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**AN EXAMINATION OF THE DYNAMICS OF
ORGANIZATIONAL CULTURE AND VALUES-BASED LEADER IDENTITIES
AND BEHAVIORS: ONE COMPANY'S EXPERIENCE**

A Thesis in
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by
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ABSTRACT

In recent years, corporate scandals have surfaced the issue of ethical leadership. For corporations who employ workers from across the globe, it is important to understand how company values can influence workers' behaviors, and even values. The purpose of this study was to examine how first-time leaders, particularly from minority populations, develop into values-based leaders.

Using Albert Bandura's social cognitive theory as a conceptual framework, this study addressed leaders' perceived influence of the environment (i.e., organizational culture and leadership) on new leaders' behavior and identity as values-based leaders. The influence of this value identity on behaviors was also examined.

Grounded theory methodology was utilized in this case-study of a large privately-owned manufacturing firm with deeply held and clearly articulated values. The company is very intentional about developing its people into more productive workers and effective leaders. Interviews were conducted with 35 leaders from across the entire organizational hierarchy. Twenty of the 27 lower-level leaders were from non-white backgrounds.

The study found that the organization's culture can influence new leaders' behaviors. Its core values are embedded in every aspect of the employee's experience, which serves to teach and draw attention to the company's values. An extensive employee assistance program reinforces the company's value for each employee, often creating a desire to work hard in return for the many benefits received.

The study also found that organizational leaders can influence new leaders through intentionally building authentic relationships with them. They can directly

influence new leaders' behaviors through (1) consistent role-modeling of the desired attitudes and behaviors and (2) demonstrating through their actions and words that employees are valued. Organizational leaders can also prime the self-concept of new leaders—especially minority employees—so that they begin to see themselves in a new role identity. Their emerging values-based leader behaviors begin to reflect a new desire for the growth and development of their subordinates.

Based on the findings, recommendations for both organizational leaders and aspiring leaders are offered. Lastly, suggestions for future research are presented, including further exploration of how culture and other demographic variables might mediate the environment's influence on behavior and values.

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CHAPTER 1

INTRODUCTION

Historical Perspective

The dynamic changes in the business environment brought on by international competition, increasing demands for quality and product development, and the shift from a manufacturing to a service-oriented economy have greatly affected how American companies manage work and workers (Judy & D'Amico, 1997). Since March 2001, U.S. employers have downsized almost three million workers (Mandel, 2004), and outsourced overseas over 400,000 more (Tyson, 2004). Middle-level managers were one of the casualties of this reduction in the workforce. As the retirement of the Baby Boomers—a group that is significantly represented in middle to senior managerial ranks—begins to occur in larger numbers, and the economy recovers further, the need for managers and leaders at all levels will increase. Exacerbating this anticipated manager shortage, the dearth of births from 1965 through the 1970s (the “baby bust”) will mean that there are fewer workers to fill this void. So where will companies find qualified managers for their organizations?

With fewer staff in middle management—the historically fertile ground for identifying and developing future leaders—organizations will have to change their approach to management selection and development. No longer is there an incremental series of developmental experiences at various management levels available for the development of senior leaders. The search for potential leaders will now require consideration of employees from lower levels in the organization—often members of populations traditionally underrepresented in management positions (e.g., minorities,

individuals without college degrees)— as well as more intentional development through fewer management levels.

Some enlightened companies are changing their approach to management selection and development. They are combining their concern for developing their future leaders with the realization that they need to create new structures and processes to remain competitive in the ever-changing global marketplace (Vicere & Fulmer, 1997). These companies realize that the “core purpose of strategic leadership development is...to cultivate and refine the managerial talents [at all levels] needed to move the organization toward its strategic objectives” (Vicere & Fulmer, p.12). They also understand that long-term organizational effectiveness is generated “not by the development of a strategic plan but through commitment [by their leadership] to strategic intent” (Vicere & Fulmer, p.12).

In concert with a leader’s alignment with the vision, it is critical that these new leaders embrace the organization’s values. This was particularly highlighted in the recent corporate scandals and tales of corruption at Enron, WorldCom, Adelphia, and Haliburton. Once again, our attention is called to the issue of ethics in business. While such behavior may not be rampant throughout Corporate America, the fact that it occurs at all is cause for a closer look at the factors that influence decisions and behaviors of leaders in organizations. Many business schools have incorporated ethics courses into their curriculum, companies have developed codes of ethics, and yet, such behavior still occurs.

Perhaps in response to these moral failures, recent popular business books have extolled the virtues of leading a business based on core values (Collins & Poras, 1994;

Despain & Converse, 2003; Kuczmarski & Kuczmarski, 1995). This concept of *values-based leadership* (House, 1996) has come to be associated with transformational leadership (Bass, 1985; Burns, 1978) and charismatic leadership (House, 1977) approaches, wherein shared values play an important role in motivating followers to higher levels of performance (Brown, 2002). For transformational leadership, internalization of the leader's values by followers is most important, whereas charismatic leadership relies on personal identification. However, Brown's recent study of employee acceptance of values transmitted by leaders found that there is very little, if any, transmission of values from leader to follower. Assuming, of course, that the organization's leaders share the company's values, how, then, can these senior leaders influence the values and subsequent decisions and behaviors of employees and, particularly for this study, newly promoted leaders? This is an especially important question since values are organized and prioritized into systems (Schwartz & Bilsky, 1987) which give purpose, meaning, and direction to our lives, and guide different attitudes and behaviors (Gecas, 2000; Meglino & Ravlin, 1998; Rokeach, 1973). Values inform the decisions managers and leaders make every day. This study explores how a company with a clearly articulated value system endeavors to influence the attitudes and actions of its employees and which has even changed some employees' value-orientations.

It is important to note that the context of this case study is a second generation family-owned manufacturing firm built on the founding patriarch's strongly-held values—particularly valuing people and their development. The founder, with his son, constructed the company based on his values and vision, crafting the “organizations [*sic*]

strategy, structure, climate, and culture” (Dickson, Smith, Grojean, & Ehrhart, 2001, p. 201). These values are communicated to employees in a myriad of ways, such as, mission and value statements, organizational systems and procedures, rites and rituals, stories, legends and myths (Schein, 1992). As current President and Chief Executive Officer (CEO), the surviving son, and co-founder of the company in this study, has strongly adhered to and maintained the original founding principles and values. Examples of other businesses that continue to embody their founder’s values include: Ben & Jerry’s Homemade; Patagonia; Southwest Airlines; Tom’s of Maine; and Wendy’s International.

Facing global competitive pressures, the company restructured in the mid-1990s. With fewer management levels to move up through, they needed to be more intentional about how they developed the kind of leader they wanted to take their company into the next millennium. Reductions in training staff in the Human Resources department pushed the leader training function down the hierarchy to all leaders throughout the organization. The company has a strong promote-from-within culture, intentionally developing leaders from under-represented populations. Employees that perform well are tapped for leadership, regardless of educational attainment or cultural background.

This values-based organizational context sets the stage for analyzing how the development of new leaders’ values-based identities is influenced by these deeply embedded values. To ensure clarity of meaning, the terms *organizational leaders* or *senior leaders* refers to existing senior or experienced leaders, and *new leaders* or *leaders* refers to individuals who have recently been promoted into leadership roles and are still early on in their development of values-based identities as leaders.

This study contends that organizational leaders, through their communications and behaviors, activate values-based identities in aspiring leaders that report to them, such that these new leaders make behavior choices that more closely align with the values of the senior leaders and, ideally, those of the organization. This assertion necessarily requires a brief introduction to leader identities and what Gecas (2000) calls *value identities*, which arise when “individuals conceive of themselves in terms of the values they hold” (p. 96).

Embracing new cognitions of one’s self-concept as a leader is fundamental to this transition into leader roles. The formation of leader identities involves not only the role identity (identity theory) of an individual, but also their social identity (Hall, 2004; London, 2002). An integration of these theories into a discussion of a more holistic and overarching personal identity posits that individuals reflexively experience themselves according to a hierarchical salience of values (value identities), which in turn influences their behavior choices (Hitlin, 2003).

The role that values play in identity formation is understudied in the management literature (Lord & Brown, 2001). Values are “desirable transsituational goals, varying in importance, that serve as guiding principles in the life of a person or other social entity” (Schwartz, S. H., 1994, p. 21). “Values develop in social contexts, [drawing] on culturally significant symbolic material” (Hitlin, p. 121). They operate at the individual, organizational, and societal levels, thus providing the possibility for studying links between these levels of analysis (Hitlin & Piliavin, 2004; Schwartz, B., 1993).

The study of values-based leadership necessarily involves consideration of the larger social system of the organization. According to authorities in the field, links have

been empirically tested or have been hypothesized between values and personal identity (Hitlin, 2003), organizational cultures and identity (Lord & Brown, 2001), and leaders and subordinate values (Lord & Brown, 2001). With this understanding, the purpose of this study is to examine the influence of an organization's values culture on the identity formation of leaders, particularly new leaders from under-represented populations and their value-orientations. It is anticipated that substantive theory will be generated by grounding it in the extensive data collected in a field study of the dynamic process of leader identity development.

Statement of the Problem

It is not clear from the literature what key factors and experiences influence leader identity formation, particularly the role that values play. The original assumptions of value transference from leader to follower have not been proven. So questions arise, such as, "How can an organization and its leadership influence the values of their (new) leaders as they make decisions and act on behalf of the organization?" If they do have any influence on behavior, is it direct or is it mediated by another variable, such as, the leader's value identity? These questions form the basis for this inquiry.

As companies are concerned about unethical employee conduct, it is important to look at how values—both individual and corporate—impact employee behavior. It is particularly critical that leader behavior is studied because of the significant influence throughout the organization that leaders' actions have, especially as they are charged with the responsibility of modeling appropriate behavior.

I intend to research the workplace role transitions of individuals in a manufacturing organization who have recently entered leadership roles. I hope to better

understand how an individual transitions from a non-leader to a leader role in the workplace, including how the process occurs and how it is experienced. Of interest are any “actions, interactions, and social processes” (Creswell, 1998, p. 56) related to a strong value-laden organizational culture that influenced the transition into new values-based leadership roles and identities. The term *strong organizational culture* means that the organization’s core values are both intensely held and widely shared (Robbins, 2000). Finally, are there any insights that can be gleaned about how leaders develop within a manufacturing context?

According to Edgar Schein (1996), there is a great need to study social systems in organizations. He underscores the importance of understanding “culture—shared norms, values and assumptions—in how organizations function” (p. 229). However, social scientists often find it comfortable to pursue “abstractions that can be measured”; yet “culture needs to be observed, more than measured” (p. 229). Schein (1996) exhorts such organizational scholars to incorporate other methodological approaches, such as, ethnographies and clinical observations of organizational phenomena. Brown (2002) concluded his quantitative study of leader value transmission to followers by recommending that the study of values “might best lend itself to qualitative methods because values might be relatively inaccessible and not easily recalled. Statements about values might be elicited through interviews or else inferred from a second order analysis of an individual’s own words” (p. 111). Brown also recommended future researchers explore leader’s values direct effects on subordinate’s behavior rather than influencing employee values. Finally, following his study’s findings that leaders can indeed influence employees’ self-transcendence values, there is a need study how leaders do so.

An in-depth case study of an organizational context with deeply held and clearly articulated values will provide an opportunity to explore such influences on the formation of values-based leader identities. The case study approach is designed to explore “a ‘bounded system’ or a case (or multiple cases) over time through detailed, in-depth data collection involving multiple sources of information rich in context” (Creswell, 1998, p. 61). According to Robert Yin (1994), case studies emphasize real-life contexts, examine many variables in a given situation as one, rely on multiple sources of evidence, and data collection and analysis can benefit from the guidance of the development of prior theoretical propositions. The primary source for data collection that was utilized in this study was semi-structured format interviews. Corporate promotional literature as well as posters throughout the facilities provided useful support material regarding organizational values and objectives. Direct observation provided minimal additional data in the form of field notes.

Significance of the Study

The intent of this study is to discover new insights and understandings of how an organization’s cultural factors (i.e., values and leadership) influence an individual’s transition into a new role as leader in the workplace. Of particular interest is how such factors influence the formation of value-based leader identities. I contend that organizational leaders, through their communications and behaviors, activate values-based identities in aspiring leaders that report to them, such that these new leaders make ethical behavior choices that more closely align with the values of the senior leaders and, ideally, those of the organization. A key challenge for these higher level leaders is which values to make salient depending upon the particular context.

In an era when the ethical conduct of organizational leadership has come under scrutiny, this important topic will benefit greatly from the study of how both organizational and individual values impact each other, and what effect such values have on new leaders as they form new role identities as leaders, and on their behaviors in organizations. Furthermore, at a time when companies are relying on employees to take more responsibility and leadership in their departments (e.g., self-managed work teams), such insights will prove helpful to organizational leaders as they seek to develop new leaders that operate within an ethical value system (Peters, 1987).

In her examination of first-time sales managers, Hill (2003) found that “becoming a manager required a profound psychological adjustment—a *transformation*” (p. 229) from individual actor (i.e., specialist and doer) to network builder (i.e., generalist and agenda setter). In another study, Howard (2003) discovered new engineering managers faced similar challenges. This research extends the focus of these studies to a population seldom considered in leadership research—lower- to mid-level manufacturing leaders from predominantly minority populations. By examining the development of leader identities—and particularly value-identities—in these new manufacturing leaders, this study will contribute to a greater understanding of the process of how values-based leaders transmit organizational values in a manufacturing context and how employees accept them (or not) and subsequently act.

Research Questions

This research study addressed the following research questions concerning the influence the organization’s culture (operationalized as a values-based organizational

culture and its leadership, i.e., from immediate supervisor to senior leader) has on the development of new leader identities and behaviors:

- Q1. What perceived influence do values-based organizational cultures and leadership have on the self-described behavior of leaders who are in low- to mid-level positions?
- Q2. What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?
- Q3. What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

Delimitations

This study is delimited to the examination of the development of leaders recently promoted (within the previous year of the study) in eight of the nine divisions in a manufacturing firm in the eastern United States. While these manufacturing-related informants represented eight divisions, 71.2% ($n=23$) work in one of two divisions. Following Glazer and Strauss' (1967) grounded theory approach, interviews were conducted until the emerging categories were saturated. As such, questions related to a saturated category were not necessarily asked of subsequent participants. Similarly, questions probing emergent categories were not always asked of informants interviewed early-on in the data collection phase. Category saturation and sometimes access issues rendered returning to earlier informants unnecessary or infeasible. According to Glaser & Strauss, theoretical sampling of a limited number of informants is considered an acceptable approach to collecting data in this qualitative method.

The focus of this study is the formation of value-based leader identities and the subsequent effect on their behaviors. As such, consideration of priority judgments about specific values held by organizations or individuals will not be made. Rather, observations of value orientations will be treated more generally. Value-based behaviors will be analyzed in the same manner. This study is similar to but distinct from competency modeling as discussed in Boyatzis (1982), Lucia and Lepsinger (1999), Rothwell and Lindholm (1999), and Rothwell and Sredl, (2000a; 200b).

Limitations

This study has several limitations. First, it is a study of perceptions gleaned from self-reports through interviews. Though every effort was made to ensure informants that their data would be kept confidential, the very private and personal nature of the information requested may have led to informants being influenced by social desirability affects or the desire to inline with the stated company values. As such, self-reports have been criticized as providing potentially inaccurate accounts. However, this methodology provides the best access to individual cognitions of identity and values perceptions.

Second, data will be collected from a large, privately-owned, union manufacturing environment in the eastern United States. The findings from this unique context are limited in their generalizability to other contexts. Last, the strong values embedded in the organization's culture by the now deceased patriarchal co-founder are not shared by most business enterprises. Though they are critical to this company's business success, comparison with other companies is difficult.

Definitions of Key Terms

Authentic Leadership

Authentic leadership is characterized by leaders who know who they are (i.e., have high self-awareness), they “demonstrate a passion for their purpose, practice their values consistently, and lead with their hearts as well as their heads. They establish long-term, meaningful [trust-based] relationships and have the self-discipline to get results” (George, Sims, McLean, & Mayer, 2007, p. 130).

Identity

From identity theory, the core of an identity is “the categorization of the self as an occupant of a role (e.g., role identity), and the incorporation, into the self, of the meanings and expectations associated with that role and its performance (Burke & Tully 1977; Thoits 1986)” (Stets & Burke, 2000, p. 225). These meanings and expectations “form a set of standards that guide behavior (Burke 1991; Burke & Reitzes 1981)” (Stets & Burke, p. 225).

Leader identity

From the identity and social identity definitions and the discussion of leadership in this section, this concept reflects an individual’s cognitions of him or herself as a leader.

Leadership

The role of managers has changed in recent years. Traditionally, management has been characterized as producing predictability and order by planning, organizing, monitoring and controlling; whereas leadership seeks to produce organizational change by developing and communicating a vision, and then, inspiring people to attain it (Kotter,

1990). With flatter organizational structures and resultant increased influence, both vertical and horizontal, managers are now required to embrace the role of a *manager / leader* (Kotter, 1999). For this study, the term *leader* is used to indicate people who occupy such roles.

In recent years, leadership discussions have embraced a more social understanding of “leadership as a complex interaction between the leader and the social and organizational environment” (Fiedler, 1996, p. 241). According to this approach, leadership emerges out of the social systems and engages everyone in the community in a social process (Barker, 1997). Acknowledging this perspective, I modify Yukl’s (2002) definition of leadership by considering it a socially interactive *process* “of influencing others to understand and agree about what needs to be done and how it can be done effectively, and the *process* [italics added] of facilitating individual and collective efforts to accomplish the shared objective” (p. 7). For our purposes here, the terms *leader* and *manager* will be used interchangeably to indicate people who occupy positions in which they are expected to engage in this leadership role.

Personal identity

This concept is “experienced by individuals as ‘core’ or ‘unique’ to themselves in ways that group- and role-identities are not” (Hitlin, 2003, pp. 118). It extends beyond the social referents of both identity and social identity theories to include a “set of idiosyncratic attributes that differentiate the person from others (Tajfel and Turner 1986; Thoits and Virshup 1997)” (Hitlin, pp. 118-119).

Possible selves

This concept represents “individuals’ ideas of what they might become, what they would like to become [e.g., a successful leader], and what they are afraid of becoming” (Markus & Nurius, 1986, p. 954). These desired selves link cognition and motivation as they “regulate effort and task persistence” (Markus & Wurf, 1987, p. 321).

Self-concept

The self-concept is a “dynamic interpretive structure that mediates most significant intrapersonal processes (including information processing, affect, and motivation) and a wide variety of interpersonal processes (including social perception; choice of situation, partner, and interaction strategy; and reaction to feedback)” (Markus & Wurf, 1987, p. 300).

Social identification

This is the “perception of oneness with or belongingness to the social category or role” (Ashforth, 2001, p. 25). Tajfel (1982) added two components necessary for achieving identification: “a cognitive one, in the sense of awareness of membership; and an evaluative one, in the sense that this awareness is related to some value connotations” (p.2).

Social identity

From social identity theory, a social identity “is a person’s knowledge that he or she belongs to a social category or group (Hogg and Abrams 1988)” (Stets & Burke, 2000, p. 225).

Strong organizational culture

In a strong organizational culture the organization's core values are both intensely held and widely shared. The culture's strength is gauged by the proportion of members who accept and are committed to the core values (Robbins, 2000).

Value identities

"Value-identities derive from the self-reflective appropriation, to the self, of behaviors that reflect culturally prescribed (and structurally patterned) values" (Hitlin, 2003, p. 122). According to Gecas (2000), value identities arise when "individuals conceive of themselves in terms of the values they hold" (p. 96).

Values

Values are "evaluative beliefs that synthesize affective and cognitive elements to orient people to the world in which they live" (Marini, 2000, p. 2828). "According to the literature, values are (a) concepts or beliefs, (b) about desirable end states or behaviors, (c) that transcend specific situations, (d) guide selection or evaluation of behavior and events, and (e) are ordered by relative importance" (Schwartz, S. H., & Bilsky, 1987, p. 551).

Working self-concept

The working self-concept "is the highly activated, contextually sensitive portion of the self-concept that guides action and information processing on a moment-to-moment basis (Kihlstrom & S. B. Klein, 1994; Lord et al., 1999)" (Lord & Brown, 2004, p. 17).

Assumptions

The main assumption of this research study is that the managers selected to be interviewed and observed are fairly representative of the manager population across the company. Every effort will be made to gain access and exposure across organizational hierarchies, both vertically and horizontally.

It is assumed that the managers are motivated to improve themselves as leaders, and to strive toward some level of value congruence with the organization. It is also assumed that employment at the company provides enough salience to motivate behavior and changes in behavior designed to benefit the company.

Conceptual Framework

As leadership is constructed through social interactions within social environments (Day, 2000), consideration of the organizational context can provide insights into the various influences that developing leaders encounter at work. The study of leadership necessarily involves consideration of the larger social system of the organization. How an individual leader develops into a leadership role is influenced by internal factors as well as external environmental factors (i.e., organizational culture and immediate supervisor).

From the work of Lord, Brown, and Freiberg (1999), leaders can have an impact on many subordinate processes by influencing their self-concept. Further, self-identities and values are related and “help to embed leadership actions in a broader cultural framework” (Lord & Brown, 2001, p. 134). The factors influencing the development of leader identities and their behavior are shown in Figure 1. The individual’s values and self-concepts are key mediational processes linking exogenous processes (i.e.,

organizational culture and leadership) with subordinate's internal processes, which influence subsequent behavior (Lord & Brown, 2001). Lord and Brown's (2001) framework is presented here since it was instrumental in the formation of the model developed later in this study.

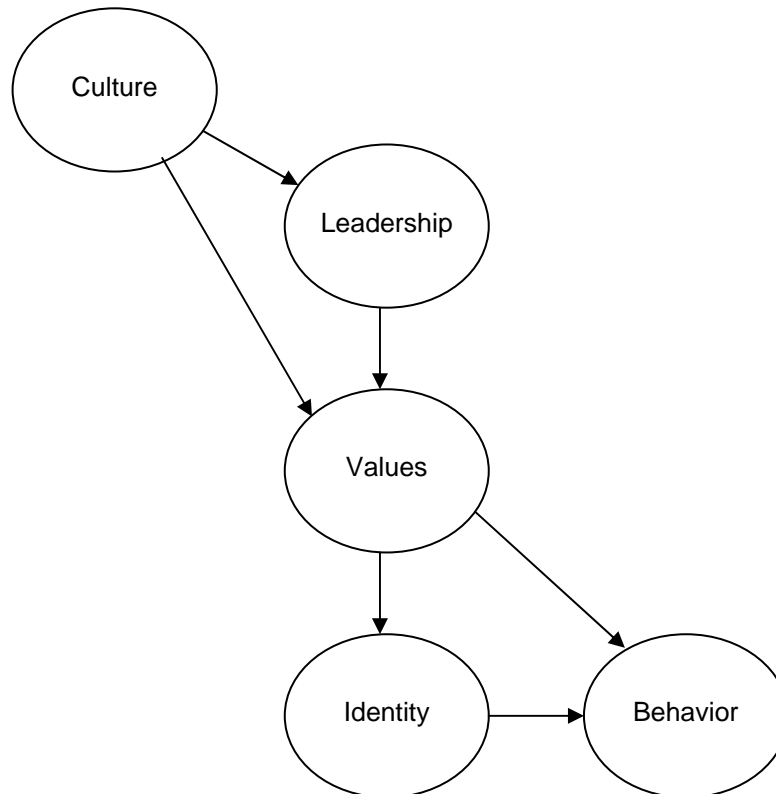


Figure 1. Lord and Brown's linkage of exogenous factors (Culture and Leadership) to developing leaders' internal self-regulatory structures (Values and Self-Concepts). From "Leadership, values, and subordinate self-concepts," by R. G. Lord and D. J. Brown, 2001, *Leadership Quarterly*, 12, p. 135. Copyright 2001 by Elsevier Science. Reprinted with permission.

The process of how we interpret our environment and come to know and act in our world is derived from Bandura's (1977, 1986) social learning theory, or social cognitive theory. According to this theory, "human agency operates within an interdependent causal structure involving triadic reciprocal causation" (Bandura, 1997, pp. 5-6) between the individual (i.e., cognitive, affective, and biological events), his or

her behavior, and the environment. This study incorporates Bandura’s theory into a conceptual framework (see Figure 2 below) in which the individual’s *leader identity* (Cf. Bandura’s Individual or ‘P’), behavior (B), and organizational culture (Cf. Bandura’s Environment or ‘E’) consisting of the organization’s values-orientation and its values-based leadership, are linked in a similar triadic reciprocal causation model.

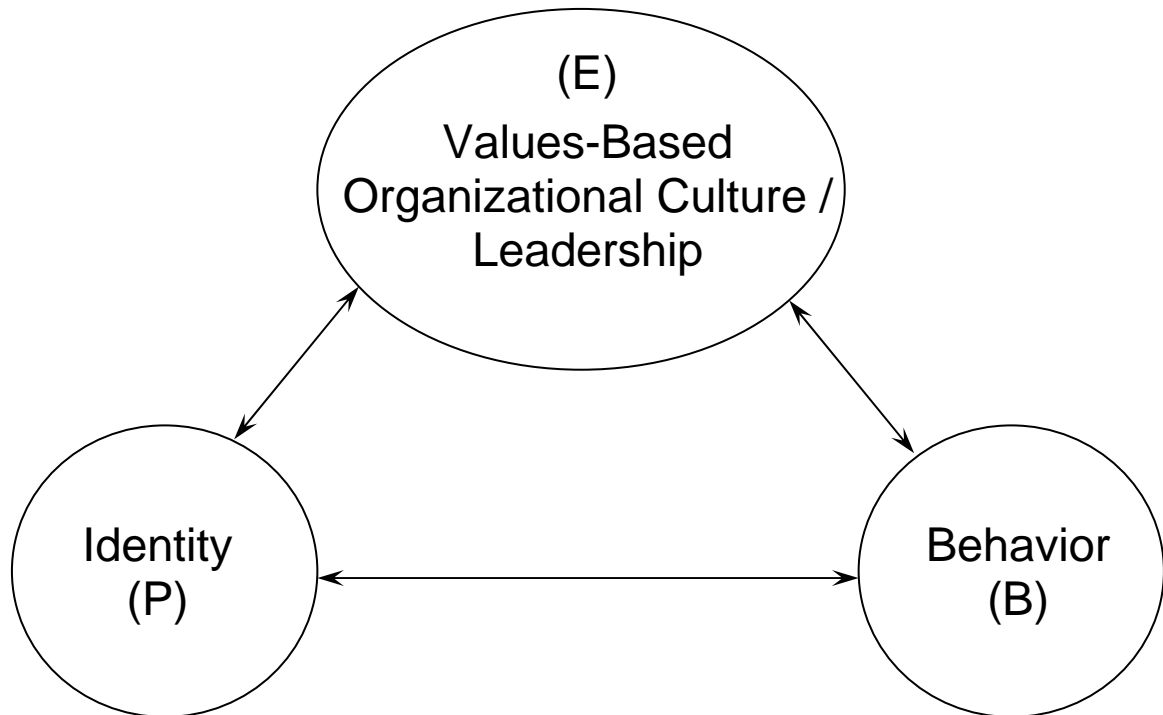


Figure 2. Bandura’s triadic reciprocal causation of environmental (E) factors (Organizational Culture and Leadership), developing leaders’ personal (P) cognitions (Value-Based Identity), and behavior (B; Value-Based Decisions and Actions). From *Social foundations of thought and action: A social cognitive theory* (1st ed., p. 24), by A. Bandura, 1986, Upper Saddle River, NJ: Prentice-Hall. Copyright 1986 by Prentice-Hall, Inc. Adapted with permission.

Individuals’ identities are influenced by their environment. A fundamental assumption is that “people in organizations are engaged in ongoing attempts to understand what is happening around them” (Gioia, 1986, p. 50). So when we talk about how individuals make sense of their world, the concept of sensemaking is helpful.

Sensemaking processes derive from...the need within individuals to have a sense of identity—that is, a general orientation to situations that maintain esteem and consistency of one’s self-conceptions. Sensemaking processes have a strong influence on the manner by which individuals within organizations begin processes of transacting with others. (Ring & Van de Ven, 1989, p. 180; as cited in Weick, 1995, p. 22)

The pervasiveness and importance of values in organizational culture are fundamentally linked to the psychological process of identity formation in which individuals appear to seek a social identity that provides meaning and connectedness (Ashforth & Mael, 1989). According to social identity theory (mentioned earlier), “people tend to classify themselves and others into various social categories” (Ashforth & Mael, p. 20). This process is called social identification and entails the “perception of oneness with or belongingness to the social category or role” (Ashforth, 2001, p. 25). “Goals, rooted in a value system and a sense of personal identity, invest activities with meaning and purpose” (Bandura, 2001, p.8). Therefore, those aspiring to senior leadership seek to identify with and become part of the existing leader group, affecting their cognitions, values and behaviors.

When considering what might motivate aspiring leaders to think and behave in different ways, we need to consider the concept of *possible selves*, which represents “individuals’ ideas of what they might become, what they would like to become [e.g., a successful leader], and what they are afraid of becoming” (Markus & Nurius, 1986, p. 954). They are considered the “cognitive manifestation of enduring goals, aspirations, motives, fears and threats” (Markus & Nurius, p. 954), linking cognition and motivation

as they “regulate effort and task persistence” (Markus & Wurf, 1987, p. 321). These desired selves brought to mind at certain times are “determined both by situational constraints and by the anticipated audience for the behavior (which can include the self)” (Markus & Wurf, p. 321). Organizational leaders can activate these desired selves which can motivate different behaviors in aspiring leaders.

According to this argument, personal values can only influence behavior through activated value identities (cognitive structures). As the focal concept of this study, value identities link values to identity theory (Hitlin, 2003; Wojciszke, 1989). Similar to how roles form the foundation for role identities, “commitment to values and conceptions of oneself in terms of one’s values are the basis for value identities” (Gecas, 2000, p. 96). Value identities are more transsituational than either role identities or social identities and, not surprisingly, emphasize culture more than social structure, and the moral context of identities (Gecas). This latter characteristic informs this argument. When individuals act according to their values, their *true* personal identity is expressed, and they feel authentic, a primary self-motive (Hitlin, 2003). It is not the value, as such, that leads to that behavior; but a value identity. Value identities constitute self-reflexive views (e.g., I’m a “good person”) that lead to behavior (e.g., helping an elderly person across the street). Because value identities can refer to desired personal qualities (an ideal view of one’s value identity), individuals can behave in ways that reflect these ideal, or perhaps culturally prescribed, values.

Wojciszke (1989) offered three preconditions for the influence of a cognitive structure (e.g., value identity) on behavior. The structure must be (a) a well-established entity in a person’s cognitive system, (b) activated from long-term memory, and (c)

accepted by a person as relevant and proper for conceiving of the current situation.

Values do not influence behavior directly. Rather they constitute value identities and are able to “regulate behavior only for persons who have developed the ideal self or personal value system as a distinct and internally organized structure [i.e., a value identity]”

(Wojciszke, p. 232).

In Wojciszke’s (1989) study of idealists and nonidealists, he observed an interesting phenomena, “Better established personal value systems of idealists are more capable of influencing their behavior [than nonidealists]” (p. 238). He speculated that there is a “stronger association between values and the self-structure for idealists.” (pp. 238-239). Finally, Wojciszke noted that individuals with increased self-awareness of their personal value system behave more consistently, both in their value–behavior consistency and over time.

Cropanzano, James, & Citera (1992) offer an important caveat. Activation of one self-identity (in this case, value identity) may conflict with or inhibit the activation of others, leading some individuals to develop “a high degree of compartmentalization” (p. 287). This might explain how an “otherwise decent and well-meaning individual could behave unethically because his moral standards are attached to an identity that is not currently active” Cropanzano et al, p. 287). This suggests that employees need to be consciously engaged in and have a certain level of self-awareness about their values, and particularly their value identities.

These findings underscore the need for helping new leaders establish a personal value system as a distinct cognitive structure. For Wojciszke (1989), value identities cannot influence behavior unless activated, and organizational leaders are in the ideal

position to do so. It is proposed in this paper that leaders' value identities are instrumental guides for their values choices, and that organizational leaders can effect different values-based behaviors through the activation of new leaders' value identities. The interaction between these factors will be explored through a longitudinal, detailed "investigation of the interdependencies of the parts and patterns that emerge" (Sturman, 1997, p. 94) from the study of this specific context. The next chapter addresses a review of the literature before the following chapter's discussion of research methodologies used. The final two chapters report the findings and summary, conclusions, and recommendations for further research.

CHAPTER 2

REVIEW OF THE LITERATURE

The purpose of this study is to examine the influence of an organization's strong values culture on the identity formation of leaders, particularly the value orientations of new leaders. Using the case study approach, leader identity formation will be explored within in a bounded organizational system. Literature was reviewed for the following topical areas that comprise the conceptual framework: social cognitive theory and values, organizational culture, and leader influences. The chapter concludes with a summary of the literature review.

Values

Despite their important role in business decisions and frequency of mention in the popular press, value theory and research are at the “fringe” of the field [of psychology]” (Rohan, 2000, p. 255). Perhaps this is because of a lack of consensus about the definition and nature of values (Meglino & Ravlin, 1998; Rohan). “Values can be described from multiple perspectives: content (i.e., aesthetic, cognitive and moral), intent (instrumental or terminal/goal values), generality (situation specific like work values or more general), intensity (strong or weakly held), and level (individual or social values)” (Brown, 2002, p. 25). Space limitations and this study's focus on the motivations behind values-based decisions by individual leaders necessarily limit the discussion to individual-level values approaches focused in the intent of actors.

Rokeach's (1973) definition of a value is one of two often quoted in the psychology literature, “A *value* is an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode

of conduct or end-state of existence” (p. 5). Rokeach developed a value survey in which respondents arranged two sets of 18 values in order of importance. However, some of the values are less relevant to organizational leadership (i.e., cleanliness, salvation; Brown, 2002), and “no theory about the underlying value system structure was proposed” (Rohan, 2000, p. 260). Consequently, I will draw from the other value theory, which is better suited to business applications.

S. H. Schwartz’ (1992) value theory provides the second definition that is frequently cited. “Values are (a) concepts or beliefs, (b) about desirable end states or behaviors, (c) that transcend specific situations, (d) guide selection or evaluation of behavior and events, and (e) are ordered by relative importance” (Schwartz, S. H., & Bilsky, 1987, 551; see Figure 3 below for Schwartz’ 10 value types). In a more recent application of this definition to the organizational context, S. H. Schwartz (1999) defined “values as conceptions of the desirable that guide the way social actors (e.g., organizational leaders, policy-makers, individual persons) select actions, evaluate people, and events, and explain their actions and evaluations” (p. 24). These characteristics are consistent with the suggestion that value systems are “stable meaning-producing superordinate cognitive structure[s]” (Rohan, 2000, p. 257). Though “values remain fairly stable over time,...they are capable of undergoing some degree of change” (Brown, 2002, p. 25). Yet, it is in this constancy that normative standards are established, and socially sanctioned behaviors are generated that fit the needs of the group (Lord & Brown, 2004). Values and value systems provide “continuity and meaning under changing environmental circumstances” (Rohan, p. 257).

Sources of values

The most common explanation for the source of values is the influence of “personal experiences and exposure to more formal socialization forces” (Meglino & Ravlin, 1998, p. 354). That many theorists consider values as “products of a culture or social system” (Meglino & Ravlin, p. 354) is of import to organizational scholars.

According to Kuczarski and Kuczarski (1995), values are developed over time from four factors: (a) family and childhood experiences, (b) personal relationships with “important” individuals, (c) conflict events which evoke self-discovery, and (d) major life changes and experiential learning. Early experiences in our family of origin have a formative influence on our development and the values we hold (Kuczarski & Kuczarski; Northouse, 2001). Relationships with significant people in one’s life, such as a teacher, mentor, boss, or senior leader, also influence our values. From Kuczarski and Kuczarski’s research, we can theorize that new leaders are “impressionable...and more open to value influences” (p. 44) from significant leaders in their lives. This will be developed further below.

A third way that values are shaped is by how a person deals with and learns from two kinds of conflict events: “societal or externally driven” (Kuczarski & Kuczarski, 1995, p. 44) conflict, such as, wars and environmental disasters; and “personally driven” sources of potential conflict (Kuczarski & Kuczarski, p. 44)., which might include divorce, job loss, [or] school failure. Bennis and Thomas (2002) call some of these “crucible” experiences, “a process that allows an individual to undergo testing and to emerge, not just stronger, but equipped with the tools he or she needs both to lead and to learn....It galvanizes individuals and gives them their distinctive voice [and informs their

identity]” (p. 4). Such conflicts, as well as the fourth source of values, major life changes (e.g., marriage, relocating to a new place, losing a loved one, experiencing combat in Vietnam), can provide opportunities for self-learning and self-discovery which can challenge us to see our values and beliefs from a new perspective (Kuczmariski & Kuczmariski).

Content of values

S. H. Schwartz (1992) proposed that individuals have different value priorities, and that these diverse appraisals can lead to “compatibilities and conflicts among different values” (Brown, 2002, p. 31). He developed a theory about the structure of value systems by focusing on the motivation represented in each value (Rohan, 2000). According to his findings, values are aligned with two motivational dimensions (see Figure 3). The first dimension, labeled *openness to change–conservation*, relates to conflicts between being motivated “to follow [one’s] own intellectual and emotional interests in unpredictable and uncertain directions” or “to preserve the status quo and the certainty it provides in relationships with close others, institutions, and traditions” (S. H. Schwartz, 1992, p. 43). The second dimension is labeled *self-enhancement–self-transcendence* and relates to the “conflict between concern for the consequences of own and others’ actions for the self and concern for the consequences of own and others’ actions in the social context [i.e., individual versus collective interests]” (Rohan, p. 260).

Ten value types are arranged along these two dimensions (see Figure 3 for arrangement of values on dimensions and Table 1 below for definitions and representative values for each type): power, achievement, hedonism, stimulation, self-direction, universalism, benevolence, tradition, conformity, security (S. H. Schwartz,

1996). When values share the same underlying dimension (e.g., power and achievement) they are compatible. They conflict when they are situated at opposite ends of a dimension (e.g., universalism and benevolence; Brown, 2002).

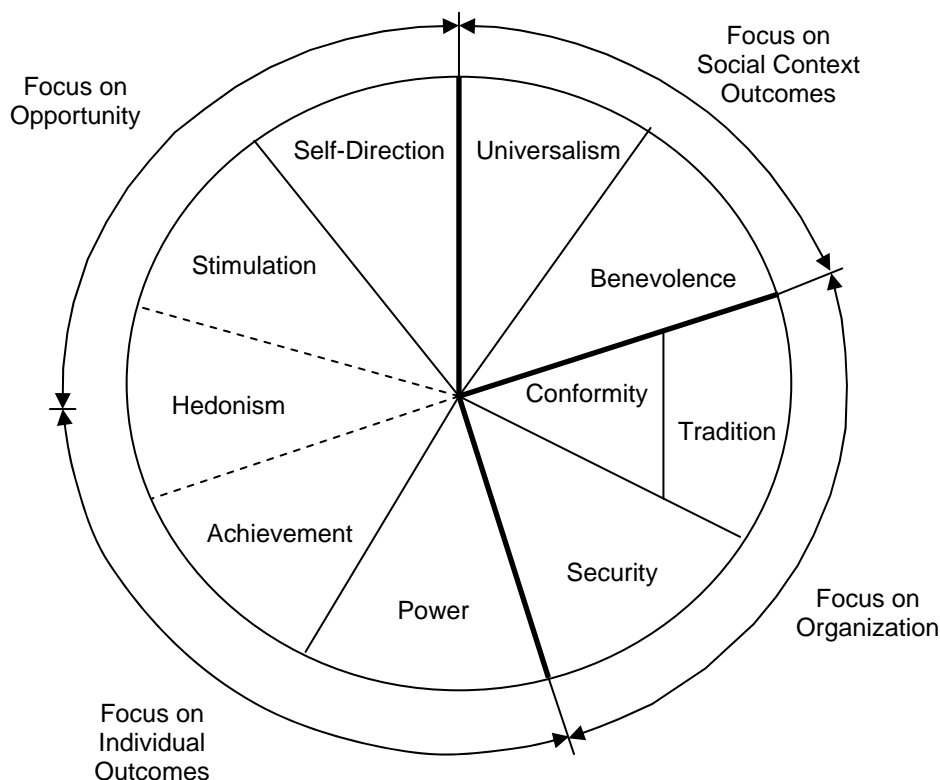


Figure 3. The structure of relations among Schwartz' value types. Adapted from "Value priorities and behavior: Applying a theory of integrated value systems," by S. H. Schwartz, 1996. In C. Seligman, J. M. Olsen, and M. P. Zanna (Eds.), *The Ontario Symposium: The psychology of values* (Vol. 8, p. 5). Mahwah, NJ: Erlbaum. Copyright 1996 by Lawrence Erlbaum Associates. Reprinted with permission.

Figure 3 incorporates Rohan's (2000) use of new labels for the two motivational dimensions to avoid "evaluative misinterpretation" (p. 260; e.g., openness to change could be construed as better than conservation) and to expand the possible options available for expressing these motivations. I now turn to a brief discussion of the values that are pertinent to organizational leadership.

Table 1

Definitions of Motivational Types of Values in Terms of Their Goals and the Single Values That Represent Them

Value	Definition
Power	Social Status and prestige, control of dominance over people and resources (Social Power, Authority, Wealth)
Achievement	Personal success through demonstrating competence according to social standards (Successful, Capable, Ambitious, Influential)
Hedonism	Pleasure and sensuous gratification for oneself (Pleasure, Enjoying Life)
Stimulation	Excitement, novelty and challenge in life (Daring, a Varied Life, an Exciting life)
Self-direction	Independent thought and action-choosing, creating, exploring (Creativity, Freedom, Independent, Curious, Choosing own Goals)
Universalism	Understanding, appreciation, tolerance and protection for the welfare of all people and for nature (Broadminded, Wisdom, Social Justice, Equality, A World at Peace, a World of Beauty, Unity with Nature, Protecting the Environment)

Value	Definition
Benevolence	Preservation and enhancement of the welfare of people with whom one is in frequent personal contact (Helpful, Honest, Forgiving, Loyal, Responsible)
Tradition	Respect, commitment and acceptance of the customs and ideas that traditional culture or religion provides (Humble, Accepting my Portion in Life, Devout, Respect for Tradition, Moderate)
Conformity	Restraint of actions, inclinations and impulses likely to upset or harm others and violate social expectations or norms (Politeness, Obedient, Self-discipline, Honoring Parents and Elders)
Security	Safety, harmony, and stability of society, of relationships, and of self (Family Security, National Security, Social Order, Clean, Reciprocation of Favors)

Note. From “Value priorities and behavior: Applying a theory of integrated value systems,” by S. H. Schwartz, 1996. In C. Seligman, J. M. Olsen, and M. P. Zanna (Eds.), *The Ontario Symposium: The psychology of values* (Vol. 8, p. 3). Mahwah, NJ: Erlbaum. Copyright 1996 by Lawrence Erlbaum Associates. Reprinted with permission.

Values and leadership

Leadership is fundamentally a value-laden activity. As values indicate how individuals are to adapt to the needs of the organization, leaders not only must embrace them personally, they also need to be purveyors of these values to their subordinates.

Using Rohan’s (2000) label, the first dimension—focus on opportunity versus focus on

organization—relates to contemporary leaders' need to produce organizational change by developing and communicating a vision, and then, inspiring people to attain it (Kotter, 1990). Therefore, seeking stimulation (i.e., excitement, novelty and challenge) and being self-directed (i.e., a creative and curious independent thinker) appear to be values related to success in business leadership.

Most important for this study is the second dimension—focus on individual outcomes versus focus on social context outcomes—primarily because the poles of this dimension make a distinction between different value priorities that represent one of the key struggles facing many leaders today. From his study of values in leadership since the founding of the United States of America, Wren (1996) acknowledged that conflicts would inevitably arise out of the tensions between the deeply rooted American values of “equality and individualism” (§ 45). The leader's challenge is to reconcile the tensions among all these values (e.g., focus on individual outcomes versus social context outcomes).

In recent years, leadership discussions have embraced a more social understanding of “leadership as a complex interaction between the leader and the social and organizational environment” (Fiedler, 1996, p. 241). According to this approach, leadership emerges out of the social systems and engages everyone in the community in a social process (Barker, 1997). Consequently, social context outcomes have taken on a more central place among the factors that leaders must consider in their decision-making processes. Certainly, the values characteristic of Western business leaders (i.e., power, achievement, and hedonism) still continue to be important. However, addressing ethical issues necessarily draws upon values of universalism and benevolence. The tension

between a focus on individual outcomes and a focus on social context outcomes remains.

Thus, leading with a focus on social context outcomes, or self-transcendence, is a strategic leadership approach that organizations should strive to engender in their leaders. In a 1998 study of ethical contexts in organizations, Treviño, Butterfield, and McCabe found that egoism (operationalized as self-interest) had a negative relationship with organizational commitment and a positive relationship with unethical conduct. At the other end of the second dimension, there was a positive relationship between organizational commitment and benevolence to the employees and community. The authors of the study recommended that corporations need to counter the predominant value of self-interest in the global marketplace by proactively managing the ethical context of the organization. This study follows their suggestion as it examines the influence of organizational culture (operationalized as ethical culture and leadership) on the development of newly promoted leaders' identities as values-based leaders.

Organizational Culture

Culture has been defined by anthropologists as “a body of learned beliefs, traditions, and guides for behavior shared among members of a society of a group” (Treviño & Nelson, 1999, p. 207). It provides a helpful foundation for the development of a definition of cultures in organizations. According to Schein (1992), an organizational culture scholar, the culture of a group or organization can be defined as:

a pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new member as the correct way to perceive, think, and feel in relation to those problems. (p. 12)

Organizational culture is exhibited in many ways including norms, physical settings, modes of dress, special language, myths, rituals heroes, and stories (Deal & Kennedy, 1982). Schein (1992) makes a distinction between underlying beliefs—“deeply embedded, unconscious basic assumptions...[he defines] as the essence of culture” (p. 16)—and espoused values—“the articulated, publicly announced principles and values that the group claims to be trying to achieve, such as ‘product quality’ or ‘price leadership’” (p. 9). Since these two value and belief perspectives may not necessarily be consistent, when studying cultures, it is important for researchers to explore deeply to uncover any incongruities between assumed and espoused values.

Strong versus weak cultures

In strong organizational cultures, “standards and guidelines are known and shared by all, providing common direction for day-to-day behavior” (Treviño & Nelson, 1999, p. 207). Whereas, in a weak culture, subgroup norms are more influential than the organization’s norms, and guide the organization’s behavior (Treviño & Nelson). When companies have strong organizational cultures (with high employee–organization value congruence) exhibited by clearly articulated and consistently reinforced organizational values—ones that include valuing employees as key contributors to fulfilling the organization’s objectives—employees are less likely to turn over, and more likely to feel successful and fulfilled, and create stronger work group norms about high productivity (Posner, Kouzes, & Schmidt, 1985).

Enculturation versus internalization

When employees become new members of an organization, a process of enculturation or socialization occurs. Whether informally or formally (usually both),

these recent hires learn the prevailing norms of the organizational culture (Treviño & Nelson, 1999). People act according to the socialized norms when they believe they are expected to do so, even if they don't correspond to their personal beliefs. Alternatively, when these new employees internalize the norms and values and behave according to them because they have adopted these norms as their own, this is called enculturation.

Value congruence

Individuals can share the same values, as can individuals and organizations. This is not surprising, since values are products of a culture or social system (Meglino & Ravlin, 1998). With higher congruence it is anticipated that the individual is more likely to identify with the organization and be influenced by its values and norms (Chatman, 1989). Robert Haas, the chairman and CEO of Levi Strauss & Co. suggested that “the alignment between organizational values and personal values is the key driver of corporate success” (as cited in Kuczarski & Kuczarski, 1995, p. 83). According to O'Reilly and Chatman (1996), shared values constitute a significant component of an organization's culture and encourage efficient interactions between employees (Meglino & Ravlin).

From their values in organizations study of empirical literature published between 1987 and 1997, Meglino and Ravlin (1998; see also Meglino, Ravlin, & Adkins, 1989) confirmed that value congruence has a positive relationship to affective outcomes and evaluations. They found this to be true for both actual and perceived congruence of values. Perceived value congruence positively correlated to such affective outcomes as satisfaction, commitment, and involvement and negatively with performance (Meglino & Ravlin).

Actual organizational value congruence is negatively correlated with intentions to leave and turnover, and positively related to satisfaction and commitment (Chatman, 1991; O'Reilly, Chatman & Caldwell, 1991). However, it remains unclear how actual value congruence relates to other types of behavior, such as, performance (Meglino & Ravlin, 1998). There is a need to study further how value congruence is achieved and also how this actual congruence influences behavior.

Organizational culture, identity, and behavior

As presented in the Conceptual Framework section above, individual's identities are influenced by their environment. Social identity theory (Tajfel & Turner, 1985) suggests that those desiring to become leaders will seek to identify with and become part of the existing leader group. Therefore, we can hypothesize that the strong organizational values ascribed to by the leadership of the company will influence these aspiring leaders by providing a strong incentive and motivation to modify not only their behavior, but their sense of themselves as ethical leaders.

When we consider the environment's influence on behavior, Barnett and Vaicys' (2000) study of "the direct and indirect effects of individuals' perceptions of work climate on their ethical judgments and behavioral intentions regarding an ethical dilemma" (p. 351) is of interest. Using the Ethical Climate Questionnaire (Victor & Cullen, 1988) and the Multidimensional Ethics Scale (Reidenbach & Robin, 1990), the 207 usable responses (99 female, 108 male) from managers were analyzed. Their hypothesis that normative climates that emphasize utilitarianism will moderate the individual's judgment-behavioral intentions relationship was supported. Such an ethical climate weakens the influence of an individual's judgment and intention to act by

introducing consideration of “the positive and negative consequences of their actions on referent others (Ferrell and Fraedrich, 1997)” (as cited in Barnett & Vaicys, p. 352).

Behavioral intentions certainly do not represent actual action. They do, however, provide some insight into how individuals process ethical information with the potential for impacting behavior. According to Kotter and Heskett (1992) in their book, *Corporate Culture and Performance*:

...only when managers care about the legitimate interests of stockholders do they strive to perform well economically over time, and in a competitive industry that is only possible when they take care of the customers, and in a competitive labor market, that is only possible when they take care of those who serve customers—employees. (p. 46)

The company being studied in this case study has as its second corporate value, that they value their people. Their second corporate objective parallels this organizational value by stating that they “Develop People.” When companies have strong organizational cultures (with high employee–organization value congruence) exhibited by clearly articulated and consistently reinforced organizational values—ones that include valuing employees as key contributors to fulfilling the organization’s objectives—employees are less likely to turnover, and more likely to feel more successful and fulfilled, and create stronger work group norms about high productivity (Posner et al., 1985). This link between organizational culture and performance needs to be explored further.

Finally, this study examines values-based leader development within an organization that has a strong values-driven or ethical culture. Ethical culture “characterizes the organization in terms of formal and informal systems (e.g., rules,

reward systems, and norms) that are aimed more specifically at influencing behavior” (Treviño et al., 1998, 453). It is hypothesized the relationship between dimensions of ethical culture and ethical conduct are likely related (Treviño et al.). In this case study, it is anticipated that the organization’s strong ethical culture will have significant effects on both the value identities and behavior of new leaders.

Leadership Influences

Founder’s influence

Since “organizational leaders provide the primary impetus in defining, forming, and shaping corporate culture” (George, Sleeth, & Siders, 1999, p. 545; see also Schein, 1992), this study will consider the organization’s leadership as representative of, and embodying the organizational culture. Organizational climate formation begins with the founder of the organization (Dickson et al, 2001). Founders often have a cultural paradigm in their heads of how to succeed, formed by their experiences in the culture in which they grew up (Schein, 1983). The founder constructs the company based on his or her values and vision, crafting the “organizations [*sic*] strategy, structure, climate, and culture” (Dickson et al, p. 201). Interestingly—and pertinent to one of the research site’s four corporate objectives (i.e., helping people develop)—Schein noted that founders are “especially likely to introduce humanistic, social service, and other non-economic assumptions into their paradigm of how an organization should look” (p. 28). Apart from the values embedded in the assumptions of the last statement, the first associates that are hired in the venture likely will share these same values and vision (Dickson et al.). Each decision made in the early days of the new enterprise form the basis for the organization’s climate and culture. The company’s reputation develops based on these

values and goals exemplified in the climate and culture (Dickson et al.). As the company grows over time, the influence of the founder and early organizational leaders can decrease. However, in the particular context of this case study, a strong, almost dogmatic, adherence to the original founding principles and values has been maintained in the family-owned business. In fact, a kind of family-like or clan culture seems to have developed. According to Kerr and Slocum (2005), in such cultures “long-term commitment to the organization (loyalty) is exchanged for the organization’s long-term commitment to the individual (security)” (p. 133). They noted further that these types of organizational cultures rely on a long and thorough socialization process in which veteran members serve as role-models and mentors and pass on the values and norms of the company (Kerr & Slocum).

According to Schein (1992), leaders engage, consciously or unconsciously, in six *embedding mechanisms* (behaviors) which, taken together, create an organization’s climate: (a) what leaders pay attention to measure, and control; (b) leaders’ reactions to critical incidents and organizational crisis; (c) criteria for scarce resource allocation; (d) deliberate role modeling, teaching, and coaching; (e) criteria for rewards and status allocation; and (f) criteria for recruitment, selection, promotion, retirement, and excommunication (p. 231). These behaviors also provide an effective way of communicating and reinforcing norms and values (George et al., 1999).

Schein (1992) noted further that these behaviors interact with “secondary reinforcement mechanisms” and provide additional ways for leaders to influence and shape organizational culture. These mechanisms include: (a) the organization’s design and structure; (b) organizational systems and procedures; (c) organizational rites and

rituals; (d) design of physical space, facades, and buildings; (e) stories, legends, and myths about important people and events; and (f) formal statements of organizational philosophy, creeds, and charters (p. 231).

Given leaders' central positions in organizations, they can "have a direct impact on the salient values that are achieved in any organization" (Lord & Brown, 2001, pp. 135-136). According to Treviño and Nelson (1999), "Leadership may be the single most important component of an organization's ethical culture, as integrity (or the lack of it) flows from the top down" (p. 210). In a 1998 study, Treviño et al. analyzed 318 survey questionnaires returned by employed alumni of two private colleges. Their findings suggested that employee commitment was higher and unethical behavior was lower in organizations with ethical cultures led by senior executives who adhered to high ethical standards as demonstrated by their words and actions (modeling).

Organizational leaders can be unaware of their influence on the organizational culture and their subordinates. For example, it is considered that "most top managers are neither ethical or [*sic*] unethical leaders" (Treviño & Nelson, 1999, p. 213). Rather, by their lack of understanding of their importance to the company's ethical culture, or lack of proactive ethical leadership, they can be considered ethically neutral. Actually, through the leader's own words and actions, he or she can also influence the development of an unethical organizational culture and subsequent unethical employee behavior (Treviño & Nelson).

Finally, in their study of 191 production workers (104 female and 87 male), 17 supervisors (1 female and 16 male), and 13 managers (all male), Meglino and colleagues (1989) analyzed the data from questionnaires which asked respondents about job

satisfaction, organizational commitment and work values. For the purposes of this study, results from managers were either negligible or opposite of what was hypothesized, so will not be addressed here. However, they did find that value congruence between employees and their supervisors was positively related to significantly higher levels of job satisfaction, organizational commitment, and a marginally significant reduction in lateness (performance). Thus, leaders can affect their employees not only through their actions, but also their value systems.

Authentic Leadership, Values, and Behavior

The influence leaders have on subordinates' values and behaviors is mediated by the nature of their relationships with employees. According to Brown (2002), leaders who cultivate trusting relationships through honesty and consistent behavior can influence their subordinates' values (Brown, 2002). George and colleagues (2007) describe leaders who cultivate such relationships as individuals who know who they are (i.e., have high self-awareness), they "demonstrate a passion for their purpose, practice their values consistently, and lead with their hearts as well as their heads. They establish long-term, meaningful [trust-based] relationships and have the self-discipline to get results" (p. 130).

In his study of hospital administrators and their direct reports, Brown (2002) discovered that only certain values are transmitted by leaders and adopted by subordinates. He noted that a leader's espousal of values that focus on individual outcomes, such as, achievement and success, are commonplace and less likely to be noticed by employees compared to values that focus on the social context outcomes. Such self-transcendence values "imply vulnerability and reliance on others (Jones & George, 1998) and suggest that employees should go beyond their own self-interest for the good

of the group” (Brown, p. 91). When leaders uphold self-transcendence values, such as, caring and concern for others, employees are likely to take notice and, if they believe the leader, are more likely to be influenced by these values messages than by self-enhancement values messages. Thus, when leaders are considered as honest and act in ways that build “honesty-based trust” the transmission and acceptance of self-transcendence values messages by their employees results in direct effects on employee self-transcendence values (Brown).

Brown (2002) also found that when leaders behave consistently, “consistency-based trust” is developed with employees, and serves to convey the importance of conservatism values, such as, conformity and tradition. By consistently demonstrating the company’s values in their behaviors and actions (e.g., how they treat their employees), employees not only learn the company values, they also come to understand and embrace them and incorporate them into their behaviors. Thus, by building trust-based, authentic relationships with their employees, it is possible for leaders to have an influence on their subordinates’ values and behaviors.

Influence of organizational leadership on value identities and behaviors

Leaders hold a unique position of privilege in organizations (Brown, 2002). They have been characterized as sensegivers (Gioia & Chittipeddi, 1991) and managers of meaning (Pfeffer, 1981; Smircich & Morgan, 1982). Therefore as determiners of which values are salient, organizational leaders can influence the behavior of the new leaders, especially through what behaviors they choose to reward or punish.

An example of this influence occurs when new leaders, who are typically in the early stage of their careers, often seek out role-models to emulate attitudes or behaviors.

In an attempt to achieve an ideal or possible self, they look for a wide range of role model attributes to “evaluate themselves and create a viable self-concept and professional identity” (Gibson, 2003, p. 601). These aspiring leaders primarily want to learn how to “perform tasks competently and professionally, and how to fit into their professional role both by matching the characteristics of the organizational culture and by earning the respect of their colleagues” (Gibson, p. 601).

When we consider the development of values in new leaders, and particularly value identities, it is clear that their supervisors have significant influence. From Banaji and Prentice (1994), a wide range of psychological processes are impacted by an individual’s self-concept, particularly those related to self-regulation (Markus & Wurf, 1987). In their theoretical article, Lord and colleagues (1999) suggested that leaders can influence subordinate’s self-concepts. From earlier in the discussion, leaders can activate different value identities associated with different aspects of their working self-concept. Higgins and Brendl’s work on activation rules influencing judgments presents *priming* as temporarily increasing the salience and accessibility of some schemas within an individual’s working self-concept more likely to be used, and *inhibiting* makes schemas less accessible and less likely to be used (as cited in Lord & Brown, 2004). Therefore, organizational leaders can prime different value identities according to which is appropriate for the particular context (e.g. individual outcomes versus social context outcomes). Such priming can occur through the organizational leader’s words or actions.

Recall that values-based behaviors require the actor to have established a personal value system as a distinct cognitive structure. Their value identity needs to be activated and the individual must accept the value as a proper category for conceptualizing the

current situation and the person's own behavioral options" (Wojciszke, 1986, p. 241).

This suggests that employees need to be consciously engaged in and have a certain level of self-awareness about their values, and particularly their value identities. It is suggested that organizational leaders can help their employees develop value identities through intentional interventions designed to raise awareness of values issues and develop personal value systems. Direct instruction, accurate feedback, creation of ethical organizational cultures, and role-modeling are all effective strategies (Bandura, 1986, 1991; Hitlin & Piliavin, 2004; Treviño et al., 1998).

Finally, since "behavioral changes can occur through cognitively activating important values (Verplanken & Holland, 2002)" (Hitlin & Piliavin, p. 381), this finding suggests that organizational leaders can activate different value identities that bring about different, values-based behavior in newly promoted leaders.

The context of this case study involves a strong organizational culture that is solidly built on the foundation of the founding patriarch. Even though he passed away some 38 years after its founding, his son continues to uphold the original corporate values and objectives. The long tenure of senior leaders also contributes to continuity of the original organizational culture. We can hypothesize that the environment has an influence on aspiring leaders as they strive to emulate the current leaders. The strong organizational values, ascribed to by the leadership of the company, provide a forceful incentive and motivation for new leaders to modify not only their behavior, but their sense of themselves as ethical leaders. This case study seeks to explore these propositions within the context of a strong, value-based organizational culture that continues with the surviving co-founder.

Summary

In this chapter, the literature was reviewed for the topical areas that comprise the conceptual framework for this study. While research (Posner et al., 1985) has shown the impact strong organizational cultures have on employee attitudes and to a certain extent, behaviors, this study seeks to explore this empirical relationship with special attention to how new leaders' values and behavior are influenced by the organization's values and leadership embedded in the broader organizational culture. In chapter 3, the methodology used in the study is presented.

CHAPTER 3

METHODOLOGY

This chapter describes the research methodology used in this study. It begins with a discussion of the research design, followed by the data collection activities, and ends with a discussion of the data analysis process.

Research Design

Method

Values are “desirable transsituational goals, varying in importance, that serve as guiding principles in the life of a person or other social entity” (Schwartz, 1994, p. 21). They operate at the individual, organizational, and societal levels, thus providing the possibility for studying links between these levels of analysis (Hitlin & Piliavin, 2004; Schwartz, B., 1993). Edgar Schein (1996) encourages organizational researchers to embrace research methods that are better able to capture the phenomenon of culture within organizational social systems. He exhorts these scholars to observe, rather than measure, culture through the use of such qualitative research methodologies as ethnographies and clinical observations. This study uses Glaser and Strauss’ (1967) grounded theory approach within a bounded case study methodology (Yin, 2003) to generate theoretical explanations of the phenomenon of values-based leader development.

An in-depth case study of a strong organizational context will provide an opportunity to explore these cultural factors within the organizational social system. The case study method is “not a methodological choice, but a choice of object to be studied” (Stake, 1998, p. 86). According to Robert Yin (1994), case studies emphasize real-life contexts, examine many variables in a given situation as one, rely on multiple sources of

evidence, and data collection and analysis can benefit from the guidance of the development of prior theoretical propositions. The primary source for data collection that was utilized in this study was semi-structured format interviews. Corporate promotional literature as well as posters throughout the facilities provided useful support material regarding organizational values and objectives. Direct observation provided minimal additional data in the form of field notes.

Yin (2003) identified five different applications of case studies. Two are applicable to this study—to *explore* a particular phenomenon (e.g., leader development within an organizational system), and to “*explain* [italics added] the causal links in real-life interventions that are too complex for survey or experimental strategies [e.g., the triadic reciprocal influence between organizational values and leadership, individual leader identity development, and behavior]” (Yin, 2003, p. 15). By using this case study to study something else beyond a particular leader’s development (e.g., in this instance, understanding the phenomenon of leader identity development within a complex bounded system), it is considered an *instrumental case study* (Stake, 1995).

The focus of a case study is the development of “an in-depth analysis of a single case or multiple cases” (Creswell, 1998, p. 65). For this study an *embedded, single-case design* is used to study multiple units of analysis (individual leaders) within a larger “bounded system” or case (the organization; Yin, 2003, Creswell, 1998). The “bounded system is bounded by time and place, and it is the *case* being studied—a program, an event, an activity, or individuals” (Creswell, 1998, p. 61).

Strauss and Corbin (1990) allow grounded theory research to be guided by existing theory (Locke, 1996). The study of leadership necessarily involves consideration

of the larger social system of the organization. How an individual leader develops into a leadership role is influenced by internal factors as well as external environmental factors (e.g., organizational culture and immediate supervisor). Further one's own behavior impacts the environment, causing responses from both others and even oneself. This process of how we interpret our environment and come to know and act in our world is derived from Bandura's (1977, 1986) social learning theory, or social cognitive theory (SCT). According to this theory, "human agency operates within an interdependent causal structure involving triadic reciprocal causation" (Bandura, 1997, pp. 5-6) between the individual (i.e., cognitive, affective, and biological events), his or her behavior, and the environment. Consideration during the analysis of the data is given to SCT as influencing leader development processes. Leader identity is considered a personal cognition (P), behavior (B) remains the same, and organizational culture, as well as other environmental factors such as the actions and words of organizational leaders, is associated with SCT's Environment (E). They are linked in a similar triadic reciprocal causation model.

Piloting the Study

Pilot studies can be used to test the concepts and methods chosen by the researcher to discover the meanings of phenomenon understood by the informants (Maxwell, 1996). The director of human resources was my initial contact point and gave permission (see Appendix A) to interview five leaders from across the organizational hierarchy. Following approval to conduct this study from the Institutional Review Board (IRB; see Appendixes B and C) at my host university in October 2004, an initial pre-pilot interview was conducted to ensure that the interview protocol and questions adequately

addressed the research questions and that I had sufficient familiarity with the questions prior to engaging in data collection.

I requested a representative sample of leaders who had recently been promoted to one of the five management levels in the manufacturing divisions. The five informants I interviewed on October 5, 2004, for the pilot study came from four levels and were selected from the population of approximately 180 employees in leadership roles in one division by the plant manager overseeing two divisions and the director of production for one division. Five 45-minute, semi-structured interviews were conducted. The managers held positions ranging from cell leader (Level 1) to production manager (Level 4), providing data relevant for testing cross-level analysis of organizational culture and individual employee self-perceptions and behaviors as a leader. All managers were male and ranged in age from approximately 35 to 50 years of age. One informant was African-American, one Indian, and three were Caucasian. Tenure at the company ranged from 1.5 to 14 years, with an average of 7.1 years. The amount of time in their current leadership positions averaged 3.23 years and ranged from a little over one year to five years. The list of leadership positions held includes: technical services leader, area manager for a product line, engineering leader, team supervisor, and production manager for one half of a large division.

Data from the interviews were transcribed, reviewed, coded, and analyzed for key themes and insights. A brief report was presented to the director of human resources and approval was granted to continue with the full study.

Interview Protocol

The initial pre-pilot interview questions for lower-level informants were developed from other similar studies, and from review of theoretical and empirical work. The analysis and feedback from this first interview provided valuable insights as to how to improve the protocol and modify the questions. The lower-level leader interview protocol (see Appendix D) was modified and used in the first 28 interviews. For the senior-level leader interviews, the existing interview protocol was modified based on analysis of the data to create a new upper management interview protocol (see Appendix D) and approved by the Institutional Review Board.

Data Collection

Research site

As leadership is constructed through social interactions within social environments (Day, 2000), consideration of the organizational context can provide insights into the various influences that developing leaders encounter at work. This study was conducted at a large privately-owned manufacturer located in the eastern United States (see Appendix A for company permission; the name has been obscured to protect its anonymity). Founded over 30 years ago, the deceased co-founding patriarch has been succeeded by his son, and co-founder, who is now the CEO and President. The values the founders religiously adhered to were embedded in the organizational culture and survive today. Visible everywhere, the organization's mission, values, objectives, and quality statement are each framed separately and lined up in horizontal rows across the walls of most offices (those of managers) and conference rooms.

Founded on the principles of valuing their people, their work, their example, and their word, when it comes to applying them to production and service, the company's objectives¹ state that we: (a) act with integrity and pursue quality in all we do, (b) help people develop, (c) pursue excellence (through continuous improvement), and (d) grow profitably. The embrace of these values has resulted in numerous quality awards as well as environmental protection accolades for voluntarily exceeding regulatory requirements, working with their communities and continuously pursuing improved environmental performance.

According to the director of human resources, the company has excelled at technical training, but needs to focus on the softer side of leadership, the people management skills. This desire, in concert with the company objective to help people develop, not only provides a fertile ground for leader development, it also makes it a welcoming research site for this study of how values-based leaders are developed.

Population

A list of all leaders across the entire organization who were promoted within the past year ($N=46$) was produced on July 25, 2005 by the Human Resources Department and was selected for the population of study. Criteria specific to this case included that informants had been promoted to managerial positions or joined the company in a managerial role within the last year. This was to ensure better recall of their developmental experiences. Following Yukl's (2002) definition of a leader's role, it was determined that all five levels of management in this manufacturing setting performed

Footnote

¹To protect anonymity, the company objectives have been changed slightly.

influence processes to get employee agreement on performance goals and facilitated improved individual and group efforts. Further, the position titles in this company reflect a decentralized leadership structure. For example, the first-level supervisors are called Cell Leaders. This use of the word leader in position titles has a significant influence on each leader's perspective and identity.

Informant selection

Following Spradley (1979), the managers being interviewed are called *informants*, rather than subjects. Unlike nomothetic, hypothetico-deductive research approaches where the *subject* is the object of experimentation to which manipulations are conducted, the interview–informant relationship allows the interviewer to gather detailed information from the informant in a more organic way (Spradley, 1979). Such an ideographic and naturalistic perspective uses qualitative approaches to understand and capture deep, thick descriptions of individual accounts of a specific context (Spradley). Spradley is clear to use the term informant and to describe him or her as a person in a natural setting speaking in the natural language and who is able to present current understandings and explanations of the local setting in an unanalyzed, unselfconscious, and accurate way. They are currently part of the context and have been there for some time; enough to be able to understand the explicit and tacit knowledge of the context and to be current and accurate. They are not self-conscious reporters, nor do they provide much analysis and translation. By considering those we gather data from informants, we engage in more intimate relationships with our data.

According to Spradley (1979), when selecting good informants, there are five minimal requirements: (a) the informant must be thoroughly enculturated in the *cultural*

scene (b) they must be currently involved in it, (c) they must be able to commit an adequate amount of time to participate, (d) they must not be too analytical such that they translate for the interviewer, and finally, (e) ideally the researcher investigates a cultural scene with which he or she is unfamiliar (unencultured) so that the data is not so close to the researcher that it is overlooked or taken for granted. Creswell (1998) adds that the informants must be easily accessible.

Moustakas (1994) provides this further guidance when selecting informants, “the research participant has experienced the phenomenon, is intensely interested in understanding its nature and meanings, is willing to participate in lengthy interviews (perhaps follow-up interviews), and grants the investigator the right to tape-record the interview” (p. 107).

The goal of this case study was to gather data from as broadly as possible across the organizational hierarchy in order to discover different leader experiences at different organizational levels and the influence of the organizational culture on their development. While broader observations of the organization as system were pursued, resource limitations (i.e., time and money) restricted the in-depth data collection to a purposeful (criterion-based) or theoretical sample of recently promoted managers from across the organization (Glaser & Strauss, 1967; Miles & Huberman, 1994). Further, whereas naturalistic inquiry does not seek statistical generalizability, “the uniqueness of individual cases and contexts” (Stake, 1995, p. 39) is studied for its particularity in case study research for the purpose of drawing “certain generalizations” (p.7) that can be extended beyond a case to other similar cases (Stake, 1998). According to Patton (1990), “the logic and power of purposeful sampling lies in selecting information-rich cases for study in

depth. Information-rich cases are those from which one can learn a great deal about issues of central importance to the purpose of the research (p. 169). Therefore, the sampling was theoretically guided by “informants, episodes, and interactions [that] are...driven by a conceptual question, not by a concern for ‘representativeness’” (Miles & Huberman, p. 29).

The director of human resources and the director of organization development and training were instrumental in gaining access to informants who are leaders across the entire hierarchy, from executive vice president to cell leaders (used in cell manufacturing techniques).

This study’s focus on manufacturing leader development reduced the initial population list of 46 recently promoted leaders to 20 informants that were directly involved in manufacturing activities. Of the 26 recently promoted leaders that were eliminated from the sample, 24 worked in non-manufacturing activities, one was located on the West coast which made interviewing infeasible, and one was erroneously included in the list, according to the Human Resources department.

As “samples in qualitative work are usually not wholly prespecified, but can evolve once fieldwork begins” (Miles & Huberman, 1994, p. 27), I followed up on potential informants that were recommended during the pilot study. Realizing that all informants were male, I accepted suggestions for three female leaders to interview from the executive assistant coordinating my site visits. Finally, I requested interviews with 8 senior leaders (designated as “upper management”) to assist with validating and supporting my evolving themes.

Informants

In total, I interviewed 35 informants: 5 in the pilot study, 20 from the original sample of recently promoted leaders, 3 female leaders (promoted within the last 1.5, 3, and 8 years), and 8 in upper management. To get the fullest perspective on the process of developing values-based leaders, I interviewed leaders from across all five management levels in manufacturing operations: 9 cell leaders (Level 1); 11 team supervisors (Level 2); 7 area managers (Level 3); 4 production managers (Level 4); and 4 senior leaders, including 3 from the corporate headquarters, and a plant manager (Level 5). While eight of the nine divisions were represented in the pool of informants, 71.2% ($n=23$) work in one of three divisions. Two of the five management levels are represented in one division and three in another. I interviewed leaders from all five management levels in the third division. Table 2 summarizes informants' demographic information. Numbers for specific demographic information were put in brackets (see Appendix F for more detailed demographic information by leader level).

Table 2

Demographic Information for Study Informants

Variable	Frequency				
Sex	Male (32)	Female (3)			
Age	<30 (1)	30 - <40 (10)	40 - <50 (6)	50 (3)	
Race/Ethnicity	White (14)	Latino (11)	Asian (8)	Black (2)	
Education	GED ^a (4)	High school (6)	Some college/ technical (6)	College or higher (10)	
Years at Company	<5 (3)	5 - <10 (13)	10 - <15 (10)	15 (9)	
Leader Level	Cell leader (9)	Team supervisor (11)	Area manager (7)	Production manager (4)	Upper management (4)

Note. Frequencies are in parentheses. Data was not obtained from some informants for some variables.

^aGeneral Educational Development test.

Interviews

Following the 5 pilot study interviews, 28 semi-structured interviews (see Figure 4 below for interview sequence by leader level and Appendix D for interview protocol) with 30 informants were conducted over a seven month period. The first phase of interviews with the original sample of 20 informants occurred between September 7, 2005 and September 22, 2005. The additional interviews with female leaders were conducted on October 6, 2005. While interviews were immediately transcribed verbatim and the data were continuously analyzed, there was a period of time of further analysis before returning for the last group of interviews. To test and confirm the findings I

interviewed upper management informants on March 2, 2006 and April 3, 2006. This latter interview with three executives from the corporate headquarters was a group interview. Also, on March 16, 2006 I returned to conduct follow-up interviews with four informants to verify, saturate or refine categories and their relationships.

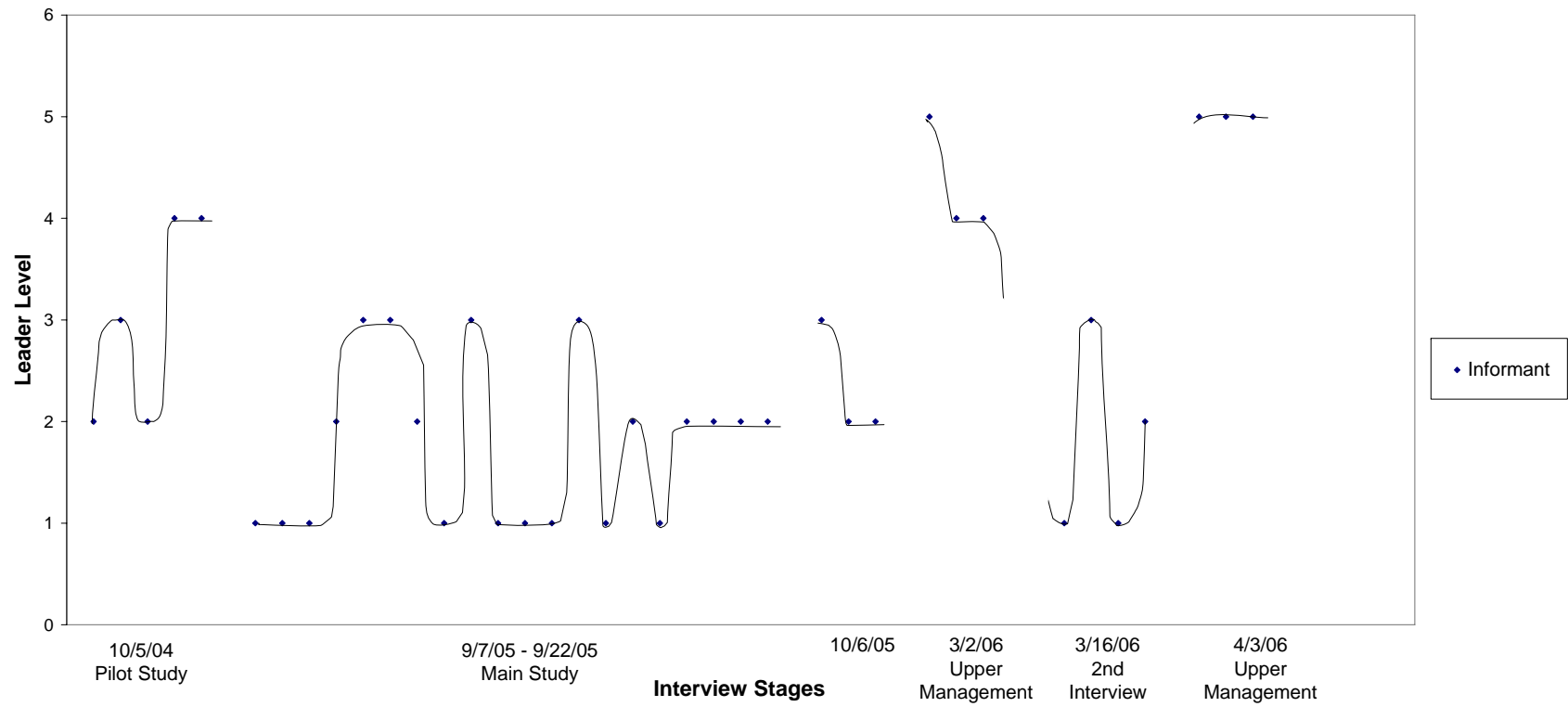


Figure 4. Interview sequence by leader level.

Interviews lasted between 20 minutes and 1 hour and 27 minutes. The average length of time was 47 minutes per interview. They were audio taped and transcribed verbatim. Transcripts were reviewed and summarized and then made available to informants for corrections and adjustments. All interviews, except for the three corporate executives, were held in conference rooms in each of the plant facilities. So as not to prime or bias the informants, care was taken to remove all corporate communication materials from the conference room walls, such as statements of the company's mission, objectives, or values. The senior leader group interview was held in one of the executive's office.

Ethical Issues

There are inherent ethical issues when collecting data from human subjects. It is the researcher's duty to consider such issues as the participants' informed consent, right to privacy, and protection from harm (Fontana & Frey, 1994). In respect of these concerns, an Application for the Use of Human Participants was submitted to the Office for Research Protections and approved in October 2004 (see Appendix B). Prior to any formal or informal interviewing—in the pilot testing, and with all data collection—I ensured the informants' willingness to be interviewed by providing them with an Informed Consent Form for Social Science Research (see Appendix C) that provided details about the study, including how interviews would be audio-taped with their permission, and their rights to privacy according to the research protocol. I assured them of the confidentiality of their answers and that their anonymity would be protected.

Role of the Researcher

My educational, research, and professional background placed me in a unique position to investigate values-based leader development within a values-based organizational culture. First, I have earned the Masters of Business Administration (MBA) in economic development with a values-based management focus. I have also been the director and a faculty member of an MBA program that is built on the values-based leadership model. So, I have a solid understanding of this leadership model. In fact, I have co-authored with my advisor several scholarly publications related to this topic.

I have also taken a rigorous qualitative research methods course in which I conducted a small study where I was able to practice my interviewing skills and familiarizing myself with using NVivo qualitative analysis software. I also just completed a separate qualitative research project for a local university and hospital system in which I interviewed non-native English speakers about their experiences in the joint university-hospital program. Each of these experiences honed my research skills, from developing interview protocols, to conducting semi-structured interviews, to data analysis and use of NVivo software.

Finally, I have been a leader in several mission-driven organizations in which I was able to practice values-based leadership principles and work towards the development of new leaders.

Based on these experiences I invariably brought a certain set of lenses to the setting that, as a researcher, I tried to be objective towards. While on the one hand I could understand the information I received and the context in which it occurred. I am familiar with the challenges of developing leaders with a values-orientation in a very busy and

demanding work environment. On the other hand, I realized that in qualitative research in naturalistic contexts, the researcher is the primary instrument of data collection and analysis. As such, I needed to protect against threats to the validity of the data. As a visitor to the company, I was not a part of the culture in which I was investigating. I was also not familiar with the company's leadership development processes. This allowed me to maintain some degree of objectivity during the data collection. In my role as researcher, I tried to remain neutral and "fairly represent the data and communicate what the data reveal given the purpose of the study" (Patton, 1990, p. 372). To further reduce the possibility that my experiences and background might influence or contaminate the data, I employed multiple strategies as outlined in the following section.

Validity and Reliability

To ensure that these findings are trustworthy, the researcher must address the internal validity, external validity, and reliability of the data. I applied several methods that are commonly used in qualitative research.

To ensure internal validity, Merriam (1988) suggested six basic strategies that can be used by researchers: (a) triangulation (using multiple researchers, sources of data, or methods), (b) member checks (taking data and tentative interpretations back to informants for verification), (c) long-term observation or prolonged engagement (gathering data over a long period of time), (d) peer examination (asking colleagues to comment on the findings as they emerge), (e) participatory or collaborative modes of research (involving informants in all phases of the study), and (f) researcher's biases (clarifying the researcher's assumptions, worldview, and theoretical orientation at the outset of the study; pp. 169-170). In this study I used (a), (b), (d), and (f).

First, this study triangulated multiple sources of data to ensure internal validity. The primary source for the data was semi-structured format interviews. Corporate promotional literature, as well as posters throughout the facilities, provided useful support material regarding organizational values and objectives. Direct observation provided minimal additional data in the form of field notes.

The use of member checks was the second strategy employed to ensure internal validity. A synthesis of each transcribed interview was prepared and sent to informants for content verification. Twenty-four (85.7%) of the 28 non-pilot study informants replied and indicated that the synthesis had captured the essence of the interviews. Of these responses, seven offered revisions to the material, primarily addressing wording and their communication style, and not pertaining to any substantive material.

Third, I worked closely with an administrative leader in the College of Agricultural Sciences who has completed a Ph.D. and has experience in qualitative research and in the practice of leadership. This peer evaluator coded a representative sample of three entire interview transcripts. All identifiers were removed to protect the confidentiality of informants. The interview transcripts were selected from one division and provided a cross-section of the organizational hierarchy, one each from Levels 1, 3 and 5 of the 5 levels of management. The primary researcher met with the peer evaluator to discuss his coding of the documents. During the meeting, differences in language used to code themes were discussed and a common term or phrase was agreed upon for each. Upon completion of the comparison of key themes coded, it was determined that a 92.3% simple percentage agreement was achieved between the peer evaluator and researcher. I also worked closely with a professor from the College of Agricultural Sciences who is

trained in qualitative research methods. Without seeing demographic information or any other possible identifiers, this professor was able to examine and question my data collection methods and analysis. Lastly, I stated my theoretical orientation to this study in the first chapter of this study.

To ensure external validity (i.e., transferability to other situations) the researcher can employ several strategies: (a) provide rich, thick description (enough description to allow others to determine whether the findings can be transferred to their situation), (b) establish the typicality or modal category of the case (describing how typical the program, event, or individual is compared with others in the same class so that readers can make comparisons with their own situations), and (c) use a multi-site design (using several sites, cases, situations to maximize diversity in the phenomenon of interest in order to allow the results to be applied to a larger range of other situations; Merriam, 1988, p. 177; 1998, pp. 211-212). In this study, I provided rich descriptions of the research site and data collection and analysis. I also collected interview data from across eight of the nine manufacturing divisions in the company. Though the data came primarily from three divisions, they can be considered multiple sources.

When considering reliability in qualitative research, Lincoln and Guba suggest that “rather than demanding that outsiders get the same results, one wishes outsiders to concur that, given the data collected, the results make sense—they are consistent and dependable” (as cited in Merriam, 1988, p. 172). With this in mind, several techniques are available to the researcher to use to ensure that the results are dependable: (a) the investigator’s position (“The researcher should explain the assumptions and theory behind the study, his or her position vis-à-vis the group being studied, the basis for

selecting informants and a description of them, and the social context from which data were collected (Goetz and LeCompte, 1984, pp. 214-215)” (as cited in Merriam, 1988, p. 172), (b) triangulation (using multiple methods of data collection and analysis), and (c) an audit trail (a description of how data were collected how categories were derived, and how decisions were made throughout the investigation (Merriam, 1988, p. 172). I used the first technique by stating the theories behind the study as well as the criteria and methods used when recruiting the informants. In addition, an audit trail was maintained by recording accurate field notes, as well as, memos and notes during the analysis.

In conclusion, I employed a variety of strategies to ensure the validity and reliability of this study.

Data Analysis

As has been stated above, the use of the case study will rely primarily on semi-structured interviews. Corporate promotional literature as well as posters throughout the facilities provided useful support material regarding organizational values and objectives. The constant comparison techniques of Glaser and Strauss’ (1967) grounded theory approach was used as the data were analyzed in search of the discovery of “theory from data systematically obtained from social research” (p. 2). The three phases of data analysis follow the introduction.

When analyzing the data from interviews, “ethnographic *description* should represent the meanings encoded in [the informants’] language as closely as possible” (Spradley, 1979, p. 24). As my intent is to understand the thoughts of these managers as they develop or have developed into leadership roles, I agree with Frank Boas when he

said, “the whole analysis of experience must be based upon their concepts, not [the ethnographers] (1943:11” (as cited in Spradley, p. 24).

However, though the data are allowed to emerge, following Strauss and Corbin (1998), theoretical sensitivity was pursued through the study of scholarly literature from the field, and by reflecting on personal and professional knowledge and experiences. This sensitivity provided guidance to the development of the initial semi-structured interview protocol and questions (see Appendix D).

Following the grounded theory method, constant comparison was carried out as soon as the data were collected, that is, beginning with the first interview. As part of this qualitative methodology, there were three phases of data analysis: open coding, axial coding, and selective coding (see description below and also Appendix G). Coding memos, theoretical memos, and operational memos were each used to document emergent coding insights, including any theoretical and analytical insights and hypotheses, as well as to record procedural details (Strauss & Corbin, 1998, p. 217). These memos served to guide the data collection and analysis process.

This study utilized NVivo, a qualitative data analysis computer software program. The researcher familiarized himself with NVivo for the purposes of organizing, coding, analyzing and interpreting the qualitative data. This powerful software allowed the data to be coded into categories or “nodes.” Key words and phrases were the units of analysis used to identify concepts and determine categories. These nodes, or branching points, were then arranged and rearranged into what is called an index tree, which assisted me in generating and interpreting new assertions about the experience of becoming a new values-based leader.

This study examined new leader's perceptions of environmental influences on behavior and identity formation. These recently promoted informants were in an ideal position to reflect on the role transition to a new leadership level in the company. The nine first-time leaders, new to the first of five management levels, were able to provide a fresh perspective of their recent change to a role requiring a new perspective. Leaders at Level 2 and above had experienced at least one promotion and had also been involved in developing leaders below them, giving them a dual perspective—both looking back on a promotion as well as initiating the development and promotion of their subordinates—in which to describe their perceptions of the influence of the environment on the development of values-based leaders' identities and their behaviors. As such, their comments about how their leader's influence, as well as, how they develop new leaders below them, were both coded as their perceptions of environmental influence.

Phase 1

This first phase involved opening coding to develop concepts, categories and properties. The labeling and categorizing of these phenomena into concepts was achieved through examining words, phrases, and sentences in a meticulous way and making constant comparisons with other data (Glazer & Strauss, 1967; Strauss & Corbin, 1990). According to Strauss and Corbin (1998), when making these comparisons, “we are comparing concepts and not individual cases. We are “interested not in how many individuals exhibit this concept but rather in how often this concept emerges and what it looks (i.e., its properties) under varying conditions” (p. 95). This process guided me as I read through the transcripts several times. I immersed myself in the data, highlighting key words and phrases and recording notes for each section of each transcript. These notes

helped me as I then coded these concepts using the NVivo qualitative software. During this stage in the process I allowed the data to emerge, generating many concepts. An example can be found in Appendix G, Phase 1, where I wrote down “approach and express leader potential” beside an informant’s description of his supervisor suggesting he had the potential to become a leader. In a similar manner, beside a paragraph where an informant is describing how their leader exemplifies how to treat people well I noted “leader role-models authentic relationship” (see Appendix G, Phase 1).

After this first stage, I compared these codes for similarities and differences to develop categories, their properties and dimensions (Strauss & Corbin, 1990). An example from Appendix G, Phase 2, illustrates this process of grouping conceptually congruent (Glazer & Strauss, 1967) units of analysis together. The three concepts “Leader expresses leader potential,” “leader coaches and encourages,” and “leader role-models value identities” were considered conceptually congruent and combined into the category “prime new leader identity.” If a unit of analysis was not conceptually congruent with any existing category, a new one was created. This process of constantly comparing new data continued until no new categories emerged and all categories were saturated. Category saturation occurs “when no new information emerges during coding, that is, no new properties, dimensions, conditions, actions/interactions, or consequences” (Strauss & Corbin, 1998, p. 136).

Phase 2

The second phase employed axial coding in which “categories are related to their subcategories to form more precise and complete explanations about phenomena” (Strauss & Corbin, 1998, p. 124). I coded “intensively and concertedly around single

categories....to build up a dense texture of relationships around the ‘axis’ of the category being focused upon. (p. 64)” (Strauss, 1987, as cited in Strauss & Corbin, 1998, p. 124). In so doing, I created new combinations of data which provided greater insight into the influence processes occurring in the company. Using examples of situations described in each of the identified themes, I was able to determine common and related concepts. Appendix G, Phase 2 provides an example of this. Upon careful analysis, the initial category of “leaders role model” was divided into two categories. The instances of “leaders role-model people skills” and “leader role-models authentic relationship” were subsumed under a new category “build authentic relationships,” and “leader role-models value identities” was included under the category “prime new leader identity.” Using these same series of procedures of axial coding, I continued to make connections and to combine data to discover new insights. I also examined connections across categories in an effort to broaden my understanding of the possible inter-relationships between the influence processes relating to each research question in the conceptual framework.

Phase 3

Selective coding was utilized in the third phase to generate an overall theoretical understanding of the main themes within the data (Strauss & Corbin, 1990). According to Strauss and Corbin (1998), selective coding is used to integrate and refine categories to form a larger theoretical schema. During this phase, the basic social influence processes that emerged did, indeed, mirror each dimension of the conceptual framework (see Figure 2). This allowed the key theme of each research question to be used as the core variable or influence process.

Where possible, I identified different situations under each strategy. An example of this can be found in Appendix G, Phase 3. “Prime new leader identity” emerged as a key “leadership strategy” under the “environment influences identity” influence process. Three situations were identified: supervisors surprised potential leaders by telling them they could become a leader and immediately began training and coaching activities; supervisors did not explicitly discuss future leadership positions, but suggested potential leaders observe others’ behaviors to learn how to do their jobs; and finally, some potential leaders thought they could easily inhabit a leadership role, but once promoted, soon found it difficult and resorted to relying on their leaders to coach them as they developed their values-based leader identities.

In conclusion, during this analysis phase, the strategies (and tactics) as they related to each research question were refined and summarized for each research question.

Summary

This chapter presented the methodology that was used in this study. It began by presenting the research design, including the pre-data collection activities. The data collection process of the main study was explained and was then followed by a description of the three phases of data analysis. The next chapter presents these findings.

CHAPTER 4

STUDY RESULTS

This chapter outlines the results of this study. It begins with a brief review of the study regarding purpose, research questions, research method, and data analysis procedures. The second section offers the results from the Pilot Study and discusses the company's values before presenting the study results for each research question. Direct quotes from participants are cited to support the findings where appropriate. A summary of the findings for each research question is presented in a table at the end of the chapter.

Review of the Study

The primary purpose of this study was to investigate how first-time leaders are developed into values-based leaders. Of interest was how environmental factors, such as a values-based organizational cultures and leadership influence the behavior and identity formation of these new leaders. Using Bandura's (1977, 1986) social cognitive theory, this study also examined the bidirectional relationship between behavior and identity formation in this leader development process.

To address the purpose of the study, the following research questions were designed concerning the influence the organization's culture (operationalized as a values-based organizational culture and its leadership) has on the development of new leader behaviors and identities:

- Q1. What perceived influence do values-based organizational cultures and leadership have on the self-described behavior of leaders who are in low- to mid-level positions?

Q2. What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?

Q3. What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

Figure 5 below presents the conceptual framework with the research questions identified.

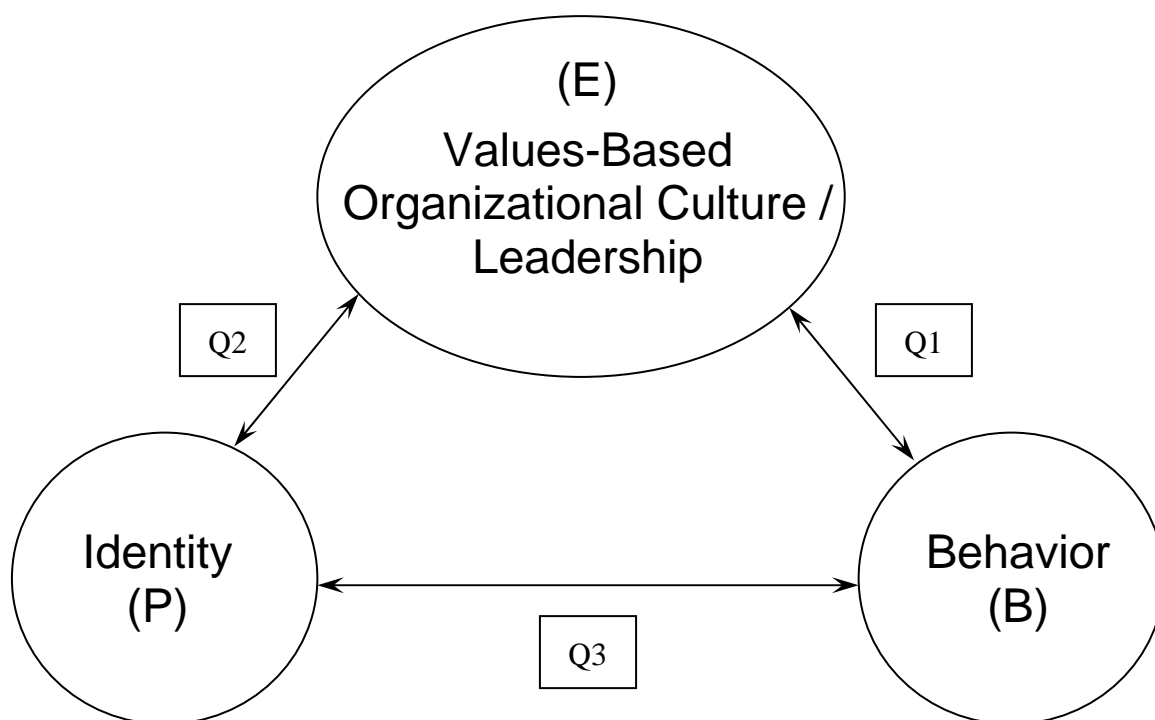


Figure 5. Bandura's triadic reciprocal causation of environmental (E) factors (Organizational Culture and Leadership), developing leaders' personal (P) cognitions (Value-Based Identity), and behavior (B; Value-Based Decisions and Actions) with research questions identified. From *Social foundations of thought and action: A social cognitive theory* (1st ed., p. 24), by A. Bandura, 1986, Upper Saddle River, NJ: Prentice-Hall. Copyright 1986 by Prentice-Hall, Inc. Adapted with permission.

Qualitative methodology, namely grounded theory, was utilized in this study.

Face-to-face interviews were conducted with 35 informants who are at one of five levels of leadership in the organization. All had been promoted at least once in the company,

some several times. Many had worked on the production line earlier and were able to provide a useful vantage point from which to discuss the experience of advancing from the bottom to higher levels of leadership within the company. The data were collected from October 5, 2005 through April 3, 2006. Each interview lasted an average of 47 minutes. Data were open coded and examined for relationships among concepts in order to create categories (axial coding).

The following section presents the research findings. All citations are verbatim. There were a few cases where the informants were off topic during the interview, but soon returned to the topic being discussed. To preserve coherence and consistency of presenting each informant's thoughts, in such instances I omitted those sentences that had nothing to do with the topic and denoted it using a bracket [...]. In addition, to ensure confidentiality of the data and informants, the names of the company and the departments and divisions that the informants mentioned were omitted and replaced by a generic description, for example, [company] or [department].

Research Findings

Emergent Insights from the Pilot Study

The pilot study served to explore some initial questions about leader identities and to confirm the direction of the research study. From the initial data, these informants from the first four of the five management levels shared that they had been placed in leadership roles early in their life by significant adults in their lives, seemingly based on observed leadership traits. Several said they learned leadership skills from role models and previous experiences. No informants spoke of thinking of themselves as a leader in their youth, though some said they were aware of being given responsibility in leader roles

(e.g., sports captain or fast food restaurant shift supervisor). For several, it seemed that only after various experiences in adolescence and into adulthood did they come to see themselves as influencing others and their environment. They did not have a Gestalt “Ah-Ha!” experience in which they suddenly realized they were a leader. This finding that their growth and development into a leader role and identity was more gradual and had been influenced along the way by experiences and significant individuals in their lives was instrumental in reframing the research questions for this study. Some emergent insights about how environmental factors influence values adoption and the development of values-based leaders follow.

Strong Company Values

It was evident that since its founding that this company has a strong values-based approach to doing business. These values are deeply embedded in every aspect of the enterprise, from the initial hiring process, to training activities, operational systems, and the policies regarding interactions with outside vendors. Even employee discipline is guided by their objective of helping employees develop. It seemed that such a strong people-oriented organization had created a family-like or clan-like culture, especially with one of the founders still presiding over the entire operation.

Culture and leadership Influence Behavior and Identity

The strong values of this organization seemed to permeate all levels of management and led me to explore further the cascading effects of these values down the organization, from the highest levels of leadership to the bottom. The stories told by the leaders in the pilot study pointed towards the important role that leaders above them played in conveying the company’s values and helping them to grow in their understanding of

themselves as values-based leaders. These values so prominently displayed throughout each facility and embedded in organizational systems and processes also had an influence on how they led their departments or areas (i.e., behaviors). These phenomena were explored further in the main study.

Help People Develop

In this company, valuing people affects not only how people are treated on the line, but also how they are developed and considered for advancement. I initially thought that the corporative objective of developing people might be as rudimentary as teaching basic life skills (i.e. punctual and regular attendance) and perhaps interpersonal communications, and so forth. However, upon further discussions with informants, developing people involves training employees in other job skills across the department and looking at their potential to grow into other positions. This cross-training serves to provide greater labor force flexibility when work flows vary from fluctuations in product line demand. It also is a precursor to any promotional consideration for those interested in leadership responsibilities.

Helping people develop, with all its benefits—both personal and organizational—was clearly a primary value upheld in the organization's culture, by its leadership and numerous corporate communications. While only one pilot study informant reported being approached by the company's to consider being promoted to a leadership position in another plant, it seemed that proactive leadership development in a company that helps people develop was an important concept to pursue further in the main study. Results reported later confirm this. These new leaders embraced the company's values of developing people and felt deep satisfaction when one of their protégés was given an

opportunity to advance in the company. This last finding caused me to look at how the new leaders' identities, and particularly their value identities, influence their behavior as leaders.

Leaders' Perceptions of the Company's Values

Leadership is fundamentally a value-laden activity. In this case study of a deeply rooted organizational culture and the transmission of these values through values-based leaders, it is necessary to discuss what values are being transmitted. While people simultaneously hold multiple values, the scope of this study is limited to the leader's perceptions of the company's core values, their transmission and impact on behavior.

When asked for their perceptions of which values were core to the company's culture, the leaders consistently responded with valuing or developing people and production-related objectives (i.e., making "count" or production "quota" and producing "quality"). Many responded to this question adamantly and with conviction, suggesting these values are strongly upheld by the organization and perhaps that they, too, embrace these values deeply. One senior leader expressed how much the company truly valued its employees and why they seek to treat them so well:

because they know they're here to provide for their families. You know our company has excellent benefits, and, you know, they really try to do our best by the people. People really are our first thing that we really protect. And that's because we are a manufacturing company. And our bread and butter is our people (Informant UM2)

In fact, the value for their employees is reflected in one of the ways they have tried to maintain the original family culture. They refer to their employees as "Factory Family Members." One informant appreciated this designation:

By naming us "Factory Family" that's great! That makes me feel, "Okay, I'm home!" you know, I'm home (Informant 26).

Of course, as a manufacturing firm, they cannot deny the daily pressure to produce. A veteran senior manager echoed this reality and introduced the term “count” to refer to the production quota that is set for each day:

In manufacturing, everything is based upon getting the job done and making a count. It’s about making a count (Informant UM2).

A middle level manager commented that this company is also:

driven by quality in general, whether it’s the TS16949 or whatever standards we might have. Whether it’s TS or not, we didn’t have TS before and we still were quality-driven. But, you know, that’s been a [Company name] culture for so many years, since, you know, meeting customer requirements and exceeding them has been one part of our culture for so many years (Informant 14).

Informant’s invariably returned to these values later in the discussions allowing me to discover a much fuller understanding of how they perceived the company’s values as well as how they personally embraced them. The frequency by which informant’s in each level of leadership perceived the company’s values is reported in Table 3 below.

Table 3

Perceptions by Leader Level of the Company’s People and Production Values

Perceived value	Leader Level					Company value/objective
	1 (n = 9)	2 (n = 11)	3 (n = 7)	4 (n = 4)	5 (n = 4)	
Value/Develop people	4	9	7	4	4	We value our people/ Help people develop
Production quota/Quality	7	5	3		4	We value our work/ Pursue excellence
Value/Develop people to achieve production goals	1	1	1		3	

This constant reference to valuing people *and* production goals led me to ask about the potential for tensions to arise between the two. Some mentioned that they just try to keep a balance between them. However, others offered a more detailed understanding and strategic approach. When asked about the possible tension, one informant responded:

Yeah, valuing people and making count. How do we deal with that? Well, the way I deal with that is, we normally have set goals for everything. And we have what we call quotas. And we look at our stations and we establish reasonable quotas for everyone. And for the most part, people come in and they do their quotas, and there's no issues with that. Um, there are some days where people come in and they just decide that they want to play around today. They just don't want to work hard. I mean, they just don't want to do their normal work. They want to basically play around a little more than work (Informant 14).

Another leader explained how he got down on the line and helped out to make sure his team made count:

You know what? I'm not just the leader. I'm not just here to tell you what to do, you know. I'm here to help everybody that I see that is under me. If I'm being a good leader... A person that's going to drive the whole team to succeed, to success. A person that... Okay, today there is 10 people on my product line, 3 of them are absent. Well guess what? There's not 3 of them absent, because I'm here. So that's only 2 people absent. But you know what? Those 2 people is not going to be a big effect on my product line, because we're all going to work as a team, and I'm going to work on that line, too. And I'm going to help them the most that I can! [...] I had respect for a leader that will come and get his hands dirty (Informant 16).

Here, valuing his people and helping them out to make count reflected his own appreciation and respect for leaders who get in their and help their workers. Still, another first-level leader has already learned that if he tries to help his workers with their personal issues, they perform better, which can better ensure making count. He commented about this:

So I try go over to them and take a couple of minutes, like, "Hey, is everything okay?" Try to console them at that moment. And you see the change in their face

and their expression. That they appreciated somebody's coming up to them asking them what's wrong. And they get motivated back into the work and they try to, you know, calm their thoughts down (Informant 7).

When it comes to making count, these leaders have learned how to deal with people and how to motivate them to get their work done. One leader even went so far as to strategize with his employees around when to schedule doctors appointments so as to maximize work attendance and conserve sick and vacation days for later use. The informant described the thinking to his employee as follows:

You can make some arrangements with your doctor sometimes, to give you a morning or afternoon appointment. It's letting the doctor give you afternoon 2:00pm appointment. If you want to take 4 hours of vacation that would be great! So you have the other 4 hours for another time. You may have a problem, you never know. You might have an emergency. Or if you want a vacation, you have a 2:00pm appointment, you leave at 12, that's good! That means you work for 6 hours, so that means your paycheck is not going to miss 8 hours. You're only going to miss 2 hours in your paycheck. They say, "Yeah, that's a great idea!" And people start thinking [about] it that way (Informant 25).

It seemed that while people versus count tensions did arise occasionally, many of the leaders worked to minimize their occurrence either by encouraging esprit de corps among the team and helping out with production on the floor or by working to build honest and caring relationships with their workers which engendered their trust and respect. This intentional and constant focus on people was part of the leader's own value system, but also served as a strategic approach to making count each day.

During the discussions of company values and possible tensions between them, three concepts were mentioned so many times that in later interviews I began asking the leaders to rank how they saw the priorities of people, production (i.e., quota or count), and quality. Of the eight informants from across four of the five leader levels, six ranked people number one, five ranked quality as second, and three put production as the third

highest priority. Five of the leaders, however, explained that developing and helping people was critical to achieving production quotas and quality (see Table 3 above).

One senior executive explained it well:

Quality is a by-product of the development of the people. Because without the development of the people that know how to make the part and follow the process, or stop the process when you've got poor quality, ...then you don't have quality. And I think really the key to quality is the person, in what they learn, and how empowered they are, and engaged they are. If they're not empowered to stop a process, to say, "Wow, these [products] are all broken, we can't keep passing this [...] then we're going to be passing poor quality. And we're not going to get those results for 4 months later, when we could have stopped that, right there before it went out the door (Informant UM8).

Developing leaders who share the founders' values and who are able to lead their workers to produce high quality and make count is the primary goal of this company's leader development program. Next the findings for the research questions are presented. The questions explore the key influence processes (themes). Key strategies (categories) are identified and their tactics (subcategories) described.

Results for Research Question 1

What perceived influence do values-based organizational cultures and leadership have on the self-described behavior of leaders who are in low- to mid-level positions?

Questions LL-24 in the interview protocol for lower-level leaders (see Appendix D) was designed to investigate lower-level leaders' perspectives on the influence organizational leaders have on new leader behaviors. The interview protocol for upper management informants (see Appendix D) included three questions (UM-10, UM-14, and UM16) which broadened the inquiry to also include the possible influence of the organization's culture. The strategies that were utilized within the organization's culture

and by organizational leaders to influence the behaviors of workers, and particularly new leaders, are presented in sequence. Informants' verbatim quotes are included for each.

Organizational Culture Strategy 1 – Strong Values-Based Culture

As has been mentioned, from its founding this company has adhered to a very strong culture and value system. In addition to giving each new employee hired two days of training on the company's values and culture, there are a number of tactics used by the company to continue the education process and to maintain this culture.

Tactic 1a – Morning meetings. The most frequent tactic referred to by informants as being influential in their awareness of the company's values is the departmental meetings. Every morning each department holds a "Take-5" meeting in which announcements and any departmental issues are addressed. One informant noted

in our team meetings first thing in the morning we talk about our values (Informant 11).

These meetings not only uncover what problems or issues the workers are facing, it gives the leader an opportunity to model the company's values of caring for and developing people. One leader described his approach to the morning meeting.

We talk to our people about the department. We also ask if they have any concerns or anything we can help them with. We try to address their concerns as much as possible and show them that we care (Informant 14).

As noted in the earlier section, the company cares for each of its employees. They do this because, as the founder set the foundation, each employee is inherently of value and is to be treated so. They have also discovered that when the employees feel cared for and valued as a person, they are more motivated to work hard and to make sure they make count.

Tactic 1b – Posters. The next most mentioned tactic is the display of posters throughout each facility. It is not uncommon for companies to display corporate communications (i.e., mission and vision statements) around their facilities. In this company, posters with corporate values, objectives and other company goals values were displayed in every conference room, every factory entrance and in various locations within the plant. When asked about their purpose, one informant offered:

the company has the [posters] like that for the people to look at and follow for quota, [...] or safety [...] or do excellent work (Informant 15).

Another informant opined that the company put the posters there:

to remind the people what their role is. And [...] their goal at [the Company] (Informant 23).

When asked if people noticed them or paid attention to them, he responded:

Not really. I don't think so [...] I don't remember any [of them] (Informant 23).

Perhaps the difficulty in remembering the values in such a physically-oriented environment is that the statements are somewhat abstract. A veteran manager helped me understand this dynamic:

Those, you know, those objectives and values and stuff, it's up there...do people really on the floor even know them by heart, maybe they know what they are, but how can you really translate that to, how can you teach somebody that? I don't think you can tell somebody, "Hey, you have to do this and this and this." It's how you do things, you know, it's how you treat the people. It's how you run your business on the floor, [...] it's what they see you do, what you do out there that will then make them realize, you know, when they do look at it, "Oh yeah, he did value his word, [...] you know, [we're] going to grow profitably. I'm going to make quality work." It's how you translate it into your processes and how you deal with people. That's the only way they're going to understand it (Informant 10).

An interesting response came when I asked the purpose of the values posters of a person who had immigrated to the US and whose first language was not English:

Well, like, when I came here I don't speak English, and I looked [at] those posters, but I don't understand. And, you know, I never asked because I was, sometimes I'm a bit shy, I don't speak good English, so I'm like, I'm not going to ask. Let them think I speak English, you know, sometimes. So, but, when people, they look, I think, like, now I understand. Sometimes they have, like, "Quality." What's mean quality? Meet customer requirements, you know. When people they look, you know, maybe they don't know. But now, they look, they know, you know. So, like they see, "Develop people." "Well, oh, they, I can develop here, let me, you know, take more responsibility, be responsible. And, you know, I can be, some[how] have better job, you know (Informant 27).

Her explanation of how the posters influenced her points to the challenges of leading in a values-driven organization when many of you employees cannot speak English well, or even at all. One informant, an immigrant of many years ago, brought to light how it is the leader that:

They look at our objective, you know, "we value our word," you know. If you're not always truthful [...] to the people, they know right away. They're not stupid just because they're recent immigrants, which is most of the people are here. They speak a different language, they're not stupid. People know, people understand. They can see phony people, if you are phony with them. And they're going to see that you're sincere if you show that you are sincere when you deal with people. If you're fair [...] in dealing with them, they know that (Informant 10).

So, the posters point people to the company's values and remind them of what behaviors and values the company expects of them. A later section addresses the important role organizational leaders play in developing the values and behaviors of their employees.

Tactic 1c – Employee assistance program. With its deeply rooted value system, valuing people logically leads to an extensive employee assistance program (EAP). The company offers full healthcare benefits and has helped employees out in an extensive array of personal crises, from legal or financial issues to responding to the needs of the people affected by a natural disaster in the employees' home countries.

Following the devastation of hurricane Katrina in the gulf coast of the US, the company matched the \$3000 it collected from employees. One informant added that following:

September 11 with the two towers in New York, they collected money, too. And about two years ago in Haiti, [they did the same after] some hurricane. The company helps a lot of people [...] That's the best company that I ever [worked] with (Informant 8).

This care for others does not go unnoticed or without effect. One informant, whose crisis was the need for a job to support his family, expressed his gratefulness for the company's help:

I work [hard] because I want to help, because the company gave me a job. And I'm happy they took care [of me]. They gave me, they pay me money, and I have to help them make production (Informant 15).

Tactic 1d – Recognition meetings. The founders were known for looking after their employees. And the previous informant expressed well how so many employees feel and respond. In appreciation for such “above and beyond the call of duty” service, the CEO holds a Workers of Worth! or W.O.W.! meeting every month. A seasoned manager reflected on the meetings:

At that monthly W.O.W.! meeting they would give us scores on how our departments were doing financially, production-wise, you know, and then, at the same time, we recognized people with certificates and we'd give them gifts, like either T-shirts, you know, depending on what gifts were available at that month. [...] That's how they would recognize us. They would give something sort of like a bonus type of thing. Recognition for going above the call of duty (Informant 14).

It is clear from the data that the company's culture has had a significant influence on the behavior of these employees. The appreciation that many have for the care and concern from the company and their understanding of the company's values, have both contributed to their desire to perform well for the company. We now turn to a discussion

of the new leaders' perceptions of the influence on their behaviors by organizational leaders.

Leadership Strategy 1 – Build Authentic Relationships

The founder of this company understood that caring for his employees and supporting their growth and development not only helped to create a family-like environment, it also encouraged them to work hard for the company. The organizational leadership of this company also strongly embraces these founding values. This section presents the tactics that are utilized when building relationships with workers, and specifically the leaders being developed.

Tactic 1a – Role-Model. The leader's role-modeling of behaviors was the most frequent response to the question of how their leader influenced them. One informant explained how his leader's example had taught him how to approach and manage people effectively:

My leader right now [...has] given me the opportunity to understand the values of the [Company], how to treat people, how to sit down and really listen and focus on how you can help somebody. And right now, she's the one that's basically a role model for me. Cuz how she works and how she treats people, I'm learning from her (Informant 16).

Tactic 1b – Develop people's skills and values. As part of influencing behavior, leaders must teach these new leaders the skills and values so they can act with efficacy in their new roles. Each worker designated to become a leader, and beginning at Level 1 receives what is called a Training Grid which identifies their areas of strength and of weakness. It outlines a developmental plan for how they will acquire any skills that are lacking. One of the major concerns when developing leaders is their ability to work with people. In a company where valuing people is such a deeply held value, knowing how to

treat employees well is paramount to success as a manager. One lower-level leader recounted how his leader had helped him learn:

the soft side of management. She brought that even keel that I can't approach everyone in the same manner [...] You have to learn how to approach people in different ways because not everybody is the same (Informant 1).

Another leader recalled he was treated when being trained as a new employee.

The organizational leader modeled the company's value of respecting people even as he taught him manufacturing skills. And so workers learn the company's values even while learning job skills. This informant explained:

It comes from, like I say, the leaders. It starts from the leaders. [...] Like when I first started here, they treated me with respect. Even the person that was training me [...] he explained to me exactly what I had to do and how to do it. And, like I said, he treated me with respect (Informant 7).

Tactic 1c – Help on the line. Being valued and respected seemed a common experience. The most influential leaders would “get down on the line and get dirty” working alongside their workers to motivate their workers to make count and to engender respect and credibility in the workers' eyes. One informant spoke of how much he respected his leader when he did this. And now he uses this approach with his workers:

The way that I've been influenced by a leader is by seeing a leader get down on that product line and work with you. Show you that, “You know what? I'm not just the leader. I'm not just here to tell you what to do. You know, I'm here to help everybody that I see that is under me.” [...] That's a leader right there. A person that's going to drive the whole team to succeed [...] With three absentees, he would fill one spot, so] there's not three of them absent, because I'm here. [...] and] those 2 people is not going to be a big effect on my product line because [we're] all going to work as a team, and I'm going to work on that line, too. And I'm going to help them the most that I can! That's where [...] the leader will influence all the workers. And that's what I love to see out of a true leader, you know [...] I have respect for a leader that will come and get his hands dirty [...] and go all the way with you (Informant 16).

Tactic 1d – Concern for welfare. The concern that leaders have for their workers also builds respect and loyalty in employees. One veteran employee who was acquainted with the CEO explained how the CEO's concern for him after a work accident had been sincerely appreciated:

You know, [the CEO] didn't beat me up, he didn't ignore me. He invited me and my family to his house. And we spent the night together, we watched a movie and, you know, it was just amazing. Even recently, I had a little health concern, and he called me at home [...] The man has just got an unbelievable heart and he's a great businessman (Informant UM5).

While this informant's story is unusual due to his position in the company, it does demonstrate the effect of a leader's sincere concern for his or her employee.

Tactic 1e – CEO communication. The CEO is the surviving co-founder and so carries with him all of the values upon which the company was built. Having worked in hot, sweltering factory during the summer, he understands what it's like to work in temperature well above 100 degrees Fahrenheit. This leads to an appreciation of his workers. And so informants spoke of the morale boost when the CEO came around periodically to greet them and thank them for their hard work. One informant described their first encounter:

when I first met him, he came to inspect [my] area. And I had butterflies in my stomach, I was real nervous. And he came, he shook my hand, and he was like, "any thing you need, you let me know." Yes, he came, shook my hand, and he was like, "I heard you're the new [Title] leader and you've been here for such little time." And he was like, "I thank you for your job and anything you need, you give me a call." And I was like, "Wow!" [...] So, you know, that helps out a lot when, let's say, the big cheese comes around and he's humble enough to come and talk to each person, which he usually does (Informant 7).

A middle-level informant was so impressed that, unlike in so many other companies, he could personally know the owner. What impressed him further was receiving a recorded voice-mail message every Monday morning from the CEO saying:

“How are you doing? How is the company doing?” and letting us know any updates or any changes in the company. Or thanking someone for a job well done [...] So, it’s pretty [much] more where you’re not completely isolated from what’s going on in the business[...] It’s basically more out in the open. Where we all know what’s going on on a [weekly] basis (Informant 14).

Such authenticity and openness engenders great respect from workers and leads to a productive workforce.

Results for Research Question 2.

What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?

Questions LL-2 – 3, LL 5 – 6, LL 10 – 11, LL 14, and LL 18 – 26 in the interview protocol for lower-level leaders (see Appendix D) were designed to investigate lower-level leaders’ perspectives on what influenced their identity formation as a leader, particularly with respect to their values-orientation. To obtain upper management’s perspective on this influence process, their interview protocol (see Appendix D) included the following questions: UM-2, UM-4 - 10, and UM12 – 18. The strategies that were utilized within the organization’s culture by organizational leaders to influence the identity formation of leaders, and particularly their values-orientation, are presented below. Informants’ verbatim quotes are included for each.

Leadership Strategy 1 – Build Authentic Relationships

When relationships between people are characterized by authenticity, the trust and respect they have for each other allows for the possibility of impacting one another’s perspectives in a significant way.

Tactic 1a – One-on-One meetings. The leader development program at this company has instituted regular one-on-one meetings between leader and subordinate, at every level. These meetings could be once a week or even monthly, depending upon the schedules of the people and the nature of the meetings' objectives. The meetings are designed primarily to address the Training Grid of the subordinate. However, in a related way, they often include the subordinate's report on their current activities and projects—often developmental activities.

A senior manager commented that:

we've made some moves to make our leaders all salaried, so that they could have One-on-One meetings with their leaders, they could go to team meetings, and now they would be available for training. You know, training is going to happen, no matter what. And so, I think we're creating an environment right now that we've never had before (Informant UM6).

He continued:

And we think that [One-on-One meetings] is almost the key to interaction between leaders and subordinates. I think it's right at the heart of helping people to develop [...] If you had to draw a bull's-eye on something for development, that's it. Because the system that we've created is keeping everything in front of the leader and the subordinate (Informant UM6).

These one-on-one meetings are an excellent forum in which organizational leaders can encourage and support the development of these new leaders.

Leadership Strategy 2 – Prime New Leader Identity

Due to their position and relationship, leaders have the opportunity to influence subordinate's self-concepts. They can activate different value identities in the nascent leader through their words or actions. This priming of an identity occurred in leaders in this company.

Tactic 2a – Express leader potential. When people have never thought of themselves as a leader before, organizational leaders have the possibility of priming this self-concept in these potential leaders. When the unsuspecting workers were approached to consider becoming a leader, they were often surprised. This was especially true of minority leaders who had not expected to be tapped for leadership responsibilities. One such informant was surprised:

I never honestly pursued to be a leader [...Then my supervisor] came to me and said, “Look, I have a job for you. Would you like to consider it and then move up to a Cell Leader, and maybe later on, in time, you could become a leader of running the whole department?” I was in shock! I was in shock. I didn’t expect that (Informant 16).

Another informant expressed the same surprise when approached to assume a leadership role:

Well, I’ve always wanted to have the challenge of being, like, a leader or a supervisor, or something like that [...] But after I got out of the service in ’93, I never got the opportunities to try to express that side of myself until I got here, which surprised me very much when they told me 6 months in they already had their eye on me to become a leader; and that really surprised me, So, I was glad, you know, really honored, that they chose me out of a lot of people (Informant 7).

Tactic 2b – Give opportunities for growth. This company understands the value of learning on the job. In fact, according to one senior leader when they are developing a new leader:

we’ve been able to move those people into jobs and, for the most part, put them with leaders where they would get on-the-job training, OJT. So, 95% of the development would come from the leader–worker scenario which would develop that person to do the job. And, you know, would go on at most levels in the organization. So, the majority is OJT. A little bit of it is classroom (Informant UM6).

One middle-level leader recalled how he was pulled off the floor to learn the skills for his new leadership position. His supervisor had previously inquired about his interests

in a promotion. So, a few months later his leader came back and asked if he was ready to become a leader. He was surprised, but answered that he was. His supervisor said:

“Well, now’s your opportunity [...] After today you no longer work on the line. You have to come off the line, start learning the paperwork, start learning the flow of the work, how the work comes in the department, learn tooling.” I had to learn all the tooling for the department and it became a little bit more challenging. Cuz now you just don’t take an impact gun and [do a process]. Now you really need to know the numbers and tooling that goes to it (Informant 14).

In such a physical environment, with quality standards specific to each product line, external training, much less classroom training is of not much use. Furthermore, learning the machines, as well as the critical judgment and decision processes required to troubleshoot the line if something goes wrong, all are best learned on the job. And so giving new leaders direct experience ahead of time will prepare them for the critical responsibilities they will have when they are promoted to the position.

Tactic 2c – Role-Model. The company understands the importance of role-modeling when it comes to transmitting the company’s values. A middle-level leader who has promoted many people commented on why it is important to have leaders who share the company’s values:

we try to pick out people that are going to have good values, and say, well, you know, at least we want to have somebody there that has good values that will rub off on some of our workers, and so on (Informant 14).

An example of how an organizational leader was able to influence the values of newly developed leader follows. The informant was describing the influence of two leaders in his life and concluded with a discussion of how one had significantly influenced his value-orientation:

I also see my other boss, [name, a senior leader]. You know, he has this thing that, you know, we gotta humble ourselves. And you know what? It is true. For most of the time it is true. You know, you show your workers you are humble and you are

truth to them, they'll listen. And those are the only two people that I can honestly say I have been influenced by. I learned a lot from them (Informant 16).

The importance of the organizational leaders in the lives of these developing leaders cannot be understated. They are the closest people to them and have the best opportunity to build a meaningful relationship, one that can influence their developing self-concept as a leader.

Tactic 2d – Coach/Mentor. When people have never thought of themselves as a leader before, organizational leaders, acting as coaches, can prime this new identity. Through daily interactions and conversations, they can discuss with the potential leader the possibility of their new role. One informant who was surprised at being considered a leader candidate spoke of how her leaders had supported and encouraged her to consider taking on this new challenge:

I had a lot of support from the people that were behind me [my Supervisors]. People saying, “You can do it. You can do it.” My Supervisors. They always put their trust in me. Like, I had a lot of support [...] I had people here that were great with me, that believed in me. That had a big impact too, to be who I am now (Informant 26).

Again, the role organizational leaders can play in the development of leaders in a company cannot be underestimated. The next research question speaks to the results of such effects.

Results for Research Question 3.

What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

Questions LL-4 – 7, LL 12, and LL 20 in the interview protocol for lower-level leaders (see Appendix D) were designed to investigate lower-level leaders' perspectives on what influence values-based leader identities have on the behaviors of leaders. This

research question was addressed to upper management informants. Their interview protocol (see Appendix D) included the following questions: UM-14 and UM-17. The strategies that influenced this relationship are presented below. Informants' verbatim quotes are included for each.

Leader Identity Influence on Behavior Strategy 1 – Activate New Leader Identity

The priming of subordinate's self-concepts can lead to new behaviors. For example, by activating different value identities, these budding leaders can practice new ways of dealing with people on the line. One such example is of an informant who came to the company many years ago with an entirely different value identity. This leader said of the people at the company how they valued and respected her:

They developed me to be a good worker, a good co-worker, a good colleague. Not only a leader, a good colleague. And that impacts [me], even on my [...] personal life. I felt I'm a better person because who I had training me, or teaching me, or showing me, you know, opening the door for me (Informant 26).

Tactic 1a – Coach/Mentor. When activating new value identities such that the person acts differently, the coaching, mentoring relationship is a very powerful vehicle for communicating new perspectives and for making deeper changes in a person. One informant described a difficult situation with a worker who had been hurtful. This particular leader has a very experienced supervisor who was able to provide coaching and advice in how to respond. Normally this informant would respond in a combative manner. However, according to this informant, the supervisor:

made me be a different person, [helped me] understand, saying, “[Informant's name], somebody's got to be the mature person. Somebody's gotta understand the other person. And you know, if that person's being like that, let's be patient. And I've been patient! And it works! It works! Believe me. It works! If you let go, and then you come back, come around and you put a big smile on your face and say, “Good morning! How are you?” He goes like, “Man, I thought [the new leader]

was going to be mad at me, but [the new leader] is not.” You know, the person comes around. And it works! And I go home happy! (Informant 26)

Again, personal, authentic relationships have a powerful effect on others. This company has learned that and proactively encourages coaching relationships with new leaders as they embark on new development opportunities that stretch them.

Tactic 1b – Give people-management opportunities. As has been stated, developing values-based leaders is a goal of this company. When new leaders are developed in this company, they are not only expected to understand the company’s values, they are also to embrace and incorporate them as they manage their area of responsibility. Such learning and values adoption cannot occur without exposure and practice. And so, as these new leaders are given opportunities to manage people, they have to grapple with the typical challenges that working with people involves. With coaching from their supervisor, these skills can be developed and honed.

For those who had adopted the company’s values, developing people was not simply a task in their portfolio of responsibilities. According to their value identity, it was a joy and privilege to be able to help others grow, develop, and succeed. One lower-level informant remarked:

So, to me those are the best moments, [...] when I can help somebody develop and I can say, ‘You know what, man, that’s great, that person’s going to be able to move on. They’re going to possibly maybe get out of [the department] (Informant 1).

Another leader who is a few levels higher echoed this excitement for helping others get a promotion:

And when you have a line worker that became a team supervisor, that became an area manager, you know what kind of win that is? It’s just awesome. It’s awesome because I’m talking about a person that made minimum wage, now is a salaried person. And now, those people that they used to work on the line, now

those are the leader of those people. And they have great respect for that person because they've moved up. [...] And they understand that they can do the same, [as the] opportunity avails itself (Informant UM2).

These leaders would not have been able to acquire such a perspective had they not been given developmental opportunities to manage a group of workers. Their supervisors' coaching was also instrumental in helping them learn the skills for dealing effectively with people.

Finally, a middle-level leader explained how they changed and were helped to:

see things I didn't see [when I first came]...to deal with people as human beings [...] Now I see things different [...] I gotta help the people that's around me so they can help me to get what I want. That's one thing I learned I all these years of being at the positions that I have been [...] When you start as a leader, you kind of have a little bit of selfishness. You think of your own, you know, what do you want to be, [that] you want to grow in the business [...]But] working with the people here, with the environment we have here, I realized you don't have to be a *leader* to be a leader. I have to be working side-by-side with people to become what I want to be in life (Informant 26).

Indeed, this company, via its culture and leadership, has truly influenced the development of many values-based leaders at all levels of the organization.

Summary

This chapter presented the results of the study. A summary of the findings for each research question is presented in Table 4 below.

Table 4
Developing Values-Based Leaders by Research Question

Influence process	Strategy and properties	Tactic
Q1. Environment→Behavior		
Culture	1. Strong values-based culture - Prevalent - Consistent	a. Morning meetings b. Posters c. Employee assistance program d. Recognition meetings
Leadership	1. Build authentic relationships - Respect - Credibility - Service	a. Role-model b. Develop people's skills and values c. Help on the line d. Concern for welfare e. CEO communication
Q2. Environment→Identity		
Leadership	1. Build authentic relationships - Respect 2. Prime new leader identity - Open, honest communication	a. One-on-One meetings a. Express leader potential b. Give growth opportunities c. Role-model d. Coach/Mentor
Q3. Identity→Behavior		
	1. Activate new leader identity - Supportive guidance	a. Coach/Mentor b. Give people-management opportunities

CHAPTER 5

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

In this study, the primary purpose was to investigate how first-time leaders are developed into values-based leaders. Of interest was how environmental factors, such as a values-based organizational cultures and leadership influence the behavior and identity formation of these new leaders. Using Bandura's (1977, 1986) social cognitive theory, this study also examined the bidirectional relationship between behavior and identity formation in this leader development process. Chapters 1-3 provided the context and conceptual framework in which the research questions were introduced, reviewed current literature, and described the data collection methodology and data analysis process. Chapter 4 presented the study results. This chapter provides an overview of the study, summarizes the findings, ties the conclusions to the literature, and offers recommendations to researchers, organizational leaders, and aspiring leaders.

Study Overview

The primary purpose of this study was to investigate how first-time leaders are developed into values-based leaders. Of interest was how environmental factors, such as a values-based organizational cultures and leadership influence the behavior and identity formation of these new leaders. Using Bandura's (1977, 1986) social cognitive theory, this study also examined the bidirectional relationship between behavior and identity formation in this leader development process.

This research study addressed the following research questions concerning the influence the organization's culture (operationalized as a values-based organizational

culture and its leadership, i.e., from immediate supervisor to senior leader) has on the development of new leader identities and behaviors:

- Q1. What perceived influence do values-based organizational cultures and leadership have on the self-described behavior of leaders who are in low- to mid-level positions?
- Q2. What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?
- Q3. What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

Summary of Findings

The summary of findings presents an overview of the results for the research questions. Any informant comments used are direct quotes. All other discussion is the researcher's summarization of the results.

Summary of Findings Related to the Leaders' Perceptions of the Company's Values

During the interviews and when analyzing the various responses to questions about the company's core values, it became clear that the company's values are strongly held by senior leadership, and a constant effort to communicate these values to employees is evident in both their words and actions. The values are deeply embedded in the company culture.

When asked what the company's core values are, the informants often responded with a similar list of values—valuing people and meeting production goals (i.e., quantity and quality). So ubiquitous were these two primary values in their experiences, that the

informant's invariably mentioned them later in the discussions. This constant reference to valuing people *and* production goals led me to ask about the potential for tensions to arise between the two. The results of my analysis of the leaders' understanding of what the company's core values are and the possible tension between them were displayed in Table 3 (see table in Chapter 4). It is interesting to note how effectively these values have cascaded down the organizational hierarchy. Not surprisingly, more lower-level production workers reported production quotas and quality goals as a primary value. Being required to meet daily performance objectives seemed to make this the most salient value. Higher-level managers, whose roles tended more towards people-management activities, identified valuing and developing people as a key company value. However, the first and second level managers also identified valuing and developing people as important company values, suggesting the company had successfully instilled an understanding of people-management and development processes in these first-time leaders. This is not necessarily the case in other organizational contexts.

In the sequence of interviews, I heard first from lower-level leaders that valuing and developing people was an important means to ensuring that production goals are achieved (i.e., improving productivity through increased production quantities and quality). This was confirmed during my interview with the leaders at Level 5. With their understanding and embrace of the company's values and many years of experience working in this particular organizational culture, these leaders were clear that the issue was not one of tension between people and production. Rather, the people—that is, how they are valued and treated—are the key to success in manufacturing companies. Thus, the interpretation turns to one of understanding how valuing and developing people (cf.

Rokeach's instrumental goals) leads to improved productivity (cf. Rokeach's intent goals). This perspective was mentioned by at least one informant in every level except Level 4. Again, it is interesting that some first-level leaders have embraced such an understanding of how to lead effectively in this organizational context.

Summary of Findings Related to Research Question 1

What perceived influence do values-based organizational cultures and leadership have on the self-described behavior of leaders who are in low- to mid-level positions?

The first research question attempted to discover the critical influences that the environment can have on the behavior of leaders. In particular, the organizational culture and its leadership were examined. The study found two key themes or strategies that the company uses in developing its leaders with a values-orientation aligned with the founding core values. Its strong values-based culture was ubiquitous as was the conscious efforts by organizational leaders to develop authentic relationships with their workers.

Organizational Culture Strategy 1 – Strong Values-Based Culture

From its founding this company has adhered to a very strong culture and value system. It was evident in the data that these values were known by most, at least the core ones, and that they guided people's decisions. There are four tactics used regularly by the organization to educate their employees about the values, and to reinforce and encourage their use.

Tactic 1a – Morning meetings. The most frequent tactic referred to by informants as being influential in their awareness of the company's values is the daily Take-5 meetings. Beyond the value of the departmental concerns, employees were able to witness the honest care and concern of their leader for them as workers and as individual

people. These meetings served as important reminders of key values and provided reinforcement to the other communication vehicles.

Tactic 1b – Posters. The next most mentioned tactic is the display of posters throughout each facility. Veterans of the company remember the values espoused on these posters well. As do some of the more recently hired employees. These posters serve primarily as reminders or triggers for expected values and behavior.

The difficulty with this company communication conduit is that many of the workers come from countries where English is not the primary language. So comprehension is not always immediate. The statements of values also are quite abstract, so for an uneducated workforce, such conceptualizations are distant from their day-to-day work. So, what actually happens, and what is certainly a viable approach, is that the workers learn these values through their leaders, their actions and words. In fact, that is the best way to make these values come “alive” and to be integrated into ones life.

Tactic 1c – Employee assistance program. This company has helped so many employees over its lifetime. With so many services in its EAP program, employees feel valued and remain loyal to the company. Many work hard for the company out of gratitude for the care and assistance received.

Tactic 1d – Recognition meetings. This final tactic serves as a public recognition for service “above and beyond the call of duty.” By rewarding exemplary performance at these Workers of Worth! Meetings it not only places a premium value on the honored employees, making them feel of worth in the company, it also places a spotlight on the behavior that the company desires. Perhaps some workers are motivated to work harder in order to be recognized at a W.O.W.! Meeting.

It is clear from the data that the founders' strong values set the foundation for the company's culture and have a significant influence on the behavior of these employees.

The company seeks in many ways to convey that the employees are valued and treats them so. The appreciation that many have for the care and concern from the company, as

well as, their understanding of the company's values, have both contributed to their desire to perform well for the company. We now turn to a discussion of the new leaders'

perceptions of the influence on their behaviors by organizational leaders.

Leadership Strategy 1 – Build Authentic Relationships

The founder of this company understood that caring for his employees and supporting their growth and develop not only helped to create a family-like environment, it also encouraged them to work hard for the company. The organizational leadership of this company also strongly embraces these founding values. This section presents the tactics that are utilized when building relationships with workers, and specifically the leaders being developed.

Tactic 1a – Role-Model. The leader's role-modeling of behaviors was the most frequent response to the question of how their leader influenced them. In fact, it is likely the most potent, and therefore, the most important tactic. As noted in the discussion of the values posters displayed throughout the company's facilities, it is the human touch, the human example of the leaders that helps interpret the values for employees. By the leader's words, and most importantly their actions, the workers can see how to act in their own work areas. This learning through observing a person in which you have a significant, meaningful relationship is very powerful, and may be one of the only ways to communicate these values across language barriers.

Tactic 1b – Develop people’s skills and values. As part of influencing behavior, leaders must teach new leaders the skills and values necessary to perform effectively. In their new roles. The Training Grid provides a clear metric to guide this development. It is within the relationship that builds during these regular one-on-one meetings that enhances the power of this training. This is especially true regarding the teaching of people skills. In a company where valuing people is a primary cultural norm, these new leaders can learn how to effectively work with people from all of the different cultures represented in the company.

Tactic 1c – Help on the line. As has been noted, the relationship between worker and leader is an important one and that can have great influence. When leaders get their hands dirty by getting down on the line, and not isolating themselves in their offices doing paperwork, the workers respect that. The leader gains credibility as they demonstrate their competence in doing the work, but their actions also say to the worker that they are valued enough that the leader is willing to work alongside them to help them out, even if it means foregoing the cleanliness of the office work.

Tactic 1d – Concern for welfare. It is clear from the informants’ comments that they truly feel cared for by the company, and particularly by their leader. This concern has a powerful affect on their motivation to work and their commitment and loyalty to their supervisor. When an employee feels valued, no longer is the workplace and alienating or discouraging place to be. Rather, it can excite and give energy for the task.

Tactic 1e – CEO communication. The CEO is the surviving co-founder and so carries with him all of the values upon which the company was built. His many years of experience working on the line as he grew up gives him unique perspective that few

CEOs have. As such, and with his unwavering resolve to uphold the values he so deeply embraces, he seemingly spends an inordinate amount of time visiting the plants, walking around and greeting his employees. His handshake and comments of appreciation to the workers has a very powerful effect. The workers spoke of how it made them feel special. They marveled that the CEO of such a large company would take the time out of their busy schedule to come and see them, let alone address them personally.

The CEO has created a spirit of open and honest communication. And so his pre-recorded Monday morning voice-mails distributed every leader helps to keep these leaders in touch with the pulse of the company. The message always includes some reinforcement of the company's values to help keep the leaders on track and aligned with the company's values and mission.

It is evident that since its founding that this company has a strong values-based approach to doing business. These values are deeply embedded in every aspect of the enterprise, from the initial hiring process, to training activities, operational systems, and the policies regarding interactions with outside vendors. Even employee discipline is guided by their objective of helping employees develop. In summary, each of these tactics serves to reinforce the company's values and the value of the workers and helps them develop in such a way as they can perform better in their respective positions.

Summary of Findings Related to Research Question 2

What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?

This question was designed to explore the effect of organizational culture and leadership on the identity formation of leaders, particularly with respect to their values-orientation. One overarching theme emerged, and echoes some of the earlier findings of organizational leader influence on behavior.

Leadership Strategy 1 – Build Authentic Relationships

When relationships between people are characterized by authenticity, the trust and respect they have for each other allows for the possibility of impacting one another's perspectives in a significant way.

Tactic 1a – One-on-One meetings. The company realizes the importance and value of building personal relationships with its employees. And this is particularly important when they are developing new leaders who will carry on the company's standards and values. There is no way to reach all of the employees in such a large company without a wide distribution of value-aligned company "representatives." Therefore, these one-on-one meetings that take place at every level provide a valuable vehicle for transmitting and developing the desired values and perspectives.

Leadership Strategy 2 – Prime New Leader Identity

Due to their position and relationship, leaders have the opportunity to influence subordinate's self-concepts. They can activate different value identities in the nascent

leader through their words or actions. This priming of a new leader identity aligned with the company's values occurred in leaders in this company.

Tactic 2a – Express leader potential. One of the most powerful tactics organizational leaders use is to solicit potential leaders for their interest in taking on a new leader role. After assessing the worker's potential, they will often approach them and ask if they would like to be considered for a leadership position. For workers—especially from populations traditionally under-represented in leadership—this experience can be quite shocking and surprising. It is amazing what a positive boost it is to these workers who now begin to reframe their self-concept. They begin to see themselves in a new way and take on new challenges and responsibilities. With this door now open, they begin to consider growing and developing into higher levels of responsibility.

Tactic 2b – Give opportunities for growth. This company understands the value of learning on the job. With the physical nature of the work and the credence given to leaders who can actually do the work, it is paramount that leaders learn every task on the line. As for the other skills needed for leadership responsibilities, such as documentation and using the computer, supervisors often ask the nascent leader to help out with these to learn how to do them.

Finally, leaders need to be able to manage people in order to accomplish a task. New leaders are often given small projects, in which they oversee a small group of people. This provides invaluable opportunities to learn how to deal with people in this setting.

Tactic 2c – Role-Model. As has been noted earlier, role-modeling is one of the most effective ways to transmit values. When developing values-based leader identities

how one's supervisor acts, and also, how they treat you, are both critical observations and experiences from which to learn the skills and values needed for leader to be successful in this company.

Tactic 2d – Coach/Mentor. When people have never thought of themselves as a leader before, organizational leaders, acting as coaches, can prime this new identity. Through daily interactions and conversations, they can discuss with the potential leader the possibility of their new role. A key component of this coaching is encouraging and even persuading this new leader that, yes, they *can* do it, they have the ability and skills to become a great leader.

In summary, the importance of the organizational leaders in the lives of these developing leaders cannot be understated. They are the closest people to them and have the best opportunity to build a meaningful relationship, one that can influence their developing self-concept as a leader. The next research question speaks to the results of such effects.

Summary of Findings Related to Research Question 3

What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

This research questions was designed to examine lower-level leaders' perspectives on what influence values-based leader identities have on their behaviors of leaders. This was a difficult question for which to isolate how these new values identities influenced behavior. Since it is such a direct relationship and all inside the head and motivations of the new leader, I ended up looking for tangible artifacts, ways in which

the leader had come to this new identity that was guiding the values-based behaviors I was seeing.

The two tactics that emerged were the priming of these new value identities by their supervisor and being exposed to the real issues of dealing with people on the line so that they had to draw on these values to resolve them.

Leader Identity Influence on Behavior Strategy 1 – Activate New Leader Identity

The priming of subordinate's self-concepts can lead to new behaviors. And so organizational leaders, with their direct relationship with new leaders, are in an excellent position to influence such behaviors.

Tactic 1a – Coach/Mentor. When activating new value identities such that the person acts differently, the coaching, mentoring relationship is a very powerful vehicle for communicating new perspectives and for making deeper changes in a person. The nature and quality of this relationship is paramount. Personal, authentic relationships with a significant person in one's life have a powerful effect. It hinges upon the abilities of the organizational leader to relate to their protégé and to guide their development.

Tactic 1b – Give people-management opportunities. As has been stated, giving actual work projects that stretch these new leaders as they deal with the real challenges of being a leader can provide some of the most powerful learning opportunities. With a supportive and encouraging coach behind them, these new leaders can grow and develop through problems that arise. They become much better equipped to deal with future issues. And the guidance from their leader in how to apply the company's values in a particular situation go a long ways in teaching and embedding the values in the new leaders.

In summary, these new leaders were able to come to a new identity as a values-based leader by direct experience in a leadership role and with the support and encouragement of their values-based coaches. Their actions now reflected this new values perspective.

General Discussion about Values-Based Leader Development

This study examined the development of values-based leaders across the organizational hierarchy, with specific attention given to first-level leader development. The company's strongly-held values were evident throughout the data collection process—whether physically displayed, written in company literature, or shared by informants from all management levels. There are a number of influences processes through which new leaders come to learn the company's values and embrace them as their own. The new leaders interviewed described how they now act using these new values-based behaviors. Figure 6 below displays the resultant model from this study, summarizing the key values-based leader development influence processes.

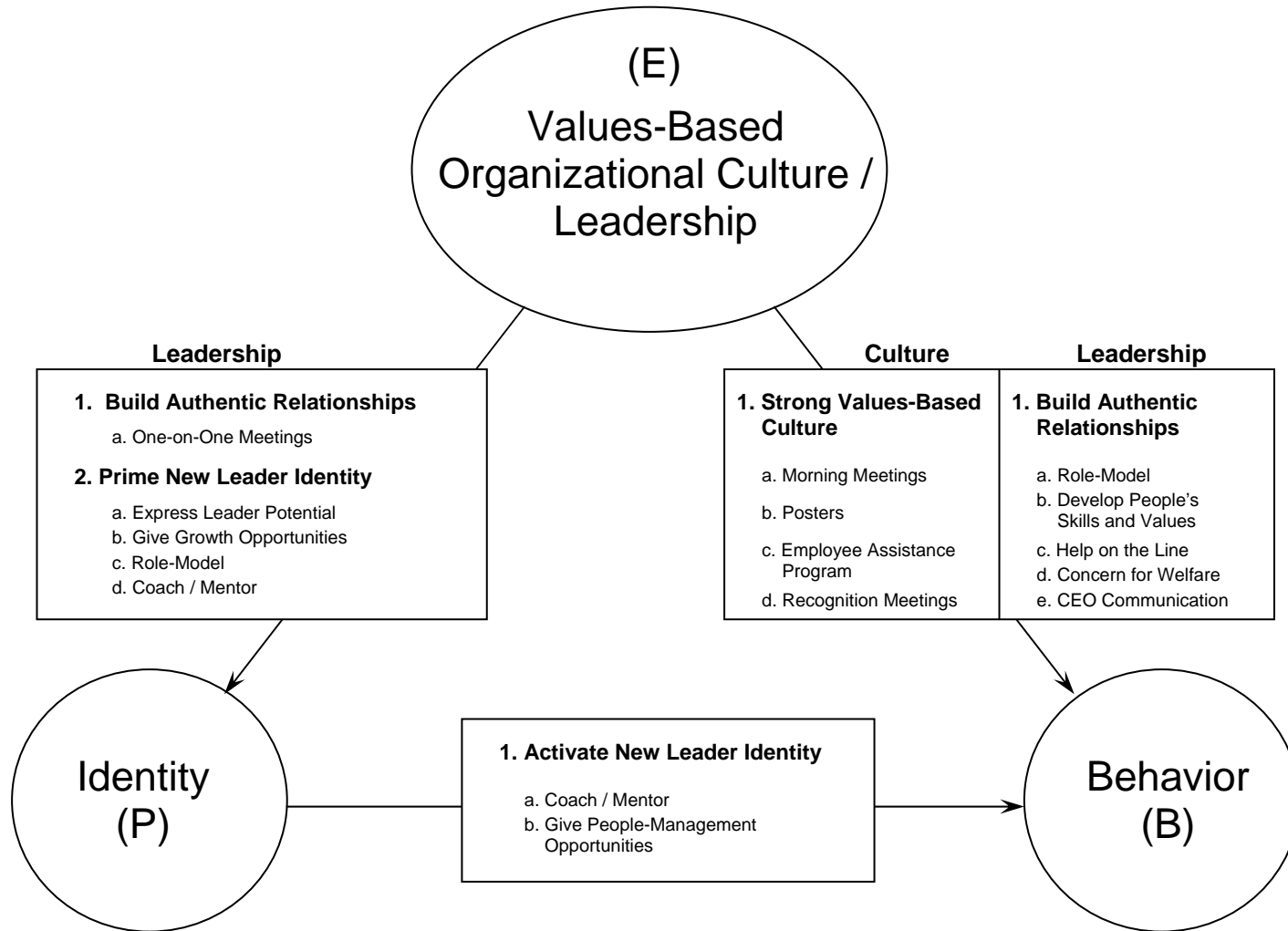


Figure 6. Key values-based leader development influence processes.

What emerged in this study is that the company has developed a very strong values-based culture (right side of triangle). The morning meetings, physical displays of company values (i.e., posters), the generous employee assistance program, along with the regular recognitions meetings all serve to educate and constantly remind the employees about the company's values. Such corporate and departmental communications and demonstrations of company values are a constant reinforcement of what behavior is valued and rewarded in the company.

The leadership plays a critical role in influencing employees' behaviors through the quality of the authentic relationships they build (right side of triangle). Role-modeling of the ideal behaviors is a critical process that helps the new leaders to see in tangible ways how to act and speak as a leader. This is an especially potent guide when it comes to learning how to deal with personnel issues. Ongoing development of the new leaders' people skills and values is evident throughout the developmental process. The supervisors constantly train and guide the nascent leaders in how to handle the challenges faced by leaders. Leaders who "get down on the line" and help their subordinates develop high levels of trust with their workers. The respect they receive from their employees gives the leaders greater influence when it comes to motivating behavior changes in their workers. The leaders honestly care for their employees as they often ask how they are doing or if they are having a problem. Their constant care and concern also has a positive effect on their relationship and power of influence on their direct reports' behaviors. Finally, the CEO's periodic visits to the factory have a significant impact on the workers. That a busy CEO of such a large company would come around to greet them and thank them

personally for their contributions—especially on the hottest days—has a positive influence on morale and productivity.

The organizational leaders play a crucial role on how the new leaders began to see themselves as leaders, and then as values-based leaders (left side of triangle). Again, the quality of the relationship between leader and protégé is important. Authentic communication during their regular one-on-one meetings enhances the effectiveness of the supervisor's influence. Organizational leaders can “prime” new leaders' sense of identity as a leader. By expressing that they have potential to become leaders, giving them growth opportunities to stretch their development into these new roles, role-modeling what it means to be a values-based leader, and coaching and mentoring them continuously along the way, these budding leaders begin to develop a new perspective of themselves as capable, values-driven leaders.

The last influence process of the model (bottom of triangle) builds on the priming of the supervisors that occurred in the left side of the model. In this process, the supervisor coaches and mentors the new leader and gives them ample opportunities to practice their new skills dealing with people issues on the factory floor. It is through these experiences that the new leaders embrace more deeply their identity as a values-based leader and consciously act in new ways, demonstrating the company's values in each of their actions.

Tying Conclusions to Key Literature

Chapter 2 reviewed the current literature addressing values transmission and activation processes that were also found in this study. This study also discovered some new insights about developing new values-based leaders, particularly from under-

represented minority populations. This section discusses what study findings have been supported by extant literature, and what new contributions are made by this study that help us to understand how values-based leaders can be developed.

Support in Literature

First, the literature supports the idea that the environment can influence both people's behavior and identity, and in particular, their value identity. With the concern over unethical conduct in corporations, this issue is an important one.

This study confirmed that "behavioral changes can occur through cognitively activating important values (Verplanken & Holland, 2002)" (Hitlin & Piliavin, p. 381). Organizational leaders' authentic relationships with their subordinates build credibility and trust such that they can activate desired values-based behavior in newly promoted leaders.

The study also found support for Lord and Brown's (2001) proposition that leaders can prime the value identities of subordinates. Through intentional interventions, such as, training, regular one-on-one meetings, and coaching during the daily production processes on the factory floor, organizational leaders can raise awareness of values issues and develop personal value systems in new leaders. Again the quality of their relationships critically determines whether they will have any effect activating different value identities that bring about desired values-based behavior in newly promoted leaders.

Contributions to Literature

This study provides insight to the literature on the specific influence processes that can be used to develop values-based leaders. In particular it contributes to the leader

identity literature, of which there is very little. The studies found examined first-time sales managers or new engineering managers. And so, this research extends the literature to a population seldom considered in leadership research—lower- to mid-level manufacturing leaders. It also contributes to alleviating the dearth of literature on minority leader development.

A second and important contribution to the literature is the discovery of key leader development processes traversed by populations typically under-represented in leadership. Minorities and women are not typically identified in the literature on leader development, much less literature on manufacturing contexts. This study of a strong culture that values people for who they inherently are—regardless of gender, race, religion or background—provided a rich research site to examine how this often underutilized resource is developed to provide values-based leadership across the organizational hierarchy.

One powerful discovery was that many minority and female leaders never expected to be considered for leadership roles. For various historical and cultural reasons, they had resigned themselves to working on the line. The suggestion from a supervisor to consider leading a group of workers was both surprising and flattering, even liberating to some. The net effect was a priming of their possible self as they began to see themselves in a role which they had never imagined embodying. With 20 of the 27 leaders (74.1%) in the first three levels of leadership coming from minority backgrounds, their contribution to this study's findings from the perspective of a competent leader who develops others was most beneficial. The data provided a non-majority perspective seldom given a voice.

In summary, the findings of this study support extant literature on environmental influences on values-based behavior and identities. The study contributes new understanding to an existing model of how leaders influence subordinate values, identities, and subsequent behavior. It also offers pertinent insights into developing leaders from under-represented populations.

The study discovered insights that have important implications for future research and practice in values-based leader development. The following section offers recommendations to researchers, organizational leaders, and aspiring leaders.

Recommendations

The primary purpose of this study was to investigate how first-time leaders are developed into values-based leaders. Of interest was how environmental factors, such as a values-based organizational culture and leadership influence the behavior and identity formation of these new leaders. Using Bandura's (1977, 1986) social cognitive theory, this study also examined the bidirectional relationship between behavior and identity formation in this leader development process. This study attempted to investigate these processes in further detail and extends in scope to include what values were salient to the leaders in this values-based organizational culture. Based on the study results, the following recommendations for future research, organizational leaders, and aspiring lower-level leaders are offered.

Recommendations for Future Research

As companies continue to grapple with minimizing ethical breaches amongst their employees spread across the globe, and the concept of corporate social responsibility

becomes more entrenched in the corporate governance landscape, the results of this study lay the groundwork for future research.

First, the use of Bandura's social cognitive theory provided a valuable conceptual framework from which the research questions were designed. This study examined each of its three dimensions in one direction of influence. Future research may find it interesting to explore the opposite direction of influence so as to further refine the values-based leader development model. Such research would add more knowledge regarding the sequence of influence (i.e., does behavior influence identity, or vice versa, or both) and the complex processes in which value transmission, acceptance, and adoption occurs. Perhaps certain values are transmitted differently than others?

This study did not focus on demographics as a variable. Future research might find value in exploring any variations in perspectives on leadership by cultural group. Further, examining values and their interpretation by different cultures would be of interest to researchers of multi-national companies whose employees hail from across the globe. This is especially pertinent to today as companies built upon the historically dominant Western business model and organizational systems increasingly conduct business with non-Western partners.

In this case, only three female informants were interviewed. It is true that manufacturing can be dominated by male workers. However, several divisions, particularly of lighter products, did have higher percentages of female employees. Studying perspectives of female leaders in manufacturing contexts would further the knowledge of leader development in manufacturing contexts.

While this study was able to examine leader development from the perspective of all five management levels in one division, future studies would benefit from collecting data more systematically up the entire hierarchy in more than one division to explore varying perspectives by management level. It would be interesting to examine the cascading effects of the values of senior leadership down the hierarchy. This would help to better understand if value transmission and acceptance varies by level.

As is the case of most research, resource limitations, preclude deeper data collection and analysis. Future research would benefit from “living” at the company for awhile to confirm my findings by deepening my observations and understanding of the culture and value transmission and adoption processes. Expanding the study to other companies would also prove beneficial in understanding the development of values-based leaders in different contexts.

Future research could examine the identifiable benefits of values-based leadership approaches, and more specifically the value added to the quantifiable metrics used in business to measure performance and profitability. Such findings will help strengthen the value of this approach. This, of course, will not be easy to isolate the variables and to measure direct effects. It is likely that there are complex effects interplaying here. In this study, numerous stories of improved performance were given and credited to valuing people in the workplace. Albeit anecdotal, it seems a values-based leadership approach to managing its people and work processes contributed to increases in worker productivity. Understandably, senior leaders of this privately held firm were reticent to share any financial data with me for this study. They also acknowledged that the complexity of their numerous operations (i.e., manufacturing facilities) and their current accounting

reports would not be able to identify and isolate the particular performance data that would be needed to assess the impact of using such a values-based leadership approach.

Finally, there is a need to extend beyond this study's examination of leaders' perspectives on the influence of an organization's values-based culture on their identities and behaviors. While the leaders in this company were able to list the competencies they looked for when identifying and developing potential leaders, they are just beginning to formally document these competencies (many of which are values that are operationalized as values-based behaviors). Future research could consider competency modeling as an approach that would identify specific values-based behaviors desired in company leaders. Investigating how other competencies utilize competency modeling in skill development interventions could inform how to build a values-based leader development system. Further, it would be beneficial to values-based leaders in this and other companies if researchers could assess which values and behaviors have the greatest positive effect in a values-based work environment. The resultant values-based framework would array values-based behaviors in order of preference and could then be used when identifying potential leaders and determining their development needs. The outcome of such an effort could actually be used when determining hiring decisions for all employees.

Recommendations for organizational leaders

This study identified several key considerations that management may find helpful for use in their talent management program. Developing a back-up bench of leaders down the entire organization is critical to organization-wide succession planning. The results of this study point to the importance of the quality of relationships between

people in the organization. Several important considerations for developing authentic relationships were presented.

Authentic relationships are the key to leading the multi-cultural workforce. With increasing numbers of global operations, companies realize they need understand how to work with employees in such diverse sets of contexts. The training of indigenous leaders is critical to their success in the host country. As such, companies will need to grapple with organizational culture issues as they set up operations in other countries.

Relationships are central to most non-Western countries. This is a value that is strongly present in the company that was studied. As multi-national corporations (MNC) expand their operations to new and different cultural contexts, understanding the value of relationships and the people in them for who they inherently are will provide an easier entry into the culture. It will also help to bring the MNCs to align more closely with the rest of the global workforce.

The second recommendation involves training employees about the values of the company. It is important to have a clearly articulated set of values—values that are rooted in the organizational ethos and that the leadership has deemed desirable. These principles will guide each and every decision, so they must make sense and must be able to be implemented. To do so, the company must make a concerted effort to communicate these values to the workforce. From new employee orientation to ongoing training (including departmental meetings) to visible reminders placed throughout the buildings, these values must be evident to all. That means that the leadership, from the very top to the very bottom, need to understand, embrace, and utilize these values in every word they say and

action they do. This is the most critical point if a company truly wants to embrace a values-driven culture.

This leads to the training of values-based leaders. In this company, where the founder put in place a strong values-based culture, employees are highly valued—without judgment of culture, religion, or background—and whose development is desired both for the sake of the employees and the company, a strong leader development program is in place. They teach new leaders how to value people by caring and expressing concern for them, and by “serving” them in their work by getting down on the line and helping out as needed. For most companies this is not a natural part of their culture. And so a concerted effort to genuinely model this from a company’s senior leadership is the first step, followed by training of *all* leaders in the organization. This can be done by cascading the training down through each leadership level, by training the leaders themselves to train the leaders below. Such skills that are important to include are coaching/mentoring skills as well as how to effectively utilize action learning strategies to develop people. Meaning, how to intentionally create learning opportunities for employees that involves real projects for the company, and in which coach can provide the necessary guidance to help develop the worker’s skills.

Finally, the leaders throughout the organization need to understand the power and influence they have for advancing the company’s mission. Certainly leaders know they can influence others. However, if a company truly wants to embrace a values-based culture that instills these values in its workers, then they will need to reinforce with the leaders their importance as “bearers of the ‘company values’ torch” and as role-models of these values.

Recommendations for Aspiring Lower-Level Leaders

Individuals aspiring to leadership roles would do well to observe and learn from this company's example. Employees who work hard and do their job well are often tapped for leadership positions. However, this is not the case if the workers did not have some promise of being able to relate well with people. And so learning people skills is an important consideration of anyone aspiring to a leadership position.

Additionally, employees who seek to understand and implement the company's values are the ones promoted in this company. And so, understanding your company's values—what they reward and promote—and aligning your behavior with them is one way in which to be considered for a leadership role. Of course, these values need to be genuinely embraced in order to achieve the intended goal of promotion.

Lessons Learned

There are a number of lessons learned that may be of use to future researchers who want to conduct a similar study. This section discusses both methodological insights as well as personal reflections.

The first lesson that I learned is the importance of building and managing the relationship with the host organization. Approaching a large privately held global company is a daunting task. Fortunately a colleague knew a senior level executive which gave me entrée to the Human Resources department. After several meetings with the director, I was given permission to begin with a pilot study. Proceeding with the full study would depend on the pilot study experience.

So, building trust and showing the value of the research to the company were two key elements, I believe, in obtaining initial approval to do the pilot study. Periodic

communications via e-mail or telephone kept the relationship growing. The director of human resources and I actually exchanged some book or article references based on our mutual interests.

When it came to getting approval to proceed with the full study, it took great patience over a few weeks while the director of human resources discussed the pilot study report with the executive vice president and other senior human resources staff. The project was then handed to the director overseeing leadership development in the company. This required building a relationship with two new people, the director and his assistant. Finally, I ended up working closely with the executive assistant of a senior manufacturing executive to arrange my site visits.

This story is important for a number of reasons. First, extremely busy company executives will not even engage in a conversation with a researcher unless one can demonstrate added value to their enterprise. I also made sure to be clear what I wanted to say or ask whenever I made contact so as to not take more of their time than absolutely necessary.

The efforts to build relationships with each partner in the company and to get buy-in from management served me well over the 19 months from initial approach to final interviews. I am grateful for the amount of time and resources the company gave me to allow me to research their leaders at all levels in the organization.

The second lesson may be obvious, but just like the leadership culture in the company, approaching informants authentically, with honest and sincere questions, will elicit meaningful stories from which quality data can be extracted. This was especially important as the study addressed sensitive personal and ethical issues. It goes without

saying, but without using such an approach, informants will either be non-responsive or answer casually so as to make the data useless. I was also careful to use more basic English with the non-native English speaking informants, and to dress in such a way as to not alienate the factory workers.

The third lesson I learned was how helpful it is to begin with a model that frames the initial approach to the study. Strauss and Corbin (1990) allow the study to be guided by existing theory. Lord and Brown's (2001) model was instrumental in my initial thinking. However, it became clear that it has limitations when it comes to a holistic approach to values-based leader identity development. The use of Bandura's (1977, 1986) social cognitive theory provided the framework through which to analyze the bidirectional nature of some aspects of the developmental process. Particularly, the role that new leaders' behaviors play in influencing identity formation. A component that extended beyond the research questions, but merits further examination.

Finally, as a researcher this was a valuable transformative experience. The opportunities I had to meet such incredible leaders was truly a blessing. I learned so much about their perspectives on people and how to be an effective leader. While I strove to maintain neutrality in all interviews, it was not easy sometimes when people shared difficult stories. Having come from a middle-class background with never a need or empty dinner plate, it was truly eye-opening to encounter such strong, courageous people striving to support a family and maintain their dignity. Fortunately, this company affords them dignifying relationships in an environment that values them and their family.

Summary

Many corporations do not share this company's perspective on valuing and developing people. Certainly, such companies train and develop their leaders, but the immediate demand of meeting production goals in pursuit of bottom line improvements supersedes other considerations such as valuing their employees' welfare and contribution to the work as people.

In contrast to the more common situation, this study investigated how first-time leaders are developed into values-based leaders. Of interest was how environmental factors, such as a values-based organizational culture and leadership influence the behavior and identity formation of these new leaders. Using Bandura's (1977, 1986) social cognitive theory, this study also examined the bidirectional relationship between behavior and identity formation in this leader development process. I conducted face-to-face interviews with 35 leaders in a large privately-owned manufacturing firm. The informants represented each of the five management levels in the manufacturing operations of the company.

This study of a strong values-based organizational culture and its influence on new leaders' value identities and behaviors reveals that environmental factors, such as, the organizations culture and leadership, can influence their employees' behaviors. Rooted in the founders' strong values, this organization's culture is ubiquitous. It is communicated to the employees in a comprehensive way, from the initial orientation to the company, in daily departmental meetings and monthly recognition meetings, and in a myriad of print media (i.e., posters, monthly magazine).

The building of authentic relationships between leaders and employees is a critical factor in the successful saturation of the company's values across the organization. By relating sincerely, and with genuine care and concern, helping out employees with problems they encounter, leaders engender the respect from their employees. They earn their workers trust and have the credibility needed to influence the workers. By meeting with their protégés on a regular basis, organizational leaders can impact their value identities. First, they can prime a new value identity by supporting and encouraging them to consider taking on a leadership role. Second they can provide valuable hands-on learning experiences to prepare them for the new leadership responsibilities. And finally, organizational leaders can develop effective people skills and the desired values as they coach the new leaders through the challenges they encounter dealing with people issues.

The leader's identity as a values-based leader also influences behavior. The findings of this study reveal that when these new leaders come into a new role identity their behaviors begin to reflect this new sense of self. For example, through the supervisor's role-modeling, coaching and encouragement, several informants came to see themselves as a leader who care for employees and find great pleasure in helping them develop, a perspective they did not bring when they were hired by the company.

By valuing its people and helping them develop, this company has awakened in many minority employees a vision of themselves as a leader—many for the first time—and encouraged them to embrace this new identity. Their contributions to the company and to developing new employees below them have contributed significantly to the company's success.

While issues of ethical decision-making did not emerge from the early interviews with these “inside” workers who only deal with internal colleagues, the values espoused and lived out by the company and its leadership are clearly adopted by leaders down the hierarchy. The values of honesty and treating people fairly and equally were mentioned in many interviews, suggesting that these leaders would be inclined to pursue the higher ground when dealing with ethical dilemmas. Further research will need to be done to determine if that is true.

This study is of a unique family-owned company which is free from the unforgiving stock market analysts’ quarterly performance expectations. However, it competes in the same fiercely competitive market as the company mentioned at the beginning of this summary. As I was collecting my data an article in the local newspaper suggested that the company was grappling with the issue of moving an additional manufacturing facility to Mexico to join one already there. Global market pressures make offshoring production to countries with lower labor costs very appealing. For a company rooted in a family-like organizational culture and committed to helping its employees, making such a decision is difficult and not without pain. The strength of their commitment to developing their people to improve productivity has proven effective. One can only hope that their corporate objectives of helping people develop and pursuing excellence will continue to result in the levels of profit and success they have achieved over their 30 plus years of existence.

Conclusions and Implications

This study began with the concern about a projected shortage of managers in Corporate America. The flattened organizational hierarchies as a result of many waves of

downsizing have left fewer layers in which to develop competent leaders with experience and good judgment. Vicere and Fulmer (1997) suggest that companies will need to create new structures and processes for developing leaders, including the consideration of potential leaders from lower levels in the organization—often members of populations traditionally underrepresented in management positions.

This case study examined a manufacturing firm whose mid-1990s restructuring left them fewer management levels through which to develop the kind of leader they wanted to take their company into the next millennium. With fewer levels, each provides ever-critical developmental opportunities during which valuable one-on-one coaching by supervisors develops and hones their leadership skills and judgment. Fortunately, the company's promote-from-within culture allows for a seamless path for leaders to traverse as they move up the company.

A concern for the ethical conduct of leaders was also highlighted at the outset of this research project. The recent spate of ethical violations by corporate executives does not mean that such values are prevalent down through the organization or that other employees will now conduct themselves in a like manner. Such ethical breaches did, however, destroy any trust in the leadership of their organization.

This study found that through their words and actions leaders influence employees' behaviors, attitudes, and even values. Through honest, sincere, and caring relationships, positive behaviors can be elicited from employees. The importance of the quality of relationships cannot be underestimated. This company has done an excellent job of cascading its values down the hierarchy from the CEO to the cell leaders. At each level, the leaders embrace the company's values, living them out each day in their

relationships with their subordinates. Even the CEO is able to convey his care and concern for his employees by walking around the various facilities, greeting and thanking employees for their hard work for the company.

Let us hope that future generations of senior leaders, like the CEO of this company, understand the important influence their character—in both word and deed—has on developing leaders down the entire organization's hierarchy. By building honest and sincere relationships with employees, they can engender the kind of respect and loyalty that so many companies desire. The result is greater alignment of employees' actions with the organization's objectives. Values-based organizational leaders build authentic relationships through which nascent leaders can be identified, cultivated and developed. As these new leaders adopt the company's values of developing and helping people, they advance to new levels of leadership responsibility and begin to develop potential leaders below. Such a pervasive culture of valuing people for who they inherently are liberates some and helps others to make work no longer simply a means to support one's family. The workplace where each person is valued and developed is one filled with greater meaning and purpose. It is a place in which productivity and quality are natural outcomes.

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APPENDIX A
COMPANY PERMISSION LETTER

FORM NO. 100-100000-100



October 6, 2004

Office of Research Functions
232 Kane Building
Pennsylvania State University
University Park, PA 16802

To Whom It May Concern:

I have spoken with Merry MacFavish and understand he will
be interviewing some of our messengers at [REDACTED]
[REDACTED]. I wholeheartedly support this activity and
project.

Sincerely,
[Signature]

XXXXXX

Director of Human Resources

1

XXXXXX

[REDACTED]



APPENDIX B
PROTECTION OF HUMAN SUBJECTS/
ORP APPROVAL

PILOT STUDY ORP APPROVAL

PENNSTATE

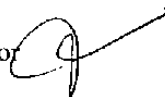


Vice President for Research
Office for Research Protections

The Pennsylvania State University
212 Kern Graduate Building
University Park, PA 16802-3301

(814) 863-7775
Fax: (814) 863-8699
www.research.psu.edu/orp/

Date: October 13, 2004

From: Jacqueline K. Gardner, Compliance Coordinator 

To: Murray D. MacTavish

Subject: Results of Review of Proposal - Exemption (IRB #19699)
Approval Expiration Date: October 10, 2005
"Exploring Transitions into Leadership Roles"

The Office for Research Protections (ORP) has reviewed and approved your application for the use of human participants in your research. By accepting this decision, you agree to obtain prior approval from the ORP for any changes to your study. Unanticipated participant events that are encountered during the conduct of this research must be reported in a timely fashion.

Enclosed is/are the dated, ORP-approved informed consent(s) to be used when enrolling participants for this research. Participants must receive a copy of the approved informed consent form to keep for their records.

The principal investigator is expected to maintain the original signed consent forms along with the research records for at least three (3) years after termination of ORP approval. The principal investigator must determine and adhere to additional requirements established by any outside sponsors.

If your study will extend beyond the above noted approval expiration date, the principal investigator must submit a completed Continuing Progress Report to the ORP to request renewed approval for this research.

On behalf of the ORP and the University, thank you for your efforts to conduct research in compliance with the federal regulations that have been established for the protection of human participants.

JKG/slk
Enclosure
cc: Karen J. Jansen

Please Note: The ORP encourages you to subscribe to the ORP listserv for protocol and research-related information. Send a blank email to: L-ORP-Research-L-subscribe-request@lists.psu.edu <<mailto:L-ORP-Research-L-subscribe-request@lists.psu.edu>>.

REVISED FULL STUDY ORP APPROVAL

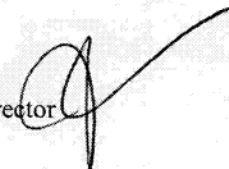



Vice President for Research
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The Pennsylvania State University
212 Kern Graduate Building
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(814) 865-1775
Fax: (814) 863-8699
www.research.psu.edu/orp/

Date: February 22, 2005

From: Jacqueline K. Gardner, Associate Director 

To: Murray D. MacTavish

Subject: Research Proposal - Modification (**IRB #19699**)

Approval Expiration Date: October 10, 2005

(Note: This date reflects the anniversary date of the actual submission approval date.)

“An Examination of the Dynamics of Organizational Culture, Value-Based Leader Identities, and Behavior: One Company's Experience”

The revision(s) to the above-referenced study, outlined in your February 16, 2005 memorandum (change in title, slight variation to purpose, adding digital recording and a professional transcriber for some interviews, changing faculty advisor, and adding doctoral committee members to this protocol), has been reviewed and approved by the Office for Research Protections (ORP). You may proceed with your study. Please continue to notify the ORP of any further changes to your study.

Enclosed is/are the revised and dated, ORP-approved informed consent(s) to be used when enrolling participants for this research. Participants must receive a copy of the approved informed consent form to keep for their records.

On behalf of the ORP and the University, thank you for your efforts to conduct research in compliance with the federal regulations that have been established for the protection of human participants.

JKG/slk
Enclosure
cc: Judith A. Kolb

Please Note: The ORP encourages you to subscribe to the ORP listserv for protocol and research-related information. Send a blank email to: L-ORP-Research-L-subscribe-request@lists.psu.edu <<mailto:L-ORP-Research-L-subscribe-request@lists.psu.edu>>.

APPENDIX C
INFORMED CONSENT FORMS

**INFORMED CONSENT FORM FOR SOCIAL SCIENCE RESEARCH
(Pilot Study)**

The Pennsylvania State University

Title of Project:
Exploring Transitions into Leadership Roles

Principal Investigator:
Murray MacTavish, XXXXXXXXXXXX,
XXXXXX, XX
(XXX) XXX-XXXX e-mail: XXXXXXXX

Faculty Advisor:
Dr. Karen J. Jansen, The Pennsylvania State University, PA 16802
(XXX) XXX-XXXX e-mail: XXXXXXXX

ORP USE ONLY:
**The Pennsylvania State University
Office for Research Protections**

Approval Date: 10/13/04 JKG

Expiration Date: 10/10/05 JKG

Social Science Institutional Review Board

1. Purpose of the Study: The purpose of this study is to explore how recently promoted managers experience the transition into a management role.
2. Procedures to be followed: You will be asked a number of questions about the job of manager and your experiences as you transitioned into your current management role. You may be asked additional questions to expand on your comments. The interview will be tape-recorded, unless requested otherwise. Only the interviewer will have access to the tapes. The tapes will be stored in a locked safe in the home of the interviewer. The tapes will be destroyed by the end of May 2009.
3. Discomforts and Risks: There are no risks in participating in this research beyond those experienced in everyday life. You may choose to share experiences that you are comfortable talking about.
4. Benefits:
 - a. You might learn more about yourself by participating in this study. You might have a better understanding of your professional role and competencies by reflecting on your experiences
 - b. This research might help future managers by providing a better understanding of issues faced by new managers as they transition into their new roles.
5. Duration: It will take about 90 minutes to complete the interview, and another 15 minutes to review the transcribed interview notes if interested.
6. Statement of Confidentiality: Only the person in charge will know your identity. Any personal identifiers recorded will be deleted before being archived. The specifics given will not be conveyed in any way. Only summary information from all interviews will be provided to the Director of HR. If this research is published, no information that would identify you will be written.
7. Right to Ask Questions: You can ask questions about the research. The person in charge will answer your questions. Contact Murray MacTavish at (XXX) XXX-XXXX with questions. If you have questions about your rights as a research participant, contact Penn State's Office for Research Protections at (814) 865-1775.
8. Compensation: None

9. Voluntary Participation: You do not have to participate in this research. You can end your participation at any time by telling the person in charge. You do not have to answer any questions you do not want to answer.

You must be 18 years of age or older to consent to participate in this research study. If you consent to participate in this research study and to the terms above, please sign your name and indicate the date below.

You will be given a copy of this consent form to keep for your records.

Participant Signature

Date

The informed consent procedure has been followed.

Investigator Signature

Date

**INFORMED CONSENT FORM FOR SOCIAL SCIENCE RESEARCH
(Non-Upper Management)**

The Pennsylvania State University

ORP USE ONLY: IRB#19699 The Pennsylvania State University Office for Research Protections Approval Date: 02/22/05 JKG Expiration Date: 10/10/05 JKG

Title of Project: An Examination of the Dynamics of Organizational Culture, Value-Based Leader Identities, and Behavior: One Company's Experience

Principal Investigator: Murray MacTavish, XXXXXXXX, XX (XXX) XXX-XXXX email: XXXX
 Faculty Advisor: Dr. Judith A. Kolb, The Pennsylvania State University, PA 16802
 (814) 865-1876 e-mail: jak18@psu.edu

1. Purpose of the Study: The purpose of this study is to explore how recently promoted managers experience the transition into a management role.
2. Procedures to be followed: During two interviews, you will be asked a number of questions about the job of manager and your experiences as you transitioned into your current management role. You may be asked additional questions to expand on your comments. The interview will be tape-recorded, unless requested otherwise. Only the interviewer will have access to the tapes. The tapes will be stored in a locked safe in the home of the interviewer. The tapes will be destroyed by the end of May 2009.
3. Discomforts and Risks: There are no risks in participating in this research beyond those experienced in everyday life. You may choose to share experiences that you are comfortable talking about.
4. Benefits:
 - a. You might learn more about yourself by participating in this study. You might have a better understanding of your professional role and competencies by reflecting on your experiences
 - b. This research might help future managers by providing a better understanding of issues faced by new managers as they transition into their new roles.
5. Duration: It will take about 45-60 minutes to complete *each* interview, and another 15 minutes to review the transcribed interview notes if interested.
6. Statement of Confidentiality: Only the person in charge will know your identity. Any personal identifiers recorded will be deleted before being archived. The specifics given will not be conveyed in any way. Only summary information from all interviews will be provided to the Director of HR. If this research is published, no information that would identify you will be written. The Office for Research Protections may review files related to this project.
7. Right to Ask Questions: You can ask questions about the research. The person in charge will answer your questions. Contact Murray MacTavish at (XXX) XXX-XXXX with questions. If you have questions about your rights as a research participant, contact Penn State's Office for Research Protections at (814) 865-1775.
8. Compensation: None
9. Voluntary Participation: You do not have to participate in this research. You can end your participation at any time by telling the person in charge. You do not have to answer any questions you do not want to answer.

You must be 18 years of age or older to consent to participate in this research study. If you consent to participate in this research study and to the terms above, please sign your name and indicate the date below.

You will be given a copy of this consent form to keep for your records.

Participant Signature

Date

Investigator Signature

Date

Informed Consent Form for Social Science Research (Upper Management)

The Pennsylvania State University

ORP USE ONLY: IRB# 19699 Doc. #2
 The Pennsylvania State University
 Office for Research Protections
 Approval Date: 2/3/05 – J. Mathieu
 Expiration Date: 9/29/06 – J. Mathieu

Title of Project: An Examination of the Dynamics of Organizational Culture, Value-Based Leader Identities, and Behavior: One Company's Experience

Principal Investigator: Murray MacTavish, XXXXXXXXXXXXXXXX
 TELEPHONE: (XXX) XXX-XXXX | EMAIL: XXXXXXXXXXXXXXXX

Faculty Advisor: Dr. Judith A. Kolb, The Pennsylvania State University, PA 16802
 TELEPHONE: (814) 865-1876 EMAIL: jak18@psu.edu

1. **Purpose of the Study:** The purpose of this study is to explore how recently promoted managers experience the transition into a management role.
2. **Procedures to be followed:** During one interview, you will be asked a number of questions about how leaders are developed in your company. You may be asked additional questions to expand on your comments. The interview will be tape-recorded, unless requested otherwise. Only the interviewer will have access to the tapes. The tapes will be stored in a locked safe in the home of the interviewer. The tapes will be destroyed by the end of May 2009.
3. **Benefits:** There are two primary benefits: (a) you might learn more about yourself by participating in this study. You might have a better understanding of your professional role and competencies by reflecting on your experiences, and (b) this research might help future managers by providing a better understanding of issues faced by new managers as they transition into their new roles.
4. **Duration:** It will take about 45-60 minutes to complete the interview, and another 15 minutes to review the transcribed interview notes, if interested.
5. **Statement of Confidentiality:** Only the person in charge will know your identity. Any personal identifiers recorded will be deleted before being archived. The specifics given will not be conveyed in any way. Only summary information from all interviews will be provided to the Director of HR. If this research is published, no information that would identify you will be written.
6. **Right to Ask Questions:** You can ask questions about the research. The person in charge will answer your questions. Contact Murray MacTavish at (XXX) XXX-XXXX with questions. If you have questions about your rights as a research participant, contact Penn State's Office for Research Protections at (814) 865-1775.
7. **Voluntary Participation:** You do not have to participate in this research. You can end your participation at any time by telling the person in charge. You do not have to answer any questions you do not want to answer.

You must be 18 years of age or older to consent to participate in this research study. If you consent to participate in this research study and to the terms above, please sign your name and indicate the date below. You will be given a copy of this consent form to keep for your records.

Participant Signature

Date

Investigator Signature

Date

APPENDIX D
INTERVIEW PROTOCOLS

LOWER-LEVEL LEADER INTERVIEW PROTOCOL

INTERVIEWER NOTE: This semi-structured interview protocol provides the framework for the interview from which additional questions may arise to probe more deeply into the concepts introduced by the informant.

Introduction

Thank you for agreeing to be interviewed. I am doing a study of what the experience is like for people as they become a manager. I'd really like to hear your views on this transition experience in order to improve the experience of others going through this transition.

The interview should take about one hour. I would like to tape record our conversation and then transcribe the recording to make sure that I captured all of your thoughts accurately if that is okay.

Answers to all questions are voluntary and will be kept completely confidential. Any information that might identify you will be seen only by me. The data from this and other interviews will be combined and explored to find common and unique themes among the responses. Only summary information from the interviews will be provided to the professor and to the Director of Human Resources.

The New Role as Leader and Developmental Influences

As I said, I'd really like to hear your perceptions of the transition into a manager role.

- LL-1. How long you've been with the company and what do you do here? What is your role?
- LL-2. So, tell me about how you came to be a leader. Begin with the time before you supervised anyone and continue to the present.
- LL-3. Please tell me about the key influences that helped you become a leader. People? Experiences? How did they influence how you think about what a leader does and how to lead?
- LL-4. What were the toughest challenges you faced as you developed into a leader?

- LL-5. Do you have to have a different mindset/perspective when you move from one level of leadership to the next? Explain.
- LL-6. Have you changed since you first started working at this company? If yes, can you tell me about how you have changed, how you're different from when you began working here?
- LL-7. If yes, how has this new perspective changed your behavior?
- LL-8. When you were younger, did you think of yourself as a leader, or that you would someday become a leader?
- LL-9. Tell me about when you first had exposure to, or some experience with leadership that caused you to start thinking about becoming a leader.
- LL-10. Tell me about an experience at your company that helped you become the leader you are today.
- LL-11. Can you share a story of when someone mentored or coached you and helped you become a better leader? Could you describe that experience?
- LL-12. Tell me about an experience that really tested your leadership.
- LL-13. How does someone become a leader in this company? What do they look for?
- LL-14. What training does the company offer for new leaders? What topics do they cover?
- LL-15. Do you see yourself as a leader? Do you see yourself advancing to a higher level in the company?
- LL-16. What is the difference between being a manager and being a leader?
- LL-17. How would you describe an ideal leader?

Influence of Company Values & Leadership

- LL-18. What would you say are the values your company considers important? [their Core Values: People, Production (Count), Quality?]
- LL-19. How would you rank these values in order of importance?
- LL-20. Is there ever a tension between achieving count [production quotas] and people issues [attending to personal issues]? If yes, how do you deal with this tension?

- LL-21. There are people working here from all over the world, how do they perceive the organization's values and the impact they do or do not have on them?
- LL-22. Does your supervisor use these core values in any way when working with you? How do people perceive their supervisor's influence regarding these core values?
- LL-23. Do you have a story of how these company values contributed in any way to your development as a leader? Explain.
- LL-24. Do you think that leaders can influence their workers? If yes, ask how do they influence their workers? Do they influence behaviors only, or can they influence the workers' values and thought-processes which then may lead to changes in behavior?
- LL-25. Can leaders even influence how workers see themselves, their identities?
- LL-26. Has working at this company influenced how you see yourself? If yes, has that influence been from your supervisor or the company culture, or both? Explain.

Closing Questions

- LL-27. What advice would you give someone who wants to become a leader?
- LL-28. Are there any other questions or any other issues that I didn't talk about or ask you that you think we should have talked about regarding becoming a values-based leader?

Concluding comments

Thank you, again, for participating in this interview. It has been very informative. If you would like to see my transcription of the interview just to verify that I did it accurately, I could send it to you.

Thank you for your time.

UPPER MANAGEMENT INTERVIEW PROTOCOL

INTERVIEWER NOTE: This semi-structured interview protocol provides the framework for the interview from which additional questions may arise to probe more deeply into the concepts introduced by the informant.

Introduction

Thank you for agreeing to be interviewed. I am doing a study of how new leaders develop. I'd really like to hear your views on the transition experience of new leaders and, particularly how you personally develop new leaders.

The interview should take about one hour. I would like to tape record our conversation and then transcribe the recording to make sure that I captured all of your thoughts accurately, if that is okay.

Answers to all questions are voluntary and will be kept completely confidential. Any information that might identify you will be seen only by me. To provide the most accurate descriptions of the data and analysis in the study, I will use the pseudonyms, Upper Management 1, 2, or 3, and so on, when referring to comments made by senior level leaders. The data from this and other interviews will be combined and explored to find common and unique themes among the responses. Only summary information will be included in the dissertation, which will be provided in the dissertation to my doctoral committee and to the Director of Human Resources.

Personal Leader Development

First, I would like to ask you a few questions about your experiences as a leader.

UM-1. How would you describe an ideal leader? An effective leader?

UM-2. Please tell me about the key influences that helped you become a leader.

People? Experiences? How did they influence how you think about what a leader does and how to lead?

UM-3. What were the critical challenges you faced as you developed into a leader?

Developing Values-Based Leaders

- UM-4. What would you say are the most important values of your company?
(People, Production (Count), Quality)
- UM-5. How would you rank them in order of importance?
- UM-6. What role do these values play in the development of new leaders?
- UM-7. How are these values communicated to the workers at all levels?
- UM-8. What are the challenges to disseminating the company's values?
- UM-9. Developing people is an important value at the company. What does that mean to you?
- UM-10. How do you think the organizational culture influences the development of new leaders at the company? Does it have a direct effect on the leadership behaviors of new leaders? Please explain.
- UM-11. How do you identify potential leaders? What characteristics do you look for?
- UM-12. How are new leaders developed at the company? [Request a brief chronology of leadership development initiatives at the company.]
- UM-13. What are the key challenges to developing first level leaders at the company? What challenges do think they personally face? What are the key areas/skills you seek to develop in these new leaders?
- UM-14. Is developing leaders at the company more about changing behavior or changing leader's thinking [identities/cognitions and values], which may then change behavior? (Can people's values/identities be changed? And if so, how does this affect their behavior?)
- UM-15. Is a leader identity crucial to effective leadership?
- UM-16. How do you think the company's leaders influence the development of new leaders? Including their values? Do they have a direct effect on the leadership behaviors of new leaders? Please explain.
- UM-17. Please tell me a story of how you developed a new leader.
- UM-18. What are the key points when developing new leaders that you would pass on to other developers of new leaders?

Closing Questions

UM-19. What advice would you give to someone aspiring to become a leader?

UM-20. And lastly, are there any other ideas or insights about how to develop new leaders that I have not asked you about, and that you would like to share with me before we end this interview?

Concluding comments

Thank you, again, for participating in this interview. It has been very informative. If you would like to see my transcription of the interview just to verify that I did it accurately, I could send it to you.

Thank you for your time.

APPENDIX E
RESEARCH QUESTIONS WITH
CORRESPONDING INTERVIEW QUESTIONS

Table 5

Research Questions With Corresponding Interview Questions for Lower-Level Leaders

Question
<p>Q1. What perceived influence do organizational values and values-based leadership have on the self-described behavior of leaders who are in low- to mid-level positions?</p>
<p>LL-24. Do you think that leaders can influence their workers? If yes, ask how do they influence their workers? Do they influence behaviors only, or can they influence the workers' values and thought-processes which then may lead to changes in behavior?</p>
<p>Q2. What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?</p>
<p>LL-2. So, tell me about how you came to be a leader. Begin with the time before you supervised anyone and continue to the present.</p>
<p>LL-3. Please tell me about the key influences that helped you become a leader. People? Experiences? How did they influence how you think about what a leader does and how to lead?</p>
<p>LL-5. Do you have to have a different mindset/perspective when you move from one level of leadership to the next? Explain.</p>
<p>LL-6. Have you changed since you first started working at this company? If yes, can you tell me about how you have changed, how you're different from when you began working here?</p>

Question

- LL-10. Tell me about an experience at your company that helped you become the leader you are today.
- LL-11. Can you share a story of when someone mentored or coached you and helped you become a better leader? Could you describe that experience?
- LL-14. What training does the company offer for new leaders? What topics do they cover?
- LL-18. What would you say are the values your company considers important? [their Core Values: People, Production (Count), Quality?]
- LL-19. How would you rank these values in order of importance?
- LL-21. There are people working here from all over the world, how do they perceive the organization's values and the impact they do or do not have on them?
- LL-22. Does your supervisor use these core values in any way when working with you? How do people perceive their supervisor's influence regarding these core values?
- LL-23. Do you have a story of how these company values contributed in any way to your development as a leader? Explain.
- LL-24. Do you think that leaders can influence their workers? If yes, ask how do they influence their workers? Do they influence behaviors only, or can they influence the workers' values and thought-processes which then may lead to changes in behavior?

Question

LL-25. Can leaders even influence how workers see themselves, their identities?

LL-26. Has working at this company influenced how you see yourself? Is yes, has that influence been from your supervisor or the company culture, or both? Explain.

Q3. What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

LL-4. What were the toughest challenges you faced as you developed into a leader?

LL-5. Do you have to have a different mindset/perspective when you move from one level of leadership to the next? Explain.

LL-6. Have you changed since you first started working at this company? If yes, can you tell me about how you have changed, how you're different from when you began working here?

LL-7. If yes, how has this new perspective changed your behavior?

LL-12. Tell me about an experience that really tested your leadership.

LL-20. Is there ever a tension between achieving count [production quotas] and people issues [attending to personal issues]? If yes, how do you deal with this tension?

Table 6

Research Questions With Corresponding Interview Questions for Upper Management

Question
<p>Q1. What perceived influence do organizational values and values-based leadership have on the self-described behavior of leaders who are in low- to mid-level positions?</p>
<p>UM-10. How do you think the organizational culture influences the development of new leaders at the company? Does it have a direct effect on the leadership behaviors of new leaders? Please explain.</p>
<p>UM-14. Is developing leaders at the company more about changing behavior or changing leader's thinking [identities/cognitions and values], which may then change behavior? (Can people's values/identities be changed? And if so, how does this affect their behavior?)</p>
<p>UM-16. How do you think the company's leaders influence the development of new leaders? Including their values? Do they have a direct effect on the leadership behaviors of new leaders? Please explain.</p>
<p>Q2. What perceived influence do values-based organizational cultures and leadership have on the self-described identity formation of new leaders, particularly with respect to their values-orientation?</p>
<p>UM-2. Please tell me about the key influences that helped you become a leader. People? Experiences? How did they influence how you think about what a leader does and how to lead?</p>
<p>UM-4. What would you say are the most important values of your company? (People, Production (Count), Quality)</p>

Question

- UM-5. How would you rank them in order of importance? (People, Production (Count), Quality)
- UM-6. What role do these values play in the development of new leaders?
- UM-7. How are these values communicated to the workers at all levels?
- UM-8. What are the challenges to disseminating the company's values?
- UM-9. Developing people is an important value at the company. What does that mean to you?
- UM-10. How do you think the organizational culture influences the development of new leaders at the company? Does it have a direct effect on the leadership behaviors of new leaders? Please explain.
- UM-12. How are new leaders developed at the company? [Request a brief chronology of leadership development initiatives at the company.]
- UM-13. What are the key challenges to developing first level leaders at the company? What challenges do think they personally face? What are the key areas/skills you seek to develop in these new leaders?
- UM-14. Is developing leaders at the company more about changing behavior or changing leader's thinking [identities/cognitions and values], which may then change behavior? (Can people's values/identities be changed? And if so, how does this affect their behavior?)
- UM-15. Is a leader identity crucial to effective leadership?

Question

UM-16. How do you think the company's leaders influence the development of new leaders? Including their values? Do they have a direct effect on the leadership behaviors of new leaders? Please explain.

UM-17. Please tell me a story of how you developed a new leader.

UM-18. What are the key points when developing new leaders that you would pass on to other developers of new leaders?

Q3. What perceived influence do values-based leader identities have on the self-described behaviors of leaders who are in low- to mid-level positions?

UM-14. Is developing leaders at the company more about changing behavior or changing leader's thinking [identities/cognitions and values], which may then change behavior? (Can people's values/identities be changed? And if so, how does this affect their behavior?)

UM-17. Please tell me a story of how you developed a new leader.

APPENDIX F

STUDY INFORMANTS' DEMOGRAPHIC INFORMATION BY LEADER LEVEL

Variable	Leader Level				
	1	2	3	4	5
Sex					
Male	9	9	6	4	4
Female		2	1		
Age					
<30	1				
30 - <40	2	4	2	2	
40 - <50		5	1		
>50			2		1
Race/Ethnicity					
White		3	4	3	4
Latino	5	4	2		
Asian	4	3	1		
Black		1		1	
Education					
GED	2	1	1		
High school	2	3	1		
Some college/technical		3	2	1	
College or higher		2	1	3	4
Years at Company					
<5	2		1		
5 - <10	4	6	1	1	1
10 - <15	2	5	1	1	1
>15	1		4	2	2

Note. Data was not obtained from some informants for some variables.

APPENDIX G
SAMPLE OF DATA ANALYSIS

Phase 1 – Open Coding and Transcript

(M = the researcher, I16 = Informant 16)

Leaders role-model people skills	<p>M: Has there been anybody at the [Company] that has influenced how you've grown in the company, how you've learned to become a better leader, even come to better understand the [company] values?</p>
Leader role-models authentic relationship	<p>I16: As a matter of fact I do....Um, <u>my leader right now [...]</u> <u>And this person had given me the opportunity to understand the values of the [Company], how to treat people, how to sit down and really listen and focus on how you can help somebody.</u> And right now, <u>[my leader is] the one that's basically a role model for me. Cuz how [my leader] works and how [my leader] treats people, I'm learning from [my leader].</u> Not only that, I also <u>see my other boss, [in upper management position], you know, he has this thing that we gotta humble ourselves. And you know what? It is true. For most of the time it is true. You know, you show your workers you are humble and you are truth to them, they'll listen.</u> And those are the only two people that I can honestly say I have been influenced by them. I learned a lot from them.</p>
Leader role-models value identities	<p>M: So [your leader] was really the first one in [the company] to acknowledge your, what you can contribute?</p>
Approach and express leader potential	<p>I16: Yeah! [...]</p> <p><u>I never honestly pursued to be a leader [...]</u> <u>Then my supervisor] came to me and said, "Look, I have a job for you. Would you like to consider it and then move up to a Cell Leader, and maybe later on, in time, you could become a leader of running the whole department?"</u> I was in shock! I was in shock. I didn't expect that.</p>
Supporting workers by working on the line engenders respect	<p>M: How do you think that leaders can influence their workers?</p> <p>I16: The way that I've been influenced by a leader is by seeing a leader get down on that product line and work with you. Show you that, "You know what? I'm not just the leader. I'm not just here to tell you what to do. You know, I'm here to help everybody that I see that is under me." [...]</p> <p>That's a leader right there. A person that's going to drive the whole team to succeed [...]</p> <p><u>With three absentees, [...]</u> <u>I'm going to work on that line, too. And I'm going to help them the most that I can! That's where [...]</u> <u>the leader will influence all the workers. And that's what I love to see out of a true leader, [...]</u> <u>I have respect for a leader that will come and get his hands dirty [...]</u> <u>and go all the way with you.</u></p>

Phase 2 – Axial Coding and Categories (Strategies)

(I16 = Informant 16, I26 = Informant 26)

Q1: Leadership Strategy 1 – Build Authentic Relationships

(Role model, Develop people's skills and values, Help on the line, Concern for welfare, CEO communication)

Leaders role-model
people skills

Leader role-models
authentic
relationship

I16: As a matter of fact I do...Um, my leader right now [...] And this person had given me the opportunity to understand the values of the [Company], how to treat people, how to sit down and really listen and focus on how you can help somebody. And right now, [my leader is] the one that's basically a role model for me. Cuz how [my leader] works and how [my leader] treats people, I'm learning from [my leader].

Q2: Leadership Strategy 2 – Prime New Leader Identity

(Express leader identity, Give growth opportunities, Role-model, Coach/Mentor)

Leader role-models
value identities

I16: Not only that, I also see my other boss, [in upper management position], you know, he has this thing that we gotta humble ourselves. And you know what? It is true. For most of the time it is true. You know, you show your workers you are humble and you are truth to them, they'll listen. And those are the only two people that I can honestly say I have been influenced by them. I learned a lot from them.

Approach and
express leader
potential

I16: Yeah! [...]

I never honestly pursued to be a leader [...Then my supervisor] came to me and said, "Look, I have a job for you. Would you like to consider it and then move up to a Cell Leader, and maybe later on, in time, you could become a leader of running the whole department?" I was in shock! I was in shock. I didn't expect that.

Leader expresses
leader potential /
Leader coaches and
encourages.

I26: I had a lot of support from the people that were behind me [my Supervisors]. People saying, "You can do it. You can do it." My Supervisors. They always put their trust in me. Like, I had a lot of support [...] I had people here that were great with me, that believed in me. That had a big impact too, to be who I am now.

Phase 3 – Themes

Theme Q2: Environment Influences Identity

Leadership Strategy 2 – Prime New Leader Identity

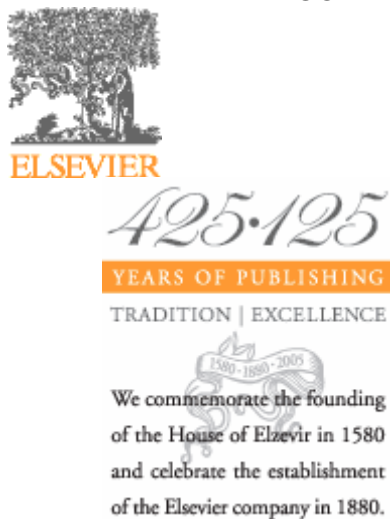
Situation 1: Factory workers were approached by their supervisors and asked if they were interested in being promoted to the first level of leadership in the company. They were both surprised and flattered, and subsequently given higher level projects and coaching to learn the necessary leader skills.

Situation 2: Potential leaders were asked to observe the leader above them to begin to learn their job with the possibility of a future promotion. Neither coaching nor additional training were provided. Then, some time later, they were approached again. This time the discussion of a promotion occurred and any necessary training commenced immediately.

Situation 3: A new leader had desired greater responsibility. He wanted to be in charge and told his supervisor this. He thought it would be easy to be a leader. However, once promoted, the challenges he encountered and his supervisor's teaching/coaching of the values (i.e., treat people well) helped him realize what it really means to be a values-based leader in this company.

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MURRAY D. MACTAVISH

XXXXXXXXXX
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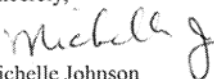
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 Shalom H. Schwartz
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 - Department of Psychology
 Mount Scopus 91905,
 Israel

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On page 5 – Figure 1.1 The prototypical structure of value systems.

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Doctoral Candidate

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 Sent: Wednesday, February 16, 2005 11:59 AM  
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 Lawrence Erlbaum Associates, Inc.  
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Sincerely,

Murray D. MacTavish

## VITA

### Murray D. MacTavish

Murray D. MacTavish was born and raised in Dresden, Ontario, Canada. He received a Bachelor of Arts in Sociology from McMaster University in 1990. In 1993, he received a Master of Business Administration in Economic Development from Eastern University. And in 2007, Murray received the Ph.D. in Workforce Education and Development from The Pennsylvania State University.

Murray has been involved in workforce education and development in a variety of contexts. In the summer breaks during his undergraduate studies, Murray worked at various organizations helping teenagers develop job skills. His MBA focused on small business creation among the poor as a community economic development strategy. He studied entrepreneurship education and small business start-ups as a means to economic empowerment for youth. Following the conferral of the MBA, he became a consultant and Master Teacher with the National Foundation for Teaching Entrepreneurship (NFTE). In Detroit, he co-founded the Detroit Center for Entrepreneurship.

In 1995, Murray's workforce education and development focus turned to higher education as he became the Director of Eastern University's Fast-Track MBA program. He taught extensively in the program, developing various values-based leadership courses. With his continuing concern for the workforce preparedness of youth, he took the position of Principal of an alternative high school in 2000. He was a strong supporter of its vocational programs. Murray's interest in leadership development in diverse settings has extended to include research into leadership studies in Asia.

Murray enjoys traveling throughout Asia with his wife, Stephanie, and is currently an Associate Professor of Leadership and International Development at Trinity Western University.