Chapter 1

Leadership is one of the more observed and least understood phenomena on earth.

James MacGregor Burns (1978)

Introduction

A common criticism of contemporary leadership research and theory, both from within the leadership arena and from other organizational theorists, has been that the literature is fragmented and contradictory (Chemers, 1997, p. 151), resulting in multiple leadership paradigms. Gardner (1995) suggests that the broad paradigm of leadership can and should be viewed in terms of a *continuum* that denotes the capacity of an individual or group to influence others. One way to understand a continuum is by examining its *poles* – its extremes, if you will (p. 6). Suggesting a less linear perspective, Wheatley (1999) speaks of looking at the leadership phenomenon from a whole system, or *gaia* perspective, where personal values, traits, personality behaviors and style, contingent situations, environmental or organizational culture, and a host of other seemingly discordant variables form an elaborate matrix, which leads to innumerable permutations in which to view the leadership phenomenon. In contrast to viewing the leadership phenomenon as an integrated web of interpersonal and intrapersonal variables, other researchers believe that the concept of leadership doesn't really exist (Kreitner & Kinicki, 1998) or that leadership is primarily a perceptual construction (Calder, 1977; Meindl, 1990).

Given the apparent mutable pallet of contemporary leadership theory, an emergent construct of the leadership paradigm has been suggested. This new leadership construct could expand the poles of the leadership continuum and contribute to a richer

and deeper understanding of the relationships and responsibilities of leaders and

followers to each other and to the larger world. This new construct is termed

transcending leadership, and this study explores the reasonableness of the phenomenon

by examining the lived experiences of notable healthcare leaders.

Background and Need

An emerging body of literature is coalescing around a nascent construct of

leadership theory, termed transcending leadership. Though current researchers posit

credible, yet discordant bases for their particular understandings of the phenomenon, each

infers that transcending leadership is a progressive expansion of the *transactional* and

transformational leadership constructs initially proffered by Burns (1978) and later

elaborated by Bass (1985) and Bass and Avolio (1994). Based on this theoretical genesis,

the focus of this study is determining the reasonableness of a transcending leadership

construct as a legitimate extension to the transactional-transforming leadership paradigm

(Burns, 1978) and the *full range of leadership model* (Bass & Avolio, 1994). However,

discerning the legitimacy of a transcending leadership construct is difficult given the

paucity of published literature on the topic. Descriptions of the construct have been

proffered in several studies (Aldon, 1998; Cardona, 2000; Crossan, Nanjad, & Vera,

2002; and Larkin, 1994); however, no established definition of the phenomenon has been

stipulated. In fact, there appears to be no clear agreement on the nomenclature used to

describe the construct. Aldon (1998), Crossan, et al. (2002), and Larkin (1994) uniformly

assert the term *transcendent* leadership, while Cardona (2000) posits the use of

transcendental leadership. For the purposes of this study, the adjective form of the verb –

transcending leadership -- is generically used as it implies that the phenomenon

embodies a monistic relationship between leader and follower(s). This is further supported by Burns' (1978) use of the terms "transforming" and "transcending", which suggests a process, rather than an end state. As such, unless referencing a particular study, the term transcending leadership is utilized.

Transcendent leadership, according to Larkin (1994), is rooted in a spiritual dimension, an assertion based on Marinoble's (1990) work on associating spiritual faith with leadership. This perspective has been investigated by multiple researchers (Beazley, 1997; Beazley, 2002; Isaacson, 2001; Jacobsen, 1994; Magnusen, 2001; Strack, 2001; Trott, 1996; and Zwart, 2000), all of which have attempted to find a deeper spiritual meaning in the prosaic aspects of managing and leading. In turn, this path of spiritually guided inquiry has led to the proffering of a *spiritual leadership* construct instigated by a litany of scholars (Bhindi & Duigan, 1997; Bolman & Deal, 1995 & 2001; Blanchard, 1999; Block, 1996; Chaleff, 1998; Conger, 1994; Fairholm, 1998; Hagberg, 1994; Hawley, 1993; Hesselbein, Goldsmith & Beckhard, 1996; Holmes-Ponder, Keyes, Hanley-Maxwell & Capper, 1999; Mitroff & Denton, 1995; Moxley, 2000; Ponder & Bell, 1999; and Vaill, 1998). Drawing an *a priori* link between spirituality and leadership is an association that has recently garnered the interest of scholars, but no dispositive evidence has yet affirmed an unassailable relationship.

Larkin's (1994) spiritually oriented perspective of a transcendent leadership construct bears similarities to Aldon's (1998) metaphysical description of transcendent leadership as a reflection of conscious evolution. Aldon (1998) proffers that past leadership theories are reflections of discernable stages in the evolution of human consciousness (Elgin, 1993; Wade, 1996; and Wilber, 1996 and 1997) and societal

development (Toffler & Toffler, 1995). Aldon (1998) asserts that normative leadership theory is on the precipice of an era in which a transcending leadership construct is emergent. As global human consciousness – emphasizing the interrelatedness of people, systems, and the biosphere – is being transformed, "organizations are being transformed, so too is leadership undergoing substantial change" (p. 16). Aldon's (1998) metaphysical perspective and Larkin's (1994) spiritually derived view offer a provocative description of a transcending leadership construct. In contrast, Cardona (2000) and Crossan, et al. (2002) suggest less ethereal bases in articulating their respective views.

Cardona (2000) views transcendental leadership from a leader-follower mutuality, or exchange relationship perspective, and argues that transcendent leadership adds a "service to others" orientation to the transformational construct. "The transcendental leader adds to the transformational construct the spirit of service, and the development of this spirit in others (transcendent motivation)" (P. Cardona, personal communication, April 11, 2003). This notion of conscious service to others is closely associated with another theory of leadership termed *servant leadership* (Greenleaf, 1970). Servant leadership is predicated upon the notion that the essence of the leadership phenomenon lies in the leader's desire to satisfy the legitimate needs of others (followers). A servant leader focuses on the needs of followers and helps them to become more knowledgeable, more free, more autonomous, and more like servants themselves (Northouse, 2001, p. 257). This premise is aligned with Burns' (1978) concept of moral leadership.

Subsequent to Cardona's (2000) work on a transcendental leadership construct, Crossan et al. (2002) has drawn an association between transcendent leadership and

strategic leadership theory, suggesting that the existing transactional-transformational construct doesn't effectively lend itself to the ineluctable pace of organizational change manifest in today's geo-political environment. As noted in Appendix D (Glossary of Selected Leadership Theories, Constructs, and Approaches), strategic leadership theory is an approach to leadership that advances a consistent analytical methodology to choices concerning organizational strategy, structure, and systems (Hosmer, 1982). Crossan, et al. (2002) contend that transcendent leadership is "a new form of strategic leadership" (p. 11) "anchored in an organizational learning orientation" (p. 16). This contention is rooted in the assertion by Pawar and Eastman (1997) that "strategic leadership is a less delimited concept than is transformational leadership. Transformational leadership can be regarded as a specific form of strategic leadership …" (p. 84).

Problem Statement

Aldon (1998), Cardona (2000), Crossan et al. (2002), and Larkin (1994) have proffered that transcending leadership is a progression of, or expansion to, the normative understanding of Burns' (1978) transactional – transforming model and Bass and Avolio's (1994) full range of leadership model. In doing so, Aldon (1998), Cardona (2000), Crossan et al. (2002), and Larkin (1994) have stimulated a meaningful inquiry into the plausibility of transcending leadership as a legitimate construct within leadership theory. What needs to be explored, however, is how – if at all – such a leadership construct varies from, or expands upon transactional and transformational leadership theory. That is, are there discernable differences between perceived transcendent leaders and those leaders who would be deemed "transactional" or "transformational" as

described by Burns (1978) and Bass and Avolio (1994)? Or, is the notion of a discrete transcending leadership construct quixotic and merely "good leadership", therefore ingrained within the existing transformational construct? This initial step is apposite to describing the phenomenon of transcending leadership.

Research exploring the prospective relevance of a transcending leadership construct and, by extension, transcendent leaders is significant for scholars and researchers of leadership theory as they grapple to understand the means to conjoin the deontological obligations (i.e., moral responsibility to tell the truth, keep promises, respect others, etc.) of leaders in contemporary society with the fiduciary responsibilities owed to their organizations, stakeholders, and the broader community. Conceptualizing a synchronistic union between leaders' moral obligations and their organizational duties is particularly relevant in the healthcare community as leaders seek to balance clinical health outcomes, commitment to the organization's human assets, financial stewardship of their institutions, and service to community and society.

Purpose Statement

The purpose of this phenomenological study is to describe the leadership dynamic as experienced through the lives of perceived transcendent healthcare leaders. By exploring the experiences of seven physician leaders and seven hospital/health system leaders, this study investigates the characteristics exhibited by these individuals and articulates the essence of their experience as healthcare leaders. In operational terms, it explores the ways perceived transcendent healthcare leaders impact their collaborators, their organizations, and their communities.

Understanding and describing a potentially emerging leadership construct would be instructive in examining and perhaps expanding the continuum of leadership theory within the healthcare environment. Such an understanding could contribute to an integrated perspective on leadership theory and practice, a perspective in which the deontological actions of leaders and followers reside in harmony with their teleological, or consequential, outcomes.

Although no stipulated definition of transcending leadership exists, a description – drawn from Burns' (1978) seminal text, *Leadership* – is posited as a means of instigating this study's inquiry. Burns' own parsimonious description of a transcending leadership construct and the added dimension of moral virtue, which he stipulates as integral to authentic leadership, have been conflated to suggest a tentative definition of transcending leadership:

> *Transcending leadership is dynamic leadership in the sense that the*
>
> *leaders throw themselves into a relationship with followers who will feel*
>
> *"elevated" by it and often become more active themselves, thereby*
>
> *creating new cadres of leaders. Transcending leadership is leadership*
>
> *engagé, which demands attention to a moral virtue where: leaders and*
>
> *followers have a relationship not only of power but also of mutual needs,*
>
> *aspirations, and values; leaders take responsibility for their conduct,*
>
> *character, and commitments; and leaders and led reach out to wider*
>
> *social collectivities and seek to establish higher and broader moral*
>
> *purposes.*

Consistent with the rhetoric of qualitative research, this definition is not fixed, but mutable and may evolve throughout the study pursuant to information garnered from the study participants (Creswell, 2003, p. 89). The intent in offering this tentative definition is to convey a general sense of the central phenomenon, as originally alluded to by Burns (1978).

<u>Research Questions</u>

Fundamental inquiry into the plausibility of a transcending leadership phenomenon must, of necessity, begin by asking how it could be construed as differing from extant transactional and transformational leadership theory. Determining added dimensions that enrich the current literature on the full range of leadership model is essential to suggesting the reasonableness of a transcending leadership construct. Viewing this purported phenomenon through the lived experiences of individuals perceived as transcendent healthcare leaders is, therefore, pertinent to understanding the essences evidenced by these individuals in their interactions with collaborators and their communities.

The research questions posed in this study will seek, therefore, to describe the experiences of healthcare professionals nominated by informed collaborators as transcendent healthcare leaders.

R1.   What are the key characteristics of healthcare professionals who are perceived to be transcendent leaders?

R2.   Do the key characteristics evidenced by healthcare professionals, perceived as transcendent leaders, differ from those of transactional and

transformational leaders as stipulated in Burns' (1978) transactional-transforming

leadership paradigm and Bass and Avolio's (1994) full range of leadership model?

     R3.   Is it reasonable to propose a transcending leadership construct?

<u>Population</u>

     Medical doctors (physicians) who are in leadership roles and hospital/

healthcare administrators who have evidenced exceptional capabilities in shepherding

their respective organizations served as a representative body from which study

participants were identified. Physician leaders of exceptional merit were solicited

through the chief executive officers of state medical societies throughout the United

States. Concurrently, health and hospital administrators were nominated as participants

through the chief executives of state hospital associations. Each of these state

organizations has a broad membership that bridges ethnic, racial, cultural, and gender

differences and for whom the findings of this phenomenological inquiry would appear to

have specific relevance.

<u>Assumptions</u>

     There are several assumptions presented in this phenomenological inquiry.

Perhaps the most significant assumption posited is the tentative definition of

transcending leadership, which formed the basis on which state medical society and state

hospital association executives were asked to predicate their nominations. Creswell

(2003) encourages providing a general working definition of the phenomenon being

explored in qualitative research. The intent is to convey to the reader a broad sense of the

central phenomenon (p. 88). Employing the seminal sentiments articulated by Burns

(1978) concerning a transcending leadership construct would appear a reasonable basis

from which to begin this phenomenological inquiry. Further, it is assumed that the

nominators have a reasonably extensive knowledge of their member's experiences,

accomplishments, and qualities, and were able to draw upon this knowledge in

nominating individuals who best fit the operational definition of transcending leadership.

Additionally, there is an expectation that each nominator can and would act as a

corroborating informant attesting to the veracity and accuracy of the study participant's

responses and further enrich the *story* of experiences shared by the study participant.

Finally, it was assumed that the lived experiences shared by each nominated healthcare

leader would add a rich depiction to the understanding of leadership practice, which may

establish a basis to assert the reasonableness of a transcending leadership construct.

Significance

Countless scholars, researchers, and practitioners from a myriad of backgrounds

and professions have long probed the essence of leadership in an attempt to understand

the nature of and dynamics involved in the leadership process. Peterson and Hunt (1997)

and Rendova and Starbuck (1997) trace the study of leadership theory as far back as

ancient Egypt and China. A review of the literature suggests there are almost as many

definitions of leadership as there are scholars who have attempted to articulate the

concept (Bass, 1990). Bennis and Nanus (1997) noted that, "decades of academic

analysis have given us more than 850 definitions of leadership" (p. 4). Any number of

studies have attempted to dissect, label, codify, and create constructs around the

paradigm of leadership. Given the plethora of opinions, theories, and schools of thought

on leadership, why would adding a new construct of transcending leadership to this

amalgam be of significance to healthcare leaders in today's geopolitical marketplace?

First, the focus of transcending leadership may rest on a new posture for leaders, a stance that could suggest that the leader seeks first to empower and assist followers in achieving their desired aspirations as opposed to first pursuing leader self-interests. This perspective seems counterintuitive in today's corporate environment, but may be prescient to the next iteration of leadership theory. This enhanced dimension in leader motivation would be of value to healthcare leaders and their collaborators as each seeks new and more fundamentally satisfying means in which to interact, both professionally and personally.

Secondly, students in health administration or in the medical professions preparing to enter the leadership ranks of healthcare delivery may find a leadership construct based upon a movement beyond self-centeredness personally compelling (Bowditch & Buone, 1994) and responsive to the demand for enhanced healthcare quality and access. The Institute of Medicine (2001, 2003) has suggested a correlation between the leadership competencies of healthcare executives and clinicians and the quality of healthcare delivery in the United States. The Institute of Medicine's (IOM) 2001 report entitled *Crossing the Quality Chasm: A New Health System for the 21st Century* suggests that the current healthcare system is fundamentally troubled and calls for changes in the current training programs of healthcare clinicians and leaders. "Although curriculum changes are essential in providing new skills to health professionals, they are not sufficient by themselves. It is also necessary to address how health education is approached, organized, and funded to better prepare students" (p. 223). Determining the viability of an emergent leadership construct which positively

effects the intrinsic needs of healthcare leaders and followers could be significant in responding to the ails currently associated with our healthcare system.

An apposite link between leadership theory and practice and its impact upon national and international public health considerations is a third point of possible significance to this study. In the United States, the Institute of Medicine (2003) has issued a series of reports outlining the shortcomings within our current healthcare system and has called for the drastic redesign of our healthcare delivery system in an attempt to narrow the gap between best clinical practice and usual [healthcare] practice (IOM, 2003, p. xi). The National Roundtable on Health Care Quality (1998) has previously issued a similar statement: "Serious and widespread quality problems exist throughout American medicine (healthcare)…[they] occur in small and large communities alike, in all parts of the country…. Very large numbers of Americans are harmed as a result." (Chassin & Galvin, 1998, p. 1000). More recently, the *Journal of the American Medical Association* published an article by the Physicians Working Group for Single-Payer National Health Insurance (2003) calling for a renewed dialogue in crafting a national insurance plan that would address the over 45 million Americans – representing 15.6% of the country's population (U.S. Census Bureau, 2004) – who have no health insurance and the cadre of others who are underinsured. According to the 8,000 physician members who have endorsed this integrated health benefit initiative, the United States has instigated and perpetuated a healthcare system that provides financial benefit to insurers and providers by avoiding the delivery of care to those individuals who may be least profitable, thereby creating a paradox within the healthcare system "based upon avoiding the sick" (p. 798). Access, delivery, and financing of quality healthcare in the United States are concerns of

paramount importance to healthcare stakeholders including clinicians, government

authorities, public health policy makers, the general public, and healthcare leaders. These

national considerations are magnified exponentially in other areas of the world, which

are less wealthy or developed.

Globally, significant progress has been made in the twentieth century toward

improving the health outcomes for millions of individuals. Advances in the treatment of

infectious diseases, improvements in public sanitation, supply of potable drinking water,

the availability of adequate food resources, and related public health benefits has

contributed to this apparent success (Bruntland, 2002). However, the adequacy and

equity in the distribution of global health advancements is questionable. The World

Health Organization (2002) has reported on the disparity "between the haves and have-

nots [countries]" (p. xiv) in terms of global public health outcomes. The report stresses

the need for enlightened leadership from healthcare and political leaders in recognizing

the universality of our interdependence within a worldwide health context. What once

were local public health problems of infectious disease or lifestyle (i.e., AIDS, SARS,

etc.) are today readily transmitted throughout the world community through the advent

of personal travel convenience, transportation of products, immigration, or other means

of transference.

Healthcare leaders sensitive to the ineluctable connection between the quality,

availability, and delivery of healthcare services and the skills required of health

professionals to insure these outcomes may require new models of leading which are

responsive to the emergent local – national – global health perspective. Filerman and

Pearson (2002) call for a *new healthcare leadership,* which can reshape the current

perspective of health as a local concern to one that considers the health outcomes of people thousands of miles away. They cite the need for a new breed of healthcare leader who can "reengineer health systems to address the gap between what we know and what people need" (p. 448). Recognizing that healthcare is increasingly being viewed from a global perspective, Williams (2002), asserts that an emerging "internationalization of public health" paradigm will necessitate a new type of healthcare leader – one who possesses extraordinary vision and the inherent desire to serve individuals and groups (pp. 364-71).

The fourth and final point of significance in this research study may be in inspiring others to determine if the essence of a transcending leadership construct, as evidenced in the lived experiences of perceived transcendent leaders, is relevant. Burns (1978) noted that, "We fail to grasp the essence of leadership that is relevant to the modern age and hence we cannot agree even on the standards by which to measure, recruit, and reject it. Is leadership simply innovation – cultural or political?" (pp. 1-2). Perhaps the only way to answer Burns' rhetorical question is by studying the lived experiences of such individuals. Such an examination could lead to a richer, and possibly integrated, understanding of leadership theory and practice.

The transformational leadership construct of the 1970s and 80s – which emphasized the social exchange relationship between leaders and follower – was a response to the changing cultural dynamics and leadership demands of followers and organizations dissatisfied with the earlier economic exchange (transactional) model of leadership practice. The confluence of today's local, national, and global societal dynamics may instigate the emergence of a further iteration of the leadership

phenomenon – one that is transcending. The intent of this study is to explore the

feasibility of a transcending leadership construct within the healthcare context.

<u>Conclusions and Overview of Remaining Chapters</u>

Chapter 1 presented the intent of this proposed phenomenological study. It noted

the seminal work of Burns (1978) and later Bass (1985) and Bass and Avolio (1994) on

the broadly stipulated transactional-transformational leadership paradigm. Nascent

literature, however, has suggested the possibility of a new leadership construct – termed

transcending leadership – which serves to suggest a more robust dimension to the *full

range of leadership* model. Specific definitions, assumptions, and research questions

pertinent to this inquiry were presented along with a statement on the significance of the

study.

Chapter 2 offers contextual background on the iterative nature of leadership

theory with specific reference to the preeminent transactional-transformational leadership

paradigm. This background is offered as a means of juxtaposing extant transactional-

transformational leadership theory with the major studies found in the literature on the

proposed construct of transcending leadership (Aldon, 1998; Cardona, 2000; Crossan et

al., 2002; Larkin, 1994).

Chapter 3 provides a description of the research methodology and design

employed in this study. The qualitative-phenomenological strategy of inquiry used to

investigate the transcending leadership phenomenon is described as the framework in

addressing the research questions.

Chapter 4 offers descriptive findings of the study. Distinguishing attributes of

perceived transcendent healthcare leaders along with emergent themes on the essence of

the leadership experience each evidences is presented. This is apposite in responding to

research question 1: "(R1): What are the key characteristics of healthcare professionals

who are perceived to be transcendent leaders?" Relevant quotations drawn from the study

participant and nominator-corroborator interviews add to the rich depiction of the

leadership phenomenon. Chapter 4 continues by comparing the findings identified with

those characteristics commonly associated with extant transactional-transformational

leadership. The purpose in considering this juxtaposition is to identify – if any –

discordant attribute(s) between the accepted full range of leadership model and the

nascent transcending leadership construct. This analysis addresses research question 2:

"R2: Do the key characteristics evidenced by healthcare professionals, perceived as

transcendent leaders, differ from those of transactional and transformational leaders…?"

Chapter 4 completes the process of triangulation whereby distinctive attributes or themes

broadly associated with the study participants, and which appear beyond the influence of

the transactional-transformational paradigm, may be compared to propositions posited in

the literature concerning transcending leadership. Viewing the research findings through

the lens of a multiple theories and propositions presents an opportunity to speculate on

the reasonableness of the transcending leadership phenomenon as a legitimate extension

to the full range of leadership model and its possible implications within the healthcare

milieu. The findings noted in research questions 1 and 2 serve to inform research

question 3: "R3: Is it reasonable to propose a transcending leadership construct?"

   Chapter 5 concludes this phenomenological inquiry of perceived transcendent

leaders in healthcare by offering certain propositions concerning the legitimacy and

nature of a transcending leadership construct. Prospective implications and suggestions

for further research concerning the transcending leadership phenomenon are offered.

Chapter 2

Disagreement about the definition of leadership stems from the fact that it involves a complex interaction among the leader, the followers, and the situation. Some researchers define leadership in terms of personality traits, while others believe leadership is represented by a set of prescribed behaviors. In contrast, other researchers believe that the concept of leadership doesn't really exist.

Robert Kreitner and Angelo Kinicki (1998)

Review of the Literature

<u>Introduction</u>

The purpose of this literature review is to synthesize and analyze the published literature concerning an emergent leadership construct variably termed *transcendent, transcendental,* or *transcending leadership*. Researchers investigating the phenomenon suggest that transcending leadership is an iterative extension to the extant transactional-transformational leadership paradigm. While there exists an abundance of published materials on transformational leadership – including more than 650 dissertations in various disciplines that have the term "transformational leadership" in the title (University Microfilm International, 2004) – there is by comparison a meager sampling of published literature on the nascent transcending leadership phenomenon. This study seeks to discern the reasonableness of a transcending leadership construct by filling the gap in knowledge between those characteristics of transformational and transactional leadership, which have been established in the literature, and the unique aspects of transcending leadership, which remain undetermined.

Overview of the Review of the Literature

The review of the literature for this study incorporates two areas of focus. The first area of focus involves a cursory review of extant literature by Burns (1978) and Bass and Avolio (1994) concerning the transactional-transformational leadership paradigm. The second area of focus considers propositions asserted to by Larkin, 1994; Aldon, 1998; Cardona, 2000; and Crossan, Nanjad, and Vera, 2002, who posit divergent bases for a transcending leadership phenomenon. A review of the bases upon which each of the four propositions is established is presented as contextual background in advance of a descriptive analysis of the respective studies.

In his seminal text, *Leadership*, Burns (1978) conceptualizes the constructs of transactional and transforming leadership. This leadership paradigm has permeated leadership theory and research since its publication and is considered the fount from which *new leadership* (Bryman, 1993), theories, constructs, and approaches have emerged. Bass and Avolio (1994), in *Improving Organizational Effectiveness through Transformational Leadership,* broadens and enriches Burns' (1978) model with the introduction of their *full range of leadership model*. If it can be said that Burns is the conceptual architect of transactional-transforming leadership theory, then it must be stipulated that Bass and Avolio (1994) are the preeminent journeymen in operationalizing the paradigm. Drawing an inference from Burns' (1978) work, several researchers have recently begun exploring transcending leadership as a discrete construct, which could serve to extend the full range of leadership model. Though briefly mentioned by Burns, neither he, nor Bass and Avolio (1994) delve into the prospective phenomenon of transcending leadership to any meaningful extent.

A further area of focus in the review of the literature is to examine the parsimonious research conducted on a transcending leadership construct. In her doctoral dissertation, *Beyond Self to Compassionate Healer: Transcendent Leadership*, Larkin (1994) suggests that transcendent leadership embodies a spiritual dimension, rooted in the dynamic of spiritual leadership. In a second study, Aldon (1998) ascribes a metaphysical perspective to the transcending leadership phenomenon in her thesis entitled, *Transcendent Leadership and the Evolution of Consciousness*. Aldon suggests that transcendent leadership is a consequence of the natural evolution of human consciousness. A third analysis by Cardona (2000), *Transcendental Leadership*, posits that the construct is fundamentally an enhanced exchange relationship between leaders and led where a willful desire to be of service to others is a defining characteristic. Finally, the work of Crossan, Nanjad, and Vera (2002), *Leadership on the Edge: Old Wine in New Bottles?,* suggests that the transcendent leadership phenomenon is a function of strategic leadership anchored in organizational learning.

Each of the nascent works on transcending leadership offers a disparate view on the essence, or rich meaning, of a prospective leadership construct built upon the foundation of normative transactional-transformational leadership theory. While each suggests the presence of a transcending leadership phenomenon, none have conducted a comparative analysis of their respective assertions with the goal of conflating their disparate viewpoints. Rather, each study focuses on a particular point of view – or structural basis – and seeks to justify its perspective from that vantage point. By drawing inferences from each of the identified sources and comparing these inferences to characteristics evidenced in the lives of perceived transcendent leaders and normative

transactional-transformational leadership theory, it is possible to gain insight into a body of knowledge relevant to this study.

The Evolution of Leadership Theory and Emergence of the Transactional-Transforming

Paradigm

Beginning a meaningful inquiry into the reasonableness of a transcending leadership construct demands an examination of the theoretical development of extant leadership theory with particular emphasis given to the transactional-transformational paradigm. Thoughtful academic research on the phenomena of leadership is generally agreed to have emerged toward the end of the 19th Century and early 20th Century (Chemers, 1997; Northouse, 2001; and Stogdill, 1974). Over the past 150 years, five families of leadership theory have emerged, as depicted in Table 1 (Summary Descriptions of Leadership Families). During the initial era of inquiry, Darwinist thinking prevailed, and leadership was thought to be based on hereditary properties (Bass, 1981). Such *great man* theory approaches sequeiaed into an attempt to understand leadership by assessing leader traits. *Trait theories*, which surfaced in the early part of the 20th Century, prevailed for nearly five decades as preeminent leadership constructs, stipulating that leaders possessed certain characteristics, such as height, intelligence, and self-confidence, which set them apart from followers (Appendix A: Selected Leadership Trait Studies). By the 1950's, however, the field of psychology began to influence the frameworks in which researchers viewed leadership. Behaviorists suggested that leadership could more accurately be understood in behavioral terms, promoting the notion that establishing meaningful relationships with followers and creating task accomplishment structures were critical aspects from which to understand the nature of leadership (Appendix B:

Selected Leadership Behavior Studies). These *behavior theories* did not, however, adequately address situational variables and group processes (Yukl, 1994). A response to this shortcoming came in the advancement of *situational-contingency theories* in the 1960s, which proffered that leaders should adapt their approaches or actions pursuant to the context or situation. That is, according to situational-contingency scholars, the situation dictates who emerges as the leader or "the product of the situation" (Bass, 1990, p. 285). Situational-contingency theories, like trait and behavior theories, are primarily leader oriented where followers are considered the beneficiaries of leader influence.

Table 1

Summary Descriptions of Leadership Families.

Leadership Family	Approximate Time Period	Assumptions	Criticisms
"Great Man" Theory	Mid-1800s to Early 1900s	• Leadership development is based on Darwinist principles • Leaders are born, not made • Leaders have natural abilities of power & influence	• Scientific research has not proved that leadership is based on hereditary factors • Leadership was believed to exist only in a few elite individuals
Trait Theories	1907-1950s	• A leader has superior or endowed qualities • Certain individuals possess a natural ability to lead • Leaders have traits which differentiate them from followers	• Situation(s) are not considered in this approach • Many traits are too obscure or abstract to measure & observe • Studies have not adequately linked traits & leadership effectiveness • Most trait studies omit leadership behaviors & followers' motivation as mediating variables

Behavioral Theories	1950s – Early 1980s	• There is one best way to lead • Leaders who express high concern for both people & task accomplishment will be effective	• Situational variables and group processes were ignored • Studies failed to identify the situations where specific type of leadership behaviors are relevant
Situational-Contingency Theories	1950s – Early 1990s	• Leaders act differently depending on the situation • The situation determines who will emerge as a leader • Different leadership behaviors are required for different situations	• Most contingency theories are ambiguous, making it difficult to formulate specific, testable propositions
Recently Introduced Theories	1990s – Present	• Leadership is an influence or *exchange* process • Leadership is a relational process • Leadership is a shared or distributed process • Leadership can be transformative to followers and society • Leaders seek emergent methods to empower others	• Lack of empirical research • Further clarification needed on similarities & differences between various *new leadership* approaches

Source: Adapted from S. R. Komives, N. Lucas, & T. R. McMahon, *Exploring Leadership for College Students Who Want to Make a Difference,* (1998).

Dissatisfied with the situational-contingency theories' lack of attention to mutuality between leaders and followers, researchers have begun to describe the nature of leader-follower relationships as reciprocal exchanges where activities result in a synchronicity of goal and need achievement. This thread of leadership research recognized that individual, group, and organizational performance is manifested in the mosaic of the social interplay between leaders and followers (Chemers, 1984). *Recently introduced theories* (House & Aditya, 1997) of leadership have attempted to integrate the interpersonal and intrapersonal dynamics found among individuals, groups, organizations, and societies. Appendix C (Leadership Theory Taxonomy) suggests a taxonomy of the leadership families and the respective theories, constructs, and approaches associated with each. It is instructive to note the iterative progression of leadership constructs over the chronological timeline and the migration of bases upon which the constructs have emerged. This suggests that leadership theory is in a perpetual process of refinement.

Among the integrative "new leadership" (Bryman, 1993) approaches to leadership theory, one particular paradigm has received notable attention in the literature – *the full range of leadership model.* Inspired by Burns (1978) and operationalized by Bass and Avolio (1994), the full range of leadership model integrates the two constructs of *transformational leadership* and *transactional leadership* by delineating seven *behavioral factors*, and adding a *laissez-faire (nontransactional) leadership* dimension. As a means of accounting for the differences between revolutionary, rebel, reform, and ordinary leaders, Downton (1973) was first to suggest distinctions between the normative transactional leadership construct and a then newly proffered transformational construct

(Bass, 1990, p. 223). Later, Burns (1978) conceptualized a transactional-transforming

leadership paradigm, which in turn was expanded upon and operationalized by Bass

(1985) and Bass and Avolio (1994) as the full range of leadership model. The study of

transformational leadership and its related transactional construct have since permeated

the new leadership literature. In his seminal work on leadership, Burns (1978) presents

his notion of transactional and transforming leadership within the context of political and

social change milieus. He contends that,

> The essence of leader-follower relation is in the interaction of persons
>
> with different levels of motivation and power potential in the pursuit of a
>
> common or at least joint purpose. That interaction, however, takes two
>
> fundamentally different forms [transactional and transforming]. (p. 18)

As seen by Burns, transactional leadership is merely an *economic exchange* relationship

(Blau, 1964; Homans, 1961); a formal transaction of goods for money, current influence

for future favors, or other *quid pro quo* transactions. In the transactional construct, a

leadership act takes place, but not one that ties leader and follower to each other in the

mutual pursuit of a higher ideal. Burns (1978) contends that transforming leadership, in

contrast, "is a relationship of mutual stimulation and elevation that converts followers

into leaders and may convert leaders into moral agents" (p. 4). Transforming leadership

implies a *social exchange* – or informal – relationship (Blau, 1964; Homans, 1961)

based on changing, developing, and elevating the follower's values and beliefs. Later,

Burns (1978) further clarifies this definition by explaining that transforming leadership

"occurs when one or more persons engage with others in such a way that leaders and

followers raise one another to higher levels of motivation and morality" (p. 20). For

leadership to be transforming, Burns designates three tasks. First, it positively affects the

exchange relationship (mutuality) between leaders and followers. Second, an enhanced

organizational culture is created by transforming leadership, inspiring followers to

become more highly motivated. Third, transforming leadership stimulates positive social

change both within the organization and external to it (Couto, 1993). Burns (1978) refers

to this final task as *moral leadership*, stating, "… the kind of leadership that can produce

social change that will satisfy followers' authentic needs" (p. 4). Not satisfied with

having addressed the term once, Burns offers a further clarification when he suggests

that moral leadership – also referred to as *ethical leadership* – "emerges from, and

always returns to, the fundamental wants and needs, aspirations, and values of the

followers" (p. 4). Figure 1 suggests a conceptualization of Burns transactional-

transforming model as a hierarchical continuum.

Transforming
Leadership

- Social exchange relationship
  - Emerges from the aspirations & values
    of followers
    - Relationship of mutual
      stimulation involving an
      elevation of motivation &
      morality.

Transactional Leadership

- Economic exchange
  relationship (quid pro quo)
  - Does not conjoin
    leader & led in
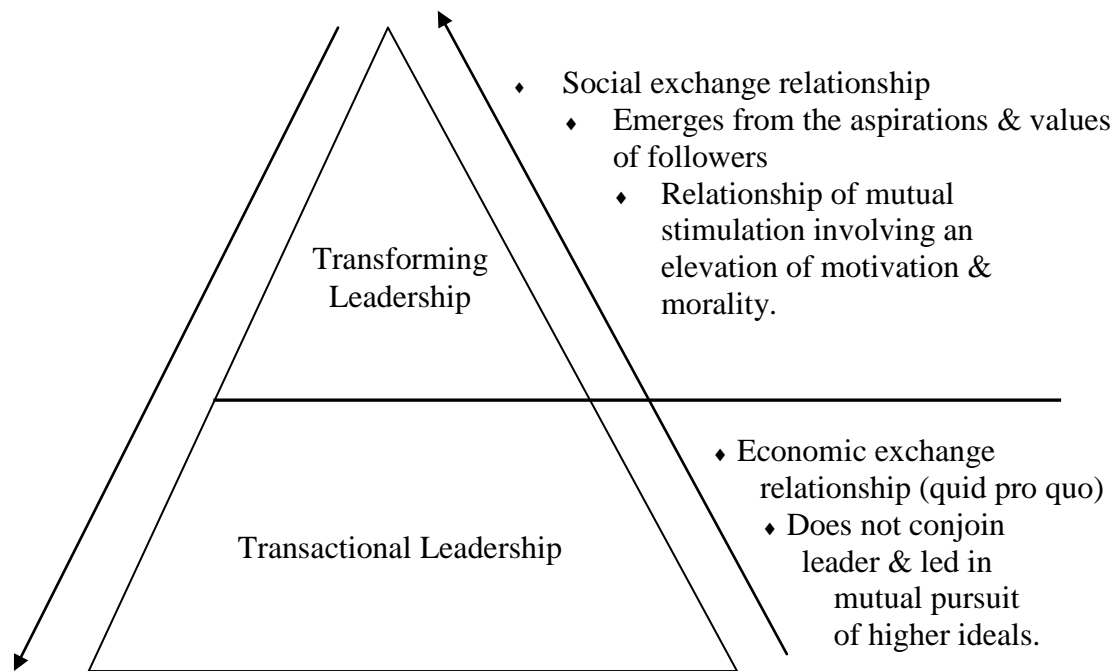   mutual pursuit
      of higher ideals.

Figure 1. Conceptualization of Burns' (1978) Transactional-Transforming Model of

Leadership with behavioral descriptors. Arrows suggest a flow of leadership practice

within a hierarchical continuum.

Burns (1978) drew upon Maslow's (1971) *hierarchy of needs model,* Kohlberg's

(1975) *stages of moral development theory*, Rokeach's (1973) *structure of human values*

and Erickson's (1956) *theory of psychosocial development* as contextual factors to

conceptualize his transactional-transforming leadership paradigm and the exigency of

moral leadership. Burns felt that the congruence between human need, values, and moral

development hierarchies contributed to the manifestation of "purposeful leadership"

(Burns, 1978, p. 44).

A congruence between the need and value hierarchies would produce a

powerful potential for the exercise of purposeful leadership. When these

hierarchies are combined with stage theories – for example, Erickson's

eight psychosocial stages of man…leadership, with its capacity to exploit

tension and conflict, finds an even more durable foundation.

(p. 44)

Burns posited that these hierarchies have a mutual influence on each other. That is, the

conflicts a leader experiences during his or her stages of life (Erickson, 1956) can be

resolved either positively (adaptive) or negatively (mal-adaptive) and that these "crisis

points" impact the leader's moral development and values – either migrating the leader

successfully upward through the hierarchical continuums or at a level of stasis. Bass and

Avolio's (1994) full range of leadership model complies with Burns (1978) view that a

principle function of leaders is in assisting followers to move upward through

hierarchical levels of human needs, stages of moral development, and a structure of

human values (p. 428). Table 2 provides a comparative depiction of the theories

stipulated by Erickson (1956), Maslow (1971), and Kohlberg (1975). It is noteworthy

that Maslow and Lowery (1998) added an additional "transcendence" level to Maslow's

(1971) original hierarchy well after the publication of Burns (1985) seminal work.

Maslow and Lowery (1998) suggested that while the *self-actualization* level involved

finding self-fulfillment and the realization of one's own potential, the higher

transcendence level concerns itself with helping others find self-fulfillment and the

realization of their potential. Similarly, Kohlberg and Power (1981) and Kohlberg and

Ryncarz (1990) broadened Kohlberg's (1975) six stages of moral development and

posited the feasibility of a seventh stage – *transcendental morality* – which would

affiliate non-dogmatic spiritual beliefs, or "transcendental properties", with moral

reasoning (Sonnert & Commons, 1994).

Table 2

Comparative depiction of Erickson's Eight Stages of Man, Maslow's Hierarchy, and Kohlberg's Stages of Moral Development

Erickson's Eight Stages of Man (1956)	Progression	Maslow's Hierarchy of Needs (1971)	Kohlberg's Stages of Moral Development (1975)
Old Age: reflection on own life		Transcendence (Maslow & Lowery, 1998)	
Adulthood: guidance to next generation		Self-actualization	Transcendental Morality (Kohlberg & Power, 1981; Kohlberg & Ryncarz, 1990)
Young Adulthood: romantic relationships		Aesthetic Needs	Universal Ethical Principles
Adolescence: transition from school to work		Need to Understand	Social Contract
Middle Childhood: competition with peers		Esteem Needs	Law and Order
Early Childhood: peer interaction, play		Belongingness/Love Needs	Interpersonal Concordance
Toddler: parental pampering		Safety Needs	Individualism & Exchange
Infancy: whether basic needs are met		Physiological Needs	Obedience & Punishment

Finally, Burns (1978) suggests a new and, perhaps, richer dimension to his transactional-transforming leadership paradigm. He suggests the notion of a *transcending leadership* dynamic and posits the following description:

> Transcending leadership is dynamic leadership, in the sense that the leaders throw themselves into a relationship with followers who will feel elevated by it and often become more active themselves, thereby creating new cadres of leaders. Transcending leadership is leadership *engagé*.
>
> (p. 20)

While Burns suggests the idea of a transcending leadership, he does not fully incorporate it into his model of leadership theory. Instead, he offers it as an architect would a spandrel – an artifact that is left over in the execution of an original design – leaving the reader to interpret its significance. Figure 2 theorizes an expansion to Burns' transactional-transforming leadership model with the addition of a transcending leadership construct.
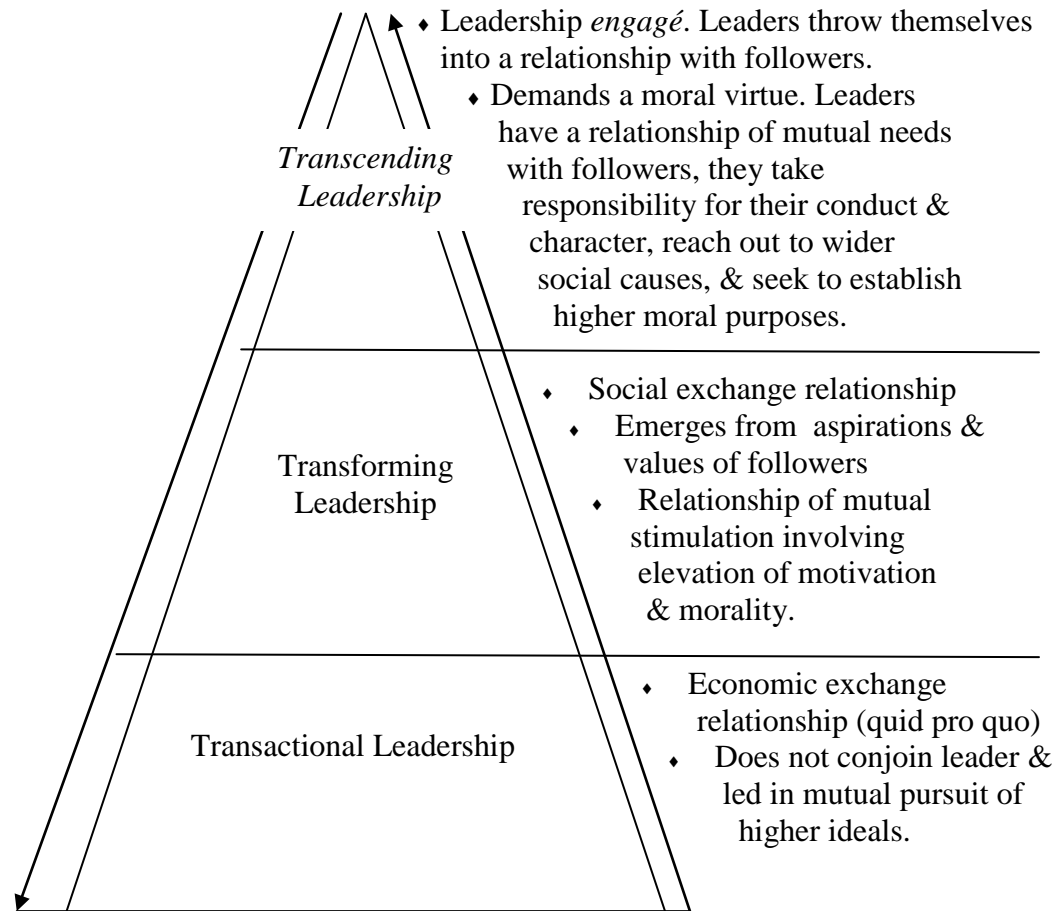
The pyramid diagram contains the following text:

Transcending Leadership

- Leadership *engagé*. Leaders throw themselves into a relationship with followers.
- Demands a moral virtue. Leaders have a relationship of mutual needs with followers, they take responsibility for their conduct & character, reach out to wider social causes, & seek to establish higher moral purposes.

Transforming Leadership

- Social exchange relationship
- Emerges from aspirations & values of followers
- Relationship of mutual stimulation involving elevation of motivation & morality.

Transactional Leadership

- Economic exchange relationship (quid pro quo)
- Does not conjoin leader & led in mutual pursuit of higher ideals.

Figure 2. Conceptualization of a Burns (1978) inspired Transactional-Transforming Model of Leadership with the addition of a proffered *transcending leadership* construct. Arrows suggest a flow of leadership practice within a hierarchical continuum.

Subsequent to Burns (1978), a further elaboration on the transforming and transactional leadership constructs was initiated by Bass (1985), culminating in the research by Bass and Avolio (1994). A fundamental departure between Burns (1978) and the early work of Bass (1985) concerned the relevance of a moral foundation as an integral aspect of transformational leadership. Bass posited that "transformational leaders vary from the highly idealistic to those without ideals" (Bass, 1985, p. 185) thus

associating the malevolence of Hitler with the benevolence displayed by Gandhi. Bass

discarded the attributes of moral good or evil and simply envisioned transformational

leadership as producing change (Carey, 1992, p. 220). Bass & Avolio (1994) would later

redress this discord and ascribe a moral imperative to transformational leadership. Bass

& Steidlmeir (1999) would further pursue the relevance of a moral foundation and assert

that authentic transformational leadership, as opposed to *pseudo-transformational*

leadership, must incorporate a central core of moral values (p. 210).

> [Authentic transformational leadership integrates] the moral character of
>
> the leaders and their concerns for self and others; the ethical values
>
> embedded in the leader's vision, articulation, and program, which
>
> followers can embrace or reject; and the morality of the processes of
>
> social ethical choices and actions in which the leaders and followers
>
> engage and collectively pursue. (p. 181)

The premise behind Bass and Avolio's (1994) full range of leadership model is that

leaders demonstrate a range of transactional and transformational styles that may be

categorized within a matrix of dimensions – *effective vs. ineffective* and *passive vs.*

active. Within the model, leaders display gradations of competency in matching the

frequency of each style they employ to the situational demands while concurrently

understanding the psychological variables associated with the situation (i.e., how one

motivates followers through positive exchange relationships, etc.). Bass and Avolio posit

several *factors,* or behavioral descriptions of leadership action, within the full range

model. They assert that laissez-faire leadership, "is the avoidance or absence of

leadership, and is, by definition, the most inactive – as well as the most ineffective" (p.

4). Moving up the continuum are three additional transactional leadership styles: *positive management by exception (MBE-P), active management by exception (MBE-A),* and *contingent reward (CR).* The leadership style which Bass and Avolio proffer to be most active and effective – transformational – is positioned at the top of the model's continuum. Transformational leadership embodies four leadership behaviors (factors) – *idealized influence, inspirational motivation, intellectual stimulation,* and *individualized consideration*. Idealized influence – the first of four transformational leadership factors – involves leader behavior which engenders follower admiration, respect, and trust. Behavior associated with idealized influence includes: considering the needs of others in advance of personal needs; consistency in action; demonstrating high standards of performance and moral conduct; and avoiding the use of power for personal gain (Avolio & Bass, 2002, p. 2). Inspirational motivation is associated with follower motivation and inspiration stimulated by leader behavior. Enthusiasm, team spirit, open communication and shared vision are hallmark characteristics of inspirational motivation (p. 2). The third transformational leadership factor, intellectual stimulation, is indicative of leadership behavior which encourages follower creativity, innovation, and the challenging of the status quo. Individualized consideration is the final factor associated with transformational leadership and involves "special attention to each individual's [followers and colleagues] needs for achievement and growth by acting as a coach or mentor. Followers and colleagues are developed to successively higher levels of potential" (p. 3).

Bass and Avolio (1985) ascribe certain factors to the transactional construct. They include: contingent reward, management by exception (active and passive), and the

previously noted laissez-faire dimension. Contingent reward involves leader-follower

agreement on assignments or tasks to be performed along with the compensation

(reward) to be given assuming a satisfactory completion of the task. Management by

exception involves a "corrective transaction" (Avolio & Bass, 2002, p. 4), which is

evidenced either *actively* (i.e., the leader proactively monitors the performance of the

follower(s) and takes immediate action to correct any deviances or errors from

established standards) or *passively* (i.e., the leader waits for mistakes or deviances from

established standards to occur; notes them; and then instigates corrective action.) Figure

3 depicts the full range of leadership model as presented by Bass and Avolio (1994).
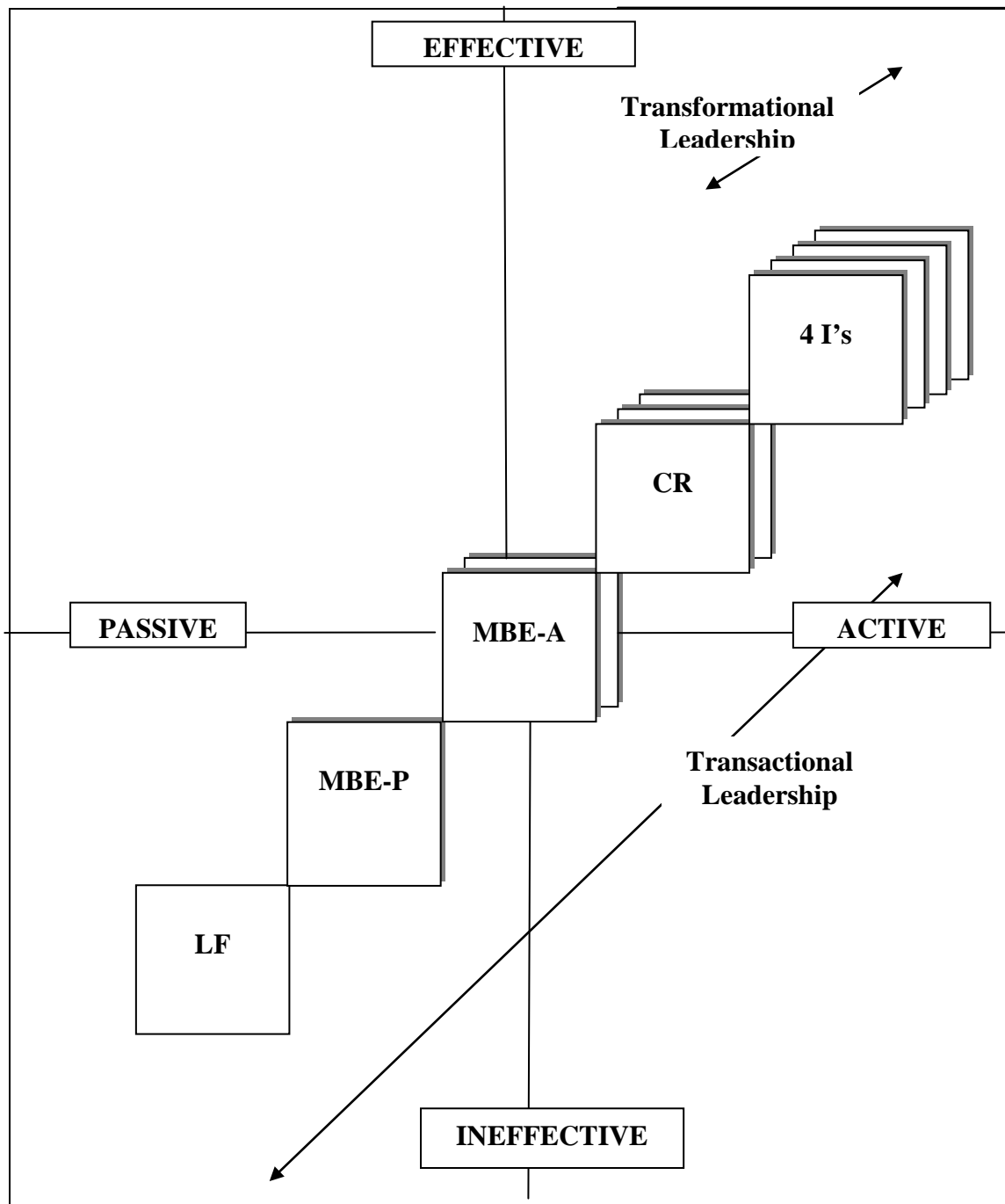
Figure 3. Bass and Avolio's (1994) Full Range of Leadership Model with behavioral

factors. *Key:* 4 I's (Idealized Influence, Inspirational Motivation, Intellectual Stimulation,

Individualized Consideration); CR (Contingent Reward); MBE-A (Management by

Exception – Active); MBE-P (Management by Exception – Passive); LF (laissez-faire) leadership.

Source: Adapted from B. M. Bass and B. J. Avolio, *Improving Organizational Effectiveness through Transformational Leadership*, 1994.

Bass (1985), perceiving transactional and transformational leadership as complementary constructs, developed the *Multifactor Leadership Questionnaire (MLQ)* as a means of assessing transactional and transformational leader behavior and the relationship between leader behavior and style with organizational effectiveness and follower satisfaction. Based upon the factors associated with the full range of leadership model (Figure 3), several iterations of the MLQ have been developed and made subject to extensive critical review (Antonakis, 2001; Lowe & Kroech, 1996) confirming its dominance as the preeminent model within "new leadership" (Bryman, 1993) theory. Avolio and Bass (1991) subsequently developed a *Full Range of Leadership Development Program*, which involves MLQ assessment, feedback, and leadership coaching.

It is noteworthy that Burns (1978), with few exceptions, uses the term "transforming" leadership while Bass (1985) and Bass and Avolio (1994) modified the descriptor to "transformational" leadership. Couto (1993) suggests that this distinction reflects a fundamental discord in the context from which Burns (1978) and Bass and Avolio (1994) approach their respective leadership constructs. Couto (1993) posits that Bass and Avolio's (1994) use of the adjective form of a noun, "transformation", modifies leadership and suggests a condition or state, whereas Burns' use of the term "transforming" implies the adjective form of a verb, which conceptualizes leadership as

a process (In Wren, 1995, p. 104). This distinction has a bearing on the directionality of influence between leaders and followers. A transformational process infers that the leader is imbued with the influential power to transform followers – a unidirectional dynamic. In contrast, the transforming process suggested by Burns (1978) asserts a bi-directional influence where leaders and followers may, through their mutual interactions, transform one another.

While Bass and Avolio (1994) provide to the dyadic transactional-transformational structure the useful addition of a laissez-faire leadership dimension, along with other behavioral factors, they did not meaningfully address the nascent transcending leadership construct suggested by Burns (1978). Only recently has this phenomenon garnered attention from scholars. Burns' mention of a transcending leadership dimension that potentially broadens the extant transactional-transformational paradigm has stimulated an inchoate inquiry into the plausibility of a transcending leadership construct.

Thus far, a review of the literature has explored the prevailing transactional-transformational leadership paradigm within the historical context of leadership theory. A cursory background on the paradigm is offered in order to establish a future juxtaposition with a nascent leadership construct – transcending leadership – which serves as the focus of this study. Table 3 (Comparison of characteristics associated with extant transactional-transforming leadership theory) provides a summation of the contextual background on the transactional-transformational leadership paradigm. What follows thereafter is an examination of the propositions put forth in the literature

concerning a transcending leadership construct, along with a review of the contextual

bases of each.

Table 3

Comparison of characteristics associated with extant transactional-transforming leadership theory as stipulated by Burns (1978) and

Bass and Avolio (1994).

Author	Transactional Leadership	Characteristics	Transformational/ Transforming Leadership	Characteristics
James MacGregor Burns (1978)	"[Transactional Leadership] occurs when one person takes the initiative in making contact with others for the purpose of exchange of valued things. The exchange could be economic or political or psychological in nature: a swap of goods …Each party to the bargain is conscious of the power resources & attitudes of the other. Their purposes are related, at least to the extent that the purposes stand within the bargaining process & can be advanced by maintaining that process. But beyond this, the relationship does not go. A leadership act took place, but it was not one that binds leader and follower together in a mutual & continuing pursuit of a higher purpose" (Burns, 1978, pp. 19-20).	• Pragmatic • Shrewd eye for opportunity • "Good hand" at bargaining, persuading, & reciprocating (Burns, 1978, p. 169). • Concerned with *"modal values*, such as honesty, trustworthiness, reliability, reciprocity, [and] accountability" (Burns, 1998, p. 15).	"The transforming leader recognizes & 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, & engages the full person of the follower. The result of transforming leadership is a relationship of mutual stimulation & elevation that converts followers into leaders & may convert leaders into moral agents" (Burns, 1978, p. 4).	• Stimulates higher levels of motivation & morality • Conjoins the purposes of leader & follower(s) • Elevates, inspires, mobilizes, exalts, uplifts, & exhorts followers (Burns, 1978, p. 20) • Burns (1978) suggests a *transcending* dynamic to the transformational construct (p. 20). • Concerned with *end values*, such as order, liberty, equality, justice, [and] community" (Burns, 1998, p. 15).

Bernard M. Bass and Bruce J. Avolio (1994)	"Transactional leadership emphasizes the transaction or exchange that takes place among leaders, colleagues, & followers. This exchange is based on the leader discussing with others what is required & specifying the conditions & rewards these others will receive if they fulfill those requirements. Transactional leadership occurs when the leader rewards or disciplines the follower depending on the adequacy of the follower's performance" (Bass & Avolio, 1994, pp. 3-4).	• Contingent Reward • Management by Exception (Active) • Management by Exception (Passive) • Laissez-Faire leadership (Bass & Avolio, 1994, p. 4)	"Transformational leadership is seen when leaders: • Stimulate interest among colleagues & followers to view their work from new perspectives. • Generate awareness of the mission or vision of the team & organization • Develop colleagues & followers to higher levels of ability & potential • Motivate colleagues & followers to look beyond their own interests toward those that will benefit the group" (Bass & Avolio, 1994, p. 2).	• Idealized influence or idealized leadership (Avolio & Bass, 2002, p. 2). • Inspirational Motivation • Intellectual Stimulation • Individualized Consideration (Bass & Avolio, 1994, p. 3).

Transcending Leadership as a Spiritually Oriented Construct?

Background

Researchers and scholars have recently begun investigating the prospective relationship between the dynamics of leadership and a leader's spiritual identity. Marinoble (1990), attempting to develop a clearer understanding of the ways in which the development of personal *faith* interacts with the process of transformational leadership, determined that spiritual faith had a diversity of meanings among the 12 study participant leaders interviewed in her study, and that "[spiritual] faith was viewed as foundational to their leadership by some, but not all, of the participants" (p. i). In a Delphi study involving 22 national leaders, Jacobsen (1994) concluded "a strong inference that spirituality and transformational leadership are related" (p. 30). Jacobsen further concluded that leaders and followers seek more than extrinsic (economic) rewards in the workplace. Instead, they are redefining the nature of work to include the aspects of spiritual identity and spiritual satisfaction. Fifty-nine percent (59%) of Jacobsen's study participants felt that a greater integration of spirituality in the workplace was needed (p. 83). Beazley, H. (1997) extended the study of spirituality in organizational settings by proposing to construct a definition of spirituality and an associated leader *spirituality assessment scale*. Using a sample of 332 study participants to define both the "definitive and correlated dimensions of spirituality" (p. 104), the study determined three correlated dimensions – service to others, humility, and honesty – and one definitive dimension of spirituality – "living a faith relationship with the Transcendent that includes prayer or meditation" (p. 173). A follow-up study by Beazley, D.A. (2002) was conducted for the purpose of investigating the premise that *servant*

leaders are tacitly spiritual and that their spirituality correlates with the performance of managers in carrying out their leadership activities (p. 7). This study confirmed the correlated dimensions of spirituality – humility, honesty, and service to others – among organizational managers perceived to be servant leaders. The definitive dimension of spirituality – living a faith relationship with the Transcendent that includes prayer or meditation – was not substantiated among the study group of 300 leaders and followers (p. 73).

The conclusions drawn in other research studies militate against the correlation between the leadership dynamic and the spiritual dimension of leaders. Magnusen (2001), in a study involving 350 school personnel, suggests that there is little to no statistical correlation between the beliefs, action/styles, and characteristics of spiritual leaders and effective school leaders (p. 108). Rather, the research concluded there are several qualities that inversely described spiritual and effective leader types in the study and "that spiritual leadership and effective school leadership stand in juxtaposition with one another" (p. 111). Similarly, Zwart (2000), determined that, when empirically tested, a link between spirituality and transformational leadership, using Bass and Avolio's (1989) Multifactor Leadership Questionnaire and Beazley's (1997) Spiritual Assessment Scale, was not evident among the 266 individuals in her study; contradicting earlier qualitative research. Strack (2001) reported only slightly more favorable results in associating spirituality and the leadership dynamic. In his study of 319 healthcare managers, Strack determined a "moderately positive correlation (r=.50) between the latent constructs of spirituality and leadership" (p. 98). Table 4 summarizes a selected number of research studies associating spirituality and leadership.

Table 4

Summary of Selected Research Studies Associating Spirituality and Leadership.

Study	Purpose	Results
"Faith and Leadership: The Spiritual Journeys of Transformational Leaders" (Marinoble, 1990).	Purpose was to develop a clearer understanding of the ways in which the development of personal faith interacts with the process of transformational leadership (p. 6).	Findings showed that "spirituality" means different things to different leaders and that "faith" was foundational to leadership styles of some, but not all, participants.
"Spirituality and Transformational Leadership in Secular Settings: A Delphi Study" (Jacobsen, 1994).	Purpose was to determine if there is any significant connection between a leader's ability to have a transformational effect on an organization and their disposition toward spirituality (p. 4).	Five conclusions emerged from the study: 1. That the word "spirituality" is positively meaningful to study participants. 2. Spirituality was self-reported as an important aspect of the leader's values and actions. 3. That spirituality and transformational leadership are related aspects. 4. That study participants don't view the duality of spirituality and secular concerns as separate, but rather as integral to one another. 5. That, within secular organizations, caution should be given regarding the inclusion of spirituality, which could negatively impact cultural or other differences.

"Beyond Self to Compassionate Healer: Transcendent Leadership" (Larkin, 1995).	Purpose of the study was to draw together "strands of spiritual awareness with growth beyond self-centeredness" and extrapolate some specific understandings regarding spirituality and transformational leadership (p. 2).	Larkin (1995) identified that transcending leadership and a leader's personal sense of spirituality were closely linked. She identified five characteristics (elements) and 13 themes associated with transcendent leaders.
"Spiritual Well-Being of Workers: An Exploratory Study of Spirituality in the Workplace" (Trott, 1996).	Purpose of this study was to determine the relationship between spiritual well-being, organizational commitment, and general self-efficacy is a sample of 184 managers.	Trott (1996) identified a statistically significant positive relationship between spiritual well-being and follower (worker) perceptions of organizational openness and commitment. Trott noted that the perceived well-being of followers was attributed to the demonstrated leader behavioral factors of trust, respect, and fair treatment.
"Meaning and Measurement of Spirituality in Organizational Settings: Development of a Spirituality Assessment Scale" (Beazley, H., 1997).	Purpose was to define spirituality and to develop an instrument to measure the manifestations of individual spirituality within organizational settings (p. 10).	The study proposed three correlated dimensions of spirituality: service to others, humility, and honesty. The research further supported a single definitive dimension of spirituality as "living a faith relationship with the Transcendent that includes prayer or meditation" (p. 173).

"The Relationship Between Spirituality and Transformational Leadership in Public, Private, and Nonprofit Sector Organizations" (Zwart, 2000).	Purpose of the study was to explore the link between transformational leadership and spirituality factors using the Multifactor Leadership Questionnaire (Bass & Avolio, 1989) and the Spirituality Assessment Scale (Beazley, 1997) (p. 5).	The study found no statistically significant relationship for the population studied. The results of this quantitative study contradict previous qualitative studies, which did find a relationship between leadership and spirituality factors.
"Spiritual Leadership" (Isaacson, 2001).	Purpose was to explore the role spirituality plays in the practices of leaders and to identify similarities and differences in how the leaders in the study describe and exemplify spiritual leadership (p. 10).	Isaacson (2001) noted four stages of spiritual formation that emerged from the study; that study participants progressed through a personal sense of Spiritual awakening, Awareness of and reflection on inner sacred self, Expression of this inner self in the world, and Personal and spiritual fulfillment as a result of stages 1-3.
"Spiritual Leadership in Educational Administration" (Magnusen, 2001).	Purpose of the study was to identify the key components of spiritual leaders, and to the degree to which they differ in their beliefs, actions, and styles from other leaders (p. 5).	Magnusen (2001), like Zwart (2000), concluded that there is no statistical correlation between an effective leader and a spiritual leader.
"The Relationship of Healthcare Managers Spirituality to their Self-perceived Effective Leadership Practices" (Strack, 2001).	Purpose of the study was to identify the relationships between the spirituality of healthcare managers and their self-perceived leadership practices (p. 5).	This study revealed a moderately positive correlation between spirituality and leadership (r = .50).

"Spirituality Orientation of a Leader and Perceived Servant Leader Behavior: A Correlational Study" (Beazley, D.A., 2002).	Purpose of the study was to investigate the premise that the servant leader is tacitly spiritual and this spirituality correlates with the performance of managers in carrying out the leadership activities of their organizational roles (p. 7).	Building upon the work of Beazley, H. (1997), Beazley, D.A. (2002) confirmed the correlated dimensions of spirituality – humility, honesty, and service to others – in perceived servant leaders. The definitive dimension of spirituality – living a faith relationship with the Transcendent that includes prayer or meditation – was not substantiated among the study group.

The collective results of the research studies thus far noted suggests a mutable understanding in the relationship between the constructs of spirituality and leadership. Though the association remains unclear, a profusion of scholars have seized upon the early research of Marinoble (1990) and Jacobsen (1994) and have posited their own association between the leadership function and the phenomenon of personal spirituality. Among the bevy of scholars who have published works on spirituality and leadership – which in turn have led to the proffering of a spiritual leadership construct – Bolman and Deal (1995), Fairholm (1998), and Mitroff and Denton (1995) are representative of those who have contributed significantly to the discourse. Fairholm (1998) asserts that leadership theory and practice has evolved over the past 100 years through five levels of virtual reality ranged hierarchically on a continuum from managerial control to spiritual holism (p. xix). The five leadership environments include: leadership as management, leadership as excellent (good) management, values leadership, trust cultural leadership, and spiritual (whole-soul) leadership. Fairholm, drawing on the earlier research of

Jacobsen (1994), identifies spiritual leadership as an emergent construct suggesting that

followers are desirous of leadership behaviors that emanate from the leader's inner core

spirit (p. xxii).

> Integrating the many components of one's work and personal life
>
> into a comprehensive system for managing the workplace defines
>
> the holistic or spiritual leadership approach. It sees the
>
> transformation of self, others, and the team as important, even
>
> critical. This new leadership reality is that of the servant leader.
>
> (Fairholm, 1998, p. 118)

Fairholm goes on to suggest that an individual's spirituality is inseparable from

their actions or disposition, thus drawing a direct link between a leader's sense of

spirituality and the values and behaviors they exhibit in the workplace. These

demonstrable values either enhance or detract from the creative milieu of the

organization. "Spirituality is the source of our most powerful and personal values. When

leader and led can share core spiritual values, such as faith, trust, honesty, justice,

freedom, and caring in the workplace, a true metamorphosis occurs" (p. xxiii). In

contrast to the scholarly context of Fairholm's work, Bolman and Deal (1995, 2001)

address the relationship of spirituality and leadership in metaphorical terms.

Bolman and Deal (1995, 2001), using the literary devices of metaphor and

parable, tell the story of a dispirited leader searching for meaning in both his personal

and business life. With the help of a mysterious protagonist, he migrates through a

personal journey of self-discovery resulting in the eventual certitude that one's

spirituality and leadership values are not bifurcated dimensions, rather, they are a single

unified construct – spiritual leadership. Bolman and Deal, like Fairholm (1998), assert

that the last decade of the twentieth century has been witness to a paradigm shift in the

role of leaders and followers as each seeks to find a deeper and richer meaning in their

personal and work lives. Bolman and Deal (2001) posit that workplaces "are devoid of

meaning and purpose…with little regard for what human beings need in order to

experience personal fulfillment" (p. 6). Fox (1994) echoes this sentiment and entreats the

reader to associate one's spiritual life with one's livelihood.

> Life and livelihood ought not to be separated but to flow from the same
>
> source, which is Spirit, for both life and livelihood are about Spirit. Spirit
>
> means life, and both life and livelihood are about living in depth, living
>
> with meaning, purpose, joy, and a sense of contribution to the greater
>
> community. A spirituality of work is about bringing life and livelihood
>
> back together again. (pp. 1-2)

Bolman and Deal (2001) suggest to the reader that popular leadership practices and

organizational thinking have neglected to suffuse the enduring spiritual elements of

courage, personal faith, and hope throughout the organizational environment. In contrast,

they suggest that recently introduced theories of leadership perpetuate the charismatic

role of the heroic champion as leader, or that of the analytical skills of the technocrat, as

preferred leadership characteristics. "Leaders who have lost touch with their own souls,

who are confused and uncertain about their core values and beliefs, invariably lose their

way" (p. 11). According to Bolman and Deal, a disconnection between the functions of

leadership and leader spirituality is a cause of organizational atrophy. This premise is

shared by Mitroff and Denton (1995) in their seminal study of spirituality within corporate cultures.

In their work, *A Spiritual Audit of Corporate America*, Mitroff and Denton (1995) state:

> The soul is precisely the deepest essence of what it means to be human.
> The soul is that which ties together and integrates the separate and
> various parts of a person; it is the base material, the underlying platform,
> that makes a person a human being. Unfortunately, rather then seeking
> ways to tie together and integrate the potential inherent in the soul with
> the realities of the workplace, most organizations go the opposite route. (p.5)

This suggests that the recent corporate leadership debacles at Enron, WorldCom, Waste Management, Healthsouth, Anderson, and other business organizations are not merely aberrations, but are reflective of the spiritual impoverishment of leadership which, in turn, gives rise to amoral, immoral, and unethical business conduct. Mitroff and Denton assert that it is precisely this lack of spiritual compass that is creating the current ethical pandemic in American business leadership. The necessary response to this leadership malaise, as posited by the authors, is an embracing of the *spiritual dimension* by leaders and their organizations. That is, recognize that by treating employees and organization as spiritual entities, leaders will not only fulfill deep-seated psychosocial needs of followers, but also enhance an organization's ability to achieve competitive advantage. Mitroff and Denton, based on the responses of 215 individuals made part of their research study, concluded that individuals who are employed by leaders and organizations they perceive to be spiritual are less fearful, less likely to compromise their

values, can bring more of their creative intelligence to bear, and consider their

organization as more successful (p. xiv). Drawing on the findings of their two-year study

employing questionnaires and in-depth interview techniques, Mitroff and Denton present

ten principle results of their research. Several of these principles are noteworthy in

furthering this study's analysis of the relationship between spirituality and leadership.

They include:

"Respondents were not in discord over their general definitions of spirituality."

They broadly defined spirituality as "the basic desire to find ultimate meaning and

purpose in areas of life and to live an *integrated* life" (p. xv).

"The respondents overwhelmingly sought to integrate, rather than fragment, their

spiritual lives and their work lives" (p. xv).

"Finally, ambivalence and fear are two of the most important components of

spirituality. Contrary to conventional thinking, spirituality does not merely provide peace

and settlement; it also profoundly unsettles" (p. xix).

This last point – the disquieting nature of spirituality in leaders and followers – is

one that Wheatley (2002) supports in her assertions on chaos and leadership. She

comments, "no leader can create sufficient stability and equilibrium for people to feel

secure and safe. Instead, as leaders we must help people move into a relationship with

uncertainty and chaos. The times have led leaders to a spiritual threshold" (pp. 21-22).

Attempting to provide a context in which to examine the role of the spiritual dimension,

Richards (1995) states that there are four domains that make up our being: the physical,

the mental, the emotional, and the spiritual. These four "energies" are interdependent,

one upon the other, where the absence or imbalance of one creates disharmony in our

lives. Morris (1999) suggests a similar construct of the human experience, which comprises four aspects termed the aesthetic, the intellectual, the moral, and the spiritual. Mitroff and Denton (1995) operationalize these constructs by emphasizing the important role that the spiritual dimension has in the lives of individuals and organizations. They propose that leaders and their organizations would be well served by embracing a non-threatening, non-dogmatic, yet spiritually integrated business culture. In turn, according to the authors, followers will feel a greater sense of fulfillment and wholeness in their personal, work, and spiritual lives, which will lead to greater efficiency and productivity at work. Conlin (1999) concurs and has reported that when organizations actively support the use of spiritual activities for their employees, productivity improves and turnover is less pervasive. The result is a synergistic union between follower and leader, thus benefiting each. This premise of unifying the interests of leaders and followers is consistent with Burns' (1978) notion of transforming leadership and his emphasis on the moral dimension of leading. It may also evoke the higher virtues of leaders and followers reaching out to wider social causes, or collectivities, which Burns inferred to be aspects of a transcending leadership phenomenon.

Several authors have voiced a note of caution in defining the essence of spirituality and its relationship to the phenomena of leadership. Chaleff (1998) attempts to segregate the phenomenon of *spirituality* from religious dogma. He contends that spirituality is the acknowledgement of a "sacred element within one's self and within each living being" (p. 9) and from this awareness there emerges a commonality in core values among leaders who share the proclivity. He asserts that when vision and passion – characteristics which Chaleff views as apposite to the leadership dynamic – are imbued

with sacred values, then spiritual leadership becomes manifest. Hicks (2002) offers a comprehensive analysis of the existing literature on spirituality and leadership and concluded, "the concept of spirituality is more disparate and contested than the current leadership literature acknowledges (p. 379). Harvey (2001) contends that the disparate collection of works on leadership and spirituality lacks focus and a rigorous, defined methodology. Camp (2002) voices caution in stipulating an a priori relationship between spirituality and leadership stating, "the convergence of leadership and spirituality promises enormous potential for good. Likewise, such a convergence has the same negative potential for evil. Spirituality, absent its moral moorings in the common good may lead to self-obsession or self-distortion" (p. 37). Similarly, Bailey (2001) cautions that associating spirituality with any leadership construct remains ephemeral and requires the benefit of additional structural examination (p. 368). This amalgam of opinion has resulted in the prestigious leadership journal, *The Leadership Quarterly (2002)*, to call for professional papers intended to "examine the influence of spiritual leadership on organizational variables and refine the construct of spiritual leadership" (p. 843).

An association between spirituality and leadership has been the focus of great interest among leadership scholars in recent years. Research studies (Beazley, 1997; Beazley, 2002; Isaacson, 2001; Jacobsen, 1994; Larkin, 1995; Magnusen, 2001; Marinoble, 1990; Strack, 2001; Trott, 1996; Zwart, 2000) have attempted to draw an *a priori* relationship between the two dimensions, resulting in mixed determinations. Concurrently scholars have produced numerous texts extolling leaders to embrace the "whole person" of followers within the organizational environment resulting in the proffering of a spiritual leadership construct (Bhindi & Duignan, 1997; Bolman & Deal,

1995 and 2001; Blanchard, 1999; Block, 1996; Chaleff, 1998; Conger, 1994; Fairholm, 1998; Hagberg, 1994; Hawley, 1993; Herselbein, Goldsmith & Beckhard, 1996; Holmes-Ponder, Keyes, Hanley-Maxwell & Capper, 1999; Mitroff & Denton, 1995; Moxley, 2000; Ponder & Bell, 1999; Vaill, 1998). Though an abundance of literature exists on the nature of spiritually oriented leadership, there remains contention as to its meaning and definition.

Larkin's Proposition of a "Transcendent" Leadership Construct

Larkin (1994), one of the first to pursue an investigation of *transcendent* leadership in her study, *Beyond Self to Compassionate Healer: Transcendent Leadership,* ascribes a spiritual dimension to the phenomenon. Expanding upon Marinoble's (1990) earlier research, Larkin (1994) sought to draw together "the strands of spiritual awareness with growth beyond self-centeredness" (p. 2) and extrapolates specific characteristics regarding the integration of the leadership practices and spiritual beliefs among transformational leaders. Larkin stipulates from the outset that her research is predicated upon a predetermined definition of a transcendent leader as "transformational leaders with the added dimension of being known for their effective leadership, their comfort with self and others, and their commitment to a spiritual awareness of God" (p. 65). Given this overt bias as the basis of her research – and the criteria used in the selection of her 14 study participants – Larkin sought to identify "key characteristics of individuals who act as spiritually oriented transformational (transcendent) leaders" (p. 73). Larkin's phenomenological research resulted in the identification of five invariant themes among the study participants. They included: God-centered confidence, empowerment, hospitality, compassion, and humility. Manifesting behaviors associated

with the five invariant themes included: tolerance toward others, servant leadership behavior, acceptance, energy, celebration, honesty, spiritual awareness, wholeness, empathy, I-thou functioning, openness to see beyond self, and surrender (pp. 119-121). Given Larkin's stipulated definition of a transcendent leader as one who is a transformational leader, with the added dimension of maintaining a commitment to a spiritual awareness of God, the findings of her study would be expected. That is, spiritually oriented leaders tend to exhibit spiritually oriented behaviors and characteristics. With this apparent bias in the study methodology, Larkin's (1994) claim that the emergent transcendent leadership construct is primarily a spiritual phenomenon would appear to be an intriguing, yet suspect assertion. Nevertheless, Larkin is certain in her assertion that spirituality is the basis of the transcendent leadership phenomenon. Supporting this notion, Sanders III, Hopkins, and Gregory (2003) posit that "transcendental" leadership is fundamentally rooted in the spiritual domain; consistent with Thompson's (2000) postulate that transcendent accomplishment cannot occur without spirituality.

In summary, building upon the previous works of scholars and researchers who have associated spirituality and the leadership phenomenon, Larkin (1994) contends that transcendent leaders possess certain invariant characteristics and corresponding behaviors. These invariant characteristics include: a God-centered confidence, empowerment of others, hospitality, compassion and humility. Manifesting behaviors, which Larkin asserts are apposite to transcendent leaders include: tolerance toward others, servant leader behavior, acceptance, energy, celebration, honesty, spiritual awareness, wholeness, empathy, I-thou functioning, openness to see beyond self, and

surrender. Larkin's assertion that transcendent leadership is a spiritually oriented

construct may yet prove a viable claim. An examination by Aldon (1998) has sought an

ontological understanding of the transcending leadership phenomenon where spirituality

may reasonably be conflated with the dynamic of human consciousness.

Transcending Leadership as a Reflection of Human Conscious Evolution?

<u>Background</u>

Tangentially related to viewing the leadership dynamic from a spiritual

orientation, the works of several scholars who have opined on the evolution of human

consciousness and societal development have been contextually linked by Aldon (1998)

as a means of explaining the iterative nature of leadership theory and to suggest a basis

for a transcendent leadership construct. Drawing principally upon the works of Elgin

(1993), Toffler & Toffler (1995), Wade (1996), and Wilber (1996), Aldon (1998) asserts

that when leadership is examined from a metaphysical perspective the "essence" of the

leadership phenomenon can be viewed as an evolving state of consciousness, or being.

Conceptualizing the leadership phenomenon from a conscious evolution basis presents a

unique contextual framework in which to examine past leadership constructs and project

future paradigms – notably, the reasonableness of a transcending leadership construct.

Prior to advancing Aldon's (1998) assertion that transcending leadership is

fundamentally a reflection of human conscious evolution, it is instructive to consider the

work of several authors who have contributed to this body of knowledge.

The word *consciousness* is used to embrace a panoply of meanings and

associations – mind, intelligence, reason, purpose, intention, awareness, the exercise of

free will, and so on (Zohar, 1990, p. 220). Among the scholars who have contributed to

this litany of meanings – and through their work, either knowingly or unwittingly, instigated an ontological dialogue of the leadership phenomenon – Chatterjee (1998), Donald (2001), Goswami (1993), Hubbard (1998), and Zohar (1990) are noteworthy. Chatterjee (1998) asserts that leadership is a pilgrimage of human consciousness and a search for the sacred in life (p. 199). Leadership is then an expression of harmony and synchronicity between a leader's virtuous beliefs and actions, which he terms *integrity*. Chatterjee posits that the "the greatest challenge that faces leadership today is to be able to strike a balance between the sustenance of the entire context of an organization while nurturing individual identities" (p. 174). He suggests three laws of *conscious leadership*, which may positively respond to a leader's ability in achieving this balance. First, *the law of complete concentration* emphasizes the importance of cultivating mental focus and purity of thought. The art of concentration is in acquiring the capacity to withdraw one's consciousness from all things except the one, single goal toward which one is striving (p.176). Chatterjee's second law of conscious leadership is *the law of detached awareness*, which asserts that by moving beyond thought to a state of unconditioned consciousness (p. 177) – through contemplation or meditation – a leader can enter a heightened state of awareness and attention and see the whole of a situation or experience more clearly. The law of detached awareness suggests that a leader enters a new plane of consciousness where silence brings clarity of purpose or action to the leader. "The greater the detachment of leaders from their thoughts, the greater is their access to pure awareness" (p. 178). *The law of transcendence* is Chatterjee's third law of conscious leadership. While Chatterjee's second law of detached awareness concerns "the world of the actual", his third law of transcendence postures the leader as a

visionary who relates to the "the world of the possible" (p. 178). Leadership is then operationalized as a conscious path designed to discover and propagate the innumerable talents, ambitions, and possibilities of followers. Chatterjee posits that leaders practice the law of transcendence by foregoing the impulse to hold on to possessions, addictions, and the desire for egocentric power (p. 180). He asserts that the essence of leadership is embodied in an amalgam of a leader's values and moral virtues, which inform the leaders response to situations and experiences – a phenomenon he refers to as *actionable spirituality*.

Associating spirituality with the nature of human consciousness is further explored in the works of Goswami (1993), Hubbard (1998), and Zohar (1990). Zohar (1990), in her work on the phenomenon of human consciousness, asserts, "while consciousness is in many ways the most familiar and accessible thing that each of us possesses, it remains one of the least understood phenomena in this world" (p. 62). Unlike *dualist* philosophers who contend that the mind and body are separate and that there can never be any physical understanding of the "self" (consciousness), Zohar proffers a scientific explanation of human consciousness where mind and body conjoin – termed *holism*.

> …if holism is to have any real meaning, any teeth, it must be
> grounded in the actual physics of consciousness, in a physics that can
> underpin the unity of consciousness and relate it both to brain
> structure and to the common features of every day awareness. (p. 75)

Zohar suggests a quantum mechanical model of consciousness manifest in the union between two interacting systems: the computer like system of neurons which

interact in the cerebral cortex and primitive forebrain to various stimuli, with an ordering and merging of various brain states (awareness) suggestive of the *Bose-Einstein condensate* (Bose & Einstein, 1924; Griffin, Snoke & Stringari, 1995). In biochemical terms, the Bose-Einstein condensate occurs when electronically charged molecules begin to vibrate in unison until they enfold so as to appear as one. Zohar (1990) applied this same principle in explaining the alignment of various brain states, or moments of conceptual awareness, in shaping consciousness, which Zohar terms the *ground state of consciousness*. Figure 4 depicts Zohar's (1990) conceptualization of the process of human consciousness; based on the principles of quantum mechanics and involving a complex interaction between the brain's neuronal activity and receiving stimuli.
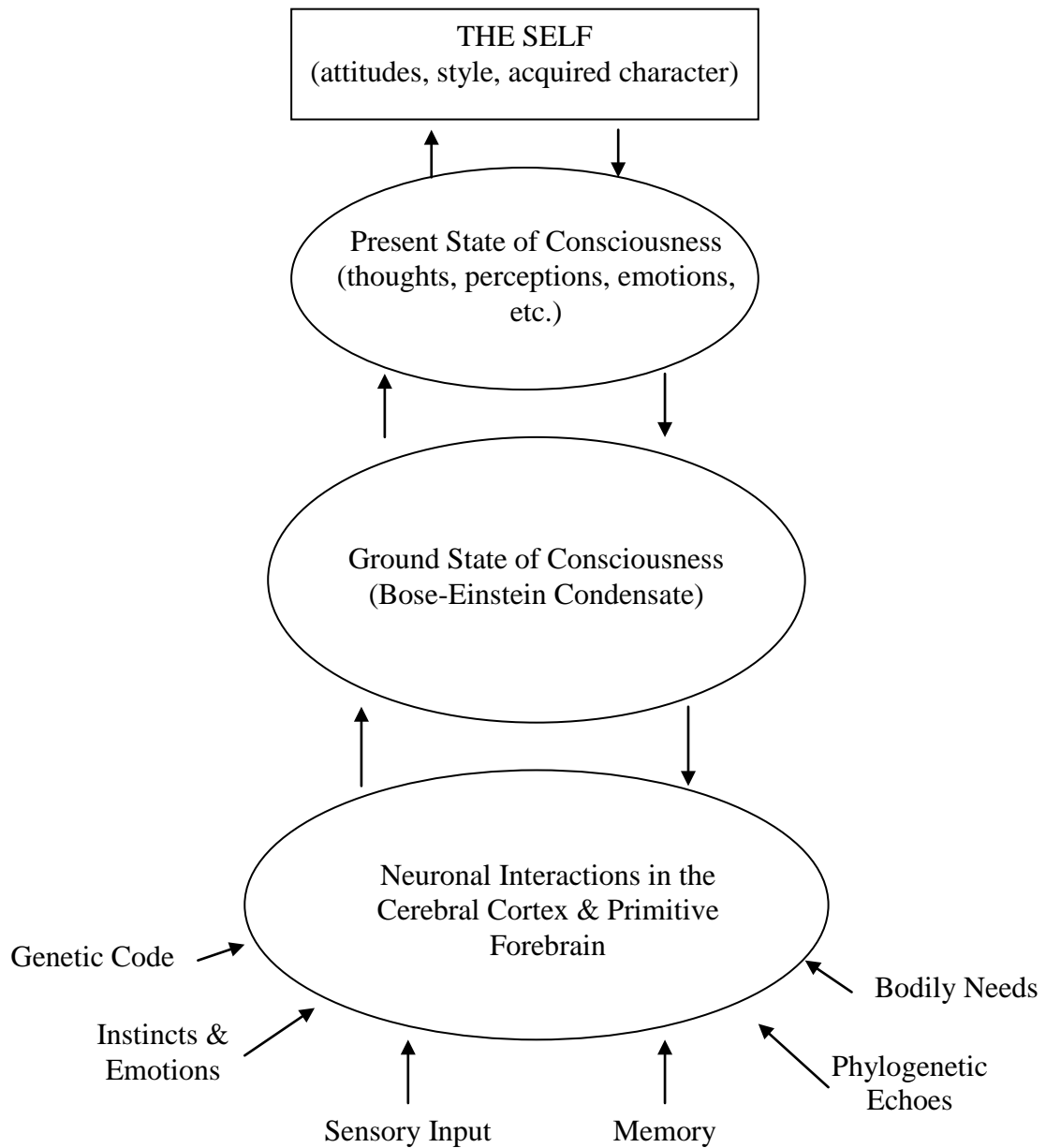
Figure 4. Zohar's (1990) Quantum mechanic model of consciousness (holism). *Source*:

Adapted from D. Zohar, *The Quantum Self: Human Nature and Consciousness Defined*

by the New Physics, 1990.

Zohar's quantum mechanical model of consciousness suggests that individual neurons may cause unconscious responses, such as a breathing or blinking, but collective and synchronistic neuronal actions produce an electromagnetic field, which instigates the state of human awareness. Zohar's assertion is supported by the research of McFadden (2002) in which he posits that outside stimuli, passing through our senses, is channeled through the brain's electromagnetic field to neurons and then back to the electromagnetic field creating a self-referring loop that is the key to consciousness.

Broadening her scientific explanation of human consciousness, as a reflection of coherent (ground state) neuronal impulses responding to internal and external stimuli within the cerebral cortex, Zohar (1990) proffers a preternatural genesis of consciousness, which embodies a spiritual dimension. In this regard she expands her "holism" assertions on consciousness from the quantum mechanical realm of the individual to a *quantum vacuum model of consciousness*, which unites the consciousness of the individual to the consciousness of the universe, and by extension, to an immanent God. Figure 5 reflects Zohar's quantum vacuum model of consciousness.

Transcendent
God

Big Bang

Vacuum

Spiritual
Awareness

'Collective
Unconscious' (Jung)

Societal
Relationships
(Personal &
Cultural Morality,
Aesthetics, etc.)

Fermions
(Matter Fields)

Bosons
(Force Fields)

World of Living
Things

Individual
(Personal Psychology)
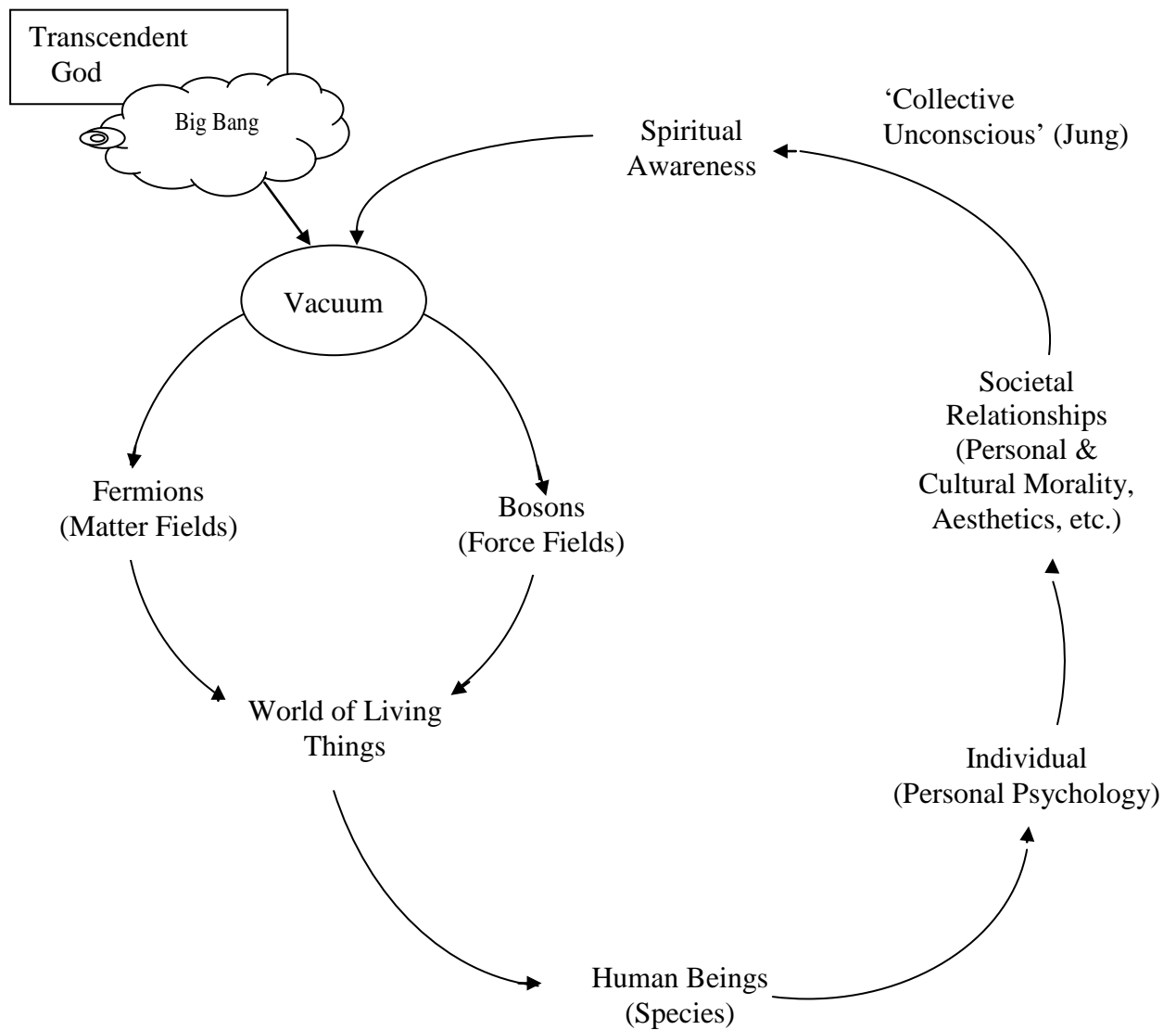
Human Beings
(Species)

Figure 5. Zohar's (1990) Quantum Vacuum Model of Consciousness. Matter and forces

emerge as fluctuations (excitation) in the vacuum, grow toward renewed coherence

(Bose-Einstein condensate), and return to the vacuum as "enriched" fluctuations. *Source:*

Adapted from D. Zohar. *The Quantum Self: Human Nature and Consciousness Defined*

by the New Physics, 1990.

According to Zohar, a viable world consciousness must conflate personal, societal, and spiritual dimensions into a unified whole. In doing so, the individual has access to an understanding of the nature of his existence, the relevance of man's relationship to Nature and others, and his relative place in the cosmos. Zohar asserts that human consciousness, as a physiological process within the brain, has evolved over epochs of time and awakened the human species to a nascent understanding that we are all inextricably linked to an immanent spiritual source – thereby unifying the science of human conscious with its spiritual fount. Congruent with Zohar's concept of "holism" – as an expression of a conjoined human consciousness/spirituality phenomenon – Gowami (1993) introduced the philosophy of *monistic realism*, which proffers a relationship between mind (consciousness), body, (matter), and science (quantum physics).

In an effort to identify a bridge which could unify a spiritual source of human consciousness with *Cartesian dualism* – where the world is compartmentalized into the "objective sphere of matter (the domain of science) and a subjective sphere of mind (the domain of religion)" (Goswami, 1993, p. 15) – Goswami (1993) proffered the concept of *monistic realism.* As noted by Goswami, the dualist philosophy originally espoused in the early works of the 17th Century French scientist and philosopher, René Descartes, summarily divided human existence into two separate realms – mind and matter. Descartes (1641) later modified his early perspective on dualism and presented an ontological argument for the existence of God and His suffused presence in the lives of men and Nature. As a reflection of the prevailing acceptance of Cartesian dualism, however, phenomena of matter has been broadly relegated to the world of science (i.e.,

scientific materialism) and conceptualized in terms of material objects (i.e., *material realism*) in association with five principles of classical physics: *strong objectivity* – "the notion that objects are independent and separate from the mind (or consciousness)" (Goswami, 1993, p. 15); *casual determinism* – "the idea that all motion can be predicted exactly, given the laws of motion and the initial condition on the objects" (p. 16); *locality* – that all objects travel through space with a finite velocity; *material monism* – a philosophic belief, rooted in scientific practice, that "all things in the world, including mind and consciousness, are made of matter" (p. 17); and *epiphenomenalism* – "the idea that mental phenomena and consciousness itself are secondary phenomena of matter and are reducible to material interactions" (p. 278). Goswami (1993) inverted the assertion of epiphenomenalism by suggesting that consciousness – the phenomena of mind – serves as the primary reality; a philosophy he terms monistic realism.

> The antithesis of material realism is monistic realism. In this philosophy,
> consciousness, not matter, is fundamental. Both the world of matter and
> the world of mental phenomena, such as thought, are determined by
> consciousness. Monistic realism posits a transcendent, archetypal realm
> of ideas as the source of material and mental phenomena. Thus,
> consciousness is the only ultimate reality. (p. 48)

Goswami's use of the term "transcendent" in his definition of monistic realism is significant in that he ascribes the transcendent realm to an immanent God and later defines *transcendental experience* as a "direct experience of consciousness beyond ego" (p. 284). By asserting that consciousness (mind), and not matter, is the ultimate reality he

posits a unifying world view which integrates the transcendent mind and spirit into quantum physics – an assertion synergistic with that of Zohar (1990).

Suggestive of Zohar's(1990) description of human consciousness as a physiological (quantum mechanical model) dynamic, Donald (2001) contends that consciousness is a complex relationship between the neuronal activities of the brain and the stimuli it receives. He asserts that the human mind is a distributed cognitive network which is shaped by a symbolic web (culture) and it is through the collectivity of individual and societal experiences that consciousness has evolved over eons of time. Donald further asserts that man's search for purpose, "is anchored in consciousness [but that] it can never be truly attributed to a single conscious mind, in isolation. It is the conscious mind *in culture* that contributes to the source of teleology in the affairs of the human world" (pp. 323-324). Donald builds upon Zohar's (1990) quantum mechanical model of conscious development within individuals and extrapolates its physiological basis to societies, or cultures of individuals, over time. Donald (2001) asserts that a societal *collective consciousness* of Man is an evolving and ever expanding phenomenon incrementally building upon past cultural milieus, mores, values, and historical experiences. Donald intimates that the iterations of Man's conscious development are miniscule when viewed in isolation, but when seen collectively the result is significant. He suggests an emerging nexus between Man's cognitive development and conscious evolution that may propel the human species toward remarkable growth in intellectual capacity – resulting in significant advances in science and technology, literature and the arts, philosophy and existential thought, and human interactions. The latter of these – human interactions – harkens the conceptualization of new forms of leadership and

followership theory. Whereas Donald expands upon Zohar's (1990) quantum mechanical model of consciousness (holism) he carefully circumvents making any overt spiritual associations to conscious evolution. In contrast, Hubbard (1998) attempts to enrich Zohar's (1990) quantum vacuum model in stipulating a *cosmic consciousness* manifest in a universal intelligence (i.e., God).

Hubbard (1998) offers a model of conscious evolution which progresses through five great epochs leading to our current state of existence. The first epoch begins with the creation of the Universe, thought to be approximately 15 billion years ago. Hubbard, like Zohar (1990), ascribes the source of all existence to an immanent God, who set in motion the precise design that led to matter, life, self-reflective consciousness and mans awakening to the whole process of creation (Swimme & Berry, 1992). The formation of the solar system and Earth, approximately 4 ½ billion years ago, defines the second epoch. Hubbard (1998) suggests that in the third epoch, 3 ½ billion years ago, *sentient consciousness* emerged in single-cell objects of Nature as life sought to reproduce itself through cellular division. The fourth epoch, some hundreds of millions of years ago, is noted for a quantum leap from single-cell organisms to multicellular life and a concurrent leap in what Hubbard terms, *present oriented consciousness*. Multicellular organisms began to sexually reproduce by the joining of their genetic material and evolving into plants and animals. Through the act of procreation, an "awareness" of life beyond the single organism became manifest. The fifth epoch is identified with the emergence of human life and the beginnings of *self-consciousness*. Hubbard suggests that throughout the whole of human existence man has sought to understand himself in relation to others, Nature and the cosmos, and to his perception of a spiritual source(s).

As a result, consciousness continues on a progressive path toward an emergent epoch

termed *universal humanity*, which effortlessly blends "our spiritual, social, and scientific

capacities" (p. 52). Universal humanity in turn advances a *cosmic consciousness* – man's

awareness that a universal intelligence animates every atom, molecule, and cell and that

God is this universal intelligence, or eternal Presence. The manifestation of this Presence

is the human Spirit or Self (p. 30). Hubbard's conceptualization of conscious evolution

as a progression evolving away from its spiritual source, over the epochs of time, while

simultaneously returning to its cosmic origin is consistent with the writings of cultural

philosophers Jean Gebser (1985) and Rudolph Steiner (1971) who proffered that the

ultimate manifestation of consciousness is the preternatural unification of Man with his

spiritual source. Similarly, Teilhard (1975) noted, "We have seen and admitted that

evolution is an ascent towards consciousness. Therefore it should culminate forward in

some sort of supreme consciousness" (p. 258). That is, much like a Möbius strip which

loops back and around itself forming a single continuous edge, conscious evolution has

now entered an epoch in which Man is paradoxically moving toward his archaic genesis.

Figure 6 is a conceptualization of Hubbard's (1998) model of conscious evolution.
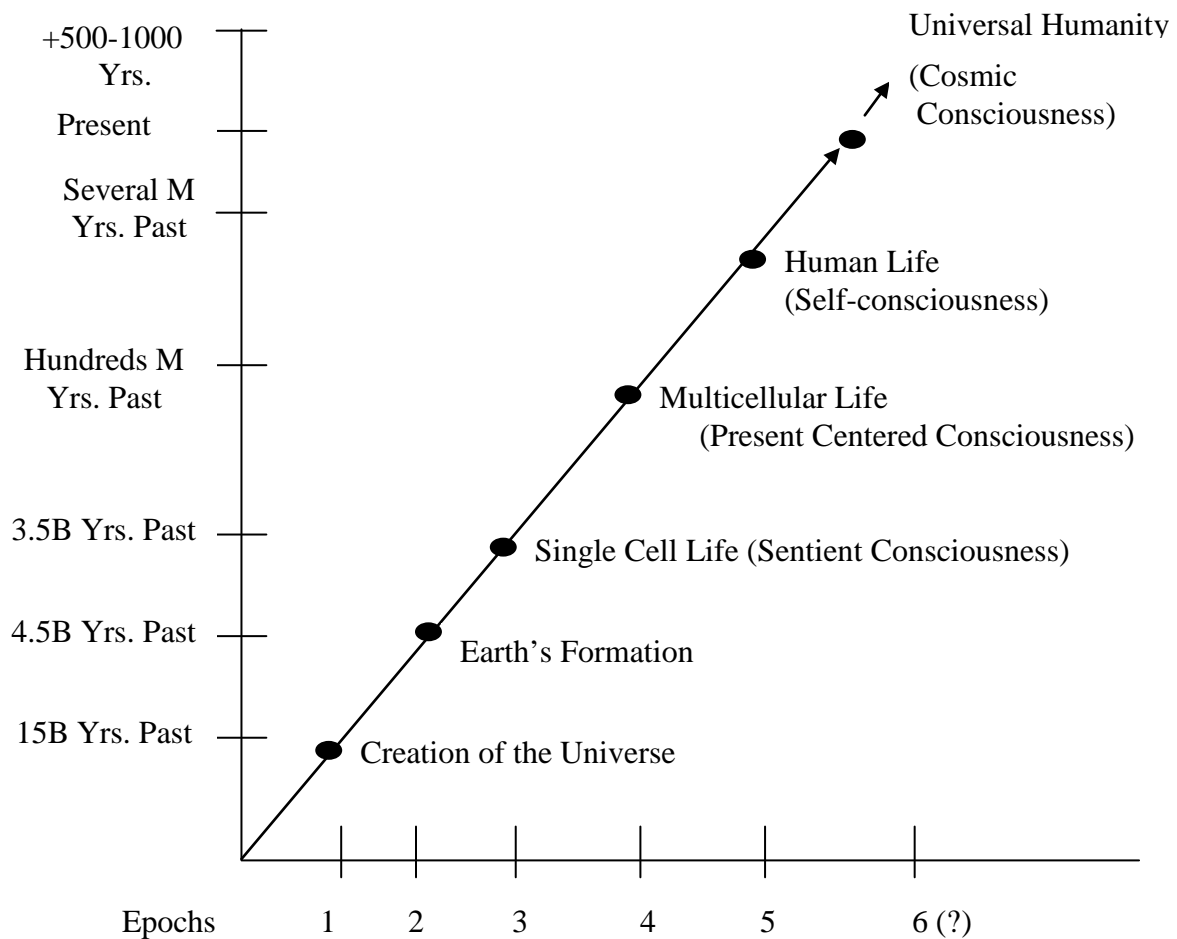
Figure 6. Conceptualization of Hubbard's (1998) Model of Conscious Evolution. Arrow

depicts progression of consciousness over five epochs of time suggesting future

iterations of life and human awareness. *Source:* Adapted from B. M. Hubbard. *Conscious*

Evolution, 1990.

Hubbard's (1998) conceptualization on the iterative nature of consciousness is aligned

with the earlier work of Bucke (1969) who suggested that consciousness could be

defined in three forms: *simple consciousness*, which is possessed by the upper half of the

animal kingdom; *self-consciousness,* by virtue of which man becomes conscious of

himself as a distinct entity apart from the rest of the universe; and *cosmic consciousness*

which Bucke described as a intellectual illumination leading to moral exaltation and an awareness of immortality and eternal life.

While Hubbard (1998) examined conscious evolution in terms of an unfolding cosmos and Zohar (1990) attempted to explain the physiological mechanisms of the brain inherent in conscious development, each suggested a preternatural genesis – or spiritual source. This spiritual wellspring, in turn, sparked the initial emergence of human consciousness and may yet be nurturing new and richer dimensions of the phenomenon. Both authors intimate that as our collective human consciousness is deepened and enriched, so too will our tolerance and compassion for each other and Nature be enhanced. This growing awareness of our global relationship with each other and to Nature may then suggest new models of leading and following built upon collaboration and exchange relationships designed to satisfy mutual intrinsic, as well as extrinsic needs.
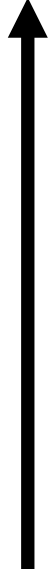
Aldon's Proposition of a "Transcendent" Leadership Construct

One such new model – *transcendent leadership* – has been proffered by Aldon (1998) in which she posits that the phenomenon is fundamentally rooted in the evolution of human consciousness. That is, as human beings continue to advance as a species we develop a deepened awareness of ourselves and our inextricable connection to others, Nature, and to a spiritual source. Aldon expands upon Burns (1978) definition of transforming leadership, where "people raise one another to higher levels of motivation and morality" (p. 20), and posits transcendent leadership as a construct which "raises one another to higher levels of motivation, morality, and consciousness [thereby] co-creating the future in the essence of "spiritual humanism" (Aldon, 1998, p. 4). *Spiritual*

humanism, a core element of Aldon's (1998) definition of transcendent leadership, is

drawn from the work of Wilber (1997) who ascribes to it a metaphysical description

where the essence of an individual is set in a deep spiritual context and made manifest in

a spirit of community where values of trust, respect, love, and integrity are paramount.

Aldon (1998) asserts that conscious evolution – reflecting the development of

humankind over epochs of time – influences human interactions broadly and the manner

in which leader and followers interact, specifically. She then suggests a self-referral loop

in the phenomenon where newly formed human relationship dynamics and leadership

models instigate further enhancements in human consciousness; "…this author [Aldon]

will urge the development of a leadership model that includes transcendence as an

essential basic element. It is envisioned that such a model that is grounded in spiritual

humanism can bring people to higher levels of consciousness" (p. 5). In essence, the

evolution in human consciousness propagates new leadership constructs, which in turn

support even higher levels of conscious evolution ultimately leading to spiritual

humanism and the implied values and leadership behaviors of trust, respect, love, and

personal integrity. Aldon integrates the putative theories of human conscious evolution

of Elgin (1997), Wade (1996), and Wilber (1997) along with Toffler and Toffler's (1995)

model of societal development. Table 5 offers a comparative depiction of the individual

and societal stages of consciousness, as posited by Wade (1996), Wilber (1997), and

Elgin (1993), along with Toffler and Toffler's (1995) striations of societal development.

Table 5

Comparative depiction of individual and societal models of human conscious evolution.

Conscious Evolution (Elgin, 1993)	Conscious Evolution (Wade, 1997)	Time	World View (Wilber, 1997)	Society View (Toffler & Toffler, 1995)
Planetary Wisdom	Unity			
Existential	Transcendent		Existential	
Global Bonding	Authentic		Worldcentric	
Mass Communication	Achievement/Affiliative		Sociocentric	Wave Three
Industrial	Conformist		Rational	Wave Two
Agricultural	Egocentric		Mythical	
Hunter/Gatherer	Naïve		Archaic/Magical	Wave One
Archaic Human	Reactive			

Source: Adapted from L. J. Aldon, *Transcendent Leadership and the Evolution of Consciousness*, 1998.

With the spectrum of consciousness theory depicted in Table 5 as her basis,

Aldon (1998) then posits a conceptualization in the evolution of leadership theory. She

proffers that,

> [leadership] theories are evolving a step behind the evolution of the
>
> individuals who created them. The movement from "great man" to
>
> trait/situational transactional [leadership] to collaborative/transforming
>
> leadership seems to be an outgrowth and improvement of what leadership
>
> practice previously prevailed. (pp. 73-74)

Figure 7 depicts Aldon's conceptualization of a unified societal evolution/conscious

evolution/leadership evolution model proffering an emergent transcendent leadership

construct.

Evolution of Human Consciousness

Planetary Wisdom

Existential

Global

Spiritual Humanism

Mass
Communication

Transcendent Leadership

Industrial

Transformational Leadership

Agricultural

Transactional Leadership

Hunter
Gatherer

Great Man Theory

Archaic
Humans

Agrarian
(1st Wave)

Industrial
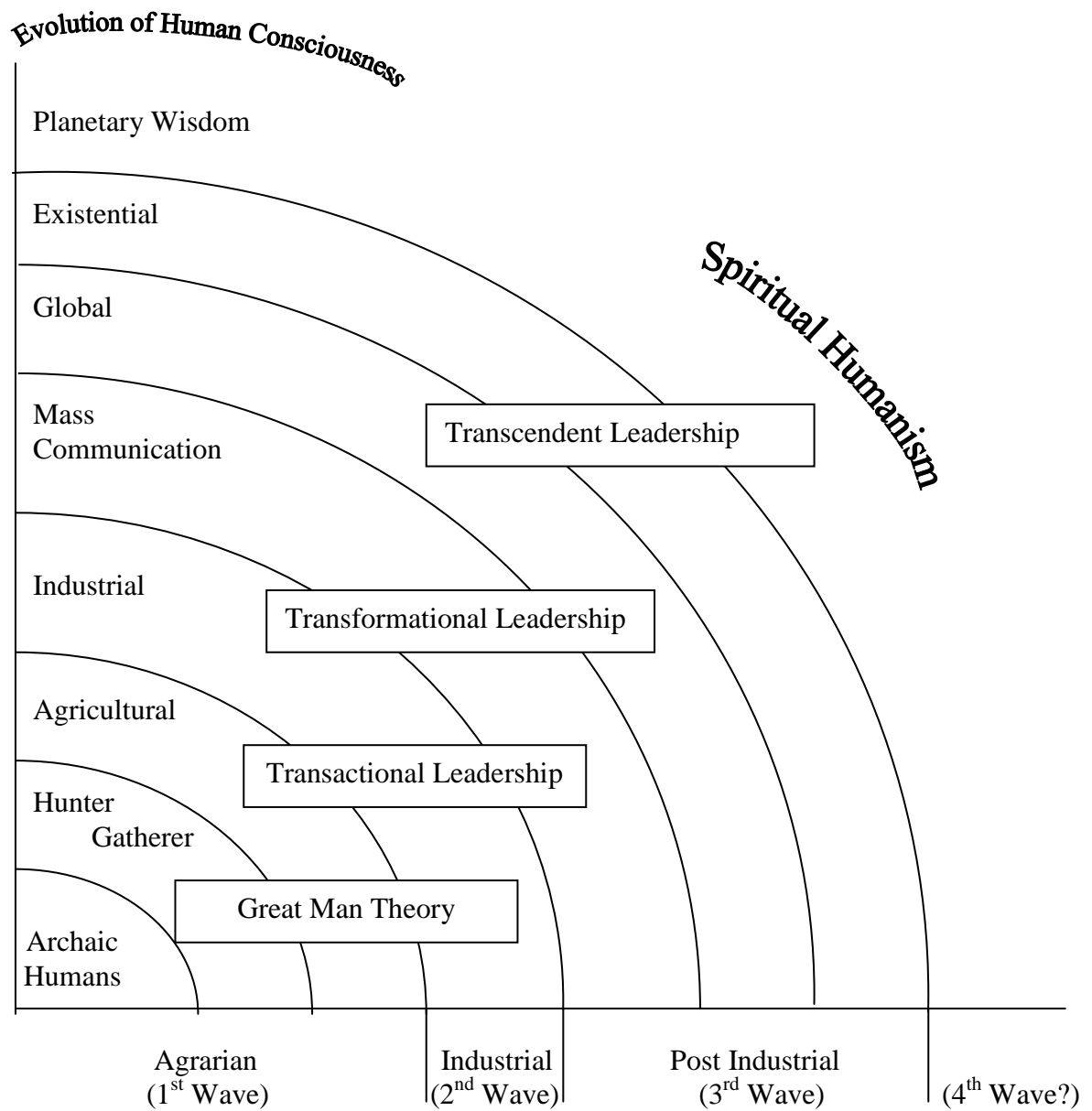(2nd Wave)

Post Industrial
(3rd Wave)

(4th Wave?)

Figure 7. Aldon's (1998) conceptualization of the evolution of leadership theory as a

reflection of the evolution of human consciousness over the epochs of societal

development. *Source:* Adapted from L. J. Aldon, *Transcendent Leadership and the*

Evolution of Consciousness, 1998.

In summary, the evolution of the human conscious has been proffered by Aldon (1998) as the integral basis for an emergent leadership theory she terms *transcendent* leadership. Aldon asserts that human consciousness, in its fullest and broadest sense, has developed along an evolutionary process from much simpler, very much more elementary forms of consciousness (Zohar, 1990, p. 220), so too has leadership theory and practice mirrored the progression of humankind. Where Larkin (1994) stipulated a fundamentally spiritual connotation to the prospective phenomenon of transcendent leadership from the outset of her study, Aldon (1998) approaches the construct seeking an ontological understanding. She ultimately determines that not only is the phenomenon of transcendent leadership a legitimate construct, but further, it is a logical reflection of conscious evolution as evidenced by societal and human development. Aldon (1998) then enriches her conscious-based theory of transcendent leadership by inserting a "spiritual humanism" (Wilber 1997) dimension. This union intimates several behavioral factors associated with transcendent leaders – an attitude of *trust* toward followers and collaborators; *respect* for others and Nature; expressed *love* for people and the natural world; *personal integrity*, or moral character; and a *spirit of community*, in recognizing the interconnection and interdependence of Man's collective thought – or noosphere – stretching back to the beginning of global life (Aldon, 1998, p. 3.)

The bases suggested by Larkin (1994) and Aldon (1998) in defining a transcendent leadership construct are polemic in that both ascribe – either overtly or tangentially – a "spiritual" aspect to the leadership dynamic; an arguably subjective assertion. A more conformist explanation of the transcending leadership phenomenon has been proffered by Cardona (2000) who suggests that the essence of the phenomenon

is rooted in extant *Leader-Member Exchange (LMX)* theory and manifest in an enhanced

exchange relationship between leaders and followers; reminiscent of *servant leadership*

theory. Such an approach avoids the esoteric debate in associating a spiritual essence

with the transcending leadership phenomenon.

Transcending Leadership as an Enhanced Exchange Relationship Construct?

<u>Background</u>

Conceptualizing the phenomenon of transcending leadership as a construct with

an implicit spiritual basis (Larkin, 1994) has been broadened by Aldon (1998) who

describes *transcendent* leadership in monistic terms – as a construct conjoining spiritual

humanism (Wilber, 1997) and the epochal evolution of human consciousness (Elgin,

1993; Toffler & Toffler, 1995; Wade, 1997). A third perspective on the essence of

transcending leadership has been suggested by Cardona (2000), who deviates from the

heretofore spiritually aligned bases. Cardona (2000) seeks to explain *transcendental*

leadership in terms aligned with extant *Leader-Member Exchange (LMX)* theory

(Dansereau, Graen, & Haga, 1975; Graen, 1976; Graen & Cashman, 1975; Graen, Novak

& Sommerkamp, 1982; Graen & Scandura, 1987; Graen & Uhl-Bien, 1991; Graen &

Wakabayashi, 1994) and *Servant Leadership* theory (Greenleaf, 1970). In associating

leader-member exchange theory with servant leadership theory Cardona (2000) asserts

that transcendental leadership is fundamentally an *enhanced exchange relationship*

where "the transcendental leader adds to the transformational construct the spirit of

service, and the development of this spirit in others (transcendent motivation)" (P.

Cardona, personal communication, April 11, 2003). Prior to analyzing Cardona's (2000)

proposition that transcendental leadership is fundamentally rooted in a dyadic partnership

between leader and followers – where a willful service to others is a defining

characteristic – it is contextually useful to review the bases of leader-member exchange

(LMX) theory and servant leadership theory.

In contrast to viewing the leadership dynamic from the leader's perspective (e.g.,

trait or behavior theories) or the follower and the context (e.g., situational-contingency

theories), leader-member exchange (LMX) theory focuses on the dyadic relationship

between a leader and followers (Northouse, 2001, p. 111) and the effect that this

partnering has upon work group or organizational achievement. In this regard, LMX

theory is unique within leadership research in that it establishes the dynamic relationship

between leader and subordinates as the critical element of the leadership process (i.e.,

relational leadership). Originally conceptualized as the *vertical dyadic linkage* (VDL)

model of leadership (Dansereau, Graen, & Haga, 1975), and later as leader-member

exchange theory (Graen, Novak, & Sommerkamp, 1982), LMX theory has progressed

through four stages of development (Graen & Uhl-Bien, 1995). Figure 8 illustrates the

evolution of the leader-member exchange theory as suggested by Graen and Uhl-Bien
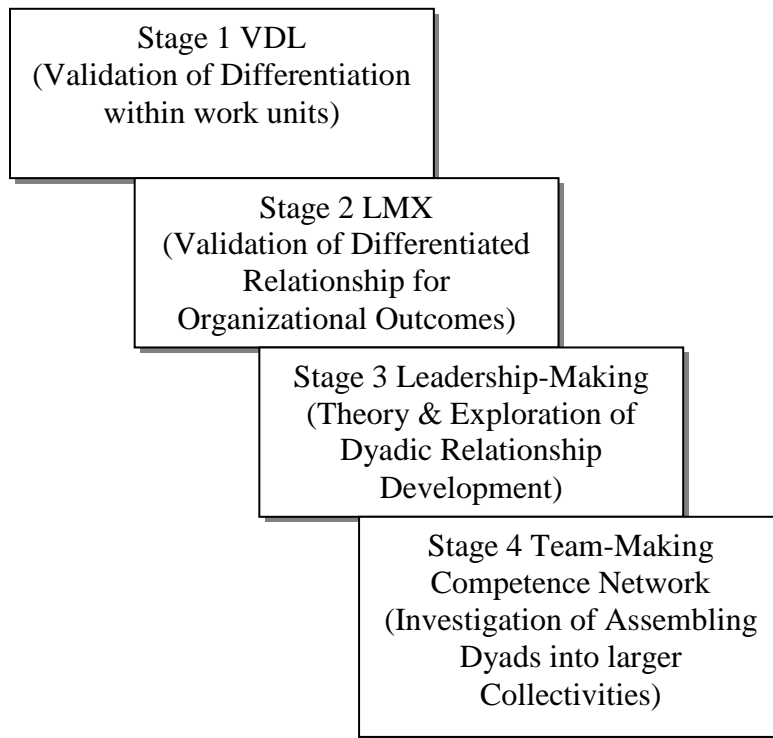
(1995).

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┌─────────────────────────────┐
│      Stage 1 VDL            │
│ (Validation of Differentiation │
│     within work units)      │
└─────────────────────────────┘
   ┌─────────────────────────────┐
   │      Stage 2 LMX            │
   │ (Validation of Differentiated │
   │       Relationship for      │
   │   Organizational Outcomes)  │
   └─────────────────────────────┘
      ┌─────────────────────────────┐
      │  Stage 3 Leadership-Making  │
      │    (Theory & Exploration of │
      │      Dyadic Relationship    │
      │         Development)        │
      └─────────────────────────────┘
         ┌─────────────────────────────┐
         │   Stage 4 Team-Making       │
         │    Competence Network       │
         │ (Investigation of Assembling │
         │       Dyads into larger     │
         │        Collectivities)      │
         └─────────────────────────────┘
```

Figure 8. Stages in development of Leader-Member Exchange (LMX) theory.

Source: Adapted from G. B. Graen and M. Uhl-Bien, *Relationship-based approach to leadership: Development of Leader-Member Exchange (LMX) Theory of Leadership*, 1995.

Stage One involved the early research of Dansereau, Graen, and Haga (1975) on work socialization resulting in the determination that supervisors developed widely varying relationships with their respective subordinates. Some subordinates reported a "high-quality social exchange" relationship with their supervisor, which was defined as a high degree of mutual trust, respect, and obligation – these employees were termed the "in-group". In contrast, other subordinates reported a "low-quality social exchange" relationship with their manager, reflective of a low degree of mutual trust, respect, and obligation – these subordinates were termed the "out-group" (Graen & Scandura, 1987).

Stage One of LMX theory – or the vertical dyadic linkage (VDL) stage – asserted that leaders could not interact with followers uniformly (Graen & Cashman, 1975) because leaders had limited resources and time. As such, the social exchanges between the leader-follower, a two-way relationship, was determined as the unique premise and unit of analysis.

In Stage Two the terminology migrated from vertical dyad linkage (Dansereau et al., 1975) to Leader-Member Exchange (LMX). Graen, Novak, and Sommerkamp (1982) expanded upon the notion that leaders do not maintain uniform exchange relationships with followers and asserted that high-quality social exchange relationships have a direct positive bearing on dyad and organizational performance. The converse is then implied for low-quality social exchange relationships. Sparrowe and Linden (1997) posit a similar position, asserting that strong ties between a leader and follower foster a relationship that builds loyalty, trust, mutual respect, and emotional attachment within the dyad. Stage Two moves beyond an understanding that different relationships between a leader and followers exist (i.e., VDL) to a discussion on how the dyadic relationships are formed and , consequently, the effects of the relationships on organizational performance. The implication is that when leaders and followers establish high-quality exchange relationships, positive organizational outcomes are enhanced.

Graen and Uhl-Bien (1991) are credited with conceptualizing Stage Three of LMX theory, or the *Leadership Making* model. The Leadership Making model

de-emphasizes the Stage One and Stage Two "in-group" and "out-group" social

exchange relationship between a leader and follower(s) and accentuates the value of

creating high-quality social exchange relationships with every follower, thus moving

beyond the supervisor/subordinate relationship to one of a partnership relationship

among the dyadic constituents. Graen and Uhl-Bien (1991) proffer a *life cycle* context to

their Leadership Making model which suggests that individual dyads have the possibility

of progressing through three states of relationship; the *stranger* state – consistent with

the transactional leadership construct where exchange is predicated upon a formal

relationship and subordination to the leader; the *acquaintance* state – where the social

exchange relationship has not yet been formed into a partnership, but is somewhat more

elevated than the "stranger" state; and, finally, the *maturity*, or partnership state –

signifying a relationship of mutual elevation in trust, respect, and obligation. The

maturity, or partnership state, is consistent with the characteristics espoused in the

transforming leadership construct (Burns, 1978) where members of the dyadic group

move beyond individual self-interests toward collective mutual interests (Graen and Uhl-

Bien, 1995). The Leadership Making model (Stage Three) of LMX theory recognizes

that in creating partnership relationships among all dyadic members the overall

effectiveness and performance outcomes of the organization are enhanced. It additionally

acknowledges that, although preferable, not all leader-follower (dyad) relationships will

rise to the maturity (partnership) state. The essential element of the Leadership Making

model, however, is that the leader earnestly offers and encourages each follower to enter

into a high-quality social exchange.

In Stages One through Three, LMX theory development was focused on individual dyads and the dyadic relationships between a leader and followers. Graen and Scandura (1987) conceptually broadened the understanding of how individual dyads form and support social exchange relationships. They extrapolated this knowledge to systems of *interdependent dyadic relationships* both within and external to the organization, thus asserting a fourth stage of LMX theory. Graen and Scandura thus expanded the relevance and potential of creating viable partnership relationships at work-unit levels, divisional levels, organizational levels, and inter-organizational levels.

In summary, Leader-Member Exchange (LMX) theory is not broadly concerned about the aspects of individual leadership or followership, per se. It is fundamentally interested in analyzing the relationship aspects which emanate between a leader and followers; referred to as *relational leadership* (Komives, Lucas, & MacMahon, 1998). Leader-Member-Exchange (LMX) theory has evolved from the Vertical Dyadic Linkage (VDL) model, where high quality social exchange relationships (in-group) and low quality social exchange relationships (out-groups) defined a leader's interactions among followers, to confirming the importance of both leader-follower dyad and dyadic member partnership relationships within and external to work unit, divisional, and organizational levels. Establishing mature (partnership) social exchange relationships – the desirable end state of leader-member exchange – fosters a desire to satisfy the mutual interests of the dyadic member ahead of specific dyad or individual self interests (Graen & Uhl-Bien, 1995). This inclination of "others before self" is consistent with tenets of servant leadership espoused by Greenleaf (1970).

Preceding the research of Dansereau, et al. (1975) on leader-follower exchange relationship by five years and Burns' (1978) seminal work on transactional and transforming leadership by eight years, Robert Greenleaf (1970, 1991) published his landmark treatise – *The Servant as Leader*. Greenleaf (1970) sets forth his concept of the "servant-leader", and later, the notion of *primus inter paras* (Greenleaf, 1976), or first among equals, in conceptualizing his philosophy of leadership and the role of a leader. Servant leadership – as a theoretical construct – is generally considered one of the "recently introduced theories" or "new theories" of leadership (see Appendix C: Leadership Theory Taxonomy), however, its lineage can be traced to the Sixth Century B.C. works of Chinese philosopher, Lao-Tzu (1998). In his compilation of meditations and writings entitled, Tae Te Ching – or How Things Work – Lao-Tzu writes, "True leadership teaches selflessness. Enlightened leadership is service, not selfishness. The leader grows more and lasts longer by placing the well-being of all above the well-being of self alone. Paradox: by being selfless, the leader enhances self" (In Wren, 1995, p. 69). Similarly, Hegel (1830) asserted that by first serving as a follower, an individual finds the foundation from which to emerge as a leader. Hegel felt the essence of leadership resided in servanthood. Hesse (1956) embraced the contention of servanthood informing leadership in his metaphorical work *Journey to the East*, in which the central character – Leo – first appears as a dutiful and humble guide and servant to a group of travelers on a spiritual quest. Later, when Leo leaves the group, their quest is thrown into disarray and their journey abandoned; the pilgrims had become reliant upon Leo's stability and absent his presence they lose confidence and direction. Ultimately, Leo is revealed as the titular head of an Order the pilgrims had originally sought. Leo the

servant is thus revealed as a venerable leader and guiding spirit. Hesse's (1956) work, in turn, served as the inspiration for Greenleaf's (1970, 1991) conceptualization of contemporary servant leadership theory.

Inspired by Hesse (1956) and his own biographical antecedents, Greenleaf (1970, 1991) defined a servant leader in what at first might appear to be an oxymoron:

> The servant leader is servant first…It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. He is sharply different from the person who is *leader* first, perhaps because of the need to assuage an unusual power drive or to acquire material possessions. The leader-first and the servant-first are two extreme types. Between them are shadings and blends that are part of the infinite variety of human nature. The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served. The best test, and difficult to administer, is: do those served grow as persons; do they, while being served, become healthier, wiser, freer, more autonomous, more likely to become servants: and, what is the effect on the least privileged in society; will he benefit, or, at least, will he not be further deprived? (Greenleaf, 1991, p. 7)

Spears (1998) codified Greenleaf's many essays and works on servant leadership into a set of ten characteristics. Five of these characteristics are concerned with skills – listening, empathy, foresight, persuasion, and conceptualization; four emphasize values – healing, stewardship, growth of people, and community building; and one is internally directed – self-awareness.

In addition to Spears (1998), a plethora of other servant leadership research has appeared

in peer-reviewed publications in recent years (Autry, 2001; Buchen, 1998; Choi & Mai-

Dalton, 1998; Daft & Leagel, 2000; Farling, Stone, & Winston, 1999; Pollard, 1997;

Russell, 2000; Sendjaya & Sarros, 2002; Wright, 2000). Table 6 summarizes several of

the studies and behavioral factors each ascribes to servant leadership.

Table 6

Characteristics of servant leadership.

Authors	Behavioral Factors
Buchen (1998)	Self-identity, capacity for reciprocity, relationship builders,, preoccupation with the future.
Farling, Stone, & Winston (1999)	Vision, influence, credibility, trust, and service.
Graham (1995)	Listening to understand the needs and concerns of others, works toward consensus, honors paradox, works to create answers beyond the compromise of the we/they negotiation.
Russell (2000)	Vision, credibility, trust, service, modeling, pioneering, appreciation of others, and empowerment.
Spears (1998)	Listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship,, commitment to the growth of people, and building community.

Source: S. Sendjaya, *Development and validation of servant leadership behavior scale*,

2003.

Greenleaf (1970, 1991) asserted that servant leadership idealizes a leader's action

of caring for others (i.e., followers) by satisfying their intrinsic as well as extrinsic needs

ahead of the their own. Burns (1978) would echo this theme by noting that the role of a

legitimate leader "emerges from, and always returns to, the fundamental wants and

needs, aspirations, and values of the followers" (p. 4). Sergiovanni (1992) would add

that, "servant leadership is practiced by serving others, but its ultimate purpose is to

place oneself, and others for whom one has responsibility, in the service of ideals" (p.

138). Determining that follower needs are met, that followers are growing as individuals

and in turn effecting other social collectivities, and that followers are cared for through

honest and ethical means, are the crucibles upon which servant-leadership is based.

"Caring for persons, the more able and less able serving each other, is the rock upon

which a good society is built" (Greenleaf, 1976, p. 1). Sheldrake (2001) notes that,

> "It [servant leadership] is an approach that makes it quite clear that means
>
> can never be subordinated to ends: as such, it [servant leadership]
>
> represents an approach that is quite different from that which has
>
> characterized most writings on leadership over the past two millennia"
>
> (p. 6).

Given this premise, servant leadership can be considered a philosophy that emphasizes

both the *process and purpose* of leadership whose modal values are in establishing a

mutuality of trust, respect, and obligation between a leader and follower(s). Greenleaf

(1970, 1991) not only asserted the importance of process in leadership, but also

stimulated an inchoate inquiry into the ontological purpose of leadership. That is, why do

leaders engage in behaviors, which seek to create a change or stimulate action on the part

of others. For Greenleaf, the question of "process" appears to have been satisfied in

advancing the notion of primus inter paras (i.e., first among equals). Greenleaf addresses

the issue of purpose through his assertions on the "servant-as-leader"; that is, meeting the needs of followers and helping them to grow as individuals who in turn can effect other individuals or causes.

Greenleaf (1970) ascribed an emerging moral, or ethical dimension, to the phenomenon of leadership whereby a leader's use of coercive power yields to an expression of creative support by leaders to their followers. Greenleaf's seminal assertions on *moral leadership* would later significantly influence much of the "new leadership theories" proffered since 1970 (See Appendix C – Leadership Theory Taxonomy). Greenleaf (1970) stated,

> A new moral principle is emerging which holds that the only authority deserving one's allegiance is that which is freely and knowingly granted by the led to the leader in response to, and in proportion to, the clearly evident servant stature of the leader. [Those who follow] *will freely respond only to individuals who are chosen as leaders because they are proven and trusted as servants* [authors emphasis]. (In Greenleaf, 1991, p. 4)

Burns (1978) would later elaborate on the theme of moral (ethical) leadership originally proffered by Greenleaf (1970), noting:

> By this term [moral leadership] I mean, first that leaders and led have a relationship not only of power but of mutual needs, aspirations, and values [and] that leaders take responsibility for their commitments. I mean that kind of leadership that can produce social change that will satisfy followers' authentic needs. (Burns, 1978, p. 4)

Associated with his intimations concerning the moral basis of servant leadership, Greenleaf examined the ethical characteristics of leaders (Greenleaf, 1959).

Exploring an area of Greenleaf's writings which has received a modicum of published analysis – Greenleaf's code of ethics – Fraker (1995) drew upon an unpublished manuscript entitled, *A View of Managerial Ethics* (Greenleaf, 1959) and identified five traits which Greenleaf posited as necessary for an *ethical leader*. These characteristics include:

Strength: The ability to see enough choices of aims, to choose the right aim and to pursue that aim responsibly over a long period of time.

Openness to Knowledge: One should respect, seek, and take reference from the available formal knowledge; cultivate what one's own resources of intuitive knowledge; and contribute what one can to the general pool of management knowledge.

Foresight: Leaders must see future events that will involve him before other people see them. The requirement of leadership imposes some intellectual demands that are not measured by academic intelligence ratings. They are not mutually exclusive, but they are different. The leader needs two intellectual abilities that are usually not formally assessed in an academic way: he needs to have a *sense for the unknowable* and be able to *foresee the unforeseeable.*

Entheos: Enthusiasm is a fundamentally essential characteristic for an ethical leader. More specifically, the Latin term *entheos*, which is the

essence or power activating one who is inspired supports the ethical

characteristics of *strength* in a leader.

Sense of Purpose; Ability to Laugh: Ethical leaders have to have both a

sense of purpose or goal, as well as a sense of humor about themselves

and others. A goal is the big dream, the visionary concept, the ultimate

consummation, which one approaches, but never really achieves. It is so

stated that it excites the imagination and challenges people to work for

something they do not yet know how to do. One can cultivate purpose to

the point of having a glimpse of the ultimate and still remain connected

with all people…purpose and laughter are the twins that must not

separate. Each is empty without the other. (In Fraker, 1995, p. 44)

Though largely uncredited, Greenleaf (1970) appears to have instigated a heuristic

dialogue on ethical (moral) leadership, which has been furthered by Anello and

Hernandez (1996), Burns (1978), Gilligan (1982), Gini (1996), Graham (1995), Heifetz

(1994), Maldonado and Lacey (2001), and others.

Burns (1978) suggests that moral leadership is grounded in the responsibility of

the leader to help followers assess their own values and needs in order to raise them to a

higher level of functioning, which emphasizes values such as justice and equality (Ciulla,

1998 in Northouse, 2001, p. 256). For Heifetz (1994) moral – or ethical leadership –

involves the use of leader authority to help followers deal with conflicting values in

rapidly changing work and social environments (Northouse, 2001, p. 255). Servanthood-

to-others defines the essence of Greenleaf's (1970) perspective on moral (ethical)

leadership and its mandate of focusing first on the needs of others. The invariant themes

which permeate each of these perspectives is that ethical (moral) leadership embodies an *ethic of caring* (Gilligan, 1982) for others; the centrality of the leader-follower relationship (Dansereau et al., 1975); and the desire to establish higher moral purposes within both the leader-follower dyad and broader social collectivities (Burns, 1978).

Since the introduction of the servant leadership construct by Greenleaf (1970), a plethora of texts, articles, and papers have been added to the body of knowledge. Russell and Stone (2002) have noted that the servant leadership lexicon has successfully transferred itself into general leadership literature and is so pervasive as to have fundamentally affected leadership theory. It is not the purpose of this study to examine the breath of published literature on the topic of servant leadership – a litany of texts and dissertations exclusively devoted to the topic have yet to exhaust its implications and nuances. Suffice it to say, however, that the construct has enjoyed a broad following across diverse organizational milieus – including healthcare – and may prove to have an associative relationship to the phenomenon of transcending leadership.

Schwartz and Tumblin (2002) posit that servant leadership is essential to "physician leadership" in ameliorating the disparities in the nations healthcare system. They assert that,

> Health care organizations in the United States continue to be dominated by (1) leaders who practice an outmoded transactional style of leadership and (2) organizational hierarchies that are inherently stagnant. Non health care service industries have repeatedly demonstrated that for business to compete successfully in a market economy, effective leadership is essential. (p. 1419)

Writing in *The Physician Executive Journal*, Wilson (1998), notes that since the United

States has evolved into a *service economy* – as opposed to its heretofore agrarian and

industrial based economies – an environment ripe to foster servant leadership principles

is at hand. This is particularly so within the healthcare industry as health leaders confront

a plethora of challenges including: globalization and the transference of communicable

diseases; the need to satisfy multiple stakeholders within the public health milieu;

environmental deterioration and its impact on local, national, and international public

health; and the growing shortage of qualified labor to fill roles as healthcare

professionals in developed countries (p. 6). Wilson posits that "the servant leadership

model can enable individuals, organizations, communities, regions, nations, and the

world to be at peace with each other" (p. 11). Whether naïve or prescient in his

assertion, Greenleaf (1991) pointed to the special "servant to community" role that the

health care delivery system plays in Western society, yet noted the unrealized promises

made by the healthcare community and the burgeoning costs associated with it.

> Health and social services retain too much from the days when magic
>
> potions were administered to banish symptoms. As a consequence, the
>
> extensive knowledge we now have about how to live in better total health
>
> is effectively denied to large numbers of people, and for many the longer
>
> life expectancy made possible by curbing disease is too often an empty
>
> achievement. The skyrocketing cost of such healthcare as we have is
>
> proof of the inadequacy of our system of health-care delivery. (Greenleaf,
>
> 1976, p. 6)

Greenleaf (1991) later cautioned against the surfeit of hospital facilities in America

suggesting that as institutions they were losing their moral grounding and jeopardizing

their servants-to-community legitimacy.

> There is now the beginning of questioning of the extensive building of
>
> hospitals. We need some hospitals for extreme cases. But much of the
>
> recent expansion has been for the convenience of doctors and families, not
>
> for the good of patients – or even for the good of families. Only community
>
> can give the healing love that is essential for health. Besides, the
>
> skyrocketing cost of such extensive hospital care is putting an intolerable
>
> burden on health-care systems. (p. 28)

Wilson's (1998) observation concerning the importance of healthcare within the

emerging service-economy and Greenleaf's (1991) attributions concerning the ubiquitous

presence of hospitals and their potential effect on the financial integrity of the U. S.

healthcare system appear to be substantiated.

In their February 2004 study published in *Health Affairs*, Levit, Cowan,

Sensenig, and Catlin (2004) reported that U.S. healthcare spending rose to $1.6 trillion in

2002, reflecting an increase of 8.5% in 2001 and 9.3% in 2002. This aggregate total

spending in 2002 represents an increase in health spending as a percent of the total U.S.

gross domestic product from 13.3% in 2000 to 14.1% in 2001 and 14.9% in 2002.

Hospital spending accounted for 32% of the aggregate increase in 2002 and

approximately 31% of total health expenditures in 2002 (p. 147). Table 7 illustrates the

division of hospital costs versus other health delivery expenditures in 2002.

Table 7

United States' health spending by major category, 2002.

Share of Spending		Share of Spending Increase
31%	Hospital	32%
22%	Physician	18%
11%	Prescription drugs	18%
36%	All other	34%

Source: Center for Medicare and Medicaid Services, Office of the Actuary,

National Health Statistics Groups. In Levit et al., *Health Spending Rebound*

Continues in 2002, 2004.

<u>Note</u>: The "All Other" spending includes dental, other professionals, other personal

health care services, home health and nursing home care; durable and non-durable

medical products; administration and insurance net cost; government public health;

medical research; and medical construction.

The figures shown in Table 7 support the concerns expressed by Wilson (1998) and

Greenleaf (1991) and their subsequent appellations calling for new leadership paradigms

within the healthcare industry which could mitigate the financial challenges posed by a

burgeoning service economy. In addition to Wilson and Greenleaf, who have opined on

the usefulness of servant-leadership within the health care industry, there are a myriad of

additional writers and scholars who have offered demonstrable support for the construct of servant leadership.

Renesch (1994) compiled the essays of 22 leadership scholars who have affirmed the relevance of the servant leadership construct within the evolving spectrum of leadership theory. Additional scholars who have published works subscribing to the tenets of servant leadership include Blanchard (1995), Block (1993), Covey (1994), DePree (1989), Kouzes and Posner (1995), Senge (1995), Sergiovanni (1992) Sims (1997), Tatum (1995), and Wheatley (1994) – to name but a few. Each, in their own form of expression, agrees upon the fundamental premise that servant leadership emphasizes the basis of enhancing one's service to others through a holistic approach to the workplace and the broader community. Greenleaf (1970, 1991) emphasizes the importance of leaders and followers making a journey together and undertaking that journey with mutual respect (Sheldrake, 2000). Supplementing the work of scholars who have proffered their own assertions on the essence of servant leadership, a number of contemporary research studies have attempted to add to the body of knowledge.

Representative of the recent studies on servant leadership theory include works by Boyer, 1999; Kirkpatrick, 1998; Laub, 1999; Lubin, 2001; Russell, 2000; Taylor, 2002; and Van Kuik, 1998. Boyer (1999) examined the life experiences of 15 perceived male servant leaders in an attempt to understand the biographical antecedents leading to a desire, or inclination, in expressing servant-leader behavior. Boyer also sought to derive common behavioral themes evidenced in her research participants and concluded that servant leader behavior involved four invariant themes:

1. The servant leader is caring, respectful, and understanding of others.

2. The servant leader stimulates awareness and open dialog.

3. The servant leader is authentic, trusting, and directed.

4. The servant leader establishes personal relationships and community through an informal and open style, which engenders teamwork and collaboration.

Kirkpatrick (1998) sought to understand key factors concerning servant leadership behavior as they may effect follower relations in cross-cultural situations. Laub (1999), employing a three-round Delphi approach with 14 "experts" on servant leadership theory, identified six primary servant leadership characteristics and then developed an instrument (i.e. the Servant Organizational Leadership Assessment – SOLA) for assessing the level to which leaders and followers perceive that these characteristics are displayed in their organizations. Lubin (2001), utilizing a descriptive study involving 18 "visionary leaders" (Sashkin, 1988), correlated the relationship between extant visionary leader behaviors with those characteristics broadly associated with servant leader behavior (Greenleaf, 1977; Spears, 1998). Of the ten normative servant leader behaviors, Lubin (2001) found the behaviors of 18 nominated visionary leaders were congruent with nine of ten putative servant leadership characteristics. Russell (2000), studied 167 subjects characterized as having certain behaviors associated with servant leadership. He attempted to respond to the research question, "What specific leadership attributes characterize genuine servant leadership?" ultimately identifying nine "functional" and eleven "accompanying" attributes. Contending that research studies heretofore conducted on the servant leadership construct were broadly qualitative and emotional, thus providing limited empirical (quantitative) analysis, Taylor (2002) attempted to compare the leadership practices of school principals who self-reported utilizing the tenets of

servant leadership with those who did not. Using descriptive statistics and univariate

analysis of variance (ANOVA) techniques, Taylor found a statistical relationship

between those principals who self-reported they embraced servant leader behaviors and

the perceptions of followers (teachers) as to their enhanced leadership effectiveness. Van

Kuik (1998) conducted an inductive qualitative study involving in-depth interviews with

four informants for the purpose of exploring the meaning each gave to "service" (i.e.,

servant leadership) within their work environments. The study ultimately revealed four

servant leadership themes consistent among all four informants. First, service provided

them with a marked degree of personal fulfillment; second, the results of the informants

past experiences, personal histories, and beliefs, informed their proclivity to act as

servant leaders; third, though different in specifics, each informant expressed a passion

about an ideal; and finally, their relationships with followers were characterized by a

high-quality social exchange relationship – or mutuality – manifest in a shared search for

meaning in their work and personal lives coupled with a demonstrable sense of humility.

"I saw all my informants as using their positions within the organizations in the service

of the shared ideal and placing that ideal ahead of their own advancement" (p. 232).

   A high-quality social exchange relationship (Dansereau, et al., 1975) coupled

with a leader's willful desire to attend to the needs and aspirations of followers ahead of

their own interests (Greenleaf, 1970, 1991) is consistent with Cardona's (2000) depiction

of a transcendental leader.

Cardona's Proposition of a "Transcendental" Leadership Construct

In his paper, *Transcendental Leadership*, Cardona (2000) associates extant

leader-member exchange (LMX) theory and servant leadership theory asserting that

leaders and collaborators create three different relationships – or forms of partnership –

within the dyad: transactional, transformational, and a new form of partnership that

Cardona terms – *transcendental*. According to Cardona, "transcendental leadership adds

to the transformational one, a service orientation" (p. 201). The premise upon which

Cardona establishes his assertions on the phenomenon of transcendental leadership are

synergistic with exchange theory. That is, Cardona sets aside the immediacy of the

leaders' individual behaviors or personal characteristics, as well as the match between a

given situation and leader's style (i.e., situational leadership) and proposes to examine

"the influence that the leaders' values and actions have on the relationship between

leader and collaborator" (p. 201). This perspective is consistent with leader-member

exchange (LMX) theory (Dansereau, et. al., 1975). Cardona (2000) then enriches his

posited basis of transcendental leadership as a function of leader-member exchange

theory with the added dimension of servant leadership (Greenleaf, 1970, 1991). He notes,

"I think the transcendental leader is a servant-leader, plus also transformational and

transactional" (P. Cardona, personal communication, March 5, 2003). In doing so, he

asserts that transcendental leadership is, in effect, an enhanced exchange relationship

construct.

In proposing a definition of transcendental leadership – and by comparison

definitions of both transactional and transformational leadership – Cardona (2000) draws

a link between the type of partnership and exchange relationship which the leader

instigates among followers, the motivators to which followers respond, and the following

behaviors elicited by the partnership relationship. Table 8 (Taxonomy of a relational

leadership model) offers a taxonomy of transactional, transformational, and

transcendental leader-follower partnerships as suggested by Cardona.

Table 8

Taxonomy of a relational leadership model as suggested by Cardona (2000).

Partnership/Exchange Relationship	Collaborator Motivation	"Following" Behaviors	Competencies	Consequences
Transcendental: (Contribution Exchange)	Extrinsic, Intrinsic, & Transcendent	Unity: (High follower loyalty)	Negotiate and control transactions; a capacity to create and communicate an attractive "vision" of the future; and personal integrity, moral stature, and capacity to sacrifice self-interest for the benefit of others.	Extra role effort, availability, commitment to team/organization
Transformational: (Work Exchange)	Extrinsic & Intrinsic	Alignment: (Moderate follower loyalty)	Negotiate and control transactions; and a capacity to create and communicate an attractive "vision" of the future.	Productivity, creativity, and commitment
Transactional: (Economic Exchange)	Extrinsic	Uniformity: (Minimum follower loyalty)	Negotiate and control transactions	Lack of initiative and *group think*

Source: Adapted from P. Cardona, *Transcendental Leadership, 2000.*

In conceptualizing his model of partnership and exchange relationships, Cardona proffers a new and broadened dimension to heretofore extant exchange theory. Homans (1961) and Blau (1964) have long asserted two types of exchange relationships: *economic and social*. Economic exchanges are predicated upon an "explicit" agreement between two parties which are elucidated through an employment contract, personnel policies, letter of agreement, or other such formal mechanisms which state the terms of a specific quid pro quo agreement over a precise time period. In contrast, social exchanges are "implicit" agreements, which confirm non-specific understandings between a leader and follower(s). "Because these mutual expectations are implicit, they change as the relationship matures and as the socially-shared beliefs, or social norms, defining the relationship evolve" (Cardona, Lawrence & Bentler, 1999, p. 7). An example of such a non-specific obligation may involve an understanding that if a follower needs flexible time off to arrange for family emergencies, the follower would be expected to either make up the time later or arrange for the missed tasks to be accomplished. Expanding the long accepted striations of exchange theory as presented by Blau (1964) and Homans (1961), Cardona (2000) stipulates extant "economic" exchange theory, but bifurcates "social" exchange theory into two new branches he terms *work exchange relationships* and *contribution exchange relationships*. In a working paper entitled, *The Influence of Social and Work Exchange Relationships on Organizational Citizenship Behavior,* Cardona, Lawrence, and Bentler (1999) proposed, "a new exchange relationship that we call work exchange. We develop a theory for the situational antecedents of OCB [Organizational Citizenship Behavior] that includes economic, work, and social exchange relationships" (p. 3).

According to Cardona, et al. (1999),

>In a work exchange relationship, the individual and the organization holds
>
>an <u>implicit</u> agreement defining reciprocal expectations of <u>specific</u> work-
>
>related behaviors. Similar to social exchange, the mutual expectations
>
>defining a work exchange evolve as the relationship matures and social
>
>norms change. Thus, work exchange differs from economic exchange
>
>because it is an implicit agreement that evolves over time. But it also
>
>differs from social exchange because the obligations are specific to work
>
>activities, rather than diffuse or ill-defined social interactions. (p. 8)

Work exchange, as noted by Cardona (2000), is "based on the personal interest in the

work itself" (p. 202). Cardona then defines a contribution exchange relationship as one

that "is based on the contribution that the work makes to others" (p. 202). That is, within

a contribution exchange relationship, leaders and followers seek to satisfy each other's

needs, the goals of the organization, other individuals within the organization, and

broader social causes and collectivities. The proffering of these two non-economic

exchange relationships is apposite to Cardona's argument on the viability of a

transcendental leadership construct. Though seemingly credible, no further research

confirming the validity of Cardona's et al. (1999) proposition of a "new change

relationship", termed work exchange, has been identified in the literature. Similarly,

contribution exchange lacks any robust examination. Cardona (2000) readily stipulates to

the dearth of corroborating research concerning his assertions on work and contribution

exchange noting: "theories based on social exchange do not clearly distinguish between

the two types of non-economic exchanges [work exchange and contribution exchange]"

(p. 203). Cardona drew upon the work of Spanish scholar Perez-Lopez (1991) in

proposing the notion of contribution exchange and its corresponding form of follower

motivation, which Perez-Lopez termed *transcendent motivation.*

> The origins of transcendent motivation (which I call in this paper,
>
> "contribution" exchange precisely because some people are confused
>
> with the term "transcendent' and mix it with spiritual meaning) comes
>
> from my Spanish mentor, Perez-Lopez. He always talked about three
>
> types of motivation: extrinsic, intrinsic, and transcendent. And then, he
>
> talked about the different types of leaders (transactional,
>
> transformational, and transcendental) depending upon the motivation they
>
> promoted. I took that idea and developed the definition of transcendental
>
> leadership. (P. Cardona, personal communication, March 5, 2003)

Following his argument to expand extant social and economic exchange relationship

theory, Cardona (2000) then associates each exchange with a corresponding partnership;

economic exchange with transactional leadership, work exchange with transformational

leadership, and contribution exchange with the phenomenon of transcendental

leadership.

As illustrated in Table 8 (Taxonomy of a relational leadership model), Cardona

suggests the motivational bases for three different exchange relationships. He asserts that

transactional leaders only promote extrinsic motivation (economic exchange) in their

followers; transformational leaders promote extrinsic and intrinsic (work exchange); and

the transcendental leader promotes three motivations – extrinsic (economic exchange),

intrinsic (work exchange), and *transcendent motivation* (contribution exchange). In turn,

Cardona attributes certain "following" behaviors to each of the partnerships. Transactional leaders promote *uniformity* in followers toward meeting rules and work requirements. Uniformity fosters a lack of follower initiative toward expending greater effort than is required to meet their obligations and contributes to a minimum degree of follower loyalty. Transformational leaders promote *alignment* in both the leaders and followers interests. Consequences include follower creativity in approaching job assignments, a "learning environment", commitment by followers to the goals of the leader and organization, and a willingness to be proactive in taking on new responsibilities and autonomy. Transformational leaders, according to Cardona, promote a moderate degree of follower loyalty. Finally, extra-role effort, work unit and organization commitment, availability for extra assignments and high follower loyalty to the leader are indicative of the transcendental partnership. Cardona refers to this type of following behavior as *unity* (p. 203). Cardona then asserts that transcendental leaders possess certain competencies, which allow them to create and sustain high-quality contribution based exchange relationships. These competencies include the ability to negotiate and manage transactions (i.e., transactional leadership skills); form and communicate an inspiring vision of the future (i.e., transformational leadership skills); and exhibit the "integrity and capacity to sacrifice themselves in the service of their collaborators, even at the expense of their own interests", (p. 205), (i.e., transcendental leadership skills). The reification of his assertions leads Cardona to suggest corollary definitions of transactional, transformational, and transcendental leadership.

Building upon his triarchic framework of exchange relationships (i.e., economic, work, and contribution exchanges), Cardona expands upon the typology of the full-range

of leadership model (Bass & Avolio, 1994) and suggests the following definitions for

what he refers to as "three types of relational leadership" (p. 203).

> *Transactional leadership:* is the leadership defined by an economically-
>
> based exchange relationship. In this relationship the leader promotes
>
> uniformity by providing extrinsic (positive or negative) rewards to the
>
> collaborators.
>
> *Transformational leadership*: is the leadership defined by a work-based
>
> exchange relationship. In this relationship the leader promotes alignment by
>
> providing fair extrinsic rewards and appealing to the intrinsic motivations
>
> of the collaborators.
>
> *Transcendental leadership:* is the leadership defined by a contribution
>
> based exchange relationship. In this relationship, the leader promotes unity
>
> by providing fair extrinsic rewards, appealing to the intrinsic motivation of
>
> the collaborators, and developing their transcendent motivation. (Cardona,
>
> 2000, p. 204)

To further clarify the definition he ascribes to transcendental leadership, Cardona (2000)

offers an expansive description of a transcendental leader. He notes:

> The transcendental leader, as well as being interested in the results and in
>
> aligning the motivations of his or her collaborators with those of the
>
> organization, also tries to develop the transcendent motivation of these
>
> people. The transcendental leader centers his or her managerial work on
>
> the needs of the collaborators, but not in a manipulative way … Instead,
>
> the transcendental leader is concerned with the people themselves and

tries to contribute to their personal development. Specifically, he or she

tries to develop the collaborator's transcendent motivation: the

motivation to do things for others, the motivation to contribute. (p. 205)

In positing his definition of transcendental leadership, Cardona conflates his proffered

theory of contribution-based exchange with the phenomenon of collaborator motivation.

Cardona asserts that the manifestation of the transcendental partnership is

evidenced in a synergistic relationship between leader and collaborator where the

collaborator's motivation – pursuant to leader behavior – determines the type of

partnership.

Although the element which defines the type of leadership (i.e.

transactional, transformational, transcendental) is the collaborator's

motivation in the relationship, the behavior of the leader is a critical

element…In this dynamic relationship, the work of the leader consists of

influencing, through his or her values and behavior, the motivations of

the collaborator in order that the latter will seek to form with the former

the richest possible partnership, i.e., a contribution partnership. (p. 204)

The importance Cardona ascribes to motivation is consistent with Greenleaf's (1970,

1991) theory of servant leadership.

Cardona (2000), drawing upon his definition of transcendent motivation and

transcendental leadership asserts, "Transcendental leaders are not as concerned about the

collaborator's buying in to their vision, as they are to reach out to their collaborator's

needs and development. This is also the insight of Greenleaf's [servant] leadership" (p.

205). Cardona makes clear that transcendental leadership is an amalgam of transactional

and transformational leadership, as well as, servant leadership, "…the transcendental leader is not just a server [servant leader]; he or she is a transactional leader, who is also charismatic [transformational] and a server" (p. 205). In suggesting that transcendental leadership is mutually inclusive of and an iterative extension to the normative transactional-transformational leadership paradigm, Cardona is philosophically consistent with the prior work of Burns (1978) and Bass and Avolio (1994) in viewing the leadership phenomenon as a bi-directional continuum.

In summary, Cardona (2000) draws upon, and then enriches, extant leader-member exchange theory (Dansereau, et al., 1975) with servant leadership theory (Greenleaf, 1970, 1991) and proffers a new form of leader-collaborator partnership termed, *transcendental leadership*. To support his proposition, Cardona (2000) proffers an expansion of normative economic and social exchange theory (Blau, 1964; Homans, 1961) by including two new forms of social exchange – *work exchange* and *contribution exchange*. In asserting these new forms of exchange relationship, Cardona (2000) then establishes a triarchic framework on which to build his *relational leadership* model. This model consists of transactional leadership, transformational leadership, and transcendental leadership – along with corresponding collaborator motivations (i.e., extrinsic, intrinsic, and transcendent); following behaviors (i.e., uniformity, alignment, and unity); competencies; and consequences. Cardona asserts that the relationship which is established between a leader and collaborator (i.e., partnership relationship) is defined by the motivation of the collaborator, reflecting the values and behaviors evidenced by the leader. Cardona then adds to this the motivation to do things for others, which is the essence ascribed to servant leadership.

Though compelling, much of Cardona's argument in establishing the reasonableness of a transcendental leadership construct reifies his own assertions on a triarchic framework of exchange relationship – one which stipulates the extant economic exchange, but proffers two new forms of social exchange. The exiguous research confirming the viability of work and contribution exchange relationships – which is the crucible upon which Cardona's (2000) transcendental leadership construct is predicated – casts a degree of pall in stipulating his otherwise ingenuous assertion that a transcendental leadership construct is viable and manifest in a union of leader-member exchange (LMX) theory and servant leadership theory.

A fourth proposition in conceptualizing the reasonableness of a transcending leadership construct eschews any corollary to a spiritual dimension (Larkin, 1994), an affinity to the metaphysics of human consciousness (Aldon, 1998), nor espouses new grounded theory involving leader-member exchange relationships (Cardona, 2000). Crossan, Nanjad and Vera (2002) propose the reasonableness of a transcendent leadership construct predicated upon extant strategic leadership theory.

Transcending Leadership as a Function of Strategic Leadership?

<u>Background</u>

The construct of strategic leadership (Cannella & Monroe, 1997; Child, 1972; Finklestein & Hambrick, 1996; Hambrick, 1989; Hambrick & Mason, 1984; Hosmer, 1982; House & Aditya, 1997; Ireland & Hitt, 1999; Pawar & Eastman, 1997; Rowe, 2001) was initially introduced into the literature as a juxtaposing response to the broad acceptance of situational-contingency theories of leadership being proffered during the late 1960s and early 1970s. Situational-contingency theorists (Fiedler, 1967; House, 1971; Osborn & Hunt, 1975; Vroom & Yetton, 1973) emphasized the centrality of the immediate work dynamic, or situation, in guiding leadership action – a reaction to environmental variables. Alternatively, a cadre of researchers refocused the attention given to situational dynamics and began to reflect upon the prominence of the leader in proactively establishing strategic intent and direction as a means to effecting organizational outcomes. In lieu of passively responding to situational dynamics, the leader was positioned as an advocate-strategist in shaping organization culture and guiding its trajectory in achieving desired outcomes. Among those who have contributed to the notion of the "leader as strategist" (i.e., strategic leadership) Cannella & Monroe, 1997; Child, 1972; Finklestein & Hambrick, 1996; and Hambrick & Mason, 1984 are notable.

Child (1972) argued that the influence exerted by top leaders in determining and guiding the strategic choices of an organization was a critical factor in determining organizational culture and outcomes. That is, rather than highlighting the dominance of the situation as the principal determinant of organizational outcome, Child asserted that

the ability of the leader to intuit the environmental dynamics and then craft the necessary

strategy to obviate situational obstacles was the critical factor. Hambrick and Mason

(1984) advanced Child's (1972) assertion that the influence of the leader, or guiding

coalition of top leadership, was instrumental in achieving organizational intent. They

asserted that both organizational culture and ultimate performance were directly linked to

the strategic decisions made by "upper echelons" of leadership. "Organizational

outcomes – both strategies and effectiveness – are viewed as reflections of the values and

cognitive bases of power actors in the organization" (Hambrick & Mason, 1984, p. 193).

Cannella and Monroe (1997) added to the work of Hambrick and Mason (1984) on the

primacy of upper echelon leaders in influencing organizational culture and the crafting of

strategic intent. Cannella and Monroe (1997) employed the constructs of *positive agency*

theory (Jensen & Mechling, 1976; Fama & Jensen, 1983) as a means of discerning a

realistic view of leaders and the prominence they possess in shaping corporate strategy.

They concluded that top leaders did have an associative impact upon strategy creation

and organizational performance, but that additional research "was necessary to explain

the complex behaviors of top managers" (p. 232) vis-à-vis the performance of the

organizations they lead. Cannella and Monroe (1997) contend that variables, including a

leader's psychological characteristics, formal education or work background, and

authorized discretion to act, or *latitude of action* (p. 221), are determinants in

understanding upper echelon leaders. Finkelstein and Hambrick (1996), stipulating the

contentions made by Child (1972) and Hambrick and Mason (1984) that strategic

leadership is primarily concerned with the role of executives and the influence of their

choices on the organization, conducted a comprehensive analysis of the limited number

of empirical studies associating organizational performance and the characteristics of

upper echelon leaders. They concluded that leaders do have a critical role in determining

organizational success though they are often hobbled by the dynamics of organizational

inertia, internal or external situational factors, psychological factors inherent within the

leader, or organizational limits on the amount of discretion afforded the leader.

Establishing the critical role of the upper echelon leader(s) in shaping organizational

culture and crafting strategic intent has been a hallmark contribution of strategic

leadership theorists. Beyond concurring to the preeminent role of the leader in strategy

development and implementation, other scholars have attempted to discern the

differences in leading versus managing strategic intent and direction (Hambrick, 1989;

Hosmer, 1982; House & Aditya, 1997; Pawar & Eastman, 1997).

Hosmer (1982), as a precursor to later research in differentiating leadership and

management, asserted that strategic leadership is a less delimited form of *strategic

management*. "It is strange that strategic management, which purports to center on the

duties and responsibilities of the general manager, has never defined leadership" (p. 47).

He subsequently proffers an ingenuous and seminal definition of strategic leadership as

being "a consistent analytical and developmental approach to the *strategy, structure, and

systems* of an organization" (p. 57). Hosmer, reflecting upon the earlier work of Zaleznik

(1977), further bifurcated the roles of leader and manager well ahead of other scholars,

such as Bennis and Nanus (1997), House (1996), Kotter (1990), and Yukl (1994), who

have dominated the "leader vs. manager" literature. Hosmer (1982) argued that "a leader

is an individual within an organization who is able to influence the attitudes and opinions

of others; a manager is merely able to influence their actions and decisions" (p. 55).

Hambrick (1989) expounded upon Hosmer's (1982) definition of strategic leadership as

an analytical approach to strategy, structure, and systems and posited that strategic

leadership involves the shaping of an organization's *strategy, structure, and processes* as

a means of achieving competitive advantage. House and Aditya (1997) further

contributed to the iterative definition of the strategic leadership construct in suggesting a

visionary perspective.

> Strategic leadership is directed toward giving purpose, meaning, and
>
> guidance to organizations. This is accomplished by the provision of a
>
> vision of the organization which has inspirational appeal to members of
>
> the organization and to external constituencies on which it is dependent.
>
> (p. 444)

Contrasting the functions of strategic leadership with that of strategic management (i.e.,

supervisory leadership) House and Aditya (1997) assert that strategic management is less

visionary and more closely aligned with operational functions. They define strategic

management as,

> …a behavior intended to provide guidance, support, and corrective
>
> feedback for the day-to-day activities of work unit members. Supervisory
>
> leadership (strategic management) consists essentially of the task and
>
> person-oriented leader behaviors specified in the leader behavior
>
> paradigm. (p. 445)

Broadening House and Aditya's (1997) discussion concerning the relative distinction

between strategic leaders and strategic managers, Pawar and Eastman (1997) sought to

discern the relationship between strategic leadership and the constructs of

transformational leadership and charismatic leadership.

Pawar and Eastman stipulate Hambrick's (1989) contention that strategic

leadership involves the influencing of an organization's strategy, structure, and processes

in order to achieve the strategic intent of both leaders and followers; a definition

relatively consistent with that of transformational leadership (Bass, 1985; Burns, 1978)

absent the requirement to elevate followers to higher levels of motivation or moral

purpose. Given the assertion that strategic leadership need not necessarily manifest a

desire to elevate the moral values or motive bases of followers, Pawar and Eastman

(1997) contend that strategic leadership is therefore a less delimited form of leadership

than is transformational leadership. In turn, they support Sashkin's (1992) work on

charismatic leadership, which suggests that followers personally identify and generally

succumb to the influences of the charismatic leader. Variables affecting the degree of

personal identification between follower(s) and leader may be the level of ideological

zeal and resultant hypomania expressed between leader and follower(s), the personality

dominance of the charismatic leader, or other psycho-social manifestations. "Based on

these views in existing literature on charismatic leadership, we acknowledge that

charismatic leadership has a greater component of follower personal identification in it

than does transformational leadership" (Pawar & Eastman, 1997, p. 84). Given the

rationale espoused by Pawar and Eastman on the relationship between transformational,

charismatic, and strategic leadership theory, they ultimately contend, "strategic

leadership is viewed as the least delimited and therefore broadest level of [leadership]

construct. Transformational leadership and charismatic leadership are subsets of strategic

leadership" (p. 85). This assertion is apposite to suggestions made later by Crossan, et al.

(2002) that the basis of a new leadership construct – transcendent leadership – is

fundamentally drawn from and represents a "new form of strategic leadership" (p. ii).

Through a comparative analysis associating strategic leadership to other leadership

constructs (i.e., transformational leadership and charismatic leadership), Pawar and

Eastman (1997) have proposed a broader understanding of strategic leadership.

Suggesting that emergent global competitive factors highlight the important role

of *strategic thinking* and, in turn, strategic leadership practices, Ireland and Hitt (1999)

offer their own definition of strategic leadership: "Strategic leadership is defined as a

person's [leader] ability to anticipate, envision, maintain flexibility, think strategically,

and work with others to initiate changes that will create a viable future for the

organization" (p. 43). They proffer six components of effective strategic leadership,

which they assert will ultimately serve as a source of competitive advantage for an

organization if dutifully enacted by the firm's "great leaders" – a reference to the

prominence of top mangers espoused by Child (1972), Hambrick and Mason (1984), and

Finklestein and Hambrick (1996) in establishing strategic intent. These six components

include: determining the firm's purpose or vision; exploiting and maintaining core

competencies that give a firm competitive advantage; the development of human capital

within the organization; sustaining an effective organizational culture; emphasizing

ethical practices; and establishing organizational controls. Ireland and Hitt (1999) are

certain in their belief that the exigencies of successful business organizations in the 21st

Century will be predicated upon the knowledge and enactment of strategic leadership

practices. "Without effective strategic leadership, the probability that a firm can achieve

superior or even satisfactory performance when confronting the challenges of the global economy will be greatly reduced" (p. 43). Rowe (2001) affirms the importance of effective strategic leadership practices in an era of global economics and asserts that such practices lead to the enhancement of wealth creation in entrepreneurial and established organizations in excess of profits generated by leaders employing other forms of leading constructs, (i.e., managerial leadership or visionary leadership). Rowe proffers the following definition of strategic leadership: "Strategic leadership is the ability to influence others to voluntarily make day-to-day decisions that enhance the long-term viability of the organization, while at the same time maintaining its short term financial stability " (p. 81). Ireland and Hitt (1999) and Rowe (2001) extend the conceptual framework of strategic leadership to the context of global economics. This perspective adds to the amalgam of characteristics associated with the strategic leadership construct.

From its origins in asserting the prominence of the "top leaders" in establishing strategic intent and organizational direction (Cannella & Monroe, 1997; Child, 1972; Finklestein & Hambrick, 1996; Hambrick & Mason, 1984) research concerning strategic leadership has led to the differentiation between the functions of strategic managers as compared to those of strategic leaders (Hambrick, 1989; Hosmer, 1982; House & Aditya, 1997; Pawar & Eastman, 1997) suggesting that strategic leaders are more closely involved with aspects of organizational "strategy, structure, and processes" which reflect the "upper echelon" vision of an organization's desired future. Stipulating to the legitimacy of strategic leadership as a viable construct, Pawar and Eastman (1997) have ascribed the extant transformational leadership and charismatic leadership constructs to strategic leadership – "the least delimited and, therefore, broadest level of [leadership]

construct" (p. 85). Crossan, Nanjad, and Vera (2002) have seized upon this provocative

assertion and have proffered a reductive form of strategic leadership, termed

transcendent leadership.

Crossan, Nanjad and Vera's Proposition of a "Transcendent" Leadership Construct

In their paper entitled, *Leadership on the Edge: Old Wine in New Bottles?*,

Crossan, et al. (2002) question whether existing forms of leadership theory adequately

address the quickening needs of geographically broad, culturally diverse, structurally

fluid, and time-sensitive organizations, "or do we need new theories of leadership to deal

with the strategic and organizational challenges facing firms today?" (p. 1). This question

serves as the basis from which Crossan, et al. investigate the intercourse between

strategic leadership and, in their view, the more limited, and hence subordinate,

transactional, transformational, and charismatic forms of leadership theory. The assertion

that strategic leadership is less delimited than either transactional, transformational or

charismatic leadership is directly attributed by the authors to the earlier work of Pawar

and Eastman (1997) whose study serves as a structural model for Crossan, et al. (2002)

in describing the transcendent leadership phenomenon.

Crossan, et al. argue the need for "a new form of strategic leadership" (p. ii)

given three contextual factors which they assert that contemporary organizations must

accommodate in order to prosper; the changing external business environment, the

dynamic nature of strategy formulation and implementation, and organizational forms

and structures requisite to accommodate the iterations of changing environments and

strategy. With the wealth of research on leadership, it would seem that there would be

little need for a new form of leadership, but rather an identification of how current

understanding can be applied to the new situations. According to Crossan et al., however,

environments have been increasingly described as being chaotic and disruptive,

demanding an approach to strategy that involves less planning and control, and more

flexibility, learning, and improvisation. In turn, new forms of organizations are evolving.

"… if new forms of strategy and organizations are required, leadership may also require
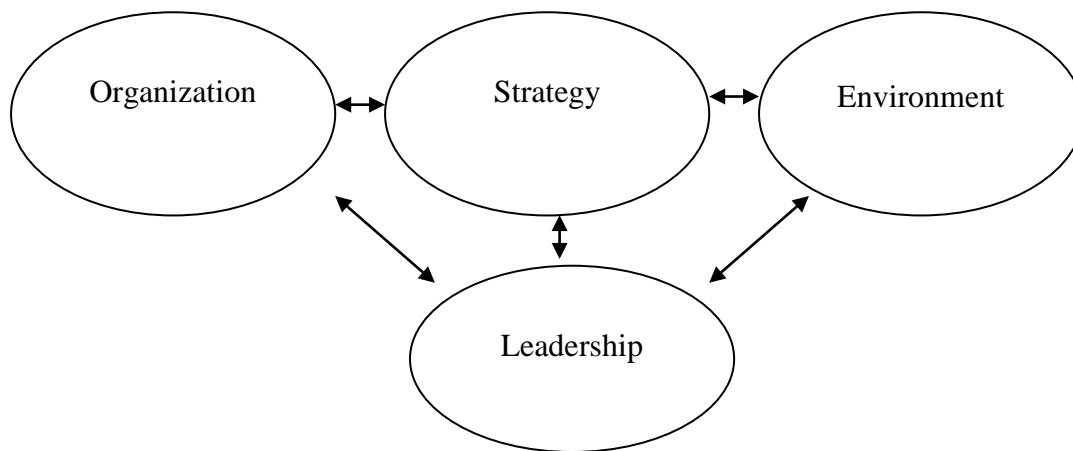
a new form to be defined" (pp. 4-5).

Figure 9. Organizational Contextual Factors

Source: M. Crossan, L. Nanjad, and P. Vera, (2002) *Leadership on the edge: "Old wine*

in new bottles?"

Figure 9 illustrates the organizational contextual factors suggested by Crossan, et al. as

apposite to the emergent business environment. While Crossan, et al. employ three

organizational contextual factors, as a precursor to suggesting the reasonableness of

transcendent leadership construct, Pawar and Eastman (1997) cite four organizational

contextual factors in their study of transformational leadership. They include

organizational structure, culture, strategy, and "related" aspects. Preceding both Pawar

and Eastman (1997) and Crossan et al. (2002), Hambrick (1989) suggested that strategic

leadership reflected the dynamics at work between the three organizational contextual

factors of "strategy, structure, and process", which modestly restated the earlier research

of Hosmer (1982) in proposing that "strategy, structure, and systems" were invariant

contextual factors in the application of strategic leadership theory to organizations. The

associative similarities between the organization contextual factors ascribed to strategic

leadership (Hambrick, 1989 & Hosmer, 1982); transformational leadership (Pawar &

Eastman, 1997); and the proffered transcendent leadership construct (Crossan et al.,

2002) are noteworthy. Table 9 offers a comparison of the contextual factors suggested by

Crossan, et al. (2002), Hambrick (1989), Hosmer (1982) and Pawar and Eastman (1997)

in analyzing the applicability of a particular leadership construct to an organization.

Table 9

Comparison of contextual factors in analyzing organizational receptivity/applicability to

various leadership constructs.

Hosmer (1982)	Hambrick (1989)	Pawar & Eastman (1997)	Crossan, et al. (2002)
Strategic leadership: • *Organizational strategy* • *Organizational structure* • *Organizational systems*	Strategic leadership: • *Organizational strategy* • *Organizational structure* • *Organizational processes*	Transformational leadership: • *Organizational strategy* • *Organizational structure* • *Organizational culture* • *"Related aspects"*	Transcendent leadership: • *Organizational strategy* • *Organizational structure* • *Changing organizational environment*

The confluence of factors noted in Table 9 might suggest that the extant strategic and

transformational constructs, along with a nascent transcendent construct, are in fact more

similar than otherwise thought <u>or</u> that by employing similar contextual factors, or

screens, one might more astutely discern the subtle differences manifest in each

construct. Crossan, et al. appear to favor the latter rationale.

After reviewing the shortcomings inherent in the extant transactional,

transformation, and charismatic leadership constructs to accommodate the posited

contextual factors of changing environment, strategy, and organizational structure,

Crossan, et al. proffer a form of strategic leadership, which they assert is responsive to

"the new environment of business" (p. 30).

Transcendent leadership is proposed as a form of strategic leadership that

involves four key components: 1) fostering an organizational learning

context *receptive* to new knowledge; 2) developing an open-systems

orientation that supports the *renewing* of strategy; 3) creating a self-

organizing orientation that allows for a *resilient* organization; and 4)

adopting a *reflective* orientation to leadership. (p. 17)

Reminiscent of the structure of Bass and Avolio's (1994) "4 I's" of transformational

leadership (i.e., idealized influence, inspirational motivation, intellectual stimulation, and

individualized consideration), Crossan et al. (2002) suggest a *four r* template from which

to examine the elements of a transcendent leadership construct. They assert that

transcendent leadership is comprised of four components (i.e., receptivity, renewal,

resiliency, and reflectiveness) that, in turn, are related to a corresponding organizational

contextual factor (i.e., environment, strategy, organization – and a "personal" factor).

These contextual factors reflect the "turbulent, high velocity environments" (p. 28)

evident in contemporary business and, according to the authors, can best be

accommodated through a new conceptual leadership model grounded in strategic

leadership theory. Table 10 (Elements of transcendent leadership) depicts the

characteristics of transcendent leadership as suggested by Crossan, et al.

Table 10

Elements of transcendent leadership as suggested by Crossan, et al. (2002).

Component Characteristics (four r's)	Receptivity (Organizational Learning)	Renewal (Open System)	Resiliency (Self-Organization)	Reflectiveness (Self-System ID)
Contextual Factor	Environment	Strategy	Organization	Personal
Definition or Role	Concentrates on the process dimensions of what a leader needs to do to ensure that the organization has a high learning capability	Conceptualizes the organization as a dynamic system of forces, actors, agents and attractors that cannot be completely controlled, and develops strategy accordingly	Emphasizes modularity of function, easy recombination and ensuring the context for the system to operate adaptively	Realizes that they are part of the system and must enact change in themselves along with the organizations they lead
Responsibility	Mechanisms and practice that facilitate open communication and exchange of knowledge at the individual, team, organization and interorganizational levels	Providing members of the organization with high autonomy, low control and disturbing the organization to maintain a dynamic equilibrium on the edge of chaos	Fluid organizational structures and practices of recombination and re-architecture based on a sense of community and basic operating or conceptual principles	High self-awareness; reduction of integrity gaps, and makes and absorbs change

| Attributes or Behaviors | • Promotes learning through experimentation, improvisation, experience, diversity of opinion, and focused collaboration
• Shares as much information as quickly as possible to accelerate learning
• Increases experience to deepen understanding and develop wisdom, or the ability to exercise judgment
• Extends learning focus to the spirit or soul of members of their organization
• Needs to appeal | • Very high tolerance for low control of task or responsibilities
• Creatively disturbs the organization – destruction or cannibalization
• Autonomous goal formulation
• Productively uses the anxiety produced by change
• Serves the organization to preserve its purpose and principles
• Does little prescribing of solutions
• Holds value-based visions, not of a specific future, but rather of a set of processes and principles that | • Commitment to fostering a community within the organization
• Minimal operating principles and very few rules
• Extension of networks of relationships inside and outside the organization
• Encourages recombination and fluid structuring as organizational needs dictate
• Continuously patching the organization as needs develop
• Supports and encourages meritocracy, gain sharing and fluid career paths of | • Highly self-aware
• Understands that personal change is also required
• Holds an explicit regime of ethics and integrity
• Works to perceive and minimize their personal integrity gap
• Maintains a high respect for others involved in the change
• Places high value on developing the ability to both make and absorb change |

to higher aspirations and increase understanding and development of those sources of motivation	will lead to an envisioned higher state of capability ♦ Able to identify dynamic shift patterns in order to act in step with them	members ♦ Master synthesizer of patters of organization and can internalize them very quickly ♦ Considers leadership roles to be the domain of all depending of their ability to best lead in a given context ♦ Ensures that this value is shared and mechanisms to transfer leadership are maintained

Source: Adapted from M. Crossan, L. Nanjad, and D. Vera, Leadership on the edge: "Old wine in new bottles?", 2002.

As noted, the four transcending leadership components are directly associated with the contextual factors of environment, strategy, and organization. *Receptivity* refers to an organization's "capacity to learn" (p. 17) and, therefore, its ability to adroitly modify strategic choices as a reflection of changing organizational situations or variables. Crossan et al., drawing from the work of Crossan and Hulland (2002), assert that "leadership needs to support learning at the individual, group, and organizational levels" (p. 18). Crossan, Lane, and White (1999) proposed such a matrix of institutional learning, termed the "4I" framework (p. 525). The *"4I" framework* includes the processes of *intuiting* (i.e., the preconscious recognition of the pattern and/or possibilities inherent in a personal stream of experience); *interpreting* (i.e., explaining of an insight or idea); *integrating* (i.e., developing a shared understanding among individuals); and *institutionalizing* (i.e., the process of ensuing that routinized actions occur) (p. 7). Crossan, et al. (1999) referred to this union of individual, group, and organizational learning within the *4I framework* as the *feed-forward and feedback* organizational learning process. Feed-forward refers to "the learning of the individual flows to the learning of the group and the organization" (Crossan, et al., 2002, p. 18) and feedback implies a reversal of this process, that is, knowledge and information flows from the organization to individuals. Figure 10 illustrates the feed-forward and feedback organizational learning process as conceptualized by Crossan, et al. (1999) and embraced by Crossan, et al. (2002) as one of the four components of a transcendent leadership construct.
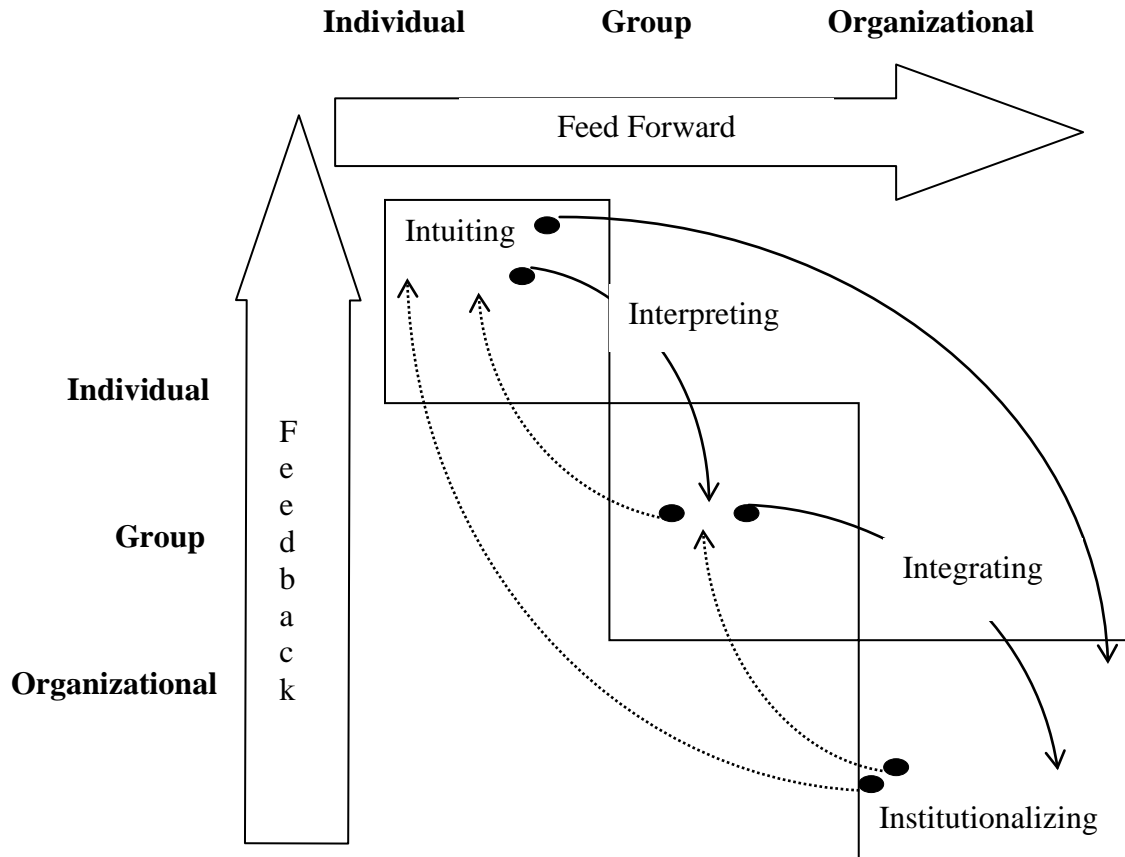
Individual   Group   Organizational

Feed Forward

Intuiting

Interpreting

Individual

F
e
e
d
b
a
c
k

Group

Integrating

Organizational

Institutionalizing

Figure 10. Feed-forward/Feedback organizational learning process. (Crossan, et al,

1999)

Source: M. Crossan, H. Lane, and R. White, *An organizational learning framework:*

From intuition to institution, 1999.

The second component of the transcendent leadership construct, as envisioned by

Crossan, et al. (2002), is *renewal*. Renewal refers to the ability of the leader – and the

organization being led – to adjust to the vagaries of internal and external business

dynamics, which "cannot be completely controlled and therefore the need to manage

strategy on the edge of chaos" (p. 17). Accommodating a "blend of intended and

emergent approaches to strategy" (p. 21), improvisation and responsiveness to rapidly

changing dynamics are therefore essential attributes of the "renewing" transcendent

leader. Crossan, et al. assert that in chaotic (i.e., *open system*) environments, the

renewing component of transcendent leadership may be highly appropriate and effective,

whereas, in less dynamic circumstances, transactional and transformational leadership

may be better suited.

> In environments that have shifted: (a) from less dynamic to more
>
> dynamic, transactional leadership will lead to poor performance; (b)
>
> from moderately dynamic to chaotic, transformational leadership will
>
> lead to poor performance. A strategic "renewal" orientation [transcendent
>
> leadership] will lead to better performance in highly turbulent times. (p.
>
> 22)

Much like renewal, a third component of the transcendent leadership construct, termed

resiliency, involves the ability to quickly and seamlessly shift organizational structure,

processes, and even leadership roles in order to address environmental flux.

 Resiliency, as conceptualized by Crossan et al., proposes a fluid or elastic

organizational culture and architecture where, as the business dynamics dictate, leaders

may become followers and followers temporarily assume the role of leaders. In turn, the

organizational architecture shifts to meet the demands of the external environment

causing not only a disturbance in the system, but more favorably, "ensures the

organization is sufficiently destabilized to be actively creative and is done through

creating compelling goals, ensuring the rich flow of information, and promoting diversity

of opinion" (p. 23). Resiliency, through a *self-organization orientation*, allows for

organizations and individuals to shift and then recombine structures, roles, and processes pursuant to the dynamics of the situation and the collective organizational goals held by leaders and followers.

The capacity of a leader to self-examine his or her own foibles, skills, and interpersonal relations is the hallmark of the fourth component of transcendent leadership, as proposed by Crossan et al. *Reflection* speaks to the leader's inward journey of discovery, or *self-system identification.* Crossan et al. appear less incontrovertible in their discussion concerning "reflection". Although they skillfully suggest that, "Transcendent leaders focus change, not only on their organization and its members, but also on themselves as an integral part of the system" (p. 18), the authors stipulate that further research on the inner dimensions of transcendent leaders would be valuable. Reflection, as intimated by Crossan et al., appears to suggest a journey of self-discovery for the purpose of honoring the processes of change, instability, integrity, respect, and ethical conduct inherent not only within the organizational context but, more so, within the individual paradigm.

In summary, Crossan, Nanjad, and Vera (2002), drawing upon the bases of extant strategic leadership theory, have suggested that the exigencies of contemporary organizations may warrant a new form of leadership construct capable of accommodating a vastly more fluid and chaotic business environment. That is, as organizations face fundamental upheaval in responding to emergent disturbances in both internal and external environments, organizational structures and strategies are being reshaped. "If new forms of strategy and organizations are required, leadership may also require a new form to be defined" (p. 5). Crossan, et al. offer an a priori assertion that a

new form of strategic leadership, termed transcendent leadership, is apposite in

responding to the emergent requirements of organizations. They argue that the extant

construct of transactional leadership is best aligned with centralized, hierarchical

structures and systems (p. 14) and is therefore ill equipped to reflect the need for

strategic flexibility and improvisation. In turn, Crossan et al. suggest that

transformational leadership – though "more inclined to implement an open culture, an

organic structure, and procedures, systems, and strategies that support new learning" (p.

14) – is inadequate in its ability to acclimate a succession of rapid changes. Finally, the

authors assert that charismatic leadership, though found effective "in environments of

uncertainty and conditions of revolutionary change" (p. 15) is not a style, which can be

sustained over time (Conner, 1998). Given the apparent inadequacies of the transactional,

transformational, or charismatic leadership constructs to fully accommodate the new

realities of business environments, strategy, or organizational structure, Crossan, et al.

(2002) assert that transcendent leadership mitigates these considerations, thus enriching

the normative transactional – transformational leadership paradigm. The authors ascribe

to the phenomenon the characteristics *of receptivity, renewal, resiliency, and

reflectiveness* and propose that each is integral in defining the construct. (p. 8):

> Transcendent leadership requires all four capabilities: fostering an
>
> organizational learning context receptive to new knowledge; developing
>
> an open-system orientation that supports the renewing of strategy;
>
> creating a self-organizing orientation that allows for a resilient
>
> organization; and adopting a reflective orientation to leadership. (p. 27)

Crossan, et al. offer a trenchant approach toward articulating the reasonableness of a transcendent leadership construct. Utilizing the contextual factors of organization, strategy, and environment (Argyris, 1973; Burns & Stalker, 1961; Lewin, et al., 1999a, 1999b), the authors establish a clear rationale for their structural parameters and contextual variables. This approach is consistent with the exhortations of Pettigrew (1987) who asserts that contextual factors be coherent to the research being undertaken and not broadly eclectic.

Crossan, et al. (2002) – along with the propositions set forth by Aldon (1998), Cardona (2000), and Larkin (1994) – attempt to establish the reasonableness of a new leadership construct by identifying credible distinctions between the extant transformational leadership construct and a proffered transcendent construct so as to warrant the latter the distinction of expanding the poles, or extremes, of leadership theory (Gardner, 1995). Table 11 provides a comparative summary of the assertions made by Aldon (1998), Cardona (2000), Crossan et al. (2002), and Larkin (1994).

Table 11

Comparison of the propositions asserting the reasonableness of a transcending leadership construct.

Author	Basis(es)	Contextual Factor(s)	Characteristics	Definition
Larkin (1994)	Individual Spirituality	• Intrapersonal • Spiritual growth beyond self centeredness	• God-centered confidence • Empowerment of others • Hospitality • Compassion toward others • Humility	Transcendent leadership is a leadership style that expands transformational leadership to include the practice of spiritual awareness & the characteristics of compassionate healing (Larkin, 1994, p. 8).
Aldon (1998)	Human Consciousness Evolution	• Intrapersonal • Spiritual Humanism	• Trust toward followers & collaborators • Respect for others & Nature • Expressed love for people & the natural world • Personal integrity (moral character) • Exhibits a "spirit of community"	[Transcendent leadership] is envisioned as a model that is grounded in spiritual humanism [which] can bring people to higher levels of consciousness (Aldon, 1998, p. 5).

Cardona (2000)	Leader-Member Exchange Theory & Servant Leadership Theory	• Interpersonal • Economic, Social, & "Contribution" Exchange • Follower motivation • Relational leadership	• Instigates high follower loyalty, extra role effort, & commitment to the organization • Transcendental leaders exhibit an elevated moral stature & express the capacity to sacrifice self-interest for the benefit of others.	Transcendental leadership is the leadership [construct] defined by a contribution based exchange relationship. In this relationship, the leader promotes *unity* by providing fair extrinsic rewards, appealing to the intrinsic motivation of the collaborators & developing their transcendent motivation (Cardona, 2000, p. 204).
Crossan, Nanjad, and Vera (2002)	Strategic Leadership Theory	• Impersonal • Chaotic & disruptive business climate • Changing <u>environment</u> of business • Evolving nature of <u>strategy</u> formulation & implementation • Required <u>organization</u> structures & forms	• Receptivity (Organizational learning) • Renewal (Open system) • Resiliency (Self-organization) • Reflectiveness (Self-system ID)	Transcendent leadership is proposed as a form of strategic leadership that involves four key components: 1) fostering an organizational learning *receptive* to new knowledge 2) developing an open-system orientation that supports the *renewing* of strategy 3) creating a self-organizing orientation that allows for a *resilient* organization 4) adopting a *reflective* orientation to leadership (Crossan, et al., 2002, p. 17)

<u>Conclusion</u>

While each of the proffered studies on transcending leadership (i.e., Aldon, 1998; Cardona, 2000; Crossan et al., 2000; Larkin, 1994) offer a seemingly credible description of the construct, none have offered dispositive evidence that would confirm the phenomenon. A crucible, which is absent in the literature thus far presented, is a phenomenological study of leaders who are perceived to possess characteristics which extend the transactional-transforming paradigm. Such an inquiry could serve to support the reasonableness of a transcendent leadership construct and identify a basis, or bases, from which the phenomenon emanates. The intent of this study is to therefore compare extant transactional-transformational leadership theory to the results of phenomenological inquiry with fourteen healthcare leaders and then triangulate any characteristic deviations with proffered transcendent leadership theory. No such rigorous analysis of the transcending leadership phenomenon has been identified in the literature and, as such, it is hoped that this study may contribute to the body of knowledge.

Chapter 2 presented a cursory review of the predominant transactional-transforming paradigm in context to the historical evolution of leadership theory. Suggesting the emergence of a new paradigm which could further extend leadership theory, four recently proffered propositions on a *transcending leadership* phenomenon were reviewed. Chapter 3 presents the framework for the research methodology employed in this study.

Chapter 3

My basic idea of leadership is this: leadership is a matter of how to be, not how to do.

Frances Hesselbein (2002)

Methodology

Introduction

      A fundamental feature of this study is to examine the "lived experiences" of individuals perceived as transcendent leaders within a healthcare context and, in turn, seeks to elucidate the key characteristics exhibited by those individuals. By juxtaposing identified leadership characteristics of the study participants with those attributes generally associated with the transactional-transformational paradigm, fundamental or nuanced differences may present themselves. If discernable characteristic anomalies are noted, these attributes can then be triangulated with proffered propositions in the literature concerning a *transcending* leadership construct (Aldon, 1998; Cardona, 2000; Crossan, et al., 2002; and Larkin, 1994). Speculation may then be made as to the reasonableness of the construct as an iterative extension to the full range of leadership model (Bass and Avolio, 1994). Such an investigation warrants a qualitative approach using a phenomenological strategy of inquiry. The goal of phenomenological research is to reveal or extend significant new knowledge of human experiences through a participative methodology (Moustakas, 1994). The findings of phenomenological studies reflect the "thoughts, feelings, examples, ideas, and situations that portray what comprises an experience" (p. 47) and provides a foundation for reflection and further research.

This study seeks to describe the proffered construct of transcending leadership as phenomenology. Leadership theory has demonstrated the propensity to evolve over time in response to various contextual factors and influences. Over the past 150 years, leadership paradigms have mutated through five families of leadership theory spawning various branches, or constructs. Arguably, each new construct has contributed to a richer understanding of the leadership phenomenon and the effect it has upon interpersonal and intrapersonal relationships. The proposed new construct of *transcending leadership* seeks to contribute to the iterative nature of leadership theory and in doing so extend significantly our understanding of the human experience.

This chapter presents an overview and rationale for a phenomenological-qualitative research design. Data collection strategies, *explicitation* (i.e., data analysis), interpretative protocols, and the role of the researcher are also discussed.

Strategy of Inquiry

Creswell (2003) identifies three normative approaches to research design: quantitative, qualitative, and mixed methods. He notes that the quantitative approach is one in which the investigator uses post-positivist claims for developing knowledge, employs strategies such as experiments and surveys, and collects data on predetermined surveys. A qualitative approach is one in which the investigator relies upon constructivist perspectives of individual experiences and uses strategies of inquiry such as narratives, phenomenologies, ethnographies, grounded theory studies, or case studies. Finally, the mixed methods approach involves data collection and gathering of numeric information, as well as narrative information (pp. 18-20).

A phenomenological approach has certain characteristic advantages for the purposes of this study. Phenomenological research provides an experiential and qualitative disclosure of the phenomena as perceived by the research participant (Van Kaam, 1966). Moustakas (1994) describes it as "a return to experience in order to obtain comprehensive descriptions that provide the basis for a reflective structural analysis that portrays the essences of the experiences" (p. 13). As noted by Rossman and Rallis (1998), qualitative research takes place in the natural setting of the individuals studied, it uses multiple methods that involve interaction between the researcher and subjects, it is emergent rather than tightly prefigured, it is fundamentally interpretive, and the qualitative researcher views social phenomena holistically.

This study utilizes the oral descriptions of the leadership experience by study participants and corroborators as a means of reflecting upon the central questions of the research:

R1. What are the key characteristics of healthcare professionals who are perceived to be transcendent leaders?

R2. Do the key characteristics evidenced by healthcare professionals, perceived as transcendent leaders, differ from those of transactional and transformational leaders as stipulated by Burns (1978) transactional-transforming paradigm and Bass and Avolio's (1994) full range of leadership model?

R3. Is it reasonable to propose a transcending leadership construct?

The relative dearth of literature and rigorous inquiry on the phenomenon of transcending leadership has stifled any definitive response to these questions and, as such, this study potentially represents a new body of knowledge.

Research Design

Researcher's Role

Mertens (2003) notes that the qualitative researcher systematically reflects on who he or she is in the inquiry and is sensitive to his or her personal biography and how it shapes the study. This introspection and acknowledgement of biases, values, and interests typifies qualitative research (In Creswell, 2003, p. 182). Likewise, the investigator's contribution to the research setting can be eminently valuable, rather than detrimental (Locke et al., 2000). My own experiences as a healthcare executive extend from 1973 to the present. During those years, I have observed and worked closely with a select number of individuals I would tacitly identify as evidencing transcending leadership behaviors, given the tentative definition proffered in Chapter 1. These individuals possessed remarkable abilities in motivating their collaborators to reach extraordinary standards of performance and, further, they inspired colleagues to be of service to individuals and causes beyond the boundaries of the organization in which they were a part. These notable characteristics were obvious and compelling as seen from the collaborator perspective.

Given my past health management experiences, I acknowledge the potential of certain biases in this study. As part of the data collection and analysis procedures, every effort was made to ensure objectivity, including the phenomenological techniques of epoche and bracketing (Patton, 1990, p. 407). A *reflexive methodology* suggested by Alversson and Sköldberg (2000) was also made part of the research methodology as a means of enhancing the internal trustworthiness of the study. These techniques are more fully disclosed in the data analysis section of this chapter. Findlay and Li (1999) assert

that the theoretical position a researcher holds about the nature of existence (ontology)

and the philosophies of knowledge that he or she embraces (epistemology) are

inextricably related to the methods adopted in the pursuit of knowledge. As such,

particular care was given in the design of the research methodology employed in this

study.

Selection of Participants

In keeping with Creswell's (1998) assertion that a phenomenological study

include "interviews with up to ten people" (pp. 65 & 113) and Boyd's (2001) claim that

two to ten research subjects are sufficient to reach *saturation*, this study incorporates a

sampling of fourteen participant healthcare leaders identified by expert nominators from

across the United States. The nominations were based on the tacit definition of

transcending leadership presented in Chapter 1. Additionally, two individuals chosen by

the researcher were identified to participate in a preliminary pilot study. The expert

nominators were the chief executive officers of State Hospital Associations (n=45) and

State Medical Societies (n=49). The chief executives of State Hospital Associations and

Medical Societies are considered to be intimately familiar with healthcare leaders within

their membership who would potentially exemplify the proffered definition of a

transcendent leader (See Appendix E: Expert Nominator Solicitation Letter).

In total, 126 transcendent leader nominations were received, representing 21

states. After soliciting their interest and consent to participate in the study, (Appendix F:

Transcendent Leader (Nominee) Solicitation Letter), 82 perceived transcendent

healthcare leaders ultimately affirmed their willingness to be part of the final research.

The first seven nominated physician-leaders and seven hospital/health system leaders

who confirmed their willingness to be part of the study by agreeing to the terms set forth

in the "Consent to Participate Form" (Appendix G) were deemed study participants. A

biographical and organizational synopsis of each participant is offered in Appendix H

(Study Participant Background and Organizational Context). The involvement of the two

pilot study participants was limited to assisting the researcher to practice using the

interview guides. Their comments and responses to the interview questions were not

made part of the final research findings.

This study utilizes a relatively small, non-representative sampling of healthcare

leaders in the United States and nonsystematic data gathering techniques involving

retrospective self-reports obtained in semi-structured interviews. Corroborative data,

involving reports from others who were professionally familiar with the study

participants, were intended to add to the credibility of the qualitative (phenomenological)

study (Chemers, 1997, p. 82).

In order to satisfy the need to corroborate the self-reported experiences of the

study participants, the expert nominators were also included in a *telephone interview*

regimen. Where available, a review of available personal writings and other documents

from study participants were examined as a further corroborative device (Table 12:

Relationship of research methods to data collection).

<u>Data Collection</u>

Bogdan and Biklen (1992) suggest four data collection types for qualitative

research. These include direct observations, interviews, document review, and use of

audiovisual materials. Interviewing has the advantage of use when participants cannot be

observed directly. Alternatively, its limitations include the fact that not all individuals are

equally articulate in telephone interviews and the researcher does not interact personally with participants in their natural settings, which could serve to limit the rich depiction of data collected. However, corroborating interviews, personal writings, organizational reports, and other written materials served as a method to obviate these shortcomings. A telephone interview data collection method appeared to be most reasonable, due to geographic distances between the principal investigator and the study participants and expert nominators (corroborators).

The study participant interviews and corroborator interviews lasted between 60 and 90 minutes each, following the broad themes set forth in the "Interview Guide for Nominated Transcendent Leaders" (Appendix I) and "Corroborator Interview Guide" (Appendix J).

Table 12

Relationship of Research Methods to Data Collection

Data Collected	Nominated Transcendent Leader Interview	Nominator/Corroborator Interview	Documents Review (Where available)
Personal / organizational background	P	S	N/A
Core values	P	P	N/A
Existential/spiritual beliefs	P	A	N/A
Career accomplishments	P	S	N/A
Life experiences that have effected collaboration techniques	P	S	N/A
Essential leadership traits	P	P	N/A
Essential leadership behaviors	P	P	N/A
Motivation techniques	P	P	N/A
Examples of admired leaders	P	S	N/A
Leadership style	P	S	S
Collaborator values, needs, etc.	P	S	N/A
Essential leadership characteristics	P	P	N/A
Creation of morally based goals	P	S	N/A
Leadership as a means toward establishing broader social values or moral purposes	P	P	S

(Note: P = primary source; S = secondary source).

The study participants and corroborator interview guides consisted of 14 and 15, respectively, open-ended, semi-structured research questions designed to draw each respondent into a narrative dialogue, or *story-telling* experience, concerning their lived experiences as leaders in the healthcare community. Although interview guides were used as the framework of discussion, care was given to allow the dialogue to follow and explore emergent themes beyond the boundaries of the guide. This process is consistent with the phenomenological approach and its aspiration to examine the lived experiences of research subjects.

The sequence of interviews – study participant followed by corroborator – was intended to establish an ethnographic understanding of the study participants as seen through the eyes and experiences of the corroborating nominator. This process enriched the interview process and suggested emergent aspects about the study participant, which may not have surfaced otherwise. Throughout the interviews, restatement and alternative questioning techniques were used to clarify responses.

Each of the interviews was tape-recorded and transcriptions were then prepared for preliminary analysis of significant statements (clusters and categories), and the generation of meaning units (themes and invariant themes). Summaries of the interview themes were then forwarded to each study participant for member check purposes. Any corrections or amendments made by the study participants were incorporated into a final summary.

Pilot Study

As noted in the "Selection of Participants" section, a pilot study was undertaken. The purpose of the pilot study was to determine the relative value of the questions posed in the study participant interview guide, to practice using the guide, and to become comfortable with the techniques of the interpretive approach to qualitative interviewing (Rubin and Rubin, 1995). The pilot study participants were purposefully selected to reflect the professional backgrounds of the targeted study participants; that is, a physician-leader, and a hospital/health system leader. The initial interview and preliminary analysis phases of the pilot study allowed the researcher to practice the data analysis techniques of epoche, bracketing, and related methods more fully discussed in the data analysis and interpretation section of this chapter.

Each of the pilot study interviews were conducted prior to the start of the main body of interviews. Critical comments and suggestions for improvements to the interview guide and the interpretive approach were solicited of the pilot study participants.

Data Analysis and Interpretation

Psathas (1973) asserts that, "Phenomenological inquiry begins with silence" (In Bogdan and Biklen, 1992, p. 34). This silence is an attempt to grasp what it is that is being studied. "What phenomenologists emphasize then is the subjective aspect of people's behavior. They attempt to gain entry into the conceptual work of their subjects" (p. 34). Creswell (1998) notes that "phenomenological data analysis proceeds through the methodology of reduction, the analysis of specific statements and themes, and a

search for all possible meanings" (p. 52). Creswell explains the qualitative approach to study design:

> The process of data analysis involves making sense out of text and image
>
> data. It involves preparing the data for analysis, conducting different
>
> analyses, moving deeper and deeper into understanding the data,
>
> representing the data, and making an interpretation of the larger meaning
>
> of the data. (Creswell, 2003, p. 190)

Two approaches of data analysis and interpretation were considered for this study. The first is a methodology described by Patton (1990) involving the aspects of epoche, bracketing, horizontalization, identification of invariant themes, and structural synthesis. The second alternative approach considered was one posited by Creswell (2003), which involves six steps – organizing data, reading through the data to gain a general sense of its overall meaning, coding the data, describing categories or themes, advancing how the description or themes will be represented, and making an interpretation of the data (pp. 191-204). The data analysis methodology employed in this study was intended to incorporate certain aspects of each approach, specifically:

1. *Epoche*: Eliminating a researcher's personal bias prior to the start of a research study is a fundamental prerequisite for trustworthiness within a phenomenological study. Epoche is a "phenomenological attitude shift" intended to remove, as much as possible, researcher bias toward the subject matter (Patton, 1990, p. 407). To that end, I attempted to suspend any preconceived notions that I had of transcendent leader behavior, as identified in the Researcher's Role section of this chapter.

2. *Bracketing*: Bracketing involves a conscious awareness on the part of the researcher to maintain an open and trustworthy attitude during the actual interview, data collection, analysis, and interpretation phases. "In bracketing, the subject matter is confronted, as much as possible on its own terms" (Patton, 1990, p. 407). This was accomplished by attending to the notion set forth by Psathas (1973): "Phenomenological inquiry begins with silence" (In Bogdan and Biklen, 1992, p. 34). That is, I attempted to listen first to the subject and accepted his or her opinions and comments as presented.

3. *Organize and prepare the data for analysis* (Creswell, 2003, p. 191): Hyener (1999) calls upon the researcher to listen repeatedly to the taped recording of each study participant in order to become intimately familiar with the *voice* of the interviewer. Zinker (1978) reminds the reader that the term "phenomenology" implies a process, emphasizing the *gestalt*, or holistic sense, the research participant experiences. Greenwald (2004) adds, "the here and now dimensions of those personal experiences gives phenomena existential immediacy" (p. 18).

Upon completing each interview in this study, the audiotapes were immediately transcribed, repeatedly listened to, and the process of analyzing the data for "meaningful clusters" (Patton, 1990, p. 408) or "chunks" (Rossman & Rallis, 1998, p. 171) was begun.

4. *Identification of themes:* Qualitative software (i.e., QSR N6-NUD*IST; Non-numerical Unstructured Data Indexing Searching and Theorizing) was used to *content code* the study participant transcriptions and to analyze the emergent patterns and themes. Twelve *"parent nodes"*, reflecting 12 *categories of data*, were created by coding the transcript data for each interview question. The transcript data for each of the study

participant responses was then examined to extract all variables noted. These variables were compared across all 14 participating leader responses in each category of data as a means of identifying discrete variables; that is, variables which when combined were considered to be unique unto themselves. For example, in the category of data concerned with essential leader behavior, the stated variables of "shows humility in his actions" and "is humble" were determined to have a common meaning and therefore grouped together as the discrete variable termed "humility". Unique variables were interpretively grouped by the researcher into categorical themes – or "*child nodes*" – within the qualitative software.

This stage of the data analysis suggests an iterative process, in that categorical themes of the interview data from each of the study participant transcripts were regrouped and organized until a few *significant themes* remained. Once a summary for each category of data was completed, all twelve summaries, reflecting the responses of the 14 study participants, were juxtaposed and analyzed to determine any broad patterns or *invariant themes* (Patton, 1990, p. 408) which could inform the three research questions pertinent to this study. The researcher looks "for the themes common to most of all of the interviews, as well as the individual variations" (Hyener, 1995, p. 154) while judicious thought is given to avoiding the clustering of themes if significant differences exist. However, unique or minority views expressed by the study participants were considered valued counterpoints (Groenewald, 2004, p. 21) and served to further enrich the findings presented in Chapter 4.

5. *Interpret the meaning of the data:* Consistent with Patton's (1990) structural-synthesis phase (p. 409), Creswell (2003) suggests a final step in data analysis, which

involves interpretation of the relational themes (p. 194). During this final step in data

analysis and interpretation, the invariant themes distilled from the study participants were

consolidated and synthesized to discern the rich meanings shared by all respondents. It is

here that the researcher "transforms participants everyday expressions into expressions

appropriate to the scientific discourse supporting the research" (Sadala and Adorno,

2001, p. 289). Coffey and Atkinson (1996) underscore that "good research is not

generated by rigorous data alone …[but] "going beyond" the data to develop ideas" (p.

139). Generalizations or initial theorizing, however modest, is borne from the qualitative

data (Groenewald, 2004, p. 21). The data collection and data analysis processes

employed in this study were judiciously reviewed to confirm the logic of the procedural

steps. This procedural review included: how "meaningful clusters", or categories of data,

were crafted from conversations with the research subjects, how the data was organized

and themes identified within each of the categories, methods used to identify inter and

intraindividual significant or invariant themes, and, finally, the approach enlisted to

articulate a broad essence description across all categories of data and participants.

Table 13 illustrates the methodological framework employed in this study. The

approach is inductive and consistent with qualitative-phenomenological research.

Table 13

The research methodology employed in this study of perceived transcendent leaders.

Pre-Data Collection Phase	Data Collection Phase	Post-Data Collection Phase
• *Epoche:* prior to data collection, the researcher attempted to suspend preconceived notions pertaining to the focus of the study (i.e., transcending leadership). • *Reflexivity*: utilizing a qualified mentor, the researcher consciously reflected upon the assumptions, biases, and perspectives of the varied components of the research and the interrelationships between them.	• *Bracketing:* the researcher remained consciously aware to maintain an open & trustworthy attitude at the start of data collection. • Researcher asked open-ended questions of study participants & corroborators. • Researcher content coded & then analyzed 12 *categories of data* using qualitative software (i.e., QSR N6-NUD*IST). • Emergent *themes* were identified from among the categories of data. • Significant or *invariant themes*, from across each category, were noted. • Minority or *discrepant themes* were considered as part of the larger "gestalt" prior to *interpretation* of the data. • The rich meanings, or *essence description,* of the leadership experience as evidenced by the study participants suggested certain generalizations.	• *Member Checking*: each study participant was provided a summary of his or her interview for correction(s), modification, or clarification. • *Triangulation:* variances identified between the leadership experience of the study participants & the extant transactional-transformational paradigm were juxtaposed w/nascent propositions on the phenomenon of transcending leadership. • *Peer Examination:* two qualified peers of the researcher examined both the data collection & interpretation methodologies of the study for trustworthiness. • *Expert External Examiner*: an external examiner reviewed & commented on the *coherency* of the research design & prospective value of the results to the body of knowledge.

Ensuring Trustworthiness and Credibility

In order to enhance the credibility of qualitative data using a phenomenological strategy of inquiry, a number of methods can be employed including triangulation, member checking, and peer debriefing (Creswell, 2003). Alvesson and Sköldberg (2000) ascribe to qualitative research the additional requirement of researcher reflexivity. Reflexivity involves self-inquiry and an examination of the assumptions guiding the research. To ensure trustworthiness in this study of the lived experiences of perceived transcendent healthcare leaders, the following strategies were employed:

1. *Triangulation:* Denzin and Lincoln (2000) note the usefulness of triangulating data from a variety of sources and techniques as a means of building credibility for the research findings. Prestera (2004) notes that, "triangulation can be used not only with data collection techniques and data sources, but also with the investigators and theories (exploring the data through the lens of multiple theories and perspectives)" (p. 3). In this study, extant literature on the key characteristics of transformational and transactional leadership theory are compared to the invariant themes and essence descriptions generated by the study participants and their corroborators. Similarities and distinct differences were then noted and juxtaposed to the propositions put forth in the review of the literature concerning the transcending leadership phenomenon. Figure 11 illustrates the triangulation methodology employed in this study.
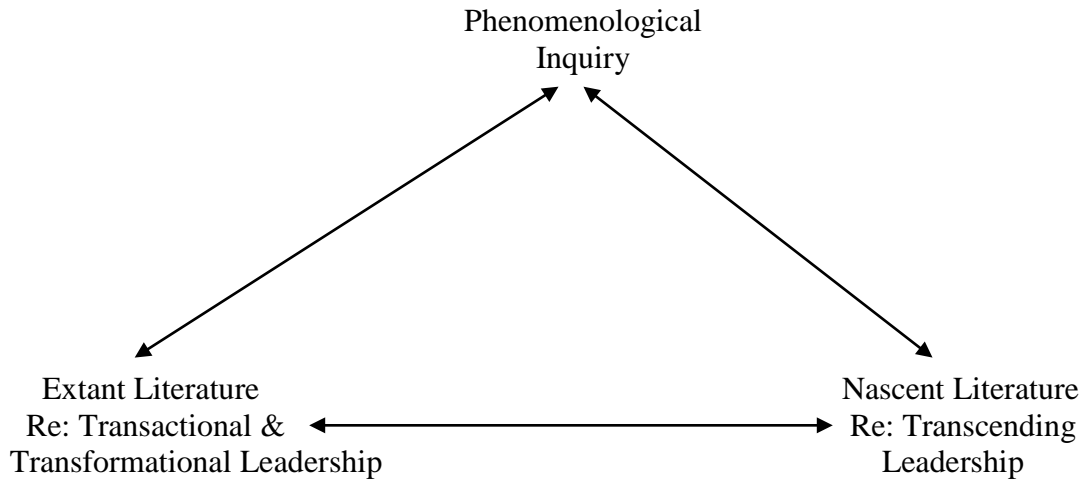
Phenomenological
Inquiry

Extant Literature
Re: Transactional &
Transformational Leadership

Nascent Literature
Re: Transcending
Leadership

Figure 11. Triangulation of extant transactional-transformational theory and proffered

transcending leadership propositions with results of phenomenological inquiry.

2. *Member Checking:* A further method of enhancing the credibility of qualitative

research is to have study participants review the researchers interpretations of their

comments. This allows the study participant to clarify and, if needed, revise their earlier

statements. In this study, each participant received an interpretive summary of their

comments as presented during the interview process. Opportunity was offered to each

study participant to clarify or modify these interpretations prior to beginning the analysis

of data.

3. *Peer Examination:* Whereas member checking involves participants reviewing

the research's work, peer examination involves fellow researchers reviewing the work of

the researcher. This serves as another method toward improving the credibility and

quality of the research undertaken. This study incorporated two individuals, acting as

peer examiners, who had previously completed the requirements of the Doctorate of

Healthcare Administration within the Department of Health Administration & Policy at

the Medical University of South Carolina. These individuals were solicited to ask

probing questions concerning the research methodology and examined the findings of the research for reasonableness.

4. *Reflexivity:* Kabut-Zinn states that "inquiry doesn't mean looking for [predetermined] answers" (In Bentz and Shapiro, 1998, p. 39). As such, reflexivity involves identifying the "Interrelationships between the sets of [personal] assumptions, biases, and perspectives that underpin different facets of the research" (Weber, 2003, p. vi). Reflexive research underscores the need for honest researcher introspection concerning beliefs, which could be ultimately detrimental to the credibility of the research design, including the interpretation of data. Weber (2003) states:

> In short, when we try to understand the assumptions, biases, and
>
> perspectives that underlie one component of our research…we are being
>
> *reflective.* Insofar as we try to understand the assumptions, biases, and
>
> perspectives that underlie *all* components of our research and, in particular,
>
> the interrelationships among them, we are being *reflexive* (p. vi).

As a means of assuring an adequacy of reflexive consideration, the principle researcher of this study initiated a reflexive methodology suggested by Alvesson and Sköldberg (2000). This methodology involved the mindful awareness of four elements:

"1. *Systematics and techniques in research procedures:* There must be a logic in the way the researcher collects and interacts with the empirical material.

2. *Clarification of the primacy of interpretation*: The researcher acknowledges the primacy of interpretation, which implies that research cannot be disengaged from either theory or self-reflection.

3. *Awareness of the political-ideological character of research*: What is explored, and how it is explored, cannot but support or challenge some values and interests in the society. The political and ideological aspects of research must therefore be acknowledged.

4. *Reflection in relation to the problem of representation and authority:* There are problems of representation and authority connected to any research … and the relationships between [researcher and study participants] and the world need to be examined."   (In Stige, 2002, p. 5).

Alvesson and Sköldberg (2000) assert that reflexivity in qualitative research involves the search for a balance among these four perspectives.

To ensure that an acceptable balance between the perspectives suggested by Alversson and Sköldberg were achieved in this study, Thomas Kent, Ph.D., Assistant Professor of Management at the College of Charleston (SC), served as my reflexivity mentor. Dr. Kent brought to this study a substantial background in leadership scholarship and proved invaluable in considering the logic of my methodology and the primacy of allowing data interpretation to reflect the "voice" of the study participant and not my own (Appendix K: Reflexivity Mentor Interview Guide).

5. *Expert External Examiner:* As distinct from the peer examiner, the external examiner offers an overall "assessment of the research project [either] throughout the process of research, or at the conclusion of the study" (Creswell, 2003, p. 197). The expert examiner contributes to the "trustworthiness", "authenticity", and "credibility" of the research topic (p. 196) by reviewing the research project for coherency in design and speculates on the studies overall prospective contribution to the body of knowledge.

Noted leadership theory scholar and author, Gilbert W. Fairholm, DPA, Emeritus

Professor at Virginia Commonwealth University, served as the expert external examiner

for this study (Appendix L: Expert External Examiner's Report). The insight and

suggestions offered by Dr. Fairholm were uniquely valuable in considering the

leadership phenomenon being studied.

Study Limitations

This study may have several limitations. First, although corroborators are an

integral part of the research design, the individuals serving in this capacity were also the

nominators of the transcendent leader study participants. This may have produced a

favorably biased opinion of the study participant by the corroborator. A more validating

dimension to the research design would involve seeking corroborative testimony from a

number of individuals working both as peers, subordinates, and superordinates of the

nominated study participant. However, logistics involving the geographic disparities and

schedules between study participants and additional corroborators precluded this,

warranting a more comprehensive approach in any future study design. Secondly, this

study involved only individuals who hold key executive roles within their respective

work group or organization. This precluded the study of individuals among the strata of

employees who might also be perceived as transcendent in their leadership behaviors.

Third, the individuals who acted as study participants were those who agreed to engage

in the research. Others, who were nominated and chose not to participate, may have

expressed significantly divergent themes and opinions. Fourth, the applicability of the

significant themes and essences of a transcending leadership construct derived in this

study may have limited applicability outside of the sample of study participants since a

normative definition of transcending leadership (transcendent leaders) has yet to be fully

established in the literature. Fifth, the research design relies on the use of telephone

interviews as the principal data collection type. A more rich depiction of the

phenomenon, as seen through the experiences of the study participants, would involve a

face-to-face data collection protocol within the study participant's natural environment.

<u>Protection of Human Subjects</u>

On February 14, 2003, an Exempt Research/Quality Assessment Review

Application was submitted to the Medical University of South Carolina (MUSC)

Institutional Review Board (IRB) for approval to proceed with this research study

(Appendix K). The investigator was notified by electronic mail on February 19, 2003,

that the application to conduct "A Phenomenological Study of Transcendent Leaders in

Healthcare" was approved.

<u>Conclusion</u>

Chapter 3 presented the theoretical framework for the research methodology and

design used in this study of transcending leadership and transcendent leaders. Due to the

emerging nature of this phenomenon, no stipulated definition yet exists and, therefore,

the integration of Burns' 1978 meager commentary on transcending leadership coupled

with his assertions on moral leadership was proffered as the basis from which to examine

the lived experiences of perceived transcendent healthcare leaders. Fourteen study

participants with a corresponding number of corroborating interviewees from 12

geographically diverse states made up the study. A data analysis and interpretation

process incorporating methodologies suggested by Patton (1990) and Creswell (2003)

were utilized as a means of identifying invariant themes evidenced by the study

participants. A reflexivity methodology was employed to explore and bracket researcher bias, while methods utilized to enhance credibility and trustworthiness of the findings included the strategies of triangulation, member checking, the use of peer examiners, and the engagement of an expert external examiner.

A descriptive examination of the leadership experience as evidenced in the lives of the study participants is presented in Chapter 4.

Chapter 4

Here is a very partial list of new metaphors to describe leaders: gardeners, midwives,

stewards, servants, missionaries, facilitators, conveners. Although each takes a slightly

different approach, they all name a new posture for leaders, a stance that relies on new

relationships with their networks of employees, stakeholders, and communities. No one

can hope to lead any organization by standing outside or ignoring the web of

relationships through which all work is accomplished.

Margaret Wheatley (1999)

Findings

Introduction

Chapter 4 is comprised of three sections. The first section presents findings,

drawn from 12 discrete categories of data, concerning emergent themes evidenced by

healthcare professionals who are perceived to be transcendent leaders. Key characteristics

and affiliated attributes among the study participants are presented. Section two compares

the leadership characteristics evidenced by the study participants with those attributes

broadly associated with the transactional-transformational paradigm. By describing the

leadership dynamic of the study participants discernable differences were noted between

the perceived transcendent leaders and the extant constructs of transactional and

transformational leadership. Noteworthy variances suggest certain descriptive factors

specific to the transcending phenomenon. Section three seeks to respond to the final

research question of this study, "Is it reasonable to propose a transcending leadership

construct?", by comparing the findings evidenced in research questions one and two with

propositions posited in the literature concerning transcending leadership. Viewing the

research findings through the lens of multiple theories and propositions presents an opportunity to speculate on the reasonableness of the transcending leadership phenomenon.

In reviewing the descriptive findings of this study, it is useful to consider the gestalt of the study participants. By examining the personal backgrounds of the participants, along with the organizational context in which they are imbedded, the reader is offered a rich understanding of the "lived experience" each healthcare leader presents. A cursory description of each study participant's personal and professional background, along with organizational context, is provided in Appendix H: Study Participant Background and Organizational Context.

In addition to the retrospective self-reports obtained through semi-structured interviews, corroborative information was sought from informed collaborators. Chemers (1997) notes that without confirming evidence, such as "observation of leader behavior, measures of productivity, or reports by subordinates [or others] (p. 82)", confidence in the study of the leadership phenomenon is suspect. The self-reports of the study participants (SP), herein presented, have therefore been vetted with the reports given by their respective nominating-corroborators (NC) and have been found congruent. Appendix N (Nominator-Corroborator Essence Descriptions of Perceived Transcendent Leaders) offers anecdotal commentary expressed by the nominating-corroborators. These rich depictions are intended to further illuminate the personal and leadership characteristics of their respective nominees.

Findings Regarding Research Question 1: "What are the key characteristics of healthcare professionals who are perceived to be transcendent leaders?"

The findings concerning research question 1 (R1) suggest that the perceived transcendent leaders in this study broadly evidence three key characteristics. These include: *"other"-interest*, a pronounced orientation to serve the legitimate needs and aspirations of others and broader social causes, without requite. This desire to serve transcends self-interest or mutuality of interests; *determined resolve,* a committed resolve to pursue goals intended to contribute to the well-being of others, of community, and of broader social purposes; and personal and social aptitudes broadly consistent with *emotional intelligence*, a pronounced capacity for recognizing and effectively managing one's feelings and relationships with others (Goleman, Boyatzis, & McKee, 2002). Table 14 (Summary findings concerning R1: "What are the key characteristics of healthcare professionals who are perceived to be transcendent leaders?") offers a summary of the findings associated with research question 1. A proffered definition of each characteristic, as gleaned from an interpretive analysis of the study participant responses, is offered along with affiliated attributes ascribed to each.

Table 14

Summary findings concerning R1: "What are the key characteristics of healthcare

professionals who are perceived to be transcendent leaders?"

Characteristic	Proffered Definition	Affiliated Attributes
"Other"-Interest	A pronounced orientation to serve the legitimate needs & aspirations of others & broader social causes without requite. This desire to serve transcends self-interest or mutuality of interest.	• Altruism: a consideration for others without thought of self. • Empathy: a genuine & heartfelt understanding of the feelings of others. • Benevolence: kindheartedness extending to beneficence on a social scale. • Demonstrates an ability to "listen deeply" to the needs & genuine aspirations of others. • Effectively communicates and personally evidences moral values and ethical behavior intended to advance the well being of others.
Determined Resolve	A committed resolve to pursue goals intended to contribute to the well-being of others, of community, and of broader social purposes.	• Exhibits a conviction and fidelity to moral principles & values. • Demonstrates passion toward accomplishing goals and purposes, which serve the needs of others. • Confronts inequity or injustice which demeans or denigrates others or groups. • Demonstrates focus in purpose & decisiveness in action. • Exhibits courage in articulating & acting upon ethical ideals.

Emotional Intelligence	A pronounced capacity for recognizing & effectively managing one's feelings & relationships with others (Goleman, et al. 2002).	• Discernment: an ability to discriminate ethically ambiguous circumstances or principles. • A capacity to "see things whole"; to envision the broader perspective or context of a situation, a social connection, or other dimension. • The capacity to act ethically regardless of perceived or real consequences to self. • Exhibits a capacity for self-reflection. • Exhibits humility. • Demonstrates honesty in words & actions. • Is flexible & adaptable in managing change. • Values self-improvement. • Maintains a positive attitude.

As a means of exploring the genesis of the findings associated with research question 1, a review of the significant *categories of data* elicited from the study participants is useful. The resulting *affiliated attributes* inform the aforementioned three key characteristics and further contribute to a broader understanding of the lived experiences of the study participants.

Category of Data #1: Personal Background and Organizational Context

A composite sketch of the nominated study participants reveals an individual-overwhelmingly male (n=12) – with an average age of 55.5 years. Each has been married for an average of 29.5 years (n=13) and has three children (n=14). The composite study participant has an advanced degree beyond the bachelors level (n=13) and is either the chief executive of his or her respective organization (n=13) or serves in a significant

leadership capacity (n=1). Organization types ranged from an individual family practice (n=1), group practice (n=2), large health system with a budget of $350M or more (n=5), moderate to small hospital system with a budget less than $350M (n=4), and, finally, state-government affiliated health oversight organizations (n=2).

A notable theme expressed by many of the study participants was the value ascribed to their "family life" and its importance in shaping their "professional lives". One study participant expressed this sentiment noting, "I have been married to my wife for 46 years. [We have] three children and three grandchildren. We have a family dinner of four generations every Sunday. That's the prize of it [my professional and personal success]" (SP4). Another stated,

My background is Cuban American, my parents were Cuban refugees,

they're both passed away, and I'm the oldest of eight kids. I'm married and

have five children of my own and am titular head of my large extended

family. Family is everything and then comes the work. (SP5)

A third participating leader added, "We're a very close family, that's been great. I couldn't have asked for anything more in my family. It's always been the first priority, despite the demands of my job" (SP6).

When asked about their hobbies or avocational interests, many of the study participants mentioned reading biographies, travel, and physical activities, such as golf, hiking, and exercise. This reference to the value of physical exercise in the lives of the study participants is summarized by one of the leaders:

I swim each morning; we [my wife and I] try to stay in good physical

shape. We do some kayaking, reading, and a lot of travel. You have to stay

in measurably good physical shape in this [healthcare] field. These are hard

jobs to do unless you have good fitness and stamina – both physical and

mental resilience. (SP12)

In general, the study participants credited a notably rich family life, and to a lesser degree, their

avocational interests in supporting their professional pursuits. One discrepant perspective was

that of a CEO of a large urban/suburban healthcare system. When asked, "What do you enjoy

doing outside of work?", he commented:

Well, there isn't much I do outside [of work] because I work pretty much

all the time. I don't take an awful lot of vacations. I wouldn't consider

myself a crazy workaholic, although some would define me as that. But, I

don't consider it as work; I just love what I do. (SP13)

In summary, the study participant's leaders were in their mid-50s, held

advanced degrees in medicine, healthcare administration or related fields, and

assumed senior leadership roles within a diversity of healthcare organizations.

They came from various regions of the United States and lead organizations in

rural, suburban, and urban settings. A significant theme that emerged among the

study participants was the degree to which the majority of leaders (n=12) voiced

the significance of a stable and rich "family life" as being integral to their

perceived success as leaders.

Several additional questions were posed to the study participants as a means of

gaining further insight into the essence of each individual and how contributing factors

impact the leadership dynamic. Inquiry into each participant's core personal values and

existential/spiritual beliefs contributed to a greater understanding of the essence that defines these healthcare leaders.

Category of Data #2: Core Values

Several scholars have contributed to the discourse on the praxis of individual values and the leadership phenomenon (Bean, 1993; Bennis & Nanus, 1997; Blanchard & Peale, 1998; Clawson, 1999; Covey, 1991; Deal & Kennedy, 1982; England & Lee, 1974; Finkelstein & Hambrick, 1996; Huey, 1994; Hunt, Woods & Chonko, 1989; Kennedy, 1982; Kilcourse, 1994; Kluckhohn, (1951); Kouzes & Posner, 1993; Kuczmarski & Kuczmarski, 1995; Massey, 1979; and Russell, 2000). Rokeach (1979) suggested that individual values are "socially shared conceptions of the desirable." (p. 48). That is, values serve as a set of beliefs that help govern our actions and our expectations of those individuals and institutions with whom we share our social milieu. Hunt, Woods, and Chonko (1989) asserted that "values help define the core of people. They help explain why people make sacrifices and what they are willing to give up to attain goals" (p. 80). Rokeach (1979) noted that,

> Values serve as standards that we learn to employ transcendentally across objects and situations in various ways: to guide action; to guide us to the positions that we take on various social, ideological, political, and religious issues; to guide self-presentations and impression management; to evaluate and judge ourselves and others by; to compare ourselves with others, not only with respect to competence, but also with respect to morality. (p. 48)

Burns (1978) would posit a framework of values: *modal values* as modes of behavior (e.g., honesty, responsibility, courage, fairness to others, etc.) and *end values* as goals and standards (e.g., social equity, justice, human rights, etc.) which, when evidenced in the actions of a leader, contributed to "higher stages of moral development" (p. 429) in the leader, followers, and the broader society.

> Personal values are internalized so deeply that they define personality and behavior as well as consciously and unconsciously held attitudes. They become an expression of both *conscience* and *consciousness*. Hence, holders of values will often follow the dictates of those values in the absence of incentives, sanctions, or even witnesses… (p. 75)

Given that Burns (1978) and notable others have averred the importance of core personal values as defining variables in understanding both leaders and the leadership phenomenon, each study participant was asked, "What are your core personal values…what do you stand for; what do you hold most dear; what directs your actions?" These questions elicited a broad range of responses. In total, 19 separate values were cited by the participant leaders. These 19 core values were conflated into 7 broad themes representing 3 modal, or behavioral values (i.e., respect for family and community, honesty and truthfulness, and doing the right thing); 3 end values, representing desired goals (i.e., fulfillment of personal/professional obligations, personal integrity, fair treatment and equity toward others); and one value (i.e., service to others) which is construed as a *unified value* in that it evidences both a behavior and desirable social conception. Table 15 summarizes the thematic responses in order of frequency.

Table 15

Thematic responses of study participants re: Core Values

Core Values	Value Type	# of Times Mentioned
Respect for family & community	Modal Value	9
Service to others	End Value/Modal Value	8
Honesty & truthfulness	Modal Value	7
"Doing the right thing"	Modal Value	7
Fulfillment of personal/professional obligations	End Value	6
Personal integrity	End Value	5
Fair treatment & Equity toward others	End Vale	5

The most frequently noted core value theme was "respect for family and

community". Respondents described this value in various ways:

"I have made statements to people that you should be true to … your family and

community. [Your family] and your community is very, very, important and you should

put those values and those relationships above your career" (SP7).

"Family is THE value. It would have been hard to not have a job that fit with my

family's life" (SP6).

I think my mother served me well as a strong leady She always said

whatever you are doing, whatever it is – playing, school, work,

whatever, do it the very best you can, do it well. But one other

statement she added…she said, "whatever you participate in, whether

it's long or short, make it better than when you came." And so my

mother and my family have been instrumental to me in articulating my

own core values. (SP2)

Secondary to a pronounced affinity for "family and community" the participant

leaders identified the unified end value/modal value of "service to others" as the most

cited core value. This value was expressed in various terms, yet evidenced the earnest

desire to actively contribute to the well-being of others. One individual noted,

My core values? Obviously my family is going to be up at the top…and

also a strong value of giving back [to the community]. Having grown up

in the 60s, it would be hard not to be touched by that era and [the

importance of] making a difference and giving back. And I think

healthcare appealed to me because of that. Those are some of the values

that I think I stand for…family and service to others and community.

(SP12)

Study participant 1 further exemplified this sentiment,

I think service [to others] is number one. From childhood, probably

because of my grandfather's influence, service has been pounded home

to me by my father, along with his brothers and sisters. We had a huge

extended family and we would get together on holidays and there were

always a couple of ministers in the family and almost everybody, one

way or another, was involved in a social service…it was always placed in

front of me as a young man that there was not a better position in life

than to be of service to your fellow man. (SP1)

The responses elicited from the study participants suggested that the wellspring

from which their core values were shaped began early in life and were influenced by a

variety of factors, such as family history, cultural background, the influence of key

mentors and related factors. This perspective is consistent with a body of previous

research. Massey (1979) suggested that personal values are shaped through inter and

intrapersonal influences such as family, friends, religious beliefs, education, cultural

background, and seminal social events. Kuczmarski and Kuczmarski (1995) would further

refine this assertion in specifying four factors, which instigate value formation: family and

childhood experiences, conflict events that evoke self-discovery, major life changes and

experiences, and personal relationships with important individuals. Finkelstein and

Hambrick (1996), attempting to add further clarity to this thread of reasoning, suggested

that personal values are shaped within a social context; therefore, they may be influenced

by cultural forces, social organizations, and family. Stipulating that familial, cultural,

experiential, and the influences derived from significant others or institutions are apposite

in shaping a leader's core values, Russell (2000) stated:

> Values significantly impact leadership. Personal values affect moral
>
> reasoning, behavior, and leadership style. Values also profoundly
>
> influence personal and organizational decision-making. The values of
>
> leaders ultimately permeate the organizations they lead, shaping the
>
> culture through modeling important values. Ultimately, values serve as
>
> the foundational essence of leadership. (p. 64)

A reflection on the core personal values of the study participants – their

"conscience and consciousness" (Burns, 1978, p. 75) if you will – along with contextual

information on each of their personal and leadership backgrounds adds to a growing

insight as to the nature of each individual. A further perspective that may contribute to an

understanding of the participant's leadership experience is the degree, if any, to which

each attributes a spiritual or existential motive to their work as a healthcare leader.

Category of Data #3: Spiritual/Existential Influence(s)

Associating individual spirituality with the leadership phenomenon has elicited

the interest of a growing number of scholars. Hall (1984) attributed, "leadership

development with spiritual maturity, suggesting that highly developed leaders are those

who view the world as a sacred mystery" (In Marinoble, 1990, p.5). Ritscher (1986)

posited that genuine leadership acknowledges and nourishes the spiritual nature of

followers while Fairholm (1998) has suggested that a leader's spirituality is inextricably

linked with the values and behaviors they exhibit in the workplace. To add to the

discourse, Maslow (1999) asserted that, "the human being needs a framework of values, a

philosophy of life, a religion, or religious surrogate to live by and understand by, in about

the same sense that he or she needs sunlight, calcium, or love" (p. 226). Therefore in

order to peer further into the lived experiences of the study participants, it is useful to

consider their spiritual or existential beliefs in context to their work as healthcare leaders.

When viewed in their entirety, the study participant responses did not suggest any

discernable theme or proclivity advancing the notion of a meaningful correlation between

the leadership phenomenon and a leader's sense of personal spirituality. Among the

fourteen respondents, four (n=4) of the leaders felt their spiritual beliefs were a defining

influence in both their personal lives and leadership roles (SP2, SP7, SP9, and SP10); six

respondents (n=6) expressed only a moderate affinity to spiritual or existential beliefs

(SP1, SP3, SP5, SP6, SP8, and SP10); while four study participants (n=4) did not

personally identify themselves as having an influential spiritual conviction (SP4, SP11,

SP12, and SP13). Table 16 summarizes the responses of the participant leaders as to the

degree each purported to be influenced in their work as healthcare leaders by spiritual or

existential beliefs.

Table 16

Influence of spiritual/existential beliefs on the work lives of perceived transcendent

leaders.

Degree of Influence	Study Participants	Physician Leaders	Health System Leaders	Total
Defining Influence	SP2, SP7, SP9, SP10	2	2	4
Moderate Influence	SP1,SP3,SP5,SP6,SP8,SP14	4	2	6
Minor to No Influence	SP4, SP11, SP12, SP13	1	3	4

Reflecting the opinion that their spiritual beliefs had a significant correlation to

their work as healthcare leaders, the responses of SP9 and SP10 are informative. "My

values and my Christian faith are essential to who I am as an individual and that cannot

be separated from my work" (SP9). "After high school I spent nine years as a member of

a religious community as a Franciscan sister. God and prayer are very important to me. I

feel that's a part of my being" (SP10).

A more temperate association between their spiritual beliefs and work lives are exampled in the comments made by study participants 1 and 3. Study participant 1 noted,

>Well, I have an earnest belief in a higher authority, God. I'm also a scientist, a physician, who deals with the realities of life in sometimes stark terms. With that said, I suppose my beliefs integrate both the spiritual aspects of faith along with existential notions of man's role in the cosmos. Each inform the individual I am and therefore my role as a healthcare practitioner and leader, but they don't predetermine, nor overtly guide my actions. (SP1)

This moderate view is also advanced by study participant 3.

>I suppose it's defining in the sense of – I don't understand how a physician cannot believe in God. It seems quite impossible, having been a practicing physician for as long as I have and having seen so many things that I know I did not effect. So that's an underpinning, [but] it does not direct my day-to-day thinking. I would say being a woman effects my day-to-day thinking much more than my religion. (SP3)

In contrast to those respondents who noted that spirituality was a defining influence in their personal and professional lives, three study participants (n=3) were certain in their opinions that spirituality had marginal to no effect on their personal or work responsibilities. This sentiment is evidenced in the responses of two leaders, SP4 and SP13.

>I'm not religious; I'm secular. My thinking is more closely aligned with existential thought. I believe there are forces within the universe, which

create wonderful, and unique symmetry and that we as a species are

continuing to grow and change. (SP4)

Study participant 13 added, "I'm not terribly involved in organized religion…I do think

you were put on their earth to make things better, but I'm not a spiritual person" (SP13).

Finally, one respondent (n=1) expressed angst and exasperation in confronting the

question of his spiritual or existential beliefs in stating, "I don't know what I believe! I

was raised Catholic through grade and high schools, but then it rubbed off." (SP11)

In summary, no significant or invariant themes concerning the spiritual or

existential beliefs of the study participants were noted. Their individual beliefs were

reasonably distributed among three stipulated degrees of influence (see Table 16).

Physician leaders and health system leaders were evenly divided among the four

respondents (n=4) who felt their spiritual beliefs were a defining influence on their work.

In contrast, only one physician leader (n=1), as opposed to three health system leaders

(n=3), noted that their spiritual/existential beliefs had little to no influence on their work.

A cursory insight into the study participant's personal background, the

organizational contexts in which they lead, core personal values, and finally the degree to

which each identifies and associates their spiritual or existential beliefs with their roles as

leaders establishes a useful foundation from which to examine the lives of perceived

transcendent leaders. Additional categories of data further this phenomenological inquiry

and suggest significant themes that inform research question 1 (R1) of this study.

Category of Data #4: Career Highlights Self-Reflection

When asked, "What are you most proud of in your career?", the participant

leaders offered responses, which could broadly be categorized within three general

themes: family, culture creation, and legacy. Table 17 (Career highlight themes of

perceived transcendent leaders) illustrates how participant comments were recorded.

Table 17

Career highlight themes of perceived transcendent leaders.

Career Highlight Themes	Study Participants	Physician Leaders	Health System Leaders	Total
Family	SP2, SP4, SP10, SP11	2	2	4
Culture creation	SP1, SP6, SP7, SP12	3	1	4
Legacy	SP3, SP5, SP8, SP9, SP13, SP14	2	4	6

"Family" themes were so recorded if the respondent specifically identified family

relations as their principal career highlight; even though this response may appear to be

only tangentially related to career. The comments noted by study participants 4, 10, and

11 were indicative of the four participant leaders (n=4) who noted "family" as their career

highlight. "Obviously, I'm most proud of my children, no question about it … far and

away that's the first. My husband and I have been lucky" (SP10). "[I'm] proud of my

family before anything else. I'm proud of the communication that I have with my wife

and kids" (SP11). Study participant 4 epitomized the essence of this theme in stating,

> I am most proud of my family. They are great people and we have fun
>
> together. I've seen many "great people" whose family life is in shambles,

and I feel sorry for them. I can talk a lot about things in life [I've

accomplished], but what is dearest to me is that we have a good family.

(SP4)

The second theme which emerged when questioning the study participants about a

moment, an action, or event which they felt most proud of in their careers, was the effect

they believed their leadership had on establishing or furthering a positive "culture" within

their organization. By culture, the respondents variously referred to the "atmosphere",

"ethical culture", "cultural values", and so forth. The responses provided by study

participants 6 and 12 serve to illustrate this sentiment.

I take great pride in [my organization] because it's a place that has

moved from a naïve idyllic little [medical] college that loved teaching

and all these great values to a fairly sophisticated business that still has

those cultural values. I feel I am as loyal to the founding values of this

place as were the first directors. (SP6)

They are not moments, or events, or programs that I started, although I

could list a lot of those, but I guess what I'm most proud of is the culture

that we've created. I would like to think that [my organization's] culture

is a very strong ethical culture noted for its quality and service to the

community. (SP12)

Finally a third theme, which emerged in response to this category of data was

mention of specific services or programs the healthcare leader introduced and believed

would establish a lasting "legacy" of care for others. Statements offered by study

participants 3, 8, and 13 are noted below as examples of this significant theme.

I guess I would change "proud of" to "most personally satisfied". I was part of a 12-year project rebuilding a medical curriculum at King Abdullah Medical School in Jetta, Saudi Arabia and establishing a dental school and making plans for a public health school there. I was sent as the leader of the project by my university [Tufts], which absolutely stunned the Saudi's because they never considered that anyone would send a woman to lead such a project. Learning how to politically navigate a very different culture, I think was personally the most satisfying project I have completed. (SP3)

Study participant 8 added to the "legacy" theme in noting,

We opened four rural health clinics, which gave access to healthcare to people that if you looked at the statistics, were just deplorable for – you know, the wealthiest country in the world. So maybe it's the health outcomes [I'm most proud of]. It's nice to be able to look back in your career and say you've left your thumbprint somewhere. (SP8)

Finally, a career event, which has resulted in a broad social benefit, was identified by participant leader 13:

What I was most proud of in [my career] was I was one of the architects of a managed children's healthcare program…The Childhealth Plus Program that became the model for the national CHIPS program. Looking at something tangible, that kids have gotten healthcare they otherwise wouldn't have got, it makes me feel good. At the end of the day, that's what it's all about. (SP13)

In summary, when each of the study participants was asked what they were most proud of in their career, three themes emerged; family success, establishing a positive organizational culture, and creating a lasting legacy. Each of these themes were reasonably divided among the fourteen study participants with creating a future legacy the most frequently mentioned (n=6). It is noteworthy, however, that a consideration for the primacy of "family" has been further evidenced augmenting the commentary expressed by the participants in earlier categories of data. Inquiry into the participant leader's career highlights gives rise to the retrospective influence that life experiences may have on their current view of leading and collaborating with others.

Category of Data #5: Influence of Life Experiences on Leadership and Collaboration

The experiential basis(es) from which the study participants have formed their fundamental beliefs and values concerning leadership and collaborative behavior serve as a further descriptive device in understanding the leadership experience of the respondents in this study. When asked, "How have your life experiences influenced your views on leadership and, in turn, how do you collaborate with others?", two driving influence themes and three collaborative behavior themes emerged. Driving influence themes, which were significant in shaping the respondents views on leadership included: family history experiences and work history experiences. Resultant behavior noted by the fourteen study participants were then analyzed and summarized as three collaborative behavior themes including: self-reflective action, empowering and involving followers, and committing to serving others and community. Table 18 summarizes the life experience driving influence themes and collaborative behavior themes noted by the study participants.

Table 18

Life experience drivers influencing leadership resultant collaborative behavior(s)

Driving Influence Themes / # of times noted	Collaborative Behavior Themes / # of times noted
Family history experiences (n=10)	• Self-reflective action (n=6)
	• Empowering and involving others (n=5)
Work history experiences (n=4)	• Committing to "serving" others & community (n=3)

Corroborating what has been evidenced in the categories of data reviewed thus far, the influences of a personal family history appears to have a significant impact upon the study participant's conception of leadership and their collaborative behaviors. Results noted in Table 18 (Life experience drivers influencing leadership and resultant collaborative behavior) indicate that, of the fourteen respondents, ten (n=10) noted that their past family experiences was the preeminent driver effecting their present sensibilities concerning leading and collaborating with others. This sentiment is most clearly expressed by participant leaders, SP5, SP10, and SP14.

> Watching my parents [as Cuban Americans]. They emphasized the value of looking at things from different perspectives, take the same thing and then look at it from someone else's perspective, or from outside yourself…I collaborate very effectively with people who have lots of confidence and who are capable in whatever capacity. If you don't have a lot of confidence or have an ulterior motive, then people have a lot of trouble dealing with me. (SP5)

Study participant 10 added:

> I believe we're all products of the road we've taken. I have five brothers
>
> – we grew up in a blue-collar family, so it was a family that was very
>
> tight. We didn't have a lot, but that begins to lay a foundation of [hard
>
> work]. We saw our parents work hard and I think that gave me a strong
>
> foundation. So, a foundation of hard work and a sense of spirituality was
>
> part and parcel of my [upbringing] and influences today how I view
>
> leadership and how I collaborate with people. (SP10)

Tangentially related to a personal family history, one respondent drew upon his family

heritage as a driving influence in shaping his leadership sensibilities. He noted, "My

Native American heritage has given me a platform to understand leadership. And so, I'm

heavily invested in work groups and teams" (SP14).

Study participant 9 epitomized the responses of the four responding leaders who

identified past work experiences as the primary driving influence effecting their views on

leadership and collaboration.

> My work over the years has taught me that leadership is removing the
>
> barriers so people can do their jobs and succeed, relating to workers as
>
> real people with their own human needs, and helping them grow as
>
> professionals and people. [Regarding collaboration], effective leadership
>
> has to be personal, as well as professional. All of us in this organization
>
> are caregivers to each other. (SP9)

Collaborative behavior themes which expressed themselves through family and

work history experiences included self-reflective action, empowering and involving

others, and committing to serving others and community. The former theme (i.e., self-reflective action) was graphically expressed by study participants 1 and 3. Study participant 1 noted,

> One of the first elements of leadership I recall was my uncle…he was enthusiastic and sincere and showed me that leadership is a multi-faceted thing and that you have to be sort of vulnerable. You have to have faith that what you're saying is going to be grasped by people if you just go at it hard enough. Everyone who wants to lead has got to project [their own] leadership qualities. And that projection is based on an understanding of yourself and what your strengths are – and it's got to be based on the <u>truth</u>; the truth of the message you're sending; the truth of what you're involved in doing. (SP1)

Recognizing personal foibles as a means of identifying opportunities for personal growth was expressed by study participant 3.

> Well, I guess in any leadership position that you find yourself in … you have to recognize what your weaknesses are and then make up [for them] by developing strengths. In every different position that you have, you will find a new set of weaknesses, either your own, or because of the structure, or political situation, or whatever, and I think the key to success in leading and collaborating is figuring out how to turn those weaknesses into strengths. (SP3)

The second behavioral theme identified, empowering and involving others as the foundation to collaboration, was noted by five respondents who variously described this

theme. Study participant 11 noted that he leads and collaborates with followers through a process of "collective team spirit, creating confidence within a group, and creating an atmosphere of fun".

The final collaborative behavioral theme which presented itself as a manifestation of the life experiences of the study participants was in personally committing to "serving" others and community. Study participant 4 captured the essence of this theme in stating,

The only thing constant throughout all of [my] forty years of work is my

commitment to serving my community. It's been an evolution. Whichever

community I'm in – be it Chinatown, my family, my extended family, my

patients, that commitment to be helpful and to work with people – to serve

people – to move forward. To serve the needs of others first is the best way

to collaborate. (SP4)

In summary, category of data 5 sought to describe how life experiences may have influenced the study participant's views on the phenomenon of leadership and collaboration. Two driving influential themes emerged; family history experiences (n=10) and work history experiences (n=4). In turn, three collaborative behavior themes presented themselves: self-reflective action, empowering and involving others, and committing to serving others and community. The significance of family history and its apparent influence on the leadership phenomenon – as evidenced in the lives of the participant leaders – suggests the emergence of an invariant theme in this study of perceived transcendent leaders.

Findings associated with categories of data 1 through 5 suggest certain themes offered by the study participants relative to their self-reflective beliefs, values, and

experiential factors which influence their personal and work lives. Drawing reference

from a more impersonal context, respondents were asked to speculate on the essential

traits required of today's healthcare leaders.

<u>Category of Data #6: Perceptions of Essential Leadership Traits</u>

As noted in Chapter 2 (Review of the literature) of this study, articulating and

promoting specific traits describing the leadership phenomenon has been problematic. In

the mid-1900s, Stogdill (1948) initiated a meta-analysis of existing trait research and

concluded that, "A person does not become a leader by virtue of the possession of some

combination of traits" (p. 64). Rather, he determined that situational factors in

combination with certain leadership traits more accurately defined the leadership

phenomenon. In a follow-up study Stogdill (1974) reaffirmed his assertion that both

personality traits and situational factors were key determinants in describing the

leadership phenomenon (Northouse, 2001, p. 17). More recently Kirkpatrick and Locke

(1991) have asserted that "traits alone, however, are not sufficient for successful

leadership – they are only a precondition. Leaders who possess the requisite traits must

take certain actions to be successful. Traits only endow people with the potential for

leadership" (p. 49). Suffice it to say, research describing how traits – as one of several

key characteristics – may influence leadership is ongoing.

Stipulating that identifiable traits may contribute to the mosaic of the leadership

dynamic, the study participants were asked, "What do you feel are the essential traits

necessary for leaders in healthcare today?" In total 76 responses were elicited

representing 29 unique trait descriptors. A listing of these responses in order of frequency

is presented in Table 19.

Table 19

Leadership traits identified as essential to healthcare leaders.

Identified Trait	Frequency of Response
Effective Communicator	6
Collaborative	6
Deep listener	6
Honest	5
Humble	5
Strong work ethic	5
Decisive/courageous	4
Intelligence	3
High energy/stamina	3
Commitment to personal convictions	3
Benevolent	3
Self-confidence	2
Self-awareness	2
Personal integrity	2
Sense of humor	2
Vulnerable	2
Thoughtful self-reflection	2
Inner peace	2
Drive	2
Risk Taking	2
Self-motivated	2
Passionate	1
Strength of personality	1
Optimistic	1
Patience	1
Emotionally secure	1
Flexibility	1
Understanding others: Empathy	1
Altruistic	1

In reviewing the various traits suggested by the participant leaders, several significant

themes emerged. These trait themes are identified in Table 20 and may be summarized

as: emotional intelligence, "other" – interest, and determined resolve.

Table 20

Trait themes identified.

Theme	Frequency of Response	Traits
Emotional Intelligence	n=32	• Self-awareness • Self-reflective • Self-confident • Sense of humor • Strength of personality • Inner Peace • Emotionally secure • Patience • Honesty • Humility • Intellect • Vulnerable • Optimistic • Personal integrity • Flexibility
"Other"- Interest	n=23	• Understanding others: empathy • Ability to effectively communicate • Collaborative • Deep listening • Respect for others: benevolence • Dedication to others: altruism
Determined Resolve	n=21	• Decisive/courageous • Committed to personal convictions • Drive • Risk-taking • Self-motivated • Passionate • Strong work ethic • High energy/stamina

These three trait themes became evident after repeatedly analyzing and combining the

trait variables into clusters that appeared to be congruent or share similar features. In turn,

these clusters of traits emerged as groupings whose core elements could readily be identified with: an orientation to others, a determination of effort, and finally – drawing from Goleman, et al. (2002) – the domains of self-awareness, self-management, social awareness, and relationship management which are broadly associated with the theory of emotional intelligence.

The most common theme identified is conceptualized in terms of *emotional intelligence*. Characteristics such as patience, honesty, humility, inner peace, self-reflection, and integrity exemplified participant leader responses. One study participant offered this sentiment concerning integrity as an example of emotionally intelligence. "I think integrity has to be critical. Personal integrity that goes beyond your own interpersonal relationship must be a fundamental trait. It's about being a fair player and being honest with yourself, as well as the people you relate to" (SP2).

The significance of emotional intelligence was further evidenced in attributes such as self-awareness, self-confidence, and a sense of humor. Study participant 9 succinctly captured the essence of this theme noting,

> I would say three things – one has to be some degree of self-awareness.
> People have to know what they believe. They have to be able to describe
> themselves and be able to articulate their organizing ideas. Secondly,
> they have to have self-confidence. You run into people all the time who
> are sort of emotionally, intellectually, and psychologically needy – they
> are defined by others, they don't have enough self-value of confidence.
> [And third] having some sense of humor; some willingness not to take
> yourself too seriously. (SP9)

A secondary theme, interpreted as "other"-interest, reflected a notable consideration for others. Affiliated attributes including empathy, collaboration, benevolence, altruism, and the ability to listen and communicate were noted as essential leadership traits. One participant leader said, "I think you have to be a very careful listener. [Individuals] need to feel that they're being listened to and heard, not just listened to, but appreciated and heard" (SP3). Another stated that she believed an essential trait for a leader is the ability to effectively communicate to others a vision of a possible future.

> … an individual who is able to create a vision and then have the ability to communicate that vision. That's what begins to set people apart. It's an individual who can see things in a different way. There are people who can see things, but don't always have the ability to communicate it and to energize others to work toward it. (SP10)

Another leader captured the essence of the "other"-interest trait theme in his sentiment, "the last trait, and the most important I think, is to try to find the nugget of goodness in everybody" (SP1).

Determined resolve also emerged as a significant theme. One leader expressed the following:

> You have to be passionate about a cause and believe in it. It may be in …the people you are working with, or the issue of the patients, but you have to have a passion which people identify and you are known for. (SP11)

Courage was a trait noted by several study participants within the broad theme of

determined resolve. One participant explained it this way,

> A sense of courage – you can be self-confident, but not be very
>
> courageous in terms of truth telling or admitting you're wrong, or
>
> realizing your weaknesses. People who are courageous will articulate
>
> their ideas; they'll defend and own them. They will enter into risky
>
> places. (SP9)

In summary, three significant themes emerged when the study participants were

asked to identify the essential traits necessary for today's healthcare leaders. The trait

themes included, in order of frequency: emotional intelligence, "other"-interest, and

determined resolve.

Paralleling an inquiry into perceived essential traits the study participants were

similarly asked to identify essential leadership behaviors.

Category of Data #7: Perceptions of Essential Leadership Behaviors

Inquiry into leadership traits provides an insight into those personality

characteristics the study participants felt were essential for today's healthcare leaders. In

contrast, discerning key behaviors – "what leaders *do* and how they *act* (Northouse, 2001,

p. 35) – from the perspective of the study participants contributes to a richer

understanding of how perceived transcendent leaders envision the leadership

phenomenon. When asked, "What do you feel are the essential behaviors necessary for

leaders in healthcare today?", the participant leaders provided 58 responses of which 30

were determined to be unique behavior descriptors. Table 21 provides a summary of the

essential leadership behaviors noted by the study participants.

Table 21

Leadership behaviors identified as essential to healthcare leaders.

Identified Behavior	Frequency of Response
Acts Humbly	6
Displays a sense of humor	4
Exhibits unwavering conviction to ideals	4
Recognizes others	4
Respects others	3
Exhibits discernment	3
Effectively communicates	3
Brings out the best in others	2
Is tolerant of others	2
Collaborates effectively with others	2
Prudent	2
Does the "right thing"	2
Exhibits ethical/moral behavior	2
Develops others	2
Empathetic: sensitive to others needs	2
Acts benevolently: nurtures others	1
Demonstrates self-confidence	1
Demonstrates flexibility	1
Acts as a servant leader	1
Listens intently	1
Exhibits visionary skills	1
Honest	1
Maintains focus	1
Is altruistic	1
Hard working	1
High stamina	1
Is passionate about ideals	1
Dispassionate when needed	1
Persistent in reaching goals	1
Maintains a positive attitude	1

In attempting to identify significant themes drawn from these responses, those thematic categories previously gleaned from the earlier review of essential traits appeared appropriate. This is a reasonable premise in that leadership behaviors are broadly affiliated with the manifested characteristics (i.e., traits, values, principles) of leaders (Fleishman, 1978). As such, the behaviors identified by the study participants are noted in Table 22 and comprise three behavior themes: emotional intelligence, "other"-interest, and determined resolve.

Table 22

Leadership behaviors identified as essential to healthcare leaders.

Theme	Frequency of Response	Behaviors
Emotional Intelligence	n=25	• Acts humbly • Acts prudently • Exhibits moral/ethical behavior • Demonstrates flexibility • Is honest • Maintains a positive attitude • Displays a sense of humor • Exhibits discernment • Does the right thing • Demonstrates self-confidence • Acts selflessly: altruistic • Dispassionate when needed
"Other"-Interest	n=23	• Recognizes others • Respects followers • Effectively communicates • Develops others • Listens intently • Nurtures others • Brings out the best in others • Is tolerant of others • Sensitive to others needs • Acts as a servant leader
Determined Resolve	n=10	• Committed to ideals • Maintains focus • Exhibits visionary skills • Hard working • High degree of stamina • Passionate about ideals • Persistent in realizing goals

Behaviors associated with emotional intelligence surfaced as the principle leadership behavior theme. Maintaining a sense of humor, doing the "right" thing, acting selflessly, and demonstrating humility were among the characteristics cited. A study participant referenced self-effacing behavior this way; "I think any great leader expects much of their followers, but even more of themselves. They show their humility through their humor, [which is] sometimes self-deprecating" (SP1). Remaining flexible in responding to circumstances, being honest, and maintaining moral and ethical control were also mentioned as desirable leadership behaviors. One leader expressed a combination of these behavior characteristics in terms of self-denial, humility, and a willingness to publicly articulate one's values.

> [An essential leader behavior is] the element of self-denial. Leaders who don't take all the things they could get. There is an element of humility. [Another behavior] is not drawing attention to your service. So a lack of self-advertising, self-congratulation, which I guess, is humility by another name. Also, a lot of people have beliefs and values, but what sets people apart is their willingness to acknowledge them [publicly]. Humility and remaining ethical in your actions are absolutely required behaviors of healthcare leaders in the future. (SP9)

"Other"-interest was the second most notable behavior theme cited. The compelling mandate of leaders to exhibit a genuine and earnest concern for the welfare of others – even before self – was a common thread woven throughout the study participant responses. One leader expressed this essential behavior in the context of his own life experiences.

They [admired colleagues and family members] inspired me through their

behaviors and actions, they inspired me through the confidence and

demands they had on me, and they inspired me in the nobility of their

causes – what they stood for that was beyond them. They forcefully

pursued the greater good of others, even before their own good. (SP1)

Finally, the theme of determined resolve was aptly illustrated by study participant

12 as he conjoined the behavioral characteristics of focus and persistence.

[Healthcare leaders] must put the organization first and leave their ego at

the door, and really build a culture base with strong ethical values. They

should focus on the organization's mission and their vision; where they

are heading. They should be the role model for the organization; they

walk the talk and set the culture. They should be humble, but extremely

driven and focused and tenacious. (SP12)

In summary, three behavior themes emerged as significant when study

participants were asked to speculate on the essential behaviors necessary for healthcare

leaders in today's environment. The specific behavior themes noted appear to correspond

closely with the perceptions of essential traits noted earlier in category of data 6. They

include, in order of significance: emotional intelligence, "other"-interest, and determined

resolve.

Adding to earlier categories of data, conceptions on the manner in which the study

participants inspire and motivate their followers contribute additional insight into the

essence of the leadership phenomenon as experienced by the respondents.

Category of Data #8: Self-Reflection on Motivating Followers

Much has been written concerning the nature of *motivation* and the theories intended to describe it. For the purposes of this study, the definition proffered by Steers and Porter (1991) was presumed when interviewing the study participants; that is, motivation as a set of forces that cause others to behave in certain ways. Study participant responses were compared to extant *need theories of motivation* (Alderfer, 1972; Herzberg, 1968; Maslow, 1943; McClelland, 1961; and Murray, 1938) and *process theories of motivation* (Adams, 1963; Kelley, 1971; Lewing, 1938; Luthans & Kreitner, 1975; McGregor, 1960; Porter & Lawler, 1968 Tolman, 1932; Vroom, 1964) in order to draw any correlation between the responses offered and the general factors associated with motivation theory.

When asked, "How do you inspire and motivate others?" the study participants offered 34 responses. After combining similar remarks, 16 unique motivational techniques remained. Table 23 provides a listing of the summary descriptions.

Table 23

Motivational techniques utilized by study participants.

Motivational Techniques	Frequency of Response
Communicates a sense of purpose	7
Through personal demonstration	7
Values and respects others	3
Dialog, not monologue	2
Walk-around leadership	2
Offers followers a sense of belonging	2
Understands followers needs and fulfills them	2
Involves followers in decision-making	1
Displays an intense work ethic	1
Understands issues from the perspective of followers	1
Exhibits appropriate passion to succeed	1
Deflects success/glory to followers	1
Doesn't usurp the role of followers	1
Empowers followers	1
Offers followers "face-time"	1
Encourages followers to look beyond themselves	1

Among the 16 summary descriptions, two significant motivational themes emerged:

affiliation orientation and *achievement orientation (*McClelland, 1961 and Murray,

1938). Table 24 clusters the participant leader responses as either affiliation techniques or

achievement techniques.

Table 24

Motivational technique themes.

Theme	Frequency of Response	Techniques
"Affiliation"-oriented	n=14	- Communicates a sense of purpose - Through personal demonstration - Valuing & respecting others - Dialogue, not monologue - Walk-around leadership - Offers followers a sense of personal belonging - Involves followers in decision-making - Understands follower perspectives - Deflects glory/success to followers - By not usurping followers roles - Understand follower needs & fulfills them - Empowers followers - Offers followers "fact-time" - Encourages followers to look beyond themselves
"Achievement"-oriented	n=2	- Displaying an intense work ethic - Exhibiting appropriate passion to succeed
"Power"-oriented	n=0	

Broadly defined, affiliation refers to the need for human companionship vis à vis an individual's desire to gain assurance and approval from others. Individuals who have a high need of affiliation are genuinely concerned with the feelings of others (Schachter, 1959). In contrast, achievement arises from an individual's need to succeed in accomplishing difficult tasks or aspiring to elevated standards of performance. As noted

in Table 24, fourteen (n=14) of the motivational techniques cited by the study participants were affiliation oriented, while only two (n=2) were achievement directed. None of the motivational techniques mentioned were considered to be *power-oriented*; the third component of McClelland's (1961) theory of needs model after affiliation and achievement orientation. This would suggest that the study participants perceived that their followers were broadly motivated by intrinsic benefits. It is noteworthy that not a single study participant response made reference to extrinsic motivating factors (e.g., the offering of money, power, position, etc.) as a motivational technique they employed – or by extension felt their followers desired. For these study participants motivation was broadly envisioned as a function of personal relationship building, manifest in a mutual commitment to an inspiring purpose.

Communicating an inspiring sense of purpose and leading through example were two notable motivation techniques cited by the study participants. The former is captured by one of the participant leaders.

> [I offer my staff] a sense of purpose to what we're doing. We're civil servants, we're not here for the pay. Our satisfaction comes from what we do [which] goes back to caring for our patients. I try to get [my staff] to look beyond what they are as an employee and to see the meaning they have in the lives of other people – that we are making a difference in their lives. I try to instill within them the importance of what they do. (SP14)

Motivating their followers through example of their personal actions was noted by several leaders. One stated, "I motivate and hopefully inspire others by leading by example. I've found that partnership decisions work better than handing down decrees.

So decision-making by consensus is how [I like to motivate]" (SP2). Another noted, "…

a lot of it is just by [my own] example. I think if I'm excited and motivated, then my staff

is, and that rubs off on everyone" (SP8).

Beyond communicating a noble purpose and demonstrating that purpose through

personal example, the study participants offered a variety of related thoughts on

motivating others. One particularly compelling assertion emphasized the leaders role in

establishing follower identification with the organization.

> You have to offer staff a sense of belonging; that they're not here just
>
> filling a slot. They belong to something and they can make that thing
>
> better if they commit to it – which in turn will make themselves better.
>
> People often use financial incentives and other things to motivate; those
>
> are not the primary issues, in this business [healthcare] anyway. (SP13)

In summary, the study participants commented on the variety of techniques they

utilize in motivating and inspiring others. Two motivational themes emerged: an

affiliation orientation and an achievement orientation. Of the 16 motivational technique

descriptors, fourteen were affiliation-orientated. This would suggest a belief on the part

of the study participants that followers valued relationship building and other intrinsic

benefits over achievement-oriented or power-oriented motivators. In turn, this may also

suggest that the perceived transcendent leaders within this study are, or have themselves

been, highly motivated and inspired by others who have employed affiliation-oriented

behaviors. This finding is consistent with social learning theory (Bandura, 1977), which

asserts that human behavior may be learned and/or influenced through observing and

modeling the attitudes, emotional reactions, or behavior of influential others. As a means

of advancing this thread of inquiry, the study participants were asked to identify

individuals, past or contemporary, that they felt embodied extraordinary leadership

characteristics (i.e., traits, behaviors, distinguishing qualities, etc.). This deductive

approach, juxtaposed to their earlier responses concerning core values and perceptions of

essential leadership traits and behaviors, may further illuminate the essence of the

leadership phenomenon as experienced in the lives of the study participants.

Category of Data #9: Characteristics Admired in other Leaders

In asking, "Who would you suggest as an individual(s) who best represents your

notion of an extraordinary leader and why?", certain deductions may be reasonably made

concerning those leadership characteristics held in esteem by the study participants.

Though the comments offered aren't probative in the assignment of specific leadership

characteristics to the respondents, they may serve as a further insight into the mind of

perceived transcendent leaders. Table 25 summarizes those individuals identified by the

study participants as "extraordinary leaders" along with their associated characteristics

(i.e., traits, behaviors, distinguishing qualities, etc.). In total, the fourteen study

participants offered 63 responses representing the characteristics of 25 admired leaders.

After comparing for similarity in meaning, the 63 characteristic responses were conflated

to 25 unique characteristic descriptors.

Table 25

Admired leaders and perceived characteristics identified by study participants.

Admired Leaders	Frequency Of Response	Perceived Characteristics	Frequency Of Response
Martin Luther King, Jr.	3	Conviction/Fidelity to principles or cause regardless of personal consequences	10
Mohandas Gandhi	2	Commitment to the service of others	7
Harry Truman	2	Courage to articulate & act on beliefs & values	5
Winston Churchill	2	Humility	5
Jimmy Carter	2	Honesty	3
Jesus of Nazareth	1	Demonstrates a moral authority	3
Rosa Parks	1	Thoughtful action	3
Abraham Lincoln	1	Elevates others	2
An "amalgam" of individuals	1	Exhibits a force of intellect	2
"Other" professional colleagues/relatives	10	Perceives/attends to feelings of others; empathetic	2
		Openness with others	2
		Loves mankind	2
		Work ethic	2
		Altruistic; a consideration for others	2

Exhibits passion in pursuing higher ideals or goals	2
Positive attitude/optimistic	2
Forthright	1
Makes religion practical	1
Self-motivated	1
Unflappable under stress	1
Inspiring communicator	1
Maintains sense of humor	1
Comfortable with change	1
Uses common-sense approach to problem solving	1
Persistent/determined	1

Consistent with the earlier examination of perceived traits and behaviors, the 25 unique

characteristic descriptors suggested three significant themes: emotional intelligence, the

leaders determined resolve, and finally, an orientation to others. Table 26 identifies the

three significant themes and corresponding admired leader characteristics, in order of

frequency.

Table 26

Characteristic themes of admired leaders.

Theme	Frequency of Response	Characteristic
Emotional Intelligence	n = 10	• Humility • Honesty • Exhibits a force of intellect • Positive attitude/optimistic • Exhibits a moral authority • Makes religion practical • Unflappable under stress • Sense of humor • Comfortable with change • Common-sense approach to problem solving
Determined Resolve	n=8	• Conviction/fidelity to principles or cause, regardless of personal consequences • Courage to articulate/acts on beliefs • Thoughtful action • Strong work ethic • Passion in pursuit of higher ideals/goals • Self-motivated • Forthright • Persistent/determined
"Other"-interest	n=7	• Committed to the service of others • Elevates others • Perceives/attends to others feelings: empathetic • Openness with others

Emotional intelligence once again emerges as the most frequently noted characteristic theme. Study participant 6 described this theme in terms of one admired colleague's ability to remain calm in moments of stress.

> [name], who is the senior vice dean at Columbia and our Board chair and
> my mentor. The thing he does is – he's unflappable in times of stress. I
> get reserved when stressed, but [he] just moves on. He brings all the
> elements of openness, dialogue, humor, knowledge, and insight to [our
> discussions]. He cares about people and he is the single most exemplary
> individual I have encountered in healthcare. If I could just be him when
> I'm his age; I would be very satisfied. (SP6)

The characteristic theme of emotional intelligence was further exampled in admired leaders. Study participants described this as expressions of humility, optimism, and honesty. A study participant described the characteristics evidenced in his grandfather, "… he blended American optimism and can-do with honesty and forthrightness" (SP11). Another respondent noted the humility of former US President, Harry Truman this way: "He remained humble through everything…he did the best he could [when he was President]. And he was honest with people, almost brutally honest" (SP14).

Determined resolve emerged as the second most frequently noted characteristic theme identified in the study participant's description of admired leaders. Within this broad theme, "conviction/fidelity to a set of principles or a cause regardless of personal consequence", was the most frequently cited characteristic. In fact, this particular characteristic was the most frequently noted among all of the four themes with ten of the

fourteen study participants citing its association with their admired leader. One study

participant summarized this characteristic in the following way,

> I would start off with Jesus of Nazareth. I've read Gandhi and Martin
>
> Luther King and people involved in the non-violence [movement];
>
> leaders who clearly loved mankind – all were willing to pay any price
>
> they had to pay in order to accomplish what they needed. I was in high
>
> school when Kennedy was assassinated, and then a few years later,
>
> Robert Kennedy and Martin Luther King. I watched a lot of these people
>
> who were extraordinary leaders sacrificed. [They] believed so much in
>
> what they were trying to accomplish for the good of others, and so
>
> personal sacrifice is often the consequence of it. (SP5)

"Other"-interest was the third most frequently identified characteristic theme

associated with the named admired leaders of the study participants. As noted in Table

26, "other"-interest falls just behind that of determined resolve. The most frequently

mentioned characteristic representative of this theme was "commitment to the service

others". One study participant expressed his thoughts this way,

> I know a lot of people who I think are good examples, exceptional
>
> leaders; those who are effective in serving and inspiring the people they
>
> work with. Like a hospital I know in Haiti – there's a physician who was
>
> a colonel in the US Air Force and 20 years ago he resigns his
>
> commission, goes to Haiti and starts a hospital on a dirt road with no
>
> electricity – nothing! He was Board certified as a Fellow in the American
>
> College of Surgeons. That guy is extremely inspirational in the sense that

his whole life is in service to others. He is foregoing a very comfortable

life to do that. (SP9)

Commenting further on the theme of "other"-interest, the transformative actions of Rosa

Parks refusing to relinquish her seat on a public bus during the civil rights movement of

the 1960s was recalled by one respondent,

An individual who comes to mind is Rosa Parks. She wasn't flamboyant,

[her actions were] a result of her personal convictions and a personal

sense of who she was and knowing that in order to serve others, there

would be a price to pay. [She had] that inner sense of commitment and

confidence and self-assurance that it was the right thing to do. Then you

look at where [her actions] have gone and the results of that very simple

act. She didn't do it for notoriety, but rather for personal conviction and

to ultimately serve others. (SP10)

Finally, of interest was the response offered by study participant 3. In contrast to

the 13 other participating leaders, she did not identify a single admired leader, but

described a fictitious leader as an amalgam of many individuals.

I don't have one individual. …to me an exceptional leader is an

amalgamation of [various] characteristics that I have tried to dissect and

have tapped from a large number of people with whom I have worked. I

think one of the most important skills sets I've tried to adopt is

collaboration – how you turn high-level people into a collaborative group

working toward common goals or at least not impeding each other. So, I

don't have one person, but pieces of a whole group of people whom I have

looked to learn from. (SP3)

By asking each study participant leader to identify a leader(s) they personally

admire, along with the characteristics which exemplify their lives, this study attempts to

peer into the minds of the study participants in order to deductively discern those

leadership characteristics, which may inform their lives. Twenty-five (25) unique

characteristic descriptors were noted from which the three significant themes, previously

associated with the study participant responses concerning essential traits and behaviors,

emerged: emotional intelligence, determined resolve, and "other"-interest.

An amalgam of elements is useful toward addressing research question 1 (R1),

that is, "What are the key characteristics of healthcare professionals who are perceived to

be transcendent leaders?" Thus far, this study has investigated the personal and

organizational contexts of the study participants, their core personal values, perceptions

of essential traits and behaviors, spiritual proclivity, motivating techniques, life

experiences which may inform their leadership actions, and inquiry into characteristics

associated with admired leaders. A self-reflective examination of study participant

leadership style further enriches this examination and contributes to the purpose of this

study.

<u>Category of Data #10: Self-Reflection Concerning Leadership Style</u>

In considering a context in which to frame the study participant responses as to

their self-perceived *leadership styles,* several models were considered (Bass, 1985;

Goleman, et al, 2002; Hay/McBer Consulting Group, 2000; Lipman-Blumen, 1956).

Goleman, et al (2002), drawing upon the earlier work of the Hay/McBer Consulting

Group (2000), provides a construct which conjoins contemporary research in leadership

style behaviors with the conceptions associated with emotional intelligence. Stipulating

Goleman's et al. (2002) leadership style framework was therefore considered reasonable

in analyzing the self-reflective responses of the study participants. In advance of

presenting the findings associated with this category of data, one caveat is worthy of note.

In each of the study participant's interviews, there was a working assumption between the

researcher and respondent that the style of leadership employed by the leader is mutable.

That is, leadership behaviors change given the situation, knowledge of follower(s),

culture of the organization, and a host of other factors. Exceptional leaders, including the

participants in this study, would broadly affirm that "leaders with the best results do not

rely upon only one leadership style; they use most of them depending on the situation".

(Goleman, 2000, p. 80). Therefore, study participant responses herein reported might best

be considered their default, or general manner, in relating to their followers.

　　　　When asked, "How would you describe your leadership style?", 53 descriptive

phrases or terms were used ranging from the democratic, "My style is one of involvement

– bringing people together" (SP4), to the directive, "I'm focused, pragmatic, and expect

others around me to be equally competent. My [leadership] style involves deeply held

principles" (SP5). After interpreting the individual comments offered by each study

participant, Goleman's et al. (2002) leadership style framework provided a useful

mechanism for each respondent to be assigned to the style that most closely reflected

their comments. Table 27 provides a summary of six leadership styles, as well as the

assignment given to each participating leader in this study.

Table 27

Self-reflected leadership style of study participants.

Leadership Style	Description	Overall Impact on Climate	Frequency of Study Participant Response	Study Participants
Commanding/Coercive	Demands immediate compliance, gives clear direction, may be coercive.	Negative	n=0	N/A
Visionary	Moves people toward shared dreams, when clear direction or new vision is needed.	Most Strongly Positive	n=3	SP6, SP12, SP3
Affiliative	Creates harmony by connecting people to each other. Builds emotional bonds.	Positive	n=4	SP1, SP2, SP8, SP9
Democratic	Values people's input & gains commitment through participation.	Positive	n=4	SP4, SP10,SP11, SP14
Pacesetting	Meets challenging goals. Sets high standards for performance.	Negative	n=1	SP5
Coaching	Connects follower's desires w/organizational goals. Builds long-term capabilities.	Positive	n=2	SP7, SP13

Source: Adapted from D. Goleman, R. Boyatzis, and A. McKee. *Primal Leadership,* 2002.

Of the 14 study participants, three (n=3) were considered to exhibit a *visionary leadership style*, four (n=4) evidenced an *affiliative leadership style,* four (n=4) are considered to have a *democratic leadership style,* two (n=2) reflected a *coaching style* of leadership, and one (n=1) suggested a *pacesetting style*. No study participant evidenced a *commanding (coercive) style* of leadership. Of the 14 respondents, thirteen (n=13) evidenced leadership style behavior which, according to the Goleman, et al. model, would have either a "positive" or "most highly positive" overall impact on the work environment. One (n=1) study participant expressed leading behaviors which would suggest a negative overall work environment impact <u>if</u> this style were not regularly altered or modified to reflect the situation, follower needs and expectations, or other contextual factors.

Affiliative and democratic styles of leadership were the most frequently evidenced among the study participants. One respondent defined his affiliative style as,

> I try first to lead by the example I set – by being honest, by being truthful with people, and by being loyal and supportive to people. I try to bring people into the dialogue about vision and goals, which will best serve the organization – our patients – our colleagues and each other. Ultimately [my style of leadership] is to be a leader who serves others and in doing so they get charged up about wanting to do more themselves. Service to others is really quite an eloquent style of leadership in that the more you – as the leader – give, the more comes back to you from those you lead. (SP1)

A democratic style of leadership implies a leader's desire to involve followers in decision-making through active participation. This earnest intent to involve followers was noted by study participant 11.

> I believe folks would say that my style is one of engagement – bringing
>
> others into solving problems. And respect – respecting the talents of
>
> others. I would like to believe that my style represents an honest,
>
> hardworking, and passionate style that values and empowers others.
>
> (SP11)

A visionary leadership style was felt to best reflect three of the study participants. One noted, "I guess I would say that my style of leadership involves inspiring others to live up to their potential so that we can achieve our social and community ambitions" (SP6). Another offered a more prolific response,

> I suppose you could describe my style as supportively involved. I set
>
> vision and the general culture and then let the people develop their own
>
> groundswell of enthusiasm. Movements – be they peace movements, or
>
> anti-apartheid movements, or whatever, are born because of some person
>
> with a dream – with a vision of a better future – and stands up against
>
> mighty big odds and sets into motion the desire of many. In a small way,
>
> that's how I describe my style of leadership – I try to understand the
>
> desires of people, I articulate that dream, and set into motion [their]
>
> collective energies. (SP12)

A fourth style of leadership evidenced by two (n=2) of the study participants is termed the coaching style. This involves leadership behavior intended to connect

followers to the long-term aspirations of the organization. Study participant 7 expressed this as follows:

> I suspect that I have a variety of styles depending on the people I'm
> dealing with and the situation, but if I had to say just one style, I guess it
> would be that I try to inspire people to look at the bigger and broader
> scheme of things and how we can together meet the interests of others
> before our own interests. (SP7)

Finally, one study participant was notably strident in describing his pacesetting style of leadership; an obvious discrepant theme within this category of data. He stated,

> My style evolves from principles that are deeply held and intrinsic. And
> they are not situational; my leadership has a clear sense of purpose. And I
> think that it's [my style] simultaneously inclusive of others and exclusive
> in that it probably drives the culture [around me] to align or repel – attract
> or repel. You just have to accept that as part of [my] leadership. I'm
> focused, pragmatic, and I expect that those around me are equally
> competent at what they do. (SP5)

In summary, the self-perceived styles of leadership attributed to the study participants were juxtaposed to Goleman's et al. (2002) leadership style model as a means of framing the analysis. Of the six styles within the model, study participants were assigned to five including the visionary style, affiliative style, democratic style, coaching style, and pacesetting style. In terms of the impact on the overall climate of their organizations, the participating leaders self-described behaviors might be considered "positively" or "most strongly positive". Only one of the study participants self-identified

a leadership style which might be considered to have a negative overall impact on the climate of an organization.

If a theme can be drawn from this category of inquiry, it is that the study participants perceived their style of leadership as one that engages their followers in an effort to establish emotional bonds as a prerequisite to pursuing socially beneficial causes.

A final comment by one participating leader suggests an association between a leader's style and a moral imperative. He commented,

> I would suggest that the best leaders live their lives in the pursuit of moral
>
> purposes; how to help humanity, how to help my neighbor, and how to
>
> bring different peoples together to reach agreement. I think what makes
>
> them great leaders is their desire and courage to help others even if
>
> they're at risk of harm or ridicule. (SP2)

An inquiry into the moral imperative of leadership, as perceived by the study participants, contributes to the expanding understanding of the leadership dynamic as experienced in the lives of perceived transcendent leaders.

Category of Data #11: Perceptions Concerning a Moral Imperative

Ascribing with certainty a moral imperative to the leadership phenomenon is polemic. That is, what universal standards define moral or ethical virtues relative to the act of leading others and how do these virtues manifest themselves in the leader-follower dyadic relationship? Steidlmeier (1995), for example, has suggested that love, work, fairness in exchange, ownership, and friendship are universal moral values found in broadly diverse cultures around the world; "regardless of the social customs and practices

through which they are realized" (In Bass & Steidlmeier, 1998, p. 6). Moreover, if

legitimate leadership does in fact imply an ethical or moral dimension, does that

requirement invoke a mandate to pursue goals that have broad social purposes? Gini

(1996) offers a relative response to the former question by asserting,

> … all leadership, whether good or bad, is moral leadership at the
>
> descriptive if not the normative level. To put it more accurately, all
>
> leadership is ideologically driven or motivated by a certain philosophical
>
> perspective, which upon analysis and judgment may or may not prove to
>
> be morally acceptable in the colloquial sense. (p. 10)

Adding to this ambiguity, Dewey (1960) attempted to frame morality within the context

of a culturally defined and embraced set of rules or standards that are external to the

individual, yet habitual. He suggested that morality is comprised of two aspects: the

standards (moral guidelines) which society adopts and reflective conduct, or personal

actions that define ethics.

Moral leadership has been viewed through the litmus of a leader's personal

character. In *Nichomaclean Ethics,* Aristotle (1998) argued that character was the most

illusive aspect of leadership and posited that a moral leader should possess the virtues of

courage, temperance, generosity, self-control, honesty, sociability, modesty, fairness, and

justice (Velasquez, 1992). Sheehy (1990) would add that the "issues of leadership are of

today and will change in time. Character is what was yesterday and will be tomorrow" (p.

311). More recently, Anello and Hernandez (1996) would ascribe to moral leadership six

essential elements: service-oriented leadership, personal and social transformation as the

purpose of leadership, the moral responsibility of investigating and applying truth, belief

in the essential nobility of human nature, transcendence (e.g. overcoming ego and selfishness), and the development of capabilities (p. 61).

Given the variety of perspectives in attempting to associate a moral imperative to the leadership phenomenon, it is reasonably stipulated that the genesis of ethical leadership conduct is rooted in the moral standards held by the leader and, in turn, "the [moral] values promoted by the leader have a significant impact on the values exhibited by the organization [and its followers]" (Northouse, 2001, p. 255).

Understanding the study participant perceptions concerning the distinguishing aspects of moral standards and ethical conduct serve to offer a unique insight into the leadership experience as evidenced in the lives of perceived transcendent leaders. Three questions posed to the study participants comprise this category of data. The first question asked, "Do you feel that you and the people you lead have similar or dissimilar needs, aspirations, values, and ethical (moral) standards?", elicited broadly similar responses. Each of the fourteen study participant affirmed that both they and the people they lead – and for that matter, associate with outside of the work environment – have similar aspirations, as well as moral standards. This may suggest that the moral values shared by leaders and those led have a synergistic relationship, each having the capacity to support or moderate the other. Wills (1994) notes that [moral] leadership is a mutually determined activity on the part of the leader and those led (p. 13). This notion of mutuality is alluded to by one study participant as,

> Ethical standards are grass root ideals and you know early on if you're in
> sync with someone or not. If not, you tend to move away from their
> sphere of influence instinctively. So, I believe my moral and ethical

beliefs about care and service have influenced those I work with and

certainly their needs and values have influenced my own. (SP8)

Migrating toward people and organizations in which followers and leaders feel a sharing

of basic beliefs and aspirations was a significant theme noted by the respondents. Study

participant 7 stated,

> I think human nature dictates – to some extent – that we gravitate to those
>
> people and situations that we feel most comfortable with or relate to, and
>
> so, I would say that the folks I work with and lead have fairly close needs
>
> and aspirations and ethical standards … we all want to help others feel
>
> better physically, emotionally, and spiritually. (SP7)

Study participant 11 expressed a similar sentiment noting, "Organizational culture, in my

opinion, is a lot like a vacuum which draws into it people whose interests and values are

familiar". Another responding leader perhaps best summarized the sentiments expressed

by the study participants in commenting,

> I think people tend to gravitate to clubs, friends, churches, and workplaces
>
> that hold values that are closely aligned with their own. If they're not
>
> similar, then I believe they tend to move along. That's where the role of the
>
> leader becomes evident, they set the tone for the organization, or school, or
>
> team, or whatever group. People of like minds tend to gravitate to them. So,
>
> I would say that folks that I lead have similar aspirations and moral
>
> standards to me – and I to them. We all want to do the right thing for
>
> others, we all want to make a difference, and we all want to feel we've
>
> contributed to a greater good – a societal good. (SP14)

Acting selflessly for the benefit of others was an additional theme noted by the study respondents in answer to the question, "Do you feel that you and the people you lead have similar or dissimilar needs, aspirations, values, and moral standards?" Study participant 9 stated, "The desire to help has got to be a driving influence that we all share – it's even more than a desire, it's a passionate need to want to reach out and do something good for someone else." Another respondent noted, "People in healthcare come to the profession because they have a desire to serve the needs of others" (SP10). And finally, one leader offered,

> Certainly there are difference which exist, but if you mean by "moral standards" the sacred appreciation of life – no matter how humble the individual may be; the understanding that we do no harm to a person; and that our first and highest calling in life is to concern ourselves with our family and others before ourselves – then, on balance, I believe that most everyone I work with or associate with share these moral standards. (SP1)

Demonstrating complete accord, the study participants expressed a belief that the needs, aspirations, and moral values they held dear were compatible to those held by those thy led. The respondents felt that leaders and followers had a mutual effect upon one another; galvanizing and nurturing inherently held ethical and moral values and that this synergy was expressed in the attraction of followers to leaders and, in turn, leaders to organizations which evidenced similar beliefs and ambitions. An additional theme that emerged in the comments noted by the study participants was the expressed desire to do something of benefit for others or for broader social causes. That is, the respondent

leaders felt that their colleagues and followers shared the same passion they held most dear; to serve the needs of others.

A second question considered part of this category of data, and intended to further explore the relationship between moral virtue and leadership as experienced by the study participants was, "To what extent does your leadership style involve creating goals and purposes that are morally based and supported?". Study participants, once again, fully concurred in asserting that the privilege of leadership mandated a moral certainty as expressed in goals and purposes which advanced "the good of others". This significant theme of service to others permeated the study participant responses. Study participant 3 noted, "Exceptional leaders advance morality through their actions, their honesty, and their commitment to an ideal of service [to others]." Another expressed this same sentiment in a more passionate "voice".

I believe that if you're in a position of leadership, you are obligated to set

the highest ethical and moral standards. As such, the act of leadership –

regardless of style – by its nature should involve the establishment of

higher purposes; to help others to genuinely care about human beings, to

show our own humanity and vulnerability. (SP4)

Inferring there exists an obligation on the part of a leader to advance goals and purposes that are morally based, study participant 2 noted, "… the best leaders live their lives in the pursuit of moral purposes; how to help humanity, how to help your neighbor, how to bring different people together…". Echoing this opinion, study participant 6 commented,

Yes, absolutely. If what I do and how I lead is not based on furthering a

moral and higher purpose, then I'm not acting as a leader. Genuine leaders,

in my opinion, always hold up their own actions to a moral compass that

guides them in their daily efforts.

Another respondent queried, "Isn't that a core element of leadership – to establish

purposes which have some moral and practical good for the benefit of another…? (SP11).

The opinion offered by study participant 10 could very well serve as a response to this

rhetorical question,

You bet! That's leadership 101 – if you're not trying to leave this world a

little better because of your actions, then I don't know why we exist.

We've [healthcare leaders] been given great power and authority, and I

firmly believe with that comes great responsibility to do the right thing for

others.

The question of *intent*, that is, the inherent motivation of a leader to pursue

morally guided purposes was raised by one study participant,

We intrinsically know in our hearts whether what we're doing is for our

own hedonistic or similar motivations, or are we doing something because

it's right and others will prosper because of it. If a leader doesn't

intuitively know that then, in my opinion, they aren't leaders. (SP11)

Considering leader intent is noteworthy in that it evokes a quality of moral reasoning on

the part of a leader. Bass and Steidlmeir (1999) offer a framework of moral analysis,

which considers both moral intention, and moral consequences vis à vis universal

standards of ethical conduct. They assert, "While cultural relativities surely apply,

foundational moral discourse rests upon the polarities found in both *moral intention*

(egoism versus altruism) and in *moral consequences* (benefits and costs of self and

others)" (p. 183). Kohlber*g* (1975) would suggest that the thought process behind moral

behavior is what determines whether a leader is moral, rather than the behavior itself (In

Wren 1995, p. 488). This is an important consideration as we attempt to understand the

unique characteristics evidenced in the lives of the study participants. In analyzing the

responses of the participant leaders, there is every confidence that the intent to create

goals and purposes that are morally based is genuine and void of any ulterior or self-

serving motive.

Participant leaders were in full agreement that leadership – regardless of style –

must contribute to the creation of goals and purposes that are morally based. Further, they

asserted that the compelling moral goal of the leadership act should be in advancing "the

good of others". Finally, the question of leader "intent" – or quality of moral reasoning –

in supporting particular goals was noted.

A final question that completes this category of data asked, "Does leadership to

you involve establishing broader moral purposes?". All of the study participants were

emotive in expressing their earnest belief that the phenomenon of leadership carried with

it an obligation to pursue broad moral purposes; absent this quality leadership assumes a

spurious nature. Two themes emerged among the participating leaders in response to this

question: moral purpose implies an ideal of service to others and leadership embodies a

sacred ethic of trust between a leader and those led.

Several of the study participants spoke to the ethic of trust between a leader and

followers, suggesting that pursuing broad moral purposes is first rooted in a relationship

of credulity. Study participant 6 noted, "…the essence of a leader lies in his or her ability to establish and inspire others in meeting a broad vision. And that vision has to be based upon doing something good for others. A leader holds a sacred trust." Another leader spoke with alacrity on the relationship between trust and moral intent,

> I would say that the act of leading cannot be separated from moral intent.
> Leadership implies gaining the trust of others to pursue a goal and that
> act of trust solicitation asks a follower to relinquish their own innate self-
> defenses. … those in a leadership role have in their hands the collective
> trust of many. Yes, leadership to be legitimate in my mind has to have a
> moral purpose as a means of recognizing and nurturing the trust willingly
> given to the leader by others. (SP9)

A significant theme expressed by the study participants in response to this question focused on the association between moral purpose and altruism; that is, a consideration for others without thought of self. "A leader can't just sit there…it's all about forgetting what's in your best interests and doing what's in the interest of others" (SP11). Another stated, "There are lots of different kinds of leaders… but, I believe that the very best of them are hard wired to serve the needs of others and [to use] their intellectual skills to accomplish things others might think impossible" (SP2). Study participant 3 added, "Exceptional leaders advance morality through their actions, their honesty, and their commitment to an ideal of service." Study participant 5 broadened the dialogue concerning altruistic intent and service to others to include the virtue of benevolence, and on a larger social scale, beneficience.

I think there are many variations on the leadership theme. Some forms of

leadership are purely self-serving, other types are maniacal-evil, and

others are benevolent. The essence of [genuine] leadership, to me,

represents that latter of these… I think the heart of leadership emanates

from a moral intent; the desire to effect others with … no calculation for

the "return" to you. (SP5)

In summary, seeking an understanding of the study participant's perceptions

concerning the moral imperative of leadership was the intent of category of data #11.

Three questions were posed to the participating leaders as a means of eliciting their

ingenuous opinions: did they feel that the individuals they led had similar or dissimilar

needs, aspirations, values, and moral standards as themselves, to what extent did their

leadership style involve the creation of morally based purposes, and did they believe

leadership innately involved establishing broader moral purposes. The study participants

were in accord in expressing their belief that the moral values and aspirations they held

were synergistic with those of their followers and that these shared values acted together

to inform and contribute to higher ethical ambitions. A behavioral outcome of this

galvanizing relationship was in the expressed desire "to serve the needs of others".

Again, the theme of service to others before self was evidenced when the participating

leaders were asked, "To what extent does your leadership style involve creating goals and

purposes that are morally based?" They were in agreement that, regardless of the style of

leadership employed, the moral imperative of leadership is "to advance the good of

others." Finally, when asked if the manifestation of the leadership phenomenon involves

the instigating of broad moral purposes, the study participants were unanimous in their

affirmation. The participating leaders expressed certitude in their opinion that leading

without simultaneously promoting a moral intent was tantamount to illegitimate or

disingenuous leadership. Two themes emerged in the responses to this question: that

moral purpose implies an ideal of service to others without thought of self benefit, and

that leadership embodies a sacred trust freely extended to followers without requite.

Table 28 summarizes the significant themes which emerged in this category of

data.

Table 28

Moral imperative themes identified.

Theme(s)	In Response to…
1. Study participants felt that they and their followers shared similar aspirations, ethical values, and moral standards. 2. Individuals (i.e., followers and leaders) with similar beliefs and values tend to migrate toward each other. 3. Followers and leaders have a galvanizing effect on each other; nurturing inherently held ethical and moral values. 4. Leaders and followers share a passion to "serve the needs of others" without thought of self benefit.	"Do you feel that you and the people you lead have similar or dissimilar needs, aspirations, values, and ethical (moral) standards?"
5. Study participants felt that leadership mandated a moral certainty expressed as goals and purposes, which advanced "the good of others". 6. Legitimate, or genuine leaders, have an obligation to actively advance goals and purposes that are ethically or morally based. 7. *Intent* is a key element in determining the moral integrity of a leader. That is, the genuineness of the act and the avoidance of any ulterior or self-serving motives.	"To what extent does your leadership style involve creating goals and purposes that are morally based and supported?"
8. Study participants felt that the phenomenon of leadership carries with it an obligation to actively pursue goals that advance the good of others and are ethically/morally rooted. 9. A requisite of leadership is evidenced in a sacred trust between the leader and follower(s) to selflessly serve the needs of the latter through the moral actions of the former.	"Does leadership to you involve establishing broader moral purposes?"

Category of Data #12: Perceptions of Essential Leadership Characteristics

For the purposes of this study, leader characteristics are stipulated as those qualities, or distinguishing features, which help define an individual, or group of individuals. Drawing upon the earlier work undertaken in attempting to describe leadership in terms of discrete traits or behaviors, (i.e., Table 1), more recent investigation has attempted to conflate these aspects and describe the experience from a broader viewpoint; that is, the *characteristics* which help shape our understanding of the phenomenon (Corporate Leadership Council, 2001; Cox, 2001; Kouzes & Posner, 1995; Sieverdes, 1995; W. K. Kellogg Foundation, 2004). Appendix O (Selected leadership characteristic studies and identified leader characteristics) summarizes a sampling of leader characteristic studies and provides a context in which to report the findings of this category of data.

When asked, "Given the rapidly evolving healthcare environment – both locally and globally – what leadership characteristics are, or will be, critically important to a healthcare leader in meeting the needs of his or her followers and the broader community?", the study participants offered a total of 77 responses representing 27 unique characteristic descriptors. Table 29 offers a summary of the essential leadership characteristics noted by the study participants.

Table 29

Leadership characteristics (distinguishing features) identified as essential to healthcare

leaders.

Identified Characteristics	Frequency of Response
Effectively communicates a compelling set of ethical values, vision, & purpose	10
An ability to focus & develop trusting relationships	6
An ability to manage multiple tasks in collaboration with others	5
Letting go of self-interests to serve the interests of others (i.e., altruism)	5
Discernment	4
Humility	4
Genuine respect & concern for others (i.e., benevolence)	4
An ability to "see things whole"; to envision the broader connections between things	4
Honesty	3
An ability to listen deeply to others viewpoints/opinions	3
Personal integrity	3
An ability to inspire others	2
A sense of humor	2
Focuses strategically on key goals	2
An ability to manage ambiguity	2
Demonstrates technical competencies	2
Values continuous learning and self-improvement	2
Shows a courage of self-convictions	2
Drive/tenacity	2
Desire to "do the right thing"	2
Empathy	2
Flexibility	1
Decisiveness	1
Patience	1
Possesses/nurtures a creative intellect	1
Willingness to display one's feelings (openness)	1
An ability to recognize & confront injustice/inequity	1

The broad themes utilized to frame those traits and behaviors the study participants felt essential to a healthcare leader (i.e., categories of data 6 and 7) are reflective of the characteristics identified in Table 29. In order of frequency of response, the three leadership characteristic themes that emerged included: emotional intelligence, "other"-interest, and determined resolve. Table 30 summarizes the characteristic themes and associated characteristics suggested by the study participants. It is now evident that the significant themes heretofore associated with the study participant responses concerning essential traits and behaviors, admired characteristics, and now essential characteristics may be considered invariant themes. That is, it appears reasonable to stipulate "other"-interest, determined resolve, and emotional intelligence as the key characteristics of healthcare professionals who are perceived to be transcendent leaders.

Table 30

Characteristic themes identified.

Theme	Frequency of Response	Characteristics
Emotional Intelligence	n=15	• Humility • Honesty • Values continuous learning & self-improvement • Flexibility • Possesses/nurtures creative intellect • An ability to form & develop trusting relationships • Discernment • An ability to "see things whole"; to envision the broader connection between things • Personal integrity • A sense of humor • An ability to manage ambiguity • Desire to "do the right things" • Patience • Willingness to display one's feelings (openness) • An ability to manage multiple tasks
"Other"-interest	n=6	• Effectively communicates a compelling set of ethical values, vision, and purpose • Altruism: letting go of self-interests to serve the interests of others • Benevolence/Beneficence: Genuine respect & concern for others/social collectivities • An ability to listen deeply to others viewpoints and opinions • An ability to inspire others • Empathy: feeling the concerns of others
Determined Resolve	n = 6	• Focuses strategically on key goals • Demonstrates technical competencies • Shows a courage of conviction • Tenacity/drive • Decisiveness • An ability to recognize & confront injustice/inequity

Emotional intelligence was the most noted leadership characteristic theme with the specific characteristics of discernment, an ability to form and develop trusting relationships and "an ability to see things whole; to envision the broader connections between things," (SP13) frequently cited. In describing the value in forming trusting relationships, SP1 noted "…being able to establish relationships with followers and others – that's a key characteristic which [can only be accomplished] by being genuinely interested in others". Study participants 5, 6, 8, 10, and 13 offered similar insights. Each of these respondents pointed out the need for leaders to create and foster relationships at the unique social, economic, or position strata in which followers reside. Study participant 5 emphasized the value of "relating to others at their level… this gets to the importance of relationships between leaders and followers". The "ability to form and develop relationships with collections of people from the wide strata of society and within the organization" was suggested by study participant 6 as a fundamental characteristic of leadership. Participating leader 8 affirmed this sentiment in offering, "In humanistic terms…[leaders need to] understand how to develop and maintain honest and transparent relationships with people of diverse backgrounds". Finally, participant leaders 10 and 13 noted, "the ability to partner with people of different backgrounds and opinions" and "somebody that can relate directly to people at all levels", respectively. Discernment, or insight, was another key leadership characteristic noted within the broad theme of emotional intelligence. This was perhaps best described by study participant 5.

Discernment comes to mind as a necessary characteristic. … the ability

to see the key or important issues amongst a forest of facts and

information. Knowing which are key indicators and which are only

tangential. We live in an incredibly complex world today where things

are evolving faster than we might have thought possible even a decade

ago. So a healthcare leader needs to be able to take in huge amounts of

information and glean the important. (SP5)

Another representation from among the 15 leadership characteristics noted within the

broad theme of emotional intelligence is "an ability to see things whole; to envision the

broader connections between things" (SP13). Study participant 3 sought to ascribe

"vision" to her description noting, "… another characteristic is an ability to form a big

vision and to build bridges between others to make that vision a reality". Another

respondent stated, "You have to be able to understand the big picture and how to figure

out its complexity before moving ahead" (SP10). Study participant 13 captures the

sentiment of this characteristic in his statement, "A healthcare leader needs to be able to

look at a situation and understand the relationship that situation has with the larger

world". Finally, emotional intelligence in the context of humility, honesty, self-

improvement, leader flexibility, and the nurturance of a creative intellect was noted. The

latter characteristic – creative intellect – was described by one study participant:

There is no doubt that a creative intellect comes into play here as well;

we need bright and visionary people in our [healthcare] field who are

compassionate, have courage, and the ability to manage the hubris that all

leaders [inevitably] have to face. (SP9)

"Other"-interest surfaced as a further significant theme embodying six specific

characteristics. Being able to effectively communicate a compelling set of ethical values,

vision, and purpose and "letting go of self-interests to serve the interests of others" (SP9),

were the more notable characteristics posited by the study participants. This latter

characteristic was furthered by study participant 1 in his appeal that leaders ascribe to a

virtue of altruism over the vanity of hubris. "…that's a key characteristic, having a larger

purpose than just self-absorption or self-fulfillment. I mean that a key [leadership]

characteristic in the future will be in recognizing the value of service to others."

Determined resolve comprised the remaining leadership characteristic theme

noted in this category of data. Specific characteristics cited by the study participants in

relationship to determined resolve included: an ability to focus strategically on key goals,

demonstrates technical competence, shows a courage of convictions, tenacity,

decisiveness, and an ability to confront injustice/inequity. Study participant 6 aptly

articulates the former characteristic:

> Above all else will be a leader's skill at maintaining a focused eye on key
>
> goals which further the core purpose of the organization while ensuring
>
> that those goals are fulfilling a socially viable and ethical need – a
>
> society need; not the self-interested need of the leader or group of
>
> leaders. (SP6)

In summary, three themes appear responsive in framing the 27 distinct leadership

characteristics noted by the study participants. Characteristics, for the purposes of this

study, are stipulated as notable qualities or distinguishing features which are illustrative

in defining an individual or group. The distinguishing features of healthcare leaders as

noted by the study participants were found to be broadly congruent with those traits and

behaviors previously identified in categories of data 6 and 7. In order of significance, the

characteristic themes included: emotional intelligence, "other"-interest, and determined

resolve. Table 30 delineates the specific characteristics affiliated with each theme.

With a comprehensive survey of categories of data 1 through 12 completed, an

abundance of information is available from which to deduce a reasonable response to

research question 1: "R1: What are the key characteristics of healthcare professionals

who are perceived to be transcendent leaders?". As noted in Chapter 3 (Methodology) of

this study, speculation on the key characteristics of perceived transcendent leaders are

drawn primarily from those comments, exhortations, and reflections presented by the

study participants themselves. As a means of ensuring trustworthiness in the

interpretative analysis of this study, their responses were compared and found congruent

with those of their nominating-corroborators (Appendix N: Nominating-Corroborator

Essence Descriptions). The summary findings that follow are therefore consistent with

the requirements of reflexive interpretation demanded of phenomenological inquiry.

Research Question 1 (R1) Findings Summary

The pattern of descriptors that emerged from the analysis and interpretation of the

categories of data suggests a profile of the perceived transcendent leaders in this study.

This profile evidences three significant characteristics along with affiliated attributes. The

three characteristics that emerged from this phenomenological inquiry of the study

participants and their respective nominator-corroborators include:

- *"Other"-Interest:* a pronounced orientation to serve the legitimate needs and aspirations of others and broader social causes without requite,

- *Determined Resolve:* a committed resolve to pursue goals intended to contribute to the well-being of others, of community, and of broader social purposes, and

- *Emotional Intelligence:* a pronounced capacity for recognizing and effectively managing one's feelings and relationships with others.

Each of the significant characteristics is described with elaboration in terms of specific attributes identified throughout the course of analysis. Emphasis is given to the fact that the three key characteristics identified are a reflection of the amalgam of information gleaned from the entirety of data categories. Taken together, these key characteristics and affiliated attributes give voice to the essence of the leadership experience as evidenced in the lives of the study participants.

"Other"-Interest

Woven throughout the study participant and corroborator comments, a notable theme emerged; that is, an earnest orientation expressed by the participating leaders to serve the genuine needs of others, or causes, without requite. In contract to *self-interest* or *mutuality of interest*, the study participants appeared to evidence a focused *other-interest*, or other orientation, concerning the welfare of their followers, their communities, and the larger society. Several behavioral attributes are ascribed to this factor. Altruism, a consideration for others without thought of self, appeared as a paramount attribute evidenced in the lives of the study participants. Empathy, a genuine and heartfelt understanding of the feelings and plight of others, was a further discriminating attribute of the responding leaders. Their expressed capacity to "feel the pain" of those followers,

patients, and unknown masses of individuals throughout their communities and the

broader society was palpable throughout the respondent interviews. Benevolence, or

kindheartedness, extending to beneficence on a community-wide scale was another

noteworthy attribute suggestive of the study participants.

Throughout the nominator-corroborator interviews, particular attribution was

given to the overt kindness and compassion evidenced in the personal and professional

lives of the study participants. This attribute was noted in every corroborator interview

with reverence extended to the participating leader. Additional attributes found to be

affiliative with "other"-interest included: a commitment to serve others, being able to

effectively communicate a compelling set of ethical and moral values, an ability to listen

deeply to the legitimate desires and aspirations of others, and the leader's ability to

inspire others through their personal actions and character.

Determined Resolve

Collins (2001) has suggested that "professional will" emanates from a culture of

discipline which itself embodies disciplined people, disciplined thought, and disciplined

action (p. 71). Similarly, the study participants whose lives were investigated in this

phenomenological inquiry demonstrated a propensity to be fiercely determined and

highly disciplined in their approach toward achieving their largely altruistic interests.

They demonstrated a committed resolve to pursue and achieve goals intended to

contribute to the well-being of others, of community, and of broader social purposes.

Significant behavioral attributes found manifest within the key characteristic of

determined resolve included: a conviction to moral principles and values which advanced

the dignity and welfare of others, a demonstrated passion and commitment toward

achieving socially beneficial goals, an ability to focus intently on an objective and act

decisively when necessary to achieve the aspiration, courage in articulating and acting

upon an ethical principle, and the will to confront inequity or injustice directed at

individuals or groups.

Emotional Intelligence

Closely aligned with those capacities synonymous with emotional intelligence

(Goleman, 1995, 1998, 2000; Goleman et al., 2002), the participant healthcare leaders in

this study demonstrated a pronounced ability to effectively manage their emotions and

their relationships as a means of advancing the well-being of individuals and groups of

others. Table 31 illustrates the domains and associated competencies of the emotional

intelligence paradigm as posited by Goleman, et. al. (2002). It should be noted that the

emotional intelligence domains identified in Table 31, though broadly suggestive of the

findings in this study, do not contain the identical elements as suggested by the

participating leaders. In this study, emotional intelligence is conceived as a somewhat

broader construct, which combines the attributes posited by Goleman, et al. with

additional aptitudes evidenced in the lives of the perceived transcendent leaders.

Table 31

Emotional intelligence domains and associated competencies.

Personal Competence

Self-Awareness
- *Emotional self-awareness*: Leading one's own emotions and recognizing their impact.
- *Accurate self*-assessment: Knowing one's strengths & limitations.
- *Self-confidence:* A sound sense of one's self worth & capabilities.

Self-Management
- *Emotional self-control:* Keeping disruptive emotions & impulses under control.
- *Transparency:* Displaying honesty & integrity; trustworthiness.
- *Adaptability:* Flexibility in adapting to changing situations or overcoming obstacles.
- *Achievement:* The drive to improve performance to meet inner standards of excellence.
- *Initiative:* Readiness to act & seize opportunities.
- *Optimism*: Seeing the upside in events.

Social Competence

Social Awareness
- *Empathy:* Sensing other's emotions, understanding their perspective, & taking active interest in their concerns.
- *Organizational awareness:* Reading the currents, decision networks, & politics at the organizational level.
- *Service:* Recognizing & meeting follower or other's needs.

Relationship Management
- *Inspirational leadership:* Guiding & motivating with a compelling vision.
- *Influence:* Wielding a range of tactics for persuasion.
- *Developing others:* Bolstering other's abilities through feedback & guidance.
- *Change catalyst:* Initiating, managing, and leading in a new direction.
- *Conflict Management:* Resolving disagreements.
- *Building bonds:* Cultivating & maintaining a web of relationships.
- *Teamwork & collaboration:* Cooperation & team building.

Source: D. Goleman, R. Boyatzis, & A. McKee. *Primal Leadership*, 2002.

It is illustrative to compare the attributes noted by the study participants on Table 14 (Summary findings concerning R1…) with those associated with emotional intelligence (Table 31); the similarities are noteworthy.

Forming and developing personal relationships among divergent groups of followers and others emerged as a significant theme in the lives of the study participants. What appeared to be evidenced was a realization that the essence of leadership – and their role as leaders – was manifest in the network and quality of relations between themselves and others. In turn, it is reasonable to suggest that the quality of the relationships created by leaders may be, to a significant degree, regulated by the emotional maturity of the leader. A number of behavioral attributes presented themselves as attendant to the characteristic factor of emotional intelligence. They included: an ability to maintain a sense of humor about oneself and others, an ability to discriminate ethically ambiguous circumstances (i.e., discernment), exhibits a healthy degree of self-confidence, practices self-reflection or inward looking, has a capacity to "see things whole" and envision broader associations, acts ethically regardless of perceived or real consequences, demonstrates humility and honesty, is flexible/adaptable in the face of change, values self-improvement, and maintenance of a positive attitude.

The profile of the study participants articulated in the findings of this phenomenological inquiry provides a basis from which to juxtapose extant transaction-transformational leadership theory and therefore speculate on the reasonableness of a transcending leadership construct. The following section of this study responds to research question 2 (R2); that is, are the putative characteristics of transactional and

transformational leadership theory in alignment with the findings thus far presented in

response to research question 1 (R1), or do discrepancies present themselves?

Findings Regarding Research Question 2: "Do the key characteristics evidenced by healthcare professionals, perceived as transcendent leaders, differ from those of transactional and transformational leaders as stipulated by Burns' (1978) transactional-transforming leadership paradigm and Bass and Avolio's (1994) full range of leadership model?"

The penultimate intent of this phenomenological study is to determine the

discordant attributes – if any – which exist between the findings articulated in research

question 1 and the characteristics associated with extant transactional-transformational

leadership theory. A significant fissure(s) between the two, heretofore undetermined

through phenomenological inquiry, could then suggest the reasonableness of a

transcending leadership construct. In contrast, a lack of discord (i.e., accord) between the

findings posited in research question 1 and extant transactional-transformational

literature would suggest that nascent propositions positing the viability of a transcending

leadership construct (Larkin, 1994; Aldon, 1998; Cardona, 2000; Crossan, et al., 2002)

remain speculative and cannot be advanced as a result of this study.

The findings concerning research question 2 (R2) suggest that discernable differences do exist between the characteristics broadly associated with extant transactional-transformational leadership theory and those characteristics ascribed to the perceived transcendent leaders comprising this study. Those characteristics which

appear apposite to the study participants, yet concurrently beyond the purview of the

prevailing transactional-transformational paradigm include that of "other"-interest and the personal and social competencies associated with emotional intelligence.

The findings ascribed to research question 2 posit that transactional leadership constitutes a formal, economic exchange, (Blau, 1964; Homans, 1961) and may reasonably be aligned with *self-interest* (i.e. ego penitus); transformational leadership involves an informal, social exchange, and contributes to a *mutuality of interest* (i.e., mutuus of penitus) between leader and follower(s); and finally, the perceived transcendent leaders who were the focus of this phenomenological inquiry evidenced an "enriched" social exchange contributing to *other-interest* (i.e., alius penitus). This degree of motivation suggests a proclivity, or inherent orientation, to serve the legitimate needs and aspirations of others, and broader social causes, without requite or benefit. Table 32 (Leader –follower motivation and exchange relationship findings) illustrates this finding and forms a comparison between the full range of leadership model and a nascent transcending leadership construct.

Table 32

Leader-follower motivation and exchange relationship findings.

Leadership Construct	Leader-Follower Motivation	Exchange Relationship
Transcending leadership	Other-Interest	"Enriched" Social Exchange (altruistic)
Transformational leadership	Mutuality of Interest	Social Exchange (informal)
Transactional leadership	Self-Interest	Economic Exchange (formal)

The social and personal competencies associated with emotional intelligence theory (Goleman, et al., 2002) surfaced as another key characteristic evidenced by the study participants and which concurrently appear beyond the scope of transactional and transformational leadership theory, as articulated by Burns (1978) and Bass & Avolio (1994). Research question 2 concludes by suggesting that emotional intelligence theory may reasonably be considered the basis of a nascent transcending leadership construct. A probative argument for the above findings may be made by reviewing and then comparing the leadership constructs in question. A précis of the extant transactional-transformational paradigm provides a useful context in which to later juxtapose the findings of research question 1.

Burns' seminal 1978 work, *Leadership*, arguably instigated a turning point in the study and understanding of contemporary leadership theory. By expounding upon Downton's (1973) adumbrated notion on the unique aspects of transactional leadership – and a then newly proffered transformational leadership construct – Burns (1978) established a conceptualization of leadership, which serves as the centerpiece for "new leadership" (Bryman, 1993) theories. Burns (1978) asserted that transactional leadership involved the "everyday brokerage" of quid pro quo exchanges of valued things. Transactional leadership occurs when "leaders approach followers with an eye to exchanging one thing for another… Such transactions comprise the bulk of the relationships among leaders and followers" (p. 4). He suggested that transactional leaders make use of *modal values* such as honesty, trustworthiness, reliability, reciprocity, [and] accountability" (Burns, 1998, p. 15). Burns then elaborated upon Downton's (1973) transformational construct and suggested that *transforming* leadership is "more complex,

is more potent" (Burns, 1978, p. 4), than transactional leadership and described the transforming leader.

> The transforming leader recognizes and exploits an existing need or demand of a potential follower. But, beyond that, the transforming leaders 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. (p 4)

According to Burns, transforming leaders exhibit broad *end values* such as order, liberty, equality, justice, [and] community (Burns, 1998, p. 15). Adding to the definitions of transactional and transforming leadership, Burns (1978) ascribes a moral valence to the paradigm and distinguishes between "power wielders" and leaders – the latter of which exhibit an ethical and moral dimension while the former are void of these virtues. In addition to suggesting an explicit moral basis to the leadership phenomenon, Burns' other contribution to the study of leadership theory involves his interdisciplinary approach in analyzing the phenomenon. Sorenson (2000) argues that Burns' (1978) transactional-transforming paradigm emerged as a result of his interest in "psychology, psychoanalysis, history, political science, biography, and sociology" (Sorenson, 2000, p. 4) and that *Leadership* (Burns, 1978) was the first comprehensive interdisciplinary examination of the leadership phenomenon.

Inspired by Burns' (1978) conceptualization of a transactional-transforming leadership paradigm, Bass (1985) initially sought to operationalize the paradigm by

suggesting five factors – or descriptive characteristics – of transformational and transactional leadership. Bass posited that transformational leadership involved the dimensions of charismatic leadership, individualized consideration, and intellectual stimulation while transactional leadership could best be described in terms of contingent reward and management-by-exception attributes. Bass would then proffer the first iteration of his Multifactor Leadership Questionnaire (MLQ) as a means of quantitatively confirming the five factors associated with his conception of the transactional-transformational leadership paradigm. Bass and Avolio (1994) later enriched the work of Bass (1985) and proposed the full range leadership model (FRLM), as noted in Figure 3 (Bass & Avolio's Full Range of Leadership Model), and ascribed four characteristic factors ("4 I's") to the transformational construct including idealized influence, or "idealized leadership" (Avolio & Bass, 2002, p. 2), inspirational motivation, intellectual stimulation and individualized consideration. In turn, they suggest that transactional leadership involves the components of contingent reward, management by exception (active and passive), and laissez-faire leadership. The iterative work of Bass (1985) and Bass and Avolio (1994) has led to a refined definition of the transactional-transformational paradigm (Avolio & Bass, 2002).

> Transformational leaders motivate others to do more than they originally
> intended and often even more than they thought possible. Such leaders set
> more challenging expectations and typically achieve higher performance.
> Transformational leadership is an expansion of transactional leadership.
> Transactional leadership emphasizes the transaction or exchange that
> takes place among leaders, colleagues, and followers… True

transformational leaders raise the level of moral maturity of those whom

they lead. They convert their followers into leaders. They broaden and

enlarge the interests of those whom they lead. (p. 1)

In proffering the full range leadership model, Bass and Avolio (1994) embellished the

seminal work of Burns (1978) and established the transactional-transformational

paradigm as the dominant foundation of thought in contemporary leadership theory.

Adding to this narrative description, Table 3 (Comparison of characteristics

associated with extant transactional-transformational leadership theory), presented earlier

in this study, offers a visual representation of the paradigm. In contrast, Table 14

(Summary findings concerning R1) suggests three notable study participant

characteristics, which adumbrate a possible extension, or elasticity, in the essence

description of the transformational construct and by extension the transactional-

transformational paradigm. (i.e., full range of leadership model). As noted in Table 3, the

respective definitions of transformational leadership posited by Burns (1978) and Bass

and Avolio (1994) evidence several discernable dimensions including: a *moral*

dimension (e.g., "True transformational leaders raise the moral maturity of those whom

they lead" (Avolio & Bass, 2002, p. 1); "… stimulates higher levels of motivation and

morality (Burns, 1998, p. 15)); a *motivation dimension* (e.g., "transformational leaders

motivate others to do more than they originally intended (Avolio & Bass, 2002, p. 1);

"… elevates, inspires, mobilizes, exalts, uplifts, and exhorts followers" (Burns, 1978, p.

20)); a *conversion dimension* (e.g., "[Transformational leaders] convert their followers

into leaders" (Avolio & Bass, 2002, p. 1); "The results 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)); and a *mutuality of interest*

dimension (e.g., "[Transformational leaders] motivate colleagues and followers to look

beyond their own interests toward those that will benefit the group" (Bass & Avolio,

1994, p. 2); "…conjoins the purposes of the leader and followers (Burns, 1978, p. 20)).

Similarly, the findings associated with research question 1 also suggest a moral

dimension (e.g., "effectively communicates and personally evidences moral values and

ethical behavior…"; "exhibits a conviction and fidelity to moral principles and values";

exhibits courage in articulating and acting upon ethical ideals") and a motivation

dimension (e.g., "demonstrates passion toward accomplishing goals and purposes which

serve the needs of others"; "demonstrates focus in purpose and decisiveness in action).

However, the notion of a conversion dimension; that is, the willful intent or desire on the

part of the leader to transform the behaviors, attitudes, or opinions of followers was

absent in the discussions with the study participants. Tangentially related however, the

study participants expressed a hope that by exhibiting purposeful and morally heightened

actions, their followers would willingly and freely emulate them. This desire would

appear to be a reasonable expectation according to Dukerich, Nichols, Elm, & Vollrath

(1990) who have demonstrated, that as leaders exhibit moral authority, followers

evidenced higher moral reasoning. An apparent significant departure between those

characteristics suggested in the lives of the study participants and extant transactional-

transformational leadership theory lies in the dimension of mutuality of interest.

Replete throughout the assertions made by Burns (1978) and Bass and Avolio

(1994), there are references made as to the requirement of transformational leadership to

"conjoin the purposes of leaders and followers" and to "engage with others in such a way

that leaders and followers raise one another to higher levels…" (Burns, 1978, p. 4).

Burns adds to this by asserting that transforming leadership is "a relationship of mutual

stimulation and elevation…" (p. 4). Bass and Avolio (1994) contribute to this theme of

mutuality of interest in positing that, "Transformational leadership is seen when leaders

… motivate colleagues and followers to look beyond their own interests toward those

that will benefit the group" (p. 2). Maldonado and Lacey (2001) assert that

"transformational leadership is a reciprocal leadership style" (p. 80) and Yukl (1994)

posits that transforming leadership is a process in which leaders and those led support

one another in reaching higher levels of morality and motivation. In contrast, the

perceived transcendent leaders made part of this study evidenced a pronounced "other"-

interest; that is, a conscious and earnest intention to look beyond mutuality or reciprocity

and toward unrequited service to others and broader social causes. Whereas transactional

leadership suggests a s*elf-interest*, (i.e., an economic exchange relationship) and

transformational leadership is manifest in a *mutuality of interest*, (i.e., a social exchange

relationship), the perceived transcendent leaders in this study presented evidence to

suggest an inherent inclination toward *"other"-interest*, thereby suggesting an extension

to the prevailing reach of the transactional-transformational construct. A further

divergence between the extant transactional-transformational paradigm and the findings

posited in research question 1 (R1) of this study is the apparent basis of theory from

which the full range of leadership model emanates.

Arguably, the transactional-transformational paradigm focuses on the dyadic

relationship between a leader and follower(s) and the type of exchange relationship

created. This is consistent with the basis of leader-member exchange (LMX) theory and

relational leadership. In contrast, the basis of the leadership experience as evidenced by the study participants would suggest that certain elements associated with emotional intelligence theory (i.e., personal and social competencies) form the foundation from which their actions and proclivities emerge. That is, attributes aligned with self-awareness, self-management, social awareness, and relationship management were cited by the study participants as paramount to exceptional leadership.

A third key study participant characteristic, determined resolve, and its affiliated attributes were juxtaposed to those behavioral variables commonly associated with transactional and transformational leadership and found congruent in that the transformational construct attempts to "develop colleagues and followers to higher levels of ability and potential" (Bass & Avolio, 1999, p. 2). This theme may be generalized to those attributes the study participants ascribed to the characteristic of determined resolve with the added requirement that the effort involved further a moral principle or ethical ideal (e.g. the confronting of inequity or injustice, etc.).

In summary, research question 2 (R2) sought to discern if the key characteristics evidenced in response to research question 1 (R1) were different, in any meaningful way, from those commonly associated with transactional and transformational leaders. The findings associated with research question 2 (R2) posit two significant variances heretofore unidentified in the body of literature. First, that the healthcare leaders comprising this study evidenced an earnest propensity to serve the legitimate needs of others and social causes ahead of their own interests. Transactional leadership can reasonably be associated with self-interest, or a quid pro quo economic exchange. Transformational leadership, in turn, has been cited by Burns (1978) and Bass and

Avolio (1994) as a social exchange, promoting mutuality of interest. In contract to either of the aforementioned, the participating leaders in this study evidenced an earnest "other"-interest; that is, a personal orientation to serve the legitimate needs and aspirations of others and broader social causes without requite. Secondly, a key characteristic associated with the study participants, and absent in the transactional-transformational literature, suggests that the basis of a nascent transcending leadership construct may emerge from emotional intelligence theory.

Research question 1 (R1) sought to describe the three key characteristics and affiliated attributes associated with perceived transcendent healthcare leaders. Research question 2 (R2) proposes certain heretofore unidentified discrepancies between the extant transactional-transformational paradigm and the findings identified in R1. Finally, given the aforementioned findings, this study seeks to address the inquiry, "Is it reasonable to propose a transcending leadership construct?".

Findings Regarding Research Question 3: "Is it reasonable to propose a transcending leadership construct?"

In advance of speculating on the reasonableness of a legitimate transcending leadership construct, it is useful to first conceptualize the findings of research questions 1 and 2 into a framework which may be compared to the nascent propositions posited in the literature (Aldon, 1998; Cardona, 2000; Crossan et al., 2002; Larkin, 1994). Given this exercise the research findings may then be viewed through the lens of multiple propositions and an interpretation offered as to which aspects of the propositions appear synergistic with the results of R1 and R2.

Employing the framework presented earlier in Table 11 (Comparison of the propositions asserting the reasonableness of a transcending leadership construct), the conclusions drawn from the study participants suggest the following conceptualization of a proposed transcending leadership construct (Table 33).

Table 33

Conceptualization of a proposed transcending leadership construct as suggested by the findings associated with R1 and R2.

Study	Basis(es)	Contextual Factor(s)	Characteristics	Definition
A Phenomenological Study of Transcendent Leaders in Healthcare (Jordan, 2005)	Emotional Intelligence Theory	♦ Interpersonal & Intrapersonal ♦ "Enriched" social exchange ♦ *Alius penitus pro ego penitus vel mutuus penitus* (Other-interest before self interest or mutuality of interest) ♦ Self-transcendence	♦ Other-interest ♦ Determined resolve ♦ Social awareness, Self-awareness, Self-management, & Relationship management (i.e. Emotional Intelligence)	The focus of transcending leadership is "other-interest" whereby leader motivation extends beyond self-interest & mutuality of interest to embody an orientation to serve the legitimate needs & aspirations of others & social causes, without requite. This leader motivation heightens the exchange relationship from a social exchange, where there exists an expectation that both leader and follower(s) will receive a measure of benefit – either extrinsic or intrinsic – to an "enriched social exchange" where the intended benefit is directed to the follower(s). In this relationship the leader exhibits an extraordinary determination of resolve in pursuit of goals which contribute to the well-being of others & broader social purposes.

As interpreted from the results of R 1 and R2, the reasonableness of proposing a discrete transcending leadership construct appears credible. In stipulating this assertion is it then reasonable to suggest that the transcending leadership construct adds to the transactional-transformational paradigm an "other-interest before self-interest or mutuality of interest" orientation (i.e., alius penitus pro ego penitus vel mutuus penitus) coupled with a determined resolve to advance the well-being and legitimate needs of others and broader social purposes. The premise, or underlying basis, upon which this interpretation asserts the reasonableness of the transcending leadership phenomenon is synergistic with the precepts broadly associated with emotional intelligence theory (Table 31: Emotional intelligence domains and associated competencies).

With an interpretive conceptualization of a transcending construct now presented, it is useful to juxtapose these findings with the four dominant propositions found in the literature. This provides a means of determining if any of the aforementioned proposition(s), or aspects promulgated therein, appear reasonably aligned with the conceptualization offered in Table 33 of this study.

Précis of the Nascent Propositions of Transcending Leadership

While Avolio and Bass (2002) have suggested that "transformational leadership is an expansion of transactional leadership" (p. 1.) several recent studies have suggested an emergent leadership construct, which may broaden the full range leadership model. Though *transcending leadership* was only obliquely mentioned by Burns (1978), four nascent propositions on the phenomenon have stimulated an inchoate inquiry.

Larkin (1994) ascribes a *spiritual dimension* to transcendent leadership and posits that transcendent leaders exhibit five invariant themes (i.e., characteristics) and twelve

behaviors associated with these themes. According to Larkin, transcendent leader characteristics include: God-centered confidence, empowerment of others, hospitality, compassion toward others, and humility. Manifesting behaviors of transcendent leaders identified by Larkin include: tolerance toward others, servant leader behavior, acceptance, energy, celebration, honesty, spiritual awareness, wholeness, empathy, I-thou functioning, openness to see beyond self, and surrender [to God's will and direction].

Response to Larkin (1994): There was no dispositive evidence suggesting that perceived transcendent leaders, or by extension a prospective construct of transcending leadership, were overtly guided by a religious dogma or spiritual dimension. The study participant responses to the question, "Are your existential or spiritual beliefs integral to your work as a healthcare leader?", elicited no invariant theme associating their leadership experience to their spiritual beliefs. Their individual beliefs were distributed among three stipulated degrees of influence with four (n=4) respondents reporting that their spiritual beliefs were a defining influence on their work; six (n=6) study participants stated that their spiritual or existential beliefs had a moderate influence; and four (n=4) perceived transcendent leaders indicated that spiritual or existential beliefs had minor to no influence on their leadership experience. This finding contradicts that of Larkin (1994) and her assertion that transcendent leadership is fundamentally rooted in a spiritual dimension. However, this is not to suggest that the study participants (i.e., perceived transcendent leaders) do not have guiding beliefs which influence their actions. To the contrary, the participating leaders appeared fundamentally directed by closely held core values (i.e., category of data 2) and standards of moral/ethical conduct (i.e.,

category of data 11), which evoke Kohlberg & Ryncarz's (1990) suggestion of a non-

dogmatic, yet spiritual, seventh stage of moral development; that is, *transcendental*

morality (Table 2). While Larkin (1994) makes a direct correlation between spirituality

and leader transcendence, Kim (2000) would later bifurcate transcendence into a natural

phenomenon and a spiritual phenomenon asserting that transcendence embodies two

directions: "vertical transcendence and horizontal transcendence" (p. 75). Kim asserts

that, "vertical transcendence means that a person transcends him or herself in relation to

God. To pursue God means to transcend *vertically*. The other direction of transcendence

is *horizontal,* toward other people" (p. 75). The results of this study would suggest that

perceived transcendent leaders are, to a significant degree, horizontally oriented toward

individuals and causes and may or may not be concurrently vertically associated toward

an immanent God, as suggested by Larkin (1994).

Aldon (1998) conflates the spiritual dimension, ascribed to the transcendent

leadership phenomenon by Larkin (1994), with the dynamic of human consciousness

evolution. Aldon (1998) asserts that the evolution in human consciousness over the

epochs of time has propagated new leadership constructs that, in turn, support even

higher levels of consciousness. Aldon then associates spiritual humanism (Wilber, 1997)

with conscious evolution and suggests that the union has furthered the natural

progression of leadership theory instigating the emergence of the transcendent leadership

phenomenon. Aldon (1998) ascribes five manifesting behaviors to her conceptualization

of the transcendent leadership phenomenon: trust toward followers and collaboration,

respect for others and Nature; love [expressed] for people and the natural world, personal

integrity (moral character) and an expressed spirit of community in recognizing the

interconnectedness of Man's collective thought – or noosphere – over time. The conceptualizations of a transcendent leadership phenomenon by Larkin (1994) and Aldon (1998) each suggest that the construct is drawn from an intimately personal source emanating from a metaphysical wellspring within the individual. The contextual factors which support the emergence of a transcendent leadership construct, as suggested by Larkin (1994) and Aldon (1998), are therefore *intrapersonal*. In contrast, Cardona (2000) and Crossan, et al. (2002) suggest that a transcendent leadership construct is predicated upon *interpersonal* and *impersonal* contextual factors, respectively.

Response to Aldon (1998): Though an intellectually compelling assertion, no evidence was elicited in this study to support the argument made by Aldon (1998) that the phenomenon of transcendent leadership is manifest in the evolution of human consciousness which "raises one another to higher levels of motivation, morality, and consciousness [thereby] co-creating the future in the essence of spiritual humanism" (p. 4). Though the research findings presented in this study of healthcare leaders (i.e., R1 and R2) imply that transcendent leaders may possess a heightened level of leader motivation and moral/ethical sensibility, no correlation with an "essence of spiritual humanism" was specifically identified. This is not to suggest however that this pathway of inquiry is without merit for future investigation.

Aldon's conception of an expanding intrapersonal and world consciousness could reasonably be likened with the notions of *self-actualization* (Maslow, 1971) and *transcendence* (Maslow & Lowery, 1998). Maslow and Lowery suggested that while the self-actualization level of Maslow's hierarchy of needs model (1971) involved finding self-fulfillment and the realization of one's own potential, an expanded and heightened

transcendence level concerns itself with helping others find self-fulfillment and the realization of their potential (Table 2). This is consistent with Burns (1978) conceptualization of *purposeful leadership* (p. 44); that is, the congruence between need and value hierarchies.

Crossan, Nanjad, and Vera (2002) assert that impersonal pressures associated with the dynamics of a rapidly evolving business environment are precursors to the emergence of a new leadership construct. Crossan, et al. argue for a "new form of strategic leadership" (p. ii), which will respond to the dynamic contextual factors faced by contemporary organizations. These factors include the changing general and organization-specific external environments, the dynamic nature of strategy creation in response to environmental factors, and the requisite organizational forms or structures required to accommodate these strategies. Transcendent leadership, according to Crossan et al., fulfills the demands of the "chaotic and disruptive" milieu in which contemporary business operates. The authors ascribe four components – or invariant characteristics – to the transcendent leadership phenomenon including: receptivity, renewal, resiliency, and reflectiveness. These four characteristics lie in juxtaposition to those ascribed by Bass and Avolio (1994) to transformational leadership (i.e., the "4 I's").

Response to Crossan, et al. (2002): Whereas Aldon (1998) theorizes that the epochal development in human consciousness instigates the creation of new forms of leadership, Crossan, et al. (2002) ascribe a more prosaic explanation for a leadership construct which extends the transactional-transformational paradigm; that is, an expansion of extant strategic leadership theory. The results of R1 and R2, as interpreted in this study of perceived transcendent leaders, bears little resemblance to those

assertions made by Crossan, et al. Whereas Crossan, et al. suggest a functional and impersonal foundation to their perspective, the findings elicited in this study evidence a more inter and intrapersonal basis to the transcending construct. That is, transcending leadership has less to do with pacifying "chaotic and disruptive" business environments and more to do with stimulating social and personal change, so as to advance the legitimate (i.e., moral and ethical) needs and aspirations of followers or groups. Where Crossan, et al. associate a proffered transcendent construct with control of contextual organizational factors, the results of this study suggest that transcending leadership is an immensely personal form of leadership which is manifest in a leader's motivation to act on behalf of another, a group of others, or as a proxy for a legitimate (i.e., moral and ethical) social purpose. When viewed through this perspective, transcendent leaders might reasonably be assumed to incite, rather than control, contextual personal (i.e., inter and intra), organizational, and social factors.

Finally, Cardona (2000) bases his conceptualization of a transcendental leadership construct upon normative leader-member exchange (LMX) theory and then enriches his definition with the tenets of self-sacrifice and moral virtue; attributes generally associated with servant leadership (Greenleaf, 1973) theory. Cardona (2000) proffers a relational leadership model – comprised of transactional leadership, transformational leadership, and transcendental leadership – where the transcendental phenomenon adds a service orientation to the transformational construct. Cardona (2000) proposes an ingenuous triarchic framework of exchange theory where extant economic and social exchange theory are enriched by adding a proffered contribution exchange relationship. The essence of Cardona's theory rests in the viability of the interpersonal

relationship developed between leader and follower/collaborator. Transcendental

leadership, according to Cardona, will create a contribution exchange relationship

resulting in high follower loyalty evidenced in extra role effort, availability, and

commitment to the organization. In contrast, transformational leadership creates a work

exchange relationship, which elicits only moderate follower loyalty. Transformational

leadership is then followed by transactional leadership, which evokes only extrinsic

collaborator motivation and minimum follower loyalty.

   Response to Cardona (2000): In comparing the characteristics proffered in each

of the nascent transcendent leadership propositions to those characteristics identified in

research questions 1 and 2, the proposition that appears most closely aligned is that

espoused by Cardona (2000). In comparing the key characteristics identified in Table 11

(Comparison of the propositions asserting the reasonableness of a transcending

leadership construct) with those of Table 33 (Conceptualization of a proposed

transcending leadership construct as suggested by the findings associated with R1 and

R2) it becomes evident that Cardona's integration of servant leadership, leader-member

exchange theory, and motivation are reasonably synergistic with the characteristics of

"other-interest", emotional intelligence theory, and determined resolve.

   The ultimate intent of servant leadership is to make sure that "other people's

highest priority needs are being served" (Greenleaf, 1991, p. 7) through a willful

subordination of leader self-interest. This behavior enriches the dyadic relationship by

insuring that follower's needs are met, that followers are growing as individuals and in

turn affecting other social collectivities, and that followers are cared for through honest

and ethical means. "Other"-interest, as conceptualized in the findings of this study, is

congruent with the principles rooted in servant leadership, but further enriches

Greenleaf's (1976) notion of *primus inter paras* (i.e., first among equals) with the

proffered conception of *alius penitus pro ego penitus vel mutuus penitus* (i.e., other-

interest before self interest or mutuality of interest).

Whereas Cardona (2000) ascribes to his conception of transcendental leadership

"the influence that the leader's values and actions have on the relationship between

leader and collaborator" (p. 201) – a perspective consistent with leader-member

exchange (LMX) theory – the results of this study broaden Cardona's interpersonal

perspective (i.e., social) to include an intrapersonal dimension. The union of social (i.e.,

social awareness and relationship management) and personal (i.e., self-awareness and

self-management) dimensions are consistent with emotional intelligence theory and

reflect a key characteristic evidenced in the lives of the study participants. That is, the

perceived transcendent leaders indicated as much, or more consideration for their

internally derived and deeply held values and motivations as they did with their actions

(i.e., leadership accomplishments), which were made public.

Finally, drawing upon an inner wellspring of moral and ethical values, emergent

from and influenced by family history (i.e., category of data 5) and the lived example of

significant others (i.e., category of data 9), the study participants projected a third

characteristic; that is, a resolute determination of effort in pursuing goals which could

serve their followers and social causes. This tangentially speaks to Cardona's assertions

that transcendental leadership involves "the integrity and capacity to sacrifice themselves

in the service of their collaborators" (p. 205).

In summary, pursuant to those findings evidenced in research questions 1 and 2 of this study, the response to the question posed in research question 3 (i.e., "Is it reasonable to propose a transcending leadership construct?") would indicate that it is reasonable to propose a transcending leadership construct based upon the variances found between key characteristics evidenced in the lives of the study participants and extant transactional-transformational theory. Further, the findings suggest that a transcending leadership construct is an iterative extension to the full range of leadership model which adds to the transformational construct an "other"-interest perspective manifest in leader altruism, benevolence/beneficence, and empathy.

Of the prevailing propositions currently proffered in the literature, concerning a transcending leadership construct, Cardona's (2000) appears to be the more closely congruent with the findings of this study.

Conclusion

Chapter 4 presented the findings associated with the three research questions, which instigated this phenomenological inquiry. An analysis of 12 categories of data suggest that the study participants broadly exhibit three significant characteristics, two of which appear discordant with extant transactional-transformation leadership literature; that is, the notable characteristics of "other-interest before self interest or mutuality of interest" (i.e., alius penitus pro ego penitus vel mutuus of penitus) and those social and relational competencies broadly affiliated with emotional intelligence. In turn, this dissonance leads to an interpretation as to the reasonableness of proposing a new leadership construct; transcending leadership, which adds to the transformational construct an "other"-interest perspective manifest in leader altruism,

benevolence/beneficence, and empathy. In comparing the findings of R1 and R2 to

propositions currently proffered in the literature, Cardona's (2000) assertions appear

most closely aligned with the findings of this study.

Chapter 5 concludes this phenomenological inquiry of perceived transcendent

healthcare leaders by offering certain propositions concerning the nature of a

transcending construct. Prospective implications and suggestions for further research of

the phenomenon is offered.

Chapter 5

Of all the jobs of leadership, being a steward is the most basic. Being a steward means recognizing that the ultimate purpose of one's work is others and not self; that leaders "do what they do" for something larger than themselves; that their "life's work" may be the "ability to lead"; but that the final goal of this talent or craft is "other directed".

Al Gini (1996) referencing the work of Peter Senge (1990)

Discussion

<u>Introduction</u>

The purpose of this qualitative study has been to explore the reasonableness of proposing a new construct of leadership theory; *transcending leadership*, by examining the lived experiences of notable leaders within the healthcare milieu. The findings indicate that two of the three key characteristics common to the study participants (i.e., "other"-interest and emotional intelligence) were found to be beyond the influence of existing transactional-transformational literature; which deductively suggests a gap in the current body of knowledge and the plausibility of the transcending leadership construct as a legitimate response to that void.

Chapter 5 pursues these findings and offers several propositions intended to incite future research on the legitimacy of the transcending leadership phenomenon. Certain conclusions and implications consequential to the study findings are offered. Finally, suggestions are offered for future research intended to advance the study of the proposed transcending construct as an integral component of a triarchic leadership model.

Discussion of Results

Research finding 1: In response to research question 1 (i.e., "What are the key

characteristics of healthcare professionals who are perceived to be transcendent

leaders?"), the findings indicated that the participating leaders exhibited three key

characteristics; that is, an *"other"-interest*, a pronounced orientation to serve the

legitimate needs and aspirations of others and broader social causes without requite. This

desire to serve transcends self-interest or mutuality of interest; *determined resolve*, a

committed resolve to pursue goals intended to contribute to the well-being of others, of

community, and of broader social purposes; and aptitudes consistent with and expansive

of *emotional intelligence*, a pronounced capacity for recognizing and effectively

managing one's feelings and relationships with others (Goleman, Boyatzis, & McKee,

2002). Behavioral, or affiliated attributes associated with "other"-interest include:

altruism, a consideration for others without thought of self; *empathy*, a genuine and

heartfelt understanding for the feelings of others; *benevolence*, kindheartedness extending

to *beneficence* on a social scale; an ability to "listen deeply" to others; and finally, the

ability to effectively communicate and personally example moral values and ethical

behavior. Attributes associated with determined resolve include: a conviction and fidelity

to moral principles and values, a demonstrable passion toward accomplishing goals and

purposes which serve the needs of others, an ability to confront inequity or injustice,

decisiveness in action, and courage in articulating and acting upon ethical ideals. Finally,

attributes evidenced by the study participants as adjunct to the key characteristic of

emotional intelligence include: *discernment* (i.e., an ability to discriminate ethically

ambiguous circumstances), a capacity to *see things whole* (i.e., to envision the broader

perspective or context of a situation), the capacity to act ethically regardless of the

perceived or real consequences to self, self-reflection, humility, honesty, flexibility, self-

improvement, and maintenance of a positive attitude.

> *P1: "Other"-interest, the pronounced orientation of a leader to serve the*
>
> *legitimate needs and aspirations of others and broader social causes without*
>
> *requite, is a key characteristic of transcending leaders, and by extension, the*
>
> *phenomenon of transcending leadership.*
>
> *P2: Determined resolve, the committed pursuit of goals intended to contribute to*
>
> *the well-being of others, of community, and of broader social purposes, is a key*
>
> *characteristic of transcending leaders, and by extension, the phenomenon of*
>
> *transcending leadership.*
>
> *P3: The personal and social competencies broadly associated with emotional*
>
> *intelligence (i.e., self-awareness, self-management, social awareness, and*
>
> *relationship management) is a key characteristic of transcending leaders, and by*
>
> *extension, the phenomenon of transcending leadership.*

In attempting to conceptualize the findings associated with research question 1,

the work of Carey (1992) offers an intriguing perspective. He asserts that a "Leader

orientation toward self and others must be taken into account in order to understand fully

the leadership dynamic" (p. 317). He then posits a useful framework involving the

conceptions of *self-transcendence* and *self-embeddedness* for considering this

perspective; one that appears apposite to the developmental nature of the transactional-

transformational paradigm. That is, as a consequence of a leader's intent to develop "a

relationship of mutual stimulation and elevation" (Burns, 1978, p. 4) with followers, they

move toward a greater self-transcending subjectivity. Failure to progress toward an
altruistic relationship with followers results in the consequence of leader self-
embeddedness; the implication of which produces "inattention, obtuseness,
unreasonableness, and irresponsibility" (Lonergan, 1985, p. 9). This developmental view
of the consequence of leadership action is consistent with developmental theory
(Erickson, 1963; Kegan, 1982; Kohlberg, 1975). Carey (1992) applies this framework to
the transactional-transformational paradigm and suggests that self-transcendence is a
developmental movement away from the self-embedded nature of transactional
leadership and toward the social exchange relationship broadly associated with
transformational leadership.

> Leadership flowing out of a fundamental option for either self-
> transcendence or self-embeddedness can be seen as proceeding from the
> factors of either transformational leadership or transactional leadership as
> defined by Bass (1985); however, only the fundamental option for self-
> transcendence leads to moral leadership as Burns (1978) has described it.
> (Carey, 1992, p. 228)

In coupling the findings of research question 1 with a variation on the framework
suggested by Carey (1992) a reasonable assertion could be made which would associate
the consequence of transactional leadership with leader self-embeddedness, the
consequence of this study's proposed transcending leadership construct with aspects
attributed to leader self-transcendence, and the mutuality of interest consideration given
to transformational leadership with a proffered consequence termed *mutual enhancement*.
Mutual enhancement appears more closely correlated with Burns (1978) notion of "a

relationship of mutual stimulation and elevation" (p. 4). Further, as Carey (1992) had no

frame of reference pertaining to the nascent transcending leadership construct, he would

not have possessed, or as yet conceptualized, a *triarchic model of leadership* which adds

to the transactional-transformational paradigm an "other"-interest perspective, as

identified in this study with the transcending leadership phenomenon. Consistent with the

findings of this study, Figure 12 offers an interpretive conceptualization of a triarchic

leadership model which conjoins the full range of leadership model (Bass & Avolio,

1994) with the transcending leadership construct.

Transcending Leadership
- Other-Interest   *"Other"-Interest*
- Determined Resolve   (i.e., altruistic or "enriched"
- Emotional Intelligence   social exchange relationship)

Self-Transcendence

Transformational Leadership
- Idealized leadership (influence)   *Mutuality of Interest*
- Inspirational motivation   (i.e., social exchange relationship)
- Intellectual stimulation
- Individualized consideration   **Mutual Enhancement**

Transactional Leadership
- Contingent reward   *Self-Interest*
- Management by exception   (i.e., economic exchange relationship)
  (passive & active)
- Laissez-faire   **Self-Embeddedness**
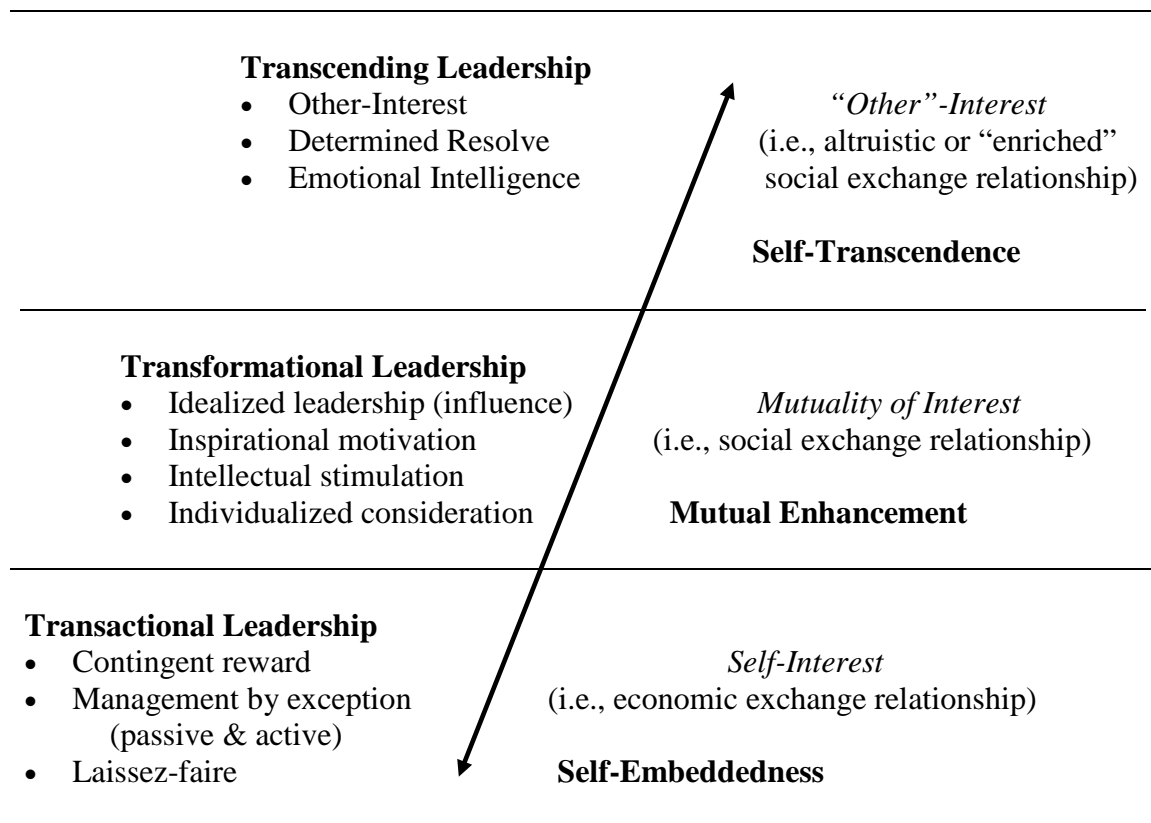
Figure 12. Conceptualization of a triarchic leadership model conjoining the full range

leadership model (Bass & Avolio, 1994) with a transcending construct.

P4: Transcending leadership contributes to leader motivation an "other"-interest

perspective, the consequence of which is manifest in leader self-transcendence.

Research finding 2: Research question 2 (i.e., "Do the key characteristics

evidenced by healthcare professionals, perceived as transcendent leaders, differ from

those of transactional and transformational leaders…?") sought to juxtapose the identified

key characteristics of the study participants with those attributes generally associated

with the transactional-transformational paradigm in an attempt to discriminate any

fundamental or nuanced differences. Discrepancies between the study findings and extant

transformational-transactional literature appears to suggest the legitimacy of a leadership

construct which extends the existing paradigm; that is, a transcending leadership

construct. An interpretative analysis of the findings revealed that the key characteristics

of "other"-interest and the social and personal competencies associated with emotional

intelligence appear outside of the current purview of transactional and transformational

theory, thereby giving credence to the feasibility of an iterative expansion to the full

range of leadership model.

P5. The characteristics of "other"-interest and the social and personal

competencies broadly attributed to emotional intelligence theory are

distinguishing features which fall outside the literature generally

associated with the transactional-transformational leadership paradigm

(i.e., full range of leadership model).

Research finding 3: In completing the process of triangulation, the results of this

study were compared first to extant transactional-transformational leadership theory (i.e.,

research question 2) and then with four nascent propositions concerning a transcending

leadership construct (Aldon, 1998; Cardona, 2000; Crossan, et al., 2000; and Larkin, 1994). The key characteristics identified in this study (i.e., "other-interest, determined resolve, and the social and personal competencies affiliated with emotional intelligence) and those posited by Cardona (2000) appear the most closely aligned (i.e., servant leadership, leader-member exchange, and motivation). While certain aspects suggested by Aldon (1998), Crossan et al. (2002), and Larkin (1994) offered intriguing insights into the phenomenon being studied, their assertions were largely undetected in this study.

As with any proposition, the intent is to proffer a particular perspective or viewpoint, so as to engender future dialogue and investigation. Aldon (1998), Cardona (2000), Crossan et al., 2002), and Larkin (1994) have each approached the phenomenon of transcending leadership from a particular vantage point and basis(es). The results of this study's inquiry proposes another view of the phenomenon; one that is unique among the prevailing propositions found in the literature. Transcending leadership, as viewed through the lens of this investigation, extends the full range of leadership model by further elevating the intrapersonal needs and moral dimension of transformational leadership, suggestive of Maslow and Lowery's (1998) eighth level of human need (i.e., transcendence) and Kohlberg and Ryncarz's (1990) seventh stage of moral development (i.e., transcendental morality). This assertion might reasonably intimate that heretofore thought of transformational leaders such as Gandhi, Martin Luther King, Jr., Nelson Mandela, and others (Burns, 2003) might, in fact, be transcending leaders' given their acknowledged "other"-interest before self or mutual interest, their resolute determination to pursue broad moral and ethical social causes, and their unique and highly accentuated social and personal competencies.

Research question 3 sought to answer the question, "Is it reasonable to propose a transcending leadership construct?" Given the results of this initial phenomenological study, it appears reasonable to propose such a construct with the ambition that it will instigate others to continue this thread of inquiry.

P6: Transcending leadership is an iterative expansion of the extant transactional-transformational paradigm which together propound a triarchic leadership model comprising transactional leadership, transformational leadership, and transcending leadership.

Study Implications

Roepke (1995) maintains that leadership, which is both morally guided and oriented to fulfilling the needs of others, is one of society's most pressing needs. In an age where leaders, particularly those in business and politics, are viewed by many to have lost their moral purpose and ethical idealism (Nair, 1994) conceptualizing and encouraging forms of leadership practice which "have a positive lasting effect or influence on others and/or the world" (Maldonado & Lacey, 2001, p. 80) appears urgent. This would seem particularly so within the social justice and helping professions, such as healthcare, peace advocacy, public education, civil rights, and related fields where a leader's ethical conduct, shaped by moral values and personal character, gives legitimacy and credibility to the mission of their organization or social cause (Kanungo & Mendonca, 1998). One implication of this study is that it appears to support the notion of a transcending leadership construct that may fill a void in contemporary leadership theory; one where leader motivation advances from self-interest (i.e., transactional leadership) through mutuality of interest (i.e., transformational leadership) to a form

which is predicated upon a moral basis(es) manifest in an "other"-interest. Pursuant to the study results, transcending leadership appears to be imbued with altruistic intent; the consequence of which results in leader self-transcendence. If ultimately deemed a credible extension to the transactional-transformational paradigm, transcending leadership may very well respond to Roepke's (1995) appellation for a new form of leadership which is morally guided and oriented toward meeting the legitimate needs of others and social causes without expectation of benefit or requite.

Another implication of this phenomenological inquiry is that it may provide assistance in shaping future debate concerning the viability of the transcending phenomenon. Prior to this study, no comparative review of the disparate transcending leadership propositions have been, to the knowledge of the researcher, conducted. As such, this study can reasonably be considered primary research; the intention of which is to solicit future inquiry as to the nature and viability of the phenomenon. The findings drawn from this study may conceivably contribute to the body of knowledge, as it pertains to leadership theory, by offering new insights and definitions concerning a proposed transcending leadership construct manifest within a triarchic leadership model.

Study Limitations

Qualitative studies are inherently subject to a variety of limitations that can affect the interpretation and generalizing of the findings, as noted in Chapter Three. The dual-role played by nominating-corroborators, restriction of the study participants to "top-leaders", applicability of the findings outside of the sample of study participants, and limits imposed on data gathering have been addressed previously. There remain,

however, other limitations that should be considered in interpreting the findings of this study.

The findings in this inquiry are based on only fourteen (n=14) study participant interviews, along with a corresponding number of nominating-corroborator discussions. Additionally, all study participants were "top-leaders" within the healthcare environment, as opposed to middle or other striations of leadership within the organization. As such, it is possible that this small group was unique and the findings may not extrapolate to or exist beyond this cohort. Although Creswell (1998) asserts that a phenomenological study include "interviews with up to ten people" (p. 65) and Boyd (2001) posits that two to ten research subjects are sufficient to reach saturation, it is reasonable to assume that the assertions made in this inquiry may have limited applicability to other cultures, organizations, or groups of leaders.

Primary reliance upon self-reported data could also be considered an obstacle in generalizing the results of this study. However, the use of nominating-corroborator interviews and other corroborative data collection methods, such as document examination were employed to mitigate the potentially self-serving responses of the study participants. Creswell (1997) notes that the use of corroborator data adds credibility to the qualitative (phenomenological) study (p. 82).

Although a new leadership construct is tentatively suggested (i.e., transcending leadership), it is possible that the perceived transcendent leaders, who served as study participants, are characterized by an existing model or construct (i.e., servant leadership, moral leadership, transformational leadership, etc.). However, the study findings appear to point to subtle, yet distinct, differences between these participants and individuals who

might be considered as functioning within a different leadership model. This limitation is

further advanced, due to the fact that no stipulated definition of transcending leadership

currently exists in the literature, and that the study participants were nominated given a

proffered, yet undetermined, definition. This particular point is somewhat chastened,

given the rhetoric of qualitative research in allowing for tentative definitions of key

research elements which may evolve throughout the study pursuant to new information

garnered (Creswell, 2003, P. 89).

Research bias may also serve as a limitation in this study. As acknowledged

earlier in Chapter Three, over the course of my career in the healthcare field I have

observed and worked closely with a select number of individuals I would tacitly identify

as presenting characteristics of transcending leadership as purported in this study. As

such, the potential of certain biases in interpreting the data collected exists. However, as

part of the data collection and analysis, every effort was made to ensure objectivity,

including the phenomenological techniques of bracketing, epoche, as well as the

engagement of a reflexivity mentor as a means of enhancing the internal trustworthiness

of the study. Additionally, an expert external examiner was made part of the research

design and further contributed to its authenticity, credibility, and design coherency

(Creswell, 2003, p. 196).

Lastly, although significant effort was made to examine a plethora of leadership

theories, constructs, and propositions as a means of juxtaposing the results of this study

with extant theory, further study is needed to determine if the elements associated with a

proposed transcending construct (i.e., "other"-interest, determined resolve, and certain

aptitudes broadly associated with emotional intelligence theory) represent a new model of leadership or are embodied within an existing construct.

In spite of these limitations, this study has added to our understanding of the leadership phenomenon, in that the qualitative findings were rich, informative, and appear to extend contemporary leadership theory.

Directions for Future Research

The results of this phenomenological study allude to the feasibility of a new leadership construct; one that could contribute to the extant transactional-transformational leadership paradigm, as originally conceptualized by Burns (1978) and later operationalized by Bass and Avolio (1994). Specifically, determining the viability of a transcending leadership construct would serve to expand the continuum of "new leadership" (Bryman, 1993) theory and further enrich our understanding of the complexities inherent within the leader-follower dyad. Given this, and related implications, future research is apposite in contributing to an understanding of a proposed transcending leadership construct.

Expanding the study's research to include individuals from throughout the strata of employees within a healthcare organization (i.e., non-CEO supervisors or non-supervisory followers), as well as organizations outside the healthcare environment (i.e., government, education, religion, politics, advocacy finance, industry, etc.), may offer a fruitful and deeper understanding of the nascent transcending construct. Fairholm (2003) posits leadership in a new light; one which emphasizes the importance of leading from the middle of the organization. Fairholm describes this as "inner leadership" and asserts that leaders throughout the organization – as opposed to top leaders – are key to driving

organizational dynamics. A qualitative study of middle leaders may further contribute to our understanding of a proposed transcending construct.

> *D1: A phenomenological study of "middle leaders", within the healthcare*
>
> *milieu, may further contribute to our understanding of a proposed*
>
> *transcending construct and serve as a juxtaposition to the results of this*
>
> *study as it applies to top healthcare leaders.*

Similarly, phenomenological inquiry as to the nature of transcending leadership and transcendent leaders could be instigated within organizational contexts outside of the healthcare environment and among top and middle leaders. This could serve to broadly expand the scope of comparison between the results of this study and future findings among divergent types of organizations, institutions, or social collectivities.

> *D2: Expanding the scope of phenomenological inquiry as it applies to*
>
> *perceived transcendent leaders, outside of the healthcare milieu (i.e.,*
>
> *government, education, political environments, industry, public advocacy,*
>
> *etc.) and among the strata of organizational leadership (i.e., middle leaders*
>
> *and top leaders), may further contribute to our understanding of a*
>
> *proposed transcending construct.*

Tangentially related to the directions for future research thus far noted (i.e., D1 and D2), a multicultural and multinational phenomenological inquiry comparing the transactional-transformational paradigm to the proposed transcending construct would add diversity and could yield important insight(s) further informing the results of this study.

D3: An international and culturally diverse phenomenological study of

"top leaders" and "middle leaders", within and external to the healthcare

field and who are perceived transcendent leaders, may further contribute to

our understanding of a proposed transcending construct. In effect, to what

degree – if any – do the results of this study compare to the prospective

findings concerning perceived transcendent leaders living and working

outside of the geographic and cultural parameters stipulated in this

inquiry?

Future research concerning a transcending leadership construct may involve a more inclusive study in which the characteristics broadly affiliated with transformational leadership, and those proffered in this study as characteristic of transcending leadership, are associated with specific contemporary or historical figures who may heretofore been deemed transformational leaders (i.e., Gandhi, Martin Luther King, Jr., Nelson Mandela, and others). This would allow a further examination between the two constructs and serve as a means of discerning what differences, if any, exist between them. It should be emphasized, however, that the phenomenological nature of the leadership experience makes it challenging to examine empirically. Several approaches may serve this task including the factor analysis method employed by Bass (1985), the psycho-historical process of Burns (1978), or the interview method favored by Kohlberg (1976).

D4: Burns (2003) has suggested that individuals such as Gandhi, Martin

Luther King, Jr., Nelson Mandela and other contemporary and historical

figures are transformational leaders; given the prevailing definitional

scope of the extant transactional-transformational paradigm. By re-

examining the lived experiences of these and other notable leaders through

the context of this study's findings certain insights may present themselves

contributing to a richer understanding of the transformational construct,

the proposed transcending construct, or both.

Kim (2000) has proposed an intriguing conceptualization of *transcendence* and has bifurcated the phenomenon into "vertical transcendence and horizontal transcendence" (p. 75), whereby the former is associated with the intimacies of personal spirituality and a movement toward an immanent God. Proponents of spiritual leadership or those ascribing a spiritual dynamic to a proposed transcending construct (Aldon, 1998; Larkin, 1994) might conceivably stipulate Kim's (2000) assertion concerning the vertical nature of transcendence. In contrast, Kim's notion of horizontal transcendence speaks to an orientation primarily directed "…toward other people" (p. 75). Given Kim's proffered framework of transcendence, future research concerning the leadership phenomenon broadly, and the characteristics of transcending leadership as articulated in this study specifically, would be instructive. That is, are perceived transcendent leaders more likely to be horizontally or vertically imbued or can the two dimensions reside in harmony and inform the other? This path of inquiry may contribute to a deeper understanding as to the nature of individual spirituality and its relationship – if any – to the nascent transcendent construct, which is yet undetermined.

D5: Vertical and horizontal transcendence (Kim, 2000) should be examined

to determine the relationship – if any – between spiritual and/or humanistic

orientation vis à vis perceived transcendent leaders.

Finally, scholars have opined on the importance of a moral valence in describing authentic, or legitimate, leadership (Anello & Hernandez, 1996; Bass & Steidlmeir, 1998; Burns, 1978; Heifetz, 1994, etc.); that is, *moral leadership*. Anello and Hernandez (1996) assert six essential elements of moral leadership; elements that appear aligned with the findings of this study. The six attributes include:

- Service-oriented leadership

- Personal and social transformation as the purpose leadership

- The moral responsibility of investigating and applying the truth

- Belief in the essential nobility of human nature

- Transcendence (e.g., overcoming ego and selfishness)

- The development of capabilities (p. 61)

Given the findings of Anello and Hernandez, as well as the precondition of a moral dimension to authentic leadership as attested to by Burns (1978) and Bass & Avolio (1994), future research concerning the potential relationship between a proposed moral leadership phenomenon and the characteristics of transcending leadership, as articulated in this study, would be instructive as a means of identifying which is less delimited and, therefore, superordinate. That is, are certain characteristics posited in the literature as being associated with moral leadership contributory, and therefore subordinate, to those attributes and aptitudes evidenced in this study concerning transcending leadership, or are the defining qualities of transcendent leaders – as evidenced in this study – a reflection of a broader phenomenon termed moral leadership?

D6: Juxtaposing the key characteristics of a proposed transcending

leadership construct, as identified in this study, with those characteristics

ascribed to moral leadership, previously described in the literature, would

be instructive in furthering our understanding of transcending leadership

as a potentially credible iteration of "new leadership" theory.

Study Summary

The intent of this phenomenological study was to discern the reasonableness of

proposing a transcending leadership construct by filling the gap in knowledge between

those characteristics of transactional and transformational leadership, which have been

established in the literature, and the unique aspects of a transcending leading construct,

which remain undetermined. The implications for current and future healthcare leaders

are significant. First, the focus of transcending leadership may rest on a new posture for

leaders, a stance that suggests a leader seek first to empower and assist followers in

satisfying their legitimate needs and aspirations, as opposed to first pursuing leaders'

self-interest. Secondly, students in health administration or in the medical professions

preparing to enter the leadership ranks of healthcare delivery may find a leadership

construct based upon a movement beyond self-centeredness personally compelling

(Bowditch & Buone, 1994) and responsive to the local, as well as the global demand for

equitable healthcare quality and access.

Study participants in this qualitative study were nominated by state hospital

association and state medical society executives. The participants included seven

physicians and seven non-physician healthcare leaders representing 12 geographically

diverse states. The methodology involved reconstructing the inner world of experience of

14 contemporary healthcare leaders and their respective nominating-corroborators, as a means of identifying key characteristics common among the study group. A data analysis and interpretation process incorporating methodologies suggested by Patton (1990) and Creswell (2003) were utilized as a means of identifying significant themes evidenced by the study participants. A reflexivity methodology was employed to explore and bracket researcher bias, while methods utilized to enhance credibility and trustworthiness of the findings included the strategies of triangulation, member checking, the use of peer examiners, and the engagement of an expert external examiner. Twelve categories of data were analyzed and interpreted using content analysis in conjunction with qualitative research software (i.e., NUD*IST-N6).

The findings appear to indicate that:

- Perceived transcendent leaders broadly evidence three (3) key characteristics within their lived experiences; *"other"-interest*, *determined resolve*, and the personal and social competencies broadly affiliated with *emotional intelligence* theory, along with additional aptitudes beyond the scope generally associated with emotional intelligence as articulated by Goleman, et al., 2002.

- The key characteristics of "other"-interest and those personal and social competencies broadly affiliated with emotional intelligence theory are discordant when compared with extant transactional-transformational literature.

- Given the discord evidenced between the findings of this study and the characteristics generally associated with the full range of leadership

model, a degree of credibility is advanced in proposing the reasonableness

of a transcending leadership construct, which would add to the

transactional-transformational paradigm and extend "new leadership"

theory.

As this study represents a preliminary inquiry into the nature of a proposed new

leadership phenomenon, the findings cannot be generalized to other groups of leaders,

organizations, cultures, or social collectivities. In spite of this, and other limitations noted

throughout the study, the rich and informative inquiry has added to our understanding of

the leadership phenomenon. Future directions of research may include the

phenomenological study of "middle leaders", perceived to be transcendent leaders, both

within and external to the healthcare environment. Similarly, a study of middle and top

leaders perceived as transcendent leaders, and who concurrently contribute an

international and multicultural dynamic, would add a further dimension to the study of

transcending leadership. Understanding how – if at all – spiritual or humanistic

proclivities influence the lives of perceived transcendent leaders would offer an

intriguing insight into the nature of the phenomenon. Kim's (2000) vertical vs. horizontal

transcendent framework could contribute to this inquiry. An additional fruitful direction

for future research would involve a reexamination of heretofore stipulated

"transformational" leaders, given the findings of this study. That is, is it reasonable to

suggest that certain deemed historical or contemporary transformational leaders may be,

in fact, more closely aligned with the proffered definition of transcending leadership?

Finally, as it appears that a moral valence is fundamental to the resultant description of

transcending leadership, it would be instructive to compare the proposed transcending

construct with the characteristics broadly associated with moral leadership as a means of determining which is the least delimited, ad therefore superordinate.

<u>Conclusion</u>

The findings of this study conclude that leadership theory remains a mutable and dynamic phenomenon that appears to mirror, over time, the evolving nature of societal interaction, and the leader-follower dyadic relationship. Five eras of theory have marked the migration of leadership thought over the past 150 years. The "great man" theory gave way to trait theories of leadership that, in turn, ushered in the eras of behavior theories, situation-contingency theories, and finally, the recently introduced or "new leadership" theories era. Each era, and the underlying theories which collectively reflect that period's leader-follower exchange relationship, appear to have been responsive to the psychosocial sensibilities of that time. Following the work of Burns (1978), Bass (1985), and Bass and Avolio (1994), contemporary leadership theory has focused upon the self-interest/mutuality of interest relationship exchanges associated with the transactional-transformational paradigm (i.e., full range of leadership model). More recently, there has been a call for a leadership paradigm, which would further enrich the leader-follower relationship. Proxy constructs variably termed spiritual leadership, moral leadership, ethical leadership, values leadership, and others have attempted to define an acceptable extension to the transformational construct which would transcend the interest of the leader for the benefit of the follower, and more so, unknown followers collectively engaged in larger social causes.

Pursuant to the findings of this study, transcending leadership derives its essence in the key characteristic of "other"-interest' along with the affiliated attributes of

altruism, benevolence/beneficence, and empathy. Transcending leadership is proposed as

a legitimate progeny to the families of leadership theory that have come before it and, in

turn, may serve as a bellwether informing future iterations of the leader-follower

dynamic.

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Appendix A

Selected Leadership Trait Studies and Identified Leader Traits

Researcher / Date	Leader Traits Identified	
R. M. Stogdill (1948)	• Intelligence • Alertness • Insight • Responsibility	• Initiative • Persistence • Self-confidence • Sociability
R. D. Mann (1959)	• Intelligence • Masculinity • Adjustment	• Dominance • Extroversion • Conservatism
R. M. Stogdill (1974)	• Achievement • Persistence • Insight • Initiative • Self-confidence	• Responsibility • Cooperativeness • Tolerance • Influence • Sociability
D. C. McClelland (1975)	• Power Motivation	• Concern for the moral exercise of power
R. J. House & M. L. Baetz (1979)	• Intelligence • Pro-social assertiveness • Self-confidence	• Energy • Task Knowledge
D. A. Kenny & S. J. Zaccaro (1983)	• Behavioral Flexibility	• Social Sensitivity
R. G. Lord, C. L. Devader, & G. M. Alliger (1986)	• Intelligence • Masculinity	• Pro-social Dominance
S. A. Kirkpatrick & E. A. Locke (1991)	• Drive • Motivation • Integrity	• Self-confidence • Cognitive Ability • Task Knowledge

G. Yukl (1994)	• Integrity • Higher Energy • Ability to tolerate Stress	• Self-confidence • Self-control • Emotional Maturity
T. J. Neff & J. M. Citrin (1999)	• Passion • Clarity of thought • Communication skills • High energy • Controlled ego	• Inner peace • Strong family life • Positive attitude • Focus on doing the "right things right"
P. G. Northouse (2001)	• Intelligence • Self-confidence • Determination	• Integrity • Sociability

Appendix B

Selected Leadership Behavior Studies and Identified Leader Behaviors

Researcher / Date	Leader Behaviors Identified
R. L. Kahn (1953)	• Demonstrates planning and directing skill • Provides good rapport with collaborators • Exhibits an open and accepting leadership style • Shows concern for the feelings of collaborators
R. F. Bales & P. E. Slater (1955)	• Demonstrates ability to organize, summarize, and direct collaborators • Instigates collaborator participation • Encourages morale raising • Acts to reduce interpersonal tensions
A. W. Halpin & B. J. Winer (1957)	• Encourages open communication • Fosters mutual respect and trust • Encourages collaborator participation • Exhibits interpersonal warmth • Is able to organize and structure group activities • Is able to define relationships • Directs followers to task accomplishment
W. G. Bennis & B. Nanus (1985)	Demonstrates: • Attention through vision • Meaning through communication • Deployment of self • Trust through positioning
J. A. Conger (1989)	• Senses opportunity and formulates a vision • Empowers others to achieve the vision • Communicates an inspiring vision • Encourages commitment in followers • Builds trust through personal commitment

G. A. Yukl (1989)	- Networks - Supports followers - Manages conflict - Motivates others - Recognizes & rewards - Plans & organizes	- Problem solves - Consults & delegates - Monitors operations - Informs followers - Clarifies roles & objectives
J. P. Kotter (1990)	- Establishes direction - Aligns people - Motivates & inspires	
P. M. Podsakoff, S. B. MacKenzie, R. H. Moorman, & R. Fetter (1990)	- Demonstrates the ability to identify & articulate a vision - Sets an example for collaborators - Fosters acceptance of group goals - Expects high performance - Individualized support - Intellectual stimulation	
J. M. Kouzes & B. Z. Posner (1993)	- Exemplifies honesty in actions - Forward thinking - Is inspiring to others - Demonstrates competence	
T. W. Kent, D. Graber, & J. Johnson (1996)	- Demonstrates "visionary" skills - Creates possibilities - Communicates meaning - Enlists & develops stakeholders - Builds spirit & willfulness - Manages oneself morally & ethically	
J. Collins (2001)	- Demonstrates a compelling modesty (humility) - Acts with quiet, calm determination (will) - Channels ambition into the organization - Looks inward to apportion responsibility for poor results - Demonstrates an unwavering resolve - Establishes standards of excellence - Apportions credit for success to others	

Appendix C

Leadership Theory Taxonomy

Family	Theories, Constructs, and Approaches
Trait Theories	- Great Man Theory *(Carlyle, 1907)* - Charismatic Leadership *(Weber, 1947)* - Achievement Motivation Theory *(McClelland, et al., 1958)* - Leader Motive Profile (LMP) *(McClelland, 1975)* - Leader Sensitivity & Leader Flexibility Constructs *(Barnlund, 1962 and Kenny & Zaccaro, 1983)*
Behavior Theories	- Task Motivated-Relationship Motivated Leadership Theory *(Bales & Slater, 1955; Carter, 1953; Halpin & Winer, 1957; Katz & Kahn, 1951; and Shartle, 1950)* - Theory X and Theory Y *(McGregor, 1960)* *Two-Factor* Approach *(Blake & Mouton, 1982)* - Performance-Maintenance Theory of Leadership *(Misumi & Peterson, 1985)*
Situational-Contingency Theories	- Contingency Theory of Leadership *(Fiedler, 1967)* - Path-Goal Theory *(House, 1971)* - Decision Process (Normative Decision) Theory *(Vroom & Yetton, 1973)* - Adaptive-Reactive Theory *(Osborn & Hunt, 1975)* - Leadership Substitutes Theory *(Kerr & Jermier, 1978)* - Life Cycle Theory *(Hersey & Blanchard, 1982)* - Strategic Leadership *(Hambrick & Mason, 1984; Hosmer, 1982; and House & Aditya, 1997)* - Situational Leadership *(Zigami, Zigami, & Blanchard, 1985)*

- Shared Leadership
  (Crouch & Yetton, 1988 and Hackman, 1986)
- Cognitive Resource Theory
  (Fiedler & Garcia, 1987)
- Multiple Linkage Model
  (Yukl, 1989)

Recently Introduced Theories	- Cognitive Approaches: - Attribution Theory of Leadership *(Calder, 1977; Heider, 1944; and Kelly, 1973)* - Romance of Leadership Concept *(Meindl, 1990)* - Organismic-Evolutionary Perspective *(Dachler, 1988)* - Implicit Leadership Theory *(Lord & Maher, 1991)* - Role Theory Approaches: - Leader/Member Exchange Theory (LMX) *(Dansereau, et al., 1975 and Graen & Cashman, 1975)* - Multiple Contingency Perspective *(Tsui, 1984)* - Vertical Dyadic Linkage Model (VDL) *(Graen & Scandura, 1987)* - Power and Influence Approaches: - Positive Agency Theory *(Jensen & Meckling, 1976 and Fama & Jensen, 1983)* - Other Power & Influence Theorists *(Chemers, 1997; Mowday, 1978; and Yukl & Falbe, 1990)* "New Leadership" and Related Approaches: - Servant Leadership *(Greenleaf, 1970)* - Transforming-Transactional Model *(Burns, 1978 and Downton, 1973)* - Moral Leadership *(Burns, 1978; Greenleaf, 1970; Heifetz,1994; and Anello & Hernandez, 1996)* - Full Range of Leadership Model *(Bass & Avolio, 1994)* - Neocharismatic Leadership Theory *(House, 1977 and Conger & Kanungo, 1998)*

- Visionary Theories of Leadership
  (Bennis & Nanus, 1985; Kouzes & Posner, 1993; Sashkin, 1988; and Westley & Mintzberg, 1989)
- Principle-Centered Leadership
  (Covey, 1991).
- Values-based Leadership
  (Fairholm, 1991; House, et al., 1996; and Mitroff & Denton, 1999)
- *Three-Factor* (Integrative) Theory of Leadership
  (Chemers, 1993)
- Self-Concept Theory of Transformational & Charismatic Leadership
  (House & Shamir, 1993)
- Distributed Leadership Theory
  (Astin & Astin, 1996 and Eisenhower Leadership Group, 1996)
- Social Change Model of Leadership
  (Astin & Astin, 1996)
- Spiritual Leadership
  (Bolman & Deal, 1995; Conger, 1994; Fairholm, 1998; and Mitroff & Denton, 1999)
- Relational Model of Leadership
  (Komives, Lucas, & McMahon, 1998)
- Conscious Leadership
  (Chatterjee, 1998)
- *Transcendent/Transcendental Leadership*
  (Aldon, 1998; Cardona, 2000; Crossan, et al., 2002; and Larkin, 1994)

Appendix D

Glossary of Selected Leadership Theories, Constructs, and Approaches

Leadership Term w/Associated Theorist(s)	Summary Description
Achievement Motivation Theory (AMT) *(McClelland, Atkinson, Clark, & Lowell, 1958)*	An unconscious concern for achieving excellence through one's individual effort. AM leaders set challenging goals for themselves, take calculated risks, are persistent, and take personal responsibility for goal achievement (House of Aditya, 1997, p. 413).
Adaptive-Reactive Theory (ART) *(Osborn & Hunt, 1975)*	Later enhanced and renamed the "multiple influence model of leadership-MIML" (Hunt & Osborn, 1982), ART posits that leader behavior is influenced primarily by situational "macrovariables" rather than by "microvariables". (Phillips, 1995, p. 63). ART and MIML stipulate that organizations place demands and constraints on leader's behaviors and so an integral aspect of leadership is how the leader construes and reacts to the choices available (Chemers, 1997, p. 52).
Attribution Theory of Leadership (ATL) *(Calder, 1977; Heider, 1944; and Kelly, 1973)*	A precursor to "Implicit Leadership Theory" (Lord & Mahar, 1991), attribution theory argues that leadership is a disposition or internal quality that cannot be measured, but only inferred from observed behaviors or events. These behaviors or events can be interpreted in a variety of ways and it is the social context that determines when attributions of leadership are made (Chemers, 1997, p. 105).

Behavior Theories of Leadership	A family of leadership research which followed the "trait" theory period. Behavioral theories of leadership focused on two broad classes of leader behaviors – task oriented and person-oriented behaviors. Seminal studies were conducted at Harvard University; the Ohio State University Leadership Center; and at the University of Michigan.
Charismatic Leadership (CL) *(Weber, 1947)*	Charismatic approaches to leadership refer to follower perceptions that a leader possesses some innately inspired gift and is somehow larger than life (Philips, 1995, p. 68). Early work of Weber would later be "rediscovered" in the 1980s as neocharismatic leadership.
Cognitive Approaches to Leadership	This approach has addressed the nature of leadership and the idea that regardless of legitimacy or situational factors, followers must recognize an individual as a leader before leadership can be said to exist (Phillips, 1995, p. 65). Emergence of cognitive approaches to leadership has shifted the emphasis from the traits and behaviors that make leaders effective to the dynamic <u>process</u> of leadership. The cognitive approach posits that leadership exists only through the perceptions of followers toward the leader (p. 68).
Cognitive-Resource Theory (CRT) *(Fiedler & Garcia, 1987)*	CRT posits that different situations require different types of leadership. High ability leaders are proposed to be less effective in stressful situations than nonstressful situations because they are less likely to utilize their intelligence when under stress. Leaders tend to rely on their experience and not their intelligence when under high stress (House and Aditya, 1997, p. 423).

Contingency Theory of Leadership *(Fiedler, 1971)*	This theory was the first to specify how situational variables interact with leaders personality and behavior. Fiedler's contingency theory of leadership posits a two-way interaction between a measure of leader *task motivation* versus *relationship motivation*, and a measure of situational control (House & Aditya, 1997, p. 421). The Contingency Theory is the precursor to the Cognitive-Resource Theory of Leadership.
Conscious Leadership *(Chatterjee, 1998)*	Suggested by Chatterjee (1998) as a means of balancing the sustaining needs of the entire organization while nurturing individual (follower and leader) identities. Chatterjee suggests three laws of conscious leadership – the law of complete concentration, the law of detached awareness, and the law of transcendence.
Decision-Process (Normative Decision) Theory (DPT) *(Vroom & Yetton, 1973)*	A situational theory of leadership intended to assist leaders in making technical decisions. The theory suggests seven properties of problems with seven corresponding decision rules intended to guide the leader in selecting an appropriate decision method. A combination of five decision processes, seven problem attributes, and seven rules constitute the variables in DPT (House and Aditya, 1997, p. 425).
Distributed Leadership Theory (DLT) *(Astin & Astin, 1996; Eisenhower Leadership Group, 1996)*	DLT suggests a strong egalitarian orientation to the leadership process involving collaborative relationships among leaders and followers, which leads to collective action grounded in the shared values of people who work together to effect positive change (Astin & Astin, 1996, p. 16). DLT can assume three forms: delegated leadership, co-leadership, and peer leadership (House and Aditya, 1997, p. 457).

Equity Theory *(Adams, 1963; Homans, 1961; Thibaut & Kelly, 1959)*	Equity theory attempts to formalize the bases for and consequences of judgments of fairness in relationships. Built upon Homans' (1961) concept of "distributed justice theory" and Thibaut and Kelly's (1959) "theory of interdependence", equity theory assesses the fairness in a relationship by comparing one person's ratio of outcomes to inputs to another person's ratio. Applying equity theory to leadership relationships reveals that a follower's short-term motivation to accomplish a task or long-term commitment to a job or organization depends on his or her perceptions of the fairness of the exchange (Chemers, 1997, p. 64).
Full Range of Leadership Model *(Bass & Avolio, 1994).*	Bass & Avolio (1994) coined the term "Full Range of Leadership Model" with the addition of a laissez-faire (nontransactional) dimension and other behavioral factors to Burn's (1978) original transforming-transactional paradigm. The nontransactional (laissez-faire) dimension is the avoidance or absence of leadership and is by definition, the most inactive. Transactional leadership implies an extrinsic exchange (quid pro quo) between leader and follower trading something of value for some form of recompense – a formal exchange. Transactional leadership involves the factors of contingent reward, management by exception-passive and active- and the nontransactional (laissez-faire) dimension. Transformational leadership – as a progression of the paradigm – is the leadership construct, which embodies an informal exchange relationship intended to change, develop, and elevate the follower's values and beliefs. *Individualized Consideration*

	(compassionate leadership), *Intellectual Stimulation* (thinking outside the box*). Inspirational Motivation* (exciting the masses/sharing the vision), and *Idealized Influence* (walking the walk) are behaviors associated with transformational leadership.
Great-Man Theory *(Carlyle, 1907)*	The seminal trait theory of leadership study that held that leaders possessed special traits or attributes that propelled them to positions of prominence regardless of setting or situation (Chemers, 1997, p. 19).
Implicit Leadership Theory (ILT) *(Lord & Maher, 1991)*	Implicit leadership theory addresses the evaluations followers make about leaders, and the cognitive processes underlying evaluations and perceptions of leadership. According to the theory, exhibited leader behaviors would not confirm an individual as leader, unless that individual is perceived as a leader by his or her followers (House & Aditya, 1997, p. 437).
Leader-Member Exchange (LMX) Theory *(Graen, Novak, & Sommerkamp, 1982; Dansereau, Graen, & Haga, 1975)*	Leader-Member Exchange (LMX) initially emphasized the fact that leaders may establish different relationships among their respective followers. That is, leaders developed a close working relationship with some subordinates (the "in-group") and a less close relationship with others (the "out-group"). LMX theory makes the *dyadic relationship* between leaders and followers the focal point of the leadership process (Northouse, 2001, p. 111). LMX contains three dimensions – respect, trust, and obligation – within a working (as opposed to personal) relationship. LMX may be considered both transactional and transformation: it begins as transactional social exchange and evolves into

	transformational social exchange. Recent research on LMX theory has de-emphasized "in" or "out" groups and has focused on establishing effective leadership relationships with all subordinates, or an evolved stage of the LMX process, termed "Leadership Making". (Graen and Uhl-Bien, 1995).
Leader Motive Profile (LMP) *(McClelland, 1975)*	LMP theory advances that a combination of unconscious motives are predictive of leader effectiveness. These motives include high power motivation, high concern for the moral exercise of power, and power motivation greater than affiliative motivation (House & Aditya, 1997, p. 414).
Leader Sensitivity and Flexibility Construct *(Barnlund, 1962; Kenny & Zaccaro, 1983)*	A leadership trait theory, which suggests that emergent leaders are those, which are sensitive to follower needs and remain behaviorally flexible in responding to given social dynamics (House & Aditya, 1997, p. 416).
Leader Substitutes Theory (LST) *(Kerr & Jermier, 1978)*	A situational-contingency approach that posits that environmental, subordinate, and situational dynamics can supplant and, therefore, serve the same role as a leader. When tasks can be accomplished through means other than leadership, the exercise of leadership is unnecessary, and, perhaps, counter productive (Phillips, 1995, p. 63).
Life Cycle Theory (LCT) *(Hersey & Blanchard, 1982)*	A situational leadership theory of leadership which suggests four leadership "styles" available to the leader pursuant to the maturity level of followers. Analogous to a parent-child relationship, the leader gradually relinquishes control to followers as they mature (House & Aditya, 1997, p. 423).

Moral (Ethical) Leadership *(Burns, 1978; Greenleaf, 1970;* *Heifetz, 1994; and Anello &* *Hernandez, 1996)*	Moral leadership addresses the aspects of leader values, influence, conduct, and character in respect to followers. For Heifetz (1994) moral – or ethical – leadership involves the use of leader authority to help followers deal with conflicting values that emerge in rapidly changing work and social environments. Burns (1978) suggests moral leadership is grounded in the responsibility of the leader to help followers assess their own values and needs in order to raise them to a higher level of functioning, which emphasizes values such as justice and equality. Servanthood to others defines the essence of Greenleaf's (1970) perspective on moral leadership and its mandate of focusing first on the needs of followers. In turn, this servant-first focus helps followers to become more knowledgeable, more free, more autonomous, and more like servants themselves. Moral leadership embodies an ethic of caring for followers (Northouse, 2001, pp. 255-259).
Multiple Constituency Perspective (MCP) *(Tsui, 1984)*	MCP posits that multiple constituencies of subordinates, peers, and superordinates send expectations to a leader that indicate what they judge to constitute desirable role behaviors. This perspective highlights the varied possible forms of leadership effectiveness, each situationally determined with reference to a stakeholder (Phillips, 1995, p. 73).
Multiple Linkage Model (MLM) *(Yukl, 1989)*	An attempt to integrate a variety of situation-contingency theories, the multiple linkage model argues that leadership theory should have intervening variables that *link* together behavioral, situational, and outcome variables. An emphasis is placed on leader behavior and how that affects intervening and

	resultant outcome variables. Intervening variables include items such as follower effort, follower job knowledge, work organization, group cohesiveness, material and human resource availability, and group coordination with external factors (Chemers, 1997, pp. 54-55).
Neocharismatic Leadership Theory *(Conger & Kanungo, 1998 and House, 1977)*	Rather than a single construct, neocharismatic leadership theory is a bundling of distinct constructs, which have been referred to as "new leadership theories" (Bryman, 1992). It includes the advanced charismatic constructs of House (1977) and Conger and Kanungo (1988) and suggests the inclusion of visionary and transformational leadership theories. Each construct attempts to explain outstanding leader performance, how certain leaders achieve extraordinary follower motivation, emotionally appealing leader behavior, and follower satisfaction and performance (House & Aditya, 1997, pp. 439-440).
Organismic-Evolutionary Perspective (OEP) *(Dachler, 1988)*	Closely aligned with the "Romance of Leadership Concept" and by extension, "Attribution Theory" and "Implicit Leadership Theory", the organismic-evolutionary perspective theory emphasizes the role and importance of the group (followers) in organizational functioning over that of the leader. From that perspective, the focus is on the follower-group and the means in which it interacts with social processes attempting to make sense out of the organizational environment (Chemers, 1997, p. 108).
Path-Goal Theory (PGT) *(House, 1971)*	This model finds that followers are motivated when they feel capable, expect outcomes from their efforts, and believe rewards are worthwhile. Role of the

	leader is then to coach, guide, direct, clarify goals, and remove obstacles. The leader shows followers the rewards available by meeting a goal and illustrates the path (behaviors) to follow. PGT was intended to reconcile conflicting findings concerning task and person oriented leader behavior (House & Aditya, 1997, p. 422). The Path-Goal Theory is the precursor to the 1976 Theory of Charismatic Leadership (House, 1977).
Performance Maintenance Theory of Leadership *(Misumi & Peterson, 1985)*	Investigating the cultural relevance of Bales and Slater's (1955) research on task and relationship motivation, Misumi and Peterson (1985) examined the dynamics of effective leadership in Japan. They determined that a "performance function" (i.e., involves creating and reaching group goals) and a "maintenance function" (i.e., preserving group social stability) were common aspects to all successful leadership efforts and that leadership, which combined performance (i.e., tasks) and maintenance (i.e., relationships) was far superior to leadership, which instigated either one or the other (Chemers, 1997, pp. 128-130).
Positive Agency Theory (PAT) *(Jensen & Meckling, 1976; Fama & Jensen, 1983)*	Positive agency theory (PAT) focuses on the relationship between principals (shareholders) and agents (top managers) (Cannella & Monroe, p. 215). The theory suggests that top managerial behaviors result from the interaction of situational controls and the self-interests of managers (p. 219). Arising from financial economic theory in the mid-1970s, PAT posits that leaders are inherently self-interested and unless constrained by devices, such as contracts, boards of directors, compensation, internal corporate controls, or other means, leaders will behave in self-interested ways as opposed to placing shareholder interests ahead of their own (p. 215).

Power and Influence Approaches (P&I) *(Chemers, 1997; Mowday, 1978; and Yukl & Falbe, 1990)*	Power and influence approaches and theories of leadership concern themselves with how leaders gain influence over followers. Theories using this approach are both prescriptive and descriptive and address leader emergence as well as leader influence over followers (Phillips, 1995, p. 68).
Principle-centered Leadership *(Covey, 1991)*	Principle-centered leadership unites aspects of moral leadership, spiritual leadership, and values based leadership into a leadership philosophy predicated upon interacting with followers in ways, which dignify and value their roles.
Recently Introduced Theories of Leadership	A broad term used to describe a variety of emergent and emerging leadership theories since the mid-1980s – post the trait, behavior, and situational-contingency eras. This family of leadership research includes new cognitive approaches, role theory approaches, power and influence approaches, and "new leadership" approaches intended to explain different aspects of the leadership phenomena.
Relational Model of Leadership *(Komives, Lucas, & McMahon, 1998)*	A recently introduced theory of leadership, which posits that leadership is a relational process designed to accomplish common goals to benefit all. The leader must be inclusive, empowering, purposeful, ethical, and process-oriented in order to bind followers together to achieve a common purpose. The relational model focuses attention not on the structure or outcome, but on follower-leader relations that are value based, non-competitive, and vision oriented (Komives, et al., 1998, pp. 73-81).

Role Theory Approaches	This approach to leadership theory focuses on "leader-follower dyads". It addresses the dyadic practices used by leaders to acclimate new followers to the group and to establish effective relations with followers and create follower sub-groups (Phillips, 1995, p. 71).
Romance of Leadership Concept, (RLC) *(Meindl, 1990)*	Tangentially aligned with "Attribution Theory" and "Implicit Leadership Theory",. The romance of leadership concept downplays the overt importance of the leader (and leadership process) and emphasizes the importance of internal and external factors in organizational functioning (Chemers, 1997, p. 105).
Self-Concept Theory of transformational and Charismatic Leadership *(House & Shamir, 1993)*	The "Self-Concept" theory is an amalgam of visionary, charismatic, and transformational leadership theories suggesting that charismatic leaders are able to link followers self-concept and values to the leader's vision and mission by arousing unconscious motives pertaining to mission accomplishment. The motivational basis for follower efforts are made intrinsic, rather than extrinsic as they are in transactional leadership (Chemers, 1997, p. 90).
Servant Leadership (SL) *(Greenleaf, 1970)*	A philosophy of leadership first espoused by Robert Greenleaf, which argues that authentic leadership is that which is rooted in first being of service (servanthood) to his or her followers. This theory proffers that the servant leader has a social responsibility to remove inequalities and social injustices. A servant leader uses less institutional power and less control, while shifting authority to those who are being led (Northouse, 2001, p. 257).

Shared Leadership Theory (SLT) *(Hackman, 1986 and Crouch & Yetton, 1988)*	Shared leadership theory emphasizes the reciprocal social influences among multiple individuals at varied strata throughout the organization. The "social system" is then the main leadership dynamic and influence. Sharing responsibility for leadership functions allows the organization to empower subordinates and tap expertise throughout (Phillips, 1995, p. 64).
Situational-Contingency Theories	Situational-contingency theories are broadly based on the premise that effective leaders demonstrate high concern for both followers and task accomplishment merged with the proposition that leaders should and do act differently, depending on a given situation (Phillips, 1995, p. 62).
Situational Leadership *(Zigami, Zigami & Blanchard, 1985)*	Different situations demand varied leadership styles. Leaders match their actions and behavior (supportive or directive) to the abilities and commitment of followers resulting in four *types* of leadership: delegating, supporting, coaching, and directing.
Social Change Model of Leadership *(Higher Education Research Institute, UCLA, 1996)*	A later iteration of the "Distributed Leadership Theory", the social change model of leadership was initially designed as a leadership development tool for student affair professionals within higher education. It has emerged as a broader model of leadership theory espousing seven critical values (7 C's) between leaders and followers: collaboration, consciousness of self, commitment, congruence, common purpose, controversy with civility, and citizenship.

Spiritual Leadership *(Bolman & Deal, 1995; Conger, 1994; Fairholm 1998; and Mitroff & Denton, 1995)*	A holistic approach to leadership that considers the full capacities, needs, and interests of both leader and follower, and the goals of the organization. Fairholm (1998) suggests that spiritual leadership is composed of eight elements including: community, competence, continuous improvement, a high moral standard; servant hood, spirituality, stewardship, and visioning (Fairholm, 1998, p. 112).
Strategic Leadership Theory *(Hambrick & Mason, 1984; Hosmer, 1982; and House & Aditya, 1997)*	Strategic leadership theory suggests that organizations are reflections of their leaders and that specific knowledge, experience, values, and preferences of leaders are reflected not only in their decisions, but also in their assessments of decision situations (Cannella & Monroe, 1997, p. 213). Strategic leadership theory is an approach to leadership, which provides a consistent analytical methodology to choices concerning organizational strategy, structure, and systems. (Hosmer, 1982).
Task Motivated-Relationship Motivated Leadership Theory *(Carter, 1953; Halpin & Winer, 1957; Katz & Kahn, 1953;* and *Shartle, 1950)*	Task motivated-Relationship motivated leadership theory is an amalgam of early behavioral leadership research studies conducted at Ohio State University, the University of Michigan, and Harvard University in the 1950s. The cumulative results of those studies indicated two distinct patterns of leadership behavior: one pattern focused on task accomplishment by organizing and directing others. The other pattern attempted to maintain a positive emotional interpersonal environment within the group of followers (Chemers, 1997, p.22).

Theory X and Theory Y *(McGregor, 1960)*	This behavioral theory represents different ways leaders view followers. Theory X assumes followers are lazy, uncooperative, and motivated only by extrinsic rewards. Theory Y assumes people work hard, are cooperative, and want to do a good job.
"Three-Factor" Theory of Leadership *(Chemers, 1993)*	A three-part model of leadership that integrates the *power and influence* approach with "situational-contingency" and "behavioral" models of leadership. (Phillips, 1995, p. 70) Three-Factor Theory conjoins three dimensions: leader-follower relationship development, leader resource utilization, and leader image management.
Trait Theories of Leadership	Trait theory serves as a foundation for modern leadership research. The premise is that some people are born leaders with the inherent traits necessary to perform (lead) effectively. Common traits identified included: charisma, intelligence, sociability, determination, and confidence.
Transactional- Transforming Leadership *(Burns, 1978 and Downton, 1973)*	First mentioned by Downton (1973) in his sociological treatise *Rebel Leadership* and independently by Burns (1978) in his seminal conceptualization, the "transactional- transforming leadership" paradigm has enjoyed relative prominence in the study of leadership theory. Burns suggests that transactional leadership is merely a *formal* exchange relationship between leader and follower: an economic transaction of goods for money, current influence for future favors, or other quid pro quo transactions. According to Burns, transforming leadership is a relationship of mutual

	stimulation and elevation that converts followers into leaders and may convert leaders into moral agents. Transforming leadership implies an *informal* exchange relationship based on elevating the follower's values and beliefs. (Burns, 1978, pp. 4-20).
"Two-Factor" Approach to Leadership *(Blake & Mouton, 1982)*	Leader behavior which postulates that having both a high concern for people and a high concern for task accomplishment is the one best way to lead (Phillips, 1995, p. 62).
Values-Based Leadership (VBL) *(Fairholm, 1991 and House, Shane & Herold, 1996)*	Fairholm (1991) proffers that VBL involves leader action, which creates a culture supportive of organizational and group values that leads to mutual growth and enhanced self-determination. Six principles of VBL are suggested: the leader's role is in follower development, the leader creates a future vision, the leader creates a culture supportive of core personal and group values, the leader's personal preparation is in one-to-one relationships with followers; the leader serves as a teacher to followers, and VBL has a dual goal of producing a high performance and self-led follower (Fairholm, 19978, pp. 61-65).
Vertical Dyadic Linkage Model (VDL) *(Dansereau, Graen, & Haga, 1975)*	The vertical dyadic linkage (VDL) model describes how leaders influence the roles of new followers (Phillips, 1995, p. 72). VDL can be viewed as a precursor to leader-member exchange (LMX) theory.
Visionary Leadership Theories *(Bennis & Nanus, 1985; Kouznes & Posner, 1993; Sashkin, 1988; and Westley & Mintzberg, 1989)*	Visionary leadership (VL) emphasizes connecting followers to a vision of the future shaped by the leader. The visionary leadership model, therefore, emphasizes working with and through a

diverse workforce. Theorists of visionary leadership agree that it is dynamic and generally involves a three-stage process: imaging the desired future for the organization, communicating the shared vision, and empowering followers to enact the vision.

Appendix E

Expert Nominator Solicitation Letter

[Date]

[Nominator (name, organization, and address)]

Re: *Transcendent Healthcare Leader Research Study*

Dear [Nominator's Name]:

I'm asking for your assistance in a national research study that is the basis for my doctoral dissertation in Healthcare Administration and Leadership at the Medical University of South Carolina. The title of the dissertation is, *"A Phenomenological Study of Transcendent Leaders in Healthcare"*. Your participation will provide valuable assistance with my research as I attempt to draw insights as to the reasonableness of a proposed new construct of leadership termed "transcending leadership". Transcending leadership has been posited by scholars as an iterative extension to the broadly accepted *transactional-transformational* leadership paradigm.

Specifically, I am searching for healthcare administrators of exemplary ability, character, leadership behaviors, and personal values who have demonstrated extraordinary skills and characteristics, appear to set them apart from the quintessential "good leader". For the purposes of instigating this research, a tentative definition of transcending leadership is proffered:

> *Transcending leadership is dynamic leadership in the sense that the leaders throw themselves into a relationship with followers who will feel "elevated" by it and often become more active themselves, thereby creating new cadres of leaders. Transcending leadership is leadership engage, which demands attention to a moral virtue where: leaders and followers have a relationship not only of power, but of mutual needs, aspirations, and values; leaders take responsibility for their conduct, character, and commitments; and leaders and led reach out to wider social collectivities and seek to establish higher and broader moral purposes.*

<u>*What am I asking of you*</u>? Identify three individuals in your Hospital Association/Medical Society whom you believe most closely represents a "transcendent" healthcare leader.

I will send each nominee a letter noting who suggested their name and asking them to participate in this national study of transcendent healthcare leaders. If they consent, they will participate in an informal open-ended questionnaire/interview. Additionally, I will ask you to also participate in an open-ended interview concerning your nominee(s). The findings of the study will be sent to all who participate.

It is my fervent hope that the findings will broaden our understanding of the situational dynamics, characteristics, values, and leadership behavior of extraordinary men and women in the healthcare profession.

I have enclosed a self-addressed envelope to return this form, once you have completed it. If you prefer, please feel free to fax the completed form or email it to me by (date). If you determine you have no one who would be eligible, please return the blank form noting such. If you have any questions, or would like to confirm the nature of this dissertation research, my Dissertation Committee Chair, Dr. Andrea White, is available at the Department of Health Administration & Policy, Medical University of South Carolina (Whiteand@musc.edu).

Thank you so much for your help!

Sincerely,

David A. Jordan, MA, MPA
(Doctoral candidate in the Department of Health Administration & Policy, Medical University of South Carolina)

Tel: (508) 755-2340, ext. 230   FAX: (508) 849-3992   Email: djordan@sevenhills.org

Appendix F

Transcendent Leader (Nominee) Solicitation Letter

[Date]

[Nominee (name, organization, and address)]

Re: *National Healthcare Leader Research Study*

Dear [Nominee Name]:

[Nominator's Name] of the [Organization] has nominated you as an exceptional healthcare leader in your state. I am conducting a national research study on healthcare leadership as evidenced through the lived experiences of individuals such as yourself. My hope is to begin to understand the *essence* of the leadership experience through a phenomenological/qualitative study of exemplary healthcare leaders from various geographic regions of the United States. This research is being conducted as part of my doctoral dissertation in the Department of Health Administration & Policy at the Medical University of South Carolina. I would be honored if you would consent to participate in this research.

What would you involvement consist of? Each of the nominated healthcare leaders will be asked to participate in a 60-90 minute telephone interview involving open-ended questions. Following this initial interview, you will be forwarded a written summary of my interpretation of the significant themes you expressed. If you feel it necessary, a second *clarifying* discussion can then be scheduled to restate or inform the meaning of your responses. That's all! In turn, (name of nominator expert) will also be interviewed concerning his or her reasons for your nomination, the positive effects you have had upon your collaborators, and similar inquiries. All discussions will be held in strictest confidence and all data will be aggregated, thus ensuring complete anonymity. My interest is in drawing a broad understanding of the traits, behaviors, defining backgrounds, and related attributes of exceptional healthcare leaders such as yourself.

Your participation is significant and could further our understanding of *leadership* as a construct, both within and external to healthcare. May I receive your permission to participate in this study?

Your consent to participate can be accomplished a number of ways – you can send me a brief email expressing your willingness; you can sign and return the enclosed "Agreement to Participate Form" by mail or fax; or you can cal me directly with your verbal acceptance – whichever is easiest for you. Upon receiving an affirmative acknowledgement from you, I will call your office to arrange a time convenient for the initial phone interview.

Thank you so much, and I truly look forward to our collaboration on this important study.

Sincerely,

David A. Jordan, MA, MPA
(Doctoral candidate in the Department of Health Administration & Policy, Medical University of South Carolina)

Email: djordan@sevenhills.org   FAX: (508)849-3882   Phone: (508)755-2340 , x230

Appendix G

Transcendent Leader (Nominee)

Consent to Participate Form

CONSENT TO PARTICIPATE IN A RESEARCH STUDY

Title of Research Project: A Phenomenological Study of Transcendent Leaders in Healthcare.

Researcher: The principle researcher is David A. Jordan, President/CEO of the Seven Hills Foundation in Worcester, MA and Doctoral Candidate in the Department of Health Administration & Policy/Medical University of South Carolina, Charleston, SC. Mr. Jordan holds a Master of Public Administration (MPA) from Clark University, Worcester, MA; a Master of Arts (MA) degree from Salve Regina University, Newport, RI; and a Bachelor of Science (BS) degree from the University of Rhode Island, Kingston, RI. He can be contacted at (508) 755-2340, extension 230; by email at djordan@sevenhills.org; or by fax at (508) 849-3882. Mr. Jordan's dissertation committee chair is Dr. Andrea White (whiteand@musc.edu) in the Department of Health Administration & Policy/Medical University of South Carolina.

Description of Research: The purpose of this research is to study the essence of a proposed and unconfirmed leadership paradigm, termed transcending leadership, through the lives of perceived transcendent leaders within the context of healthcare settings. To that end, aspects of participant traits, behaviors, defining backgrounds, and other attributes will be reviewed. Individual interviews will be conducted with persons who are identified as having exhibited "transcendent" leadership qualities. Nominations are derived from CEOs of state hospital associations and state medical societies in the United States. The researcher will ask the study participants to share information about their views concerning aspects of their leadership behavior and experiences.

Interviews: You are asked to participate in up to two telephone interviews over a 30-day period of time. The initial interview will last approximately one hour. A follow-up interview may be used to clarify and expand upon the first interview and last approximately 15 minutes. You may withdraw your consent, refuse to answer questions, pause in an interview, or stop participating at any time.

Audiotaping the Interviews: Following standard phenomenological protocol, all interviews will be audiotaped and transcribed for analysis. By agreeing to participate in this study, you will be giving permission for Mr. Jordan to audiotape your interviews and assessment. The purpose of the tape recording is to have the interview proceed more quickly than if notes were written down. The tapes will be used for research purposes only, and no one, other than Mr. Jordan, will have access to the information on the tapes, or the paper transcript themselves without your expressed permission. Your name or other identifying information will not be used in the research narrative, unless expressed written or orally taped permission is granted by you.

Confidentiality: The information from your interviews will be used only for research, teaching, or writing. All publications and presentations will report the findings of this study without identifying anyone by real name. Your comments throughout the assessment will be held in strictest confidence and will not be disclosed unless required by law or regulation.

Risks: No foreseen risks are evident to the participant.

Benefit: Several potential benefits may occur for participants in this research. You may reach deeper insights concerning leadership behavior and the effect your actions have on peers, subordinates, superordinates, or the community at large. You are also likely to engage in some level of introspection that could enhance your professional relationships.

Questions about the Study: If you have questions or concerns about this research or your participation in it, either now or at any time in the future, please feel free to ask. You may contact David Jordan at (508) 755-2340, extension 230, and he will address your questions. You may also contact Dr. Andrea White, Dissertation Committee Chair for the study being conducted by Mr. Jordan at whiteand@musc.edu.

Informed Consent Confirmation

I have read the above "Consent to Participate" and I fully understand it. This information has been explained to me and any questions have been answered to my satisfaction. I understand that participation in this study is voluntary and that I am in no way obligated to participate in this research. I understand that my identity and relevant information I provided will be kept strictly confidential, "within the limits defined by law", that the assessment interviews will be audiotaped, and that I may withdraw from the study at any time. I have received a copy of this consent form.

I voluntarily consent to participation in the described research study.

Signature of Participant: _____ Date: _____

Address:

_____

_____

Phone: _____ Fax: _____

Email Address: _____

I have explained to: _____ the value and purpose of the research described in this document, along with the risks that are involved. I have answered all questions to the best of my ability.

Signature of Researcher: _____ Date: _____

Appendix H

Study Participant Background and Organizational Context

Study Participant (SP) Code	Personal Background and Organizational Context	Nominator / Corroborator (NC) Code
SP1	SP1 is a 61-year old Caucasian male who serves as the Medical Director/Chief of Staff for a large state university hospital system in the Midwest. He has a Ph.D. in microbiology and an MD in internal medicine. The tertiary healthcare system has an annual operating budget of approximately $600M supporting 775 impatient beds at 7200 clinical and support staff. It operates a major medical center, a college of medicine, the State's Children's Hospital, and related community clinics. His role as chief of staff is to "identify problems the medical staff are having…and to be able to articulate them through to the administrative leadership of the organization". SP1 has been married for 37 years and has three children. Prior to relocating to the Mid-west in 1976, he lived in the greater Boston area where his grandfather was founder of a well-known international nonprofit organization supporting the rehabilitative needs of children and adults. His avocational interests are directed toward supporting the state, national, and international interests of children and adults who have special rehabilitative challenges.	NC1
SP2	SP2 is a 68-year old Caucasian male who is the managing physician partner of a moderately-sized rural family practice comprised of seven physicians and 28 staff. He has been married for 46 years and has three children and resides in a rural mid-Atlantic state. In 1990 he was elected President of his county medical society and in 1998 served as President of his state medical society. He enjoys fishing "when available" and spends time contributing to his medical school alma mater and to a nonprofit	NC2

	homeless shelter and chemical treatment organization, which he was instrumental in establishing as a community service now operated by his county medical society. His focused interest in this shelter was the result of a personal epiphany regarding what he perceived to be the moral and ethical obligation of physicians "to give back to their communities".	
SP3	SP3 is a 56-year old Caucasian female. She is a physician serving as the Medical Director of a state peer review organization located in New England. In her capacity as Medical Director, she provides oversight and review to community physicians providing clinical services to over 1 million Medicaid recipients. A pediatrician by training, SP3 is single with two children. She enjoys the outdoors as it allows her "time to think through issues".	NC3
SP4	SP4 is a 70-year old male physician of Chinese ancestry practicing medicine in a large West Coast city. He is past president of his state medical association, his city medical society, and has served as a clinical professor of surgery at a major West Coast university. He is currently semi-retired, yet maintains office hours in family medicine. His resume contains many academic, civic, and professional accomplishments. He is active in a leading citywide philanthropic organization, which assists local community health, arts, and development organizations. He has been married for 46 years and has three children. He enjoys traveling and was formerly an active skier and tennis player. His extended family (four generations) enjoys each other's company every Sunday for family dinner.	NC4

SP5	SP5 is a 42-year old Cuban-American physician serving as Chairman of the Board of a large family group practice (125 practicing physicians) in mid-western United States. He was also President of his state medical society. His group practice is located in the capital of this largely rural state and has an operating budget of approximately $70 million. He spends approximately 60% of his time in clinical practice with the remaining time split between teaching and administrative work. While in medical school, he volunteered in supporting public health initiatives in the Dominican Republic. He has been married for 17 years and has five children. He enjoys his non-work time with his family, their farm, and has a passion for reading.	NC5
SP6	SP6 is a 56- year old Caucasian male physician whose leadership role is that of President/CEO of a moderately sized rural nonprofit healthcare system in a large mid-Atlantic state. The healthcare system also operates a teaching hospital with an annual operating budget of $250 million, employing 200 physicians and an additional 3500 employees. The organization he leads utilizes an "employed physician model". SP6 has served as the CEO for 20 years – only the fourth President since the organization's founding in the 1920s. He has been married for 33 years, has four children, and enjoys a "very close family life". He enjoys sports, running, and "following the vagaries of public politics".	NC6

SP7	SP7 is a 56-year old male Caucasian physician who serves as President/CEO of a public entity/hospital district in a major urban city in a large southern state. The hospital district SP7 leads receives some tax support and employs approximately 7800 staff with an annual operating budget of $850 million. In addition to his administrative duties, he also serves as a professor of internal medicine and spends 16 weeks per year of rotation as an attending physician at a state university medical center. He has been married for 18 years and has four children. He enjoys reading, studying Native American culture, hiking, and church/mission work.	NC7
SP8	SP8 is a 50-year old Caucasian male serving as President/CEO of a small (70 bed) rural hospital in a northern New England state. He has served as CEO for the past ten years. The hospital's annual budget is approximately $42 million with 550 employees. He has a B.S. degree in business administration and a MHA degree, has been married for 21 years with two children, and enjoys golf, skiing, hiking, and related outdoor activities.	NC8
SP9	SP9 is the President/CEO of a large suburban healthcare organization. Located in a mid-Atlantic state, the nonprofit system employs over 13,500 professional and support staff with an annual operating budget of $1.3 billion. SP9 has an undergraduate business degree and an MHA. He is 54 years old and has been married for 23 years with four children and is actively involved with his church, various church-related mission efforts, and with a coalition assisting citizens of Haiti in developing hospitals and schools.	NC9

SP10	SP10 is a 61-year old Caucasian female who has been the CEO of a small rural hospital in a large upper midwestern state. More recently, she was appointed by the state governor as Commissioner of the State Department of Health. In this capacity, she oversees an $800 Million state agency with 1400 employees while acting as a liaison between the Governor, the Department of Health, and the state legislature. She has an undergraduate degree in education, and is active in the American College of Healthcare Executives. She has been married for 32 years with four children and enjoys traveling, reading, walking, and "alone time to regroup and think". (Anecdotally, SP10 spoke to me at 8:05 a.m. central time, after having been involved with the presentation of a major piece of healthcare policy in her state legislature until 3:30 a.m.).	NC10
SP11	SP11 is a 47-year old Caucasian male serving as President/CEO of a moderately sized community nonprofit hospital in the capital of a large rural northwestern state. The hospital's annual operating budget is approximately $175 million supporting 2300 employees. In maintains 166 acute-care beds and an additional 90 long-term care beds. He has a BA in Irish literature and an MHA. He's been married for 20 years with three children and enjoys hiking, skiing, and family activities. His community interests include volunteering for the United Way and supporting area youth sports.	NC11

| SP12 | SP12 is a 56-year old Caucasian male who has recently retired as President/CEO of a $360 million nonprofit healthcare system in a suburban city on the eastern coast of the United States. The organization is comprised of a 450-bed community hospital, several community health clinics, and home healthcare agency. Total employees approximate 4000 professional and support personnel. Prior to early retirement, SP12 had been with the organization since 1971 and as CEO since 1981. He has an MBA degree and has been married for 32 years with two children. He enjoys travel and is physically active on a daily basis. | NC12 |
| SP13 | SP13 is a 54-year old Caucasian male of Irish-American ancestry. He serves as President/CEO of the nation's third largest secular healthcare system with a $3.2 billion annual budget operating 18 hospitals and four long-term care facilities, seven home health organizations, a research institute, and other services in an urban/suburban area of a large mid-Atlantic state. The organization maintains over 5700 beds and is staffed by 5000 physicians, 7000 nurses, along with 18,000 additional employees. He was formerly the State Commissioner for Social Services, the Senior Vice President of the state's Blue Cross/Blue Shield organization and as chief advisor to the state governor. He immigrated to the United States as a teenager and pursued an education (Master of Arts degree) while working in a variety of capacities eventually becoming a university administrator specializing in public policy, prior to entering state service. Married for 23 years SP13 has two children. He admittedly takes few vacations, but enjoys occasional reading, home repairs, and physical fitness activities. | NC13 |

| SP14 | SP14 is a 51-year old male of Native-American ancestry. He is CEO of a U.S. Veteran's Administration medical facility situated in the capital city of a rural western state. The medical complex has an operating budget of approximately $165 million and employs 1300 clinical and support personnel. He holds a bachelors degree in health administration and an MPA. He is reputedly the only Native-American hospital director in the VA system. He has been married for 25 years and has two children. His avocational interest include hunting, baseball, and outdoor activities. | NC14 |

Appendix I

Interview Guide for Nominated Transcendent Leaders (Study Participants)

A PHENOMENOLOGICAL STUDY OF TRANSCENDENT LEADERS

IN HEALTHCARE

Interview Guide for Nominated Transcendent Leaders (Study Participants)

---

1. <u>Background/Organizational Context</u>

a. Name: _____ Age: ___

b. Title/Position held: _____

c. Organization Name/Address: _____

d. Organization Description (check one that best applies):

___nonprofit organization   ___ partnership

___ proprietary corporation   ___ association

___ self-employed   ___ other: (Please explain):

_____

e. Organization Size:

- Approximate Annual Operating Budget: $_____

- Approximate Number of Employees: _____

f. Brief description of <u>your</u> duties and responsibilities:

_____

_____

_____

g. Briefly describe your educational background.

_____

_____

h. Briefly describe your family life (married/single? children? hobbies?).

_____

_____

2. What are your core personal <u>values</u>? That is, what do you stand for; what do you hold most dear; what directs your actions in dealing with people with whom you work?

3. Are your existential or spiritual beliefs integral to your work as a healthcare leader?

4. What are you most proud of in your career?

5. How have your life experiences (past and present) influenced your views on leadership and, in turn, how do you collaborate with and lead others?

6. What do you feel are the essential <u>traits</u> necessary for leaders in healthcare today? Examples might include: general intelligence, self-motivation, etc.

7. What do you feel are the essential <u>behaviors</u> necessary for leaders in healthcare today? Examples might include: encourages open communication with collaborator, recognizes accomplishments in collaborators, etc.

8. How do you inspire and motivate others? Give me an example of a seminal time when you feel you succeeded in motivating an employee or group of employees.

9. Who would you suggest as an individual(s) (past or present; publicly known or unknown) who best represents your notion of an extraordinary leader and why?

10. How would you describe your leadership style?

11. Do you feel that you and the people you lead have similar or dissimilar needs, aspirations, values, and ethical (moral) standards?

12. Given the rapidly evolving healthcare environment – both locally and globally – what leadership characteristics are, or will be, critically important to a healthcare leader in meeting the needs of his or her followers and the broader community.

13. To what extent does your leadership style involve creating goals and purposes that are morally based and supported?

14. Does leadership to you involve establishing broader moral purposes?

Appendix J

Corroborator Interview Guide

A PHENOMENOLOGICAL STUDY OF TRANSCENDENT LEADERS

IN HEALTHCARE

<div style="border:1px solid black">

CORROBORATOR INTERVIEW GUIDE

</div>

Transcendent Leader the Corroborator is reporting on: _____.

For the purposes of instigating this research study, the proffered definition of

"transcending" leadership is stipulated as follows:

> *Transcending leadership is dynamic leadership in the sense that the leaders throw themselves into a relationship with followers who will feel "elevated" by it and often become more active themselves, thereby creating new cadres of leaders. Transcending leadership is leadership engage, which demands attention to a moral virtue where: leaders and followers have a relationship not only of power, but of mutual needs, aspirations, and values; leaders take responsibility for their conduct, character, and commitments; and leaders and led reach out to wider social collectivities and seek to establish higher and broader moral purposes.*

Consistent with the rhetoric of qualitative research, this definition is not fixed, but mutable and may evolve throughout the study pursuant to information garnered from the study participants.

1. Organizational Context

    a. Name: _____ Age: _____

    b. Title/Position held: _____

    c. Organization Name/Address: _____

    d. Organization Description (check one that best applies):

        ___nonprofit organization   ___ partnership

        ___ proprietary corporation   ___ association

        ___ self-employed   ___ other: (Please explain):

e. Organization Size:

- Approximate Annual Operating Budget:

  $_____

- Approximate Number of Employees: _____

f. Brief description of <u>your</u> duties and responsibilities:

_____

_____

g. Briefly describe your educational background.

_____

_____

h. Briefly describe your family life (married/single? children? hobbies?).

_____

_____

2. What would you identify as <u>(study participant's name)</u>

core personal values? That is, what does he stand for; what does he hold most dear;

what directs his actions in dealing with others with whom he works?

3. How would you describe his existential or spiritual beliefs. Do you feel they are

integral to her work as a healthcare leader?

4. What would you suggest he would be most proud of in his career?

5. Do you feel that his life experiences (past or present) have influenced how he

collaborates with and leads others? If so, how?

6. What leadership traits does he exhibit? Examples might include: general intelligence,

self-motivation, etc.

7. What leadership behaviors does he exhibit? Examples might include: encourages open communication, recognizes accomplishments in others, etc.

8. How does he inspire and motivate others? Can you provide an example of a seminal moment illustrating his motivational technique?

9. What other individual(s) (past or present; publicly known or unknown)

10. How would you suggest best represents (name of transcendent leader) transcendent quality of leadership and why?

11. Do you feel the aspirations, values, and ethical (moral) standards of <u>(name of study participant)</u> are similar or dissimilar to those of her followers.

12. Given the rapidly evolving nature of the healthcare environment – both here and abroad – what leadership characteristics would you surmise that <u>(name of study participant)</u> might feel as being critically important in meeting the needs of his followers and the broader community?

13. In your experiences with <u>(name of study participant)</u> to what extent does his leadership style involve creating goals and purposes that are morally based and supported?

14. To what degree, if any, do you believe that <u>(name of study participant)</u> equates leadership to the instigation of broader moral purposes?

15. Why did you nominate (name of study participant) as a transcendent healthcare leader? What are the essential characteristics and attributes that contribute to his or her success?

Appendix K

Reflexivity Mentor Interview Guide

REFLEXIVITY MENTOR GUIDE INTERVIEW

Dissertation Research Project Title: "A Phenomenological Study of Transcendent

Leaders in Healthcare"

Researcher/Author: David A. Jordan (Doctoral Candidate)

Degree Granting Academic Institution: Medical University of South Carolina /

Department of Health Administration & Policy

Reflexivity Mentor: Thomas W. Kent, Ph.D.

Background of Reflexivity Mentor: Thomas W. Kent, Ph.D. is an Assistant Professor of

management and marketing at the College of Charleston, Charleston, SC. He is the author

of numerous publications and articles on the leadership phenomenon.

Role of Reflexivity Mentor: The role of the reflexivity mentor is to engage in a dialogue

with the researcher with the intention of entering into an honest introspection concerning

the researcher's assumptions and biases pertaining to the study topic. Weber (2003)

defines reflexivity as involving the "Interrelationships between the sets of [personal]

assumptions, biases, and perspectives that underpin different facets of the research " (p.

vi). As distinct from epoche and bracketing, which is carried out by the researcher in

isolation, *reflexivity* necessitates the involvement of one or more individuals – broadly

knowledgeable in the field of the research being undertaken – who serve to test the

researcher's objectivity in designing the research methodology, gathering and analyzing

the data, and drawing interpretations. The reflexivity process engages the researcher in

attempting to understand the assumptions, biases, and perspectives that underlie *all*

components of the research (Weber, 2003). To this end, reflexivity adds to the overall

trustworthiness and validity of the research project. The following interview guide served to assist in framing the discussions between Dr. Kent and the researcher (David A. Jordan). This reflexivity exercise was conducted <u>prior </u>to the collection or analysis of research study data.

1. Why did you choose the topic of "transcending leadership" within healthcare as your focus of study?

2. Do you feel that you have already made your mind up as to what characterizes a "transcendent" leader?

3. If you had to suggest a healthcare leader (or others) who might fit the definition of a transcendent leader, as you've posited in Chapter 1 of your study, who might that be and why?

4. Do you think you've prejudiced your research problem statement, research questions, or methodology based upon your "intuitive feelings" on the reasonableness of the transcending leadership phenomenon?

5. To what degree have you already made up your mind about the prospective answers to your research questions?

6. How would you feel if the data collected from your study participants did not affirmatively address your research questions, but rather, presented negative or discrepant information that runs counter to what you may have perceived the responses to be?

7. Based on our conversations, do you now feel you can objectively solicit information from your study participants and then analyze the stories of their "lived experiences" without replacing their voice with your own?

Appendix L

Expert Examiner Report

EXPERT EXTERNAL EXAMINER REPORT
(Chapters 1-3)

Dissertation Research Project Title: "A Phenomenological Study of Transcendent

Leaders in Healthcare"

Researcher/Author: David A. Jordan (Doctoral Candidate)

Degree Granting Academic Institution: Medical University of South Carolina /

Department of Health Administration & Policy

External Examiner: Gilbert W. Fairholm, DPA

Background of Expert External Examiner: Gilbert W. Fairholm, DPA is Emeritus

Professor, School of Government and Public Affairs, Virginia Commonwealth

University; Adjunct Associate Professor of Leadership at the University of Richmond;

and Visiting Professor at Hampden-Sydney College. He is the author of numerous

articles and books, including Value Leadership: Toward a New Philosophy of Leadership

(1991); Organizational Power Politics (1993); Leadership and the Culture of Trust

(1994); Capturing the Heart of Leadership (1997); Perspectives on Leadership (1998);

Mastering Inner Leadership (2001); and the Techniques of Inner Leadership (2003).

Role of the External Examiner:

The role of the expert external examiner is to review the dissertation project for

coherency in design and comment as to the overall contribution the research study may

make to the body of knowledge. As distinct from a peer examiner(s) or faculty research

project committee, the external examiner offers a general "assessment of the research

project [either] throughout the process of research or at the conclusion of the study"

(Creswell, 2003, p. 197). The expert external examiner contributes to the

"trustworthiness", "authenticity", and "credibility" (Creswell and Miler, 2000) of the

research project. The comments that follow reflect Dr. Fairholm's examination of

Chapters 1-3 with an accompanying review of Chapters 4 and 5.

1. Does the Introduction (Chapter 1) properly introduce the research study by identifying the research problem or issue in a clear manner? Is the research issue adequately framed within the existing literature and are deficiencies in the literature pointed out? (Creswell, 2003).

> RESPONSE:
> The research issues, research questions and the definition of the leadership model – termed transcending leadership – and its place vis-à-vis other leadership models (especially that of Burns) are presented in a cogent way. Also, the author satisfactorily justifies the importance and relevance of his research and its place in contemporary leadership theory and places it in context of current thinking. Since his topic is new and, as yet, mostly unexplored, there is little applicable research to build upon, hence the major deficiency is in the absence of relevant data, not its inappropriate usage

2. Do the research questions addressed in the study serve to narrow and focus the purpose of the study? (Creswell, 2003). Do the research questions contribute to eliciting reader interest in the study?

> RESPONSE:
> The research questions are all on target, differentiate the key components of research that, if verified through his research will help validate this new leadership construct and determine its use by healthcare professionals. Careful research will also determine if transcending leadership is a discrete part of leadership theory and practice.

3. Do you have any specific suggestions or comments to the researcher concerning Chapter 1: Introduction?

> RESPONSE:
> The author appears to have carefully thought through his project. He has presented a cogent case justifying its appropriateness as a dissertation topic, one that may actually contribute new knowledge to the body of existing leadership data. My only caution is that, since this research explores a new conception of leadership and is largely undeveloped in extant literature, every effort should be made to insure that reporting on all aspects of his research, findings and conclusions be presented to the reader as simply and clearly as possible eschewing unfamiliar vocabulary for a simple, clear and direct writing style.

4. In your opinion, does the Review of the Literature (Chapter 2) adequately provide a case that the study topic *can* and *should* be researched?

RESPONSE:

The candidate presents a complete and exhaustive review and analysis of current literature both about transcending leadership and all of the major and many minor leadership models posited in the last two or three decades – the first period of focused ferment in leadership theory-building (as opposed to merely expanding management theory-building to include leadership as just another task of management).

---

5. Does the Review of the Literature (Chapter 2) adequately share with the reader the results of other studies that are closely related to the study being reported? Does the researcher relate the study to the larger ongoing dialogue in the literature concerning leadership theory, filling in gaps, or extending prior studies? (Creswell, 2003 p. 29-30).

RESPONSE:

The author places transcending leadership squarely within the present ferment of leadership research. He discusses the contribution of the few other scholars who are exploring transcending leadership and places both their contributions and his proposed research in proper context of servant, strategic and spiritual leadership – all relevant threads of current research that hold great promise of defining leadership for the first time as a body of knowledge separate from any other social group role, including management.

---

6. Within the literature review, does the researcher provide a *framework* for establishing the importance of the study, as well as a benchmark for comparing the ultimate results of the study with other findings? (p. 30).

RESPONSE:

Yes, the candidate makes a compelling case for the need to develop operational validation of what is at this time mostly an intellectual construct. He shows evidence that he is aware of both the strengths and shortcomings of present leadership models and of his intention to validate major theory elements related to transcending leadership and those other models that are intellectual kin to that model.

7. Does the researcher clearly describe the strategy of inquiry employed in the research study (Chapter 3: Methodology)? In your opinion, does the phenomenological-qualitative approach, as described, appear coherent with the overall purpose statement of the study and the research questions posed?

RESPONSE:
The candidate's methodology is clearly stated and reflects both methodological parameters and the intrinsic logic dictated by this kind of a qualitative study. It appears to this reader that the approach selected is one best suited to test his assumptions and produce useful data upon which to develop answers to his three research questions.

8. Are the standards of research methodology suggested in this study comparable with the standards in other dissertations, which you have examined?

RESPONSE:
The candidate's methodology is similar to at least two of the last three dissertations I have supervised or have advised upon. He appears to be directly on target to have his research produce actionable data.

9. What is your opinion on the overall value of the research topic (i.e., the reasonableness of transcending leadership construct) and the methodology suggested to investigate it?

RESPONSE:
Transcending leadership is a little discussed element of Burns' work. It needs elaboration and application to real world experience to help validate (or not) this construct. It is especially relevant to contemporary leadership studies given the fact that spiritual leadership – a related construct – is receiving so much attention today. Knowing how – if at all – transcending leadership fits into the leadership matrix will be a valuable addition to our theory-building data foundation.

10. Please list any particular strengths, weaknesses, or distinctive/innovative features noted in Chapters 1-3 of this research project that would be worth drawing to the attention of the researcher's (David Jordan) dissertation project committee.

RESPONSE:
I believe the methodological approach outlined to be totally appropriate to this research project. It is a legitimate methodology that mirrors several past and currently on-going projects of my experience. Given this situation, the data from several research studies using similar methodological process will ease tasks of comparing and contrasting findings and conclusions and will strengthen the finding of each study.

Signature: Gilbert W. Fairholm / s /

   Gilbert W. Fairholm, DPA
   Emeritus Professor
   Virginia Commonwealth University

Date: August 20, 2004

EXPERT EXTERNAL EXAMINER REPORT
(Chapters 4-5)

<u>Dissertation Research Project Title</u>: "A Phenomenological Study of Transcendent

Leaders in Healthcare"

<u>Researcher/Author</u>: David A. Jordan (Doctoral Candidate)

<u>Degree Granting Academic Institution</u>: Medical University of South Carolina /

Department of Health Administration & Policy

<u>External Examiner</u>: Gilbert W. Fairholm, DPA

_____

11. To what degree has the researcher succeeded in communicating a holistic picture of the "lived experiences" of the study participant's (Chapter 4: Results)? Has the researcher offered a sufficiently rich description of the leadership experience, as seen through the eyes of the study participants, so as to vicariously experience the subject's world?

RESPONSE:
The candidate has demonstrated a comprehensive understanding of the inner nature of his study leaders. He has identified a variety of personal and interpersonal characteristics (i.e., traits, values, spiritual consciousness, etc.) to help the reader understand the innate character of his leaders. He has also integrated this essentially emotional data into the contemporary leadership literature in ways that validate his findings vis-à-vis the latest research in the field. He has made his subjects and his subject come alive.
---

12. Have multiple strategies (i.e., triangulation, etc.) been cited for validating the findings? Has the researcher clearly noted the outcome of the study (i.e., responded to the research questions) and provided a narrative picture of emergent themes? (Creswell, 2003, p. 180).

RESPONSE:
Yes. He has explored most of the important themes in present-day leadership research and has added detailed individualized (and aggregate) data that flesh out his research and provide a complete response to the research questions posed. His effort to integrate a lot of disparate data into three themes – emotional intelligence, determined resolve, and other-interest – helps the reader understand his findings and their meaning and provide foundation for his transcendent leadership model.
---

13. Does the researcher's interpretation of the data (Chapter 5: Discussion) respond to the question, "What were the lessons learned?" Did the researcher successfully compare the findings with information gleaned from the literature and extant theories? Does the study suggest new questions that need to be asked (Creswell, 2003, p. 195)?

RESPONSE:
Chapter 5 successfully captures the essence of both the candidate's research and the extant literature and develops a compelling case for transcending leadership. He notes needed areas of further research and integrates his finding into the emerging literature of values and spiritual leadership. He also raises specific areas for further research and theory-building.

14. Please note any particular strengths, weaknesses, or distinctive/innovative features within Chapters 4-5 that would be worth drawing to the attention of the dissertation project committee overseeing the work of the researcher.

RESPONSE:
His case for transcending leadership characterized by other-interest, emotional intelligence, and determined resolve expands present theory. His logic is consistent and cogent. His understanding of existing literature is, for this reader, extensive, relevant, and comprehensive. While he mentions values/spiritual leadership in his paper, had he given more attention to this evolving theory, it would have strengthened an already solid argument.

Signature: <u>Gil Fairholm /s/</u>

Gilbert W. Fairholm, DPA
Emeritus Professor
Virginia Commonwealth University

Date: <u>2/5/05</u>

Appendix M

Medical University of South Carolina

IRB for Human Research Approval

(Exempt Research)

HR Number: 3.3

Subject: Dissertation2

MUSC IRB for Human Research
Phone:(843)792-4148 Fax:(843) 792-7457

Exempt Research/Quality Assessment Review Application

Principal Investigator: David Anthony Jordan Mr.

Department: Health Administration and Policy

Division: not applicable

MUSC
FEB 1 9 2003
RESEARCH INTEGRITY

Mentor: Andrea W. White Dr.

Department: Health Administration and Policy

Division: not applicable

Contact Person: David A. Jordan   **Email:**   djordan@sevenhills.org

Phone :   508-755-2340   **Fax :**   508-849-3882

Facilities:
MUSC ☒   VAMC ☐
Charleston Memorial ☐
GCRC ☐   Other ☐

Sponsor: N/A
Title of project : A Phenomenological Study of Transcendent Leaders in Healthcare Settings

1. **Description :**
   This study is being completed in fulfillment of the requirements for the Doctoral Program in Health Administration (DHA). The qualitative study will follow a key informant methodology. The study will explore the characteristics, traits, values, and experiences of 'transcendent' leaders in health care . Approximately 10 healthcare leaders and/or practitioners identified by peers or other informants as exhibiting exemplary characteristics and skills will be asked 10 to 15 open and

closed ended questions.

Specific Aim(s) :
The purpose of this study is to gain insight into the characteristics / traits exhibited by exemplary (transcendent) leaders in healthcare. Specifically, in what ways do transcendent leaders impact their collaborators(employees and associates); their organizations; and the broarder society. The information gained from this study may be helpful in the education and ongoing training of healthcare leaders.

II. **What kind of human samples (e.g., tissue, blood) or data (e.g.., private information such as alcohol, drug or physical abuse responses to questionnaires) will be involved?**
No human samples will be taken. Key informants from various state Medical Societies and Hospital Associations will be asked to offer names of exemplary candidates who meet a prescribed definition of a transcendent leader. Of those names approximately 10 candidates will be selected, pursuant to geographic distribution and discipline (half to be practicing clinicians with the remaining to be non-clinical executives). The 10 candidates will be asked to discuss their views on matters pertaining to the role that leadership plays in motivation and collaborator achievement; personal values which contribute to their identification as transcendent leaders; personal experiences which have had societal impact upon the health and wellness of individuals beyond their organization/practice as a result of their transcendent leadership attributes.

III.

A. **Will you be collecting ☒ , receiving ☐ or sending ☐ these samples or data?**
   Do the samples or data already exist ☐
   Are they being collected for the express purpose of this study? ☒
   Describe:
   The interview protocol will consist of approximately 10 to 15 open and closed ended questions which will address factors that may contribute to a broader awareness of the characteristics endemic to a transcendent healthcare leader and his/her effect upon their collaborators(ie. patients, employees, peers).

B. **Are the samples or data from individuals who may need special safeguards?**
   ☐ **Terminally ill**   ☐ **Cognitively Impaired**
   ☐ **Under 18 years of age**   ☐ **Students/Employee**
   ☐ **Pregnant**   ☐ **Minorities**
   ☐ **Elderly Aged**

C. **Do the samples or data you expect to collect, receive or send have the following?**

   names or personal identifiers ☒
   codes (i.e., numbers or initials) ☐

D. **If names or codes are used, explain the purpose for these identifiers.**
   Key informants and selected candidates for interview will initially be identified by name, however that data they provide will be classified under both organizational and position codes. These codes will be used to permit comparisons of the qualitative data obtained from the individuals ultimately interviewed. After the qualitative data is gleaned and summarized the data will be sent to the interviewees for verification and comment after which all names, codes, and identifiers will be removed.

E. **If names or codes are used, will they be removed** ☒
    If yes, when?
    Immediately following data analysis and verification/ comment by the interviewees.

F. **If the samples or data are coded, do you or your collaborators intend to seek the identity of the subjects or collect additional samples or data from them during the course of the study?** ☒

IV. **Do you plan to publish your finding?** ☒
     Internal Quality Assessment Only ☐
     Or
     Exempt Category(ies)

1. ☐ **Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as**
    a. **research on regular and special educational strategies, or**
    b. **research on the effectiveness of or the comparison among instructional techniques, curricula or classroom management methods.**

2. ☒ **Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), *survey procedures, interview procedures or observations of public behavior, unless:**
    a. **information is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects and**
    b. **any disclosure of the human subjects responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects financial standing, employability or reputation.**

3. ☐ **Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), *survey procedures, interview procedures or public behavior that is not exempt under paragraph 2(b) of this section, if**
    a. **the human subjects are elected or appointed public officials or candidates for public office; or**
    b. **federal statue(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.**

4. ☐**Research involving the collection or study of existing data, documents, records, pathological specimens or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.**

5. ☐ **Research and demonstration projects which are conducted by or subject to the approval of department or agency head and which are designed to study, evaluate, or otherwise examine:**
    a. **public benefit or service programs;**
    b. **procedures for obtaining benefits or services under those programs;**
    c. **possible changes in or alternatives to those programs or procedures; or**
    d. **possible changes in methods or levels of payment for benefits or services under those programs.**

6. ☐ Taste and food quality evaluation and consumer acceptance studies,
   a. if wholesome foods without additives are consumed or
   b. if a food is consumed that contains a food ingredient at or below the level found
      to be safe, or agricultural, chemical or environmental contaminant at or below
      the level found to be safe by the Food and Drug Administration or approved by
      the Environmental Protection Agency or the Food Safety and Inspection Service
      of the U.S. Department of Agriculture.

Exemptions at 46.101(b)(1) and (b)(3) through (b)(6) are applicable to this subpart. The
exemption at 46.101(b)(2) regarding educational tests is also applicable to this subpart.
*However, the exemption at (2)(b) for research involving survey or interview procedures or
observations of public behavior does not apply to research with children, except for research
involving observation of public behavior when the investigator(s) do not participate in the
activities being observed.

To receive approval for exempt research, the Exempt Research Review Application must be
completed, and approved by the Principal Investigator's Department Chair and the IRB Chair or
his/her designee before the exempt research can proceed.

I concur with this designation.

**Signature of
Dept. Chair**   Date: 2/14/03

**Dept. Chair
Name:**   David Ward, PhD

**Signature of
Investigator**   Date: 2/13/03

**Investigator
Name:**   David Anthony Jordan

**Signature of
Mentor**   Date: 2/13/03

**Mentor
Name:**   Andrea W. White

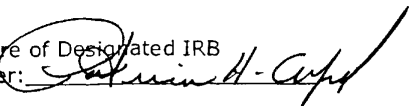**ORI USE**   Meeting Date:

Concur with Exempt
Designation:_____

Not Exempt, Submit Human Research Review Application for IRB
Review:_____

Signature of Designated IRB
Reviewer:_____   Date:_____

Appendix N

Nominator-Corroborator Essence Descriptions

of Perceived Transcendent Leaders

Nominator-Corroborator (NC) Essence Description of Study Participants (SP)

Nominator-Corroborator 1 (NC1) Essence Descriptions re: SP1

- "He [SP1] exudes intellectual honesty, credibility, and integrity."

- He's very brilliant and I think one of the things that make him so well respected and such a gifted leader is that he is very slow to react. When it comes to decision-making, he prefers to gather lots of information and sometimes if you gather lots of information about an issue eventually the answer just presents itself. He has taught that to me.

- "He's sort of the strong silent type intellectually speaking. He's not bragadacious or grandiose. He's very cerebral, but also delightful company."

- "Credibility and purity of motive are his most notable [characteristics]. With Dr. [SP1] no one ever wonders if there is ever an undercurrent agenda; what he says is where his heart is."

- "His credibility and intellectual honesty inspires [others] by example".

- I don't think there are many [physician-leaders] that have the qualities of intellectual capacity, judgment, empathy for others, compassion, and policy understanding to the degree that he does. I think it's the blend of all those qualities that made me suggest him [as a perceived transcendent leader] among our 4000 plus physician members.

Nominator-Corroborator 2 (NC2) Essence Descriptions re: SP2

- "His interactions with others are based on his moral standards. He's probably the most optimistic person I've ever known."

- "The thing that stands out is that he's willing to do what other people often don't want to do."

- He puts other people before himself; his own self-interests. I think his focus has always been on one, what's good for patients; two, what's good for the [healthcare] profession; three, what's good for the individual doctor; and lastly, what's good for him – if anything at all.

- In terms of leadership characteristics, I think his respect for other people, his tolerance for different opinions, his compassion [are notable]. He's a consensus builder and non-judgmental [in that] he has the ability to identify and bring together the right mix of personalities, perspectives, and opinion makers in order to reach consensus [on a problem].

- "He's very informed on the issues and thinks before he acts."

- "He's very sensitive to the needs of others and he understands the power of leadership."

- …when you first meet him, you may not be much impressed; he's not much of an imposing looking figure – a little disheveled, he lives in a modest home and does his own shopping at the grocery store. But, he's very optimistic and he's selfless. He prefers others to get the credit for a lot of what he does.

- One last thing that sticks out for me about [SP2] is that some people aren't leaders; they just hold leadership positions. Some lead by intimidation and some lead by controlling a clique. [He] leads by bringing people together using just thoughts and ideas and persuasion and consensus building.

Nominator-Corroborator 3 (NC3) Essence Descriptions re: SP3

- "She deeply believes in helping people and giving people a chance to succeed."

- "She has great personal integrity and insists upon always *doing the right thing*. She's strong, but not overbearing."

- "She is someone who is able to quell an insurrection."

- "Her ability to connect with people and thus motivate [them] which leads to getting things done."

- "She exhibits a lot of authority in her work and the way in which she conducts herself."

- "I marvel at her ability to move people forward."

- "[She is] a leader who listens and helps others to understand the importance of their actions."

Nominator-Corroborator 4 (NC4) Essence Descriptions re: SP4

- "He's diminutive in stature, but his story is absolutely exciting. He really is a great man among physicians."

- "He's a remarkable guy because he rose, out of what you might say adversity, to become a tremendous and important person for the Chinese community, the San Francisco community, and also for the profession of medicine."

- He isn't a guy that commands respect for his personal style. He isn't a calm rudder. He's passionate about things he believes in and that shows through. Again, by example he's inspired colleagues by virtue of how hard he works and his set of core values of commitment to his community, his family, and the overriding benevolence he shows to everyone he comes in contact with.

- [SP4] remains a unique person who stands out in his whole ethnic group across this country. He's not a polished Harvard professor that grew up here and went through

the Ivy league experience, He's a guy with roots in [two] cultures. This guy overcame the stigmata and adversity during the time of discrimination [World War II] and overcame that. In doing so, he lifted his own community; he lifted his entire community.

- "…for thousands of kids in San Francisco he was the inspiration; he's what the mothers and fathers said, "you can be like Dr. [SP4].

Nominator-Corroborator 5 (NC5) Essence Descriptions re: SP5

- "[SP5], just like every human is very complex…. I've seen him humble and I've seen him not humble. "*Doing the right thing* is a phrase that fits him."

- "Church and spirituality is very important to his whole family. He's deeply involved with the [Catholic] church."

- "I think he would be most proud of the role he played in bringing Medicaid equity to a national agenda. He has helped bring Medicaid equity to his state and 23 other states."

- "When he talks about something and you're in the room, it's hard not be infected by him and his passion on issues [which] are intended to benefit others."

- "He inspires people by the depth of his own commitment and his own willingness to sacrifice [for others]."

- Not many doctors have done things on the scale [SP5] has done on healthcare policy issue which effect millions. Few of them reach as deep as [SP5] does in terms of macro [healthcare] policy issues and understand the micro impact of those macro issues.

Nominator-Corroborator 6 (NC6) Essence Descriptions re: SP6

- "He shares that sense of *doing the right thing* for the public; improving the health of the community."

- When you're in a meeting and everything is falling apart, that's when [he] will ask the group a question, the answer to which is so obvious that it leads everyone to a consensus point. It's actually a startling, unnerving capacity that he has to know exactly when to say something in a way that doesn't tell people they're wrong, but asks them what's right…which creates a consensus to go forward.

- "He's a tremendous facilitator…He's viewed with awe by everyone [other hospital CEOs] in this state. He basically saved healthcare in much of southeastern rural New York."

- "Steady personality, very rarely ruffled. He has a lot of humility and a lot of determination to serve.

- "It's apparent to me that there is a deep sense of spirituality that surrounds much of what he's about…but I don't know if he even goes to church or not, but you feel his spirituality."

Nominator-Corroborator 7 (NC7) Essence Descriptions re: SP7

- [SP1] believes in equity and fairness and what's right. He really turned out to become the conscience of the [healthcare] industry and his whole philosophy is that every person has a right to health and dignity; and this is what drives him in everything [he does]. He has deeply ingrained ethical principles – uncompromising moral principles – that have pushed our whole [healthcare] industry in a different direction. It's pretty remarkable to watch."

- "He's probably the most brilliant guy I've ever met."

- "He's brought compassion back into the business aspect of running healthcare programs….and is the only MD/CEO of any large hospital system in Texas that still does rounds with patients."

- "He's brilliant, value driven, and extremely dedicated. He is very spiritual, but his spiritual values come through in a generic way. He's one of those guys you can't help but like."

- "[SP1] exudes something that none of the rest of them [peer CEOs] do all of the time … that is, he has the ability to think "community needs" all of the time."

- He was the leader who single-handedly got legislation passed to create an indigent healthcare treatment act. …it got Texas away from an attitude that [the indigent] is just a group of lackluster people who sit on their front porches.

Nominator-Corroborator 8 (NC8) Essence Descriptions re: SP8

- "[SP8's] values include his passionate care and concern for other people. He also really likes to get things done; his ideals accomplish [things] so that people can benefit. And third, I would say that his family would rank as a core value for him."

- "He has a warm personal aspect about him , but [he] can be very decisive in a heartbeat."

- "He's never fully satisfied and always wants to improve upon what exists or creates new situations which others can benefit from."

- "He's so driven, but at the same time so benevolent when it comes to people."

- He's a real consensus-builder, which is the Vermont way, and so very people-oriented. He doesn't seek the limelight and in that way he's a pretty humble guy who, due to his style of leadership, engenders real loyalty.

- "[SP8] is very steadfast in his approach to issues, and advises others without being seen as critical. I've always admired that about him."

- "He has a drive mixed with balance and humility. He likes to see things happen – he likes change if it will help other people."

Nominator-Corroborator 9 (NC9) Essence Descriptions re: SP9

- What he's accomplished at [his organization] in the past 20 years of his leadership is taking a suburban, garden variety, community hospital – defining the mission more broadly and moving that into a premier national [healthcare] organization.

- "He's not someone who beats his own drum, he's very self-effacing."

- "… [one] cannot become impressed with his abilities that include, among other things, this extraordinary fore-sightedness. Not what we're doing today, but what we should be doing for the welfare of our community ten years down the road."

- "He inspires this sense that we are going where we need to go, but wherever we need to go isn't where we are today."

- "… he's a very strong family man and is devoted to them, and he possesses a genuine caring spirit for people."

- In my own experience I'd say he motivates [people] quietly. It's more of a "come let us reason together" approach, rather than the big platform – big speech – the big sermon type of thing. Having dialogue in the true sense of what dialogue means with people – about how we need to get on with what we need to do.

- He's humble, quietly directive in his [leadership] approach, and successful…and obviously he has a very strong intellect. We're not dealing here with a man of meager intelligence. [SP9] is very bright and is very forward thinking – forward looking.

- "[SP9] spends a lot of time in contemplation as to what we are versus what we should be and then articulating that vision. He is always trying to get himself and others where they've never been before."

- "This man is a deep thinker."

Nominator-Corroborator 10 (NC10) Essence Descriptions re: SP10

- "[She has] a commitment to service and to make a difference in the lives of others. She just has a real desire to make a difference."

- "She rises to leadership because she's able to get people to work together; to commit to goals that they may not have otherwise.

- "I would say spirituality is a core value to her, but not in a dogmatic religious sense. She's very comfortable with people of all types and backgrounds."

- "She's very much a self-made person who came up through the ranks. She rose to the position in the hospital she ran, by starting off as an admitting clerk."

- "She certainly makes you feel like you're special and she believes in you. She talks to you in ways that make you feel like you're doing something very special;' it's a rare quality."

- "People love her … it's a rare person who is able to accomplish as much as she has and make people around them feel so good about what they're doing.

Nominator-Corroborator 11 (NC11) Essence Descriptions re: SP11

- He inspires people through his own life and example. He's one of those people that won't ask you to do something he wouldn't do himself. He'll be right there beside you. You don't work for [SP11], you work with him.

- "He's direct and to the point. He validates people and engages them."

- "He's honest, has a great deal of personal integrity, and is willing to listen to the thoughts and opinions of others."

- "Always, he wants what's best for others ahead of his own interests. All he wants is what's best for his family, his hospital, and his staff."

- "You just _want_ to do things he talks about because he is so enthusiastic with a great sense of humor."

- I would work for [SP11] anytime, anywhere. His integrity, his honesty, his willingness to listen, his leading by example is so rare. Yet, in doing all those things, he still takes time for his family. I really respect that about him.

Nominator-Corroborator 12 (NC12) Essence Descriptions re: SP12

- "[SP12] believes in the worth of individuals. His values are integrity and moral [character]. To me he epitomizes a strong code of ethics."

- "He's a solid husband and father."

- "He really has a strong commitment to his institution and community; not just himself. He's very selfless."

- [SP12] is a phenomenal listener! He comes into a discussion and he will listen. He knows how to bring people together in a non-confrontational way. When [SP12] says something, he's like an E. F. Hutton commercial – people listen."

- "He's self-disciplined, not prone to excesses in any way. He's very humble, very

  determined."

- "He inspires people [by expressing that] he believes in you. He says, "you go do it

  and I'll back you up 100%, and if it doesn't work, I'll still back you up.""

- "I think that there are [only] a couple of people in this state like him, but [SP12]

  epitomizes in my mind why we went into the healthcare field…you do it to

  strengthen the community."

Nominator-Corroborator 13 (NC13) Essence Descriptions re: SP13

- The first impression you get [of SP13] is a strong forceful leader, very charismatic –

  cuts to the chase – low tolerance for bullshit. And yet at the same time, he has a clear

  focus, vision, and then leading into things like integration of effort – a sense of

  egalitarianism; combining a nonprofit hospital mission with a sense of social justice.

- "The overriding dynamic is [SP13's] own passion; that's what you feel, his passion

  for getting things done for the right reasons."

- "I think he's a faith-filled person, but I don't know if you'd call him religious."

- "I just think that no one else [other than SP13] can move things along – transcend the

  current healthcare environment – better than him."

Nominator-Corroborator 14 (NC14) Essence Descriptions re: SP14

- "[As a native American] he has a desire to represent minorities, hence he has an

  incentive to be fair and then they [minorities] are represented in society."

- He has a wonderful desire to just serve [others] and be a good leader. He's very

  innovative, he's conscientious, intelligent, articulate, a good work ethic. [SP14] has a

  desire to move things ahead; a desire to be innovative.

- "He's self-motivated and certainly very ethical. This is a man of integrity."

- He draws people out and tries to use serendipity; a sense that they're [he and his followers] benefiting from one another… he seeks their counsel and, in turn, communicates to them what he's thinking and then they build on that to come up with solutions. He's very dynamic.

- "I just really respect the guy…[he] just seems to be on top of everything."

Appendix O

Selected Leadership Characteristic Studies

And Identified Leader Characteristics

Researcher/Date	Leadership Characteristics Identified
J. M. Kouzes & B. Z. Posner (1987, 1993, 1995)	• Honest • Forward-thinking • Inspiring • Competent • Fair-minded • Supportive • Broad-minded • Intelligent • Straight forward • Courageous • Dependable
C. M. Sieverdes (1995)	• Honest & has a strong sense of integrity • Conveys trustworthiness & wisdom through actions • Displays competence, capability, & expertise • Has a sense of mission w/vision: a dream • Shows courage & is willing to stand alone for a worthwhile principle • Shows are & concern for others • Inspires positive, creative, dynamic beliefs, & activity • Listens to others for their perspectives & ideas • Maintains the highest standards of excellence • Has legitimacy & acceptance, and serves as a role model • Involves others by delegating responsibility & power
Corporate Leadership Council (2001)	Determined that "people management: skills – in contrast to strategic management and process management skill is the principle determinant of organizational effectiveness. The leadership characteristics identified with people management included: • clearly communicates expectations • recognizes and rewards achievement • inspires others • persuades and encourages others to move in a desired direction • holds people accountable

D. Cox (2001)	• A high standard of personal ethics • High energy • The ability to manage priorities shares equal importance w/the setting of priorities • Courage • Committed and dedicated leaders develop committed and dedicated followers • Leaders have an urge to create beneficial goals proactively • Leaders have goal orientation to make difficult decisions • They inspire enthusiasm in others • They confidently respond to challenges, rather then simply react • A desire to help others
W. K. Kellogg Foundation (2004)	• Brings people together around a common agenda for collective action • Demonstrates collaborative & inclusive decision-making • Flexible & responsive in the face of change • Engages in continuous learning and improvement • Creates trusting relationships • Communicates a compelling set of visions, purposes, & values • Is willing develop, nurture, & create space for others to lead • Possesses a global perspective & understands its impact on local communities • Uses imagination & creativity in solving difficult problems • Is open to new & different ideas • Operates from a system orientation • Is capable of informing and influencing policy change.

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