 2000; Ouchi, 1979). The focus here is upon the formal or management control systems albeit that there is a growing literature that argues that these two control strategies are interrelated (Eisenhardt, 1985; Ferner, 2000; Otley et al., 1995). This interrelationship between these two forms of control may be connected to an emerging theme of this research which is the systemic interdependency of management and leadership.

While there have been various descriptions of management control systems in the literature over time, a simple, pragmatic description that appears consistent with the respondents' comments on the need for better systems is "the planning, data gathering and transmission systems that provide management with information about organizational activities" (Daft & Macintosh, 1984, p. 46).

This view of control systems is consistent with the rationalistic, cybernetic model of management control: establish clear plans; collect and disseminate information on performance against those plans; and use rewards and sanctions to ensure conformity to organisational standards and expectations (eg. Daft & Macintosh, 1984; Jaeger & Baliga, 1985). Thus, effective management information systems and reward structures, identified as a valuable enabler of transformational leadership, represent important organisational control tools.

According to Tosi (1983) this represents just one phase of the management process: ensuring that activities conform to plans or objectives. At the other conceptual extreme, control is broader and encompasses the full range of management activities one undertakes to ensure compliance: for example, structure; recruitment; supervision; development of metrics. These are collectively referred to as the “control structure” (Tosi, 1983, p. 271). Some of these broader elements of the Tosi’s control structure have emerged from this research.

One of the management control systems identified by respondents from both Firm A and Firm B as an enabler of transformational leadership, or as shifting the leadership balance toward transformational leadership, was better performance management systems. In particular, much of the content that was coded to the theme of performance management systems from Firm A reflected interviewees’ remarks describing the factors that influenced the balance between leadership and management.

The specific categories of meaning within performance management systems that emerged from the two case study firms was distinct.

The performance management categories that emerged were: accountability systems; reward systems; and ‘reform and align’. Each of these has a distinct meaning relative to the nature of transformational leadership.

The category of accountability systems was largely related to consequence management, focusing on poor performers. This is consistent with the construct of ‘management-by-exception’ within the domain of transactional leadership (eg. Bass, 1985; Bass & Riggio, 2006)

The second category was related to rewarding high performers. The details of the comments have been reported in Section 4, but it is clear these respondents were very focused on changing the reward systems: rewarding employees with development opportunities; offer incentives; being able to more immediately reward good performance. This category is much more aligned to the construct of ‘contingent rewards’, but still centrally within the domain of transactional leadership (eg. Bass, 1985; Bass & Riggio, 2006). In fact, one could argue that contingent reward represents the essence of transactional leadership which is characterised by a cost benefit exchange between the leader and follower (Bass 1985). This data does raise

one interesting question which is the role of informal reward mechanisms and transformational/transactional leadership. Almost by definition, the notion of contingent reward is a formally agreed ‘contract’ between the leader and follower. By contrast, an informal recognition, or informal reward of some form, falls outside the domain of contingent reward because there is no ‘quid pro quo’. There is reward, but it is after the fact and not previously part of an agreed transaction. Under these conditions, this might more accurately be portrayed as part of transformational leadership, under the factor of ‘individualised consideration’. It reflects, as the label suggests, individual attention, a personalised interaction (Bass & Riggio, 2006). Since writing these remarks the author has become aware that Yukl (1999) has made similar observations ten years ago.

Thus, these respondents, when asked what drives the balance between management and leadership, reported an ineffective performance management systems was a barrier to transformational leadership.

The third category within performance management would seem to be linked very much with the management-by-exception remarks above. It was very much about the capacity to reform their teams, with a strong flavour of getting “rid of dead wood”. In the Australian mining industry, the removal of employees in large enterprises is governed by a complex array of legal, institutional processes. However, the nature of these enterprises is such that these external institutional constraints will be reflected upon these managers in the shape of organisational policies and practises that will tightly constrain a manager’s approach to this issue.

As an aside, it is interesting that this researcher has found no literature around the potential influence of these external, institutional barriers that can exist and thwart efforts to deliver transformational leadership. However, this research is focused on the influence of the organisational context rather than the external context.

Thus, what emerges is a view of these leaders that sees themselves as largely constrained, either by the management system within which they work – the concept of closed context/closed system (Stamp, 1981) described earlier – or through the external institutional barriers. What is particularly interesting is that a number of the responses in terms of reward were, at least potentially, within the ambit of the respondent’s ostensible role scope and authority. In particular, there was a sense of

wanting to “recognise people as I see fit”; and creating forums to praise good work. That these respondents did not see that this fitted within the scope as something they could executive directly is suggestive of a sense of disempowerment, although there are other factors that could be at work, such as locus of control issues.

It again raises the question of the degree to which these respondents in Firm A felt empowered. It would be easy to cross reference to the work cited earlier of Conger & Kanungo (1988) which identifies various facets of reward systems as disempowering, however, that would be to confuse the data. The respondents in this work were not describing the application of reward systems to themselves, rather the use of rewards for their teams. However, the factors cited previously that might give rise to a sense of felt disempowerment by the respondents could also impact the way in which they engage in performance management of their teams.

In overview, these remarks of the respondents in Firm A is very suggestive of a narrow view of reward systems, very focused on the formal systems and rewards, with little recognition of the power of informal rewards and acknowledgement to support their efforts to be more transformational leaders. Their language is also couched in terms of the formal exercise of power which is consistent with the broad notion of a performance contract.

The commentary on performance systems from the Firm B respondents was much more limited, reflecting the responses of just two respondents focused on changing the incentive scheme to reward “innovation, collaboration and leadership”, key behaviours embedded in the new industry leadership strategy, and to “reward people based on merit/actual performance”. These are also classically ‘contingent rewards’, consistent with the commentary of the Firm A respondents.

In drawing insights from the similarities and differences, the immediate observation one might make is that while there are differences in emphasis, respondents from both case study firms identified management control as a pathway to greater transformational leadership. And yet management control represents distinctly transactional leadership activities. Management control by way of planning, measurement and reward (or sanction) is utilitarian (Etzioni, 1961) or instrumental:

The locus of control tends to be external as the rewards and sanctions used to ensure conformity to organizationally defined standards are externally imposed

(Jaeger & Baliga, 1985, p. 119)

If transactional leadership is about management, specifically exchange relationships and delivering what is expected then managerial control, planning and performance management are surely central elements of this construct: management by exception; and contingent reward (eg. Bass, 1985; Bass & Riggio, 2006).

Summary: the effect of control systems

The effectiveness of management control systems appears to significantly influence the extent of transformational leadership. The absence of effective control systems would appear to present a structural barrier.

The research also suggests that the role of management control systems on transformational leadership is independent of the contextual differences noted between these two firms. It remains for further investigation to see how far this constancy extends.

This raises the important questions around the interaction between transactional and transformational leadership. What is clear is that transactional leadership can support a leader's efforts to deliver more transformational leadership. This is explored further in the second half of this chapter.

5.6 Theme 5: Role Context

From the detailed interviews with individual respondents at Firm A there emerged two distinct elements of the role context that influenced the balance between management and leadership as expressed by individuals. These were: the influence of professional training; and the influence of the role demands. There was no obvious corollary in the data from Firm B. This may be an artefact of the data collection methods. All of the data on role context emerged from the detailed one-on-one interviews where respondents' specifically addressed the question on the factors that influence the balance between leadership and management. The Firm A

data did not emerge from the qualitative survey. Thus, nothing can be interpreted from the fact that no data on the influence of role context emerged from Firm B.

The data that emerged from Firm A were relatively straightforward.

The influence of professional training raises an interesting question that would require more targeted research to allow the researcher to tease out cause-effect. For example, one respondent referred to the influence of his training as an electrical engineer, and with it, the need to be “meticulous”, which might be more usually associated with management or transactional leadership. However, whether this is the driver, or whether personal style and preference which might be reflected in their leadership style causes a pre-disposition to select certain careers is unknowable in this research. It warrants further inquiry to expand the knowledge on the factors that influence transformational leadership.

A review of the extant literature reveals that the influence of occupational roles has been largely ignored despite being a central feature of organisational life (Barley & Tolbert, 1991; H. Trice, 1993). More recent work has again focused attention on the influence that occupational roles may have:

Not only do occupations reflect groupings of similar work roles, but they also reflect distinctly different contexts within which work roles are enacted ... occupational context exerts a top down effect on individual role enactment

(Dierdorff et al., 2009, p. 974)

More directly, respondents’ commentary on the nature of their roles is suggestive of a strong influence on the likelihood of them preferencing transformational or transactional leadership. For example (see 4.3.4 for more details):

the role of the ... department ... is to provide ... governance ... we will just have to focus a bit more on the control// my role is basically the need for change// when you are given standards to implement ... that’s all about compliance

Note that the respondents’ remarks span both an occupational and task level impact. Relatedly, one of the major themes to emerge from this research is the impact of time, or apparent lack of time, as a driver of the balance between leadership and

management, or as a critical barrier to creating more transformational leadership. Time must clearly be related to the elements of task context, but this dimension is dealt with separately later.

Task is one of the elements of context that was identified by Howell (1992) and adapted by Bass & Riggio (2006, p. 85) in a list of contextual factors that influence the likelihood of exchange (transactional) and charismatic (transformational) leadership. Under the heading of task characteristics the identified factors that influenced the balance included: standardised, routine versus complex, changing; and well-defined performance versus poorly defined performance. Elsewhere Johns (2006, p. 393) identifies “autonomy, uncertainty, accountability and resources” as examples of task context.

What is not expressed in these dimensions of context is the nature of the managerial ‘task’. In a recent review of the managerial work role requirements, Dierdoff et al (2009, p. 973) established a categorisation of managerial work into three categories:

- Conceptual work ... including knowledge, skills and behaviours associated with cognitive processes such as planning and learning;
- Interpersonal requirements ... reflecting interacting and influencing others; and third
- Technical/administrative requirements ... comprising traditional business functions such as operations, accounting, administration

Using this construct, Dierdoff et al (2009) hypothesised that task context should exert greater influence on managerial role requirements that impact conceptual and technical/administrative functions. Their results support the hypothesis that the task context has a greater influence on technical/administrative roles compared with interpersonal requirements: the difference between the influence of task on conceptual and interpersonal skills was not significant.

It is not clear how this translates to the influence on leadership (transformational) versus management (transactional). This researcher’s initial assessment would be that the transformational and transactional leadership would be expressed in both the conceptual and interpersonal role requirements, but that the technical/administrative elements of managerial roles would be predominantly, if not exclusively,

transactional. Further investigation of the managerial role requirements and the linkage of these to transformational and transactional leadership may prove a valuable contribution to future understanding of the influence of context on leadership.

Summary: the influence of role context

This research highlights the influence that role context can have on an individual's orientation toward leadership versus management. It would seem likely that the inherent need roles may have an inherent need for higher levels of discipline and rule compliance may invoke in these people a stronger orientation or disposition toward a more managerial rather than leadership orientation. There is the caveat noted above around the cause-effect nature of this relationship: do people who choose these roles prefer to operate in a managerial mode ahead of leadership mode because of their training, or do they choose these roles because they prefer to work in that mode?

5.7 Theme 6: Organisational Context – Overview

The label of organisational context was adopted by the researcher as a descriptor of a broad cluster of attributes that collectively describe an organisation's 'look and feel', or to use Ghoshal's (1997) expression, "the smell of the place" (p. 626) . This is reflected in the range of themes that emerged under this construct in the synthesis of the research data: collaborate and communicate; empower teams; organisational culture; and change dynamics. These themes and their potential to influence the tension system of opportunities and constraints on transformational leadership are discussed in detail in this section.

Firm A gave rise to the themes of change dynamics and organisational culture, whilst Firm B gave rise to the themes of 'collaborate and communicate' and 'empower the teams' whilst also contributing to the organisational culture.

5.8 Theme 7: Organisational Context – Change Dynamic

Starting at the theme of change dynamics, it is unsurprising that this theme did not emerge from Firm B as this firm was just about to embark on the major change process.

From within Firm A there emerges a clear picture of an organisation which has gone through a period of 2-3 years of continuous and substantial change, and yet confronts a future of continuing, unrelenting change. Perhaps as might be expected, given the critical need for strategic transformation – or face organisational failure – the extended leadership team had previously participated in a leadership development workshop and a number of team workshops where they were exposed to the explicit message that the change program required them to ‘step up’ as leaders. The development program exposed this group to the theory of transformational leadership and Kotter’s 2x2 ‘management versus leadership’ matrix (Kotter, 1990a). The expectation of an increased leadership orientation was widely understood and, to some extent at least, had been enacted, as reflected in the following typical quotes:

I think we have lost a little bit of control, primarily because ... we are now much more focused on creating better leaders// there has been a change in management style and ... a change in focus// the organisation does rate, and is beginning to value leadership

But, if one listens to the voice of the respondents in this study, what emerges on the other side of this picture of constantly changing business is the cry of those who are charged with leading the business in an operational sense. Those people in leadership roles in the case study firm believe the business needs to pause, reset some fundamental systems, and use this as the foundation for the next phase of change. This is reflected in the following indicative remarks:

I really don't have a problem with change ... but not if it is constant, out of control, unclear change// what does the business actually expect from me// there has been so much change ... nothing has really become an entrenched system// we need to put in place some fairly fundamental processes, systems, operational procedures at the lowest level to make sure that on a day to day basis this business starts ticking over ... we just simply have to do that

So, after an extended period of what might be labelled disruptive but successful change – the business has continued to operate profitably for some years since the research data collection – the middle managers see an imperative to re-stabilise the business through routinisation of management systems, process and work practises as

a precursor to allowing them to lift their focus on transformational leadership. This is reflected in the respondents' call for stability, clarity around direction and embedding of basic systems as described earlier.

In other words, these middle managers feel themselves driven to lift the management focus rather than enact a leadership focus against the express intent of the business.

This raises the question: why? Given the environment of continuing change, and the call for greater leadership, why do managers feel the more pressing imperative is to focus on stabilising the business?

There are a number of possible interpretations or explanations of this effect, some of which have already been suggested in the literature.

Firstly, it is possible that managerial work is indeed a timeless phenomenon due to the strength of structural conditions inherent in the work itself (Mintzberg, 1973): it appears he continues to hold this view today (Mintzberg, 1994, 2009). If this were so, it would give weight to the notion that there are significant structural barriers to transformational leadership. If the strength of the structural conditions – Mintzberg's words – is such that, in the face of a demand for change and an apparently well understood message that these managers need step up their leadership efforts, these same managers still feel driven to focus on delivering management control (transactional leadership) then these might be very strong structural forces indeed.

There are at least three plausible explanations: the SST theory is robust across contexts; the influence of institutional theory; or simply the personal change hurdle is 'too high'.

In the earlier descriptions around the SST model the nature of managerial work for managers and superintendents (who represent the vast majority of the respondents at Firm A) is clearly focused on the continuous improvement of the systems and the application of these systems in non-conforming contexts. The SST theory is robust across different operating contexts and through different change cycles (Jaques, 1996). Jaques and his colleagues regard their structuring model as 'universal' (Kleiner, 2001). Thus, the argument would be that regardless of the change cycle, there is core, sustaining work of the role that needs to be done.

Alternately, despite the drive for organisational transformation, the managers may experience the constancy of a bureaucracy where they remain within a hierarchical

system. These managers and superintendents find themselves in a new operating environment surrounded by ambiguity around their new role, with the one certainty that they remain accountable for the performance of their teams. Given this, it is entirely plausible to explain the constancy of behaviour in focusing on the managerial demands in the following terms:

Managers tend to gravitate towards those activities which are conventionally understood as 'managing', and hence conform, wittingly or unwittingly, to certain taken for granted expectations about what managers should do

(Hales, 2002, p. 62)

This is a classic example of the potential power of institutional theory: managers continue to execute the role in the manner they believe external stakeholders expect of them to strengthen their legitimacy with this constituency (Selznick, 1996).

A third possibility is one that rationalises managers holding to these traditional behaviours not because of external expectations, but rather because “their personal sense of their roles and value add and ... personal skills and competencies have all been shaped by an earlier, outdated model” (Ghoshal, 1997, p. 626)

Thus, in an environment of constant and substantive change there are a number of plausible explanations as to why the respondents appear firmly oriented to the managerial demands of their roles despite the organisational calls for greater leadership. The first two explanations give weight to the idea that there are indeed powerful structural barriers to managers adopting a more transformational leadership role. The third possibility describes what is better described as a personal factor, and yet it is one shaped by an experience of organisational life beyond just the case study firm. In the world of strategy there is a concept known as ‘path dependence’ which can be applied at the company level: in essence, “to understand a company’s capabilities today we must look at the company’s historical development” (Grant, 2002, p. 166). The third possibility described above is highly suggestive of a similar effect.

If however, the continuing focus of these managers on transactional rather than transformational change is not an expression of the timeless nature of managerial work, what are the other possible explanations?

Another possibility is that the idea of continuous change is unattainable or at best, inappropriate in the context of this case study firm. Perhaps it is time for the organisation to refreeze in the traditional Lewinian pattern of ‘unfreeze, change refreeze’ (Lewin, 1951; Weisbord, 1987).

Many writers have noted the tendency for inertia within organisations as they confront cognitive, motivational and political barriers (eg. Dobni, 2006; Leonard-Barton, 1992), but at the same time have commented that often it is those managers nearer the front line that are among the first to recognise the need for change (Hamel & Valikangas, 2003). Is it possible that in the current case study firm, these front line leaders and middle managers, who are near the front line on execution, have correctly sensed that the time is now for the business to rein in the drive for change, consolidate, and position the organisation for the next wave of change? In other words, it may be that their behaviour is not aberrant, but is correctly sensing and responding to the organisational needs given the context of the change cycle.

It is interesting to note that some time after the data collection the Managing Director who had led the transformation was ‘replaced’. The researcher has known both of these individuals – the original MD and his successor – and would argue that the successor was a much more transactional leader than the previous MD who displayed much more of the transformational leadership style: energetic, passionate, visionary; and articulate.

While this is not a thesis on change management, the researcher regards it as axiomatic that leadership plays an integral role in strategic change. It is therefore relevant to our understanding of the organisational change context to appreciate the nature of the change process.

Various authors have commented over some time now that the pace of change was accelerating, where more and more companies were likely to be challenged (eg. Hamel & Prahalad, 1994; Handy, 1996; Harreld, O’Reilly, & Tushman, 2007; Leavy, 1997). Looking back over the last decade, the resources sector has seen the emergence of the largest resources boom in history driven by the unanticipated emergence of China; the calamity of the recent global financial crisis which in its early days was characterised as likely to change the nature of capitalism; and the subsequent re-emergence of China’s demand for Australia’s resources. In the

circumstances, one could be forgiven for simply agreeing that even within traditional, capital intensive industries, the volatility and uncertainty has escalated over this period. In the mid 90's, a former ICI Chairman commented, somewhat optimistically, "that by the end of the decade we may have institutionalised the change process, so that it becomes a continuum" (Leavy, 1997, p. 285).

But is it plausible that an organisation can continue to drive major transformational change without periods of consolidation? Kotter's classic change process, for example, describes step 8 as "institutionalizing new approaches" (Kotter, 1995, p. 61). What does this mean for the influence of the stage of the change process for leadership and management? Does it create either opportunity or constraint in the exercise of transformational leadership?

The dominant change models in the literature can be broadly characterised as 'punctuated equilibrium' or 'continuous change'.

The punctuated equilibrium model is characterised by long periods of evolution and relative stability, 'punctuated' by short, intense periods of "qualitative, metamorphic change (revolution)" (Gersick, 1991, p. 12). Central to this model is an understanding of the concept of "deep structure" which Gersick refers to as "the playing field and the rules of the game" (p. 16). The deep structure is highly stable, reinforced by "the system as a whole through mutual feedback loops" (p. 16).

Brown & Eisenhardt (1997) posit a model of continuous change, but this is in the high velocity industries where "the ability to change rapidly and continuously, especially by developing new products, is not only a core competence, it is also at the heart of their culture" (Brown & Eisenhardt, 1997, p. 1). These are industry contexts "in which rivalry and the processes of innovation and imitation are central" (Farjoun, 2007, p. 205). Whilst acknowledging this model, these high velocity industries are quite unlike the commodities industries that describe the case study firms.

However, both of these theories tend to see the primary catalyst for change as exogenous. In the particular context of Firm A the catalyst was essentially endogenous. The business had suffered progressive increasing costs and decreasing ore grades which ultimately created a structural driver that demanded a dramatic lift in organisational performance, leading the organisation down a path of "revitalisation via proactive path" (Hunt, Baliga, & Peterson, 1988, p. 70). It was

only when a new leader arrived that the possibility of survival became a real option. Prior to this, the end game was never considered a crisis, it had become an accepted reality that the business was near its terminal stage: in the resources sector ore bodies become exhausted of viable ore and mines are closed.

The key demands of proactive revitalisation include creating and communicating a new vision, and cultural change: either modification or creating a new culture. The hypothesised leadership requirements for this work were internal transformational leadership (Hunt et al., 1988, p. 70). Are they still the leadership needs of the organisation?

A more recent theory of organisational change cycles more akin to the context of the case study firm comes from the work of Ghoshal (1997). His construct of continuous renewal is quite distinct from the traditional life cycle theories (eg. Greiner, 1998; Hunt et al., 1988; Lippitt & Schmidt, 1967; Smith, Mitchell, & Summer, 1985). Central to his model of continuous renewal is the metaphor of ‘sweet and sour’: ‘sweet’ represents a period of growth and future possibilities; ‘sour’ refers to a period of restructuring, downsizing, and improving operational efficiency (Ghoshal, 1997). However, he argues that most managers see this as an either/or whereas continuously renewing companies see these as symbiotic. The notion of symbiosis here is important. It represents two distinct processes that ‘live off each other’. If this model holds, then it may be that Firm A, at the time of data gathering, was transitioning from a ‘sweet’ phase of its renewal journey to a ‘sour’ phase.

In this world view, the ‘sweet’ phase with its focus on growth and future possibilities is more likely to require higher levels of transformational leadership; the ‘sour’ phase much stronger transactional leadership, focusing on discipline, rigour, and the use of management by exception as a key control mechanism.

This is suggestive of a periodic life cycle model where the dominance of the leadership style ebbs and flows. If so, then it seems entirely possible that this process of continuous renewal may lead to an oscillating cycle of leadership influence: transformational – transactional – transformational – transactional.

An alternate plausible explanation might be that a substantive lift in transformational leadership demands a concomitant lift in transactional leadership. In other words, as the transforming leader disrupts, the organisation must simultaneously redesign its

systems to enable it to establish new, aligned systems and managerial controls, establish new reward systems and so forth. This raises the legitimate question: is this possible?

This is analogous to, although different from, the recent literature around the concept of ambidextrous organisations (Birkinshaw & Gibson, 2004; Tushman & O'Reilly, 1996). The notion of the ambidextrous organisation is that “established companies can develop radical innovations – and protect their traditional businesses” (O'Reilly & Tushman, 2004, p. 75). However, the level of analysis in the field of ambidextrous organisations is focused on distinct units within the value chain (the equivalent within the resources sector would be exploration; resource development; projects; operations; and sales and marketing). The different demands of these discrete units lead to a structural differentiation:

Exploratory units are small, decentralized, with loose cultures and processes, the exploitation units are larger and more centralized with tight cultures and processes

Benner & Tushman (2003, p. 252)

In an analogous fashion, can an organisation deliver high levels of both transformational and transactional leadership concurrently? Can a heroic leader do all of this – be a pantheon of transactional and transformational leadership at once? Or does this make the case for a more distributed leadership model? And then what are the implications of this for the leaders that are represented in this case study?

What emerges from the research data is a widespread view among respondents that an increasing focus on transformational leadership has caused a decrease in the focus on transactional management. This would seem to suggest that, at least at an individual level, individual leaders struggle to lift both the transformational and transactional leadership simultaneously. In its simplest sense, transactional and transformational leadership would appear to compete for the scarcest resource of all: managers' time and energy. Embedded in this is the question of the relationship between transformational and transactional leadership.

The debate began with Burn's articulation of these as two ends of a continuum, albeit they were clearly distinct. Later, in a break from this model, Bass argued:

Burns and I differ in a third way. He sees transformational leadership as the opposite end of a single continuum from transactional leadership. Conceptually, and empirically, we find leaders will exhibit a variety of patterns of transformational and transactional leadership

(Bass, 1985, p. 22)

A similar debate has been waged around the issue of whether exploration and exploitation represent two ends of a spectrum or are orthogonal. March (1991) who has argued that exploration and exploitation are fundamentally incompatible, and is paraphrased by Gupta, Smith, & Shalley (2006)

the interplay between the two occurs in the form of a zero sum game where exploration and exploitation compete for scarce resources, attention and organizational routines; accordingly, logic dictates that exploration and exploitation be viewed as two ends of a continuum ... it is all but impossible to dispute March's logic

(Gupta et al., 2006, p. 695)

The difference in the transformational and transactional debate is the recognition that the two leadership dimensions are clearly related. Thus, it is not strictly true that an investment of energy on, say, transactional leadership, denies a simultaneous improvement in the level of transformational leadership. How? For example, time invested in goal setting and performance feedback creates the foundation trust levels that are an integral part of the transformational leadership equation (Bass, 1985).

But the evidence of this case study firm is highly suggestive that an organisational level effort to lift the level of transformational leadership has had the effect of displacing some of the previous attention on transactional leadership, leading to a loss of some of the basic management controls.

Whilst there has been substantial work at the quantitative level to test the factor structure of the individual factors that comprise transformational and transactional leadership, this researcher found almost no literature that attempts to describe the holistic, organisational level interplay of these two overarching factors: transformational and transactional leadership in a change context. It is, of course, widely accepted that both transactional and transformational leadership are required

as reflected in the full range of leadership model (Bass & Riggio, 2006). Nadler & Tushman (1990) offer an interesting insight at this level – albeit using charismatic rather than transformational leadership as their primary focus – that appears to resonate with the findings of this research:

It appears that organizational reorientation requires both charismatic and instrumental leadership ... either one alone is insufficient for the achievement of change ... (but) only exceptional individuals can handle the behavioural requirements of both charismatic and instrumental leadership styles ... an alternative may be to involve others in leadership roles

(Nadler & Tushman, 1990, p. 87)

Thus, it may well be that what the research data is reflecting is the simple fact described above: few people are capable of strong leadership in both styles, and the management of change needs people who's strength lay in the 'mundane' elements of instrumental leadership: structuring; controlling; rewarding.

If this is so, then perhaps organisations need to adapt their leadership aspirations to stop short of seeking to build 'better leaders' – which is commonly short-hand for stronger transformational leadership – and create organisations in which leaders across the organisation can play to their strengths and in the process deliver authentic leadership (Avolio & Gardner, 2005).

Summary: the organisational change context

The evidence suggests that the respondents from Firm A held to the view that despite a call for greater transformational leadership the business needed stronger transactional leadership. A number of possibilities exist that could explain this phenomenon.

It is clear from the literature that organisations require the full range of leadership, but the research also suggests that an over-emphasis of one form of the leadership agenda – eg. transformation – may come at a cost to the other. More research is needed on the interplay between these two elements of leadership from a holistic organisation wide perspective, especially in the context of an organisation undergoing transformative change.

5.9 Theme 8: Organisational Context – Empowerment

The call for greater empowerment was expressed by respondents from Firm B, when asked what they organisational changes they would make to allow them to operate as more transformational leaders, expressed the need for:

a bit more bottom up than top down// create a level of context and delegation to team// more decision power to run my part of the business

It is interesting that the conditions of empowerment that were identified by these respondents were again largely, although not universally, about externalising the empowerment. It seemed less about these leaders feeling empowered than creating the context within which their teams might feel more empowered. By contrast, respondents from Firm A did not expressly identify ‘empowerment’ or its behaviours as a key enabler, but their responses suggested the organisational context was potentially disempowering. This difference from a contextual perspective may again, simply reflect the difference that is associated with the different levels of work.

The cross-linkages between transformational leadership and empowerment, with particular reference to factors that might empower leaders, have been described earlier.

Empowerment is a central issue in transformational leadership. Various descriptions of the role of empowerment are expressed in the literature:

it is one of the main features that distinguish transformational leadership from transactional leadership

(Barroso Castro, Villegas Perinan, & Casillas Bueno, 2008, p. 1847)

transformational leaders help followers grow and develop into leaders by responding to individual followers’ needs by empowering them

(Bass & Riggio, 2006, p. 2)

Transformational leaders formulate and articulate idealized future goals that serve to energize and create a sense of empowerment

(Barroso Castro et al., 2008, p. 1847)

Yukl (1999) has described the lack of measures of empowerment within the current description of transformational leadership in the MLQ as a conceptual weakness. This criticism appears to be further supported when the organisational conditions under which transformational leadership is more likely to emerge include decentralised decision making and dispersed authority (Bass & Riggio, 2006; Howell, 1992).

In a related finding in the literature, the researcher found reference to a study which examined the concept of leadership self-efficacy, defined as “a person’s judgement that he or she can successfully exert leadership by setting a direction for the workgroup, building relationships with followers in order to gain their commitment to change goals, and working with them to overcome obstacles to change” (Paglis & Green, 2002, p. 217). The results show a link between leadership attempts and a manager’s organisational commitment, where organisational commitment is linked to a strong belief in the organisation’s goals and values. But this is a fundamental element of transformational leadership – tapping into the collective goals of leader and follower; someone who causes followers to become highly committed to the leader’s mission; motivating followers to work for transcendental goals (Pawar & Eastman, 1997; Shamir et al., 1993).

The tapping into these underlying motives reflects the most powerful of the three tier model of social influence: compliance; identification; and internalisation (Kelman, 1961). These behavioural motives are the essence of the leader’s power. Internalisation represents acceptance of the underlying values and goals, and behaviour is therefore intrinsically rewarding (Valikangas & Okumura, 1997).

Summary: the role of empowerment in the organisational context

One could therefore hypothesis that where a person has been exposed to transformational leadership, it heightens his or her orientation to organisational commitment, and hence heightens the likelihood of this same person himself/herself becoming a transformational leader.

This takes the reader back to an earlier point: there appears to emerge a concept of ‘nested leadership’ where each leader seeks from his or her leader the same elements of transformational leadership that are typically asked of them in their own leadership roles.

5.10 Theme 9: Organisational Context – Culture

At the outset, it is probably useful to clarify what is meant by the use of the term ‘culture’ in this thesis. Commenting on the state of culture studies Brown (1998, p. 7) noted there were 164 different definitions of culture nearly 50 years ago and suggested that “today there are almost certainly even more definitions of organisational culture”. In keeping with Porter & McLaughlin (2006), for the sake of brevity and focus the decision was made early on in the research to not attempt to tackle the paradigm war between culture and climate (Denison, 1996): this would represent a thesis in its own right.

Rather, the researcher has adopted a similar approach to Porter & McLaughlin (2006, p. 564) who “treated climate and culture as a single phenomenon”. It was never intended that this research represent a major treatise on organisational culture, albeit it was always imagined likely that ‘culture’ would be represented somehow in the final outcomes as one of the enablers or barriers to transformational leadership. In terms of the description of culture, the level of analysis is limited to what Schein (1992) would refer to as artefacts, which are the most visible and easily described elements of the culture. These reflect the cultural vignettes that were described by respondents and coded to this element by the researcher.

At one level there might appear to be little that emerges from this data that sheds any particularly new insight into the nature of the organisational culture that might be conducive to more transformational leadership. What is different, however, and makes this data noteworthy is that this research has elicited cultural descriptors by listening to those whose organisations are undergoing major change, and who are themselves confronting the challenge of becoming more transformational. More usually, researchers have either developed conceptual models based on the extant literature or sought to test *ex ante* hypotheses through empirical studies.

In the paragraphs below the results are summarised in very brief fashion, with short remarks to connect this data with the extant literature for completeness.

If one was to summarise the various elements of the ‘culture’ that have been captured in the data, it would include the following general descriptions:

- Opening up the organisation to external inputs
- Willingness to challenge, accept mistakes;
- More collaboration and communication;
- Less politics, more consistency

Running through the extant literature on these broad dimensions of organisational context there is a consistency with much of the literature. A recent review of the influence of organisational context on leadership between 1990-2005 (Porter & McLaughlin, 2006) found just 16 articles that addressed organisational context in terms of its culture or climate. Importantly, only two of these were specifically focused on contextual influences on transformational and charismatic leadership (Pawar & Eastman, 1997; Shamir & Howell, 1999). The remainder of the articles had quite different foci, including: LMX theory (Scandura & Lankau, 1996); cultural leadership (Trice & Beyer, 1991); leadership of creative people (Mumford, Scott, Gaddis, & Strange, 2002); E leadership (Avolio, Kahai, & Dodge, 2000). These latter articles contain references transformational leadership, but the research focus is not specifically on transformational leadership.

Of the various articles reviewed by Porter & McLaughlin (2006), roughly two thirds were conceptual articles: the others were empirical. Some of the findings of that review found:

- An organisation open to change, supportive of a climate of innovation and change would support transformational leadership (eg. Morrison & Phelps, 1999; Pawar & Eastman, 1997)
- Positive or negative political climate of an organisation will affect subordinates perception of the quality of their leader exchanges (Davis & Gardner, 2004)

The impact of the change context on the expression of transformational leadership has been discussed at length above. However, what emerges from this research data is a broader question of the organisational openness to change, with respondents referring to the need to create a ‘can do’ culture and make the organisation more

tolerant of mistakes. They also refer to the need to eliminate the ‘monitor evaluators’. This is organisational shorthand within the case study firms that refers to a particular team role which, as the name suggests, is usually the critical thinking role that finds the reasons an idea will not work (Belbin, 1993). Respondents also suggested the organisation needed to challenge traditional thinking.

This is entirely consistent with the ‘accepted wisdom’ that assumes that transformational leadership is more likely to emerge in Burns & Stalker’s (1961) so called ‘organic’ environment (eg. Bass & Riggio, 2006; Lowe et al., 1996). However, a recent meta analysis reviewed, inter alia, the extent of transformational leadership in private versus public organisations, with the assumption that the public companies would be more bureaucratic, mechanistic and less organic than their private sector counterparts. The findings were “directly contrary to expectations” (Lowe et al., 1996, p. 405).

What can explain this? The accepted wisdom as expressed above has a conceptual logic to it that sounds compelling, and indeed is reinforced by the results of this qualitative research. The respondents to this research, whilst not using the language of organic or mechanistic organisation, are suggesting conditions more organic than mechanistic would lead to higher levels of transformational leadership.

One possible explanation comes from the earlier discussion of structural barriers more associated with the formal, visible structure. The results actually suggest there are certain structural elements that, rather than constraining transformational leadership, actually enable it. This includes, for example, clarity around strategic direction, specific business and individual goals, role boundaries and expectations. One could hypothesise that the ‘bureaucracy’ of these public sector organisations might actually provide the respondents from those studies the confidence around boundaries and expectations that allow them to become more transformational within a bounded context. This is potentially also caught up in the issues around levels of work as discussed earlier.

This has interesting linkages with what appears to be an emerging concept of enabling bureaucracy which this researcher first came across in Adler & Borys (1996) who present two conflicting views of bureaucracy. There is the negative view of bureaucracy that is mostly present in the literature reflected in Burns & Stalker

(1961) with their simplified descriptions of organisations as organic or mechanistic, and the inevitability that really, who would want to work in a mechanistic organisation? A more positive stream recognises that bureaucracy can actually enable the organisation, providing a foundation for capturing lessons learned and translating these into organisational memory (Levitt & March, 1988), and “codifies best practise routines so as to stabilize and diffuse new organizational capabilities” (Adler & Borys, 1996, p. 69). In their paper, Adler & Borys draw the analogy with technology and design:

according to one rationale, the user is a source of problems to be eliminated; according to the other, the user is a source of skill and intelligence to be supported

(Adler & Borys, 1996, p. 68)

Fundamentally, Alder (1999) argues that there is nothing inherently wrong with bureaucracy: bad outcomes are essentially “the result of poor choices in the specific form given to bureaucracy” (p. 37). Adler (1999) offers a new typology of organisational archetypes based upon two dimensions of structure: the technical structure and the social structure. He labels the technical structure in traditional terms of high or low levels of bureaucracy, but adds the second dimension of social structure which can be distinguished in terms of enabling versus coercive structure. This gives rise to two distinct forms of bureaucracy (Adler, 1999, p. 38):

- The traditional bureaucracy the drives coercion and compliance as its primary goal
- The second type of bureaucracy serves the purpose of enabling employees, where the systems primary function is to support rather than control the employees

To link this now to the earlier commentary, role clarity and clear boundaries can be seen as enabling by the employee provided their primary purpose is to support and enable the employee. If abused in a coercive fashion, they are unlikely to support transformational leadership. Of course, the summary of the discussion by Adler (1999) is focused on general employee enablement, but as these results show, leaders, too, respond positively to this sort of enablement.

One interesting note is the call for greater collaboration and communication from the Firm B respondents. These remarks were directed at better peer-to-peer collaboration and communication, reflecting the level of work of these respondents who have accountability for managing across the value chain (Byrnes, 2005; Stamp, 2009). It is therefore an integral element of their accountability domain. In one sense, this suggests that this might be regarded as an element of the formal structure, however, the nature of communication and collaboration has been considered an element of the cultural make up of the organisation in this work.

The issue of organisational politics is one this researcher saw initially as “business as usual”. In more than 20 years of consulting to organisations in strategy and change, politics remains one of the constants. Thus when it appears here, the instinctive reaction is to simply acknowledge it and move on. However, reviewing the work of Davis & Gardner (2004) it becomes apparent that there is a rich literature which provides a more nuanced understanding of politics in organisations. Indeed, a number of authors (eg. Allen, Madison, Porter, Renwick, & Mayes, 1979) have argued that “political behaviour is a fact of life in every organization and is probably necessary to their effective operation” (Davis & Gardner, 2004, p. 441).

The evidence of the previous research on organisational politics and the evidence seen in the research data reported herein suggest that the presence of perceived organisational politics will present a barrier to transformational leadership. The challenge in operationalising this insight is “behaviours that may be judged political in one situation and may be seen as effective leadership in another” (Davis & Gardner, 2004, p. 441).

Summary: the cultural context

It is clear from the results here that there is support for the commonly held view that an organisation that is open, willing to change, prepared to accept mistakes and otherwise demonstrate what might be termed a culture of innovation has been identified as conducive to more transformational leadership. Conversely, the data also suggests that organisational politics is likely to present a constraint to transformational leadership, much as it has been seen to do in leader-member exchange theory.

Perhaps the fresh insight from this analysis, however, is the reinforcement of the earlier discussion that bureaucracy is not, per se, a constraint to transformational leadership, but rather the nature of bureaucracy is important. It emerges from this discussion that ‘enabling bureaucracy’ as described by Alder (1999) may be more than just a generalised enabler, but may in fact enable transformational leadership.

5.11 Theme 10: Relational context

The research data highlight the importance of what has been labelled here ‘relational context’. This captures the quality of the relationship between the respondents and their teams, and also the relationship between these respondents and their leaders. These issues are discussed in turn below.

Turning firstly to the relationship between the leader and follower, this issue emerged only during the detailed interviews with leaders from Firm A. Interestingly, it did not appear at all in the qualitative survey. In the interviews, it emerged typically in the context of the question: what are the drivers that shape your balance between management and leadership?

This theme can be summarised into two issues: capability of team; and team maturity (how long the team had been together). The issue of team maturity resonates with the LMX development model, which suggests the leader-follower relationship develops through a pattern of role taking, role making and finally role routinisation as the leader progressively tests the follower through a series of delegated tasks (Brower, Schoorman, & Tan, 2000). From this flows the leader’s mental model of the capacity of followers to work without close direction and oversight.

However, inherent in the continuity of managerial work, one of the core premises of the hierarchical model (and SST) is that leaders are accountable for the output of their direct report teams. Given perceived lack of capability, or simply immaturity in terms of relationship building and team work:

managers seek to reduce the inherent uncertainty in this (the output of their teams) by attempting to exercise close control over those whose actions directly determine those outcomes ... this may be more likely to focus on routine, day-to-day direction and control

(Hales, 2002, p. 63)

Thus, the lack of confidence or team immaturity is likely to promote leader behaviours that approximate transactional leadership rather than transformational leadership.

Given both firms experience high turnover levels typical of remote mining operations, there will always be a contextual element that presents a structural barrier to transformational leadership. It is possible to argue that the different hierarchical contexts of the respondents in the two firms may present a structural difference, although this is argued from the researcher's deep knowledge of the industry rather than particular data captured in this research. In particular, it is highly likely that the turnover of direct reports experienced by the Firm A respondents would be significantly greater than experienced by the Firm B respondents. Quite simply, managers and above tend to have significantly lower turnover rates than lower level employees. Thus, the challenge of team maturity will be less of an issue for the Firm B respondents.

From the qualitative survey of Firm A, the themes to emerge under the heading of better leadership interactions were more openness, more values based leadership (trust; integrity; respect) and greater sense of support and encouragement. In the interview phase what emerged from Firm A were calls for 'more leadership', better direction and support.

The interview responses were quite variable, but it is very clear that the respondents' direct leader can have a very marked effect on their management versus leadership orientation. One particular remark noted that the strong transactional leadership from his leader drove a very marked focus on his transactional role. This reinforces that old chestnut: 'what interests my boss fascinates me'.

In other more general remarks, the leader clearly plays a coaching role, even if not formally recognised or appreciated. Thus, casual remarks of the respondent's leader can shape his or her approach to leadership issues.

Respondents from Firm B, in identifying organisational changes that would enable stronger transformational leadership called for better communications from, and more collaborative working of, the executive team above. They were also pushing for greater levels of face-to-face communications. This arguably reflects the higher level of these respondents within the organisational hierarchy, and the fact that their

role accountability encompasses a whole of business contribution. Thus, the interaction between the leaders who sit above them is more visible.

The researcher acknowledges the extensive theoretical and empirical work on leader-member exchange theory, with its early roots in vertical dyad linkage theory (eg. Cashman, Dansereau, Graen, & Haga, 1976; Dansereau, Graen, & Haga, 1975). In its early days, it introduced concepts of in-group and out-groups, but this has been dropped more recently and the quality of the relationship is measured more on a continuum. The current model describes a life cycle relationship model that begins with role making, but quickly develops and stabilises. (Brower et al., 2000).

A recent review of LMX theory discussed the possible integration of this theory with the neocharismatic leadership theories, identifying a controversy which has its roots in the classification of LMX as purely transactional (Graen & Uhl-Bien, 1995). They argue that LMX is “both transactional and transformational ... it begins with more limited social transactions ... but for those who are able to generate the most effective LMX relationships, the type of leadership that results is transformational” (p. 239). A high LMX relationship has been characterised as displaying “mutual trust, loyalty and behaviours that extend outside the employment contract” (Brower et al., 2000, p. 229). These are emblematic of a transformational relationship, reflecting a commitment and identification with the leader and/or the organisation (Kark, Shamir, & Chen, 2003).

This reinforces earlier observations that suggest that these leaders, when asked what organisational changes they would like to see to enable them to become more transformational identify a desire for their leaders to become more transformational. In other words, the notion of nested leadership emerges strongly again from the research data.

Interestingly, in terms of the contextual differences of the two firms, the call for this nested leadership appears to be contextually invariant.

Both the Firm A and Firm B respondents called for greater clarity of direction from their leaders, confirming the previous discussion around this issue, where respondents have very clearly expressed the view that greater clarity around direction, goals and individual role boundaries would improve their capacity to deliver more transformational leadership.

This again suggests that, at least for the contextual differences between these two firms, this desire for clarity around individual roles transcends context.

Summary: the relational context

Firstly, it appears that high turnover environments create a structural barrier to transformational leadership. Hierarchical level may influence the level of turnover, rather than necessarily moderating the effect of turnover.

The evidence of the research also reinforces the previous concept of a theory of ‘nested leadership’ where leaders at all levels believe greater levels of transformational leadership from their leaders would enhance their abilities as transformational leaders. Importantly, there is nothing in this research data that suggests that this is driven by the value often ascribed to role modelling. Simply, these leaders themselves need to experience all that is powerful about transformational leadership.

5.12 Theme 11: Time

At one level, perhaps, time may appear the simplest of the themes emerging from the research data, but it is certainly an important element given the extent to which time, and resources more generally, is cited by respondents. Note that time emerged solely from the Firm A respondents: Firm B respondents remark more generally on resources – and then not with anything like the relative frequency of the Firm A respondents.

However, in the words of Mintzberg (1990, p. 72) “the scarcest resource managers have to allocate is their own time”. For that reason, the focus of this discussion will be on the issue of time.

Time, per se, can be a complex philosophical phenomenon. It has attributes that are beyond science and are embedded in culture. A phenomenon such as the direction of time (eg. Prigogine, 1996) is in debate in the literature; the notion of polychronicity (Bluedorn, 2007) has emerged to capture what is referred to as multi-tasking in lay language; and the cultural dimensions of time and past, present and future (eg. Ferraro, 1998) create organisational complexities.

However, it is not intended in this thesis to explore the complex philosophical questions surrounding managers' perception of time. As flagged above: time is not, *prima facie*, a complex phenomenon in the way that the respondents have framed their responses. Quite simply, they need more time. And to achieve that, they identify the need to reduce bureaucracy, administrative tasks and fire fighting, although respondents also recognise they could be better time managers. And with that time, respondents propose they would spend more time leading; thinking; learning; and with their team in face to face conversations.

Bluedorn & Jaussi (2008) have very recently completed a comprehensive review of the literature surrounding time and leadership – what they describe as “a rich sampling of the extant literature rather than a completely exhaustive review” (p. 654). The review identifies a range of themes that emerge from the literature: how leaders spend their time; the historical period within which the leadership occurs; the use of time as a signal; the development of leaders over time; the changing relationship of leader-follower over time; and the life cycle of the leader. This provides a useful link to the emergent issue of time in this research.

Although the allocation of time within the roles was not an explicit focus of this research, there have been numerous studies into the allocation of time within managerial roles (eg. Kotter, 1982; Mintzberg, 1973; Tengblad, 2006). Interestingly, though, in the context of the findings of this research where respondents were suggesting they needed more time for face-to-face work, somewhat counter-intuitively it seems to this researcher, Tengblad's (2006) work found that his sample group spent more time in meetings and less time in desk work than Mintzberg's (1973) counterparts.

Thus, despite the growth of IT as a functional tool of managers, and the dominance of email on everyone's agenda, the amount of time spent in verbal communication with others has not changed. While there are some limitations, nevertheless, it gives pause for thought about the assumptions one might otherwise make about time demands.

To this writer's best understanding, there has been no explicit research into the interaction between time and transformational leadership. It has been suggested

(Bluedorn & Jaussi, 2008) that time has been addressed implicitly in the dimension of individual consideration, as evidenced in the notion that:

Individualized consideration is displayed when leaders pay attention to the development needs of followers, and support and coach the development of their followers

(Bass, 1999, p. 11)

Thus, the research data captured here which shows the leaders seeking more time to spend with their people appears consistent with this concept.

However, for this researcher the strength of the emergence of lack of time as a critical theme raises a paradox. It appears to this researcher axiomatic that few transformational leaders in the world of business have simple jobs without intense time demands. And yet, against these pressing time demands, which are in all likelihood similar to those that these respondents are expressing, the transformational leader appears able to manage the balance.

There are at least a few potential explanations that warrant further inquiry.

Firstly, there is some research by Bruch & Ghoshal (2002; 2004) based upon the practise of more than 400 managers from various large, global companies. Their data suggests that only 10% of managers demonstrate high energy and focus, delivering what they label ‘purposeful action’. Interestingly, they note that whilst it is possible in some companies the percentage of managers taking purposeful action “can be a little higher but, in all likelihood, not a lot higher” (Bruch & Ghoshal, 2004, p. 7). Whilst they do not use the language of structural barriers, it is at least suggestive of potential structural barriers that prevent a greater percentage of managers engaging in such purposeful action.

Two questions relevant to this research emerge from this data.

Firstly, are transformational leaders ‘purposeful’ in the sense meant by Bruch & Ghoshal (2004)? If so, does this suggest that organisations are unlikely to see more than about 10% of their managers ever actually providing transformational leadership? This leads to a number of subsidiary questions that also have links to other ideas that emerged from this research, such as, how many transformational

leaders is optimum in an organisation? And does that number change depending on the position of the business in the cycle of change?

Secondly, what is the nature of the barriers these authors identified? Linked to their research these authors suggest that an organisation can be designed to support volitional action. They define three “contextual principles” (Bruch & Ghoshal, 2004, p. 11). If this author was to paraphrase the work of Bruch & Ghoshal using language that has been used in this thesis, these principles could be broadly described thus:

- An empowering organisation;
- A sense of felt leadership and relational support; and
- The presence of a transformational leader providing inspiration, intellectual stimulation, and demonstrating confidence in the capacity of their followers to deliver.

This is entirely consistent with the findings of this research, and reinforces what this writer has been labelling the concept of nested leadership.

However, there are other facets of time that warrant further reflection.

What is one to make of the fact that only the respondents from Firm A highlighted time as a factor? (It seems reasonable to discount the notion that all the great transformational leaders work for Firm B.) There are a couple of possible answers to that question. It may reflect the situational context of the change. Firm A was essentially confronted by imminent demise without a major transformation. This places an extraordinary emphasis on delivering the transformation. By contrast, Firm B was seeking to lead a transformation from a position of strength. The business was experiencing record revenue, record growth and record profitability. Thus, despite the call for transformation, one can reasonably assume there was no sense of desperation, much less panic in Firm B. If this were true, it suggests a dilemma for organisations: at the very time they need transformational leaders to stand up the context overwhelms them. However, given the weight of literature that suggests that charismatic leadership is more likely in a crisis (Beyer, 1999b; E. Lowe, 1971), this seems unlikely.

Alternatively, one can return the earlier discussion surrounding levels of work. The reader may recall that one of the key distinguishing features associated with the level

of work is the time span over which the person has a felt accountability (Stamp, 1981). Thus, the managers in Firm A have a much shorter time span of accountability than the higher level GM's and MD's of Firm B. It seems entirely plausible that managers with shorter time spans of accountability are likely to feel time pressures more than those whose accountability is measured across 5 plus years. This has linkages with the concept of 'immediacy' which describes the time between events and oversight. Sparrowe & Liden (1997) have shown that the leader-follower relationship becomes too transactional if the level of immediacy is too high. This again reinforces the emerging importance of level of work as a key contextual and structural factor emerging from this work. However, it also raises the paradox noted previously. This work would suggest what has been articulated in the literature previously – that transformational leadership is more likely at higher levels of the organisation – and yet this hypothesis has been challenged by empirical data (Lowe et al., 1996).

Finally, before leaving the issue of time, this researcher was struck by potential linkages between transformational leadership and flow. The concept of flow was made famous through the work of Csikszentmihalyi (1991). In his work he distinguishes pleasure and enjoyment. Pleasure, he argues, is a feeling of contentment, occurring when a person has met expectations of our biological self or of social conditioning. Enjoyment, however, arises:

*when a person has not only met some prior expectations or satisfied a need or a desire but also **had gone beyond what he or she has been programmed to do and achieved something unexpected, perhaps something more than expected***

(Csikszentmihalyi, 1991, p. 46: highlights by researcher)

The parallels between this concept and the notion of transformational leadership expressed as 'performance beyond expectations' (Bass, 1985). This parallel is further evidenced in the following extract from Csikszentmihalyi (1991):

Every flow activity ... provided a sense of discovery, a creative feeling of transporting the person into a new reality. It pushed the person to higher levels of performance, and led to previously

undreamed-of states of consciousness. In short, it transformed the self by making it more complex.

(Csikszentmihalyi, 1991, p. 77)

There are some conditions that surround flow that are also of particular interest given the findings of the research around time. In brief, Csikszentmihalyi (1991, p. 49) identifies eight major components that accompany the flow experience:

- We confront tasks we have a chance of completing;
- We must be able to concentrate on the challenge;
- The task has clear goals
- There is immediate feedback;
- Deep but effortless involvement removes the burdens of everyday activities
- Allow people to exercise control
- Concern for self disappears
- Sense of duration of time is altered

There is evidence of several of these elements either present in the leadership experiences of the respondents. Alternately, their absence is seen as a barrier to the respondent delivering stronger transformational leadership.

This researcher believes there may be value in further investigating linkages between the concepts of flow and transformational leadership.

Summary: the barrier of time

The emergence of time as perhaps the most cited barrier to delivering more transformational leadership within Firm A makes this finding particularly interesting. Time for individual consideration is at least implicit in transformational leadership.

Potential structural barriers to ‘purposeful action’ appear consistent with those barriers to transformational leadership found in this research. More research is needed to establish the linkages between transformational leadership and purposeful

action. The results from Bruch & Ghoshal (2004) reinforce an emerging insight from this research: the concept of nested leadership.

Perhaps the most influential issue may be the influence of level of work. The fact that more managers from Firm A found lack of time to be a real issue may link to the time horizons of their felt accountability; compounded with the concept of immediacy, it suggests level of work may be a real structural barrier – although paradoxical empirical data is confounding.

Finally, this researcher has suggested there may be linkages between the notion of flow and transformational leadership. Further exploration of these linkages may prove interesting.

5.13 Summarising the Contextual Insights

Without repeating the summaries offered at the conclusions of each of the emergent themes, it is useful to paraphrase the outcomes in a much abbreviated format below:

- Understanding and the opportunity to influence organisational strategy is important to enabling leaders to deliver more transformational leadership. However, a key insight to emerge from this is the potential influence of the level of work. Applying Jaques (1996) SST, it is more likely that leaders in the upper echelons of management will have exposure to, and conversations around, the nature of the organisational strategy. This suggests that these leaders will be more likely enabled to operate in a transformational mode than leaders operating at lower levels.
- Clarity around individual goals appears to be an important antecedent to leaders operating in a more transformational mode. This finding transcended the contextual differences between the case study firms, and contradicts the presumption in the literature (Bass, 1985).
- Situations of high social density appear to create significant barriers to transformational leadership and will place a premium on the developmental stage of the leader. This is likely to occur in many remote operating environments. There are potentially other organisational environments which create conditions of high social density that will have a similar impact.

- Contrary to intuitive assumptions, core management control systems are potentially strong enablers of transformational leadership. There emerged an important symbiosis between transactional and transformational leadership. This effect transcended the different contexts of the two case study firms.
- Role domains impose a top down effect on individual's role enactment which will likely make transformational leadership more difficult for some roles. In particular, roles that require high levels of personal discipline and detail focus are likely to be unrewarding places to find transformational leadership.
- Change context can be one of the most important influences on the propensity for transformational leadership. Not all organisational change contexts drive greater transformational leadership despite the assumption in the literature (eg. Bass, 1999; Pawar, 2003). In fact, much of the change that comes with major change processes can be quite disempowering for potential leaders. The change context also calls for a more thoughtful approach to the interaction of transformational and transactional leadership. A more holistic approach to leadership, rather than leaders, is required. More is said about this below.
- Empowerment is as important for leaders as it is for followers. The literature often approaches the study of leadership as if the leader arrives context free to exercise 'leadership'. Whilst no-one would believe this is the case, there is a tendency for this approach in the literature. This reinforces an emergent theme around nested leadership described below.
- The findings of this research support much of the conceptual literature: transformational leadership is more likely in organisations that are open, willing to challenge, prepared to take risks. This work did, however, highlight the emergence of a constructive or enabling bureaucracy as a useful adjunct to the study of organisations and the role of systems as potential enablers of transformational leadership.
- Two key findings emerged from the construct of relational context. Firstly, the maturity of the followers as a team is an important influence on

the extent of transformational leadership. An immature team is likely to push a leader to a more transactional style, at least until the leader has confidence in his or her followers. The relationship between a leader and his or her leader is also vital. A strong transformational leader above will increase the likelihood that the leaders below will engage more fully as a transformational leader. This reinforces the construct of nested leadership. The driver of this is much more complex than simply role modelling.

- The dominance of time as a potential barrier to transformational leadership highlighted a number of key issues. Firstly, it reinforces the potential significance of the leader's level within the hierarchy as an influence on the propensity to experience transformational leadership. This raises the question of whether transformational leadership is possible at lower levels within the organisation.

This is interesting in itself, but more interesting in this researcher's view are the second order themes that emerge from the analysis of the first order themes. These are discussed below.

5.14 Emerging Second Order Insights & Research Opportunities

It is appropriate to return to the beginning with the quote used to open the introduction:

If we know all too much about leaders, we know far too little about leadership

(Burns, 1978, p. 1)

For this researcher, there are three second order insights or observations that are potentially quite profound for their potential to impact the nature of transformational leadership across organisations. These are the issues flagged throughout this section, and highlighted in the summary of contextual influences above:

- The influence of levels of work and the potential for transformational leadership at different levels within the hierarchy
- The emergence of nested leadership

- The dynamic interplay between transactional and transformational leadership, and the need for greater holism in the study of leadership.

5.14.1 Levels of Work and Transformational Leadership

The literature has variously suggested transformational leadership is more likely in the upper echelons of leadership of organisations (Osborn & Hunt, 2007) or reported that it occurs throughout the levels of the organisation (Bass & Riggio, 2006). Throughout the discussion of the results of this research it has become clear that there are elements of managerial work that are contingent on the leader's level within the hierarchy that might be thought to militate against middle managers demonstrating transformational leadership.

At the level of manager and below the leader operates within a closed system and closed context (Stamp, 1981). This would seem to naturally preclude the incumbents of these roles from working as transformational leaders. Transformational leaders create new goals, shape new cultures, and define new meaning and context for employees (Bass, 1999; Kotter, 1990a; Zaleznik, 1977). Thus, working within the boundaries of a given context and system seem antithetical to the work of a leader. Relatedly, level III managers in the language of SST (Jaques, 1996), are focused on continuous improvement and refining systems within the given context. They are also focused on delivering value for today, rather than focusing creating future value (Stamp, 2009).

By contrast, higher level managers are focused on future value creation; their work is predominantly within the strategic domain. Whilst at Level IV they continue to operate within a closed context, they have much wider latitude in terms of the systems they work within. Because their roles are within the strategic domain, they are also more usually engaged in the strategic conversations. This would seem to support the view that higher level (within the hierarchy) leaders are operating in an environment where one would expect them to be more likely to engage in transformational leadership.

Why, then, is there empirical evidence of transformational leadership at within level III manager domains? One possible explanation is that leaders at Level IV and above (typically GM's and above) – which describes the leaders from Firm B – tend to lose their identification with the lower levels of the organisation. As noted earlier,

at this level their primary identification shifts to the organisation and their peer team. If one links this to the work of Valikangas & Okumura (1997) this suggests these leaders have only two levers of influence: either compliance (transactional) or internalisation (transformational). The apparent loss of identification with the operational domain teams arguably precludes them from influence at the level of identification.

By contrast, the managers at Level III, which describes many of the Firm A respondents, have to translate the strategy into the local context of their teams. If these leaders internalise the strategy, they are potentially potent communicators with their teams who remain their primary source of identification (Stamp, 2009).

This explanation is plausible, and would be consistent with the research data herein and with the data from Lowe et al (1996), however it requires substantially more research to test the many embedded assumptions.

It does, however, offer a rationale that posits that lower level managers can, in fact, present as transformational leaders, even when on first analysis, the structure of their roles would suggest otherwise.

5.14.2 Nested Leadership

The concept expressed by this researcher is one of nested leadership as a descriptor of organisational contexts that may support higher levels of transformational leadership. The language of nested leadership is intended to convey the metaphor of the classic ‘Russian nesting dolls’ or ‘matryoshka’. These artefacts of Russia are widely known: as each doll is lifted off, there sits another smaller doll inside, and so it goes on, seemingly endlessly at times.

Whilst not complex, the research data herein and the analysis offered in this section identified numerous areas where this idea would have currency: in the relational context; when exploring the impact of empowerment on leaders; on the impact of the change context on leaders. This concept is expressed in a pragmatic way by the Dean of a major university school who commented:

Leadership doesn't happen on its own. It's up to us to make it happen. Indeed, we make it happen everyday through the choices we make and actions we take, sometime for better, sometimes for worse

(Souba, 2007, p. 1)

Thus, it would seem when upper echelon leaders implore their followers to ‘step up’ as leaders, it seemingly demands stronger leadership from above. The literature on context is suggestive that such an influence might exist, although it is described in a narrow dyadic context (Pawar & Eastman, 1997).

This is a phenomenon worth further investigation. But it needs go beyond the simplistic notion that one transformational leader at the top of the organisation explodes into a plethora of transformational leaders at lower levels. It warrants a much more detailed exploration.

5.14.3 Leadership versus Leaders – a New Holism

One of the most interesting emergent second order themes has been the dynamic interplay between management and leadership, between the systems that are classically transactional and their role in enabling transformational leadership. This dynamic interplay was especially pronounced in the particular context of a transformational change within Firm A.

The research data presents empirical evidence that these systems of work – management and leadership – are dynamically interlinked. The lifting of the focus on leadership has come at a cost to management control according to the respondents. Recognising the need for both, as now expressed in the notion of Full Range of Leadership theory (Bass & Riggio, 2006), is not new (Bass, 1985; Burns, 1978; Tushman & Romanelli, 1985).

However, what emerges from the detailed discussion on the change context is a realisation that the interplay between these systems of work is more complex than has been modelled to date. The demand for these systems of work changes as the change cycle evolves – as per Ghoshal’s (1997) sweet and sour organisational renewal model.

Perhaps the next breakthrough in our understanding of leadership – as opposed to leaders – will come from a more holistic model of leadership that is framed from an holistic organisational perspective rather than the dyadic leadership theories that dominate the literature today. This is consistent with the increasing call for a new unit of analysis among leadership scholars: distributed leadership (Gronn, 2002).

One of the features of this model of distributed leadership is the property of interdependence. More recently there has emerged a concept of shared leadership (Pearce, Conger, & Locke, 2008). These new streams of thinking about leadership may offer fresh insights.

For this researcher, this generalised extension of the study of leadership to a broader focus group within an organisation may offer fresh insights. However, this author remains attracted to the model offered by Tushman & Romanelli (1985) which links transformational and transactional leadership with the institutionalisation of leadership within an organisation. Within the change context explored within this research, it seems likely there could be value in further exploring and interpreting this model.

5.15 Practical Implications

This research has found that more than 50% of the potential barriers to leaders displaying more transformational leadership may be a consequence of structural or contextual variables, many of which are within the control of someone in the organisation, even if it is not clear from this research exactly where in the organisation that control exists.

What is clear is that Fiedler's remarks quoted earlier:

We cannot make leaders more intelligent or more creative, but we can design situations that allow leaders to utilize their intellectual abilities, expertise and experience more effectively

(Fiedler, 1996, p. 249)

In practical terms, it suggests organisations should spend as much time finding ways to make their organisations more effective enablers of leadership as they do discussing talent management and leadership development. And, in simple terms, the pathway to enabling transformational leadership through a better organisational context is not unknown. It requires a translation of much of what has been written about empowerment of front line employees into application to leaders; providing leaders with enough clarity of direction and role boundaries to enable them to feel confident of the ground rules within which they are playing; providing them a supportive organisational and relational context that allows them to more fully

express themselves as individuals. Quite simply, it is the enactment of the core fundamentals of transformational leadership: idealised influence; inspiration; intellectual stimulation; and individual consideration.

But greater transformational leadership comes at some cost: there is nothing for free. Using a simple metaphor of energy conservation, time and energy spent on one dimension of the leadership and management systems draws down some of the available energy of the system for the other dimension.

The other emergent insight for leaders of organisations is to recognise the need for balance. The current literature largely presents transformational leadership as a normative model (Conger, 1999). However, this research has found that even in the face of powerful forces for change, there remain managers within the business who will drive for greater control. The leader of businesses undergoing transformation needs to allow at least some of these people to play to these strengths. There is a tendency to discount the value of management: this research highlights the fact that management is an important element of transformation: beyond simply control, it enables transformational leadership.

5.16 Conclusions & Final Reflections

Several years ago a casual coffee and conversation led this researcher to contemplate a profound question: are there structural barriers to transformational leadership. In a world where organisations are endlessly pursuing ‘world class leadership’ as an enabling business strategy, was it possible that the solution is less about better selection and training of our leaders than it is about the organisational context within which these leaders are asked to work? At the time this researcher was unaware that Fiedler (1996) and Jaques & Clements (2007) had similar doubts.

Over the next few years the researcher created an opportunity to capture data from leaders in the field working for major corporations who were part of a transformational agenda in their workplaces. Through a qualitative research process involving both surveys and in depth interviews, the researcher has captured data from 145 leaders. The result is a rich store of respondent stories and commentary on the nature of barriers and enablers of transformational leadership.

Not unexpectedly, a large percentage of the perceived barriers to these leaders delivering more transformational leadership were personal factors. These leaders

have described the need for greater personal capability and skills, the need for greater personal courage, a better understanding of others, and a more effective personal leadership style. However, the dominant personal factor that emerged was the need for these leaders to be better communicators.

But personal factors were really just an interesting aside.

The central focusing question for this research has been: are there structural barriers to transformational leadership and, if so, what is the influence of organisational context.

To the first substantive question: are the structural barriers? The answer is an unequivocal yes! More than 50% of the potential barriers (or enablers) to greater transformational leadership identified in this research lay in structural factors within the organisation. The researcher constructed a synthesis of the findings from across the two case study firms to identify a series of factors that are barriers or enablers of transformational leadership. These have been summarised already in Section 5.13 above and will not be repeated here.

Some of these results are probably unsurprising, and are consistent with the extant literature or represent natural extensions of the current knowledge. However, this research represents a substantive contribution of empirical research to the literature.

The more substantive contribution of this research, however, arguably lay in what has been labelled the ‘second order’ insights. These represent a higher level conceptualisation and abstraction of the collective insights from across the research. These findings have highlighted the influence of a leader’s organisational hierarchical position on the likelihood of exhibiting transformational leadership. Whilst there is mixed conceptualisations and empirical data in the literature (eg. Bass & Riggio, 2006; Lowe et al., 1996) this thesis offers a new conceptualisation of the nature of the leadership influence at different hierarchical levels and the implications for transformational leadership.

The research also provides strong empirical support for the notion of ‘nested leadership’ where the quality of the ‘leader’s leader’ plays a critical role in influencing the likelihood of transformational leadership. Importantly, this is much deeper than simple role modelling that might be ascribed to this phenomenon. As Souba (2007, p. 1) declares: “it is up to us [the top leaders] to make it happen.”

And finally, the research reinforces the shift to a new holism in leadership research. This research has provided strong empirical support for a much more dynamic interplay between leadership and management than is reflected in the literature today. And it reinforces the critical importance of the managerial dimension of transformational change. The data suggests this is a forgotten element of successful organisational transformation.

Finally, in a reflective moment, it is important to note that the various limitations of this research have been identified throughout the thesis. That is the nature of this process. However, one limitation that has not been directly expressed is the limitation of the researcher himself. After too many years, and plenty of time to reflect upon the research process and the results of the research, this researcher is humbled to acknowledge what no doubt many reviewers of theses know only too well:

If you imagine a sliding scale of levels of achievement, then ... further down the scale [actually at the bottom of Silverman's scale] completed research dissertations ... are properly viewed as displays of successful apprenticeship

(Silverman, 2000, p. 31)

This researcher acknowledges the imperfections of his own knowledge that realistically is only now at the level of 'successful apprentice'. In the words of Suddaby (2006, p. 639):

Many of the primary techniques of grounded theory research are developmental. That is, the quality of their application improves with experience

This researcher is in no doubt about the veracity of the claims of both of these writers. For this researcher, the process has indeed been extraordinarily developmental.

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Appendix A: Qualitative Survey Instrument – Firm A

Introduction

You have the opportunity to make a real contribution to our understanding of the leadership processes at Firm A through your participation in the following preliminary “survey”. Firm A is part of a doctoral research program that aims to make better leadership a real possibility in all organisations.

You have my personal assurance that your answers will be treated in a way that assures you of confidentiality and anonymity. Data taken from your answers will only be used in aggregate form that will prevent identification. You are **not** required to put your name on the form. Current managerial level is asked for to see if there are differences in how different levels of the leadership group perceive the issues.

Please take 5 minutes to complete the form now. Completed forms should be placed in the envelope provided on your table, and the envelope handed to myself.

Please note that there are two sides to this questionnaire: please ensure you complete both sides.

Thankyou

David Blyth

Doctoral research student - Curtin University of Technology

Please indicate your current managerial position:

MD/General Manager Manager Superintendent Other

I was part of a team that produced outstanding performances when...

Describe a situation where you were part of a team that produced “more than expected”: where the effort of the group was exceptional.

The leader's contribution to that team was ...

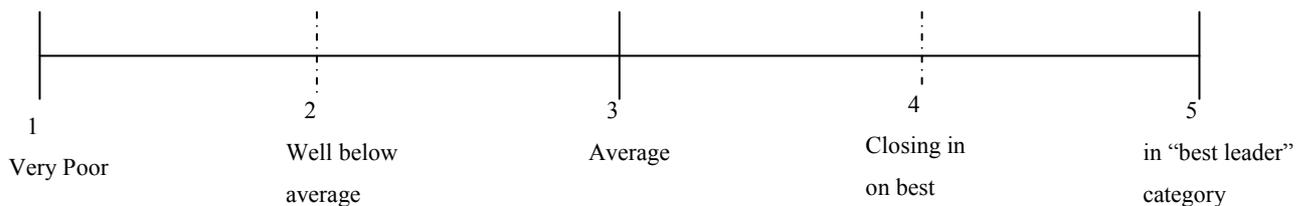
What were the three most valuable things the leader of that team did to contribute to the outstanding performance of that team?

a)

b)

c)

In terms of the goal of “producing more than expected” at Firm A, how would you rate your own leadership contribution to your team (this is a self-assessment – there is no right or wrong answer)?



I could do better if

If you had a “magic wand”, were king/queen for a day, what 3 things would you change that would have the most impact in terms of shifting you to the right on the scale above. It doesn't have to be physically achievable (for example, you may want to become more physically attractive) – the only criterion is that it is designed to shift you to the right on the scale above.

a)

b)

c)

Appendix B: Qualitative Survey Instrument – Firm B

Introduction

Firm B has agreed to allow me to invite your participation in this short survey which will provide data for my doctoral research. Your input will make a significant contribution to our understanding of the challenges of leadership and will give us insight into practical opportunities for enhancing the leadership capacity of organisations.

You have my personal assurance that your answers will be treated in a way that protects both the confidentiality and anonymity of the data. Data taken from your answers will only be used in aggregate form that will prevent identification. You are **not** required to put your name on the form.

Please take 5 minutes to complete the form now. Completed forms should be placed in the envelope provided on your table, and the envelope handed to myself.

Please note that there are two sides to this questionnaire: please ensure you complete both sides.

Thank you

David Blyth

Doctoral research student - Curtin University of Technology

Please describe in words the extent of organisational change that you believe the strategies will require for Firm B to be successful.

(please avoid using single word descriptions ... add sufficient words/commentary to make it easy for an independent reader to interpret your comments)

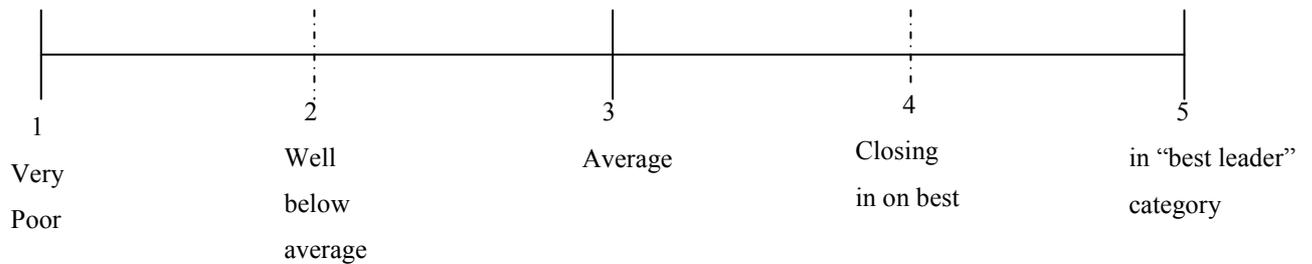
As a part of the organisation's senior team, the most significant leadership contributions I can make to the success of this strategy are:

a)

b)

c)

In terms of the goal of "producing more than expected" at Firm B, how would you rate your own leadership contribution to your team (this is a self-assessment – there is no right or wrong answer)?



I could do better if

If you had a "magic wand", were king/queen for a day, what 3 organisational changes would you make that would have the most impact in terms of helping you shift to the right on the scale above. It doesn't have to be physically achievable – the only criterion is that it is designed to help you shift to the right on the scale above.

a)

b)

c)

Appendix C: Draft Interview Protocol – Version 3

Draft Interview Protocol: Version 3 – Page 1

Questions	Purpose	Reflections
Introduce self; explain broad purpose; assure confidentiality and anonymity; establish rapport.	General introduction	
Could you please explain your role in the organisation eg. Nature of the job; number of direct reports; time in the position; time with the organisation	Allows respondent to warm up with a simple, easily answered question. Also gets the basic demographic information out of the way.	Works well - no changes needed
Over the years who do you think has most influenced your own leadership style? In what way has this person influenced your style?	Allows the respondent to begin to feel comfortable espousing theory of leadership indirectly, ie. describing another person's leadership influences rather than their own	Worked well, respondent identified a couple of specific lessons of leadership. However, not adding great value towards the research question
I am interested in a deeper understanding of your job. Could you tell me about a typical day in the last week? Describe the day in detail, from the time you arrived at work until the end of the day –	This question gives us insight in-to at least a couple of relevant dimensions. Firstly, the description of the day will give us some insight into the extent to which the respondent's job design controls his/her day: e.g. is respondent's day dominated by external/structural forces or is it within his/her control.	For the sake of efficiency, will cull this question.
-What did you do? Why?		The particular respondent gave an extraordinarily detailed account of his day. The result is a very good insight into the job, but as presented by this respondent at least the value was probably outweighed by the cost in terms of time.
-Who did you speak to? What about?	Secondly, the nature and content of the conversations will enable us to attribute a leadership style: either transformational, transactional, laissez-faire or some composite.	For its insight into the job, I want to try and retain this question , but I need to frame it in a way that limits the time the respondent takes to answer.
What were the most significant conversations you have had with your boss in the last few months?	Again, serves two purposes. Firstly, allows some insight into the leadership style of the respondent's boss, and the felt influence on the respondent.	This worked well in terms of giving some insight into the style of the respondent's leader. In this particular case, one might interpret the respondent's leader as laissez-faire.
-Describe the conversation	Secondly, as interviews are conducted down three tiers of a leadership nest, we can test for agreement or otherwise on significance of leadership conversations.	On reflection, may not have pushed hard enough to elicit the influence of this had on the respondent-need to work this harder when I use this question.
-How has their conversation influenced the way you go about your job? Can you give me an example?		

Draft Interview Protocol: Version 3 – Page 2

Questions	Purpose	Reflections
If I asked your direct reports the same question, what do you think they would say?	Again, serves two purposes. Firstly, provides insight into what the respondent believes his/her direct reports will regard as "significant conversations" Secondly, as above, L1 & L2 responses to this question allow a gap analysis: what direct reports think were significant conversations vs what leaders think are significant conversations.	Again, this conversational insight gives a good indication of the respondent's view of significant interactions with his/her direct reports. Retain this question
What are the organisational influences that support/sustain your leadership efforts? Conversely, what are the organisational forces or influences that make it hard for you to show real leadership?	Allows the respondent to articulate (unprompted) those organisational forces which she/he regards as drivers/enablers vs barriers/disablers.	While the respondent's answer was interesting, the question is too broad: would be lucky if it contributes to the research question. Delete this question
Much of the recent management literature distinguishes management and leadership. In this context management usually refers to control, where leadership is seen as more visionary, inspiring, challenging. On a scale of 1 - 10, how important is: - control - leadership in your organisation?	The scale rating of 1-10 is less important here than are the "secondary" questions that ask the respondent to articulate just what it is that prompts them to make that judgment. This will give us insight into what it is that they believe indicates control/structure; and what it is they see that indicates leadership is important.	This question worked well again. Interestingly, the respondent indicated he was consciously aware of when he shifted between control and leadership orientation in his job. The respondent's answer naturally addressed the subsidiary questions, but I need to retain them as a self-check to make sure I get information. Retain this question.
When you make this judgment, what is it you see in the organisation that indicates the importance (or non-importance of) control? Similarly, what is it you see in the organisation that indicates the importance (or non-importance) of leadership?		

Draft Interview Protocol: Version 3 – Page 3

Questions	Purpose	Reflections
<p>All managerial leadership roles combine elements of control -which is fundamentally about eliminating variation - and leadership - which is fundamentally about change.</p> <p>How do you manage the tension between these two forces?</p>	<p>This is a natural follow-up to the previous question, and allows them to articulate their espoused theory re the management v leadership dialogue. In turn, this will give us some further insight into their theory of leadership.</p>	<p>This is a good follow-up question: retain this question</p>
<p>Transformational leadership is seen as visionary, inspiring, the sort of leadership that causes people to go beyond what we could reasonably expect. All the theory suggests that we would expect to see higher levels of transformational leadership in less bureaucratic organisations. Yet, the empirical data suggests the opposite-we are measuring higher levels of transformational leadership in bureaucratic organisations like the police force, education departments etc.</p>	<p>This allows them to offer their theory on the influence of bureaucracy on transformational leadership.</p>	<p>This produced little insight. While from previous interviews it occasionally elicited some insight into respondent's models, given time constraints this question needs to be deleted.</p>
<p>Reflecting on your own experience, how would you explain this apparent conflict between the theory and the data?</p>	<p>This provides two valuable insights: firstly, it allows us to check their understanding of the schematic. In doing so, it also prompts them to discuss the extent to which visible and invisible structure is present or absent in their organisation.</p>	<p>This question worked outstandingly well. The respondent took to the new format (2x2) matrix with elements of visible and invisible structure spelt out.</p>
<p>My research is focused particularly on the influence of organisational structure on transformational leadership. Structure has two elements both invisible and visible as shown in the attached schematic.</p> <p>Explain the schematic.</p> <p>When you look at this schematic, which quadrant would you put your current organisation in? Why?</p>	<p>This delivers on the second insight: it provides another measure of the extent of structure as they experience it in their organisation.</p>	<p>Respondent automatically went to a level of detail of each of these elements, rather than talking and a broader aggregate level. He also talked animatedly about the influence each of these has in terms of leadership. Outstanding question: retain.</p>

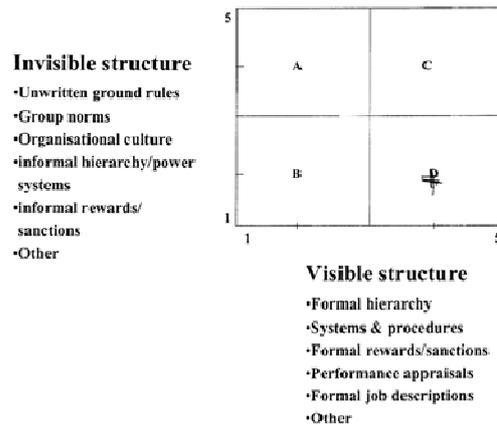
Appendix D: Final Interview Protocol

- Introduce self; explain broad purpose; assure confidentiality and anonymity; establish rapport.
- Could you please explain your role in the organisation eg. Nature of the job; number of direct reports; time in the position; time with the organisation.
- I am interested in a deeper understanding of your job. Could you tell me about a typical day in the last week? Describe the day from the time you arrived at work until the end of the day –
 - What did you do? Why?
- Tell me about some of the significant conversations you might have had during the day?
- What were the most significant conversations you have had with your boss in the last few months? Describe the conversation. How has their conversation influenced the way you go about your job? Can you give me an example?
- If I asked your direct reports the same question, what do you think they would say?
- Much of the recent management literature distinguishes management and leadership. In this context management usually refers to control, where leadership is seen as more visionary, inspiring, challenging. On a scale of 1 to 10, how important is:
 - Control?
 - Leadership?
 in your organisation?
- When you make this judgment, what is it you see in the organisation that leads you to this in each dimension: control and leadership?
- All managerial leadership roles combine elements of control which is fundamentally about eliminating variation and leadership which is fundamentally about change. How do you manage the tension between these two forces?

- My research is focused particularly on the influence of organisational structure on transformational leadership. Structure has two elements both invisible and visible as shown in the attached schematic.

Explain the following schematic.

Where does your current organisation sit on this schematic?

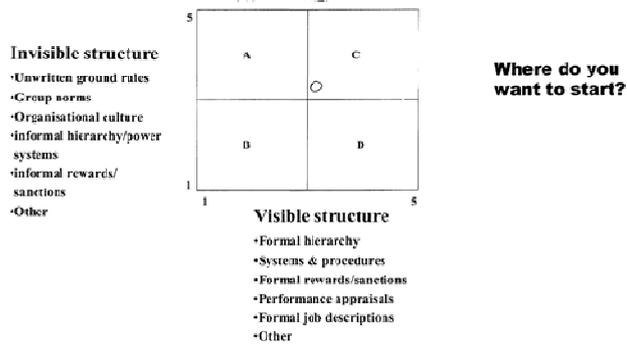


When you look at this schematic which quadrant would you put your current organisation in? Why?

- I am interested in the extent and nature of influence this has on the way you carry out your role here.
- Thinking first about the elements of formal structure: can you give me an example of how this impacts on the way you carry out your leadership role here? What impact? How significant is this?
- What about informal structure? Can you give me an example?
- Assume you had a choice to work in anyone of four organisations, each one represented by one of the four quadrants shown in the schematic below.

Your brief: deliver transformational leadership:

“creating performance beyond expectations”
 visionary; inspiring; challenging



If you were going to be judged on your ability to deliver transformational leadership in other words, to be able to get your team to deliver beyond everyone's expectations which quadrant would be your most preferred? And why?