

FINDING GEORGE BAILEY:  
WONDERFUL LEADERS, WONDERFUL LIVES

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## Abstract

He is underpaid and overworked, his organization lives from payroll to payroll with an overtaxed and underpowered staff and a contentious board of directors. He sacrifices for the mission, but is frustrated about forgone personal dreams. He is George Bailey, the central character in Frank Capra's film *It's a Wonderful Life* and he practices Leadership for Good by being a mission centered, visionary, results driven, and adaptive difference maker. Through a construct-building non-generalizable mixed methods study with two concurrent, but independent phases—instrumental case study and Delphi—this study searched for real-life Baileys, to test whether or not Leadership for Good extends beyond the silver screen, to see whether or not life imitates art. The results supported all five propositions, although certain elements within the propositions were refuted and new elements substantiated. In addition to gaining a deeper understanding of the Leadership for Good construct, enriching the literature about nonprofit leadership, and reinforcing the usefulness of mixed methods research including Delphi technique, the study suggested that there were two primary types of leaders—those with a bias for growth and those with a bias for execution—who delivered equally superior financial results to the bottom line. As part of this finding, it appeared that these leaders practiced situational leadership in the here-and-now, but used contingency leadership over the long run to gravitate to preferred contexts—growth or execution—that corresponded roughly to periods of evolution and revolution. Other implications of the study were the reinforcement of the centrality of mission at the personal and organization levels, a more comprehensive understanding about what causes stress for those who practice Leadership for Good, and the ways in which leaders think about change. The electronic version of the dissertation is accessible at the OhioLINK ETD center

<http://www.ohiolink.edu/etd/>.

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## Chapter I: Introduction

### *Purpose of the study*

He is underpaid and overworked, his organization lives from payroll to payroll, and his hard-working, loyal, and willing staff is overtaxed and underpowered. He has a contentious board of directors with a powerful and unscrupulous member. He is the stereotypical executive dedicated to the mission, but frustrated about personal dreams unrealized. Looking back on his life, he wonders whether he has made any difference through his sacrifice, especially when he compares himself to boyhood friends grown rich. He is George Bailey, the central character in Frank Capra's classic *It's a Wonderful Life*, a man that Crowther (1946) of *The New York Times* calls "a personable fellow who wants to travel and do big things but ultimately finds himself running a building-and-loan association in a one-horse town, married, and locked in constant struggle with the greedy old banker of the town."

*It's a Wonderful Life* follows George from the age of 12 in 1919 to Christmas Eve 1945. Growing up in small Bedford Falls with big dreams, he says, "I'm shaking the dust of this crummy little town off my feet and I'm going to see the world . . . I'm gonna build air fields. I'm gonna build skyscrapers a hundred stories high. I'm gonna build bridges a mile long" (Goodrich, Hackett, & Capra, 1947, p. 37). In 1928, at the age of 22 and finally ready to leave home, his father dies suddenly and George is forced to take over the Building and Loan to prevent greedy Old Man Potter from killing it. He sends his younger brother Harry through college with hopes that he will give George a turn but, when Harry comes home four years later, he is newly married with an out-of-town job working for his father-in-law. The 1932 banking panic later that year spoils George's honeymoon trip, and his chance to serve in World War II is ruined by his boyhood hearing loss earned while saving Harry from drowning. All the while, the model of the

bridge he is building in his living room gathers more dust. Put directly, George is the poster child for Claire Booth Luce's claim that "No good deed goes unpunished" ("BrainyQuote," 2001-2003).

Despite a loving wife and four adorable children, things turn dark for George on Christmas Eve 1945, when Uncle Billy loses an \$8,000 payment to Old Man Potter's bank that Old Man Potter then steals. As the walls close in, George reflects on all the things he didn't do with his life, his failures, and his insignificance. Even in this dark hour, he places others first by deciding to commit suicide so that the \$15,000 insurance payment can save the day. As he prepares to jump into the river, Heaven sends Clarence, Angel Second Class with the "I. Q. of a rabbit" (Goodrich et al., 1947, p. 2), who shows George how life in Bedford Falls would have been like had he not been born. It is a vision of darkness, of the American dream gone sour, and of a town without soul named Pottersville. George finally realizes what few of us ever learn firsthand - that he has made a difference.

As we watch this heart-warming holiday classic, it rarely occurs to us that we are witnessing an effective executive dedicated to the greater good. Many of these individuals work in nonprofit organizations such as the Bailey Brothers Building and Loan. Though not officially designated as nonprofits, mutually owned building and loan associations of the time had many of their attributes. First, the organization has a community-based mission. Building and loans were introduced to the United States in the "1830s to provide housing finance for the working class around Philadelphia [and] by the 1920s its advocates had been trumpeting its social benefits, explaining its methods, and encouraging its adoption for nearly a century" (Snowden & James, 2001). Second, like all nonprofits, the Bailey Brothers Building and Loan has a board of directors. In contrast to for-profit boards composed of experienced business leaders, the Building

and Loan board has the more typical nonprofit affluence-or-influence makeup (M. Light, 2001) with its dozen members including “the substantial citizens of Bedford Falls: Doctor Campbell, a lawyer, an insurance agent, a real estate salesman” (Goodrich et al., 1947, p. 41).

Many assume that the struggle between Old Man Potter and George is a David-and-Goliath confrontation. In reality, it is a match between the aggressive individualism of a greed-is-good autocrat who will stop at nothing, including stealing from Uncle Billy on Christmas Eve and George, the self-sacrificing altruist who gives up the honeymoon money on his wedding day to get his customers through the banking panic.

Though it is easy to romanticize George, Ebert (1999) of the *Chicago Sun Times* calls him a “man who never quite makes it out of his quiet birthplace of Bedford Falls . . . a town he wants to hate.” Corliss (2005) of *Time* magazine observes that the story “traces the decline of a man driven to edge of madness. George’s life is not, in worldly terms, wonderful.” His explosive outburst on Christmas Eve led Roeper (2003) of the *Chicago Sun Times* to say an “argument can be made that George is kind of a jerk under pressure, wonderful life or not” (p. 188).

Carvell (2004) wonders if “George Bailey’s family might be better off with a pile of insurance money than with the bitter, angry wreck that George Bailey has become.” Though Crowther (1946) of *The New York Times* finds George gutless, his chief complaint is about the illusory notion that “it is really a family, friends, and honest toil that make the ‘wonderful life.’” For Old Man Potter, George’s wonderful life is nothing more than “Sentimental hogwash” (Goodrich et al., 1947, p. 45), a not altogether surprising statement considering that Capra’s films are often referred to as “Capra Corn” (Flint, 1991).

In general, these criticisms have not withstood the test of time. How else can it be explained that the American Film Institute selected *It’s a Wonderful Life* as the most inspiring

film of all time, that Frank Capra's films were two of the top five most inspirational, and that Capra tied with Spielberg for the most films on the ballot ("AFI's 100 years . . . 100 cheers," 2006)? The selection criterion for the list of top films describes George, and leaders like him, perfectly as "characters of vision and conviction who face adversity and often make a personal sacrifice for the greater good . . . filling audiences with hope and empowering them with the spirit of human potential"("AFI's 100 years . . . 100 cheers," 2006).

Because George is an ideal type, he is what he is, not what we think he should be (Ferrarotti, 1982). On one hand, the ideal type is simply "a model picture, pointing to certain traits of actors" (Lindbekk, 1992, p. 290). On the other hand, the ideal type is a "basic tool of science" (Lopreato & Alston, 1970, p. 88) that has been "widely used by analysts of all phenomena from time immemorial" (Goode, 1947, p. 473) and is a "viable and tenable method" (McIntosh, 1977, p. 267). In order to use the ideal type as an analytical tool, it must present "a logical, not a moral, utopia . . . Weber insists that ideal-type be formulated with strict adherence to the criteria of objective possibility and adequate causation" (Hearn, 1975, p. 534). Once this is accomplished, the "researcher has the task of comparing empirical phenomena with this model" (Lindbekk, 1992, p. 290). As is the case with this dissertation study that begins with George, the ideal type "invariably constitutes a first step toward theoretical propositions which refer to hypothetical situations but bounce back with potent relevance to real cases" (Lopreato & Alston, 1970, p. 95).

Unlike Covey's (1989) maxim to "Begin with the end in mind," good research starts with the beginning in mind, with the initial question, not the answer. For example, Pittenger (2003) argues for starting with the research hypothesis because "it determines the type of data that the research will collect, the research methods used to collect the data, and the statistical procedures

used to analyze the data” (p. 26). Stake (1995) puts it directly, “Good research is not about good methods as much as it is about good thinking . . . The researcher’s greatest contribution perhaps is in working the research questions until they are just right” (pp. 19-20).

The purpose of this study was to learn whether life imitates art, whether there are real-life leaders like George. It began with an initial question focused on how exemplary individuals such as George accomplish their work in the nonprofit sector. Taking a cue from Ciulla (1998), this study recognized that the “important question is not ‘What is the definition of leadership?’ The ultimate point of studying leadership is ‘What is good leadership?’” (p. 13) By mixing up the words a bit, the initial question of this dissertation was clarified: “What is Leadership for Good?”

### *Justification for the Study*

George’s work is typical of those who work in the nonprofit sector: hard work fraught with high stress, long hours, and low pay. Wolfred, Allison and Masaoka (1999) liken the lives of executive directors to those of small business owners based upon how executive directors describe their work: “‘It takes over my life.’ ‘It demands long hours and many personal sacrifices.’ ‘It requires a passionate commitment . . . to battle through the obstacles and endure the stresses’” (p. 3). Anything that can be done to help the cause will make a difference and this goes for a deeper understanding of effective leadership.

For many in the nonprofit sector—opinion leaders and executive directors alike—the key starting point for improving organizational effectiveness is with the professional leadership provided by the executive director (Nanus & Dobbs, 1999). As P. Light (2002b) observed in his study of 250 opinion leaders and 250 executive directors of high performing organizations, “No matter how the answers are assembled, leadership always emerges as the starting point for the journey toward high performance” (p. 58)

Herman and Heimovics (1991) also placed the executive director at the center of nonprofit organizational effectiveness, saying that “chief executives are expected to and do carry out the central leadership role” (p. xv). That goes for the board of directors as well where the traditional model where the board decides *what* and staff decides *how* is not how the world works; it is the executive director who plays the critical role (Drucker, 1990; Heimovics, Herman, & Jurkiewicz, 1995; M. Light, 2006). This goes for the Building and Loan too where Old Man Potter is on the board for one reason only: Peter Bailey, George’s father, placed him there as way to get him to ease up on the pressure. No wonder Middleton (1987) describes nonprofit governance as a world of “strange loops and tangled hierarchies” (p. 149).

It is one thing to say that leadership is the *sine qua non* of nonprofit organizational effectiveness, however, and quite another to be clear about the kind of leadership that is essential. If we had literature about nonprofit leadership filled to the brim, we might be able to make some headway, but we don’t. Though Dym and Hutson (2005) found a growing interest in the topic, they conclude that the literature is “still pretty thin. Generally, it follows the corporate leadership literature in being primarily prescriptive, not descriptive. It tells more about how to lead and much less about how leaders actually go about their business” (p. 6).

Adapting corporate literature to nonprofits can be difficult at best as there are substantial differences between the sectors (Dart, 2004; Farror, Valenzi, & Bass, 1980; Fottler, 1981; C. Miller, 2005). For example, we know that 64 percent of 1,072 respondents to a national study of nonprofit executive directors were outsiders when they took their positions (Jeanne Peters & Wolfred, 2001), which is inverse to the 36 percent rate of outsiders in for-profit successions (Wiersema, 2002). We know that, compared to for-profits, “the centrality of mission for nonprofit organizations places limitations on their flexibility of action” (Kanter & Summers,

1987, p. 154). And we know that “effectiveness measures applied in the private and public sectors are significantly different” (Parhizgari & Gilbert, 2004, p. 221).

Consider Carter, Giber, and Goldsmith’s (2001) highly regarded *Best Practices in Organization Development and Change* that profiles 17 best practices, including firms such as Allstate Insurance, Johnson & Johnson, and Boeing. The median number of employees for these 17 practices is 23,500 employees and firm revenues average \$13.2 billion. Compare this to the median number of employees for nonprofit organizations of five and average annual revenues of \$3.5 million (Pollak & Blackwood, 2006; Wiener, Kirsch, & McCormack, 2002). Making the contrast even more striking is that Collins’ (2001) 11 good-to-great firms have average revenues of \$34.5 billion, nearly 10,000 times larger than the average nonprofit.<sup>1</sup> Can the experiences of these larger-than-life firms really be relevant to the nonprofit sector where 81.2 percent of the organizations have annual income of less than \$1 million and only 3.9 percent crest \$10 million (Pollak & Blackwood, 2006)? Relevant or not, it is all the sector has, given the paucity of literature.

Given the foregoing discussion, most can relate to Herman and Renz (1999), who concluded a report on nonprofit organizational effectiveness by saying, “It is little wonder that the popular literature on organizational effectiveness is almost completely unrelated to the academic study of business effectiveness” (p. 121). Most can resonate with Bensimon, Polkinghorne, Bauman, and Vallejo (2004) who decry the disconnect between research and

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<sup>1</sup> 2006 income amounts are derived from reports at Hoovers.com. In 2006, Gillette was a subsidiary of Procter and Gamble and its income is show as such. Fannie Mae’s income is for 2005 as 2006 was not available.



practice, urging researchers to “study problems that are of greater relevance to policy-makers and practitioners (whomever they are)” (p. 104). More importantly, most can feel sympathy for Sara E. Meléndez, former executive director of Independent Sector, who said in an outgoing interview, “Some people would probably see me walking on water and say, ‘See, I told you she couldn't swim’” (as cited in G. Williams, 2002).

No one argues that the work is hard and the range of leadership qualities is daunting in scope. Yet, as we debate and discuss the subject in academe, executives are desperate to heed Covey's (1989) warning, “If you wait to be acted upon, you *will* be acted upon” (p. 45 italics as written). In addition to the paucity of literature on the subject of leadership in the nonprofit sector and a literature calibrated to much larger for-profit firms, this study of Leadership for Good is readily justified simply because practitioners need no-nonsense, actionable advice and this study seeks to find it.

### *Research Questions*

From the moment we first meet George, trouble and torment dog him. His dreams of traveling the world and building skyscrapers and bridges never materialize, although he can't seem to let them go. He alternates between making the Building and Loan a local powerhouse and hating himself for it. The trappings of leadership—the power, fame, and money that we so readily celebrate in America—are conspicuously absent from George's résumé.

What about him, then, is so appealing? Why does he reach us so deeply? For one thing, he makes a difference—a real and tangible difference—in the lives of other people and that is something that no amount of money can buy; it has to be earned through personal commitment. For another, he takes on the proverbial schoolyard bully Old Man Potter and wins—and he does it against the odds. Unlike the heroic leaders who are placed center stage in most leadership

books—the 1-in-100 turnaround artists who beat the odds of inertia (McGahan, 1999)—George is appealing precisely because he is so ordinary, human and fallible, but extraordinarily effective; he is the ideal type of those who practice Leadership for Good.

Leadership for Good and its five propositions came from a careful review of the film and collateral materials. Though the propositions presented may appear part of a neat and tidy hypothetico-deductive process, sense making was more akin to what Fiedler (1995) calls “an inductive, messy, a posteriori process,” (p. 453). What interested me about George’s story was not how it began, but how it ended. Here was a man at the tipping point between life and death who learns that he has made a difference in the lives of others, that he has a wonderful life. By starting with the ending and working backward, I attempted to make sense of George’s work as a leader.

My experience was the sense making that Weick (1995) describes wherein “people start with an outcome in hand—a verdict, a choice—and then render that outcome sensible by constructing a plausible story that produced it” (p. 11). George had a wonderful life—that much was clear; just what he did as a leader to make that so was the question I sought to answer. Though Wheatley (2002) connects George’s wonderful life to servant leadership, my search yielded a more nuanced viewpoint that includes, but is not limited to that construct. Leadership for Good and its five propositions came from a careful review of the film and collateral materials. The first four propositions define the work of wonderful leaders; the fifth proposition defines the outcome of that work—the wonderful lives.

First, those who practice Leadership for Good are *purposeful* in three ways. They are *servant leaders* characterized by the “natural feeling that one wants to serve, to serve *first*” (Greenleaf, 1977, p. 13 italics as written). They are *self-sacrificing* by “denying

self-interests or personal comfort and safety, limiting personal privileges, or sharing pain and hardships with the followers” (Choi & Mai-Dalton, 1998, p. 476). Finally, they are *trustworthy*.

Second, those who practice Leadership for Good are *visionary* in keeping with Vaill’s (2002) maxim that “leadership behavior that is not infused with vision is not truly leadership” (p. 18).

Third, those who practice Leadership for Good are *results driven*. They are *decisive*, courageous in their decision-making, and luck takers when it comes their way. They are *determined*, which is synonymous with the Big-Five Factor Structure of will to achieve (Digman & Takemoto-Chock, 1981). Finally, they are *dependable*, which is characterized by emotional stability and being grounded.

Fourth, those who practice Leadership for Good are *adaptive*, which at its core recognizes that “all things change”(Heraclitus, Hillman, & Haxton, 2001), that “the leader and their context are intertwined in a complex and intimate fashion” (Conger, 1999, p. 168). They start by being *alert* to the context around them. They are then *aligned* to that context, implicitly endorsing Hambrick and Finkelstein’s (1987) argument that the limits of a leader’s discretion are rarely within his or her complete control.

Fifth, those who practice Leadership for Good are *difference makers* who build *doubly good* organizations that achieve the mission and deliver superior financial results. In addition, they *empower others* to gain control of their lives and influence the world in which they live (Segal, Silverman, & Temkin, 1995).

### *Study Approach*

The intention of this study is to determine if the Leadership for Good construct is more than a work of fiction adapted by Frank Capra from a short story that Philip Van Doreen Stern sent in 1943 to 200 friends as a 24-page Christmas card (Robinson, 1996). The five propositions form the nucleus of a construct-building, non-generalizable, mixed methods study with two concurrent, but *independent* phases—instrumental case study and Delphi. The two phases were related to each other as siblings are to their parents, but with their own distinctive and different personalities.

The qualitative case study phase—concurrent, but independent of the Delphi—enhanced a 2005 archival case study of Hank Lynch, CEO of the Akron-based nonprofit Stan Hywet Hall & Gardens with annual revenues of \$5 million, which was the first test of the Leadership for Good construct. It was a single-case, instrumental-type case study wherein the “case is of secondary interest, it plays a supportive role, and it facilitates our understanding of something else” (Stake, 2000, p. 437). To enhance the study, six informant interviews were conducted to strengthen the credibility of the original case through the triangulation of data.

The three-round Delphi study phase—concurrent, but independent of the case phase—began at round one with the qualitative analysis of structured interviews from 16 exemplary executive directors who had at least five years tenure at the helm of human services nonprofit organizations *and* proven superior financial results.

These first-round interviews were analyzed using NVivo 7 and produced 126 statements in 17 topic categories for the round two questionnaire. The round two questionnaire was sent to each of the expert panelists who knew each other’s names and organizational affiliations.

Panelists ranked the statements on a five-point Likert-type scale, chose their top choices for each of the statements, and had an opportunity to make written comments about each topic.

The round three questionnaire offered the panelists a chance to re-rank the statements, which included eight new ones in an additional topic area. To help them do this, results from the round two questionnaire were summarized, including the mean, median, panelist comments, and each panelist's answers. The results from the round three questionnaire were analyzed for statistics, stability, and agreement.

### *Summary of Chapters*

Chapter II is the literature review focused on the research propositions related to the independent variable. Chapter III lays out the methodology for the study, including the rationale for the methods chosen and details organized by the five steps of the study: define, design, collect, analyze, and conclude. Chapter IV summarizes the findings of the study and Chapter V is a discussion of the results.

## Chapter II: Review of the Literature

Imagine for a moment that George has just placed the last deposit in the safe and closes for the day. He has a quick bite to eat and strolls down to the library as is his regular practice. He has been wondering lately about his work as a leader and he is curious to learn more. “What is leadership?” George wonders as he roams the library, yet every book he opens contains one gloomy declaration after another about the state of our knowledge about leadership. Burns decries, “If we know all too much about our leaders, we know far too little about *leadership*” (Burns, 1978, p. 1 italics as written) while J. Gardner (1990) questions, “Why do we not have better leadership?” (p. 6), a not altogether surprising appeal given that the “base rate for flawed leadership is somewhere between 60 percent and 75 percent” (Hogan, Raskin, & Fazzini, 1990, p. 347) and where the chances of finding a firm with sustained high performance are just one in five (McGahan, 1999).

By many accounts, leadership is an elusive and enigmatic topic without a common definition of the term within a confused field (Bass & Stogdill, 1990; Bennis & Nanus, 1997; Rost, 1991; Yukl, 2002). As such it is easy to imagine that, wherever George turns, he will find a bewildering array of conflicting information for, as Bass and Stogdill (1990) reminds us with their oft-quoted statement, “There are almost as many different definitions of leadership as there are persons who have attempted to define the concept” (p. 11). No wonder Rost’s (1991) claim seems so relevant, that “neither the scholars nor the practitioners have been able to define leadership with precision, accuracy, and conciseness so that people are able to label it correctly” (p. 6).

Though readers may delight in the news from P. Light’s (2002b) study of nonprofit high-performers that leadership “comes in many shapes and sizes, from the mythical heroic leader to

the mild-mannered administrator . . . with sizzle or self-effacement, charisma or quietude” (p. 114), we want more definition. Can’t we add more to our understanding than “many shapes and sizes?”

The journey to more clarification began with five Leadership for Good propositions, which were developed through a sense making process to “render the subjective into something more tangible” (Weick, 1995, p. 14). Through a careful review of the film, the script as shot, and collateral materials including literature and archival records kept in the Capra Archives at Wesleyan University, I arrived at five propositions that I then buttressed and verified through the literature review that follows:

First, those who practice Leadership for Good are *purposeful* by being *servant leaders, self-sacrificing, and trustworthy*.

Second, those who practice Leadership for Good are *visionary*.

Third, those who practice Leadership for Good are *results driven* by being *decisive, determined, and dependable*.

Fourth, those who practice Leadership for Good are *adaptive* by being *alert* to the context around them and then *aligned* to that context.

Fifth, those who practice Leadership for good are *difference makers* who build *doubly good* organizations and *empower others*.

### *Purposeful*

On the day of George and Mary’s wedding, it is George who jumps at Mary’s offer of the honeymoon money to help his worried customers through the banking crisis, giving up yet again on his dream to travel. For some, George is simply an exemplar of great customer service (Blanchard & Bowles, 1993; Sewell & Brown, 1990). Others go further. Collins (2001) would

likely make George one of his good-to-great leaders who “subjugate their egoistic needs to the great ambition of building something larger and more lasting than themselves” (p. 36).

Building something larger for those who practice Leadership for Good begins with *purposeful*, which is characterized in three ways. They are *servant leaders* characterized by the “natural feeling that one wants to serve, to serve *first*” (Greenleaf, 1977, p. 13 italics as written). They are *self-sacrificing* by “denying self-interests or personal comfort and safety, limiting personal privileges, or sharing pain and hardships with the followers” (Choi & Mai-Dalton, 1998, p. 476). Finally, they are *trustworthy*.

### *Servant Leaders*

When it comes to the reasons why nonprofit executives do the hard work, most point to the “mission of their agencies as well as their own desire to help others and to give back to their communities” (Jeanne Peters & Wolfred, 2001, p. 14). Executive directors are not alone. Nonprofit employees are “highly motivated, hard working, and deeply committed [and are] motivated primarily by the chance to accomplish something worthwhile” (P. C. Light, 2002a, pp. 9-10).

If it is true that “in our hearts, we would all like to find a purpose bigger than ourselves because that will raise us to heights that we had not dreamed of” (Handy, 1998, p. xix), where better to find it than in the nonprofit sector where the primary purpose is to place others first? To do so is consistent with servant leadership, which Russell and Stone (2002) say “takes place when leaders assume the position of servant in their relationships with fellow workers. Self interest should not motivate servant leaders; rather, it should ascend to a higher plane of motivation that focuses on the needs of others” (p. 145).



Servant leadership is intuitively appealing (Sendjaya & Sarros, 2002), but some find it under-researched and largely philosophical (Russell & Stone, 2002; Sendjaya & Sarros, 2002). Other criticisms include that it is “often confounding upon cursory examination, is not easily captured, and is not amendable to quick application” (Beazley & Beggs, 2002, p. 53). Showkeir (2002) says it has been called “too touchy-feely; it does not have enough business focus; it has too many religious overtones; it is not for companies under financial strain; or it is good when times are good, but, under stress, ‘business as usual’ prevails” (Showkeir, 2002, p. 155).

If servant leadership is ill-defined and under-researched, why then is it endorsed by so many people? The list of people calling attention to the concept is a who’s who of leadership authorities: “James Autry, Warren Bennis, Ken Blanchard, Peter Block, Stephen Covey, Max DePree, Peter Drucker, Francis Hesselbein, Joe Jaworski, Jim Kouzes, M. Scott Peck, Peter Senge, Peter Vaill, Margaret Wheatley, and Danah Zohar” (Burkhardt & Spears, 2002, p. 223). The best answer to the endorsement question may be “Why not?” In other words, do we really need a research study to tell us that it is a good idea to “foster the discovery of the purpose and value of service in each individual” (Couto, 2005, p. 19)?

Many assign credit for servant leadership to Greenleaf (Spears, 2002). To be fair, about the same time that Greenleaf published his now famous essay on servant leadership, McClelland and Burnham (1976) argued that good managers are “not motivated by a need for personal aggrandizement, or by a need to get along with subordinates, but rather by a need to influence others’ behavior for the good of the whole organization” (p. 103). This socialized power orientation as opposed to personalized power was influenced by earlier research suggesting a link between socialized power and altruism (McClelland, 1971). Others say that the concept has

religious underpinnings that originated with Jesus Christ, whom they argue was the first servant leader (Blanchard & Hodges, 2002; Burkhardt & Spears, 2002; Sendjaya & Sarros, 2002).

Whether or not George brings religious sensibilities to his work is unclear, perhaps because of stringent film censorship rules at the time; the Lord's Prayer, for example, was not permitted by the British Board of Censors (Gordon, 1946). He and Mary Hatch are married at home and he only turns to God twice, first during the Christmas Eve crisis while sitting at Martini's Bar: "God...God...Dear Father in Heaven, I'm not a praying man, but if you're up there and can hear me, show me the way. I'm at the end of my rope. Show me the way, God" (Goodrich et al., 1947, p. 125). The second expression of faith in God occurs on the bridge after his escape from Pottersville at the end of the film when he prays, "Please God let me live again" (Goodrich et al., 1947, p. 157). It is on the word "God" that it starts snowing softly, a sign that George's prayer has been answered and he is back in Bedford Falls. Certainly the Bailey home is one with a Christian sensibility as evidenced by daughter Janie's playing "Hark the Herald Angels Sing" during the Christmas Eve crisis.

Another reason for the absence of traditional expressions of faith is that, like his leadership approach, George is a common man, someone to whom we can easily relate. Said Capra of the bar scene, "If we showed him on his knees in a church or in a private corner, the audience wouldn't take to it. But in a bar, right after gulping down a shot of whiskey, we are inclined to believe it" (as cited in Cox, 2003, p. 101).

As a servant leader, George's commitment to others includes his customers, the working class of Bedford Falls, which is clearly evident in his response to the Building and Loan's board of directors after Old Man Potter's motion to dissolve the organization:

What'd you say just a minute ago? . . . They had to wait and save their money before they even ought to think of a decent home. Wait! Wait for what? Until their children grow up and leave them? Until they're so old and broken-down that they . . . Do you know how long it takes a working man to save five thousand dollars? Just remember this, Mr. Potter, that this rabble you're talking about . . . they do most of the working and paying and living and dying in this community. Well, is it too much to have them work and pay and live and die in a couple of decent rooms and a bath? (Goodrich et al., 1947, pp. 44-45)

Though it seems clear that George's servant leadership is born of deontological choice, it has teleological implications for the Building and Loan. This is because "complete customer satisfaction is the key to securing customer loyalty and generating superior long-term financial performance" (Jones & Sasser, 1995, p. 89 italics removed). Though Werner and Kumar (2002) argue that a lot of "the conventional wisdom about customer retention is bunk" (p. 86 italics removed), most experts agree that it is "the acid test of leadership [because] long-term rewards of loyalty ultimately outstrip even the most spectacular short-term profits" (Reichheld, 2001, p. 2). The proof for George comes during the banking crisis when only one customer defects to Old Man Potter, essentially achieving Reichheld and Sasser's (1990) holy grail of zero defection.

In addition to customers, George's servant leadership includes employees such as Uncle Billy, whom we first meet in 1919 when Cousin Tilly tells him that the bank examiner is calling. On the day of the banking crisis 14 years later, it is Uncle Billy who locks the customers out and who George finds drinking on the job. On Christmas Eve 1945, it is Uncle Billy who accidentally loses the payment that leads to crisis.

It is hard to know just how George accomplishes so much with Uncle Billy, Cousin Eustace, Cousin Tilly, and Jimmy the raven<sup>2</sup> who serves as the mascot for the organization. Though willing and likable, this team seems in stark contrast to what Peters and Waterman (1982) intended when they placed “Productive through people” on their top-eight list or what Collins (2001) advises in his “First Who . . . Then What” (p. 41) concept that ensures that the right people are on the bus before anything else is addressed.

Why then is George so willing to forgive the deficiencies of others? Aren’t the best leaders those who act with expediency to remove those C players and be great like GE under Jack Welch (Collins, 2001; Krames, 2005)? Isn’t this the world where “ultralean corporations take pride in shedding their ‘surplus’ employees” (Ehrenreich, 2005)? One possible answer is that the people equation is often not within the discretion of the nonprofit executive who “must rely on people underpaid relative to the private sector, or in the case of volunteers, paid not at all [which] makes selectivity all the more vital” (Collins, 2005, p. 15).

Another plausible answer to why George is so forgiving of his employees is that, like loyal customers, they matter when it comes to the bottom line (J. K. Harter, Schmidt, & Keyes, 2003; Reichheld, 1993; Reichheld & Teal, 1996). Stroh and Reilly (1997) say that loyal employees identify highly with their organizations, that there are systemic links between loyalty and organizational performance, and loyalty results in lower turnover. Though Silvestro (2002) found an inverse relationship between employee loyalty and profitability, the one exception was service organizations such as the Building and Loan.

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<sup>2</sup> Jimmy the raven, Uncle Billy’s pet bird, was featured in every Capra film beginning with *You can’t take it with you* in 1938 (“One of America’s,” 2002).

From the broader perspective of employee satisfaction, J. Harter, Schmidt, and Hayes ("Nonprofit good practice guide," 2002-2003) found that "changes in management practices that increase employee satisfaction may increase business-unit outcome, including profit" (p. 268). Saari and Judge (2004) go further, concluding that "job satisfaction is, in fact, predictive of performance, and the relationship is even stronger for professional jobs" (p. 398). J. Harter, Schmidt, and Keyes (2003) assert that when "managers and employees focus on satisfying basic human needs in the workplace—clarifying desired outcomes and increasing opportunity of individual fulfillment and growth—they may increase the opportunity for success of their organization" (p. 221).

Though the arguments are common sense that servant leadership matters to the bottom line, it is more than a simple financial equation; it is a moral imperative for those who practice Leadership for Good. People are more than a means to an end; George sees people, customers and colleagues alike, not as a means to accomplish the mission, but as the mission itself.

### *Self-sacrificing*

If it is true that "Letting the self emerge' is the essential task for leaders" (Bennis, 1989, p. 113), George would seem to be an utter failure, earning the nickname "Old mossback George," another way to say he was stodgy. Why doesn't he follow his dreams when he had so many opportunities to do so? Bennis (1989) himself provides a possible answer in that "all too often, prodded by well-meaning parents and teachers, men, too, do what they're supposed to do in life, not what they want to do [and subsequently] suffer the torments of the unfulfilled" (p. 65). And suffer them George does; his torments form evidence of his self-sacrifice.

Self-sacrifice is important to many leadership theories. For Hogan, Curphy, and Hogan (1994), it is the essence of their definition of leadership that includes "persuading other people to

set aside for a period of time their individual concerns and to pursue a common goal that is important for the responsibilities and welfare of a group” (p. 493). Covey (2002b) contends that, at the core of servant leadership lies moral authority, which itself has self-sacrifice as its essence. Conger and Kanungo (1987) make “incurring great personal risk and cost” (p. 641) one of their eleven behavioral components of charismatic leadership. Conger (1989) makes risk taking and self-sacrifice two of the four critical elements of building trust, which itself is one of his four stages of charismatic leadership. Others also conclude that risk taking and self-sacrificial behavior are behaviors that distinguish charismatic from non-charismatic leaders (Bass, 1985; House & Shamir, 1993; Jacobsen & House, 2001).

Choi and Mai-Dalton (1998) define self-sacrifice as the “total/partial abandonment, and/or permanent/temporary postponement of personal interests, privileges, or welfare in the (1) division of labor, (2) distribution of rewards, and (3) exercise of power” (p. 399). Jacobsen and House (“All in a day's work,” 2001) state that self-sacrifice involves “significant personal sacrifice or even danger, by which the leader projects an image of courage, dedication, and commitment to the interests of the collectivity” (p. 79). Yorges, Weiss, and Strickland (1999) describe it as “the giving up or loss of something important to an individual” (p. 428).

Like servant leadership, there is evidence that self-sacrifice delivers substantial benefit (De Cremer, 2006; De Cremer et al., 2004). A study by van Knippenberg and van Knippenberg (2005) shows that “productivity levels, effectiveness ratings, and perceived leader group-orientedness and charisma were positively affected by leader self-sacrifice” (p. 25). Choi and Mai-Dalton (1999) confirm that “(1) Followers attributed charisma and legitimacy to a self-sacrificial leader and (2) intended to reciprocate such a leader’s behaviors” (p. 397). Choi and Mai-Dalton (1998) posit that the main effects of self-sacrificial leadership are perception of

charisma, attribution of legitimacy, and intention of reciprocal behavior. De Cremer and van Knippenberg (2005) find that self-sacrifice has a positive effect on willingness to cooperate.

Even though there appears to be general support for the role of self-sacrifice in effective leadership (De Cremer & van Knippenberg, 2002), it is even stronger in conjunction with other leadership elements such as self-confidence (De Cremer & van Knippenberg, 2004), when the outcomes for employees are perceived as unfair (De Cremer et al., 2004), and in the absence of autocratic behavior (De Cremer, 2006). Halverson, Holladay, Kazama, and Quinones (2004) found that self-sacrificial leaders have a significant effect on positive follower reactions compared to leaders who self-sacrificed in the absence of crisis.

Not everyone is thrilled with the possibilities of self-sacrifice. Locke (as cited in Avolio & Locke, 2002) who calls Mother Theresa an “ascetic, selfless scarecrow” (p. 170) and canonizes financier-cum-felon and philanthropist Michael Milken, asserts that “a person’s highest moral purpose is the achievements of his or her own happiness on this Earth” (p. 182). Arguing that human beings are inherently selfish is not uncommon, Dawkins (1989) proposed in the mid-70s that we have selfishness built into our DNA, although in the second edition of the book, a new chapter—*Nice Guys Finish First*—makes a bow toward cooperation.<sup>3</sup>

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<sup>3</sup> Surprisingly, agreeable people like George—courteous, flexible, trusting, good-natured, cooperative, forgiving, soft-hearted, and tolerant (Barrick & Mount, 1991, pp. 3-5)—are the ones chosen first even over the capable people (Casciaro & Sousa Lobo, 2005). Though they may be chosen first, they do not finish that way: Bozionelos (2006) found in a study of 308 white-collar British workers that nice folks really do finish last, even at work. Judge et al. (1999) and Howard and Bray (1994) also found this to be true. On the other hand, Bozionelos (2006) found that

For George, self-sacrifice shows itself in three primary forms: dreams forgone, diminished compensation, and toughness of the job.

*Dreams forgone.*

George has the chance to follow his dreams yet, time and time again, he sacrifices each opportunity for the greater good. His sacrifice of dreams shows when his father dies suddenly and George postpones college for three months. It shows again after the board votes down Old Man Potter's motion to dissolve the Building and Loan, but on the condition that George stays on as the executive. It shows again four years later after George has patiently waited for his brother Harry to return to Bedford Falls to take over the Building and Loan so that George can finally go to college. Instead, Harry has married and taken a good job at his father-in-law's business in Buffalo, which in turn leads George to sacrifice his dream of college again.

Forgone Dreams forgone also show when George uses the honeymoon money that was meant for a trip to the Bahamas to tide over his customers during the banking crisis. Even the moment when he and Mary recognize that they love each other is one colored by his disappointment over forgone dreams, "Now you listen to me! I don't want any plastics! I don't want any ground floors, and I don't want to get married—ever—to anyone! You understand that? I want to do what I want to do" (Goodrich et al., 1947, p. 66). Indeed, one of the reasons Jimmy Stewart was the perfect casting choice for George was his ability to play George with "a

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"agreeableness reduced extrinsic career prospects but enhanced intrinsic career evaluations" (p. 403).



deep personal frustration because of dreams gone astray” (Basinger, Goodrich, Maltin, & Trustees of the Frank Capra Archives, 1986, p. 17).

*Diminished compensation.*

George’s self-sacrifice also shows in diminished compensation; the tantalizing investment tip from school chum Sam Wainwright that would have made George rich is ignored completely. This is not meant to imply that George is always at ease with the choices he makes. In one telling moment, Sam Wainwright surprises George and Mary Bailey at the Martini home christening in Bailey Park, appearing in a big, chauffer-driven limousine. As Wainwright drives away, George and Mary walk back to their old, shabby car where George kicks the door in obvious disgust at what he doesn’t have.

The juxtaposition of the big limousine and the beat-up junker is symbolic of the substantial wage gap between the nonprofit and for-profit sectors. Although Ruhm and Borkoski (2003) assert that this difference is slight, they acknowledge that it is an important factor in wage setting. Ballard (2005) comes to a stronger conclusion when she compares like industries in both sectors, saying that there is a substantial gap. This seems to be how the nonprofit worker sees it. P. Light’s (2003) study of 1,213 human service workers found that “respondents reported that pay was low, and talent and achievement were not well rewarded” (p. 3). In their survey of 1,926 nonprofit executives Bell, Moyers, and Wolfred (2006) found that “nearly two in three executives believe they have made a significant financial sacrifice to do this work” (p. 17).

The willingness to trade compensation for cause is illustrated best by the incident where Old Man Potter calls George into his office, showers him with compliments, cigars, and a job offer at an annual salary of \$20,000, an extraordinary sum compared to George’s then puny compensation of \$2,340. But that’s not all Old Man Potter has up his sleeve: Potter paints a

picture of wealth where George lives in the finest house, buys lovely things for his wife and, best of all, goes on trips to big cities including those in Europe.

Not including the perks, Old Man Potter's offer in inflation-adjusted dollars is \$298,000 compared to George's roughly \$35,000 ("Inflation calculator," 2006). The gap would be much greater if George had been offered the CEO job. The for-profit CEO average compensation in major U.S. companies is just under \$11 million, 262 times the average pay of the average worker (Mishel, 2006). In comparison, The average compensation of a nonprofit chief executive of a smaller organization with less than \$3.5 million in expenses is \$87,390 ("CEO compensation study," 2006), less than one percent of major for-profit average CEO compensation.

George turns down Old Man Potter's offer in anger, partly because he wants it so much, but mostly because he knows the real cost will be the loss to the community of the Building and Loan. What this decision costs him becomes clear a decade later during the Christmas Eve crisis when George pleads with Old Man Potter for help and gets this reply:

Look at you. You used to be so cocky! You were going to go out and conquer the world! You once called me a warped, frustrated old man. What are you but a warped, frustrated young man? A miserable little clerk crawling in here on your hands and knees and begging for help. No securities—no stocks—no bonds—nothing but a miserable little five hundred dollar equity in a life insurance policy. You're worth more dead than alive. (Goodrich et al., 1947, p. 124)

*Toughness of the job.*

In addition to dreams forgone and diminished compensation, the job challenges of Leadership for Good are substantial. Compared to for-profits, Silverman and Taliento (2006) find five major differences:

First, nonprofit CEOs wield less authority and control than their for-profit counterparts.

At the same time, they must answer to a wider range of stakeholders. Nonprofits also lack straightforward performance measures—there are no analogs to profit in social change—and yet they are under greater scrutiny from politicians and the press. Finally, compared to the corporate world, the nonprofit sector is underfunded, understaffed, under-resourced, and undertrained. (p. 38)

Adding evidence to this indictment, executive directors cite three primary reasons why they would leave their jobs in the next three years: burnout (26 percent), professional or career growth opportunity (26 percent), and board relations (22 percent) (Jeanne Peters & Wolfred, 2001). Moreover, chief executives of nonprofits—whether called president, director, or the widely-used executive director—face “funding cuts, rising demands for performance measures by foundations, corporations that want strategic benefits from their philanthropy, new forms of competition from the business sector, and serious questions about the effectiveness and appropriateness of traditional charitable remedies for social problems” (Dees & Economy, 2001, p. 1). Put directly, the typical executive faces challenges of “high stress and long hours, anxiety about agency finances, fundraising, and managing people” (Jeanne Peters & Wolfred, 2001, p. 3). A study of nearly 2,000 executive directors in eight cities is sobering:

Three quarters don’t plan on being in their current jobs five years from now and nine percent are currently in the process of leaving. Frustrations with boards of directors and institutional funders, lack of management and administrative support, and below-market compensation add stress to a role that can be challenging even in the best circumstances. (Jeanne Peters & Wolfred, 2001, p. 2)

Given these observations, it is not startling to hear Richard Schlosberg, former president of the David and Lucile Packard Foundation and former publisher and CEO of the LA Times, argue that “in the nonprofit sector there’s much more reliance on the leader, and less developed team and talent underneath. I see undercapacity all over the nonprofit sector” (as cited in Silverman & Taliento, 2006, p. 41).<sup>4</sup> Lending further support is Hopkins and Hyde’s (2002) study conclusion that the “overall picture that emerges regarding the ability of managers to address the challenges of human service work is distressing” (p. 13). Given that the top three challenges identified by the 115 human services managers in the study were competition for clients and funding, not enough money to meet the goals, and interpersonal conflict with employees, their conclusion is hardly earth shattering.

The consequences of the hard job of nonprofit leadership shows in the median executive director tenure of four years or less, the 65 percent who are “once-is-enough” first timers in the job and the less than half who want to play the role again; the top reasons for leaving include burnout, career opportunities, and board relations (Jeanne Peters & Wolfred, 2001). Relative to the latter, a large-sample study of nonprofit hospitals in the nineties confirmed that leadership instability is significantly associated with board executive relations and it remains so today (Alexander et al., 1993; Bell et al., 2006).

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<sup>4</sup> Schlosberg’s frame of reference may be biased. At time of writing, he is on the boards of eBay, Edison International, and BEA Systems and his sole nonprofit frontline service was a four-and-a-half stint ending in 2004 as the head of a \$5.33 billion David and Lucile Packard Foundation with an annual salary and bonus of \$523,095.

All this occurs in a sector where four of five organizations have total revenues of less than \$1 million, three of five have revenues of less than \$250,000, and two of five have revenues of less than \$100,000 (Pollak & Blackwood, 2006). Staffing, especially the paid full-time variety, is consequently in short supply: half of all nonprofits have five or fewer; one in four have one or none (Wiener et al., 2002, p. 66).

Under these circumstances, it is understandable why Avolio (2002) asserts that “the common good oftentimes can only be achieved by having some people sacrifice or tradeoff their selfish interests for the benefit of others” (p. 176). Though Locke (2002) expresses disbelief that any leader would willingly choose such a course of action, Handy (1998) gives one plausible answer:

Rationality doesn’t explain our occasional willingness to fight for those we hold dear, be they people or causes—our impetuous leap into a river to save a drowning child, a lifetime of dedication to helping incurables, or a desire to work among the poor for little thanks and no public recognition. (p. 105)

### *Trustworthy*

Trustworthy is about how leaders do business, the values that they bring to life in actions. Values themselves are “the essential and enduring tenets of an organization [and] require no external justification; they have *intrinsic* value and importance to those inside the organization” (Collins & Porras, 1998, p. 26 italics as written). Values are not about products or services, but are about behaviors related to those products or services. It is common to see values revolve around issues such as trust, teamwork, customers, and striving to be the best. Moreover, it is not necessary for there to be dozens of stated values; Collins and Porras (1998) found only a few core values at the visionary companies they studied, with most having between three and five.

Though it seems imperative that leaders be clear about their values, it is less certain just what these values should be. Collins' (2001) five-year *ex post facto* study about good-to-great leaders began with 1,435 Fortune 500 companies and searched for firms that had made the leap from good to great performance and maintained it for 15 years, finding only 11 exemplars or 0.8 percent out of the sample population. The 11 good-to-great firms were chosen solely based upon financial measures, but other factors make some of the choices debatable.

Fannie Mae's transition occurred from 1984-1999 and included a 1991 "controversial \$27 million pay-and- retirement package" for chairman David O. Maxwell (Crenshaw, 1992). This was an omen of things to come. In late 2004, CEO Franklin Raines and CFO Timothy Howard were forced out of their jobs after a scandal that forced the restatement of earnings for the period from 2001 to 2003 of \$10 billion and that was characterized as "a case study of perverse incentives, nonperformance pay, and camouflage" (Bebchuk & Fried, 2005, p. 807).

Another good-to-great firm, Philip Morris, made its transition from good to great during the period from 1964 to 1979 when it was engaged in systemic duplicity, eventually leading to a 1998 industry settlement with 46 states that included fundamental changes in marketing practices and \$200 billion in payments over 25 years ("Legislation & Regulation: Tobacco Settlement Agreements ", 2007).

Collins (2001) wasn't aware of the Fannie Mae scandal at the time of publication, but he does defend the choice of Philip Morris as one of his good-to-great firms by stating, "This is one of those findings that I find difficult to swallow, but that are completely supported by the data" (p. 215 italics as written). Relative to Philip Morris' values that included lying, Collins declares that "it is not the *content* of a company's values that correlates with performance, but the

*strength of conviction* with which it holds those values, whatever they might be” (p. 215 italics as written). As opposed to the idea that simply having values—any will do—is the key (Collins & Porras, 1998), those who practice Leadership for Good build strength of conviction upon a solid foundation of worthy content.

In Schein’s (1999) taxonomy of culture, the first level is artifacts, the things that outsiders can observe about an organization. At this level, the most salient artifact for George is the portrait of his father that hangs in his office. Contrast this with Old Man Potter who has his own portrait prominently displayed and a special chair for visitors with its legs shortened to give him an intimidating physical advantage.

The second level is the espoused values, verbal and written expressions of what is important in the organization, things such as teamwork, integrity, and commitment to customer service. Advocating values is important because “when people publicly espouse a particular point of view, they become much more likely to behave consistent with that point of view *even if they did not previously hold that point of view*” (Collins & Porras, 1994, p. 71 italics as written).

An example of George’s espoused values is the framed needlepoint that hangs below his father’s portrait with the saying, “All you can take with you is that which you’ve given away.” Old Man Potter is just the opposite, “I’m an old man, and most people hate me. But I don’t like them either, so that makes it all even” (Goodrich et al., 1947, p. 88).

Level three—the deepest—is what happens when espoused values become taken for granted, so ingrained are they to life in the organization that they become “tacit assumptions about the nature of the world and how to succeed in it” (Schein, 1999, p. 19).

Old Man Potter’s levels of culture are closely aligned and it is, therefore, no surprise that at level three he steals the Christmas Eve payment from Uncle Billy. George’s levels also align

faithfully. During the banking crisis, we clearly see him taking a moment to compose himself by looking at his father's picture and the needlepoint to remind himself of the value of putting others first. Rather than berating Uncle Billy for missing the wedding, locking out the customers, and drinking on the job, George is kind and reassuring. Minutes later, he reiterates one of his level two espoused values, "We've got to stick together . . . We've got to have faith in each other" (Goodrich et al., 1947, p. 75).

As his actions illustrate, one of George's values is walking your talk, truly living the words "All you can take with you is that which you've given away." Walking your talk is akin to authenticity, which means "*owning* one's personal experiences, be they thoughts, emotions, needs, wants, preferences, or beliefs [and acting] in accord with the true self, expressing oneself in ways that are consistent with inner thoughts and feelings" (S. Harter, 2002, p. 382 italics as written). Other descriptions of authenticity include "genuine, reliable, trustworthy, real, and veritable" (Luthans & Avolio, 2003, p. 242 italics removed). Avolio, W. Gardner, Walumbwa, Luthans, and May (2004) posit that authentic leaders "know who they are, what they believe and value, and they act upon those values and beliefs while transparently interacting with others" (p. 802).

Instead of authenticity, Covey (1989) uses the term proactivity, meaning that "as human beings, we are responsible for our own lives" (p. 71). Galford and Drapeau (2003) prefer the word trust and recommend that the best way to restore it once damaged is to "own up to the loss quickly instead of ignoring or downplaying it" (p. 95). Kouzes and Posner (2002) make use of the phrase "model the way" and say, "Exemplary leaders go first. They go first by setting the example through daily actions that demonstrate they are deeply committed to their beliefs" (p. 14). Luthans and Avolio (2003) observe that authentic leaders "lead from the front, going in



advance of others when there is risk for doing so . . . Such ‘walking the talk’ has been shown to be much more effective in influencing others than coercing or persuading” (pp. 248-249).

Indeed, there is evidence that trust is significantly related to performance (Davis, Schoorman, Mayer, & Tan, 2000) and an important source of competitive advantage (Huff & Kelley, 2003).

In addition to being authentic, George is accountable for his actions, which shows when he confronts the worried customers during the banking crisis. In a torrential downpour, and despite his new bride’s appeals not to get out of the cab on the way to the train station for a honeymoon trip that would finally fulfill his long-overdue dream to travel, he goes anyway. He takes personal responsibility for the Building and Loan, using the personal pronoun “I” instead of the plural “we” so often used to diffuse accountability. When one person insists on taking his money now, George replies, “No, but you . . .you...you’re thinking of this place all wrong. As if I had the money back in a safe” (Goodrich et al., 1947, p. 73). This willingness to shoulder accountability is similar to that which Collins (2001) describes in his 11 good-to-great leaders when he says that they look “in the mirror, not out the window, to apportion responsibly for poor results, never blaming other people, external factors or bad luck” (p. 36).

Another example of George’s accountability lies with the 26 years of knowledge he had about Uncle Billy not remembering things. As such, Uncle Billy’s carelessness on Christmas Eve was inevitable. After an exhaustive search for the \$8,000 payment to Old Man Potter’s bank, George excoriates Uncle Billy, “Where’s that money, you stupid, silly old fool? Where’s that money? Do you realize what this means? It means bankruptcy and scandal, and prison! . . . That’s what it means! One of is going to jail! Well, it’s not going to be me!” (Goodrich et al., 1947, p. 111) Yet, with Potter minutes later, George takes full accountability:

POTTER

(interrupting)

George, could it possibly be there's a slight discrepancy in the books?

GEORGE

No sir. There's nothing wrong with the books. I've just misplaced eight thousand dollars.

I can't find it anywhere.

POTTER

(looking up)

You misplaced eight thousand dollars?

GEORGE

Yes, sir. (Goodrich et al., 1947, pp. 122-123)

### *Visionary*

Whether it takes the shape of a solution to a problem, a goal, or dealing with things that need to be done, leadership is about setting direction (Heifetz, 1994; Prentice, 1961; Stech, 2001; Yukl, 2002). As Burns so succinctly puts it, "All leadership is goal-oriented. The failure to set goals is a sign of faltering leadership" (Burns, 1978, p. 455).

For many writers in the popular literature, this direction-giving aspect of leadership is called vision and it is essential to leadership (Baum, Locke, & Kirkpatrick, 1998; Bennis & Nanus, 1997; Collins & Porras, 1991; Covey, 1989; De Pree, 1989; Kotter, 1990; Kouzes & Posner, 1995; Senge, 1990). Instead of vision, Collins and Porras (1994) use the term BHAG, which is short for big, hairy, audacious goal; Sherif and Sherif (1956) use the term superordinate goals. H. Gardner and Laskin (1995) use the term story, arguing that the "ultimate impact of the

leader depends most significantly on the particular story that he or she relates or embodies, and the receptions to that story on the part of the audiences (or collaborators or followers)” (p. 14).

Whatever name is used to describe it, scholars give a strong vote of confidence to vision (Berson, Shamir, Avolio, & Popper, 2001; Conger, 1989; J. W. Gardner, 1990; Sashkin, 1995; Tichy & Devanna, 1986). Even though not everyone is enamored with the idea—Bass and Stogdill (1990) barely make note of the concept—it is generally accepted that the “single defining quality of leaders is the capacity to create and realize a vision” (Bennis, 1989, p. 194).

Does vision deserve all this glowing press? Is vision “a force in people’s hearts, a force of impressive power?” (Senge, 1990, p. 206) Evidence of the importance of vision harkens back to ancient times including the Old Testament, Proverbs 29, verse 18: “Where there is no vision, the people perish.” More recent support begins with Sherif and Sherif’s (1956) Robbers Cave experiment that found higher cooperation, lower conflict and fewer unfavorable stereotypes when “groups in a state of tension interact with one another toward superordinate goals much desired by all” (p. 330).

Awamleh and W. Gardner (1999, p. 359) showed that an “idealized vision can help leaders to enhance their image.” A longitudinal study of entrepreneurial firms found that “vision significantly affects organizational-level performance, and vision affects performance directly as well as indirectly through vision communication” (Baum et al., 1998, p. 52). Kotter (1990) places underestimation of the power of vision in his top three reasons why change efforts fail. For Mintzberg (1994), “vision—expressed even in imagery, or metaphorically—may prove a greater incentive to action than a plan that is formally detailed, simply because it may be more attractive and less constraining” (p. 293).

Leaders are listening. In 1989, 1,500 leaders from 20 different counties, including 860 CEOs, agreed that vision was crucial to success (Korn, 1989, p. 157). Popular writers picked up and amplified the importance of vision (Kotter, 1996; Nanus, 1992) and, by the mid 90s, all top executives had visions of one sort or another (Larwood, Falbe, Miesing, & Kriger, 1995).

The position that vision is essential has not abated in the new century (Bennis & Thomas, 2002a). For participants in M. Light's (2006) study of nonprofit leadership capacity building, vision is the number one competency. Rigby and Bilodeau's (2007) study of 1,221 global executives finds vision and mission statements the fifth most utilized management tool for 79 percent of the respondents; strategic planning that usually includes vision is ranked number one (Goodstein, Nolan, & Pfeiffer, 1993).

To be fair, vision and mission statements fell from a third-place finish in the 2003 survey (Rigby, 2003). Moreover, not everyone is convinced of the power of vision. A study of 1,400 Australian public sector employees indicated that "articulating a vision does not always have a positive influence on followers" (Rafferty & Griffin, 2004, p. 348). Another study in the Israeli Defense Forces showed that a leader's vision was "not positively related to subordinate identification and trust, self-efficacy, and motivation and willingness to sacrifice" (Shamir, Zakay, Breinin, & Popper, 1998, p. 400).

Those who practice Leadership for Good disagree, which is why they are *visionary* in keeping with Vaill's (2002) maxim that "leadership behavior that is not infused with vision is not truly leadership" (p. 18).

### *Types*

The news that vision is a hallmark of effective leadership would be cause for celebration if there were agreement on what it actually is. Vision is "a term used with many different

meanings, and there is widespread confusion about it” (Yukl, 2002, p. 283). One study of vision content showed that visions are not necessarily homogeneous and range from the imprecise to the specific (Larwood et al., 1995) and another study of innovative leaders found that all of them had a vision, but the visions varied widely from vague to concrete (Bennis & Nanus, 1997).

That there are differences in the definitions of vision is hardly news (Larwood et al., 1995; Yukl, 2002). Though vision has been the subject of much discussion, “there has been little definition of content. No one has described how to develop vision that has broad-based commitment. Equally important, there has been little written on how to communicate vision, how to renew it, and how to sustain it over long periods of time” (Quigley, 1993, p. xiii).

*Pragmatic.*

For some highly regarded practitioners, vision is pragmatic enough to have a direct effect on day-to-day efforts in the workplace (“All in a day's work,” 2001, p. 58). Pragmatic visions are “valuable because an organization needs to know where it wants to be in order to act in a reasonably efficient manner to get there” (Tichy & Cohen, 1997, p. 173). It is defined by its drive to yield specific results (Bennis & Nanus, 1997; Crosby, 1979; Kotter, 2000; Tichy & Cohen, 1997; Wheatley, 1999).

These visions have an operational texture to them similar to formal planning, which “seems better suited to the tranquilities of peacetime than the disruptiveness of war, especially unforeseen war” (Mintzberg, 1994, p. 115). In small-to-medium sized firms, McCarthy (2003) calls leaders who use such visions pragmatists, saying they are “more cautious, more rational and seemed to adopt a more calculating and instrumental approach” (p. 158).

Times of pragmatic vision are “usually marked by bureaucratic controls, little personal autonomy, and limited room for innovation—a far less attractive environment for individuals

with the skills and temperament of a charismatic leader” (Conger, 1989, p. 174). The leader is “mostly managing stability, not change [and] getting on with making their organizations as effective as possible in pursuing the strategies they already have” (Mintzberg, 1987, p. 73).

Change during periods of pragmatic vision is largely incremental and of the 10 percent variety where “well-run companies seek better ways of exploiting (and defending) their mission [with] small changes that do not make too many waves” (Tushman, Newman, & Nadler, 1988, pp. 110-111). This is the time of the “ordinary leader, by definition the most common one, [who] simply relates the traditional story of his or her group as effectively as possible” (H. Gardner & Laskin, 1995, p. 10). In other words, as *The Great Plan* of China advised thousands of years ago, “In times of peace and tranquility, correctness and straightforwardness (must sway) . . . in harmony and order, mild rule” (Legge, 1879).

#### *Idealistic.*

Idealist vision elevates and takes the organization someplace new (Conger, 1989; Kouzes & Posner, 1995; Senge, 1990). It is “a new story, one not known to most individuals before” (H. Gardner & Laskin, 1995, p. 11). Defined by idealism, these visions are “transcendent in the sense that they are ideological rather than pragmatic, and are laden with moral overtones” (House & Shamir, 1993, p. 97). McCarthy (2003) called leaders who use this type of vision charismatic entrepreneurs, observing that they were “visionaries, risk-takers, highly persuasive, passionate, with ambitious and idealistic goals” (p. 158).

Idealistic visions are often associated with charismatic and visionary leaders in that “an ideological goal as a vision for a better future, for which followers have a moral claim, is the *sine qua non* of charismatic, visionary theories” (House & Shamir, 1993, p. 97). Such leaders

“advocate a vision that is highly discrepant from the status quo, but still with the latitude of acceptance by followers” (Yukl, 2002, p. 242).

*Crisis-oriented.*

There are times when crisis-oriented vision arises. This is especially true in circumstances favorable to the rise of charismatic leadership: when a “group or organization is in serious trouble, there is ambiguity about what must be done to ensure survival and prosperity, and there is considerable anxiety or even panic among the members” (Yukl, 2002, p. 246). This call for forceful leadership during times of crisis is scarcely a new idea; *The Great Plan* of China counseled that in circumstances of “violence and disorder, strong rule” (Legge, 1879).

Crisis-oriented vision is often advocated as a way to jumpstart frame-breaking change. This is because one way to “create strong, consistent, emotional reactions is to have people confront a common external crisis, conflict, or catastrophe” (Heath, Bell, & Sternberg, 2001, p. 1030). Another technique is to have the storyteller “describe or exaggerate the current situation as intolerable and then frame their future vision as the only viable and most attractive pathway” (Conger, 1991, p. 36).<sup>5</sup> In other words, “without an external threat to their group, people largely pursue their short-term interests” (Hogan et al., 1994, p. 493).

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<sup>5</sup> The creation of crises is often advocated as part of a grow-or-die imperative (Kotter, 1995a, 1995b; Rich, 1999), but Porter (1996) warns that amid “all other influences, the desire to grow has perhaps the most perverse effect on strategy . . . Too often, efforts to grow blur uniqueness, create compromises, reduce fit, and ultimately undermine competitive advantage” (pp. 76-77). Tushman and Romanelli (1985) declare that “the longer and *less* turbulent the convergent period, the more effective the organization” (p. 195 italics as written). Pfeffer and Sutton (2006)

Kotter (1996) calls this a process of creating urgency and makes it the first step in his eight-stage change model: “Visible crises can be enormously helpful in catching people’s attention and pushing up urgency levels. Conducting business as usual is very difficult if the building seems to be on fire” (p. 45).<sup>6</sup> Using urgency to create crises is seen as necessary because “although too much fear or anxiety may induce trepidation and paralysis, too little may result in lackluster effort and complacency” (R. M. Kramer, 2006, p. 92). Nutt & Backoff (1997) assert that the desire for equilibrium “becomes a prescription for institution death in which an

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argue “the aphorism ‘change *or* die’ is empirically more likely to be ‘change *and* die’ (p. 185 italics added). After all, the majority of change is “incremental, consisting of the constant fine-tuning that allows an organization to adapt to an environment in flux” (Nadler & Tushman, 1989, p. 135).

<sup>6</sup> Even though W. Edwards Deming made “Drive out fear” famous in his efforts to improve organizations (in Walton, 1986), change making by crisis has proven to be quite durable; it even has its own mascot: the frog (Heifetz, 1994; Kets de Vries, 1995; Senge, 1990; Tichy & Cohen, 1997). As a way to justify turning up the heat, Bateson’s (1979) example is invoked: “When frogs are placed into a boiling pan of water, they jump out, they don’t want to boil to death. However, when frogs are placed into a cold pail of water, and the pail is placed on a stove with the heat turned very low, over time the frogs will boil to death” (as cited in Van de Ven, 1986, p. 595). The point of the frog metaphor is not to wait for the water to get hot, but to act now. Although a vivid and perhaps useful metaphor, it turns out that the claims about frogs are an urban myth: frogs jump out of the water as the heat is turned up and die when dropped into boiling water (Gibbons, 2002; “Boil a consultant,” 1995).



organization slowly exhausts its capacity for change” (p. 246). Heifetz and Linsky (2002) advise that “without some distress, there’s no incentive to change” (p. 69). This is because organizations “often resist change even when their environments threaten them with extinction” (D. Miller & Friesen, 1980, p. 591).

To be fair, there is evidence that responding to a crisis—homemade or exogenous—can be exactly the wrong thing to do. Christensen and Overdorf (2000) argue that when an organization “faces major change—a disruptive innovation, perhaps—the worst possible approach may be to make drastic adjustments to the existing organization. In trying to transform an enterprise, managers can destroy the very capabilities that sustain it” (p. 68). Perhaps this is why all the resistance to change leaders complain about often is “well-founded, well-intentioned, and actually helpful in keeping companies from dumb things” (Pfeffer & Sutton, 2006, p. 185).

Ultimately, crisis-oriented vision is less durable over time (Hunt, Boal, & Dodge, 1999), often creates even bigger conflicts (Sherif & Sherif, 1956), and must be “validated by repeated successes in solving crisis” (Pillai & Meindl, 1998, p. 664).

### *Origins*

Developing a vision is often a creative process that defies easy explanations as it “depends on an ability to *see* and *feel*; it cannot be developed by people who deal with little more than words and numbers on pieces of paper” (Mintzberg, 1994, p. 270 italics as written). Vision developed by such see-and-feel intuition requires “an ability to synthesize diverse information, weeding out the irrelevant, and then conceptualizing it into a coherent picture. It is essentially a creative process” (Conger, 1989, p. 65).

Others characterize vision making as a mystical process with spiritual undertones. Consistent with this viewpoint, Bronson (2003) says, “Most of us don't get epiphanies. We only

get a whisper—a faint urge. That's it. That's the call” (p. 75). Charlie Knight, a Ute medicine man, describes how he found his vision, “Everyone has a song. God gives us each a song. That’s how we know who we are. Our song tells us who we are” (as cited in Arden, Wall, & White Deer of Autumn, 1990, pp. 14-15).

Perhaps the most popular approach to making vision is using a systematic process in which “vision starts with understanding the enterprise—or in other words, what you see depends on where you stand—you must be quite clear about the fundamentals of the business you are in” (Nanus, 1992, p. 44). Tichy and Devanna (1986) also follow this approach as does General Electric where vision “only comes after hard thought about the capabilities of the organization and the needs of the market” (“All in a day's work,” 2001, p. 56).

In the end, “vision when articulated is surprisingly simple; yet when we examine the evolution of a specific leader’s vision it appears to be a much more complex process. Events stretching as far back as childhood may influence its origins” (Conger, 1989, p. 66). This is most certainly George’s experience. It was his father and Uncle Billy who established the Building and Loan before George was born. And, on the night Peter Bailey dies, he talks about his vision for the organization:

You know, George, I feel that in a small way we are doing something important.

Satisfying a fundamental urge. It’s deep in the race for a man to want his own roof and wall and fireplace, and we’re helping get those things in our shabby little office.

(Goodrich et al., 1947, p. 27)

Just a few months later, George makes that vision his own in an impassioned response to Old Man Potter who has just damned Peter Bailey with faint praise:

People were human beings to him [my father], but to you, a warped, frustrated old man, they're cattle. Well, in my book he died a much richer man than you'll ever be! . . . Just one thing more, though. This town needs this measly one-horse institution if only to have some place where people come without crawling to Potter. (Goodrich et al., 1947, pp. 44-45)

### *Conveying*

Whether pragmatic, idealistic, or crisis-oriented, there is ample advice about how to make that vision conveyable to others. Heath, Bell, and Sternberg (2001) advise that the vision should tap into emotions. Conger (1991) agrees by advising that the effectively crafted vision “will ensure emotional impact particularly in terms of building a sense of confidence and excitement about the future” (p. 34). This is especially true in an organizational setting where “companies need employees who care, who have a strong emotional link with the organization” (Bartlett & Ghoshal, 1994, p. 81).

Moreover, visions should start “with new interpretive schemes or theories of action and move to actions” (Hunt et al., 1999, p. 425). By associating values of means with transactional leadership and ends values with transformational leadership, Burns (1978) offers the insight that visions about ends are more compelling than visions about means. Gardner and Laskin (1995) advocate striking a chord of identity for two reasons. First, “stories of identity—narratives that help individuals think about and feel who they are, where they come from, and where they are headed—that constitute the single most powerful weapon in the leader’s literary arsenal” (p. 43). Second, “those who fashion a more sophisticated account of identity are often bested by those whose identity stories are simpler, if not simplistic” (p. 64).

Why should it matter how a vision is framed? Simply put, visions must compete for the attention of the listener—convince them in their hearts and minds that this is *the* vision. During this competition, visions change and adapt based upon the response of the intended audience. One can think of this competition in biological terms as Dawkins (1989) does when he compares this struggle for attention and survival to what genes do in the biological world.

In essence, visions “undergo a kind of *emotional selection*—they are selected and retained in the social environment in part based on their ability to tap emotions that are common across individuals” (Heath et al., 2001, p. italics as written). As Bennis and Nanus (1997) note, “Even the ‘best’ ideas are only as good as their ability to attract attention in the social environment” (pp. 39-40). Take George during the banking crisis. At first, his vision of the dream of home ownership is framed in pragmatic terms:

Your money’s in Joe’s house . . . right next to yours. And in the Kennedy house, and Mrs. Macklin’s house, and a hundred others. Why, you’re lending them the money to build, and then, they’re going to pay it back to you as best they can. Now what you going to do? Foreclose on them? (Goodrich et al., 1947, p. 73)

But this pragmatic vision doesn’t compete against Old Man Potter’s offer to pay fifty cents on the dollar for each share. When confronted with this news by one of his customers, George says, “Now, Tom, you have to stick to your original agreement. Now give us sixty days” (Goodrich et al., 1947, p. 74). Tom’s reply is straight to the point, “Better to get half than nothing” (Goodrich et al., 1947, p. 75). Showing just how quickly contexts can shift, Tom turns to leave for Old Man Potter’s and takes all the others with him.

What makes a vision powerful is its “emotional impact particularly in terms of building a sense of confidence and excitement about the future” (Conger, 1991, p. 34). And this pragmatic

vision doesn't hold the field. George sees this and shifts to a crisis-oriented vision. As the crowd panics and begins to leave *en masse*, he leaps the counter and places himself between them and the door. At this point he conveys a crisis-oriented vision, "Now wait...now listen...now listen to me. I beg of you not to do this thing. If Potter gets hold of this Building and Loan there'll never be another decent house built in this town" (Goodrich et al., 1947, p. 75).

Though this vision stops the crowd, it doesn't hold the attention of the group for long. It is then that George moves to a fully idealistic vision. This is the kind that H. Gardner and Laskins (1995) found exemplary leaders use over and over, a variant of what they call the "'Star Wars' story . . . in which two groups—good and evil—exist, and those of 'us' who resemble one another in racial or ethnic background must stick together so that 'we may prevail'" (p. 260). But prevail against what evil? And for what good? George gives the answer:

Can't you understand what's happening here? Don't you see what's happening? Potter isn't selling. Potter's buying! And why? Because we're panicky and he's not. That's why. He's picking up some bargains. Now, we can get through this thing all right. We've got to stick together, though. We've got to have faith in each other. (Goodrich et al., 1947, p. 75)

This is a vision that galvanizes the group, including Mary who now offers up the honeymoon money to George when, only minutes earlier, she begged him not to interrupt their honeymoon. Not one person who has heard the vision sells out to Potter. From this moment forward, the Building and Loan is no longer a place where George bides his time while getting ready to follow his dreams; it is a place he transforms into a major force in the community.

What can be missed in the tidy resolution facilitated by the honeymoon money is the shift that occurred in people after the idealistic "stick together" vision was conveyed. It is a shift from

the spiral of negative, destructive conflict to a more positive and constructive stance. Though the conflict is heated and boisterous, they have shifted to a focus on problems to be solved such as doctor bills to be paid and the need for groceries. They have gone “from weakness to strength [and] from self-centeredness to responsiveness” (Bush & Folger, 2005, p. 55 italics removed).

Such is the power of vision—pragmatic, idealistic, or crisis-oriented—and why it is the “essential *leadership* act” (Vaill, 2002, p. 28 italics as written).

### *Results Driven*

Some think that, with enough work, anyone can be a leader because it is a process that can be learned. Nearly 50 years ago, Stogdill (1948) declared “leadership is not a matter of passive status or of the mere possession of some combination of traits” (p. 66). Goleman (2002) argues that everyone can be a leader: “Leadership is not about who’s smarter or tougher but about qualities we all have—or can work on” (p. 4).

Northouse (2001) adopts the position that leadership is “a phenomenon that resides in the context and makes leadership available to everyone . . . it is something that can be learned” (p. 4). Ditto for Avolio (1999) who asserts that “leadership skills *can* be developed and mastered” (p. 18 italics as written). J. Gardner’s (1990) answer to those who claim that leaders are born not made is more to the point, “Nonsense! Most of what leaders have that enables them to lead is learned. Leadership is not a mysterious activity . . . And the capacity to perform those tasks is widely distributed in the population” (p. xix).

Others disagree. Bass and Stogdill recognize (1990) that some of the variance in the emergence and effectiveness of leadership is due to personal traits, and some is due to situational and interactive factors” (p. 910). Avolio (1999) acknowledges that after “50 years of collecting data on the topic, most psychologists believe that leadership qualities are innate or genetic and

thus impossible to learn” (p. 18). Barrick and Mount (2005) make much the same argument today, “Personality traits are enduring, distal forces that influence behavior, but there are both mediating and moderating variables that must be accounted for to adequately explain the effects of personality on human behavior” (p. 369). That said, there is risk in popularizing the idea that we can all be leaders:

Regardless of whether leaders are born or made or some combination of both, it is unequivocally clear that *leaders are not like other people* . . . Leadership is a demanding, unrelenting job with enormous pressures and grave responsibilities. It would be a profound disservice to suggest that they are ordinary people who happened to be in the right place at the right time . . . We believe that in the realm of leadership (and in every other realm), the individual *does* matter. (Kirkpatrick & Locke, 1991, p. 59 italics as written)

But which aspects of the individual make the difference? Is it a physical attribute? A longitudinal study of cadets at a military college identified physical fitness as one of two predictors of leadership effectiveness and one of four predictors of leader emergence (L. E. Atwater, Dionne, Avolio, Camobreco, & Lau, 1999). A meta-analysis found that height clearly matters when it comes to workplace success (Judge & Cable, 2004). Maybe whether you are left or right-handed makes the difference; Ruebeck, Harrington, and Moffitt (2006) found a significant wage effect for left-handed men.

Perhaps personality characteristics make the difference. Kirkpatrick and Locke (1991) identify six: “drive, the desire to lead, honesty/integrity, self-confidence, cognitive ability, and knowledge of the business” (p. 49). Bass and Stogdill (1990) argue that the “factors associated

with leadership could probably all be classified under the general headings capability, achievement, responsibility, participation, and status” (p. 76).

For nonprofits, Nanus and Dobbs (1999) investigated the qualities of successful leaders and found that “successful nonprofit leaders come in all shapes and sizes, from every ethnic group and both genders. Many of them are articulate, assertive, well groomed, systematic, and courageous, but we’ve known others who had fewer of these qualities and still succeeded” (p. 21). In a study of nonprofit leadership capacity building, advisory committee members identified visionary, grounded, collective, and competent as the four primary qualities for leadership (M. Light, 2006).

P. Light’s (2002b) 250 opinion leaders say that high performing organizations have executive directors who foster open communications, know how to motivate people, are good fundraisers, have a participatory style of management, and have boards that have a clear understanding of their respective roles. Nanus and Dobbs (1999) adopt Kouzes and Posner’s (2002) four characteristics—honest, forward-looking, competent, and inspiring—that came from questionnaires administered to 75,000 people worldwide. Herman and Heimovics (1991) weigh in with their recommendation that “good leadership requires skill in negotiation and compromise, as well as discovering or creating courses of action that go beyond mechanical comprise” (p. 34).

In this discussion, there are more questions than answers. “Should we focus on individual qualities and characteristics . . . behavior or effectiveness? Or, on the situation . . . Should one find a match between situation and the individual? How?” (Schrujijer & Vansina, 2002, p. 872) One thing is clear: Leaders don’t have to be “great men or women by being intellectual geniuses



or omniscient prophets to succeed, but they do need to have the ‘right stuff’ and this stuff is not equally present in all people” (Kirkpatrick & Locke, 1991, p. 59).

The right stuff for those who practice Leadership for Good includes being *results driven*. These leaders are *decisive*, courageous in their decision-making, and luck takers when it comes their way. They are *determined*, which is synonymous with the Big-Five Factor Structure of will to achieve (Digman & Takemoto-Chock, 1981). Finally, they are *dependable*, which is characterized by emotional stability and being grounded.

### *Decisive*

#### *Courageous.*

Whether or not we agree with George’s decision to take his own life as way to resolve the Christmas Eve crisis, one thing is evident: He makes a tough decision and proceeds to implementation with all the risk that it entails. Throughout the story, many of his decisions seem characterized by a “ready, fire, aim” approach so popular especially with entrepreneurs (Hammond, Keeney, & Raiffa, 1998). Take his decision to let Harry off the hook when he comes home from college married and with an out-of-town job, or his quick dispatch of Old Man Potter’s job offer, “No . . . no . . . no . . . no, now wait a minute, here! I don’t have to talk anybody! I know right now, and the answer is no! NO! Doggone it!” (Goodrich et al., 1947, p. 91)

Decisiveness is not about how those who practice Leadership for Good make decisions; however, it is about whether those decisions get made and then implemented. For some, this is one of the most—if not the most important—job of leadership (Brousseau, Driver, Hourihan, & Larsson, 2006; Garvin & Roberto, 2001; Hammond & Kenney, 1998).

*Luck takers.*

There can come a point where the situation is right, the moment is there, the urgency and ripeness is perfect, where the timing is right for courageous action. Sometimes the moment arrives as the result of a long period of blood, sweat, and tears that finally pays off. At other times, the opportunity is a lucky break; maybe the leader has taken a helm after the previous executive retired or was forced out, or perhaps there is a sudden change in circumstances. It is possible, too, that the timing is not fortuitous; maybe the moment is a bad break or the leader is at the wrong place at the wrong time.

When it comes to luck, literature in the career counseling field adds support to its potential effect (Betsworth & Hansen, 1996; Guindon & Hanna, 2002; Krumboltz, 1998). One study found that “nearly two-thirds of the participants believed that their careers were influenced by serendipitous events” (Betsworth & Hansen, 1996, p. 95). Whether it is called luck, serendipity, or Jung’s (1973) synchronicity, it appears to extend its effect to the work of leadership.

Collins’ (2001) 11 good-to-great executives attributed much of their success to luck although Collins sees this as a characteristic of humility. Conger (1989) sees it differently, saying that the success of a leader’s vision “may lie beyond the leader’s abilities, for timing, the right opportunity, and luck can determine whether the vision will be realized or not” (p. 66). Henderson (1989) says that, when it comes to the “competition of trade and commerce, random chance is probably the major, all-pervasive pattern” (p. 140).

But it takes more than being lucky to succeed; you must be a luck taker. After all, “even if the initial source of a firm’s competitive advantage is luck, a firm must still recognize and exploit that luck” (Barney, 2000, p. 299). In other words, seize the luck—*carpe fortuna*. Like

*carpe diem* popularized by Robin Williams' character in the Oscar-winning film, *Dead Poet's Society*, *carpe fortuna* is all about seizing the moment when the timing is right in keeping with the Latin translation of *fortuna*: "chance, luck, fate; prosperity; condition, wealth, property" (Whitaker, 2006).

The memorable scene in which George and Mary fall in love while talking on the telephone to Sam Wainwright happened because George came back for his hat—luckily left behind after he stormed out earlier in anger. In order for that lucky break to be something more, George must seize the luck, which he does in two ways. First, he invites Sam to relocate his new factory to Bedford Falls where there is plentiful labor and a closed-down factory available and cheap. Second, he and Mary get married.

It is luck—not forecast ability—that plays the central role for futures traders (Hartzmark, 1991); it is luck—not technical efficiency—that plays the central role in explaining fish catches (Alvarez & Schmidt, 2006); it is luck that "often plays a non-trivial role as a determinant of competitive advantage and firm performance" (Ma, 2002, p. 525). *Ex post*, it is easy to see that some firms do better than others in similar circumstances as did Collins' good-to-great firms. *Ex ante*, the big question is beguilingly, "Were they lucky or were they smart?" (Cockburn, Henderson, & Stern, 2000, p. 1142) The answer to the first part of this question is most certainly "yes." Whether intelligence matters is addressed in the next section.

### *Determined*

In the early 1930s, McDougall (2002) argued that, when it comes to personality characteristics, there are five factors: "intellect, character, temperament, disposition, and temper" (p. 15). In the mid-1940s, Cattell (1943) constructed a personality taxonomy that refined and reduced 171 variables to 60. Fiske (1949) went back to the five factors and called them

social adaptability, emotional control, conformity, inquiring intellect, and confident self-expression. Since then, agreement has remained firm that there are five factors now known as the “Big Five” personality dimensions (Digman & Takemoto-Chock, 1981; Goldberg, 1990).<sup>7</sup> Differences about what to call them have not been resolved (Digman, 1990). A common resolution has been to use extraversion, emotional stability, agreeableness, conscientiousness, and intellect (Digman, 1997; Goldberg, 1990):

Extraversion . . . sociable, gregarious, assertive, talkative, and active

Emotional Stability . . . anxious, depressed, angry, embarrassed, emotional worried, and insecure

Agreeableness . . . courteous, flexible, trusting, good-natured, cooperative, forgiving, soft-hearted, and tolerant

Conscientiousness . . . careful, thorough, responsible, organized, and planful . . . hardworking, achievement-oriented, and persevering

Intellect . . . imaginative, cultured, curious, original, broad-minded, intelligent, and artistically sensitive (Barrick & Mount, 1991, pp. 3-5)

Though the names may still be in flux, their reliability seems more certain. Judge, Bono, Ilies, and Gerhardt’s (2002) review finds “strong support for the leader trait perspective when traits are organized according to the five-factor model” (p. 765). The news of the reliability of

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<sup>7</sup> Why five factors? Why not eight or ten? Digman and Takemoto-Chock (1981) suggest that it could this could be a psychological process issue itself ala G. Miller’s (1956) seven plus-or-minus two or Mandler’s (1967) five plus-or-minus two. Even God and Satan concur with this perspective, what with the seven days of the week and the seven gates of hell.

the five factors is interesting, but what we want to know is which of them predicts success. If Kirkpatrick and Locke (1991) are right that “it takes a special kind of person to master the challenges of opportunity” (p. 59), it would be helpful to know more about what makes that person special.

The definitive answer about which of the Big Five Factors is most important came from a meta-analysis where “one dimension of personality, Conscientiousness, showed consistent relations with all job performance criteria for all occupational groups” (Barrick & Mount, 1991, p. 1). Judge, Higgins, Thoresen, and Barrick (1999) concurred in their longitudinal study over a span of 50 years using data from the Intergenerational Studies, which found “conscientiousness positively predicted intrinsic and extrinsic career success” (p. 621). Though in a meta-analysis three years later, extraversion “emerged as the most consistent correlate of leadership . . . Conscientiousness displayed the second strongest [but] was the strongest predictor of leadership in two of the three regressions” (Judge et al., 2002, p. 773).

Digman and Takemoto-Chock (1981) call this factor the will to achieve, but Fiske (1949) calls it conformity. Kirkpatrick and Locke (1991) call this drive, which they argue has five characteristics: achievement, ambition, energy, tenacity, and initiative. In particular, they say, “Leaders must be tirelessly persistent in their activities and follow through with their programs” (p. 51). In Digman and Takemoto-Chock’s (1981) review of big-five factor studies, they describe will to achieve as “concerned with goal setting and goal striving at the one end, and an insensitivity to the future and its consequences at the other” (p. 155).

In Judge et al.’s (1999) study, conscientiousness had three facets: “achievement orientation (hardworking and persistent), dependability (responsible and careful), and orderliness (planful and organized)” (p. 624). This description of conscientiousness was subsequently

shortened to achievement and dependability (Judge et al., 2002). Instead of achievement, I use the term *determined*.

Determined is likely what Collins (2001) refers to in describing his Level 5 leaders as “fanatically driven, inflected with an incurable need to produce sustained *results*. They are resolved to do whatever it takes to make the company great, no matter how big or hard the decisions” (p. 39 italics as written). Nonprofit leadership capacity builders in M. Light’s (2006) study concur, “These leaders get things done and make things happen . . . They engage their staff and board members but also residents, constituents, allies, funders, public officials, banks—whomever they need to make it happen” (pp. 4-5).

George’s determination is seen in the way he handles conflict, which can have positive or negative effects (Wilmot & Hocker, 2007). Conflict handling styles range from the elegantly simple two styles of cooperation and competition (Deutsch, 1949) to the commonly adopted five modes of competition, collaboration, compromise, avoidance, and accommodation (Blake & Mouton, 1964; Rahim, 1983; K. W. Thomas, 1976).

Wilmot and Hocker (2007) note that “our styles often vary according to different contexts or relationship” (p. 132) and so too is it with George. In the banking crisis with his customers, George uses integrative tactics “such as information exchange, concession, and relationship building [to] achieve high joint gain” (Weingart & Olekalns, 2004, p. 145). But it is George’s conflict interactions with Old Man Potter that show his determination. George exclusively uses the competitive conflict handling mode that is all about wining or losing (K. W. Thomas, 2002).

No matter what we call it—conscientiousness, will to achieve, drive, or determination—George keeps home ownership within reach for the working class of Bedford Falls, which Old Man Potter himself acknowledges in a conversation with George:

You know just as well as I do that I run practically everything in this town but the Bailey Brothers Building and Loan. You know, also, that for a number of years I've been trying to get control of it . . . or kill it. But I haven't been able to do it. You have been stopping me. In fact, you have beaten me, George, and as anyone in this county can tell you, that takes some doing. (Goodrich et al., 1947, pp. 88-89)

*Dependable*

*Emotionally stable.*

As George waits patiently at the train station for his brother Harry to return from college to take over the Building and Loan, he tells Uncle Billy about the benefits of world travel, showing him the dog-eared brochures for Europe and South America. It is not to be; within seconds after stepping off the train, George learns that Harry has married Ruth and her father has offered him a job in Buffalo. At a wedding reception later that evening, we know that George will forego his dreams in order to give Harry the opportunity to pursue his own dreams. As he takes a break from the festivities to catch a breath of fresh air, he takes the dog-eared travel brochures out of his pocket, looks at them with disappointment, and throws them away.

The script directions for the train station scene give a conflicted picture of George, “joyously . . . astounded . . . thunderstruck . . . a sinking feeling . . . thinking deeply . . . quietly” (Goodrich et al., 1947, pp. 49-51). For many of us, the situation that George has experienced would be our undoing. What makes it possible for George to maintain his sense of composure? Participants in M. Light’s (2006) study describe it this way: “They’re grounded and centered within themselves on why they do the work that they do, aware of their strengths and weaknesses, and they are unassuming” (p. 4). Based upon George’s performance, this description should have included “emotionally stable.” The question of why emotional stability is important

is answered directly and succinctly by Goleman (1998), “In short, out of control emotions can make smart people stupid” (p. 22).

Some people recommend that emotional stability starts with self-awareness. Kincaid (as cited in Grossmann, 2005) observes, “No matter the industry, no matter the job, one of the things that I’ve seen that contributes to success is a very close alignment between how you see yourself and how others see you” (p. 43). For Avolio and W. Gardner (2005), self-awareness is much broader; it is a process “where one continually comes to understand his or her unique talents, strengths, sense of purpose, core values, beliefs and desires” (p. 324). How to become self aware begins with W. Gardner and Avolio, Luthans, May, Walumbwa’s (2005) elegantly simple suggestion (2005) to continually ask “Who am I?” (p. 347) .

Certainly George is self aware from the standpoint of knowing who he is. In a scene set in June 1934, George comes home late after another hard day and, as he gets ready for bed, he carries on a conversation with himself about his forgone dreams of building skyscrapers and bridges.

*Grounded.*

Another recommendation for how to be dependable comes from Heifetz and Linsky (2002) who recommend that “most important, you need to distinguish between your personal self, which can serve as an anchor in stormy weather, and your professional role, which never will” (p. 73). Making a safe harbor is no easy task, especially given the strong encouragement for leaders to personify the missions of the organizations they lead. For example, H. Gardner and Laskin (1995) pronounce it “a stroke of leadership genius when stories and embodiments appear to fuse, or to coalesce, as in a dream—when, as the poet William Butler Yeats would have it, one cannot tell the dancer from the dance” (p. 37).



Two ways to stay grounded are having a physical space to retreat to or some activity that allows respite (Heifetz & Linksy, 2002). George has both. He has a safe harbor in the corner of the living room where his architecture workshop is set up complete with models of a bridge and skyscraper. There are photographs of family and friends, architectural drawings, travel calendars, and a picture of Abraham Lincoln. In addition to the physical space, George has models of skyscrapers and the bridge he wants to build someday. These are outward representations of unfulfilled dreams. As frustrating as these dreams may be, they are his greatest safe harbor.

### *Adaptive*

On their wedding day in fall 1932, George and Mary are on their way to the train station for their honeymoon trip when Ernie, the cab driver, notices people swarming around Old Man Potter's bank. George gets out of the cab and starts running to the Building and Loan where grim-faced people wait anxiously. George acts immediately to calm his worried constituents, calling them by name. His objective is to prevent panic from destroying the only decent and humane alternative to Old Man Potter. George is pragmatic, maintaining a calm demeanor and addressing his customers' demands and worries to get their money out of the bank but, as people become more anxious and the crisis deepens, George responds quickly to address their concerns.

There are some who believe that George should have predicted and avoided the banking crisis altogether. Christensen, Anthony, and Roth (2004) assert that the "theory that explains the past can—if used properly—provide insight into the future" (p. xxxi). Using September 11 as an example, Bazerman and Watkins (2004) assert that "leaders can prescriptively employ the concept of the predictable surprise to avoid future disasters" (p. 11). Making alertness the first of his four pillars of high performance, P. Light (2005) advises that organizations have "little reason to reallocate, retrain, renew, or realign if they do not see the change coming" (p. 100).

For those who advocate such behaviors as a leadership competency, human beings have a regrettably poor record. Schelling (as cited in Wohlstetter, 1962) calls Pearl Harbor a “supremely *ordinary* blunder . . . of a supremely well-informed government to call the next enemy move in a cold war” (p. vii italics as written); Perrow (1999) calls space shuttle Challenger, Bhopal, Chernobyl, and Three Mile Island *normal* accidents.

To be sure, there are some organizations with better records. Even though Tushman and Romanelli (1992) found that most organizations do not succeed at anticipating turbulent environmental conditions, there was a rare group of high performers with “relatively stable executive teams that initiated reorientations to stay ahead of turbulent environmental conditions” (p. 88). If you happen to be one of these rare change-adept leaders, count yourself lucky and celebrate the rewards including being “less likely to be blindsided by surprises or to face resistance from the work force [and] less need to foment revolutions in order to achieve business goals” (Kanter, 1997, p. 5).

Unlike these rare high performers, George has his share of blindsiding surprises including the banking crisis of 1932 and the Christmas Eve crisis of 1945. Of course, this is partially what makes George so appealing; he is like the rest of us who must accept crises as a reality that can “occur today with little or no warning, anywhere, anytime” (Fink, 2000, p. 1).

Yet, he is unlike the rest of us who “manage unexpected events poorly, in which case the events spiral, get worse, and disrupt ongoing activity” (Weick & Sutcliffe, 2001, p. 2). Whatever the unexpected situation—be it brother Harry’s falling through the ice, Old Man Gower’s prescription mistake, or the banking crisis—George responds quickly and effectively. How do leaders like George pull this off? According to Bennis and Thomas’ (2002b) study of 61 exemplars, the answer is quite clear:

The one key asset all our leaders share, whether young or old, is their adaptive capacity. The ability to process new experiences, to find their meaning and to integrate them into one's life, is the signature skill of leaders and, indeed, of anyone who finds ways to live fully and live well. (pp. 18-19)

This finding is not startling given Vaillant's (1995) longitudinal study of 268 men over a period of 40 years that found "it is not stress that kills us. It is effective adaptation to stress that permits us to live" (p. 374). Denison, Hooijberg, and Quinn (1995) found support for the "idea that effective leaders demonstrate more complex, contradictory, and paradoxical behaviors than ineffective leaders" (Denison et al., 1995, p. 535). Not surprisingly, "empirical studies tend to show that there is no normative (best) style of leadership; that successful leaders are those who can adapt their leader behavior to meet the needs of their followers and the particular situation" (Sashkin, 1995, p. 148).

Tushman, Newman, and Nadler (1988) argue that the "most successful firms both manage incremental change *and* are able to initiate and implement discontinuous changes prior to experiencing performance declines" (p. 107 italics as written). In the late 1980s, Shell Oil surveyed 30 companies that had been in business for more than 75 years. What distinguished them was "their ability to live in harmony with the business environment, to switch from a survival mode when times were turbulent to a self-development mode when the pace of change was slow" (De Geus, 1988, p. 71).

Though some may subscribe to Fiedler's (1965) assertion that it is "surely easier to change almost anything in the job situation than a man's personality and his leadership style" (p. 115), others take Hill's (1991) counterpoint that "most leaders can behave flexibly enough to cope with varied situations [and] it may not be necessary either to change managers as the

situation changes or to modify the situation to fit managers' styles" (p. 46). In other words, leadership operates as a "duality between the transformation and the transactional—the visionary and the mundane, with effective leaders needing to pursue both without losing sight of either" (Sheard & Kakabadse, 2004, p. 40).

Perhaps this is why Beardsworth, and Keil (1988) claim that the successful leader "needs to be a leadership chameleon, continually adjusting his style to suit different people and circumstances" (p. 19). Klenke (2003) writes that a "leader with a diverse role and skill repertoire and a broad behavioral portfolio will be best suited to react to a complex, yet often ambiguous, paradoxical and indeterminate organizational and environmental context" (p. 26). Bryman, Bresnen, Kouzes and Posner (1995) say that in the "dynamic contemporary environment, only adaptive individuals and organizations will thrive" (p. 291). Bhidé (1994) found that 72 percent of the founders of fast-growing companies did not have a full-blown plan when they started because, in the dynamic environment that entrepreneurs face, "an ability to roll with the punches is much more important than careful planning" (p. 152).

Yukl (2002) states, "Leaders face an immense variety of rapidly changing situations, and several different patterns of behavior may be equally effective in the same situation . . . The managerial job is too complex and unpredictable to rely on a set of standardized responses to events" (pp. 231-234). Perhaps this is why inability to adapt is one of the four primary reasons for career derailment (Van Velsor & Brittain Leslie, 1995).

Adaptive goes for organizations, too. Mumford, Zaccaro, Connelly, and Marks (2000) assert that "organizations are becoming progressively more loosely-knit entities where a premium is placed on the organization's ability to rapidly adapt to changing competitive environment and new technologies" (p. 167). Anderson and Tushman (2001) assert that "an

organization's ability to cope with uncertainty is a key determinant of its life chances" (p. 675).

Though Thornhill and Amit (2003) attribute the failure of younger firms to shortcomings in management knowledge and financial management abilities, they assert that "failure in older firms may be attributable to an inability to adapt to environmental change" (p. 497).

Adaptive is high on the list of experts on nonprofits (Bryson, 1995; Dym & Hutson, 2005; Letts, Ryan, & Grossman, 1999). Connolly (2006) calls it the most common leading element in the evolution of a nonprofit, defining it as the "ability to monitor, assess, respond to, and stimulate internal and external changes . . . it is probably the most important capacity because it enables a nonprofit to be innovative, flexible, and resilient" (p. 7). In his book on sustaining innovation in nonprofit and government organizations, P. Light (1998) describes the contradictions that leaders such as George encounter:

Organizations are supposed to be simultaneously loose (that is, decentralized into relatively autonomous units) and tight (strongly controlled from the top); big (possessing extra money for good ideas) and little (with everyone having a stake in the organization's success); young (characterized by new people and new ideas) and experienced (stocked with seasoned professionals who know what they are doing); highly specialized (with individual employees and units focused on narrow pieces of the organization's overall job) and unified (with everyone sharing in the mission). (p. 16)

Though P. Light says that it is very difficult to reconcile these paradoxes, Denison, Hooijberg, and Quinn (1995) disagree, finding support for the "idea that effective leaders demonstrate more complex, contradictory, and paradoxical behaviors than ineffective leaders" (p. 535). Klenke (2003) writes that a "leader with a diverse role and skill repertoire and a broad

behavioral portfolio will be best suited to react to a complex, yet often ambiguous, paradoxical and indeterminate organizational and environmental context” (p. 26).

This all adds up to the fact that those who practice Leadership for Good are *adaptive*, which at its core recognizes that “all things change”(Heraclitus et al., 2001) and “the leader and their context are intertwined in a complex and intimate fashion” (Conger, 1999, p. 168). They start by being *alert* to the context around them. They are then *aligned* to that context, implicitly endorsing Hambrick and Finkelstein’s (1987) argument that the limits of a leader’s discretion are rarely within his or her complete control.

### *Alert*

We study leaders such as George because we want to learn how to be more effective (Bennis & Nanus, 1997; Collins & Porras, 1994; H. Gardner & Laskin, 1995). Regrettably, in the search for a perfect leadership theory, the role of context has been neglected (Osborn, Hunt, & Jauch, 2002; Schruijer & Vansina, 2002). Some of this neglect is due to the intricacy of context itself and the difficulties with building, testing, and using contingency models (Osborn et al., 2002; Yukl, 2002). Gladwell (2000) attributes the neglect of context to the Fundamental Attribution Error in which “human beings invariably make the mistake of overestimating the importance of fundamental character traits and underestimating the importance of the situation and context” (p. 160).

A study done by McGahan (1999) seems to support this perspective. It covered 13,547 business segments in 8,013 U. S. publicly traded corporations in 664 industries and found that “all types of performance—high, medium, and low—were quite persistent” (McGahan, 1999, p. 79); 80 percent of the companies began and ended the period from 1981 to 1997 in virtually the same place. The classic turnaround scenario wherein a company moves brilliantly from low

performance to high occurs in just 74 of the companies or just 0.5 percent; the number of companies that fell from the top to end in low performance is also quite small at 160 firms or 1.2 percent (McGahan, 1999, p. 78). In essence, where the organization began the period is where it finished.

The bottom line is straightforward: “One cannot separate the leader(s) from the context any more than one can separate the flavor from a food” (Osborn et al., 2002, p. 799). Kellerman (2001) agrees, “Leadership is contextual. What works in one era, setting, or organization simply doesn’t apply to any other” (p. 15). In other words, “sometimes managers matter a great deal, sometimes not at all, and usually it is somewhere in between” (Finkelstein & Hambrick, 1996, p. 16). Pfeffer and Sutton (2006) put a different twist on it: “Leaders make a big difference . . . except when they don’t” (pp. 189-192). Thus, “Instead of debating ‘Does leadership matter?’ the core question might instead be framed as, ‘*When* does leadership matter?’” (Wasserman, Nohria, & Anand, 2001, p. 1 italics as written)

The recognition that context is important is not a new idea by any means. Over 50 years ago, Lewin (1951) argued that “behavior (B) is a function (F) of the person (P) and of his environment (E) . . . to understand or to predict behavior, the person and his environment have to be considered as *one* constellation of interdependent factors” (pp. 239-240 italics as written).

Going back further in time leads to the Old Testament book of Ecclesiastes and its memorable observation about “a time for everything, and a season for every activity under heaven . . . a time to be born and a time to die, a time to plant and a time to uproot” (Barker & Burdick, 1985, p. 994). Rindova and Starbuck (1997) point to *The Great Plan* of China (circa between 1121 and 2200 BCE) and directly link it to situational leadership theory, “In peace and

tranquility, correctness and straightforwardness (must sway); in violence and disorder, strong rule; in harmony and order, mild rule” (Legge, 1879).

Whether called a time to be born and a time to die, punctuated equilibrium (Tushman & Romanelli, 1985), Heifetz and Linsky’s (2002) adaptive and technical change, Anderson and Tushman’s (2001) era of ferment/era of incremental change, or Frantz’s (1998) ground travel/space travel, evolution and revolution is one way to explain organizational life (Greiner, 1972; Tushman, Newman, & Romanelli, 1986; Tushman & Romanelli, 1985). In the evolution revolution model, reorientations are “relatively short periods of discontinuous change where strategy, power, structure and controls are fundamentally transformed towards a new coalignment [and convergent periods are] relatively long time spans of incremental change and adaptation” (Tushman & Romanelli, 1985, p. 171).

Between the period of evolution and revolution lies a crisis, a “situation that seriously threatens an organization’s survival” (Nystrom & Starbuck, 1984, p. 54). Other terms for crisis include “far-from-equilibrium conditions” (Hurst, 1995, p. 101), jolt (Marcus, 1988), discontinuity (Anderson & Tushman, 2001), strategic inflection point when “fundamentals are about to change” (Grove, 1996, p. 3), trigger event (Tichy & Devanna, 1986), bifurcation point (Wheatley, 1999), cosmology event (Coutu, 2003), Aristotle’s peripeteia, “a sudden reversal in circumstances [that] swiftly turns a routine sequence of events into a story” (Bruner, 2002, p. 5), and Gladwell’s (2000) tipping point, “that one dramatic moment . . . when everything can change all at once” (p. 9).

Crisis appears relatively rare. In for-profits, it can take the form of turnarounds at about 27 percent (“Successful change management,” 2006), insolvency from one percent annually in large for-profits to 34 percent annually in small ones (Bates & Nucci, 1989; Hillegeist, Keating,



Cram, & Lundstedt, 2004), and executive succession at 16.2 percent including performance-related at 5.7 percent (Lucier, Kocourek, & Habbel, 2006). In nonprofits, insolvency runs about 20 percent (Bielefeld, 1994), financial vulnerability about 18 percent (Trussel, 2002), executive succession at about 9 percent per year including the one in three executives who report that their predecessors were forced out of office over a multi-year period (Bell et al., 2006).

Put this all together and it is clear that “the central lesson we can take from business history is that context matters” (Mayo & Nohria, 2005, p. 60), which is why Khandwalla (1976) advises that “for best results, it is desirable to bear in mind the context before choosing a style” (p. 36). As Vaill (1989) suggests, “one cannot know where the next opportunity or threat is going to come from. Yet when it comes, a great deal depends on possessing or being able rapidly to acquire a useful way of thinking about it” (p. 20). Therefore, if context matters, alertness to it matters too.

Nohria and Berkley (1994) assert that the central quality of the truly effective manager is sensitivity to context. Kenny and Zaccaro (1983) state that the key stable characteristic of leadership is the “ability to perceive the needs and goals of a constituency and to adjust one’s personal approach to group action accordingly” (p. 678). Mayo and Nohria (2005) argue that a “lack of contextual sensitivity can trip up even the most brilliant of executives” (p. 45).

Conger and Kanungo (1987) make sensitivity to the environment one of their primary behaviors for charismatic leadership and Sheard and Kakabadse (2004) assert that capable leaders “need to adopt different approaches in different situations; they must be ‘context sensitive’” (p. 41). Wiseman (2003) says that “lucky people are skilled at spotting any opportunities that naturally arise . . . their relaxed approach to life helps them notice what is

happening around them” (p. 48). Hambrick and Finkelstein (1987) go further in their claim: “Managerial excellence is a function of sheer awareness of options” (p. 374).

George’s alertness shows early as a boy of 12 working in Mr. Gower’s drugstore. Mr. Gower, who has just received news by telegram of his son’s death, is obviously distraught. When George is told to deliver a prescription to Mrs. Blaine, he senses that something is wrong, guesses that the prescription is poison, but Gower forces him to deliver it anyway. As he leaves the drug store, he looks up to see an advisement for Sweet Caporals, a popular tobacco product of the time, which says “Ask dad—he knows.” He takes this advice and goes to see his father, but Peter Bailey is otherwise engaged in an argument with Old Man Potter. Rather than deliver the prescription, George obviously stalls and later goes back to the drug store where he is reprimanded and beaten by Gower until the truth is discovered. In this case, George’s alertness saves the lives of two people: Mrs. Blaine and Mr. Gower.

### *Aligned*

In periods of evolution, leaders often try to make revolutionary change, but this is rarely successful (Greiner, 1998; Senge, 1999). Kotter (1998) studied more than 100 companies and found that “few efforts have been very successful. A few have been utter failures. Most fall somewhere in between with a distinct tilt toward the lower end of the scale” (p. 1). Kanter (1997, p. 25) acknowledges as much when she writes that “many companies are change-klutzes” (p. 25).

Senge (1999) agrees that “businesses do not have a very good track record in sustaining significant change” (p. 6). Strebel (1998) says, “Change management isn’t working as it should. In a telling statistic, leading practitioners of radical corporate reengineering report that success rates in *Fortune* 1000 companies are well below 50%; some say they are as low as 20%” (p. 86).

A McKinsey Global Survey finds that just three in ten transformations are seen as completely or mostly successful at equipping the organization for sustained long-term performance ("Successful change management," 2006).

If undertaking revolutionary change were all that successful, O'Toole (1995) would not argue that in "all instances of modern society, then, change is exceptional. When it comes about, it does so primarily as a response to outside forces" (p. 253). One alternative to dealing with the exigencies of context is to be aligned:

[L]eaders become effective by aligning themselves with all available resources in the service of the organization's mission, objectives, and strategies . . . the leader's character, skills, style, values, and personal objectives have to mesh with comparable qualities in the organization she leads; it's processes, structures, values, and culture; the way it develops and utilizes its staff; the way it pursues its strategies for success in the communities and markets it serves. (Dym & Hutson, 2005, pp. 9-10)

In other words, leaders are most effective when they are alert to the world around them *and* when they are aligned to that context. In other words, leaders "operate at the boundary between the external environment and their organization [and then] take actions to align the organization" (Finkelstein & Hambrick, 1996, p. 19). After all, as Porter (1998b) puts it, "The essence of formulating competitive strategy is relating a company to its environment" (p. 3). This certainly doesn't mean floating along, lying back, and enjoying the ride. After all, "a firm can shape structure, it can fundamentally change an industry's attractiveness for better or for worse" (Porter, 1998a, p. 7).

On the other hand, aligned does mean not attempting revolutionary change when the conditions aren't warranted. McGahan (2000) provides support for this in her finding that firms

that ride the trends in their industries improved their performance and those that buck the trends “typically fail when they attempt to jar the path of industry evolution” (p. 13).

Aligned to context may seem to apply only to periods of evolution, but it also applies to turbulent periods in the inverse. In the same way that forcing revolutionary change upon organizations in periods of evolution appears to fail, firms that exhibit a rational approach in unstable environments perform poorly (Fredrickson & Mitchell, 1984). Aligned is all about fitting the organization to its environment—whether stable, unstable, or something in between—and not about trying to fit the environment to the organization, which is inevitably fraught with failure.

George appears to be one of those leaders most comfortable in times of evolution, as was the case during the four-year period after he took over the Building and Loan that Joseph describes this way: “George got four years older, waiting for Harry to come back and take over the Building and Loan” (Goodrich et al., 1947, p. 48). To be sure, George handles his share of crises as he shows so well during the banking panic, but that he works hard and steadily, year and year, one new home by one new home, relentlessly building the community, is the evidence that he is at his best in times of evolution.

### *Difference Makers*

When the question is called on Christmas Eve about the George’s effectiveness as a leader, prayers sum up his effect: Old Man Gower prays, “I owe everything to George Bailey. Help him, dear Father”, and Bert the cop prays, “He never thinks about himself, God, that’s why he’s in trouble” (Goodrich et al., 1947, p. 1). George gets the rare gift of seeing his legacy in real time through the people he serves when they open their purses on Christmas Eve, putting their money where their hearts are.

Though it is clear that George has made a great difference in the lives of others, most leaders don't get the chance to eavesdrop on prayers to God and learn about their effectiveness. That is why it is important to be explicit about what effectiveness means. After all, effectiveness is "the ultimate dependent variable in organizational research" (Cameron & Whetten, 1983, p. 2). For Drucker (1974) back in the mid-70s, the answer could not have been simpler: "Efficiency is concerned with doing things right. Effectiveness is doing the right things" (p. 45). Three years later, Scott (1977) provided the counterpoint:

There is disagreement about what properties or dimensions are encompassed by the concept of effectiveness. There is disagreement about who does or should set the criteria to be employed in assessing effectiveness. There is disagreement about what indicators are to be used in measuring effectiveness. And there is a disagreement about what features of organizations should be examined in accounting for observed differences in effectiveness. (pp. 63-64)

Even in this atmosphere of pessimism, Cameron (1984) was able to identify seven major models for identifying effectiveness: goal, system resource, internal processes, strategic constituencies, competing values, legitimacy, and ineffectiveness. Yet two years later, she concluded that, in spite of the "prominent place of organizational effectiveness in modern organizational America, confusion and ambiguity still characterize scholarly writing on the subject" (Cameron, 1986, p. 539).

Regrettably, at the time the future didn't look much brighter. Goodman, Atkin, and Schoorman (1983) advised that the prospect for "studies of organizational effectiveness *per se* are not likely to be fruitful" (p. 163 italics as written). Perhaps because of this inconclusiveness in academe, Porter (1996) enhanced Drucker's doing-things-right approach by defining

organizational effectiveness as “performing similar activities *better* than rivals perform them” (p. 62 italics as written). With that said, Cameron’s (1986) 20 year-old declaration still rings true, that “agreement about effectiveness is mainly an agreement to disagree” (p. 544).

Defining effectiveness in the nonprofit sector has covered similar terrain (Herman & Renz, 1998, 1999; Kibbe, 2004; Selden & Sowa, 2004; Sowa, Selden, & Sandfort, 2004). Forbes’ (1998) review of 21 empirical studies of nonprofit organizational effectiveness over a 20-year period identified a variety of approaches at work in the nonprofit sector: goal attainment, system resource, reputational, multidimensional, and emergent. Like so many who came before him, he concludes that effectiveness is “a subject of controversy and confusion, and it is difficult to identify any signs of theoretical progress in our understanding of the concept” (p. 183).

Similar to Porter’s assertion that effectiveness is doing things better than others, Herman and Renz (1999) argue that nonprofit organizational effectiveness is always a matter of comparison. They further assert that effectiveness is multidimensional and cannot ever be reduced to a single measure. Boards of directors make a difference, correct management practices are used by effective nonprofits, effectiveness is a social construction, and program indicators are limited and dangerous. In 2004, Herman and Renz (2004) simplified their approach as the result of a longitudinal study of 64 locally-based United Way-funded health and welfare organizations that found “overall nonprofit organizational effectiveness *is whatever multiple constituents or stakeholders judge it to be*” (p. 695 italics as written). The argument is elegantly simple:

Given our assertion (which we believe is supported by the results of our research), that effectiveness is socially constructed and by multiple stakeholders who have power and

influence in the organization's operating environment, we consider it less useful to try to nail down one fixed set of effectiveness criteria and assume that all stakeholders will "buy" it—because we know this is very unlikely. D. Renz (personal communication, May 28, 2005)

This social construction approach is operationalized by simply asking stakeholders "how well the organization has been doing on whatever is important to them" (Herman & Renz, 2003, p. 6). That this approach is taking hold is evidenced by Ostrower and Stone's (In press 2006) observation that "a significant development in the field is the recognition that effectiveness is a contingent concept—and that no one model of effectiveness will be suitable for all organizations or even for one organization at different points of time."

Stone and Cutcher-Gershenfeld (2002) found a number of reasons for the difficulties in understanding organizational effectiveness, including the use of many different definitions and terms, conflicting theoretical constructs, the extensive volume of possible measures, and ends disconnected from means. Stone (2005) has not changed her position as yet, most recently saying that effectiveness is "an elusive and contentious concept to define and operationalize" (p. 9).

Though diversity of opinion seems to be a hallmark of academic studies, a report of the experiences of 29 participants engaged in leadership capacity building sheds a more practical light on effectiveness in the field (M. Light, 2006). For participants in the study, the most popular method of determining effectiveness was mission achievement, which is consistent with the goal model's position of prominence. Correct management practices was the second most popular method. The third most popular was multidimensional approaches that measure "effectiveness in several different ways simultaneously, often incorporating measures based on both the goal-attainment and system resource approaches" (Forbes, 1998, p. 186).

In the final scene of the movie, George is surrounded by the many people who have rallied to help him, when Harry arrives to toast his brother after cutting short his Medal of Honor celebration in New York and flying through a snowstorm. Harry raises his glass and says, “A toast . . . to my big brother, George. The richest man in town!” (Goodrich et al., 1947, p. 166) But what does this really mean? Is George the richest man in town because of what Clarence writes to George on Christmas Eve, that “no man is a failure who has friends” (Goodrich et al., 1947, p. 166)?

This study used a mixed approach for calibrating effectiveness. George and others who practice Leadership for Good are *difference makers* who build *doubly good* organizations that deliver superior financial results (correct management practices) and achieve the mission (goal approach). In addition, they *empower others*, whether they are the employees or the customers whom the organization serves (multidimensional approach). In addition to these direct methods, this study embraced Herman and Renz’s (1999) contention that effectiveness is always comparative, either to the organization itself at earlier times or to other organizations.

### *Doubly Good*

During the banking crisis on his wedding day, George uses the honeymoon money to help his worried customers at the Building and Loan. Imagine for a moment that we are on the board of the Building and Loan and it is our task to evaluate George’s effectiveness in this situation. What criteria should we use? Is it the amount of money he spent to allay the fears, his personal sacrifice, customer satisfaction, or some other measure?

Effectiveness is ultimately tied to an organization’s capacity to get the job done. Capacity, a popular term in the nonprofit sector (McPhee & Bare, 2001), is described as an organization’s ability to accomplish its mission (Kibbe, 2004; Linnell, 2003; MCPhee & Bare,



2001). Due to the broadness of its definition, capacity is often described by the interventions that build it. These include “strategic planning, board development and technology upgrades” (Connolly et al., 2003, p. 1), a “blend of sound management, strong governance, and a persistent re-dedication to achieving results” (“Organizational effectiveness - updated,” 2003), and the “development of an organization’s core skills and capabilities, such as leadership, management, finance and fundraising, programs and evaluation” (Campobasso & Davis, 2001, p. 4).

The thread that holds the interventions and broad definition together is the quest to improve organizational effectiveness (Connolly & York, 2002; Kearns, 2004). It is, after all, the “capacity for strong performance in organizations—the ability to develop, sustain, and improve the delivery of a mission—that provides the foundation for lasting social benefits” (Letts et al., 1999, p. 4). That is, unless you’re Old Man Potter.

When we first meet Old Man Potter face-to-face, he is berating George’s father and insisting on an answer to the age-old question that so many leaders face, “Are you running a business or a charity ward?” (Goodrich et al., 1947, p. 13) Peter Bailey does not reply directly, perhaps because the answer is so obviously “both.” Years later, Potter delivers a stinging eulogy:

Peter Bailey was not a business man. That’s what killed him. Oh, I don’t mean any disrespect to him, God rest his soul. He was a man of high ideals, so called, but ideals without common sense can ruin this town. (Goodrich et al., 1947, p. 43)

In these words that damn with faint praise, Old Man Potter highlights the two frames that define capacity for those who practice Leadership for Good, the double bottom line that Potter says is about ideals and common sense, that Bradley, Jansen, and Silverman (2003) call social benefit and dollars available, what Rechman (2007) describes as “work of the heart (service) and

work of the head (business)” (p. 128), what Churchill ("BrainyQuote," 2001-2003) called making a living and making a life, and that I term mission achievement and financial results.

*Mission achievement.*

That mission achievement is acquainted with effectiveness is hardly a revelation. It leads Herman and Renz’s (1998) list of objective indicators of effectiveness. And it is one of the poster children for the rational goal model of effectiveness, which is one of the most—if not the most—popular model (Herman & Renz, 1999; Stone & Cutcher-Gershenfeld, 2002). This is true despite the long standing criticism that “organizations may have many goals, and they can be inconsistent, contradictory, or incoherent; it is often unclear even at what level or with respect to what units the attainment of goals should be measured” (Kanter & Summers, 1987, p. 155).

Nonprofits appear to concur with this observation by identifying lack of tangibility as the number one challenge to performance measurement (Wiener et al., 2002). After all, there is an inherent difficulty in using quantitative measures for “such subtle outputs as tender loving care in a nursing home, appreciation of art and music, and education in cultural values” (Weisbrod, 2002, p. 275). Or as Herman and Renz ” (1999) put it, “the crucial exchange that NPOs help to enact is one measured in moral or value terms” (p. 112).

That it is difficult to measure mission achievement does not lessen its importance, especially when studies such as Shilbury and Moore’s (2006) of national Olympic sporting organizations find it to be the “the critical determinant of effectiveness” (p. 5). Indeed, Sheehan (1996) declares mission achievement equivalent to effectiveness, which is something that Drucker (1989) says for-profits would be wise to learn:

Starting with the mission and its requirements may be the first lesson business can learn from successful nonprofits. It focuses the organization on action. It defines the specific

strategies needed to attain crucial goals. It creates a disciplined organization . . . The best nonprofits devote a great deal of time to defining their organization's mission. They avoid sweeping statements full of good intentions and focus, instead, on objectives that have clear-cut implications for the work. (p. 89)

How does George stack up in terms of the mission achievement side of doubly good?

One of the more fitting examples happens on moving day to Bailey Park for the Martini family, when Giuseppe Martini is asked by one of his neighbors if he is renting a new house. Martini responds with obvious pride, "I own the house. Me, Giuseppe Martini. I own my own house. No more we live like pigs in thisa (sic) Potter's Field" (Goodrich et al., 1947, p. 83).<sup>8</sup>

#### *Financial results.*

Potter surely did not intend anyone to take his statement about ideals and common sense seriously; he meant it as a criticism, that those who practice Leadership for Good have high ideals, but never common sense, which is an opinion widely shared. John Whitehead, former head of Goldman Sachs and who gave \$10 million to Harvard University to develop a nonprofit curriculum, describes the typical nonprofit chief executive as "dedicated to the job [but with]

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<sup>8</sup> It is no coincidence that Martini calls the squalid slum Potter's field. When Judas returned the 30 pieces of silver that he was paid to betray Jesus, the chief priests "used the money to buy the potter's field as a burial place for foreigners" (Barker & Burdick, 1985, p. 1486). It was a potter's field not because of the person who owned it, but "rather because the land was not good for growing crops, and therefore could only be used by potters to dig clay" ("Potter's field," 2006).

very little experience and very little knowledge in how to run something, how to manage something, how to plan, and how to deal with people” (Young, 1999, p. 316). M. Kramer (2006), co-founder of the Center for Effective Philanthropy, joins in with his own stinging rebuke that the “knowledge of how to use charitable dollars effectively turns out to be a much rarer commodity than the dollars themselves” (p. 36).

One of the reasons for this “ideals without common sense” viewpoint is the persistent belief that financials don’t apply in nonprofit organizations, primarily because there is no financial bottom line (Frumkin, 2002). Peter Goldmark, former President of the Rockefeller Foundation, describes it this way: “You don’t have a central financial metric that is really central . . . You are dealing with more squishy intangible issues of social change or public attitudes and behavior” (as cited in Silverman & Taliento, 2006, p. 39). Collins (2005) asserts, “For a business, financial returns are a perfectly legitimate measure of performance. For a social sector organization, performance must be measured relative to mission, not financial returns” (p. 5).

Herzlinger (1996) goes further in saying that nonprofits lack the “self-interest that comes from ownership . . . the competition that would efficiency [and] the ultimate barometer of business success, the profit measure” (p. 99). Kanter and Summers (1987) concur, saying that “these organizations have defined themselves not around their financial returns but around their mission, or the services they offer” (p. 154). Porter and M. Kramer (1999) are more cutting when they note that nonprofits “operate without the discipline of the bottom line in the delivery of services” (p. 124).

These patronizing viewpoints fall short of the mark. Those who practice Leadership for Good absolutely depend upon financial results to determine effectiveness. Even 20 years ago,

Kanter and Summers (1987) recognized that “nonprofits are increasingly setting more stringent financial goals, reporting ‘operating income’ as though it were ‘profit’” (p. 154). At about the same time, Drucker (1989) asserted that “nonprofit enterprises are more money-conscious than business enterprises are. They talk and worry about money much of the time because it so hard to raise and because they always have so much less of it than they need” (p. 89). In other words, that nonprofits don’t, shouldn’t, or can’t use financial returns to measure performance is as much a myth as the idea that nonprofits can’t make a profit at all (Baruch & Ramalho, 2006; Masaoka, 2005; C. Miller, 2005; Wolf, 1999).

In terms of the financial results side of the equation, rent-collector Reineman sums things up for his boss, Old Man Potter:

Fifteen years ago, a half-dozen houses stuck here and there . . . Look at it today. Dozens of the prettiest little homes you ever saw. Ninety per cent owned by suckers who used to pay rent to you. Your Potter’s field, my dear Mr. Employer is becoming just that. And are the local yokels making with those David and Goliath wisecracks . . . The Baileys are all chumps. Every one of these homes is worth twice what it cost the Building and Loan to build. (Goodrich et al., 1947, p. 86)

Consistent with Herman and Renz’s (2004) assertion that organizational effectiveness is always a matter of comparison, Reineman looks at George’s results for the Building and Loan and George at different moments in time, from when it was nothing but a good place to hunt rabbits, as Reineman puts it, to a thriving community 15 years later.

In sum, the doubly good performance that George achieves is indicative of those real-life exemplars who led Karen Borchert, director of the Campus Kitchen Project, to say that “the future isn’t in nonprofits being more like business, but for businesses to act more like nonprofits”

(as cited in Egger & Yoon, 2004, p. 106), what P. Light (2001) calls *nonprofit-like*, which he defines as “high performing in the pursuit of the collective, or public, good . . . both performance and purpose of the sector.” And why Drucker (1989) says nonprofit organizations are becoming “America’s management leaders” (p. 88).

Return to where this discussion of doubly good began, to the crisis at the bank on his wedding day, and evaluate George’s effectiveness. It is the end of the day, the customers are gone, George and his colleagues are counting down the final seconds on the clock to closing, “Six . . . five . . . four . . . three . . . two . . . one. . . Bingo! . . . We made it! Look . . . look, we’re still in business. We’ve still got two bucks left” (Goodrich et al., 1947, p. 78). Still in business and two bucks left to show for it; ideals and common sense; achieving the mission and financial results; make a living and make a life; no matter how we say it, doubly good.

### *Empower Others*

Empowerment is an oft-used word in recent decades, implying that it is of this time and place, a buzzword that implies different things to different people (Argyris, 1998; Randolph, 2000; K. Thomas & Velthouse, 1990). Indeed, the word officially made the Lake Superior State University Banished Word list in 1993 under the category of Political Purporting (“Banished words,” 2006). The word actually dates back to the mid-17<sup>th</sup> century when it was defined as “to invest with authority, authorize” (“The American heritage dictionary of the English language,” 2000).

“To give their gifts” is the language that Couto and Eken (2002) use to describe empowerment, which Jackie Reed, director of the Westside Health Authority, describes this way, “Leadership sets up an opportunity for others to give their gifts, for others to contribute to community” (as cited in Couto & Eken, 2002, p. xii). Sen (1999) takes the approach that it is the

“removal of major sources of unfreedoms: poverty as well as tyranny, poor economic opportunities as well as systematic social deprivation, neglect of public facilities as well as intolerance or overactivity of repressive states” (p. 3). Kieffer (1984) sees empowerment as a matter of ongoing adult development to achieve a growing capacity in three areas: “positive self-concept . . . analytical understanding of the surrounding social and political environment [and] cultivation of individual and collective resources for social and political action” (p. 31). Bush and Folger (2005) define the term quite simply as a move from “weakness to greater strength” (p. 75).

Empowerment in organizations refers to “employees being more proactive and self-sufficient in assisting an organization to achieve its goals” (Herrenkohl, Judson, & Heffner, 1999, pp. 373-374). Others see empowerment as primarily related to motivation of employees (Argyris, 1998; K. Thomas & Velthouse, 1990). Pardo del Val and Lloyd (2003) consider empowerment another word for participative management.

Resolving the many different approaches begins with Segal, Silverman, and Temkin’s (1995) observation of three dimensions in the social science literature: the control you have over your life, the influence you have over organizations, and your participation in political and civic life. Conger and Kanungo (1988) are more parsimonious with two distinct elements: empowerment as a relational construct and empowerment as a motivational construct. In the former, it is about delegating; in the latter, it is about enabling, which forms the linchpin of their definition of empowerment as “a process of enhancing feelings of self-efficacy among organizational members” (p. 474). Leadership for Good embraces a definition of empowerment as a “process of gaining control over one’s life and influencing the organizational and societal structures in which one lives” (Segal et al., 1995, p. 215).

*Three Tests.*

Even if those who practice Leadership for Good are difference makers who empower others, how does one determine whether this has actually been accomplished? Greenleaf (1977) uses three tests:

The best test, and difficult to administer, is: Do those served grow as persons? Do they, *while being served*, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? *And*, what is the effect on the least privileged in society; will they benefit, or, at least, not be further deprived? (pp. 13-14 italics as written)

For George, the evidence of people growing as persons lies in the outpouring of support for George in his crisis despite Old Man Potter's insistence that no one would help him out: "Why don't you go to the riff-raff that you love so much and ask them to let you have eight thousand dollars. You know why? Because they'd run you out of town on a rail" (Goodrich et al., 1947, p. 124). Nothing could be further from the truth, however, as that very riff-raff "didn't ask any questions—just said, 'If George is in trouble—count on me'" (Goodrich et al., 1947, p. 164).

The second test of servant leadership is whether or not those served become servants themselves. Pawl (1994) calls this his shorthand platinum rule: "Do unto others as you would have others do unto others" (p. 23), which Vail (2006) calls the Golden Rule of Leadership. There are two specific examples of how well George succeeds at this. The most poignant is Mary herself. On their wedding day, it is Mary who repeatedly begs George not to get out of the cab on the way to the train for their honeymoon. Minutes later, it is Mary who offers the honeymoon cash to tide people over. Thirteen years later, it is Mary who is the servant leader as described by Uncle Billy, "Mary did it, George, Mary did it, George! Mary did it! She told a few people you



were in trouble and they scattered all over town collecting money” (Goodrich et al., 1947, p. 164).

The second example is Tom who was the second man at the teller window demanding his money during the banking crisis of 1932. And, after Mary gives up the honeymoon money, it is Tom who is first to belly up to the teller window repeating his earlier demand for his money; it is Tom who leads the rebellion to sell out to Old Man Potter; it is Tom who refuses to accept anything less than his full balance of \$242; it is Tom who says that his withdrawal will close his account. And it is George who refuses to close Tom’s account, implicitly forgiving him for his selfishness.

Thirteen years later, on Christmas Eve, we see Tom again, but this time he is giving back, digging into his wallet with a cheerful countenance and a veiled apology for his behavior so many years earlier, “What is this George? Another run on the bank?” (Goodrich et al., 1947, p. 164) It is one thing that George did so much to help others achieve the dream of home ownership; it is quite another that they themselves reached out to help him. This is much more than the reciprocity of social capital, “the collective value of people who know each other and what they’ll do for each other” (Tichy & Cohen, 1997, p. ii).

Finally, the last test of servant leadership is the effect on the least privileged, which is clearly substantial. The best evidence of this lies in what the community would have been like had George not been born: Now named Pottersville, it is a tawdry, unseemly place populated with dance clubs, bars, and down-on-their luck people including Mr. Gower, the town drunk ridiculed for his accidental poisoning that George wasn’t there to prevent.

When his brother Harry falls through the ice, George is the first to reach him and jumps in immediately to save him from drowning. George calls out to the other kids for help, knowing

he cannot do it alone. It is an auspicious foreshadowing of what it will take to be saved when George is at the point of drowning 26 years later. Little wonder why Capra changed the music that ends the film from Beethoven's *Ode to Joy* to *Auld Lang Syne*—meaning “friends remembering friends” (Hawkins & Petersen, 1992).

### *Life and Art*

One of the reasons that George is said to be wonderful is because he is so downright ordinary, a person to whom we can all relate: “George is not brilliant or grand or heroic in the usual sense of the words. He does not invent things or get elected to office. He does not make money, win contests, or circumnavigate the globe” (Basinger et al., 1986, p. 74).

Another reason George is said to be wonderful is that his dreams “don’t come true, something that everyone, no matter how ordinary or how extraordinary, how rich or how poor, experiences at some level” (Basinger et al., 1986, p. 74). Carney (1996) weighs in with a third reason:

Capra wants us to know that George Bailey’s life is wonderful—not because his neighbors bail him out with a charity sing-along, and certainly not because of the damnation of his life with the faint praise embodied in Clarence’s slogan, ‘No man is a failure who has friends,’ but because he has seen and suffered more, and more deeply and wonderfully, than any other character in the film. (p. 433)

These viewpoints that George is wonderful because he is an ordinary person, his dreams don’t come true, and that he suffers more than anyone else are certainly relevant, but what makes George truly wonderful is that he embodies the “profound and positive impact that each of us has on the lives of others” (Willian, 2006, p. ix).

In spite of all of his frustrations and disappointments, George's dreams do come true—just not exactly as he imagined. Instead of skyscrapers a hundred stories tall, he has built hundreds of homes one story tall. Instead of bridges a mile long, he has built hundreds of bridges between people, their families, and the community. He is not one of those larger than life John Wayne types that Drath (1996) says have fallen out of favor; he is a leader for the rest of us, he is a Leader for Good, a purposeful, visionary, results driven, adaptive difference maker.

### Chapter III: Methodology

The Leadership for Good study was designed to test if the five propositions based upon the fictional character of George actually exist beyond the silver screen. That is, does life imitate art?

Leadership for Good and its five propositions came from a careful review of the film and collateral materials. The first four propositions are the independent variables that define the work of wonderful leaders; the fifth proposition is the dependent variable that defines the outcome of that work, the wonderful lives:

First, those who practice Leadership for Good are *purposeful* by being *servant leaders*, *self-sacrificing*, and *trustworthy*.

Second, those who practice Leadership for Good are *visionary*.

Third, those who practice Leadership for Good are *results driven* by being *decisive*, *determined*, and *dependable*.

Fourth, those who practice Leadership for Good are *adaptive* by being *alert* to the context around them and then *aligned* to that context.

Fifth, those who practice Leadership for good are *difference makers* who build *doubly good* organizations and *empower others*.

Because of the tendency to impute generalizability to a study even with qualitative methods such as single case study (Bryman, 2004), it is important to be clear that the use of quantitative-like terms, (e.g., variables, sample) , and quantitative output, (e.g., descriptive statistics, correlation analysis) , should not suggest this study and its findings are generalizable to any larger population.

This study and its findings are presented for descriptive purposes to allow for transferability or fittingness, terms that Lincoln and Guba (1985) use wherein transferability is a “direct function of the *similarity* between the two contexts [and fittingness] is defined as degree of congruence between sending and receiving contexts” (p. 124 italics as written). Stake (1995) calls this naturalistic generalization where “conclusions [are] arrived at through personal engagement” (p. 85). In other words, the reader must consider his or her own unique circumstances when determining whether or not the findings are transferable and to what extent the findings seem to be true.

The five propositions form the nucleus of a construct-building mixed methods study with two concurrent, but *independent* phases—instrumental case study and Delphi. The two phases were related to each other as siblings are to their parents, but with their own distinctive and different personalities.

The qualitative case study phase—concurrent, but independent of the Delphi—enhanced a 2005 archival case study of Hank Lynch, CEO of Akron-based nonprofit Stan Hywet Hall & Gardens with annual revenues of \$5 million, which was the first test of the Leadership for Good construct. It was a single-case, instrumental-type case study wherein the “case is of secondary interest, it plays a supportive role, and it facilitates our understanding of something else” (Stake, 2000, p. 437). To enhance the study, six informant interviews were conducted to strengthen the credibility of the original case through the triangulation of data.

The three-round Delphi study phase—concurrent, but independent of the case phase—was a decision Delphi that provides “a basis for realistic and useful decisions” (Rauch, 1979, p. 161). It began at round one with the qualitative analysis of structured interviews from 16

exemplary executive directors who had at least five years tenure at the helm of human services nonprofit organizations *and* proven superior financial results.

These first-round interviews were analyzed using NVivo 7 and produced 126 statements in 17 topic categories for the round two questionnaire. The round two questionnaire was sent to each of the expert panelists who knew each other's names and organizational affiliations. Panelists ranked the statements on a five-point Likert-type scale, made their top choices for each of the statements, and had the opportunity to make written comments about each of topics.

The round three questionnaire offered the panelists a chance to re-rank the statements, which included eight new ones in an additional topic area. To help them do this, results from the round two questionnaire were summarized including the mean, median, panelist comments, and each panelist's answers. The results from the round three questionnaire were analyzed for statistics, stability, and agreement.

### *Rationale for Research Methods*

No discussion about mixed methods should begin without a brief discussion of the “paradigm wars” (Tashakkori & Teddlie, 1998, p. x). As Bryman (1984) observed two decades ago, the “argument seems to be that quantitative and qualitative methodology (and their various synonyms) are or exhibit distinctive epistemologies and that particular methods of research are appropriate to each” (p. 89).

A study of recent articles in the *Leadership Quarterly* gave a mixed picture of the usage level of the different methods. On one hand, it appeared that qualitative research had grown in importance representing 39 percent of all studies (including overlap studies) published during the 10-year period from 1990 to 1999 (Hunt, 2005). In a different study, Bryman (2004) disputed this: “When content analysis is removed from the list of methods . . . qualitative research still

appears to be a minority activity among leadership researchers in spite of the fact that it is almost certainly being used more today than prior to the mid-1980s” (p. 747).

When it comes to quantitative research about leadership, the survey stands above all others (Converse & Presser, 1986). That said, judging the propositions of *Leadership for Good* might not have been possible with a closed-question survey instrument because “concepts rich in meaning must be reduced to oversimplified, inevitably superficial, empirical indicators” (Babbie, 1990, p. 119). In contrast, qualitative research is especially effective for understanding the “profound sense of the realities of leadership: the frustrations they face as leaders, the forms of leader behavior they engage in, and their feelings about their successes and failures” (Bryman, 2004, p. 747).

The point here is not to suggest that quantitative methods employing survey research are specious while qualitative methods are not. It is that neither method should be set apart for its superiority. Crotty (1998) observes that this divide is far from justified: “We should accept that, whatever researchers engage in, it is possible for either qualitative methods or quantitative methods, or both to serve our purposes” (p. 15). As Tashakkori and Teddlie (1998) declare, “Now that these wars are behind us, researchers are free to use the methods most appropriate to the research question” (p. x).

In other words, the “relationship between qualitative and quantitative research should not be considered in terms of a mutually exclusive dichotomy but rather as a continuum of complementary paradigms . . . the most useful research typically results from appropriately applying both research paradigms” (Borland, 2001, p. 5). As Campbell (1975) put it 30 years ago, “qualitative common-sense knowing is not replaced by quantitative knowing. Rather,

quantitative knowing has to trust and build on the qualitative, including ordinary perception . . .

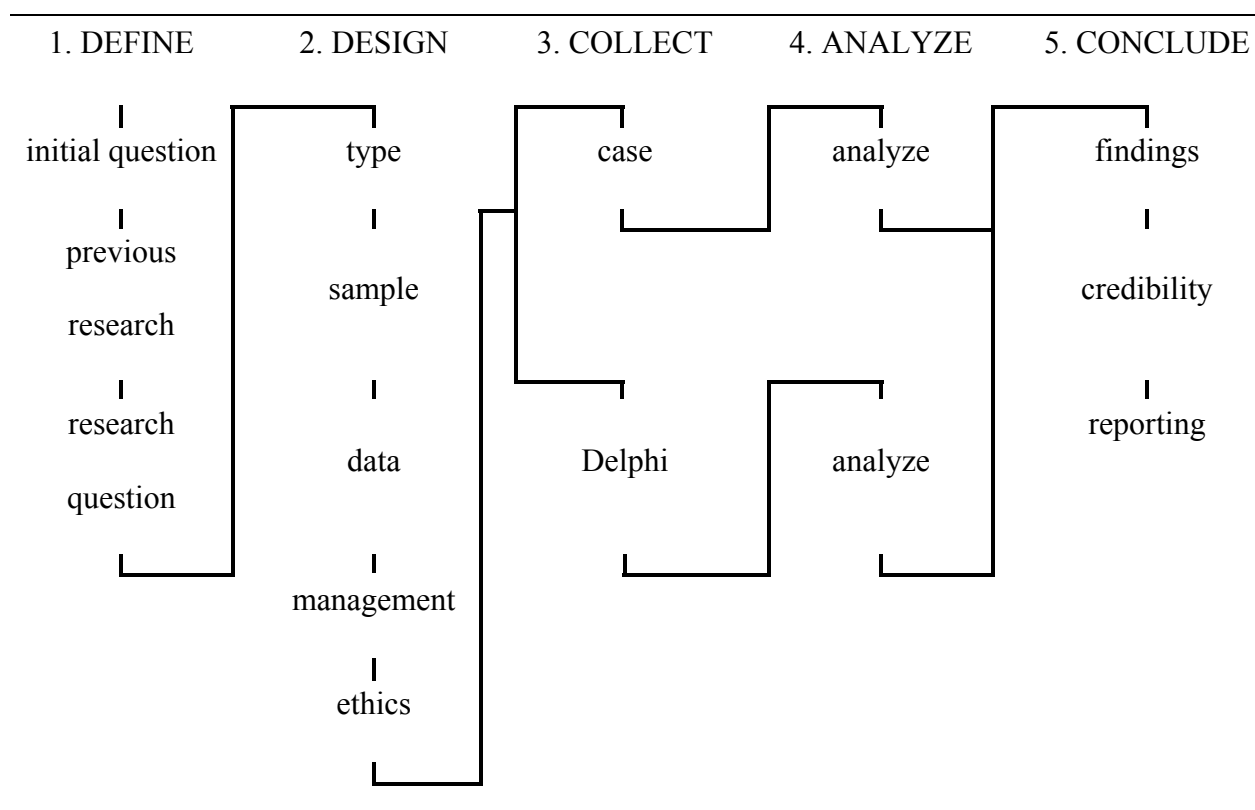
We methodologists must achieve an applied epistemology which integrates both” (p. 191).

*The Leadership for Good Study*

Planning for the study began by adapting Yin’s (2003b) schema to provide the backbone for organizing the study and guiding the discussion. This backbone with its five broad categories and corresponding task areas is shown in Figure 3.1.

Figure 3.1

*Leadership for Good Study Schematic*



Because I dealt with the first task column in Chapters I and II, I will not explore it in the study plan that follows.



### *Case Phase*

The choice to include case method was premised on the circumstances wherein case is useful. Feagin et al. (1991) posit that “a principal argument for case study research is that it provides a way of studying human events and actions in their natural surroundings” (p. 7). Merriam (1998) concurs, “A case study design is employed to gain an in-depth understanding of the situation and meaning for those involved” (p. 19).

Yin (2003a) recommends case “when the phenomenon under study is not readily distinguishable from its context” (p. 4). Three additional circumstances are when case is a method of last resort for topics not researchable by other methods, when it is important to get close to a particular situation, and when it connects research back to theory (Yin, 2006). It is the last situation—connecting research back to theory—that informed my decision to use case method.

#### *Case: Design*

##### *Case: type.*

This was an instrumental case study, which occurs when “a particular case is examined mainly to provide insight into an issue or to redraw a generalization” (Stake, 2000, p. 437). Yin (2003b) calls this an exploratory case study “aimed at defining the questions and hypotheses of a subsequent study or at determining the feasibility of the desired research procedures” (p. 5).

##### *Case: sample.*

Issues related to sample began with a decision about units of analysis, what the researcher studies, whether it is a single individual, an organization, or a community. Patton (2002) advises that the key issue “in selecting and making decisions about the appropriate unit of analysis is to decide what it is you want to be able to say something about at the end of the study” (p. 229).

emphasis removed). Because I wanted to talk about those who practice Leadership for Good, the unit of analysis for the case study was the exemplary individual leader set in the context of a nonprofit organization where such leaders are more likely to be found.

*Case: sample—single or multiple.*

As a rule of thumb, Patton (2002) advises that sample size depends upon “what you want to know, the purpose of the inquiry, what’s at stake, what will be useful, what will have credibility, and what can be done with available time and resources” (p. 244). Case studies can focus on one single case or multiple cases, and there can be embedded cases within cases.

Single case designs have been criticized for a variety of reasons including Yin’s (2003b) concerns about putting all your bets on just one case and the weaker analytic benefits compared to multiple case designs. The quest for strong analytic benefits undergirds multiple case designs. For example, Merriam (1998) calls multiple case designs a “common strategy for enhancing the external validity or generalizability” (p. 40) and Miles and Huberman (1994) say that it “adds *confidence* to findings [that] strengthen the precision, the validity, and the stability of findings” (p. 29 italics as written). Eisenhardt (1989) asserts that with “fewer than 4 cases, it is often difficult to generate theory with much complexity, and its empirical grounding is likely to be unconvincing”(p. 545).

On the other hand, Dyer and Wilkins (1991) say that descriptions from multiple case studies will be “rather ‘thin,’ focusing on surface data rather than deeper social dynamics [and] are more likely to provide a rather distorted picture, or no picture at all, of the underlying dynamics” (p. 613). Thin data are also a potential problem for Miles and Huberman (1994). Eisenhardt (1991) implies that the price of thin data is worth the cost compared to single case where “we will end up writing interesting stories, but creating little in the way of generalizable

theory” (p. 634). Yet, what about Stake’s (1995) assertion that the “real business of case study is particularization, not generalization” (p. 8)? In other words, if what you want is generalizability, “Why not do a survey?” (Miles & Huberman, 1994, p. 30)

It seems easy for Miles and Huberman (1994) to ask such a simple question, especially given their established credentials but, for the doctoral researcher, it was hard to ignore Yin’s (2003b) warning that if “you do a single-case design, you should be prepared to make an extremely strong argument in justifying your choice for the case” (p. 54). Because I was also using Delphi technique as part of the overall approach, I decided that a single case was an acceptable approach. In essence, the Delphi round one interviews gave me the benefit of a large number of “mini” cases.

*Case: sample—selection.*

When it comes to selection, Yin (2003b) observes that it is “straightforward because you have chosen to study a unique case whose identity has been known from the outset” (pp. 77-78). This is why I chose Hank Lynch. I was first introduced to Hank in fall 2003 when I conducted a strategic planning process for Stan Hywet Hall and Gardens in Akron, Ohio. Built by F. A. Seiberling, founder of the Goodyear Tire & Rubber Company, and his wife Gertrude in 1897, Stan Hywet Hall was named after the Old English term for stone quarry. In 1957, the Seiberling family donated the property to the community, which was in keeping with the Manor House entryway’s motto of *Non Nobis Solum* (Not for Us Alone).

When the opportunity to practice case study arose two years later, Hank was an obvious choice. First, I was very familiar with his work and I had an intuitive sense that he had many of the characteristics of those who practice Leadership for Good. Second, I knew that Hank had experienced a variety of contexts during his tenure, including periods in which his idealistic

future was unconstrained by limits and periods where the limits on his discretion were substantial.

Third, I chose Hank because of Stake's (1995) first criterion to choose a case that will "maximize what we can learn . . . opportunity to learn is of primary importance" (pp. 4-6). In spring and summer 2005, I conducted seven in-person interviews with Hank. The type of interview conducted was what Patton (2002) describes as informal and conversational, where the questions "emerge from the immediate context and are asked in the natural course of things; there is no predetermination of question topics or wording" (p. 349). Each interview was recorded and the transcripts yielded an archive of approximately 75,000 words. The transcripts were analyzed using NVivo 2.0.

For Yin (2003b), a single case design is very "justifiable under certain conditions—when the case represents (a) a critical test of existing theory, (b) a rare or unique circumstance, or (c) a representative or typical case or when the cases serves a (d) revelatory or (e) longitudinal purpose" (pp. 45-46). Enriching the archival case addressed three of the four conditions:

Rare or unique circumstance—There are many commonalities between Hank and George that must be considered rare. For example, Hank and George are both physically fit and imposing.

Representative or typical case—Though Hank shares unique commonalities with George, he shared the typical challenges common to the nonprofit sector including the self-sacrifice that comes from the job.

Revelatory, longitudinal purpose—Because Hank was the subject of an archival case study, enriching the case presented a rare and perhaps revelatory opportunity to study him over a longer period of time.

Turning to the matter of case informants, I asked Hank for recommendations. He recommended six informants: his wife, Paula Moran, two key staff members, two former board members, and a colleague in charge of another prominent nonprofit in the community. All six accepted my invitation to participate (see Appendix 1).

*Case: data.*

Patton (2002) describes three sources of qualitative data: interviews, observations, and document analysis; Merriam (1998) also uses these three sources, but Creswell (2003) adds audiovisual materials to the list. Yin (2003b) endorses a list of six sources: documentation, archival records, interviews, direct observations, participant observations, and physical artifacts.

With regard to the archival portion of the case study, a small number of documents were reviewed including annual reports and IRS Forms 990, and I had many observations to reflect upon, but I did not interview anyone other than Hank. As such, I did little to ensure credibility of the study relative to triangulation. Though I conducted member checking—Hank reviewed the study—and I provided rich, thick description and bias clarification, I did not triangulate the data with informant interviews. Without triangulation, the researcher's biases have more latitude to assert themselves in the interpretation of data.

Though there are three primary data-gathering tools used in case study, the research interview is perhaps the most ubiquitous (Dilley, 2004). Definitions are fairly consistent from one expert to another (Mishler, 1986; Patton, 2002; Wengraf, 2001). Kvale (1996) offers a typical definition: "The qualitative research interview attempts to understand the world from the subjects' point of view, to unfold the meaning of peoples' experiences, to uncover their lived world prior to scientific explanations" (p. 1). For many experts, the interview is a data collection

tool much like a survey questionnaire (Creswell, 2003; Patton, 2002; Yin, 2003b). Using the interview was my choice.

*Case: management.*

Management typically covers issues such as timeline, access, practicalities, and resources (Patton, 2002). Time issues refer to when the study will occur and how it will be sequenced, practicalities cover things such as access to the site, contracts, staffing, and resources are related to the costs of the study. Of these, the most important is the schedule. For the case study phase, I achieved the study milestones shown in Table 3.1. The lag time between concluding the interviews and beginning analysis was due to the Delphi phase of the study.

Table 3.1

*Case Study Milestones*

August 21- Invitations mailed	September 18 - Final informant interview
August 28 - Interviews scheduled	January 22 - Analysis begins
August 31 - First informant interview	February 4 - Analysis concludes

*Case: ethics.*

From a broad perspective, “the subject matter of ethics is the justification of human actions, especially as those actions affect others” (Schwandt, 2001, p. 73). In discussing the data sources of interviews, Kvale (1996) warns, “An interview inquiry is a moral enterprise: The personal interaction in the interview affects the interviewee, and the knowledge produced by the interview affects our understanding of the human situation” (p. 109).

Creswell (1998) identifies four primary ethical issues:

Protecting the anonymity of informants . . . Disclosing (or not) the purpose of the research . . . Deciding whether (or how) to use information “shared off the record” in an

interview in a case study . . . Determining whether the researcher should share personal experiences. (p. 132)

For Kvale (1996), the three ethical guidelines are informed consent, confidentiality, and consequences.

As a matter of standard practice, securing Institutional Review Board approval was necessary, including informed consent that “entails informing the research subjects about the overall purpose of the investigation and the main features of the design, as well as of any possible risks and benefits from participation in the research project” (Kvale, 1996, p. 112). Appendix 2 contains the Informed Consent Forms for the case study phase, which all participants signed.

#### *Case: Collect*

When it comes to data collection in case studies, Merriam (1998) advances an approach that is flexible and integrated: “You observe something on-site that you then ask about in an interview; or something may come to your attention in a document that manifests itself in an observation and perhaps informal conversation in the context of the observation” (p. 148). Case study data collection is a task that begins simply, usually with first contact with the case.

In order to enrich the case, I had one telephone interview with each of the informants using the standardized open-ended questionnaire in Appendix 3. In this type of interview, the “exact wording and sequence of question are determined in advance. All interviewees are asked the same basic questions in the same order. Questions are worded in a completely open-ended format” (Patton, 2002, p. 349). The informant interviews generated about 50,000 words of text and, coupled with the archival study’s 75,000 words, yielded a total database of approximately 125,000 words.

*Case: Analyze*

I used NVivo 7 software as a tool for “handling rich data records and information about them, for browsing and enriching text, coding it visually or at (should this be “by” categories, annotating and gaining access to data records accurately and swiftly” (Richards, 2002, p. 11). The software was helpful in managing the data, but it did not obviate Merriam’s (1998) description of what I felt:

You begin by reading a transcript, and then another. You realize you should have asked the second participant something that came up in the first interview. You quickly feel overwhelmed; you begin to feel that you are literally drowning in the data. (p. 161)

Fortunately, I had my unstructured interview format and the Leadership for Good propositions as a framework for the analysis. One by one, I reviewed each interview and grouped statements into the broad categories of the propositions. Once I completed this first pass of the data, I went back into each of the propositions and grouped statements into elements. On the third pass, I grouped statements within the elements into sub-elements. In keeping with Einstein’s simplicity dictum—“Everything should be as simple as possible, but not simpler” (Frank, 2001, p. 791)—I continued with this process of reduction until the various elements were as nuanced as possible.

*Case: Conclude*

*Case: findings.*

When it comes to conclusions, Patton (2002) hardly makes mention of the topic, devoting just half a page to it. The term itself does not appear in the indexes (indices?) of texts authored by Creswell (1998, 2003), Yin (2003a, 2003b), Merriam (1998), or Stake (1995). One possible reason for this is the simultaneousness of data collection and analysis. Another reason is that the



term itself is of the quantitative vernacular. Creswell (2003) uses the term interpretation; Yin (2003b) uses findings; Merriam (1998) calls this reporting data. Miles and Huberman (1994) are noteworthy for making this a stand-alone phase, which was my approach:

The third stream of analysis activity is conclusion drawing and verification. From the start of data collection, the qualitative analyst is beginning to decide what things mean—is noting regularities, patterns, explanations, possible configurations, causal flows, and propositions . . . Conclusions are also *verified* as the analyst proceeds . . . The meanings from the data have to be *tested* for their plausibility, their sturdiness, their “confirmability”—that is, their *validity*. (pp. 10-11 italics as written)

*Case: credibility.*

Whether case or Delphi, credibility is about dispelling the suggestion that the researcher has found exactly what he or she was looking for all along. McMillan and Wergin (2002) say that credibility “depends upon the quality of the measurement of the variables and procedures for collecting the data” (p. 9). The two primary criteria for determining credibility are validity and reliability.

Definitions of validity are similar across quantitative and qualitative methods. These include Pittenger’s (2003) “degree to which a test measures what it is supposed to measure” (p. 55), and McMillan and Wergin’s (2002) “appropriateness of the inferences made from the data collected” (p. 9). That is, does the method measure what I say it measures?

Definitions of reliability are also comparable across methods including Schwandt’s (2001) when an “account is judged reliable if it is capable of being replicated by another inquirer” (p. 226) and Weisberg and Bowen’s (1977) a “question is ‘reliable’ if it evokes

consistent responses (that is, if a person would answer the question the same way in subsequent interviews)” (p. 43).

I used five tactics to ensure credibility for both phases of the study. First was bias clarification of my “assumptions, worldview, and theoretical orientation at the outset of the study” (Merriam, 1998, p. 205). Thus, my sensibilities have an effect on all research in general. “Any gaze is always filtered through the lenses of language, gender, social class, race, and ethnicity. There are no objective observations, only observations socially situated in the worlds of - and - between the observer and the observed” (Denzin & Lincoln, 2003, p. 31).

The second credibility builder was negative or discrepant information, which discusses “different perspectives that do not always coalesce” (Creswell, 2003, p. 196). These are evident in the findings section in both study phases—instrumental case study and Delphi.

The third general credibility tactic was thorough documentation. Miles and Huberman (1994) observe that “qualitative research, like any other research, requires careful record keeping as a way of connecting with important audiences” (p. 280). In the Delphi, the researcher is advised to include a “clear *decision* trail that defends the appropriateness of the method to address the problem select(ed?), choice of expert panel, data collection procedures, identification of justifiable consensus levels and means of dissemination and implementation” (Powell, p. 380 italics as written).

There are many ways to ensure an appropriate level of documentation; however, the “most straightforward is a running log of study decisions and activities, accompanied by a journal of reflections . . . and commentary” (p. 284). As a way to accomplish this, I kept a journal throughout the study. After all, “The dictum is this, If it isn’t on the document form or your original worksheets, you didn’t do it” (Miles & Huberman, 1994, p. 284). At the time of

writing, the journal contained over 10,000 words of text plus an archive of nearly 100 email messages. Table 3.2 shows selected entries from the journal.

Table 3.2

*Selected Journal Entries*


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August 24, 2006: I met with my colleague this morning and interviewed her using the revised open-ended interview protocol. Instead of asking her how she did things, I asked more about what her experience was with the things. For example, I prefaced my section of vision by saying that some people thought vision was very important, how about her? It worked well. I am pleased with the vision section and the adaptive sections. Those seem to be working well. Now I'm working on fixing the results-driven section.

October 6, 2006: I have now coded 11 of 16 interviews in NVivo. There are 120 nodes, which is likely to creep up a bit before I start analyzing the data within the nodes. Then things will settle down to a lower number. I am hoping that I can get the broad bases of statements well below 100 so that the subsequent questionnaire isn't too onerous for the panelists. There are lots of interesting things happening, especially around connectedness, adaptability, and vision. It is through connectedness—to others, to best practices, to new ideas—that panelists develop their visions. It is through the same connectedness that they understand what's going on around them so that they can adapt appropriately. Because it is such a big piece, I am now thinking that it is a stand-alone proposition for the study. Or it may be that connectedness, adaptability, and visionary all belong together somehow.

October 13, 2006: I finished broad coding of all the transcripts on Sunday night and had to travel early in the week. Yesterday, I began to fine-slice things; actually revisit each of the sections one by one. In some cases, I literally amalgamated the child nodes into the parent and started again. That is, I had been at a level of child nodes during the first pass, but I merged these back

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into the parent node and began again to draw out the child nodes. This has been rewarding and I'm now coming down the homestretch for this second pass.

November 27, 2006: Of the 126 statements, there were 39 mismatches (31 percent) where my qualitative analysis using NVivo 7 did not coincide with the quantitative analysis. I circled a few of the most glaring pairings. Keep in mind that my final round two picks in the first column were based upon the quantitative analysis of the Delphi and included a review of the mean, median, interquartile range, and the volume of top choice picks for each statement. Also keep in mind that my qualitative analysis rankings—shown in the N7 column—were based upon the number of sources for each statement.

The interesting thing is that, with just the round one questionnaire, I would have reported a much different outcome. I think this is less about the validity of qualitative analysis than it is a ringing endorsement of the mixed method Delphi approach using qualitative analysis on round one followed by the quantitative round two. Indeed, I might argue that using the term mismatch is flat wrong—the panelists changed their minds. If anything, this is evidence of the power of the Delphi process in that the panelists changed their positions on 39 of the 127 statements. My opinion is that the changes occurred not because I did a poor job of analyzing the interview data, but because of the opportunity for participants to benefit from the input of their fellow panelists. That's the beauty of Delphi, yes?

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Fourth, I used member checking to solicit “feedback from respondents on the inquirer’s findings [which is] an important procedure for corroborating or verifying findings or of ensuring that they are valid” (Schwandt, 2001, p. 155). Appendix 10 contains the letter sent to one of the Delphi panelists and page one of the eight pages of coding nodes that I asked this particular panelist to check.

Fifth, I employed peer examination that asks “colleagues to comment on the findings as they emerge” (Merriam, 1998, p. 204). I asked a cohort member approved by my dissertation committee chair to “scan some of the raw data and assess whether the findings are plausible based upon the data” (Merriam, 2002, p. 26). Table 3.3 is my colleague’s response relative to the Delphi coding for the round two questionnaire.

Table 3.3

*Peer Examination Report*


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I reviewed your Coding Summary Report as we discussed. My first reaction was amazement at how many of these leaders talked about how important it is to do what they say they are going to do. I know this was just a random sample of your coding but, if this theme is as prevalent throughout your interviews, it is impressive that their thoughts, opinions, and stories all come together so clearly on this concept.

In consideration of your explanation of the five Tree Nodes you created, I thought the way you coded the samples I reviewed was consistent with the themes you identified. There were a couple that I thought could be potentially coded into another node as well and, based on our discussion, it seems possible that they were. For instance, panelist one's comment that you placed into Difference Making—one statement also pointed toward the Others First element within your Good Purpose node: "...they're talking about people and what they can do to help them get better..." Another example is panelist two's comment which was placed in the Good Purpose/I do what I say I'm going to do Node, "...I kind of took everybody seriously and just went out and rented an office..."—that also sounded like your Results Driven Node.

The only coding I really wondered about was the one that you put under Good Purpose/I do what I say I'm going to do: "there's something I learned years ago, it comes down to two words, 'Follow me' I set the example..." I kind of get the "I do what I say I'm going to do" piece of it, but it seems more about leading by example, showing the way, etc. If you want to talk live about it, I'm glad to—I just didn't see a node that addressed what I saw in his comment any better than the one you identified, but it didn't feel quite right either.

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Sixth, and for the case specifically, I used rich, thick description, which provides “enough description so that readers will be able to determine how closely their situations match the research situation, and hence, whether the findings can be transferred” (Merriam, 1998, p. 211).

Seventh, and for the case specifically, I used triangulation, which investigates a judgment from “more than one vantage point [and is] both possible and necessary because research is a process of discovery in which the genuine meaning residing within an action or event can be best uncovered by viewing it from different vantage points” (Schwandt, 2001, p. 257). This was accomplished through the six informant interviews.

*Case: reporting.*

Some scholars see the narrative report as an extension of the data analysis (Creswell, 2003), but others see it as a critical stage that is “often neglected” (Merriam, 1998, p. 220).

Merriam (1998) sees the writing of the narrative report having the following defined steps:

First, the writer should compile all the relevant data and then determine the intended audience. The next step is to settle on the main message—that is, the focus or theme of the study. An outline reflecting the study’s focus is essential for dealing with a large amount of material. The researcher is then ready to write the first draft. (p. 245)

The variety in reporting qualitative research is extensive: “Some reports are as thin as a blade of grass; others feel 16 feet thick. Size, of course, is not the issue. Quality is” (Patton, 2002, p. 502). Stake (1995) says, “A write up can be organized any way that contributes to the reader’s understanding of the case” (p. 122). I decided to put Hank first and his informants second.



### *Delphi*

Delphi is a method of harnessing the power of group decision making, but without the problems that typically accompany groups including dominating personalities, group think, and the need for synchronous interaction. In essence, Delphi is group decision making without convening the group.

Because I wanted to see if the Leadership for Good propositions had credibility with a broader number of exemplary nonprofit leaders, I turned to possible methods. An interview study might have worked, but it would not have carried the power of group decision making in which the interviewees have a chance to enrich their decisions with input from others.

Alternatively, I could have simply worked with those who know something about the topic first hand, exemplars at actually doing it. But how would I deal with the opinions of these knowledgeable practitioners if they disagreed with one another? For Dalkey (1967), there are two solutions. First, choose one expert over another, but knowing which expert is the right one becomes the stumbling block. Second, bring the experts together to resolve the differences in a group setting, but this is problematic because of “the influence of the dominant individual . . . irrelevant or redundant material that obscures the directly relevant material [and] group pressure that puts a premium on compromise” (Dalkey, 1967, pp. 2-3).

Delphi was a third alternative based on the adage “‘Two heads are better than one,’ or more generally ‘n’ heads are better than one’” (Dalkey, 1969, p. 6). By definition, Delphi is a method for “collecting and distilling knowledge from a group of experts” (Ziglio, 1996, p. 3). Ludwig and Starr (2005) explain the basics:

Despite considerable variance in application of the technique, the most common Delphi study begins with a questionnaire designed by a small team and sent to a larger group of

experts. After the questionnaire is returned, the study organizers summarize the results including the range of response, before sending this summary back to the experts. The experts are allowed the opportunity to change their response based on the results, and these second-round results are reevaluated by the organizers. This process continues until consensus is reached or it becomes clear that no consensus is possible. (p. 316)

The only difference between this description and the Leadership for Good study was that I used structured interviews with the panelists to develop the first questionnaire instead of a small team and I limited the number of rounds to three as opposed to continuing until consensus was reached.

The basic properties of Delphi are anonymity, controlled feedback, and statistical group response (Dalkey, 1967). Turoff and Hiltz (1996) add a fourth property of asynchronous interaction that allows the panelists to choose whether and when to participate. Advantages in addition to its superiority over face-to-face meetings include convening a higher quality group, giving people time to think about their responses, and its proven effectiveness (Rotondi & Gustafson, 1996). Stone Fish and Busby (1996) say Delphi is “particularly well suited for bridging the gap between research and practice [and] does not demand large samples, statistical expertise, or a great amount of financial resources” (p. 480).

Because Delphi is made up of qualitative and quantitative elements, there is some confusion about its epistemological roots (Stewart, 2001). Patton (2002) implies it is a qualitative method; Pittenger (2003) argues the opposite. The epistemological basis depends upon your personal frame: “As an alternative to the qualitative approach, the Delphi method begins to look thoroughly scientific. As an alternative to a Likert-type scale, it does not ” (Reid, 1988, p. 244).

Criticisms of the technique include Woudenberg's (1991) conclusion from an extensive literature review: "No evidence was found to support the view that Delphi is more accurate than other judgment methods or that consensus in a Delphi is achieved by dissemination of information to all participants" (p. 131). Among the studies he dismissed were Dalkey's (1969) experimental studies that gave early and convincing evidence of Delphi's effectiveness and Dagenais' (1978) study of two 11-member panels concluding that the method's reliability was acceptably high.

Perhaps the most damning criticism of Delphi came in Sackman's (1974) assertion that the "conventional Delphi is basically an unreliable and scientifically unvalidated technique in principle and probably in practice" (p. vi). It did not help the cause when Linstone and Turoff (1975a) responded with their assertion that the "Delphi is more of an art than a science" (p. 3), a statement that Woudenberg (1991) later criticized as a defense of last resort.

Goldschmidt (1975) responded to Sackman's criticisms with a personal attack, saying that Sackman's report would not enhance its publisher's reputation for "professionally acceptable work" (p. 212). Because of this acrimonious exchange, it is now common to cite both authors when presenting information about the credibility of Delphi (Adler & Ziglio, 1996).

In terms of support, Reid (1988) refutes eight of Sackman's (1974) ten complaints – leaving only the concerns about scientific basis and unaccountability arising from anonymity—and concluded that "a good deal of the criticism that has been leveled at the Delphi technique has been ill-founded" (p. 244). Though Fisher (1978) argued against the Classical Delphi that forecasts the future, he cited the Decision Delphi as a useful tool for "formulating organizational goals and as a heuristic device" (p. 70).

Rowe and Wright (1999) reviewed 27 studies and concluded that “Delphi groups outperform statistical groups (by 12 studies to two with two ‘ties’) and standard interacting groups (by five studies to one with two ‘ties’), although there is no consistent evidence that the technique outperforms other structured group procedures” (p. 353). Duffield (1993) validated her study with a subsequent second Delphi and found a 92.86 percent match, which put to rest some of the reliability doubts raised by Reid’s (1988) criticism about the absence of studies of comparability of responses between two independent panels.

*Delphi: Design*

*Delphi: type.*

I used a decision Delphi, which creates “a basis for realistic and useful decisions” (Rauch, 1979, p. 161).

*Delphi: sample.*

The units of analysis for the Delphi phase were exemplary executive directors of nonprofit organizations in keeping with Dalkey’s (1969) observation that the expertise of the panelists is the most significant contributor to the quality of the outcome of a Delphi study. Stone, Fish and Busby (1996) also make panel selection the key to reliability and validity, arguing that “the important question is whether the experts fit the area of inquiry” (p. 480). Thus, it is reasonable to expect that, because “experts must have knowledge of the subject, participants cannot be selected randomly” (Keeney et al., 2006, p. 208).

My search for experts began with the 1.4 million non-profit organizations registered with the IRS (Pollak & Blackwood, 2006). Narrowing the field came in a June 2006 GuideStar<sup>9</sup>

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<sup>9</sup> GuideStar delivers information via the web on “more than 1.5 million organizations in the

database search, which located 2,261 nonprofit organizations in Dayton, Ohio. Most of these organizations were very small: 1,431 had budgets of less than \$5,000. Only 750 (33 percent of Dayton nonprofits) had revenue above \$25,000. Because 750 organizations were too many to investigate, I used two sampling strategies to reduce the size.

*Delphi: sample—homogenous sampling.*

First, I used homogenous sampling primarily to reduce variation. I did this because the nonprofit sector is “home to such a wide range of organizations that grouping them together into one entity is highly problematic . . . Beyond differences in funding, the organizations within the sector are balkanized by legal status, professionalism, and underlying purpose” (Frumkin, 2002, p. 2).

I wanted to find organizations that directly met the needs of their clients as George did. In particular, I focused on the NTEE (National Taxonomy of Exempt Entities) Classification System’s category for general human services. In addition, and because George was involved in building homes for the working class of Bedford Falls, I included the NTEE category of housing. And, to ensure enough potential panelists, I added youth development.

*Delphi: sample—criterion sampling for financial results.*

I used criterion sampling to identify organizations that were doubly good, that delivered mission achievement and financial results. As I discussed in Chapter II, doubly good can be measured by many things, including number of clients served, goals accomplished, and financial

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database including information on more than 900,000 public charities, approximately 118,000 private foundations, and nearly half a million other exempt organizations” (“Banished words,” 2006).

results. Unfortunately, accessing most of this information presents a daunting task requiring extensive investigation. This is not the case with financial information, which is contained in the informational IRS Forms 990 that all nonprofits with incomes above \$25,000 must file excluding most faith-based organizations.

It could have been tempting to use only the most recent Form 990 filing but, “while much can be found out by examining an organization’s Form 990 for one year, a great deal more can be learned from looking at its Forms 990 for three years” (Swords, Bjorklund, & Small, 2006). As a way to guard against credibility threats, I used five years of contiguous data.

Turning to the matter of specifics, data from the IRS Form 990 provide a good deal of information and it is “a reliable source of information for basic income statement and balance sheet entries” (Froelich et al., 2000, p. 251). On the other hand, the data say little about the organization’s comparative relationship to others. A \$5,000 surplus is a half-of-one-percent issue to the agency with \$1 million in total revenue, but a five-percent issue to an organization with \$100,000 in total revenue. Because nonprofit effectiveness is always a matter of comparison (Herman & Renz, 1999), financial ratios were needed to level the playing field in terms of size.

Ritchie and Kolodinsky (2003) identify 16 financial performance measurement ratios in their factor analysis study and ultimately settle on total revenue divided by total expense, which Siciliano (1996, 1997) used in her studies of YMCA organizations. Greenlee and Bukovinsky (1998) use net revenue divided by total expense. Because these ratios are based upon expense as the denominator, they are less nuanced than when net revenue is divided by total revenue. For example, an organization with \$95,000 in revenue and \$100,000 in expense has a deficit of five percent when total revenue is divided by total expense, but a deficit of 5.3 percent when net revenue is divided by total revenue.

My first criterion sampling tactic was positive net revenue÷total revenue in two out of three of the most recent 990s posted. Confirming the value of using the more nuanced ratio of net revenue÷total revenue,  $t$  tests between the candidate organizations meeting this standard and those not meeting it showed no significant differences for total revenue÷total revenue ( $t_{(56)}=0.932$ ), but did show significant differences for net revenue÷total revenue ( $t_{(60)}=0.014$ ).

I decided there was need for a second criterion that would embrace a longer term perspective. Because a CPA will only issue a clean opinion with the accrual accounting method (Blazek, 2004), pledges for multi-year grants including endowment and building campaigns are counted in their entirety in the year in which they are pledged. Accrual accounting also requires that depreciation on capital assets such as buildings be counted in total expenses even though this is not a cash item. Finally, there is no way to know whether any deficit was planned, which might be the case in an expansion of services or the spending down of a bequest. Because of all of these issues, I chose to require positive net revenue in the aggregate over the five most recent 990s posted.

In sum, an agency delivered superior financial results if it had two positive years in the last three for net revenue÷total revenue *and* the agency had aggregated positive net revenue for the five years studied.

*Delphi: sample—criterion sampling for mission achievement.*

In addition to the criterion sampling tactics for financial results, I needed to screen for mission achievement, which is more difficult to ascertain from a distance. That is why I chose executive tenure as a surrogate for two reasons. First, the work of a nonprofit executive is very difficult as shown by the median executive director tenure of four years or less, the 65 percent

who are “once-is-enough” first timers in the job and the less than half who want to play the role again (Jeanne Peters & Wolfred, 2001).

Second, there are profound negatives associated with turnover. It is a high-risk gamble (Cannella & Rowe, 1995; Lucier, Schuyt, & Tse, 2005; McElroy, Morrow, & Rude, 2001; Shen & Cannella Jr., 2002; Virany et al., 1992; Wiersema, 2002; C. R. Williams & Livingstone, 1994). It also has a significant negative relationship with organizational performance (Kacmar, Andrews, Rooy, Steilberg, & Cerrone, 2006; Shaw, Gupta, & Delery, 2005). Though less studied in the nonprofit sector, Peters and Wolfred (2001) argue that a “series of successive, short-tenure executives can do lingering harm to an agency’s culture and performance” (p. 6).

The combination of these reasons led me to screen for organizations with the same, local, compensated, and full-time executive director in each of the five most-recent full-year 990s posted and who was still serving at time of the study. As it turned out, I did not need to worry about length of tenure. The tenure for the 16 panelists was mean 15.3 years, median 11.5, and range 29 years (6 to 35 years).

*Delphi: sample—sample size.*

The final question was how many panelists were enough for the study. From a broad brush standpoint, the conventional wisdom is that the “most valid conclusion regarding sample size is that more is always better. Period” (Osborne & Costello, 2004). Others advise that the size should be large enough to represent the population (Salkind, 2004). Though as noted earlier, this study was never intended to be used to generalize to a larger population, there were recommendations as minimums for number of participants.

For Delphi, Powell (2002) recommends that the “numbers of participants will vary according to the scope of the problem and resources available” (p. 378). Clayton (1997) is more



specific with his general rule of thumb recommendations of “15-30 people for a homogeneous population—that is, experts coming from the same discipline . . . and 5-10 people for a heterogeneous population” (p. 5). This is consistent with Nardi’s (2003) view that, if “a population is more homogenous, fewer elements are required” (p. 110). In Rowe and Wright’s (1999) review of 33 Delphi empirical studies, range was 95 panelists (low 3, high 98), mean was 13.7, median 7, and mode 5. Because of Dalkey’s (1969) experiments showing a large reduction in error as groups increased in size, I aimed for 15 panelists and achieved 16.

*Delphi: sample—results.*

My June 2006 review using the NTEE categories of general human services, housing, and youth development generated 123 possible candidates, which were reduced to 21 exemplars as shown in Table 3.4.

Table 3.4

*Candidates Selection Process, Descriptives, and ANOVAs*

Selection Process	
U.S. NPOs registered with the IRS (Pollak & Blackwood, 2006)	1,413,708
U.S. NPOs filing IRS Form 990 (Pollak & Blackwood, 2006)	486,982
U.S. NPOs filing IRS Form 990 in the 501(c)(3) public charities category (Pollak & Blackwood, 2006)	299,033
Dayton NPOs at GuideStar on 7/1/06	2,261
Dayton NPOs at GuideStar on 7/1/06 with total revenue of > \$5,000	483
Dayton general human services agencies at GuideStar on 7/1/06 with budgets >\$5,000	123
- Less those eliminated for various reasons, (e.g., subsidiaries)	(12)
- Less those without five consecutive most-recent full-year 990s posted	(44)
Possible Candidates	67
- Less those without a local, compensated, full-time executive director in each of the five consecutive most-recent full-year 990s posted	(21)
Candidates	46
- Less those eliminated for executive director turnover (non-exemplar—executive turnover): without the same, local, compensated, and full-time executive director in each of the five consecutive most-recent full-year 990s posted and still serving at time of the study	(14)

- Less those eliminated for financial results (non-exemplar—financial results): (11)

without two positive years in the last three for revenue÷total revenue and/or without aggregated positive net income for the five years studied

Exemplars

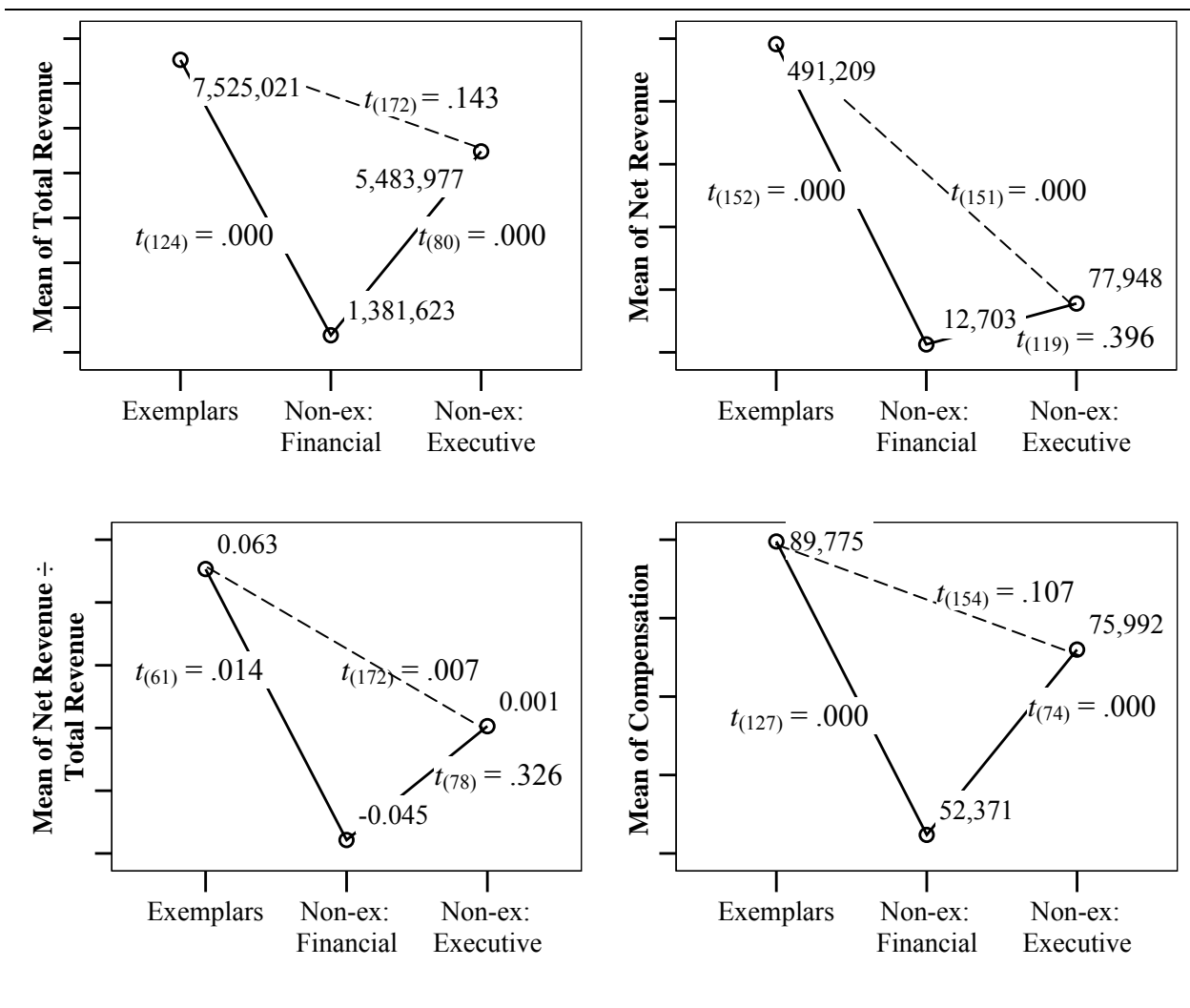
21

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Analysis of the variance between exemplars, non-exemplars—executive turnover, and non-exemplars—financial results found significant differences for total revenue ( $F_{(223, 225)} = .000$ ,  $p < .05$ ), net revenue ( $F_{(223, 225)} = .000$ ,  $p < .05$ ), net revenue÷total revenue ( $F_{(223, 225)} = .003$ ,  $p < .05$ ), and compensation ( $F_{(205, 207)} = .000$ ,  $p < .05$ ), but not for growth rate percentage ( $F_{(176, 178)} = .315$ ,  $p < .05$ ). The important question about these results was where the significant differences lay, which was analyzed using  $t$  tests between means as shown in Table 3.5.

Table 3.5

*Differences between Exemplars and Types of Non-exemplars*<sup>10</sup>



Where it really matters in the net revenue÷total revenue ratio, the differences between the exemplars and the non-exemplars are significant, but not between the two groups of non-exemplars themselves.

<sup>10</sup> Growth rate percent is not shown because there were no significant differences between the three groups for this variable.

In order to confirm each panelist's participation, I first sent a personalized letter introducing myself and the study to each candidate, contained in Appendix 4. I then followed up with a phone call to confirm participation. As shown in Table 3.6, of the 21 possible panelists, five declined to participate in the study, three because of time constraints, and two because the executive directors had departed their positions. Except for compensation where data was missing, there were no statistical differences between the panelists and those exemplars who did not participate. Subsequent to the round one interviews, I announced the panelists in a letter to each other contained in Appendix 5.

Table 3.6

*Panelist Selection Process, Descriptives, T-Tests, and Panelist Descriptives*

Selection Process					
Exemplars					21
- Less those who no longer worked at the agency					(2)
- Less those who declined to participant					(3)
				Panelist Organizations	16
Descriptives for Panelist Organizations					
	Total Revenue	Net Revenue	Net revenue÷ total revenue	Growth Rate %	Compensation
<i>M</i>	7,422,610	555,927	0.071	114	94,453
<i>MDN</i>	3,219,717	74,673	0.045	108	83,000
<i>SD</i>	9,693,788	1,091,371	0.139	31	58,818
Range	178,003 - 29,372,845	2,676 - 3,076,030	(0.01) - 0.27	86 - 145	19,440 - 248,837

*T* tests between means of the 16 panelists and the five agencies that could not participate found no differences for total revenue ( $t_{(103)} = .842$ ), net revenue ( $t_{(84)} = .098$ ), net revenue÷total revenue ( $t_{(87)} = .106$ ), and growth rate percent ( $t_{(82)} = .896$ ), but there was a significant difference in compensation ( $t_{(68)} = .008$ ).

*Delphi: data.*

Data in the Delphi are qualitative on the front end and quantitative as the rounds progress. Relative to the latter, a Likert-type scale was used in the second and third-round questionnaires.

Jenkins and Smith's (1994) review of 11 studies in family therapy found both five and seven-point scales. Rowe and Wright (1999) found 10 studies using scales of which five were five-point scales, three were seven-point, one was 10-point, and one was 11-point. Some researchers use the five-point scale (Beech, 1999; Duffield, 1993; Ludwig & Starr, 2005; McDougal, Brooks, & Albanese, 2005), some a six-point scale (Spinelli, 1983), others the seven-point (Beech, 1999; Dawson & Brucker, 2001; Mead & Moseley, 2001; Stone Fish & Busby, 1996), and still others support either the five or seven (Clayton, 1997).

To resolve the matter, I turned to Clayton's (1997) recommendation of either a five or seven point scale. Because stability of the answers was an important issue, a five-point scale gave an obvious advantage over larger scales because it was less nuanced. For the two advocates of the importance of stability, there is no consensus about size of the scale: Duffield (1993) uses a five-point scale, Scheibe, Skutsch, and Schofer (1975) use a nine-point. My choice was to use a five-point scale.

In addition to the ranking of each statement on a five-point Likert-type scale, I also asked panelists to make their top choices within each topic area. No prioritization was required; a simple checkmark was all that was needed. Originally, these importance ratings did not seem particularly valuable. In fact, they were a last minute addition suggested by Jon Wergin, my dissertation committee chair. However, it turned out to be a vitally important element that added richness that the Likert-type scale data could not provide. In particular, the importance rankings became vitally important tie-breakers on more than one occasion where the means from the five-point scale were too close to call.

Another issue about data was whether to leave all of the responses in play until all rounds were concluded. Mead and Moseley (2001) reduced 57 statements to 15 between round two and

round three by eliminating those with low scores. Ludwig and Starr (2005) eliminated statements from round to round when there was a clear consensus, substantial confusion, or clearly no consensus, but how these terms were operationalized was not clear. McDougal, Brooks, and Albanese (2005) reduced 57 leadership competencies in the first round to 14 core competencies in the third round. Arguing against eliminating statements are Hasson, Keeney, and McKenna's (2000) recommendation that the panelists themselves "should judge items in terms of quality, not the researchers. The iterative building process, central to the Delphi process, is difficult enough to advance, without the inappropriate intervention of the research team" (p. 1012). Because of this compelling recommendation, I decided to leave all statements in play.

My final data question was whether statements should be modified or added between rounds. Green, et al. (1999) did add statements, but it was after much agonizing and it required a special section and instructions in the subsequent questionnaire. Mead and Moseley (2001) asked different questions on different rounds. Adding or revising statements, however, works against stability as it is "only when a stable answer is reached that the analysis of the level of agreement should be attempted" (Dajani, Sincoff, & Talley, 1979, p. 84). I did not modify any of the statements between round two and round three; however, I added one new topic area about vision types containing eight statements. That topic area was not included in the round two questionnaire because of a simple oversight: despite all of the testing, I neglected to include it.

*Delphi: management.*

As noted earlier, management issues include timeline, resources, practicalities, and the like. Management issues are particularly important relative to the Delphi because they are often overlooked by novice researchers (Keeney et al., 2006). For example, decisions about how long the study will take are difficult to anticipate. Keeney et al. (2006) found a range of four months



to 16 months for a complete Delphi study. Each round of Duffield's (1993) two-panel, two-round Delphi with 16 members on the first panel and 24 members on the second panel, had an eight-week turnaround between rounds.

Because I used one-on-one, face-to-face interviews in the first round—what McKenna (1994) calls a personal touch responsible for significantly higher response rates—I reminded panelists of the importance of turnaround and established a relationship at the same time. Furthermore, I had fewer panelists and only one panel. Even so, I underestimated the time required by 20 percent and I missed my original deadline by a full month.<sup>11</sup> The milestones achieved for the Delphi phase are shown in Table 3.7.

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<sup>11</sup> Cost was also an issue. The 16 interviews that I conducted had to be transcribed and, because of the length of the conversations and my abilities, I chose to outsource this task at a final cost of \$2,336.50. In addition, there were printing and mailing costs, mileage, and miscellaneous expenses, including \$400 spent for holiday fruit baskets to thank the panelists for their participation. My direct out-of-pocket costs for the entire study, including both phases, was approximately \$4,000.

Table 3.7

*Delphi Phase Milestones*

August 21 - Invitations mailed	November 6 - Round two questionnaire sent
August 28 - Interviews scheduled, interview questionnaire pre-tested	November 20 - Round two Questionnaire data analyzed, member checking
September 4 - First interview September 6	November 27 - Round three questionnaire tested and revised
September 25 - Last interview September 27	
October 2 - Analysis begins	December 4 - Round three questionnaire sent
October 9 - Analysis concludes	January 6 - Last Round three questionnaire received
October 16 - Member checking of round one analysis	January 8 - Analysis begins
October 23 - Round two questionnaire tested	January 20 - Analysis concludes
October 30 - Round two questionnaire revised	

*Delphi: ethics.*

With one exception, I have already discussed applicable ethics issues and the informed consent form that all panelists signed is contained in Appendix 6. That exception pertained to the anonymity of the Delphi panelists. One recommended standard is that the researcher is “obligated ethically to ensure that respondents’ identities (when possible) and their attributed responses are not disclosed to any other panel member” (Keeney, Hasson, & McKenna, 2001, p. 199).

Conversely, there are those who think that panelists should be known at least to the other panelists. Sackman (1974) complains that the guarantee of anonymity works against credibility, simply because the reader cannot make an informed decision about whether the experts were indeed experts. Furthermore, though he recognizes the difficulties of group process where people may be bullied in time consuming settings, he counters that the pledge of anonymity and removal of face-to-face discourse could lead to a lack of accountability. Indeed, Goodman (1987) argues that, if “the panelists participating in the study can be shown to be representative of the group or area of knowledge under study then content validity can be assumed . . . there is a responsibility to prove and justify the selection procedures used” (p. 731).

In response to these criticisms, quasi-anonymity has arisen where “the respondents may be known to one another, but their judgments and opinions remain strictly anonymous” (McKenna, 1994, p. 1224). In addition, quasi-anonymity helps to mitigate low response rates and may improve participation (Keeney et al., 2006). It also helps panelists feel less isolated (Rotondi & Gustafson, 1996). For Rauch (1979), this gives the Decision Delphi a significant advantage over the other types of Delphi: “Knowledge of who the other participants are should motivate the panelists . . . the prestige of the other members of the panel should provide a challenge and incentive ” (p. 164). I took the quasi-anonymity approach in this study, guaranteeing anonymity relative to responses and ratings, but ensuring that the panelists and eventual readers know of each panelist’s identity, which was announced to the panelists themselves in the letter contained in Appendix 5.

#### *Delphi: Collect*

Collection and analysis in Delphi occurred in lockstep as the first-round interviews were analyzed to produce the statements for the second-round questionnaire which, in turn, provided

the data for the third-round questionnaire. The first round where the opinions are discovered was the most important and precarious “as participants could identify many hundreds of issues in round one. Returning these items in their raw non-themed form could overwhelm the participants in round two and affect adversely the response rate” (Keeney et al., 2006, p. 207).

*Delphi: collect—round one.*

Though literature is used on occasion to develop the round one questionnaire (Linstone, 1978), the typical approach is “unstructured and seeks an open response. This allows participants relative free scope to elaborate on the topic under investigation” (Powell, 2002, p. 378). This collection of responses in the first round can be pencil and paper, web-based, telephone, or in-person. My decision was to conduct one-on-one, face-to-face interviews using a standardized open-ended interview contained in Appendix 7 that took Green et al.’s (1999) recommendation to “provide broad categories, which would help panel members to organize their responses” (p. 200).

By conducting the interviews in person and on-site, I was able to collect observations and take photographs to document artifacts. Furthermore, the personal touch allowed me to build rapport with the panelists, which was part of my strategy to get a high response rate to the round two and round three questionnaires.

As noted earlier, I followed Einstein’s simplicity dictum relative to the analysis of the round one interviews. I analyzed the 153,000 words of text collected in the interviews with NVivo 7 using an inductive approach of “working from the data of specific cases to a more general conclusion” (Schwandt, 2001, p. 175). Using the interview format and the Leadership for Good propositions, I reduced the data from the interviews into the five major categories. When

finished, I reduced the data within each category into elements, elements into sub-elements and so on until the data was at a level that was as simple as possible, but no simpler.

I used the language of the panelists in the statements wherever possible. For example, a panelist's comment about how leaders are aligned—"I am always in that mode of, "Okay, what now? What next?"—became the questionnaire statement: Always be in the mode of "What now, what next, how can we grow?"

It was always clear that my interview analysis and the Leadership for Good study itself were born of an inductive approach to the movie, which generated the propositions that set boundaries. In essence, the study began with an inductive approach, segued to a hypothetico-deductive method which, in turn, led back to an inductive approach.

*Delphi: collect—round two.*

As I analyzed the data, I kept my eye on making the number of statements manageable for panelists through reduction and categorization (Jenkins & Smith, 1994; Mead & Moseley, 2001). Once the statements were generated, I produced "a structured questionnaire from which the view, opinions and judgments of the Delphi panelists may be elicited in a quantitative manner on subsequent rounds" (G. Rowe & Wright, 1999, p. 354).

Because the qualitative front end of the Delphi can produce a "large and unwieldy amount of information . . . particularly if the research adopts a qualitative stance towards the data and is reluctant to collapse categories" (Proctor & Hunt, 1994, p. 1004), I was concerned about the second-round questionnaire being too long. As illustrated by Jenkins and Smith's review of 11 family therapy Delphi studies, less is more: the range was 2 to 9 questions with a median of 7.5, a mean of 6.5, and 8 and 9 as the two modes.

Certainly, I wanted to avoid the difficulties of Green et al.'s (1999) second-round 24-page questionnaire or Proctor and Hunt's (1994) second-round questionnaire with its 377 different aims of care. Little wonder that they concluded that the Delphi is "fraught with methodological problems" (p. 1011). My analysis of the round one interviews yielded 126 statements grouped into 17 topic areas and categorized around the Leadership for Good propositions. The second-round introductory letter and the first page of the 7-page round two questionnaire are contained in Appendix 8.

*Delphi: collect—round three.*

As discussed earlier, I expanded the round three questionnaire from 126 statements to 134 due to inclusion of the new topic area about vision types. I again show the introductory letter and the first page of the 12-page round three questionnaire complete with data in Appendix 9. The questionnaire summarized the comments and rankings from the previous round. It also offered the panelists the opportunity to re-rank and comment on each statement. The common approach for reporting the previous round results is to use mean, median, and interquartile ranges (Stone Fish & Busby, 1996). Jenkins and Smith (1994) observe that most researchers use the median and interquartile range.

Though Spinelli (1983) used these statistics in the analysis of data, she also recommended using a histogram when reporting the results to panelists "to visually highlight the general zone of agreement (typically, the mode)" (p. 76). Linstone (1978) also took a visual approach showing fiftieth and ninetieth percentiles in graphic form. Because of the complexity of the questionnaire, (e.g., 134 statements, a Likert-type rating scale, top choices) I took a modified approach. For the Likert-type scale, I included mean, median, and the individual panelist's

ranking. For the top choices, I included the number of panelists who chose that statement and the individual panelist's choices.

*Delphi: collect—concluding.*

When to conclude was an important issue, “Knowing when to stop is crucial—too soon will provide results that may not be meaningful, not soon enough may cause sample fatigue and may tax resources” (Hasson et al., 2000, p. 1011). This has bearing on response rates because “the Delphi technique asks much more of respondents than a simple survey and the potential for low responses increases exponentially” (Keeney et al., 2006, p. 207). How low is too low is answered by Babbie (1990) who recommends that a “response rate of at least 50 percent is generally considered *adequate* for analysis and reporting. A response rate of at least 60 percent is considered *good*, and a response rate of 70 percent or more is *very good*” (p. 187 italics as written).

I achieved a 100 percent response rate for all of the panelists. No doubt, some of this was due to paying attention to lessons learned from other Delphi studies. Rotondi and Gustafson (1996) list a variety of factors that influence the motivation to participate, including the tension for change, perceived need of the group, timing, potential for professional and personal growth, respect for other participants, concern for reputation, ability to meet requirements of the Delphi process. In addition, McKeena's (1994) positive experience of 100 percent response rates influenced my decision to use one-on-one, face-to-face interviews with a high-touch style.

Regrettably, when it comes to concluding the Delphi, Hasson et al. (2000) report that a “universally agreed proportion does not exist for the Delphi, as the level used depends upon sample numbers, aim of the research and resources” (p. 1011). Linstone and Turoff (1975b) report that “commonly, three rounds proved sufficient to attain stability in response, further

rounds tended to show very little change and excessive repetition was unacceptable to participants” (p. 229). However, Duffield’s (1993) two-panel study required only two rounds using a consensus threshold of a mean of 3.00 on a five-point Likert-type scale. In Rowe and Wright’s (1999) study of Delphi empirical studies, the average number of rounds was 3.43, the median was 3, the range was 2 to 7, and the mode was 2. In Jenkins and Smith’s (1994) review of 11 studies, the average number of rounds was 2.3, the mode was 2, and the median was 2. My choice was to have three rounds.<sup>12</sup>

*Delphi: Analyze*

*Delphi: analyze—statistical analysis.*

Because many statistical tests require interval/ratio data, the question arose of how to treat the ordinal data from the five-point Likert-type scale that I used. Jaccard and Wan (1996) argue that “for many statistical tests, rather severe departures (from intervalness) do not seem to affect Type I and Type II errors dramatically” (p. 4). Nardi (2003) observes that “researchers treat intensity scales as interval/ratio measures when the amount of agreement or disagreement is assumed to vary in equal intervals along the points of the measure” (p. 46). Garson (2007a) asserts, “Use of ordinal variables such as 5-point Likert scales with interval techniques is the

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<sup>12</sup> The choice of three rounds seemed prescient in hindsight. I delivered all of the round three questionnaires on December 7 with a holiday fruit basket as an incentive to complete the questionnaire in a timely fashion by December 19. Granted, it was the holiday season, but I still had to make repeated appeals to a number of panelists and I received the last questionnaire on January 6. Based upon these experiences, it is my subjective judgment that a fourth-round questionnaire would have been ill-received by the panelists.



norm in contemporary social science.” To be fair, this is a controversial matter (Cohen, 2001). Even so, my decision was to treat ordinal data as interval/ratio data.

Because of the small number of participants, some would suggest only using descriptive statistics in the analysis. Salkind (2004) says that parametric statistics, (e.g.,  $z$ ,  $t$ , and  $F$  tests) generally require about 30 cases, although he advises that basic tests will be still be valid even if the numbers are smaller. Cohen (2001) advises the researcher to have “at least (about) 20” (p. 230). In general, using these tests requires a normal distribution.

More demanding tests such as factor analysis require a higher number of cases. Comfrey and Lee (1992) say that “the adequacy of sample size might be evaluated very roughly on the following scale: 50 - very poor; 100 - poor; 200 - fair; 300 - good; 500 -very good; 1000 or more - excellent” (p. 217). For regression analysis, Tabachnick and Fidell (2001, p. 117) use  $N \geq 104 + m$ , where  $m$ =number of independent variables. Garson (2007b) lists two other rules of thumb: First, the researcher needs at least 20 times as many cases as independent variables. Second, for stepwise regression, the number of cases rises to  $n \geq 40 * m$ .

These questions about number of cases and distribution normality are only relevant when the researcher wants to generalize to the larger population from which the sample is drawn. In the Leadership for Good study, the population—not the sample—of panelists was 16. Moreover, the point of this study was not to generalize to a larger population, but to understand this particular population. Thus, statistical analysis under these circumstances was used in an illustrative manner, but not as a tool for generalization.

The only issue related to statistical analysis was whether there would be computational difficulties with the small number of cases. UCLA’s Academic Technology Services advises, “As a rule of thumb, a bare minimum of 10 observations per variable is necessary to avoid

computational difficulties” (“Annotated SPSS output: Factor analysis,” 2007). Because I had 16 observations for the 134 statements and much higher numbers for most of the dependent variables, I decided to use whatever statistical tools would help me understand the population of the 16 respondents.

*Delphi: analyze—stability.*

Duffield (1993) notes, “If the subjectivity associated with determining consensus can be minimized . . . it is a technique well worth considering for the study of a diverse range of topics on which consensus is desired” (p. 223). One of the ways to reduce the subjectivity is to use stability and agreement, which Dajani, Sincoff, and Talley (1979) suggest. In support of this, Crisp, Pelletier, Duffield, Adams, and Nagy (1997) assert that the stability of responses from round to round is a valid way of ascertaining consensus.

Duffield (1993) defines stability as “the point at which 10% or less of the competencies moved from above to below the mean of 3.00 (the point of rejection of competencies) or the reverse” (p. 230). Scheibe et al. (1975) find that most Delphi studies assume that stability has been reached when “a certain percentage of the votes fall within a prescribed range - for example, when the interquartile range is no larger than two units on a ten-unit scale” (p. 277). Dajani et al. (1979) use the Chi Square test. Instead, Scheibe et al. (1975) use a change level where “any two distributions that show marginal changes of less than 15 percent may be said to have reached stability” (p. 278).

I found the Scheibe et al. (1975) approach the most logical, credible, and expedient to employ because it required comparing the histograms for each statement in round two to those in round three. Thus, I defined responses to a statement as stable when the percentage of panelists not shifting their position from round two to round three was  $\leq 15$  percent.

I achieved stability in 92 (73 percent) of the 126 statements in the Likert-type scale portion of the study and 126 (100 percent) of the statements in the importance rankings. Bearing in mind my difficulties in collecting the final round three questions, the stability levels for this study were the best that I could achieve given that a round four questionnaire would not have been supported. Because I added eight new statements to round three, I could not analyze them for stability. The stability analysis for the study is contained in Appendix 11.

*Delphi: analyze—agreement.*

Dajani et al. (1979) use a taxonomy in which there are a variety of types of agreement: consensus occurs when everyone agrees, majority when more than 50 percent concur, bipolarity when people are equally divided, plurality when a larger portion of the group agree but it is less than 50 percent of the group, and disagreement. Not everyone agrees that consensus requires unanimity, however. P. Williams and Webb (1994) assert that the most unassailable metric is 100 percent agreement and they used this level, but only after confirming its practicality in a pilot study. Ludwig and Starr (2005) define “consensus as agreement by 65% or more participants” (p. 317). Kenney et al. (2006) recommend that “75% appears to be the minimal level but there is no obvious scientific rationale for this” (p. 210). Green et al. (1999) use 80 percent.

My choice about agreement was to define consensus as agreement by  $\geq 80$  percent for any two contiguous scores on the Likert-type scale, (e.g., 1+2, 2+3, 3+4, or 4+5).

*Delphi: Conclude*

*Delphi: findings.*

Like many studies of quantitative nature, the hard work is in setting up the study. This is particularly true in the Delphi, because analysis occurs between each round. In other words, the

findings are generated in the each of the three collection stages. The only issue that arose about findings had to do with inclusion of statements in the reporting of results from the round two to round three questionnaires.

Some researchers eliminate statements that do not pass at certain percentage thresholds (Keeney et al., 2001; Stone Fish & Busby, 1996). Duffield (1993) used a mean score of three on a five-point Likert-type scale as the cutoff, which eliminated seven of 168 items at the conclusion of the study. Duffield (1993) used a five-point Likert-type scale and rejected any item that garnered less than a mean of 3 in the aggregate. In Jenkins and Smith's (1994) review of 11 studies using Delphi technique, the common guideline for item acceptability was a median of 6 on a seven-point Likert-type scale. Rather than set a specific level, and with consideration for Dajani et al.'s (1979) position that there are many types of agreement for what is acceptable, I waited to see what the data revealed. On some statements, disagreement told me as much as agreement.

*Delphi: credibility.*

In addition to the general discussion explored earlier in the section on case credibility, there are some specific issues related to Delphi. First, the combination of the two fundamentally different approaches to research—qualitative and quantitative—within one single technique, (e.g., a mixed-methods method), has made it difficult to standardize procedures (Jenkins & Smith, 1994). This, in turn, makes credibility issues more acute. Paradoxically, a great advantage of Delphi is this “something-for-everyone” aspect: the qualitative front end of the Delphi has high face validity so appealing to practitioners, while the hard data collection on the back end is satisfying to fans of the scientific methods. According to Reid (1988), Delphi “goes some way at least to combining the properties of acceptability and scientific respectability” (p. 232).

Hasson et al. (2000) state that credibility is “based upon the assumption of safety in numbers . . . . Decisions are then strengthened by reasoned argument in which assumptions are challenged, thus helping to enhance validity” (p. 1013). Stone Fish and Busby (1996) argue that, if Delphi is used “for emerging areas of inquiry and for building consensus among a group of experts . . . few weaknesses exist” (p. 478). Even P. Williams and Webb (1994) conclude that, “when used to specify component skills of professional effectiveness, the Delphi technique is said to have high face and concurrent validity” (p. 185).

Perhaps the most obvious credibility threat to the Delphi study was the size of the organizations. Of the 263,353 nonprofit organizations in America that filed IRS Forms 990 for 2003, the latest year available at time of writing, 79.6 percent were smaller organizations with total revenue of less than \$1 million (Arnsberger, 2006). Table 3.8 illustrates how the Leadership for Good study compares to this national norm.

Table 3.8

*Candidates Selection Process and Dependent Variables Descriptives*

	Total	Large	Small
All nonprofit organizations in America that filed IRS Form 990s for 2003	263,353	0.20	0.80
General human services agencies at GuideStar in Dayton, Ohio with budgets >\$5,000 on August 1, 2006	123	--	--
- Less those eliminated for various reasons, (e.g., subsidiaries, supporting organizations)	(12)	--	--
- Less those without five most-recent full-year 990s posted	( 44)	--	--
Possible Candidates	67	0.40	0.60
- Less those without a local, compensated, full-time executive director in each of the five most-recent full-year 990s posted	(21)	0.00	1.00
Candidates	46	0.59	0.41
- Less those eliminated for executive director turnover (non-exemplar—executive turnover): without the same, local, compensated, and full-time executive director in each of the five consecutive most-recent full-year 990s posted and still serving at time of the study	(14)	0.64	0.36

- Less those eliminated for financial results (non-exemplar—	(11)	0.55	.045
financial results): without two positive years in the last three for			
revenue÷total revenue and/or without aggregated positive net income			
for the five years studied			
	Exemplars	21	0.68
			0.32
- Less those who no longer worked at the agency or declined to	(5)	0.60	0.40
participate			
	Panelists	16	0.69
			0.31

From this point of view, one might well conclude that there really was a size difference until considering the non-finalists more carefully. Of the 67 possible candidates, 21 were smaller agencies without a full-time executive. Since this was a study about exemplary executives such as George who were full-time, I could neither do anything about this reality, nor change the fact that I needed to study executive directors who had tenure of five years or longer.

In other words, after screening every agency in Dayton, Ohio within the NTEE categories of general human services, housing, and youth development, and using credible screens, my sample group was what it was; it could not have been any other way. Thus, the size question was purely an academic one. Making this argument even stronger is the fact that this study in general and the Delphi in particular was not intended to generalize to a larger population; the 16 panelists were the population.

A different way to back into the concern about size was to consider only the smaller finalists with total revenues <\$1 million, of which 12 were non-exemplars and 7 were exemplars. *T* tests found no significant statistical differences for total revenue ( $t_{(91)}=0.56$ ), net revenue ( $t_{(60.5)}=0.94$ ), compensation ( $t_{(39.5)}=0.94$ ), and growth rate ( $t_{(71)}=0.74$ ), but there was a significant

difference in net revenue÷total revenue ( $t_{(82,4)}=0.01$ ). As such, the smaller exemplars and non-exemplars were very similar, except for the bottom line performance of net revenue÷total revenue.

In closing, P. Williams and Webb (1994) argue that there are four primary areas where Delphi is open to scrutiny about validity and reliability. They are “the selection of the panel, its size, response rate, and the interpretation of consensus” (p. 185). Although I have discussed these extensively above, I will now recap:

I selected the panel using a rigorous process that I executed with great care. My analysis solidly supports my assertion that the panelists were truly exemplary.

At 16, the size of my panel fell on the high side of acceptability according to Rowe and Wright’s (1999) review of 33 Delphi empirical studies where the range was 95 panelists (low 3, high 98), a mean of 13.7, a median of 7, and a mode of 5. In addition, the panel of 16 beats Clayton’s (1997) rule of thumb recommendations of “15-30 people for a homogeneous population—that is, experts coming from the same discipline” (p. 5).

I achieved a 100 percent response rate for all three rounds.

The definition of consensus I used met a high bar. Ludwig and Starr (2005) define “consensus as agreement by 65% or more participants” (p. 317). Kenney et al. (2006) recommend that “75% appears to be the minimal level but there is no obvious scientific rationale for this” (p. 210). Green et al. (1999) use 80 percent, which is the level I chose.

*Delphi: reporting.*

Once the findings in a Delphi are generated, the results must be organized in a way that makes sense. For example, Ludwig and Starr (2005) used a basic narrative in paragraph format



to manage the 52 statements about the future of libraries, grouping them into 14 paragraphs that were, in turn, sorted under three major topic headings. I took a similar approach.

## Chapter IV: Findings

Given the popularity of *It's a Wonderful Life*, it is hard to imagine how difficult it was to make in 1947. The first three scripts based on Van Doren Stern's short story were shelved, even though the writers were the best of their time including Dalton Trumbo and Clifford Odets (Basinger et al., 1986). RKO eventually gave up on the project and sold the rights to Capra for a paltry \$10,000 in September 1945. One of the things that made the story so challenging to film was its undercurrent of darkness and despair. With World War II just ended, a film with a character in constant conflict who decides to kill himself hardly seemed the stuff of a blockbuster. Why did Capra want to make a film about such a dark character? As he put it, "Sometimes a greater lesson can be read into a bad example than a good one" (as cited in Basinger et al., 1986, p. 4).

Obviously, the premise of this study is *not* that George is a bad example. Rather, he is a portrait of a real-life leader who practices Leadership for Good. Indeed, what makes him so compelling is that he does not experience "the happy situations romanticized by Peters and Waterman" (Tushman et al., 1988, p. 109). George is a leader for the rest of us, a leader who doesn't ride a white horse off into the sunset, but who does the hard work of Leadership for Good every day.

Though we may resonate with George's experience, we must always remember that he is a fictional character, drawn by Capra and his co-writers from a short story, and enhanced by the cast including Jimmy Stewart, Donna Reed, Lionel Barrymore, and Thomas Mitchell. Thus, George is an amalgam of what these people were thinking about life at the time.

In addition to remembering that the propositions were drawn from a fictional character, the study's two phases—instrumental case study and Delphi—may implicitly suggest that the

case was used to generate the propositions for the Delphi to test. Because case study comes in two varieties—intrinsic and instrumental (Stake, 1995) or exploratory and explanatory (Yin, 2003b)—it is important to reiterate that it was the instrumental type where the case “presents data bearing on cause-effect relationships” (Yin, 2003a, p. 5). It is also important to reiterate that statistical analyses were based upon treating ordinal data as interval/ratio data and were not generalizable; the analyses were for illustrative purposes pertaining only to the population of 16 panelists.

In Chapter I, I introduced the purpose of the study—What is Leadership for Good—and argued that the primary justifications for studying this initial question were the paucity of literature directly related to nonprofit leadership and the practitioner’s need for no-nonsense practical advice. I then introduced the specific research propositions. In Chapter II, I buttressed and validated the Leadership for Good propositions with literature. In Chapter III, I outlined this mixed methods study with its two concurrent, but independent phases—instrumental case study and Delphi—to test whether Leadership for Good extended beyond the silver screen to real-life exemplars:

First, those who practice Leadership for Good are *purposeful* by being *servant leaders*, *self-sacrificing*, and *trustworthy*.

Second, those who practice Leadership for Good are *visionary*.

Third, those who practice Leadership for Good are *results driven* by being *decisive*, *determined*, and *dependable*.

Fourth, those who practice Leadership for Good are *adaptive* by being *alert* to the context around them and then *aligned* to that context.

Fifth, those who practice Leadership for good are *difference makers* who build *doubly good* organizations and *empower others*.

Like the two phases of the study that were independent but concurrent, the findings will be presented in this fashion using each of the propositions as topic headings. Each section begins with Hank's experience including the data from the six people he chose as informants, which will then be followed by data from the Delphi study. First, however, an unexpected finding that informed the rest of the findings will be presented.

### *Many Shapes and Sizes*

That leaders come in many shapes and sizes is prevalent in nonprofit leadership thinking (P. C. Light, 2002b; Nanus & Dobbs, 1999). Implicit is that leaders can be effective in a wide variety of contexts. As opposed to Fiedler's (1964) contingency leadership where the leader is matched to the right situation, many shapes and sizes is rooted in Hersey and Blanchard's (1969) situational leadership, which requires that "a person adapt his or her style to the demands of different situations" (Northouse, 2007, p. 91).

Leadership for Good embraces a situational approach, but early evidence from the Delphi study suggested something more nuanced, that those who practice Leadership for Good use situational leadership in the short term and contingency leadership in the long term. In other words, leaders adapt to the situation today, but find suitable contexts for their preferred leadership style tomorrow.

This discovery began with a Delphi panelist comment that sounded like contingency leadership, "Somebody once told me—and I totally agree with this—you're either the architectural type of leader or you're a maintenance kind of leader. You need both kinds depending on where the organization is or where it wants to be." A different panelist took the

situational approach, “We’re shaped by the conditions we work in, but I don’t know if we allow ourselves to be shaped or that’s just the way it is and there’s nothing we can do about it.”

The search for resolution to this paradox was a process of “mucking around for hunches and ideas” (Schwandt, 2001, p. 175) and, specifically, in the Delphi questionnaire category about how leaders are aligned (Appendix 11, statements 63-71). The first statement in that category had a bias for growth: Always be in the mode of “What now, what next, how can we grow.” The seventh statement in the category had a bias for execution: stay focused on implementation, delivery of services day to day. There was nothing particularly noteworthy about the Likert-type scores, but the importance rankings showed something interesting.

As shown in Table 4.1, panelists 7-16 checked statement one as being important while panelists 1-11 checked statement seven. As such, there appeared to be three different groups within the Delphi panelists: those with a bias for execution, a bias for growth, and those without a bias one way or the other.

ANOVA testing found no significant statistical differences between the three groups in Grouping 1 ( $p < .05$ ) shown in Table 4.1 for the variables of total revenue, net revenue, net revenue÷total revenue, growth rate, compensation, tenure, and gender. I then decided to test for two groups: bias for growth and bias for execution. I first tested Grouping 2, which contained panelists 1-6 and panelists 7-16 and then continued with Grouping 3 of panelists 1-7 and panelists 8-16 and so on until concluding with Grouping 6 of panelists 1-11 and panelists 12-16.

Table 4.1

*Importance Rankings for Possible Contexts*

		Delphi Panelists															
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Always be in the mode of “What now, what next, how can we grow”								✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Stay focused on implementation, delivery of services day to day		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓					
Grouping 1	Execution																
Grouping 2	Execution																
Grouping 3	Execution																
Grouping 4	Execution																
Grouping 5	Execution																
Grouping 6	Execution																

*T* tests between means for Groupings 2-5 found no significant differences, but there were significant differences with Grouping 6. As suggested by the descriptives shown in Table 4.2, there were significant differences for total revenue ( $t_{(78)}=0.037$ ), net revenue ( $t_{(78)}=0.052$ ), and compensation ( $t_{(77)}=0.045$ ). There were no significant differences for net revenue÷total revenue ( $t_{(78)}=.655$ ) or growth rate percentage ( $t_{(59)}=.401$ ). Interestingly, while there was no significant difference for the demographic variable of tenure ( $t_{(14)}=.622$ ), there was a significant difference for gender ( $t_{(14)}=0.002$ ).

In other words, as compared to the execution-oriented panelists, growth-oriented panelists ran organizations with greater total revenue and net income, received higher compensation, and were female. Nonetheless, both groups were equally impressive with regard to net revenue÷total revenue, which was in keeping with McCarthy's (2003) finding that both types of leader, those she called pragmatic and charismatic, achieved success.

Table 4.2

*Bias for Contexts Descriptives*

## Descriptives for Panelist Organizations: Bias for Growth

	Total Revenue	Net Revenue	Net revenue÷ total revenue	Growth Rate %	Compensation
<i>M</i>	10,757,444	907,143	0.06	111	113,899
<i>MDN</i>	3,788,096	557,138	0.05	109	94,933
<i>SD</i>	10,366,182	1,355,286	0.12	12	44,009
Range	2,236,717 - 27,191,468	45,813 - 3,076,030	-0.01 - 0.12	101 - 115	80,696 - 174,869

## Descriptives for Panelist Organizations: Bias for Execution

	Total Revenue	Net Revenue	Net revenue÷ total revenue	Growth Rate %	Compensation
<i>M</i>	5,906,777	396,284	0.08	116	85,451
<i>MDN</i>	1,982,114	25,117	0.04	107	70,940
<i>SD</i>	9,067,855	918,205	0.15	36	62,876
Range	171,783 - 29,372,845	1,675 - 1,949,020	0.04 - 0.27	86 - 145	19,440 - 248,837

Where does Hank fit into the execution—growth schema? Prior to Hank’s arrival, Stan Hywet Hall was characterized in stark terms by one of the informants, “No long-term funding plan in place. No real foundation in place. And a huge amount of deferred maintenance that needed to be dealt with and a lot of programming issues that needed to be executed at an unknown cost.” Another added, “It was the volunteer morale, issues with the staff, the fact that we couldn’t get a plan in place, we couldn’t get priorities established.”

These comments are indicative of the steady performance decline that leads to the crisis of executive succession that then segues to frame-breaking change (Alexander et al., 1993; Anderson & Tushman, 2001; Puffer & Weintrop, 1995; Tushman & Romanelli, 1985). When asked about why Hank took the job back in summer 1995, one informant said, “I still think it’s the challenge and the fact that he likes to lead. He likes to build. He loves to create a vision and then put together an executable strategy to attain the vision.” And grow it he did—taking Stan Hywet from attendance of 60,000 in 1995 to 208,000 in 2005.

Additional evidence of Hank’s growth orientation coincides with Virany et al.’s (1992) organizations in perpetual crisis. According to one of the informants, “I’ve often wondered ‘Well, would it be so horrible if we didn’t grow; if we just maintained. Would that be so horrible?’ But I don’t think that’s an option for him and I think sometimes it has been to the detriment of the organization that the pushing is just so extraordinary and so extreme and the budgeting process is so unrealistic at times that we’re doomed before we even start.”

### *Purposeful*

Those who practice Leadership for Good are *purposeful* in three ways. They are *servant leaders* characterized by the “natural feeling that one wants to serve, to serve *first*” (Greenleaf, 1977, p. 13 italics as written). They are *self-sacrificing* by “denying self-interests or personal



comfort and safety, limiting personal privileges, or sharing pain and hardships with the followers” (Choi & Mai-Dalton, 1998, p. 476). Finally, they are *trustworthy*.

### *Servant Leaders*

In summer 1995, Hank Lynch moved his family to Akron, Ohio from Canandaigua, New York where he had served three years as President and CEO of Sonnenberg Gardens. He had taken that organization as far as he could, boosting attendance and funding, and turning it into an economic engine that included significant sales tax revenues from his newly launched Festival of Lights that attracted 35,000 people in its first year.

Hank’s interest in horticulture was instilled at an early age. When he was 10 years old, his father moved the family from Wilmington, Delaware to a small 25-acre farm in northeast Maryland. As he grew up in the small town farming community of Rising Sun surrounded by rolling hills, he got a taste for the land:

When I was 12 years old I was about six feet, about 170 pounds, so I was a big kid.

Having been on a farm with all types of equipment, I knew how to ride, drive everything, and fix a lot of stuff. So I ended up getting a job on a sod farm. And then I started working on a dairy farm every weekend. I milked cows, and then in the summer, it was a 700 acre orchard and dairy farm for Quakers. And then I started working for a nursery and it was a big-time production nursery; it was about four and a half acres under one roof, elastic. They raised ground cover and annuals, the stuff you go to Wal-Mart now and buy in little pots.

Upon entering college, Hank had to choose his major:

I listened to some people who I admired when I was in school. They said, “Major in something you like and you’ll find a way to make a living at it.” So I majored in horticulture and that’s what I graduated with and I was pretty proud of that. When I got out of school, I started to take some jobs like at lawn-care companies and I said, ‘I don’t want to do this.’ So, I started my own landscaping and tree business.

As they say, the rest is history:

I was applying for the military when I was working for a landscaping and tree care company in Baltimore and at the same time I was working for the Maryland Zoological Society at the Baltimore Zoo. When it became clear that the military wasn't going to be a path I could take, I started looking at other options. And an option that I had been aware of, but actually never thought I could get in to, was the Longwood Graduate Program, which is a fully funded fellowship, offered through Longwood Gardens.

Hank’s Longwood Gardens experience set him on his path to the eventual leadership of Stan Hywet Hall & Gardens in 1995. In answering the question about what motivated him to do the work of Leadership for Good, Hank talked about being his own boss, having the opportunity to make a difference, and taking the organization to the next level. The people who knew Hank—his informants—talked about his commitment to the mission of the organization. One person put it this way, “Hank is mission driven. He is nonprofit oriented. He enjoys carrying out a public service type of mission. He could clearly be in the for-profit world if he chose to do so, but I think he is one of those people that enjoys the execution of a public-good mission . . . he really seems to like doing that in the wrapper of a public good rather than a private gain setting.”

For the Delphi panelists, mission commitment was the flag bearer for what it meant to have the “natural feeling that one wants to serve, to serve *first*” (Greenleaf, 1977, p. 13 italics as written). A panelist described mission commitment this way:

It is the mission of the organization and the underlying principles of equal opportunity and anti-discrimination that really ring home true for me. I grew up in a lily white suburb of Cincinnati, completely clueless to a lot of the issues that I deal with every day here. I believed that we had a country that was racially harmonious, and that there weren't really big problems, or that they had brought the problems upon themselves.

Another said:

I really bought into the mission and to what I perceive as a lot of work and need on the part of myself and others in this industry, to promote the needs and get to a level playing field for people with developmental disabilities because I see them as getting a bad shake from the world.

A third panelist put it quite simply, “I love the mission.”

While commitment to mission was universally embraced as the first choice by all of the panelists for why they do the work, panelists with a bias for execution chose making a difference as their second choice while those with a bias for growth chose taking the organization to the next level. The  $t$  test on this last statement showed a statistical difference for the Likert-type scale ( $t_{(10)} = .016$ ).

The first two major columns in Table 4.3 and subsequent tables like it show the two groups—growth and execution. The *Rank %* column indicates the percentage of panelists who ranked the corresponding statement as important. The percentages were derived by dividing the number of importance checkmarks a statement received by the total number of checkmarks for

that category. The *Likert* column summarizes the mean, median, and percentage of scores that were 4 or 5.

Table 4.3

*Why They Do the Work*

	Execution n=11					Growth n=5				
	Rank	Likert				Rank	Likert			
		%	M	MDN	%4+5		%	M	MDN	%4+5
Commitment to the mission	21	4.9	5	100		33	5	5	100	
Making a difference	21	4.7	5	100		13	4.6	5	100	
Doing what you love	15	4.4	4.5	90		13	4.2	5	60	
Operating the organizations in an efficient and effective manner	9	4.4	4	100		7	4.8	5	100	
Feeling good about what you do	6	4.5	5	100		0	4.6	5	100	
Getting things done	6	4.2	4	91		0	3.6	4	60	
Getting to select staff, put them in the right position, and see them succeed	6	4.3	4	91		0	4.8	5	100	
Taking the organization to the next level	6	4.5	5	100		20	5	5	100	
Enjoying everything about the job	3	2.6	3	27		0	2.6	3	40	
Liking the people that are served by the organization	3	3.6	4	64		0	4	4	80	
Meeting tremendous people along the way	3	4	4	73		0	3.8	4	80	
Putting teams together and then seeing them get things done	3	4.1	4	82		0	4.8	5	100	
Being your own boss	0	3.1	3	36		0	3.2	3	20	

Flexibility in the work schedule	0	3.3	3	45	0	3.5	3.5	50
Leaving organization in the best shape possible for the next executive	0	4.5	5	91	13	5	5	100
Making a living	0	3.5	4	55	0	3.8	4	80
The challenges are stimulating, certainly there is no boredom	0	3.5	3	45	0	3.2	3	20
Using creativity in the job	0	4.1	4	82	0	4.2	4	100

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Tests for correlations between the dependent variable of net revenue÷total revenue and all the statements within this category did not find any direct relationships with the top choices, but two other statements supported the general concept of servant leadership: getting to select staff, put them in the right position, and see them succeed ( $r_{(14)} = .562, p < .05$ ), and putting teams together and then seeing them get things done ( $r_{(14)} = .562, p < .05$ ). In addition, two statements from other categories added support for mission commitment. First, from the category of the importance of determination, the statement that no matter how lucky it seems, always stay true to the mission had a positive correlation ( $r_{(14)} = .557, p < .05$ ). Second, in the category of values that are important, putting the people the organization serves first had a positive correlation ( $r_{(14)} = .567, p < .05$ ).

### *Self-sacrificing*

In the literature review, self-sacrificing took its form in dreams forgone, diminished compensation, and the toughness of the job. For Walt Disney, “If you can dream it, you can do it” (“BrainyQuote,” 2001-2003). Not so for Hank who had unrealized dreams. His first dream was to be named a Kodak Little All-American. Regrettably, he sacrificed his grades in the first two years of college in the pursuit of sports and ended up having to leave Western Maryland

College as a result. In the following year, he pulled himself together and earned a full academic scholarship at the University of Maryland, majoring in horticulture. In the process, his dream to be an All-American slipped away.

Hank's second dream was to become an officer in the Air Force, which he pursued immediately following college graduation. He was influenced in this quest by his older brother Steve who was an officer in the Air Force, rising in rank and becoming an attorney in the process. Hank's dream looked like a shoe-in, thanks to the recommendation of an Air Force general that Steve had arranged but, despite two appeals that consumed as many years, his dream of being an Air Force officer did not come true. Three more attempts to join other branches of the military also failed.

Of course, most people have regrets about things they could have done with their lives from a retrospective standpoint. Though Bennis (1989) talks about the "torments of the unfulfilled" (p. 65), as most of us do, Hank moved on and refocused his attentions. Certainly, Hank did not obsess about his early disappointments. People who knew Hank did not make note of any dreams forgone relative to self-sacrificing. Instead, they talked about lifestyle choices that he and his family made to do the job:

He clearly uprooted his family to go to a place where they knew no one from a place where he was pretty highly respected and his wife and children were happy, to go to this unknown place to take over an organization that clearly needed a lot of work. So he was taking on a challenge and was willing to go through the whole sacrifice of what that might mean family wise to do that.

Hank's self-sacrificing did not result in lower compensation, perhaps because his 2004 salary was \$155,385 compared to George's inflation-adjusted \$35,000. Yet, the opportunity cost

of working in the sector had bearing. Remember that George's inflation-adjusted compensation working for Old Man Potter would have been nearly \$300,000 compared to his meager \$35,000 at the Building and Loan. Like George, two of the people who knew Hank well thought that he could have received higher compensation in the private sector, but Hank made no mention of this.

The third element of self-sacrificing—toughness of the job—had strong support from Hank:

I have all this staff and then I have all these political issues out in the community and it gets really tough because there are not many jobs like this. In the nonprofit world, that's the way it is. I've talked to a couple of people that have gotten out of the business world and run nonprofits and say, 'I don't know how you guys do it.' Because you don't have the resources you need always. You're always riding on a shoestring and you've got all these constituent groups that have their own agendas and they all are throwing stones.

Hank's informants added more support: "In times like this where the financial pressures are just almost ridiculously challenging and even though the board technically shoulders that weight, we all know that the executive director shoulders that weight. I think that has to affect your personal life and every aspect of it." Another informant said, "It takes an incredible amount of time and effort and that is difficult. My feeling is it's certainly more than a full-time job. I'm sure that has implications for the rest of his life."

In terms of sacrifices required by the job, Delphi panelists made little mention of dreams forgone. As one panelists put it, "I don't have any regrets with it, but I always thought that I would get married and have a family and work, I always liked to work, but one day it was like, 'Oh, I forgot to do that.'"



Delphi panelists were also low-key about the compensation issue. One of the reasons that it might not have ranked higher may have been because panelist compensation averaged \$110,861, nearly 30 percent higher than the average compensation of \$87,390 at nonprofits with less than \$3.5 million in expenses ("Inflation calculator," 2006).

Delphi panelists did resonate with the toughness of the job as shown in Table 4.4. The first self-sacrifice was finding a balance between job and personal life, "It has always been that balancing act; it's not even so much the hours at the workplace, it's the investment, the personal and the professional investment, that waking up in the middle of night thing." Another said:

Sending emails on Saturday night or working, taking calls over the weekends. We have a little cottage on a lake and with a computer, I can work anywhere. And every day I work. I try not to, I try not to, but I do. And it gives me pleasure, but it also—I think when I step back—that I just don't get away from it.

Table 4.4

*About the Sacrifices Required*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	M	MDN	%4+5	%	M	MDN	%4+5
Finding a balance between job and personal life	27	4.5	4	100	27	4.2	4	100
A lot of time must be put into the job	24	4.5	4	73	33	4.8	5	100
There is never enough money to do the things that need to be done	24	3.8	4	73	0	3.2	3	40
It's a job and a half, a whole lot more responsibility and liability	6	3.5	4	55	7	4	4	80
Lifestyle choices must be made (e.g., marriage, children, moving frequently).	6	3.3	3	36	0	3.2	3	20
The work is undervalued and underappreciated	6	3.3	3	27	0	2.2	2	20
Lower pay and lower benefits	3	3.5	3	36	0	3	3	20
The job is often very stressful	3	3.2	3	27	20	4	4	80
The board makes the job harder than it needs to be	0	2.5	2	18	0	2.6	2	20
There is a negative impact on relationships with family and friends	0	2.9	3	18	0	2.2	2	0

There is a sacrifice of anonymity	0	2.9	3	18	13	3.4	4	60
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The second sacrifice required was that a lot of time must be put into the job. Said one panelist, “You have to be committed to it because it’s full time and then some. And it’s seven days a week, twenty-four seven.”

When it came to third choices, there was a difference between the growth-oriented and execution-oriented panelist. The growth-oriented panelists made as their third choice that the job was often very stressful compared to the execution-oriented panelists who made as their third chose that there was never enough money to do the things that need to be done. The  $t$  test on for this statement about never enough money was statistically significant between the two groups ( $t_{(10)} = 0.000$ ). In essence, the execution-oriented folks worry about the money while the growth-oriented simply worry.

### *Trustworthy*

When you walk into Hank’s office, two things—what Schein (1999) calls artifacts—tell the visitor what it means to be trustworthy. First is the miniature civil war canon on his desk purposely pointed directly at him, which reminds him that he can never dodge the burden of accountability. Second, immediately across from his desk is a painting of the London Plane Tree Allee at Stan Hywet Hall painted by Mrs. Gertrude Seiberling, an accomplished artist and wife of F.A. Seiberling, founder of Goodyear and builder of Stan Hywet Hall & Gardens where they lived. Hank placed the painting in his office for two reasons:

First I wanted to have something from both Mrs. and Mr. Seiberling in the space I spend a significant amount of my time so that I remain inspired by both the creative vision and genius that came together and resulted in Stan Hywet. Also I wanted the restoration of this great garden to be the last thing I accomplished before I leave Stan

Hywet—I wanted it always in front of my face so I wouldn't lose sight of the major restoration project I wanted to see happen before I moved on.

The second level of culture is espoused values, what the leader says is important. Hank made it clear what mattered early on:

I'd been here about six months and we had our first public forum and there were about 200 people that showed up. I'm standing there and I had talking points, but before I could begin one obnoxious guy stands up and said something along the lines like, "Who the hell do you think you are?" I kept my cool, and I don't have a direct quote, but I said something along the lines of "Why, I'm the guy who's been put in charge of this place, and let me just explain how things work from my perspective."

I said, "I will listen to every suggestion you all have to make, but you have to understand this is not a democracy. I will listen. I'll take the best advice, and, ultimately, I'm the one charged with making the decision. I will stand by the consequences of those decisions. If that consequence means I don't have a job here anymore, that's fine. But I'm not going to stand here and have a popularity contest on what we need to do for this institution."

Hank's commitment to accountability was a key reason he was hired for the job in the first place, "I could point to my background where I would say, 'Hey, guys, stand up and follow me. This is where we're going to go. I'll be out front, I'll take the heat.' And I think that's one of the things they were looking for, and it's one of the reasons they hired me."

The third level of culture is where the values come to life in action. Hank's informants agreed that he is honest, accountable for his actions, and walks his talk, "He's very sincere. He doesn't say one thing to your face and something else behind your back. He's very trustworthy. I

know when I go in his office and I discuss something with him, I know he will give me a very honest and straightforward answer.” Another noted, “Hank values people who put their actions behind their word, who stand up to their word and who deal with people in an honest and upfront manner, and who truly do have the best interests of the organization at heart.”

As illustrated in Table 4.5, Delphi panelists were unanimous about honesty being the top value, which is consistent with P. Light’s (2002b) executives of high-performing nonprofits who also scored it as the most important. Said one Delphi panelist, “It is highly important to me to be very honest in our dealings; we have very clean audits because everything is done correctly. If things are ethical, then everything else should follow. I personally would never want to work anyplace where there was any kind of underhanded or illegal or immoral or unethical practice going on.” Another was pragmatic about the value of honesty, “I don’t have to worry about who I said what to because I said it all to everybody and whatever I said was true.”

Table 4.5

*Values That Are Important*

	Execution n=11					Growth n=5				
	Rank	Likert				Rank	Likert			
		%	M	MDN	%4+5		%	M	MDN	%4+5
Honesty	23	4.8	5	100		20	5	5	100	
Take responsibility for your actions	13	4.7	5	100		20	5	5	100	
Do what you say you are going to do, walk your talk	13	4.6	5	100		20	5	5	100	
Some things you do because it's simply the right thing to do	13	4.5	5	100		11	4.8	5	100	
Be open to change	6	4.7	5	100		13	5	5	100	
For people, with people, through people	6	4.3	4	82		7	4.4	4	100	
Never forget the mission	6	4.6	5	100		13	5	5	100	
Quality is first	6	4.7	5	100		0	4.8	5	100	
Go the extra mile	3	4.5	5	91		0	4	4	100	
Put the people the organization serves first	3	4.8	5	100		0	4.8	5	100	
Teamwork	3	4.2	4	91		0	4	4	100	
Be independent, know what the job is, and go do it	3	4.2	4	82		0	3.4	4	60	
Respond to family needs	0	4.1	4	91		0	4.6	5	100	

Two statements—take responsibility for your actions, and do what you say you are going to do—strongly supported the twin concepts of what it means to be accountable and authentic for the growth-oriented panelists. One panelist said, “I don’t care much if people like me, love me, or admire me, but I want people to say, ‘You know, she pretty much does what she says she’s going to do and is straight up with you.’” Relative to being accountable, another said quite simply, “Leaders who cannot admit they made a mistake are doomed for failure.”

Additional support for accountable and authentic came from the top choice of all panelists in the personality characteristics section: Be somebody to count on; known for dependability, (e.g., responsible, careful). As one panelist described it, “When something is happening, some crisis, you can’t go ‘Oh gosh,’ or ‘This is awful. I can’t do this job.’ Yes, this is going to go wrong and next week something else will be the issue. You have to have fortitude.” Another said quite simply, “The buck stops here.”

### *Summary of Purposeful Findings*

It is in this summary of findings where Linstone and Turoff’s (1975a) assertion that the “Delphi is more of an art than a science” (p. 3) has bearing. For it is here that I have reviewed the data from the case and the Delphi to reach a subjective conclusion about the depth of support for the findings. Though others may review the same data and reach different conclusions, summaries like Table 4.6 that follow all five Leadership for Good propositions show my conclusions.

Table 4.6

*Summary of Purposeful Findings*

	Literature		Delphi	
	Review	Case	Execution	Growth
Purposeful	✓	✓	✓	✓
Mission Centered <sup>13</sup>	✓	✓	✓	✓
Mission Commitment		✓	✓	✓
Making a Difference		X	✓	X
Going to the Next Level		✓	X	✓
Self-sacrificing	✓	✓	✓	✓
Forgone dreams	✓	X	X	X
Lower compensation	✓	X	X	X
Toughness of the job	✓	✓	✓	✓
Finding a balance			✓	✓
Time the job needs		✓	✓	✓
Job is stressful		✓	X	✓
Not enough funds			✓	X
Trustworthy	✓	✓	✓	✓
Honest		✓	✓	✓

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<sup>13</sup> Given the centrality of mission, the term *servant leadership* has been replaced with the term *mission centered*.



Accountable	✓	✓	X	✓
Authentic	✓	✓	X	✓

Legend: Blank=Not Identified, X=Not Supported, ✓=Supported, △=Partly Supported

### *Visionary*

Those who practice Leadership for Good are *visionary* in keeping with Vaill's (2002) maxim that "leadership behavior that is not infused with vision is not truly leadership" (p. 18).

### *Types*

For Hank, the evidence for idealistic vision appeared early in his tenure:

I saw what this place could be. And I think it's the gardener in me. People that are horticulturists and gardeners know that, when you plant a little plant, you have to be able to envision how big it's going to grow. I could see what maybe others didn't see, things that either those who came before me didn't see or even those who were here couldn't see, what this place could become.

One of the things that epitomized Hank's vision was a drive for American Museum Association accreditation that took formal shape within six months of Hank's arrival in 1995:

Accreditation was the first goal, the first major goal that we wanted to hang our hats on. In order to get there, I said, "If you agree to go after accreditation, you're going to add a million dollars to the operating budget, because in order to do it, we are going to have to make significant changes in our educational, curatorial, guest services, security functions, and how we deal with overall operations and restorations."

With accreditation achieved in 2000 and the economic environment in decline, Hank's vision became pragmatic:

I said, “This is not sustainable. It doesn’t mean we’re not going to stay and progress. And it’s not because you aren’t working hard. It’s just that some things are totally out of our control. And this is what we need to do in order to keep the institution progressing. And, oh, by the way, we’re also going to use some of the money we’ve raised through a capital campaign and we’re going to be restoring this, that, and the other. It’s not like it’s the end of the world. And it’s not like all of a sudden we’re going to start to pull back and retreat. We’re still going to progress forward.”

As this recounting shows, Hank not only shows evidence for the two predominant types of vision—pragmatic and idealistic—but he also gives more evidence for the idea that leaders can and do adapt their visions to context, even if it goes against their personal bias for growth or execution. That seems to be Guskin’s (1997) point of view:

I believe that one must be both idealistic and pragmatic. For, to be idealistic without being pragmatic leads to frustrated aspirations and unfulfilled promise; to be pragmatic without being idealistic leads one to be a hack and a bureaucrat. Being both idealistic and pragmatic leads to hope and optimism along with being realistic and focused.

This paradoxical blend is not unusual in the literature; for example, W. Rowe (2001) argues that strategic leaders show a “synergistic combination of managerial [stability and order] and visionary leadership [future-oriented]” (p. 82).

What was more difficult to see was whether Hank crafted any crisis-oriented visions during his tenure, although his response to the sudden death of Joyce King, the beloved board chair and acting director, gives some support. Hank was scheduled to start work at the beginning of September 1995, but her death changed that and caused him to start almost a month earlier.

His vision did create the strong, emotional reactions that are indicative of a crisis-oriented vision (Heath et al., 2001):

So here I'm in with these twenty managers and they're all just kind of looking at me and I said, "Well, I guess there are a few things you need to know. You know, who I am." I kind of told them a little bit about my background. I told them about my family. Then I said, "Just one of the things you need to keep in mind is this is the way I view what we do with the majority of our time during our lives. What our priorities are. Here are my priorities: my family, my faith, then my work. In that order so if some of you right now are feeling you need because of your relationship with Joyce to take the rest of the day off. Go to your family. Go support Mr. King and his family. It's perfectly all right with me but that's how I live my life. That's how I want to lead it as the boss here at Stan Hywet. Do you have any questions?"

Delphi panelists saw vision as important as illustrated by one person's comment, "If you're going with the flow, you're reactive. You're not proactive. If you don't have a vision of where you're going to, then how do you know if you get there? I'm a big believer in working backwards." Participants typically saw vision as a necessary factor for getting things done, "You've got to kind of have a map to where you're going or you're not going to get there. To move an organization there, I think, is very important to have a sense of where you're going."

Instead of three types of vision as proposed in the literature review—pragmatic, idealistic, and crisis-oriented, results from the Delphi shown in Table 4.7 lend support to a fourth type, that of core vision. Said a panelist, "My vision is that the organization is always accomplishing its mission." Said another, "I think vision is important. You have to have a vision of where you're going and all that sort of thing. But I think mission is more important." This

core vision of always accomplishing the mission was overarching and seemed to drive the key vision strategies of becoming more fiscally sound for the execution-oriented panelists and being the best for the growth-oriented group.

Table 4.7

*Types of Visions*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	<i>M</i>	<i>MDN</i>	%4+5	%	<i>M</i>	<i>MDN</i>	%4+5
To always accomplish the mission	28	4.8	5	100	33	5	5	100
Be more financially sound	28	4.3	4	100	7	4.3	4.5	75
Be the best at what you do	17	4.7	5	100	27	4.8	5	100
Reach more people to serve	14	4.3	5	78	13	4.8	5	100
Be a very exciting organization	10	3.9	4	56	7	3.8	4	75
Grow the organization	3	3.9	4	78	7	3.8	4	75
Enhance the diversity of the organization	0	3.8	4	67	0	3.5	3.5	50
Increase capital assets like buildings and endowments	0	3.7	4	56	7	4	4	75

Turning to the second choices provides the support for two types of vision. The growth-orientated panelists chose the idealistic vision of being the best at what you do. One panelist described what this meant, “I just felt that this could be the premier agency of choice for youth and particularly for homeless youth; when something happened in the community, we’d be called in as the expert.”

Execution-oriented panelists choose the pragmatic vision of being more financially sound. As one noted, “I think you do need to be visionary, but I don’t think that you can get so far into the vision and away from the day-to-day mechanics of what it takes to accomplish. The vision needs to be connected to the reality of what it takes to do this work.” Another panelist put it quite simply, “I think vision is overrated.”

Unexpectedly and, despite the obvious vote of confidence in the mission, there was a negative correlation between net revenue÷total revenue and the vision of always accomplishing the mission ( $r_{(14)}=-.553, p<.05$ ).

### *Origins*

As discussed earlier, Hank’s original vision for Stan Hywet Hall was instilled in him when he was a child. Those who know Hank well, however, thought his vision originated with more contemporary experiences, “He became cognizant of the existence of those ideas when he was at Longwood or through some connections he had maybe with other CEOs of properties that he met originally through his years there and then when he was in Canandaigua.” Another informant agreed with this, “A lot of the ideas that he has brought to the table are things that he has seen in the industry elsewhere. He knows what’s going on around the country at other horticultural institutions.”

Though Hank was influenced by his family roots, only three of the 16 panelists spoke about this. Said an individual involved in adoptive services, “My grandmother grew up in an orphanage, talked about how horrible that was, growing up unloved, unwanted . . . The grade school I attended rented space from an orphanage and this really had an impact on me.” In talking about his life of service in a faith-based elder-care agency, another person remembered,

“My dad was a teacher and principal and our family was always committed to the church. They grew up in families that were committed to the church.”

Table 4.8 shows that Delphi panelists were more here and now about the origins of vision by first looking at what was going on with clients. A panelist explained, “The vision comes from what I perceive as need. I get the perception of need from looking at what’s going on in our area.” Second, panelists paid close attention to the mission as a source for vision, “Our mission is to work in partnerships with local communities, to eliminate the causes and conditions of poverty, and to support individual independence and self-sufficiency. And, out of that, there comes some visioning about how to do that. You look for new programs.”

Table 4.8

*Where Vision Originates*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	M	MDN	%4+5	%	M	MDN	%4+5
Look at what's going on with those you serve	31	4.7	5	100	27	4.6	5	100
Look at the mission	25	4.7	5	100	27	4.6	5	100
Look at other organizations to find best practices that might be duplicated	13	4	4	91	7	4.6	5	100
Pay attention to your intuition; just see the vision, feel it	13	3.9	4	73	13	3.8	3	40
Look at what's missing in the community	9	4.3	4	91	7	4.6	5	100
Look at the environment, at the vision from a business perspective including revenue, competition, capacity issues; it's a rational process	9	4.2	4	82	20	4.4	4	100
Look at the worst practices at other organizations to see if you can do any of them better	0	2.7	3	20	0	3.2	3	40

*Conveying*

From Hank's point of view, visions were sold through straight talk and pictures, "This is the way I see it. And it's supported by fact." Hank also recognized that a picture is worth a thousand words:

I see things better through pictures. A picture can talk about the quality. A picture can talk about what you're trying to do very, very quickly as opposed to me trying to sell it with words. When you talk about quality for example, everyone has their different experience. And so they put their own lenses to what that is. If I show a picture and say this is quality, then we're all on the same page."

The people who know Hank agree, "When Hank wants to make something happen, he first figures out the who, what, and why of the negative feedback and then lays out a plan. He generally does it with pictures, with slides. He really gives a great presentation when he wants something." Another person described his approach:

There have been times when Hank has been making his pitch for the next year's budget and the numbers, in my humble opinion, were totally unrealistic, totally. There wasn't a single VP—not a single one—who bought into the numbers he was proposing—nobody. And yet, at the end of the meeting, Hank gets what Hank wants because he can sell it and it's not out of charisma because there's none of that. It's just that he can so authoritatively convince you that his way has to be. Some of this is his facts and he just pounds home the vision is going to work. There's some security there because he's so forceful in his beliefs that you figure, well, for crying out loud, the guy's got to know what he's talking about because he's also willing to shoulder the responsibility.



And he's an extraordinarily visual person. So even when you're talking to him, sitting across the table from him, if he really wants to make his point, it is physically, I think—he's physically incapable of doing so without a pad of paper and a pencil. And he's very much the same way with his slide presentations . . . if he has his pictures, he can sell anything.

Delphi panelists had a three-step process for conveying the vision. First and as Table 4.9 illustrates, panelists legitimized the vision by conveying it through the strategic plan. It was, therefore, not unexpected that 14 of the 16 panelists had strategic plans. These plans were not mere communication tools; they made a meaningful difference. "It's a living, breathing, ground up document. We do a rolling five-year plan, add a year, drop a year every year. It starts at the branch level with the branch staff and volunteers. What are we doing in membership? What are we doing in programs?" Another said, "It says this is where we want to go and these are the things we need to do to get there. It has to be updated every year. I'm not a believer in doing it ten years out. What the heck do I know about what's going to happen in ten years? Five years anymore is a stretch."

Table 4.9

*How Visions Are Conveyed*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	M	MDN	%4+5	%	M	MDN	%4+5
Convey the vision through the strategic plan	45	4.8	5	100	40	5	5	100
Be persuasive enough to get people involved	45	4.6	5	100	40	4.2	5	60
Convey the vision carefully and slowly	5	3.5	3	45	0	3.6	3	40
Get inside the minds of the people you're trying to convince; the message changes depending upon the specific audience	5	3.9	4	73	20	4	4	80

Second and as seen in Table 4.10, the panelists were persuasive enough to get people involved. As one person laid it out, “You can never remove the fact that people have to feel your love for what you’re doing.” Third, from the category of how vision elements are finalized shown in Table 18, panelists involved others in the process of vision finalization, which was different than Hank who appeared to make the final decision about the vision and then engage in a process of selling it.

Table 4.10

*How Vision Elements are Finalized*

	Execution n=11				Growth n=5			
	Rank		Likert		Rank		Likert	
	%	M	MDN	%4+5	%	M	MDN	%4+5
You kick around a final draft of the vision with others including staff and board; it's a way of floating trial balloons and building ownership	48	4.4	4	91	40	4.3	4.5	75
When ideas for the vision do stick, you put them into the final cut	17	4.1	4	82	10	4	4	80
When ideas don't stick after repeated efforts, you let them go	17	4	4	73	30	3.4	4	60
You run a small experiment on an idea to see if it might work on a larger scale	13	3.2	3	27	20	3.6	4	60
You start with lots of ideas, most that the executive director should generate	4	3	3	18	0	2.6	2	20
When ideas for the vision don't stick, do more research and try them again	0	2.9	3	18	0	2.8	3	20

*Summary of Visionary Findings*

Table 4.11

*Summary of Visionary Findings*

	Literature		Delphi	
	Review	Case	Execution	Growth
Visionary	✓	✓	✓	✓
Types	✓	✓	✓	✓
Core			✓	✓
Always achieve mission			✓	✓
Pragmatic	✓	✓	✓	X
Financially sound			✓	X
Idealistic	✓	✓	X	✓
Be the best		✓	X	✓
Crisis-oriented	✓	△	X	X
Origins	✓	✓	✓	✓
Family roots	✓	✓	X	X
Clients		X	✓	✓
Mission		X	✓	✓
Conveying	✓	✓	✓	✓
Strategic Plan			✓	✓
Persuasively	✓	✓	✓	✓
Involve others		X	✓	✓
Legend: Blank=Not Identified, X=Not Supported, ✓=Supported, △=Partly Supported				

### *Results Driven*

Those who practice Leadership for Good are *results driven*. They are *decisive*, courageous in their decision-making, and luck takers when it comes their way. They are *determined*, which is synonymous with the Big-Five Factor Structure of will to achieve (Digman & Takemoto-Chock, 1981). Finally, they are *dependable*, which is characterized by emotional stability and being grounded.

#### *Decisive*

##### *Courageous.*

Hank had a feeling that something was wrong in spring 2000:

March was the high point of the market, and nobody knew, obviously, where it was going to go. But at that point in time, we were saying, “There’s something wrong here.” And, at that point in time, I was trying to get the finance committee to take some of this capital gain and stick it somewhere. And they just weren’t listening. And so we stayed with the course and, in about 20 months from the time we had that discussion in March 2000, we lost something like \$18 million in market value.

That loss of market value in the operating endowment translated into a reduction of operating income of more than \$1 million per year. Hank had to take action; he knew that trouble was coming.

Hank showed courage early in life with his strong desire to be a winner in student athletics and in work experiences. When he was 18 years old and working at a nursery, one of the regular drivers didn’t show up. Hank had some experience with 10-wheelers, but never on the open road and he was not licensed to drive one: “Being full of piss and vinegar, I said, ‘Yeah, I’ll do it.’ I didn’t have a license. I didn’t have any of this stuff. And all I’d ever done was drive a

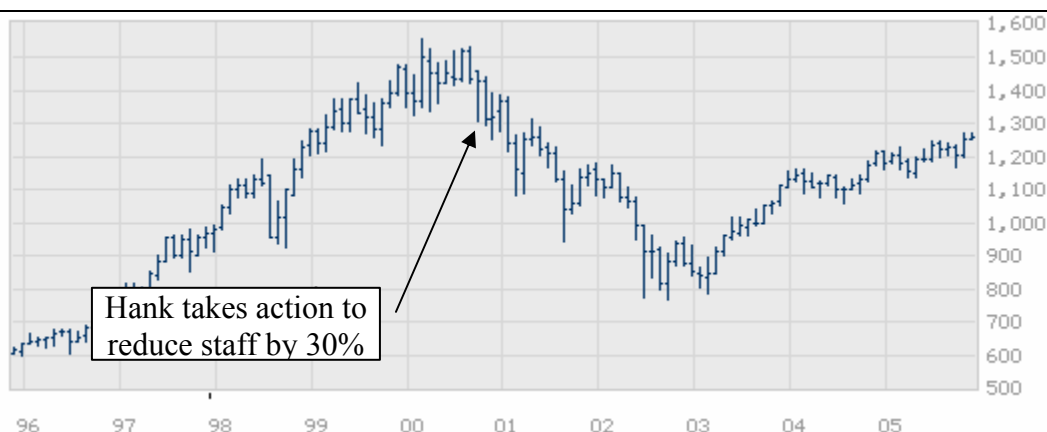
10-wheel Mac around the yard. But I said, ‘Yeah, I’ll do it.’ And so I did it.” By taking these sorts of risks—which he did with regularity—and defying socially-accepted ways of getting things done, Hank showed an early proclivity for leadership (H. Gardner & Laskin, 1995).

Hank’s early experiences were an indication of things to come. As Figure 2 shows, the market correction had just begun when Hank made the decision to lay off 30 percent of the staff. The consequences of Hank’s decision were immediate:

It caught a lot of criticism. I caught it from other nonprofit directors. There were articles in the Beacon Journal, not front-pagers, but you could read the tone of the article: “Stan Hywet reduces staff.” And then you read the article, it was negative. They actually interviewed one or two of the people that got laid off. The only people that were patting me on the back—and they were doing this at little social functions—were the business leaders. These are guys and gals who own companies. And they said, “Stay the course; you’re doing the right thing.”

Figure 4.2

*Standard and Poor’s Monthly Chart 1995-2005*



For Hank, decisiveness was synonymous with courage, so much so that he recalled a board member telling him, “‘Man, I’m never parking my car next to yours. Because somebody’s going to put a bomb in it and blow it up.’ They would laugh. It was their way of being supportive.” A staff member offered a different perspective:

On programming, he has made some unpopular decisions over the years, not unpopular necessarily with staff but certainly with stakeholders, to completely fold or do away with programs, specific programs that were not successful from a financial standpoint. And he was willing to take the heat, and he knew he would be taking quite a bit of heat, but he was willing to do that because those programs were not contributing to his plan and ultimately at the end of the day—where it really counts at the bottom line—they weren’t going to help him get there.

Another informant described Hank’s courage in military terms, “He wasn’t afraid to get into combative situations if he knew that there was some reasonable likelihood that the end result would be the right thing for the organization but it was going to be uncomfortable going through it. He would engage in whatever we needed to do to do that.”

For the Delphi participants in this study, getting things done was vitally important. A panelist summed up the concept of results driven, “We have a track record of delivering. How many meetings have we all had where we sat around to solve a community problem and nothing ever got done? That’s not the reputation we have. Our organization has a reputation of when we tackle something, we get it done.”

Like Hank, and as shown in Table 4.12, the panelists began their quest for results by being courageous, which showed in their willingness to take risks:

I wanted to see if we could get a federal appropriation and so I talked with a lobbyist and I convinced the board to allow us to try to do it and we hired a lobbyist and, this last year, we got a \$200,000 appropriation. The risk was that it cost us about \$30,000 up front. I had to convince the board. I mean this same lobbyist had told me they had conversations for three other nonprofits prior to me and that all of them said, “No, well, we can’t,” you know. Because the question comes out to “How do we know we’ll get the appropriation,” and you don’t.

Table 4.12

*Importance of Decisiveness*

	Execution n=11				Growth n=5			
	Rank		Likert		Rank		Likert	
	%	M	MDN	%4+5	%	M	MDN	%4+5
Be willing to take risks	36	4.8	5	100	50	4.6	5	100
When opportunity comes along, grab it	27	4.5	5	100	20	4.2	4	100
Know intuitively when something’s right or when something’s wrong	23	4.4	4	100	20	3.8	3	40
Begin with the end in mind	14	4.2	4	91	10	4.6	5	100

Though there were no significant correlations with net revenue÷total revenue and the statements in the importance of decisiveness category, a statement from the category of values that are important lent strong support to the concept of courage: be independent, know what the job is, and go and do it ( $r_{(14)}=.567, p<.05$ ).



*Luck takers.*

The second aspect of what it means to be decisive is to be a luck taker. When Hank talked about the advantages of having mentors—both good and bad—he was quick to say, “Anybody who is successful has some luck. If they say it's all their skill, they're lying.” Hank is quick to acknowledge that he was lucky to have a boss early in his career who epitomized everything wrong about leadership: “I basically was taught how not to be a director. He gave me a Master's in how not to do the job by example.” A colleague of Hank's concurred, “I assume he's had some lucky breaks. Most of us who have been in this long enough have.”

One specific example Hank points to is the sudden death of Joyce King. Roger Reed, an extremely influential board member stepped into the breach and, along with another strong board member, Scott Abell. Hank calls the sequence of the events that began his career at Stan Hywet Hall “exceedingly lucky. I don't think I'd be here if Roger and Scott hadn't been involved. I probably would've gotten fed up and left.”

Others who know him saw his luck taking differently, “I see Hank as somebody who is very confident and works very hard. He certainly isn't in this position because he's been inordinately lucky or unlucky. He works very hard and is good at what he does.” Another agreed, “Everything that he's achieved, he's worked for. Nothing has been handed to him.”

As shown earlier in Table 4.12, the statement that when opportunity comes along, grab it shows strong support for luck takers by the Delphi panelists. One said, “We've probably had breaks that we didn't do anything with as an organization. I've probably had those personally. Sometimes you aren't even aware of them. But we've had things that happen to us that are good, that we've taken advantage of.” Another agreed, “Take advantage of them [lucky breaks] but no, don't wait for them. There's too much to keep doing.” A third said, “Wonderful opportunities

presented themselves along the way. A lot of the time I've hopefully taken advantage of and not missed them." A fourth said quite simply, "I don't like to see opportunity be wasted when there is so much need."

In addition, correlation analysis using net revenue÷total revenue and the statements in the category of the importance of determination shown below in Table 22 supported luck and luck taking. The statement that a lot of the luck you experience is a result of laying the groundwork well in advance had an inverse relationship with ( $r_{(14)}=-.539, p<.05$ ).

### *Determined*

As Hank showed with his five attempts to join the military, he was not easily satisfied, not willing to accept the status quo:

I've been pushing people really hard to do something that is almost impossible . . . It's not in an oppressive sort of way, And I thank people, and I think I acknowledge the—not enough—I acknowledge their contributions . . . To be quite honest with you, I've never been satisfied with anything that we've done here at Stan Hywet. And unfortunately, I probably should set the bar a little bit lower, but I personally don't.

Those who know him well concurred with Hank's self-assessment: "A CEO of a hospital once told me that a major component of the job is stamina. And Hank clearly has that. As long as he is the person in charge, he has an endless amount of energy to bring to the execution of the plan that he knows he controls. I don't know how he would be as a number two. But that's often the hallmark of a CEO, that if you are the end of the food chain, it is exhilarating and you do find endless energy and the optimism to execute your plan."

Another described Hank's determination quite differently, "It's totally exhausting . . . most humans can't withstand that to the extent that Hank can; I don't think he realizes that. He's

above average, way off the charts above average, on that particular spectrum. I'd put him off the charts." Said a third, "He's the last one at the office, and I know he comes in on the weekends. Hank is always out there, and we're constantly trying to pull him back a little bit; it's a constant (word left out? battle?) to try to keep up with him."

Delphi panelists were supportive of the importance of determination in the first-round interviews, "Perseverance is a personal trait for me. If I want to get something done, you need to get it done. I just persevere until kills me or I get it done." Another said, "I do not want to accept 'no.'" And a third noted, "If I want something, I usually get it." Yet as illustrated in Table 4.13, when it came to the top choices, the panelists gave the concept a ranking of fourth place.

Table 4.13

*Importance of Personality Characteristics*

	Execution n=11					Growth n=5				
	Rank	Likert				Rank	Likert			
		%	M	MDN	%4+5		%	M	MDN	%4+5
Be somebody to count on; known for dependability (e.g., responsible, careful)	33	4.8	5	100		27	5	5	100	
Have intellectual capacity (e.g., imaginative, cultured, curious, original, broad-minded, intelligent, artistically sensitive)	24	4.5	5	100		27	4.2	5	60	
You can have your moments, but overall, be pretty solid when it comes to emotional stability (e.g., <u>not</u> anxious, depressed, angry, embarrassed, emotional, worried, or insecure)	24	4.5	5	100		20	5	5	100	
You should always want to do more, be known for your achievement orientation (e.g., hardworking, persistent)	9	4.3	4	91		13	4.4	4	100	
You should be organized; known for orderliness (e.g., planful, organized)	6	4.2	4	100		7	4.2	4	80	

You should be easy going for the most part, known for agreeableness (e.g., courteous, flexible, trusting, good-natured, cooperative, forgiving, soft-hearted, tolerant)	3	3.8	4	64	7	3.4	3	40
Be extraverted even if you're naturally introverted (e.g., sociable, gregarious, assertive, talkative, active)	0	3.7	4	73	0	4	4	100

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Stronger substantiation for being determined is shown in Table 4.14 where execution-oriented panelists chose the statement that a lot of the luck you experience is actually the result of laying the groundwork well in advance. Growth-oriented panelists chose a very similar viewpoint that the harder you work, the luckier you appear to be. This luck making was described by one panelist, "You make your own breaks in essence. In most cases, you do. You have to be prepared for it and sometimes you're in the right place at the right time. But I think you prepare yourself to be in the right place at the right time." Another said quite simply, "You are who you are in life because of decisions you make."

Table 4.14

*Importance of Determination*

	Execution n=11				Growth n=5			
	Rank		Likert		Rank		Likert	
	%	M	MDN	%4+5	%	M	MDN	%4+5
A lot of the luck you experience is actually the result of laying the groundwork well in advance	45	4.5	5	91	40	4.8	5	100
No matter how lucky it seems, always stay true to the mission	25	4.7	5	100	10	5	5	100
The harder you work, the luckier you appear to be	20	4.3	4	91	50	5	5	100
Being lucky really matters when it comes to hiring staff members	10	3.6	3	45	0	2.6	2	20
It's less about a lucky break than it is about lucky timing	0	3.2	3	18	0	3.2	3	20
Being lucky matters when it comes to getting into the work in the first place; it's usually a lucky accident when it comes to how your got the job	0	3.1	3	27	0	2.8	3	0

Strong support for determined also appeared in the category of how vision elements are finalized in Table 18. Correlation analysis of all 134 statements with net revenue÷total revenue

found only one significant relationship at the  $p < .01$  level, and it was negative: When ideas don't stick after repeated efforts, you let them go ( $r_{(14)} = -.688, p < .01$ ). In other words, those who do well on the bottom line do not let go of their ideas.

Although not related to the topic of being determined, findings from the personality characteristics category shown in Table 21 addressed the fear that many introverts have about whether or not they have what it takes to convince others. For example, Hank would never characterize himself as an extrovert: "I am an introvert. I am more into planning. I'm not as comfortable networking; it takes a lot of energy for me to go to a dinner for example with 650 people and go around the room and start networking. It's my job so I do it but, when I get home, I'm exhausted." A board member described him this way, "I've been in fundraising situations with him where I've been across the table from him and I've listened to his pitches and presentations. They're very, very good from a technical standpoint and his ability to convey. But if you're in a room in a social setting, he's not going to schmooze the room."

How does an introvert become an extrovert? An informant answered, "I'm an introvert by personality, but I can do the things that I need to do. I'm assertive. I can make conversation with people. I can do all of those things, but I'm not a natural extravert. And I would think that Hank is not an extravert by nature." Like this informant, Hank adapts his style: "The boy most comfortable on the football field, has grown into a man who regularly dons his tuxedo and accepts public speaking engagements all over the city" (Moran, 2005, p. 19).

The viewpoint that you don't have to be extraverted to do your job effectively was widely held by the Delphi panelists, which is perhaps why being extraverted was poorly supported in the category of personality characteristics. One panelist said, "Extravert for me is a learned skill. On

a Myers-Briggs, I am an off-the-chart introvert. But I've learned to talk in front of groups. I've learned to work in front of a board. I've learned to work with staff teams."

*Dependable*

*Emotionally stable.*

For one of Hank's informants, emotional stability was part and parcel of Hank's personality: "I've not seen the outbursts and that sort of thing that you would normally associate with someone that you would say was unstable. He's pretty controlled and he does not let his ego drive his behavior but, if you're going to pick someone to run a team, he will win the game." A staff member commented, "We can have employees who will do something that is against what he requested, and he can be angry at the moment, but he does not hold a grudge."

If emotional stability begins with self-awareness, Hank seemed to be ahead of the game; utilizing multi-rater feedback to gain self-awareness.<sup>14</sup> A 2004 self-assessment attitude survey

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<sup>14</sup> Atwater and Waldman (1998) call multi-rater feedback "the most notable management innovation of the 1990's. Literally thousands (and perhaps now millions) of individuals have received written feedback from sources that were once thought to be nontraditional, or even taboo" (p. 423). That said, there is not much evidence as to whether multi-rater feedback is a good idea (Waldman, Atwater, & Antonioni, 1998). Others are quite sure it isn't, that it hurts organizational performance more than it helps (Pfau, Kay, Norwack, & Ghorpade, 2002). Indeed, Watson Wyatt Worldwide (2005) cautions: "Our research has shown time and time again that 360 degree performance evaluations do not translate into improved performance" (p. 6). Multi-rater feedback may generate mixed reviews, but self-awareness in general is widely endorsed. R. Kramer's (2003) multimethod study of leader folly found that the leaders who got



using a Behavioral-Values Research Associates instrument confirms that this is largely how Hank sees himself, ranking him in the ninety-fifth percentile on the individualistic attitude and in the second percentile on social attitude.

When it comes to adult learning—another method for gaining emotional control—Hank was committed. While George goes to the local library and reads, Hank headed off to college—Harvard University and Wharton—where he has attended a total of eight executive education programs since 1997.

Delphi panelists also thought emotional stability was important as shown earlier in Table 21 and in its ranking as the second most important personality characteristic: You can have your moments, but, overall, be pretty solid when it comes to emotional stability (e.g., **not** anxious, depressed, angry, embarrassed, emotional, worried, or insecure). One panelist described herself, “I’m pretty controlled and I think that I have to be. You can’t lose it in this arena because words that you would say in anger or words that you would use if you’re explosive, you just can’t pull that back.” Another said, “In my first performance review, the committee said the thing that they had been most amazed was how rock solid I had been dealing with crisis. We didn’t shirk it. We didn’t respond emotionally to it.”

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to the top and stayed there did so because “they all seemed to retain a remarkable sense of proportion and displayed a high degree of self-awareness” (p. 64). Luthans and Avolio (2003) make self-awareness one of the core elements of their model of authentic leadership and it is the foundation of emotional intelligence (Goleman, 1995, 1998; Goleman, Boyatzis, & McKee, 2002).

*Grounded.*

For Hank, staying grounded came from the safe harbor of his dream to lead Longwood Gardens, one of the premiere botanical gardens in the world located in Kennett Square, Pennsylvania with annual revenues three times larger than Stan Hywet's. Hank was a fellow at Longwood early in his career and it has been his long-held ambition to return. Hank's first attempt to make that dream come true occurred in mid-2006 and did not succeed, but showed him to be grounded:

I've gotten over it and regrouped and moved on. If you're not going to be considered for a job, what are you going to do? You know you're not stupid. You know you're not wrong here. So you get angry, you work through it and then say, "Okay, what are my new options?"

Hank also had the safe harbor of a loving wife who was strong and decisive in her own right. He had loving children and he was active in their lives, coaching his daughter's basketball team, for example. Knowing that your whole life is not tied up in the work makes it possible to be more effective. Hank's words at his first staff meeting gave witness to this, "Here are my priorities: my family, my faith, then my work, and in that order . . . that's how I live my life."

Another way to find a safe harbor not discovered in the literature review, but that Hank practiced, was keeping a certain distance from staff. "A lot of us come here and we share our social life with each other. Hank is all business when he comes here. Occasionally, he shares things about his family, but that's not the relationship I've had with him. We don't spend any time outside of the office."

One of the other ways Hank maintains that distance is to choose activities that are singular. An informant described this behavior, "Bike riding is the new thing and so he's got

every gadget known to mankind on that damn bike because he can't just ride the bike because his bike has to be better than anybody's else's and it has to be better equipped than anybody else's. So he's got to go buy the toys that make the bike better; he loves that. I mean why does he have a BMW motorcycle, for crying out loud? Because he couldn't possibly have a motorcycle that everybody else has, but he finds in some of those interests that he has and that he pursues, I think he finds release in some of those things."

All of the Delphi panelists concurred that friends and family, including pets, was the number one way to be grounded, which is seen in Table 4.15. Said one person, "Keeping home life in balance is an important thing. Work would be 1,000 times more stressful to me when that gets out of balance." Another said, "I've stayed very active with my kids. They're all involved in sports. That's a release to me just because I get bothered sometimes with this work."

In addition, the execution-oriented panelists had personal goals unrelated to the job: "I try to have personal goals. I graduated from college when I was 50 and, when I turned 60, I did a marathon, and now I have to figure out what I'm going to do at 65 that's going to be significant, but it won't be work-related. It needs to be apart from that."

Table 4.15

*How to Stay Grounded*

	Execution n=11					Growth n=5				
	Rank	Likert				Rank	Likert			
		%	M	MDN	%4+5		%	M	MDN	%4+5
Friends and family including pets	27	4.5	5	91	27	4.8	5	100		
Have personal goals unrelated to the job	21	4.3	4	91	13	4.6	5	100		
Faith, spirituality	18	4.1	4	82	7	4	4	60		
Take time to recharge and reflect (e.g., yoga, be with friends, quiet time)	18	4.4	4	91	13	3.6	3	40		
Enjoy the simple pleasures (e.g., a glass of wine, food, chocolate)	3	3.5	3	45	13	4.3	4	100		
Getting physical (e.g., exercise, manual labor, gardening)	3	4	4	82	0	3.8	4	80		
Have a simpler life (e.g., living in your means, not sweating the small stuff)	3	3.8	4	70	13	4.4	5	80		
The board and others in the workplace help keep things in balance	3	3.6	4	64	7	2.6	3	20		
The flexible schedule	3	3.5	4	55	0	4.2	4	80		
Come in to work, focus on the job; walk out the door and turn the job off	0	2.7	3	10	7	2.6	3	20		

Results from the correlation analysis of net revenue÷total revenue gave no support for the importance of being grounded relative to the panelists top choices. Having personal goals unrelated to the job had a negative correlation ( $r_{(14)}=-.565$ ,  $p<0.05$ ) as did taking time to recharge and reflect ( $r_{(14)}=-.565$ ,  $p<0.05$ ). Interestingly, there was a positive correlation with enjoy the simple pleasures (e.g., a glass of wine, food, chocolate) ( $r_{(14)}=.656$ ,  $p<0.05$ ).

*Summary of Results Driven Findings*

Table 4.16

*Summary of Results Driven Findings*

	Literature		Delphi	
	Review	Case	Execution	Growth
Results Driven	✓	✓	✓	✓
Decisive	✓	✓	✓	✓
Courageous	✓	✓	✓	✓
Luck Takers	✓	✓	✓	✓
Determined	✓	✓	✓	✓
Lay the groundwork		✓	✓	✓
The harder you work		✓	✓	✓
Dependable	✓	✓	✓	✓
Emotionally Stable	✓	✓	✓	✓
Grounded	✓	✓	✓	✓
Friends and family	✓	✓	✓	✓
Personal goals	✓	✓	✓	X
Distance from staff		✓	X	X
Legend: Blank=Not Identified, X=Not Supported, ✓=Supported, △=Partly Supported				

*Adaptive*

Those who practice Leadership for Good are *adaptive*, which at its core recognizes that “all things change”(Heraclitus et al., 2001), that “the leader and their context are intertwined in a complex and intimate fashion” (Conger, 1999, p. 168). They start by being *alert* to the context

around them. They are then *aligned* to that context, implicitly endorsing Hambrick and Finkelstein's (1987) argument that the limits of a leader's discretion are rarely within his or her complete control.

### *Alert*

Hank can be applauded for his actions to reduce staff so early in the dramatic market correction that reduced the value of the agency's endowment. As a result of the fall in value, total revenue dropped about 20 percent below its high of \$5.85 million in 2000 and has not yet recovered completely. One would think outcomes related to mission achievement would have fallen as well, but the opposite has occurred. Because Hank was adaptive to the changing context early—the market correction didn't reach bottom for two more years—the organization actually continued to post one record-breaking result after another, year after year.

How Hank became alert to the emerging market correction is something he couldn't quite put his finger on, calling it a more of a "gut feeling." This is not unexpected or necessarily bad (Hayashi, 2001; Wiseman, 2003). After all, Gladwell (2005) argues that our snap judgments can be every bit as good as those decisions we carefully deliberate. All things being equal, we human beings prefer the intuitive to the analytic.

If Hank is fuzzy about how he managed to anticipate the market correction, his staff is more certain: "He's a numbers guy and he watches the numbers pretty carefully. And would he have caught that had he not been looking ahead five years? No. And I think a lot of nonprofits got into trouble because they were managing that year only And Hank is always looking out ahead. I mean he's always doing projections. I mean right now, we have projections for the next five or six years—financial projections." This is consistent with P. Light's (2005) argument that

alertness “resides in a basic commitment to rigorous monitoring of how the organization is doing at any given point in time” (p. 100).

Another explanation for Hank’s alertness lies in his nightly ritual of worrying: “You’re worried about people; you’re worried about money; you’re worried about the things you’re doing right . . . I wake up in the middle of the night about 2:30, 3:00, and there’s all this going through my head.”

For Vaillant (1995), Hank was practicing anticipation. Though Vaillant identified four basic styles of adaptation—suppression, anticipation, altruism, and humor—he found that only the first two are “most often associated with positive mental health, warm human relationships, and successful careers” (p. 126). Suppression has a “stiff upper lip and Spartan postponement of gratification [that] alters the world the least and best accepts the terms life offers” (p. 119). Anticipation is described as “involuntary worrying and passionless rumination over future danger” (p. 114).

Vaillant’s (1995) findings seem counterintuitive given that suppression and anticipation—biting the bullet and worrying about the future—seem so pessimistic compared to altruism and humor. On the other hand, even though suppression is seen in a negative light by psychotherapists, “Sigmund Freud regarded the postponement (suppression), but not the forgetting (repression), of gratification as the ‘hallmark of maturity’” (p. 63). In other words, anticipation is another way to stay alert.

Like Hank, two of the Delphi panelists explicitly talked about waking up in the middle of night in particular, “I’ll wake up in the middle of the night and go, ‘Oh, darn, wish I had thought of that. Now I’m not sure I’m going to get back to sleep.’” As such, anticipation was not featured



enough to be advanced to the round two questionnaire.<sup>15</sup> Instead and as shown in Table 4.17, the panelist groups were equally supportive of two ways to stay open: listen carefully and stay open. One panelist described listening carefully spiritually, “Where you’re supposed to be and where you’re going to be tomorrow is part of an energy moving you constantly, but only if you listen to it.” Another explained stay open (is “stay open” part of the quote?), “I don’t know if there is a secret. What does it take? Just an openness to the world around you.”

Table 4.17

*How to Be Sensitive to Context*

	Execution n=11				Growth n=5			
	Rank		Likert		Rank		Likert	
	%	<i>M</i>	<i>MDN</i>	%4+5	%	<i>M</i>	<i>MDN</i>	%4+5
Listen carefully	50	4.8	5	100	40	4.8	5	100
Stay open	50	4.7	5	100	60	4.8	5	100
Slow down	0	3.4	3	45	0	3.2	3	20

Testing for correlations with net revenue÷total revenue did not find any relationships with the statements in this category, but support was found in a statement from the category of

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<sup>15</sup> The idea of worrying in general was raised as part of the conversation about the importance of financial results and appeared in the questionnaires in the following statement: worry about the financial results, always be cognizant of them. Of the five statements in this category, it ranked second to last. It could be that worry is more related to the difficulties in striking a balance between personal and professional life, which was the number one sacrifice identified by panelists.

how leaders are aligned: Understand that the needs are usually stable from one year to the next ( $r_{(14)} = -.589, p < .05$ ). The negative correlation suggested that a perpetual state of alertness is related to bottom line performance.

### *Allied*

Though the idea of being allied with others was evident in the film—George is deeply connected to his customers on a personal level—it was *not* an element of the Leadership for Good propositions. This is not to say that allied with others is absent in the literature. J. Gardner (1997), for example, explains its importance, “The citizen leadership we need for the 21<sup>st</sup> century requires a lot of people from every sector working very hard together to make our communities better places to live, work, and raise our children.”

Allied to others is also key to the Kellogg Leadership for Community Change program, which takes the position “these times of increasing complexity, it is more difficult than ever to go it alone not only for the individual leader, but for the organization as well” (“Exploring new frontiers in leadership development,” 2005). For those going up the ladder of leadership, Reardon (2001) recommends building strategic relationships and says that the “‘who you know’ rule only works when the emphasis is on the word ‘*know*.’ It is *not* the ‘who you meet’ rule” (p. 78 italics as written).

Though it takes centralized coordination and adequate funding, Provan and Milward (1995) found that networks improve outcomes and that nonprofits are “increasingly turning to various forms of cooperative alliances as a way of enhancing competitiveness and effectiveness” (p. 1). Herman and Renz (2003) argue that “the perceived effectiveness of an organization depends on the effectiveness of the other organizations and people with which it is interconnected” (p. 8 italics removed).

Adaptive and allied with others seem to go together according to Wheatley (1999), “If an organization seeks to develop these life-saving qualities of adaptability, it needs to open itself in many ways. Especially important is the organization’s relationship to information, particularly to that which is new and even disturbing” (p. 83). Where that new information can be found is answered in part by Burt (2004):

People who stand near the holes in social structure are at higher risk of having good ideas. The argument is that opinion and behavior are more homogeneous within than between groups, so people connected across groups are more familiar with alternative ways of thinking and behaving, which gives them more options to select from and synthesize. New ideas emerge from selection and synthesis across the structure holes between groups. (pp. 349-350)

Holes in social structure represent those gaps that exist between people and organizations, what Cross, Liedtka, and Weiss (2005) describe as the white space between siloed business units and Burt (2004) simply defines as groups of people. These holes in social structure become even more important when one considers Porter’s (1996) assertion that the essence of strategy is being different from your rivals; how to do this must obviously begin with networking to see what those rivals are doing. This seems akin to Wiseman’s (2003) finding about lucky people who “talk to lots of people and spend time with them, attract other people to them and keep in touch with people. These actions result in a massive ‘network of luck’ and a huge potential for chance opportunities” (p. 40).

In keeping with his general demeanor as a loner, Hank made no mention of the need to be allied with others. Some of this may have been due to his propensity for facts and pictures. More

likely, this was due to Hank's low affinity for socialization or perhaps his quiet manner described by one informant as "a bit shy . . . not a complete introvert but, very contemplative, quiet."

Being allied with others—illustrated in Table 4.18—mattered to the Delphi panelists where there was agreement around staying connected to staff members who are out there with the clients. Why this is important was explained by a panelist, "They come back and tell me about the initial need or to change something and then it goes into a brainstorming session to find some other way we can do it"

Table 4.18

*About Staying Connected*

	Execution n=11				Growth n=5			
	Rank		Likert		Rank		Likert	
	%	M	MDN	%4+5	%	M	MDN	%4+5
Stay connected to your staff members that are out there with the clients; half the time, they come back with the best information	27	4.7	5	100	33	4.8	5	100
Build and work your local networks because you have to be recognized in the community as the one who cares about those issues	24	4.1	4	82	27	4.8	5	100
Stay connected with people who could be future collaborators	18	4.4	4	100	7	4.6	5	100
Read everything you can, including newspapers, magazines, and books, surfing the web, all to keep a pulse on what's happening out there	15	4.1	4	91	27	4.8	5	100
Get out and spend as much time as possible going to activities, events, anything where you can get to know the people you serve	9	4.1	4	73	0	4.2	4	80

Build and work your national networks	3	3.4	3	45	7	4.4	4	100
because the challenges Dayton's facing are similar to the challenges other communities face								
Build and work your state networks	3	3.4	3	40	0	4.4	4	100

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The second way to be allied with others was to build and work your local networks, “You have to reach out to the community. You have to talk to the people. You have to talk to the elected officials. You have to be recognized in the community.” Said another, “Let me tell you something, if we had not had good relationships with people in the leading institutions, companies, had not made sure that we kept a diversified board, white and black, levels of expertise, if we had not worked hard at doing that all the time, the pathway to this would have been very difficult.”

Interestingly, those panelists with a growth-oriented bias had an additional statement that tied for second place: read everything you can including newspapers, magazines, and books, surfing the web, all to keep a pulse on what's happening out there. There was a significant difference between the two Delphi groups on this statement ( $t_{(14)}=.023$ ).

Testing for correlations with net revenue÷total revenue refuted support for networks at the local level ( $r_{(14)}=-.538, p<0.05$ ), but lent indirect support for paying attention to the staff in the field: Get out and spend as much time as possible going to activities, events, anything where you can get to know the people you serve ( $r_{(14)}=-.604, p<0.05$ ).

Though the concept of allied to others seemed to focus on external relationships, a number of indicators pointed to internal interests as well. Two statements in the category of why people do the work shown in Table 11 earlier—getting to select staff, put them in the right

position, and see them succeed, and putting teams together and then seeing them get things done—achieved identical significant results ( $r_{(14)}=.562, p<0.05$ ). As such, there appeared to be support for the growing interest in collective leadership (Meehan & Arrick, 2004; Reinelt, Foster, & Sullivan, 2002):

This new leadership paradigm has been called by a number of different names: shared, participatory, collective, collaborative, cooperative, democratic, fluid, inclusive, roving, distributed, relation and post-heroic. While consensus on the name of this “new leadership” has not been reached, there is a growing understanding that the patterns of hierarchical leadership that served us in the past are not well suited to the global complexity, rapid change, interdependency, and multifaceted challenges. (Allen et al., 1998, p. 5)

New leadership is often used interchangeably with participative leadership, which “sometimes results in higher satisfaction, effort, and performance, and at other times it does not” (Yukl, 2002, p. 86). Though some have contempt for the old-school command and control leadership (Wheatley, 1997), the kinder and gentler new leadership is no panacea, floundering because of its need for greater sensitivity and its acknowledged limitations of too many chefs in the kitchen and diffused accountability (Drath, 1996). As H. Gardner and Laskin (1995) observe, “Nondominant cooperative groupings are possible. But those who expect such uncontoured structures to arise easily or to remain unchallenged are innocent of human history as well as human biology” (p. 24).

### *Aligned*

Where adaptive counts is not necessarily with alertness or allied on their own; it is what you do with the intelligence you’ve gained. Hank could have adjusted to the lower revenues by

simply scaling back operations including programming. But Hank did something that amplifies the power of alert and allied; he led the organization forward and adapted to the realities of the context, delivering one record-breaking result after another on income well below the highs achieved in the year 2000.

The trick to being aligned within the reality of things that you sometimes cannot control—so simple and yet so hard—lies in the inspirational words from the Alcoholics Anonymous serenity prayer: “God grant us the serenity to accept the things we cannot change, courage to change the things we can, and wisdom to know the difference” (“The origin of our serenity prayer,” 1992). Like the prayer, aligned is a paradoxical blend of proactive, reactive, and acceptance. For Hank, the things he could not control relative to the market correction had to do with his board of directors that held fast about the well-supported viewpoint that market timing is ill advised (Little, 2007).<sup>16</sup> So, Hank adapted to the world that he could control, which was limited to boosting income or reducing expenses.

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<sup>16</sup> As discussed in Chapter I, the nonprofit executive director is key to the success of the organization and that includes the board of directors. For example, Herman and Heimovics (1991) assert that “chief executives are expected to and do carry out the central leadership role” (p. xv). Though the executive director is centrally responsible for the quality of the board, there are limits as the board has ultimate accountability and authority for the organization. In other words, the boss may be benign in every way, but he or she is still the boss. As one Delphi panelist described her board, “They’re absolutely great until they’re not.” Hank had his own opinion about the difficulties of governance: “When you really get down to the nitty-gritty and think about it, you’ve got people that are pulling the strings, controlling these businesses—and



One of Hank's former board members describes him as aligned, but hardly one to go with the flow:

One of the hallmarks I've always looked for in leaders when I was running boards is for people who accept the things they cannot control. Every once in a while, Hank would argue his point and then you would go back and forth and then you would finally sit down and go, "Hank, that just is not going to make it. That's not going to fly and this is one of those things you're going to have to accept and work around and fold it into your strategy because you simply are not going to be able to get that done," be it some political thing, or financial thing or whatever it was. And he would do that but he would not yield that ground simply because he thought that's what you wanted to hear.

Hank adapted to context, but did what he could to turn it to his advantage. One person described Hank as not being "the one to sit back when things happen and say, 'Okay, then, darn, we can't go this direction; our hands are tied.' He will take whatever is currently going on and make it bigger and better."

Aligned was also important to the Delphi panelists, "You have to have a vision, but you have to be able to be flexible. The vision can change. You know obviously our basic mission here hasn't changed, but what we did within that mission has totally changed." For another panelist, aligned meant "following the energy that's there. You know in your gut when you're not following what the energy or the universe is leading you to." Another said, "I go with the flow, but that doesn't mean giving up on a vision of what you feel is still critical and important to

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that's what we are, businesses—who spend, for the most part, less than an hour a month thinking about it."

have. I mean I've had this vision for several years now. It still hasn't happened but that doesn't mean that it's not going to happen."

A fourth individual offered this perspective, "I'd like to tell you it was a big grand plan, but it was kind of an evolutionary path. It integrates when I look at it in hindsight, but it didn't feel integrated when you're doing it in foresight." This is not to say that aligning to context was an easy thing to do; said another panelist, "Adaptability is difficult. I find it's more difficult, the older I get, to be adaptable. It takes a ton of energy and it's real easy to say, 'Oh, the hell with it.'"

For the Delphi panelists, aligned ultimately ended up as a referendum about how they saw the world. On one hand were those who saw things in evolutionary terms, "There may be a gradual change but odds are, five years from now, a lot of the same things that people need, they will still need in five years. There may be a little bit more of them, a little bit less of them, the needs may change slightly, but not drastically." Another person was more direct: "Why buck something? You've got to go with the energy that's there. I see a lot of colleagues that are just always fighting. They just always seem to have to be struggling instead of just accepting what is and dealing with that in the best way you can." A third panelist advised, "You can't just push, push, push for the sake of push, push, pushing. I think you have to realize what is really an opportunity and what is really a challenge that doesn't support your mission."

On the other hand were panelists certain that the times called for revolutionary action, "I push the envelope. I'm the kind of leader that says, 'I think this is what needs to happen; I want to verify that and how can we make it happen?' Rather than, 'Oh, well, we've been here for 30 years, everybody loves us, and that's good enough.'" Another offered this perspective:

I will never be a maintenance leader. I get bored. I am always in that mode of, “Okay, what now? What next.” And that mandates adaptability. That mandates thinking outside the box . . . If I get a board that all of a sudden says, “Okay, now we want you to be a maintenance director,” I’m out of here. Because that’s not who I am. I can’t do it.

Nowhere in the Leadership for Good study was the evidence for Griener’s (1972) evolutionary and revolutionary model stronger than in this category of how leaders are aligned. Nowhere was the difference between those with a bias for growth and those with a bias for execution more evident. Growth-oriented panelists chose always being in the mode of “What now, what next, how can we grow” compared to the execution-oriented panelists who chose staying focused on implementation, delivery of services day to day. This dichotomy, which is shown in Table 4.19, continued into the second choices where the growth-oriented group chose to keep the focus on the big vision while the execution-oriented panelists tapped respect the limits of your organization, don’t push beyond its capacity or capability.

Table 4.19

*How Leaders Are Aligned*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
		%	M	MDN %4+5		%	M	MDN %4+5
Stay focused on implementation, delivery of services day to day	33	4.7	5	100	0	4	4	60
Respect the limits of your organization, don't push beyond its capacity or capability	18	3.8	4	64	20	4	4	80
Keep the focus on the big vision	15	4.6	5	100	27	5	5	100
Always be in the mode of "What now, what next, how can we grow"	15	4.1	4	91	33	4.6	5	100
Bigger isn't necessarily better	12	4	4	82	13	3.8	3	40
Go for change that pushes the envelope	6	3.5	4	55	7	3.6	4	60
Make sure that the organization is experiencing dramatic change that is obvious to everyone, including those in the community	0	2.3	2	9	0	2.8	3	20
You should achieve steady change that is gradual in texture	0	3.5	4	55	0	3.4	4	60
Understand that the needs are usually stable from one year to the next	0	3.1	3	18	0	3	3	20

Correlation analysis using the statements in this category with net revenue÷total revenue found a negative relationship with the statement that you should achieve steady change that is gradual in texture ( $r_{(14)}=-.632, p<.05$ ) and a negative relationship with the statement that you should understand that the needs are usually stable from one year to the next ( $r_{(14)}=-.589, p<.05$ ).

*Summary of Adaptive Findings*

Table 4.20

*Summary of Adaptive Findings*

	Literature		Delphi	
	Review	Case	Execution	Growth
Adaptive	✓	✓	✓	✓
Alert	✓	✓	✓	✓
Anticipation		✓	X	X
Listen Carefully		✓	✓	✓
Slow Down		X	✓	✓
Allied		X	✓	✓
Connect to staff		X	✓	✓
Build local networks		X	✓	✓
Aligned	✓	✓	✓	✓
Bias for execution	✓	✓	✓	X
Bias for growth	✓	✓	X	✓
Legend: Blank=Not Identified, X=Not Supported, ✓=Supported, △=Partly Supported				

### *Difference Makers*

Those who practice Leadership for Good are *difference makers* who build *doubly good* organizations that achieve the mission and deliver superior financial results. In addition, they *empower others* to gain control of their lives and influence the world in which they live (Segal et al., 1995).

#### *Doubly good*

##### *Mission achievement.*

Putting Hank's results into the context of his 10-year tenure shows significant mission achievement according to the accomplishments listed in his curriculum vitae: "over 300% annual attendance increase (60,000 in 1995 - 208,000 in 2005), over 400% institutional membership growth (1,100 in 1996 - 4,200 in 2005)." Consider how Hank described the 2005 reopening of the Corbin Conservatory:

In the 10 weeks that the Butterfly House was open, we had something like 35,000 people go through it. We are never in a positive cash flow—in the 10 years I've been here—until November/December. This July, we were positive cash flow. It was the best month of July we ever had. Overall attendance is up over last year by 40 percent. The store is up by 50 percent. The café is up by 50 percent.

Ultimately, the category of how to evaluate mission achievement shown in Table 4.21 ended up being a referendum for Delphi panelists about doubly good as the top two methods were sound business practices and client feedback, which correspond to financial results and mission achievement respectively. One panelist explained the importance of multi-dimensional approaches such as doubly good:

If I were still a vocational evaluator and I had direct contact with the people that we serve all the time, then I would get a different kind of feedback. But, for me, it's a combination of data and some contact. We'll get letters from people saying, "Thank you for doing this, you've changed my life." I'll get to meet somebody that we're serving and then, at the same time, I'll be able to say, "Okay, here's how we've used our services to touch people's lives" and I can benchmark that against other agencies.

I can look at our number of people served and how that has grown over the years, or I can look at a specific service, for instance, that we didn't have a few years ago, say for people that are deaf or hard of hearing, and I can learn about that service and make a judgment as to whether that seems to be a good service, a good, effective service and, yes, people want it, they keep coming in the door. So, it's really a combination of things and I think that's what you have to do anyway as a CEO. You have to get information from more than one source in order to have the best picture of how things really are.

Table 4.21

*How to Evaluate Mission Achievement*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	<i>M</i>	<i>MDN</i>	%4+5	%	<i>M</i>	<i>MDN</i>	%4+5
You have very sound business practices	31	4.5	5	91	27	4.4	4	100
Your clients provide feedback	28	4.7	5	100	33	5.0	5	100
You have metrics that measure mission achievement including outcomes	28	4.0	4	73	33	4.6	5	100
The workforce tells stories, anecdotes that describe mission achievement	10	4.0	4	82	7	3.6	4	60
You can't measure mission achievement in nonprofits; mission achievement can't be touched, felt, or seen	3	2.5	2	18	0	1.6	1	0
It's an intuitive thing; you just know the mission is being met	0	3.5	3	45	0	2.8	2	40
The budget grows, the programs grow; growth says that you are achieving the mission	0	3.2	3	27	0	2.8	3	20

*Financial results.*

As suggested by selected portions of Hank's curriculum vitae, financial results mattered:



Manage annual budgets exceeding \$5 million, assets valued in excess of \$250 million . . .

400% increase in annual fund raising (\$600,000 in 1995 - \$2.5 million in 2005) . . .

Through two capital campaigns have raised, invested and managed over \$14.5 million in prioritized capital projects . . . \$4 million in government grants have been received since 2002 . . . Provided prudent oversight of the institution's financial resources including endowment growth from \$9 million in 1995 to over \$25 million in 2006 . . . expanded Stan Hywet's summer Gala celebration from an idea to the community's premiere fund raising event, with over 600 guests and netting over \$200,000 annually.

Hank's informants agreed that he kept the bottom line in focus: "Donors see Hank as the guy who's fixated on the bottom line and it's always about numbers. It's always about money."

A former board member agreed, "I just know that Hank is a financially oriented, bottom line kind of guy."

Per Table 4.22, financial results were important to Delphi panelists, but only as a means to something else. For the execution-oriented panelists, that something else was the mission; for the growth-oriented panelists, it was credibility first, closely followed by mission. One Delphi panelist explained, "I see lots of nonprofit organizations out there whose bottom line is really good, but I don't think that they're doing their mission." Another agreed, "You're not in business to have good financials. That's part of doing good business, but that's not why you exist." A third panelist weighed in, "Everybody is so focused on managing their budget and I try to tell them the same thing, if you'll focus on good programs and good service, your budget will take care of itself."

Table 4.22

*Importance of Financial Results*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
		%	<i>M</i>	<i>MDN</i> %4+5		%	<i>M</i>	<i>MDN</i> %4+5
The money is a means to meet the mission; it's not an end in itself	40	4.5	5	91	40	4.6	5	100
Meeting the budget is part of how you maintain credibility	25	4.3	4	82	50	4.6	5	100
Financial results are the price of admission; no financial results, no mission	25	3.8	4	73	10	4.6	5	100
Worry about the financial results, always be cognizant of them	10	3.8	4	64	0	4.2	4	80
If you do your work well, good financial results naturally follow	0	3.4	3	36	0	2.4	2	0

*Measures.*

A third element that was overlooked in the literature review arose in a comment by one of Hank's informants, "He operates on a pretty sophisticated level of metrics and monitoring performance and those kinds of things." That's not to say that Hank didn't show his allegiance to measures. When talking about his tenure, Hank was consistent with Herman and Renz's (2004) assertion that organizational effectiveness is always a matter of comparison, even when that comparison is to the agency at an earlier time:

The first five years was exciting, adventuresome, a little surprising. Because the institution didn't realize where it could go. It really didn't realize how financially strong it was and what it could do. And the last five years, I would say, have been stressful, turbulent, probably the hardest five years I've ever had to work. In the last couple of years, it's been exceedingly hard. I would say, from a financial perspective, our financial support has augured to the mean. I don't think that we have, however, done that as an institution. Since 2000, many people would look at what we've done at Stan Hywet as some of the best years.

In Delphi panelist interviews, the concept of measures also came up:

We measure that girls haven't gotten pregnant, they haven't gotten in trouble, they haven't been in juvenile detention, and they have achieved their goals . . . we're counting those kind of program things: Teamwork, they got along, they learned about doing things together as a group. We assess all our programs; we measure what you learned before you got here and after."

Another said, "Our work plan is what we're going to do this year to achieve the strategic plan. And it's measured. Everything has a measure associated with it. And, on a global level, we're using Balanced Scorecard. But there's a lot of detail underlying that that's being tracked and so forth. This says whether we're hitting it." As shown in Table 30 and, instead of doubly good, there seemed to be evidence for triply good—mission achievement, financial results, and measures.

That there was a troika of elements (triply good) instead of a dyad (doubly good) is unsurprising given that executive directors of high performing nonprofits rank outcomes measurement number three on the list of how to improve performance right behind strategic

planning and openness to using standard business practices or techniques (P. C. Light, 2002b).

This is especially predictable given the United Way of America's "ultimate goal to convert the nonprofit sector to its image of outcomes management . . . as the sine qua non of effectiveness" (P. C. Light, 2000, p. 21).

Though the United Way of America recognized early on the "tension between the need for technically sound methodologies, which can be expensive and time consuming, and the staffing, funding, and workload realities that constrain nearly all service agencies" (Hatry, Houten, Plantz, & Taylor, 1996, p. 8), it did not deter the movement forward for outcomes measurement. Perhaps this occurred because experts assert that "measures can be designed and implemented successfully and used effectively to improve decision making, enhance performance, and increase accountability" (Poister, 2003, p. 21).

In the end, like it or not, measures are here to stay. As P. Light (2002b) found in his study of high-performing nonprofits: "Two-thirds equated effectiveness with being focused on achieving measurable results" (p. 73).

### *Empower Others*

When I first met Hank, he spoke about his work, the good times and hard times of his tenure. We talked about the fall festival at Stan Hywet, called Ohio Mart, and how he was the designated bus driver from the outlying parking lot to the festival grounds. After our visit, I was packing up to leave, the Stan Hywet staff members were long gone, and only Hank was still there, cleaning things up, taking out the trash. According to Hank's wife, "He is one of the few who leads by example, doing the hands-on jobs he expects of others, from installing ceiling fans to building brick pathways and operating heavy equipment" (Moran, 2005, p. 19).

Beyond anecdotal evidence, there were three tests of whether the panelists were special people “motivated by a desire to serve others rather than by their own self interest” (Bowman, 1997, p. 258): “Do those served grow as persons? Do they, *while being served*, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? *And*, what is the effect on the least privileged in society; will they benefit, or, at least, not be further deprived? (Greenleaf, 1977, pp. 13-14 italics as written)

*First test: grow as persons.*

It is difficult to know whether the people who enjoy the beauty and history of Stan Hywet Hall & Gardens grow as persons. Unlike the client in a mental health program, the ephemeral nature of the arts makes it a challenge to evaluate effect. Even so, the increased attendance suggests that people do grow; how else to explain the three-and-a-half fold increase in attendance during Hank’s tenure? That is, of course, only if a cultural institution such as Stan Hywet Hall & Gardens can be considered a priority. It is according to Handy (1998) who makes a taste of the sublime one of the four ingredients of a purposeful life:

Life can be a trudge, working to eat and eating to work—for what? I need, we all need, the occasional reminder that the world is an extraordinary place and that people are capable of extraordinary things. A poverty of aspiration . . . can be fatal to a continuing exploration of all the possibilities in life. (p. 114)

If one were to ask Jim Urban, a volunteer at the Gate Lodge about the growth of others, he would argue that the Gate Lodge matters, “AA members just want to see the place . . . They read every single word . . . Sometimes an AA member will unload on you . . . That’s inspiring” (as cited in Folkerth, 2006). Urban, by the way, is just one of 1,300 volunteers who contributed

70,500 hours of service to Stan Hywet Hall & Gardens in 2005 (*Report to the Community 2005*, 2006).

Because general human services, housing, and youth development typically have more discernable outcomes, Delphi panelists were more certain that their clients had grown as persons. But it wasn't because of metrics. It showed in Table 4.23 when clients had grown during the time they were served and when clients returned to tell the panelists personally about their progress.

Table 4.23

*How to know you made a difference with those you serve*

	Execution n=11				Growth n=5			
	Rank	Likert			Rank	Likert		
	%	<i>M</i>	<i>MDN</i>	%4+5	%	<i>M</i>	<i>MDN</i>	%4+5
It shows when people come back and tell you personally	36	4.3	4	91	40	3.8	4	80
You can see it in the way your clients grow during the time you are serving them	32	4.5	5	100	40	4.0	4	80
You can see it immediately in the faces of those you serve	18	4.0	4	73	10	4.0	4	60
The services you provide are obviously much better than 25 years ago	9	4.2	4	91	10	3.6	4	60
You make a difference simply because your organization is the only viable alternative for those you serve	5	3.0	3	18	0	3.8	4	60

A poignant example of a client growing as a person was told about a man who went to work in an organization's store:

A man who worked for us got an award at our annual dinner. In his little thank you speech, he was telling the audience about how that job had changed his life, and one of his points was, "Now I get to pay taxes like anybody else." Now I personally don't give thanks for being able to pay taxes. I never think about that as an improvement in my life, but he did because he had income. To him, it was a huge success that he can pay his electric bill, because now he's got a place where he lives where there is an electric bill. He's got a checking account and he's got money in it, and he can pay his electric bill. So some of the things that we take for granted, other people don't take for granted, because they haven't had them. So when they get them, it feels very different than what it feels to you and me.

Another panelist told this story about prodigal clients:

You know what one of the greatest motivators have been? To listen to someone and let someone come back to you and say, "You know what? I came in and talked to you several years about a job but, you know, I didn't get a job through you, but I got some good advice." And oftentimes, you don't know what the advice was. You've forgotten what you said to them. But they say, "You know, you sat and listened to me and you suggested some things that I might look at and explore and you pointed out a few options for me. You know what? I took your advice in some of those areas. And you know what? It paid off."

A third recollection of a prodigal client came from a panelist who pointed to a newspaper article:

Look, this young woman here, who grew up in a foster care system and had horrendous experiences through her childhood, and she went through our self-sufficiency program and look at her now. She's working. She's married. She's had three kids who are doing beautifully. They've bought a house. This was somebody who was a crack addict baby with a crack addict mom, took care of her siblings when she was 12 and became pregnant when she was 15 and dropped out of school. Now she's this beautiful young woman instead of a throwaway statistic.

And finally, another panelist told a story about the growth of a client in a group home:

A few years back, I took a small group of board members into one of our MRDD<sup>17</sup> homes. I think you need the emotional lift that comes from actually seeing the impact that you're making. But I fussed over the selection of which home and which residents and who would talk to whom, and so on and so forth. We had this one guy, probably late 20s, early 30s at the time who had a real interesting collection of baseball memorabilia in his room.

So I've got four members going in his room and I say, "Hi, can you just talk to these guys." And I'm thinking he's going to demonstrate his collection. And we go in there and he instantly starts showing them the nightlight in his bathroom. He gets into this very long, detailed story, and analysis about the nightlight. This is not what I planned.

People who have brain issues can become fixated on something. And he definitely had this fixation and he was not going to get off of it. And he's going on and on. And I'm trying to change the subject. It almost came to the point that I was just going to cut it off,

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<sup>17</sup> mental retardation and developmental disabilities



but I held back because he was trying to get out this story. But I was thinking in my head, “Is this ever going to come to a point or not?”

The point was that, when he was still living with his parents, he was afraid of the dark and, if he had to get up to go to the bathroom, he had to call his dad. One night, his dad told him, “You’re never going to amount to anything because you can’t even get yourself out of bed at night to go to the bathroom.”

And this young man said to my board members, “But I do amount to something, because I have my own job and I have my own room.” And then he says, “With my nightlight, I can go to the bathroom anytime I want.”

I almost didn’t get the story because of my impatience. I think it was a side message for me in and of itself. Because I was about ready to cut him off. And if I had cut that him off, we would have missed the most profound statement of dignity that I’ve ever heard in my life, “I do amount to something.”

*Second test: more likely to become servant leaders themselves.*

Of the three tests, this is the most difficult to determine given its longitudinal nature. In George’s case, for example, the customers who witnessed his servant leadership during the banking crisis of 1932 did not show their own servant leadership until Christmas Eve 1945. As such, one of the places to find support for seeing whether people become servant leaders themselves resides in the people who work in the organization simply because they are more likely to be observable over the long term compared to clients.

Hank recalled first meeting his current vice president of business affairs when she was a minimum-wage ticket taker at the front gate. As one of the staff commented, “He’s very loyal to those who are loyal to him. I mean, I guess I hold myself up as an example of that. He will give

others every opportunity to succeed and he will be very happy for their success. He absolutely hates hurting people. He's very compassionate."

One of the Delphi panelists had this story to share of a client who, in turn, became a servant leader herself:

One of our adoptive families was so grateful. They had tried for twenty years without success to have children, came to us and ended up with two beautiful children. They were accountants and business people and the wife became our bookkeeper; that's been a huge blessing because she is just brilliant at what she does. The other year, all of the foster care agencies throughout the whole state had to do these cost reports for the state and there was not a single cost report that was approved by the state except ours.

Another panelist shared an example of a client who became a volunteer:

This couple came to a meeting one night with their two boys and, clearly, clearly they did not want to be there. Neither did they want to be there with each other. It was pretty clear. But they got involved. And within nine months, they were really involved. And they were volunteers, favorites of mine.

About a year and-a-half later, they came to a meeting here and asked if they could say a couple words. I said, "Sure." The two got up on the stage and thanked everybody in the room for doing two things in their lives: The first was saving their marriage, because the night they walked into the school, they had just gotten into a fight. They thanked them for saving their marriage, and the other thing they thanked everybody in the room for was for making them feel like they were a part of something important.

Relative to the questionnaire choices shown in Table 4.24, execution-oriented panelists preferred to look at the growth of their staff members on the job, including assuming more

responsibility. Growth-oriented panelists chose the statement about staff members who have gone on to become leaders who made a difference in the lives of others. There was a significant difference between the two groups on this last statement for the Likert-type scale portion of the questionnaire ( $t_{(10)}=0.38$ ).

Table 4.24

*How to know you made a difference to those who work for the organization*

	Execution n=11				Growth n=5			
	Rank %	Likert		%4+5	Rank %	Likert		%4+5
		<i>M</i>	<i>MDN</i>			<i>M</i>	<i>MDN</i>	
You can look at many of your staff members and see how they've grown as people, including assuming more responsibility	41	4.6	5	100	30	4.4	4	100
Your work gives meaning to the people who work in the organization	41	4.4	4	100	30	4.8	5	100
You've had staff members who have themselves gone on to become leaders who make a difference in the lives of others	18	4.6	5	100	40	5.0	5	100
You sometimes carry the load for less capable staff for whatever reason, including for the staff member who is going through a tough time	0	3.1	3	20	0	3.6	3	40

*Third test: impact for the least privileged.*

Evidence of Hank's effect on the least privileged was more difficult to obtain given its cultural mission, but there were some verifiable data relative to educational activities conducted at Stan Hywet in 2005:

Additional educational endeavors included fun-filled day camp sessions that welcomed 21 scholarship students. Continued collaboration with the Summit Education Initiative (SEI) and Learning 24/7 presented "Math, Mysteries, & Butterflies" in partnership with Our Lady of the Elms. A second program with the Coventry Schools is underway. Stan Hywet is a pilot partner with Garfield High School in SEI's new "Destination College" program. With generous funding from the John S. and James L. Knight Foundation, a three-year partnership for an after-school program was successfully launched with Perkins Middle School. (*Report to the Community 2005, 2006, p. 5*)

The third test was easily passed by the Delphi panelists on the simple basis of organizational mission. From adoption agency to hospice, from Girl Scouts to Boy Scouts, from services to the mentally retarded/developmentally disabled to homeless youth, these agencies exist to serve the least privileged in our communities.

In the end, things are never quite as neat as implied by the three tests. The work of empowering others is usually more complex and intertwined. Like Hesse's (1956) Leo, who is both servant and leader and as illustrated by the following story told by a panelist, sometimes it is difficult to know just who is empowering whom:

There was an individual who worked for me, Helen, who was a housekeeper. I would get these letters from patients and families all the time saying, "Thank you so much for nurses, social workers, they're wonderful and many times I would get letters from

patients thanking Helen. I thought that was strange, I never heard about a housekeeper doing something important. So, I'm thinking, "what in the world was Helen doing?" I asked Helen to talk to me. First of all, you see the look of terror. I said, "Helen, you didn't do anything. I just want to ask you something." She said, "OK, but I don't know much—I'm just a housekeeper." I said, "I know, I just want to ask you something."

We came in one of the staff offices and sat down and I said, "I just get glowing reports from patients and families. What is it you're doing?" She said, "I hope I'm not doing anything wrong." I said, "No, I'm trying to find out what you're doing." She said, "Well, I didn't graduate from high school and my family came here from Cuba, but you know those flowers the funeral homes give us after the services?" I said "Yes." She goes, "I go and get some of those during the day, is that OK?" I said, "Sure, but what do you do?"

She said, "Well, what I do is, I put them in my smock pocket. We have to turn those rooms around really fast because, when a patient dies, as soon as they come and get the body, we need to get that room cleaned so we can get another patient." I said, "That's right, that's right." She said, "So I work really hard and I clean the room and I walk in and make sure everything looks real good and I write a note. Is it OK if I write a note?" I said, "Well sure." She said, "And I write a note and I sign my name as Helen and say I had the privilege of cleaning your room. I'm sorry you're ill, but I hope you find everything just right. If you don't, if you'll come and find me, I'll do everything I can," and she said, "I put the flower on it."

You can't buy that. You can't teach that. There is no amount of money, no amount of training that I can do to make people be like Helen. She was a housekeeper.

She took pride in what she did; she took accountability for the cleanliness of that room and she also said, “Our mission here is to take care of the dying and I’m part of that,” even though she was just a housekeeper. If we had 100 Helens, you could solve the problems of the world.

*Summary of Difference Makers Findings*

Table 4.25

*Summary of Difference Makers Findings*

	Literature		Delphi	
	Review	Case	Execution	Growth
Difference Makers	✓	✓	✓	✓
Triply Good <sup>18</sup>	✓	✓	✓	✓
Mission Achievement	✓	✓	✓	✓
Sound business practices			✓	✓
Client feedback			✓	✓
Financial Results	✓	✓	✓	✓
A means to an end			✓	✓
A way to gain credibility			✓	✓
Measures		✓	✓	✓
Others Empowered	✓	✓	✓	✓
Clients	✓	✓	✓	✓
Clients Grow		✓	✓	✓
Prodigal Clients		✓	✓	✓
Colleagues	✓	✓	✓	✓
Staff grow			✓	✓

---

<sup>18</sup> Given that there were clearly three elements for how to evaluate effectiveness—mission achievement, financial results, and measures—*doubly Good* has been changed to *triply Good*.

Work gives meaning

✓

✓

Staff become CEOs

✓

X

✓

Legend: Blank=Not Identified, X=Not Supported, ✓=Supported, △=Partly Supported

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## Chapter V: Discussion

The 2004 restoration of the Gate Lodge at Stan Hywet Hall & Gardens was a momentous event for Hank. First, the Gate Lodge is where Alcoholics Anonymous began in 1935, a “place of pilgrimage for the countless people whose lives have been saved by A.A.” (Tompkins, 2004, p. 28). Second, Hank’s father was an alcoholic who turned his life around in his last ten years. Third, in those final years of life, Hank’s dad practiced Leadership for Good by running a halfway house for those in recovery. For Hank, the evidence of his father’s difference making came at the funeral, “It’s funny; there were a lot of people I’d never seen in my life; to thank, to recognize him. In the end he did something that was meaningful.” Of course, doing something meaningful is what Leadership for Good is all about:

First, those who practice Leadership for Good are *purposeful* by being *mission centered*, *self-sacrificing*, and *trustworthy*.

Second, those who practice Leadership for Good are *visionary*.

Third, those who practice Leadership for Good are *results driven* by being *decisive*, *determined*, and *dependable*.

Fourth, those who practice Leadership for Good are *adaptive* by being *alert* to the context around them and then *aligned* to that context.

Fifth, those who practice Leadership for good are *difference makers* who build *doubly good* organizations and *empower others*.

Chapter One introduced the Leadership for Good study and addressed its justifications and research propositions. Chapter Two was where the propositions were bolstered with literature.

Chapter Three detailed the mixed methods study with its two concurrent, but independent phases—instrumental case study and Delphi. Chapter IV presented the findings of the study. Chapter V summarizes the results of the study and raises topic areas of particular interest.

### *Methodology*

I began this study with reservations about the value of combining case study with Delphi, but ended strongly supporting the approach. The case study and the “mini” cases in round one of the Delphi added tremendous power to the study from a textural standpoint while the statistical analysis gave a backstop for “combining the properties of acceptability and scientific respectability” (Reid, 1988, p. 232).

I also observed the group decision making power of the Delphi. Because I used NVivo to unpack the round one interviews, I was able ascertain the frequency and importance of panelists’ statements. Upon conclusion of the round three analysis, I found numerous instances where the panelists clearly changed their priorities. For example, in the category about why people do the work, the interviews strongly suggested that the most important reason was because the executive directors liked the people who were served by the organization. Yet, in the third-round Delphi results, this rationale ranked in the bottom third of the 18 statements in that category.

On the downside, the stability analysis of statements proved to be a largely academic exercise. In theory, the researcher should continue with additional rounds until all of the statements reach stability, which I defined as when the percentage of panelists not shifting their position on statements was  $\leq 15$  percent. As shown in Appendix 11, and because of my decision to limit the rounds to three, I achieved stability in 93 (73.8 percent) of the 126 statements in the Likert-type scale portion of the study and 100 percent of the 126 statements in the top choices portion.

On one hand, the Delphi process offered the panelists an opportunity to rethink their responses based upon new input from their colleagues. On the other hand, the fact that not all of the statements achieved stability raises some doubts about whether the panelists' final answers were just that. As I note in Chapter III, this discussion is largely moot, because it was my opinion that the panelists would not have willingly completed a fourth round.

### *Justification for the Study*

The purpose of the Leadership for Good study was to draw leadership propositions from the fictional character of George Bailey and determine if these propositions were alive in real-life exemplary leaders. The study was justified by the paucity of literature related to nonprofit leadership, and the argument that the nonprofit and for-profit sectors are fundamentally different. Though Drucker (1999a) argues that ninety percent of management is generic, the question is whether that last 10 percent makes any difference between the two sectors.

This study strongly supported the different-sectors viewpoint in the deep commitment to mission that was a feature of every one of the Leadership for Good propositions. Even though the evidence supporting the importance of financial results was strong, money was always a means to the end of mission achievement. In other words, money is a means to serving others in nonprofits, whereas serving others is a means to money for for-profits.

Indeed, one of the bigger surprises in the first round interviews with the Delphi panelists was the conspicuous absence of any talk about financial results without direct questioning. To be fair, the Delphi panelists had little reason to be concerned about financial results given their odds of positive net revenue÷total revenue at roughly 4:5 (79 percent) compared to 2:5 (44 percent) for the non-exemplars.

The secondary justification for the study was the need that practitioners have for actionable information to help them be more effective on the job. The judgment about this must be made by those who read this study.

*Leadership for Good Propositions*

It almost goes without saying that the key research implication for this study lies in broadening the study to a larger population so that the findings can be generalized. Rather than attempting to summarize the findings, which were extensively outlined in Chapter IV, Table 5.1 shows the support for the five propositions.

Table 5.1

*Support for the Leadership for Good Propositions*

	Literature		Delphi	
	Review	Case	Execution	Growth
Purposeful	✓	✓	✓	✓
Mission Centered <sup>19</sup>	✓	✓	✓	✓
Self-sacrificing	✓	✓	✓	✓
Trustworthy	✓	✓	✓	✓
Visionary	✓	✓	✓	✓
Results Driven	✓	✓	✓	✓
Decisive	✓	✓	✓	✓
Determined	✓	✓	✓	✓
Dependable	✓	✓	✓	✓
Adaptive	✓	✓	✓	✓
Alert	✓	✓	✓	✓
Allied		X	✓	✓
Aligned	✓	✓	✓	✓
Difference Makers	✓	✓	✓	✓

---

<sup>19</sup> Given the centrality of mission, the term *servant leadership* has been replaced with the term *mission centered*.

Triply Good <sup>20</sup>	✓	✓	✓	✓
Others Empowered	✓	✓	✓	✓

Legend: Blank=Not Identified, X=Not Supported, ✓= Supported, △= Partly Supported

### *Implications*

Though it is hoped that the reader will find implications for research and practice throughout Chapter IV, four areas were particularly interesting.

#### *Many Sizes and Shapes*

Answering the question of whether life imitates art began with the one of the most compelling and altogether unexpected discoveries of the study. As a way to introduce the Chapter II literature review, I asked rhetorically whether more could be added to the understanding of leadership beyond P. Light's (2002b) assertion that it "comes in many shapes and sizes, from the mythical heroic leader to the mild-mannered administrator . . . with sizzle or self-effacement, charisma or quietude" (p. 114). My intention was to foreshadow the Leadership for Good propositions. That is, leaders do indeed come in many shapes and sizes, but the best ones do certain things differently. It turned out that I was wrong; there were actually two shapes—those with a bias for growth and those with a bias for execution—who delivered equally superior financial results to the bottom line. That said, growth-oriented leaders ran larger organizations with commensurate net revenue, were paid higher compensation, and were female.

In addition to the work of construct building around the five propositions, the study had unintentionally addressed the age-old question of whether leaders can adapt to changing

<sup>20</sup> Given that there were clearly three elements for how to evaluate effectiveness—mission achievement, financial results, and measures—*doubly good* has been changed to *triply good*.

circumstances or must find the right circumstances to fit their style. Evidence from the study supported a balanced and ultimately temporal view, that these leaders practiced situational leadership in the here-and-now, but used contingency leadership over the long run to gravitate to preferred contexts—growth or execution—that corresponded roughly to periods of evolution and revolution.

Inevitably, people will ask which type of leader is better and there is no one-best-way answer. The data suggested that those with a bias for growth ran organizations with significantly higher total revenue and net income, received greater compensation, and were female. But, where it really counted in this study, at the bottom line of net revenue÷total revenue, there was no difference between the groups (growth-oriented mean .061, execution-oriented mean .076,  $t_{(78)}=0.655$ ). In sum, both groups were exemplary; both groups made a transformational difference.

Because bottom line performance was not statistically different between the two groups, the reason why those with a growth orientation run larger organizations may be due to Lord and Mayer's (1991) assertion that leadership is "the process of being perceived by others as a leader . . . an outcome of the social-cognitive processes we use to label others" (p. 11). That is, the growth-oriented leaders look more like the stereotypical leaders that people expect to see in the top job and are thus paid more and run larger operations (Hogg, 2001; Smith & Foti, 1998). What makes this particularly interesting is that the growth-oriented leaders were all female, which plays against type, especially compared to the mixed gender makeup of the execution-oriented leaders.

Since one of the panelists invoked the leader-manager comparison during the round one interview, others may also see this as the fundamental difference between the two groups: the

growth-oriented panelists were leaders and the execution-oriented panelists were managers. In this comparison, management keeps “an organization on time and on budget. . . . Leadership is very different. It does not produce consistency and order, as the word itself implies; it produces movement” (Kotter, 1990, p. 4).

Yukl (2002, p. 5) argues against such ascriptions, because “associating leading and managing with different types of people is not supported by empirical research; people do not sort neatly into these two extreme stereotypes.” Thus, while there is a difference between management and leadership, the world is actually populated with what Kotter (1999, p. 63) calls leader-managers, skilled in both functions.

Interestingly, these findings about biases for particular contexts suggest that the executive succession that typically accompanies frame breaking change may be less about the failure of the leader to make the transition from one context to another, but more about the preferences of leaders to gravitate to their preferred context. It is not that leaders cannot make the transition from evolution to revolution; it is that they don’t prefer to do so over the long term. If this bears out in further study, it will have far reaching implications in terms of helping nonprofit organizations, including addressing the problem of the two-in-three nonprofit executive directors who never do the job again after their first stint (Jeanne Peters & Wolfred, 2001).

To be fair, there are legitimate questions about the role industry plays that this study did not address. Though the slice of agencies studied was narrow, there were a variety of industries represented in the study population (e.g., hospice care, elder care, youth development). Perhaps those with a bias for execution were in slow-cycle industries, while those with a bias for growth were in fast-cycle industries. As such, one might argue that “industry effects contribute importantly to variation in business-specific profitability” (McGahan & Porter, 1997, p. 29).



Others take a different view by suggesting that the firm's resources and capabilities are the key determinants of performance (Barney, 1991). And still others assert that firm specifics only matter for the dominant value creators and destroyers—the winners and losers—within an industry; the vast majority is affected most by industry effects (Hawawini, Subramanian, & Verdin, 2003). Obviously, these different viewpoints should be explored in depth.

### *The Heart of Leadership for Good*

Mission is the heart of Leadership for Good. Even when it came to the vision, the most preferred ideal future was always to accomplish the mission. In essence, those who practice Leadership for Good adapt Collins' (2001) good-to-great principle of “first who . . . then what” (p. 41) into something altogether different: “first why . . . then what.”

Though it was clear that mission played a central role in how leaders evaluate the difference they made in their work, I overlooked it as a rationale for why people do the work in the first place. Instead, I proposed that servant leadership with its natural desire to serve others was the central reason. Yet, as appealing as servant leadership is to scholars and experts (Burkhardt & Spears, 2002), the term was not mentioned once by Hank, his six informants, or the 16 Delphi panelists in the 278,000 words of text generated by this study. Conversely, mission was mentioned 248 times.

This is not to say that the idea of a natural instinct to serve others was absent from the lives of the study participants. Servant leadership is expressed as a “natural feeling that one wants to serve, to serve *first*” (Greenleaf, 1977, p. 13 italics as written) and there are many other ways to convey this construct. Even so, given the prominence of servant leadership in the literature, I expected wider use of the term.

Instead of serving others as a rationale for why one does the work of Leadership for Good, mission centered was the reason. Mission centered is operationalized on two levels. First, at the personal level, mission centered is the calling, the vocation, the *raison d'être*, the “why” for those who practice Leadership for Good. Nietzsche’s advise is thus true, “He who has a why to live can bear almost any how” ("BrainyQuote," 2001-2003).

Second, at the strategic level, mission centered is a sustainable competitive advantage for the exemplary organization, the “internally consistent configuration of activities that distinguishes a firm from its rivals” (Porter, 1998a, p. xvi). In a Leadership for Good organization, the mission is more than the sterile “business or businesses in which the firm intends to compete and the customers it intends to serve” that is developed through a careful review of the external and internal environment in search of above-average returns (Hitt, Ireland, & Hoskisson, 2007, p. 20). For those who practice Leadership for Good, the mission is the heart the organization, the living, breathing life force that drives action.

Despite the obvious vote of confidence in the mission, there was a negative correlation between net revenue÷total revenue and the vision of always accomplishing the mission ( $r_{(14)} = -.553, p < .05$ ). Counterbalancing this was the statement that no matter how lucky it seems, always stay true to the mission had a positive correlation ( $r_{(14)} = .557, p < .05$ ). Obviously, such contradictions deserve further investigation, but one explanation may be that a mission is not a vision. A vision is something you work at becoming; a mission is something you are.

This finding suggests that mission trumps vision. As such, it could be that vision is a holdover from some earlier time or a romantic notion that detracts from focusing on the knitting where the real value lies (Bossidy, Charan, & Burck, 2002; Meindl, Ehrlich, & Dukerich, 1985; T. J. Peters & Waterman, 1982).

Given the foregoing discussion of the centrality of mission, what place does servant leadership have in the Leadership for Good construct? Perhaps the best answer is that, instead of seeing it as subservient to purposeful, as I originally proposed, the natural desire to serve others should be seen as the essence of purposeful.

### *Stress for Good*

Two elements of what it meant to be self-sacrificing—forgone dreams and diminished compensation—failed to make the grade. On the other hand, there was unanimous support for toughness of the job as a self sacrifice. And, like mission, the ramifications of this toughness were seen throughout the findings.

There are a number of possible explanations for why the job is so stressful. First, people simply cannot find a way to strike a balance between personal and professional roles. For the panelists, this challenge was the number one self-sacrifice.

A second plausible explanation is related to how the panelists viewed the external environment, which is certainly not seen as steady. In the category of how leaders are aligned, the statement of understanding that the needs are usually stable from one year to the next had a second-to-the last place showing out of nine. Moreover, the correlation analysis of net revenue÷total revenue against this statement found a negative relationship ( $r_{(14)}=-.589, p<.05$ ). This suggests that Intel's Andy Grove (1996) was right when he said that only the paranoid survive. Ditto for Virany et al. (1992) who suggest that the successful firms that managed reorientations ahead of the wave of turbulence did so because “the aspiration levels of executives in high-performing organizations are set so high that those firms act as if they are perpetually in crisis (p. 88).

Third, all of the panelists were very successful people. And they may experience the stress as a result, given that “success can be one of the most psychologically disruptive experiences a person can endure . . . one of the more devastating consequences of success is the inherent pressure to repeat past performance and achieve glory again and again” (Berglas, 1990, pp. 16-17).

A fourth explanation for the stress arose in the correlation analysis between the job is always stressful and all other statements from the round three questionnaire. Affinity grouping the seven statements with significant correlations ( $p < .01$ ) around common themes leads to the results shown in Table 5.2.

Table 5.2

*Causes of Stress*

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Always open to help

- Look at what's missing in the community ( $r_{(14)} = .649, p < .01$ )
- You should always want to do more, be known for your achievement orientation, (e.g., hardworking, persistent) ( $r_{(14)} = .721, p < .01$ )
- Stay open ( $r_{(14)} = .627, p < .01$ )

Always open for business

- Worry about the financial results, always be cognizant of them ( $r_{(14)} = .720, p < .01$ )
  - You should be organized; known for orderliness (e.g., planful, organized) ( $r_{(14)} = .644, p < .01$ )
  - Come in to work, focus on the job; walk out the door and turn the job off ( $r_{(14)} = -.675, p < .01$ )
  - Your work gives meaning to the people who work for the organization ( $r_{(14)} = .651, p < .01$ )
-

This suggests that job stress is not necessarily caused by the evil axis of burnout, professional or career growth opportunity, and board relations (Jeanne Peters & Wolfred, 2001), although these certainly are contributing factors, but they may be more symptomatic of being always open to help and always open for business. This is perhaps the dark side to mission centeredness, this willingness to sacrifice oneself for the cause.

Research on this topic could have important implications for reducing turnover in the sector and helping talented executives work longer and more effectively. For example, given that burnout is one of the primary causes of leadership turnover, what interventions have been found or could be used to alleviate it most effectively?

### *Making Change*

Correlation analysis of the statements in the category of how leaders are aligned with net revenue÷total revenue found a negative relationship with the statement that you should achieve steady change that is gradual in texture ( $r_{(14)}=-.632, p<.05$ ). Coupled with the perspective that panelists had of a turbulent environment, there are a number of potential implications about making change.

The first implication has to do with hoping that piecemeal efforts will somehow add up to revolutionary change. Miller (1982) found that “piecemeal structure adjustments made in response to environmental challenges may imbalance the structural configuration and will be costly” (p. 139). Romanelli and Tushman (1994) found “small organizational changes do not accumulate to produce non-revolutionary transformations” (p. 1158).

If change is not gradual, then the second implication concerns how those who practice Leadership for Good engage and accomplish it. Do they create crisis-like conditions that many experts advocate (Heifetz & Linksy, 2002; Kotter, 1996; R. M. Kramer, 2006; Nutt & Backoff,

1997), is change advanced by exogenous crisis as was Hank's experience, or is it some combination of the two?

The third implication is related to Hank's two experiences with frame-breaking change, which provide solid support for the punctuated equilibrium model (Greiner, 1972; Tushman & Romanelli, 1985). The first experience in 1995 followed the classic pattern of organizational decline and the crisis of executive succession that brings on revolutionary change (Alexander et al., 1993; Anderson & Tushman, 2001; Puffer & Weintrop, 1995; Tushman & Romanelli, 1985). In this case, the crisis occurred during a period of evolution and led into a period of revolution.

Hank's second experience at the beginning of the market decline in 2000 lends further support to the punctuated equilibrium model, which in this case had the crisis preceding a period of evolution. Moreover, because Hank clearly anticipated the crisis and adapted to it early, he may be one of Tushman, and Romanelli's (1992) rare high performers with "relatively stable executive teams that initiated reorientations to stay ahead of turbulent environmental conditions" (p. 88).

Like vision, being change adept is widely celebrated as one of the key ingredients of successful leadership. How those who practice Leadership for Good make change is one of the most important areas for future study.

### *Legacy Left*

Many people think that Stan Hywet Hall & Gardens is named after an actual person, but the name comes from the old English Anglo-Saxon word for "stone hewn." The Seiberling family chose that name because of a sandstone quarry that they turned into a pond. Stone hewn—evocative of hard work and substance—is an apt metaphor for the legacy of the Seiberling family.

When it comes to legacy, “we can’t live forever, at least in this world, and we can’t take anything with us, but we can leave a bit of ourselves behind, as proof that we made a difference, to someone” (Handy, 1998, p. 102). For George, leaving something behind from a physical standpoint shows in Bailey Park: “Dozens of the prettiest little homes you ever saw . . . worth twice what it cost the Building and Loan to build” (Goodrich et al., 1947, p. 86). In Hank’s case, the physical evidence shows in many ways, including the restoration of the hall and gardens.

A more fitting remembrance of George’s work might be seen in the words of the people who come to his aid during the Christmas Eve crisis that closes the film. As one man cheerfully opens his wallet to help, he says to George, “I wouldn’t have a roof over my head if it weren’t for you, (Goodrich et al., 1947, p. 164). Perhaps Clarence the Angel sums it up most eloquently, “Strange isn’t it? Each man’s life touches so many other lives, and when he isn’t around he leaves an awful hole, doesn’t he?” (Goodrich et al., 1947, p. 152)

And as for Hank, what is his fitting remembrance? One answer lies in the restoration of the Corbin Conservatory. Since its construction in the early 1900s, the greenhouse was used for producing and growing plants. After a multi-million dollar restoration completed in April 2005, the Conservatory reopened and now its 4,322 panes of laminated glass let the sun shine in on more than 400 free-flying exotic butterflies, the largest exhibit of its type in Northeastern Ohio. The idea of tens of thousands of adults and children experiencing the joy of one of life’s most uplifting creatures is a living legacy to Hank’s leadership.

Though family crests and mottos are popular on the English Tudor manors after which Stan Hywet Hall was patterned, no one is quite sure why the Seiberling family had the words *Non Nobis Solum*—Not for Us Alone—inscribed in the arch leading into the main hall. Hank had some ideas, however:

They never forgot that, if not for a little bit of luck, their hard work alone would not have given them the privilege and advantages they received—perhaps that is why they chose “Not for us alone.” They set a good example of how to live your life: work hard, never give up, remember that with wealth and success come responsibilities, have a vision, remain kind, and don't take council of your fears. “Not for us alone” fits right in—kind of like “Pay it forward.”

Pay it forward is analogous to Vaill's (personal communication, 2006) Golden Rule of Leadership to do unto others as you would have others do unto others. Whatever you call it—be it servant leadership or pay it forward—giving from your heart to others without expectation of reward is what connects Hank, the Seiberling Family, George, the Delphi panelists, and those who do the wonderful work of Leadership for Good. These are the Baileys of the world, wonderful leaders with wonderful lives, the Leaders for Good, the *mission centered*, *visionary*, *results driven*, and *adaptive difference makers* who change the world one person at a time.



## APPENDICES

*Appendix 1: Case Study Informant Invitation Letter*

August 21, 2006

«First Name» «Last Name»

«Job Title»

«Company»

«Address 1»«Address 2»

«City», «State» «Postal Code»

Dear «First Name»,

Hank Lynch suggested that I write to ask for your help. I am completing my Ph.D. in Leadership and Change at Antioch University. My dissertation topic is about exemplary leaders of nonprofit organizations and Hank is one of the people I am studying.

I have had a number of interviews with Hank over the past year, but I now need to expand to a few people who know him in the context of his work as a leader. I would need about an hour of your time to hear your recollections. We can do this by phone at a time convenient to you.

I will call you in the next few days to see if you are willing to participate and to set a time for our interview. In the meantime, would you please read the attached informed consent form to be sure that you understand how I will use the information from our conversation?

I have my fingers crossed that you will be able to participate in this wonderful study.

All my best!

Mark Light

*Appendix 2: Case Study Informant Informed Consent Forms*

**Title of Study:** Finding George Bailey: Wonderful Leaders, Wonderful Lives

**Introduction:** You are invited to participate in a research project being conducted by Mark Light, a Ph.D. student in the Leadership and Change Ph.D. program at Antioch University. Mark Light will be the primary researcher and he will be guided by a small number of faculty advisors from academic institutions including Antioch University.

**Purpose:** The purpose of this study is to understand the experiences of those who serve as chief executives of nonprofit organizations.

**Procedures:** In a one-on-one interview either in person or by phone, you will be asked to share your recollections about Hank Lynch. The conversation will be recorded so that a transcription can be made for analysis purposes.

**Risks and Discomforts:** It is not anticipated that there will be any risks or discomforts arising from your participation in this study. With that said, you will be discussing your experiences, which could be emotionally unsettling.

**Benefits:** You will receive no direct benefit from your participation in this study, but your participation may help others to better understand the experiences of leaders of nonprofit organizations.

**Right to refuse or withdraw:** Your participation in this study is voluntary and you may refuse to participate or withdraw from the study at any time, which will involve no penalty or loss of benefits to which you are otherwise entitled.

**Confidential Data Collection:** Any identifying information collected will be kept in a secure location and only Mark Light and his faculty advisors will have access to the data. Participants will not be individually identified in any publication or presentation of the research results. Only aggregate data will be used. Your signed consent form will be kept separate from your data, and nobody will be able to link your responses to you. Your confidentiality may be voluntarily surrendered in the event that you give express written permission in advance.

**Confidentiality of records:** All forms of data including, but not limited to recordings, written transcripts, draft reports, and hand-written notes will be destroyed upon completion of this project. In the meantime, storage of the data will be at Mark Light's office.

**Whom to contact with questions:** In the event you have any questions about this study, you may call Mark Light at (937) 299-4100. This project has been reviewed and approved by the Antioch University Ph.D. in Leadership and Change Institutional Review Board. If you have any questions about your rights as a research participant, you may call Carolyn Kenney, PhD, Chair, IRB, Leadership & Organizational Change Program, Antioch University, (805) 569-1265, [ckenny@phd.antioch.edu](mailto:ckenny@phd.antioch.edu).

**Acceptance & signature:** I have read the information provided above and all of my questions have been answered. I voluntarily agree to participate in this study. I will receive a copy of this consent form for my information.

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Participant Name

---

Signature

---

Date

*Appendix 3: Case Study Informant Interview Questionnaire*

I want to thank you for taking time to meet/talk with me. I am working on my Ph.D. dissertation study of leaders in nonprofit organizations and their leadership experiences. The purpose of this interview is to learn about your experiences with this topic. I would like to tape our conversation today so that I can have it transcribed and then add it to the other interviewees to create a final report. Any comments I use from you in this report will be completely anonymous. I will keep the transcript of this interview under my sole control at all times and after the study is finished, I will destroy the transcripts. Is this okay with you? Do you have any questions before we begin?

1. What is your position/relationship at/to the organization and how long have you been there? (Probe: career path, experience with leadership, background, favorite leadership book)
2. Difference Makers
  - A. Can you talk to me about what effectiveness means to you? (Probe: definition of organizational effectiveness, what does it look like to you)
  - B. Tell me something about the accomplishments of the organization. (Probe: measurable results, number of clients, budgets, fundraising)
  - C. Talk to me about the mission of the organization. (Probe: what is it, how do you know if you've accomplished it?)
  - D. Talk to me about the organization's clients and what the work of the organization means to them.
  - E. What can you tell me about the people who work for you relative to their professional growth since they have worked for you?
  - F. What can you tell about those people relative to their own development of others?
3. Good Purpose
  - A. Talk to me a little bit about why you do this work. (Probe: why not some other career choice, what are the costs/benefits personally?)
  - B. How would you describe your leadership style? (Probe: examples, how would others describe you?)
  - C. What are your values and how do they fit with the organization?
4. Adaptable
  - A. Can you share some of the challenges you have faced in the current job and the way they were addressed? (Probe: turbulent/stable contexts, environment inside/outside the organization, crisis situations, and how they were managed)
  - B. Talk to me a bit about opportunities that you have taken advantage of at the organization. (Probe: role of luck, how did those opportunities come about?)
  - C. Have there been any major changes in the organizations during your tenure? (Probe: if none, why not; if some, how were they managed?)

5. Fitting Vision
  - A. Tell me about the vision of the organization. If there is one, tell me more about it. (Probe: How did it come about, does it change from time to time, how so, why)
6. Results Driven
  - A. The organization seems to have accomplished a lot. Talk to me about your part in this.
  - B. Talk to me a little about some of the decisions you have made that have been important. (Probe: how did you make them, what was the time frame, how did the implementation go, was it a good decision?)
  - C. Can you tell me about any experiences where you have been accountable, good and bad? (Probe: when things go wrong, who accepts responsibility? What is your workplace demeanor?)
7. What things should I have asked you, but didn't? Do you have any final comments?

*Appendix 4: Delphi Study Invitation Letter*

August 21, 2006

«First Name» «Last Name» «Suffix»  
 «Job Title»  
 «Company»  
 «Address 1»«Address 2»  
 «City», «State» «Postal Code»

Dear «Courtesy Title» «Last Name»,

I write today to ask for your help. I am completing my Ph.D. in Leadership and Change at Antioch University. My dissertation topic is about exemplary leaders of nonprofit organizations. I reviewed 123 Dayton nonprofit organizations in the general human services, housing, and youth development categories using IRS Form 990s. I looked for only those organizations with superior results and chief executive officers with longer tenures. Just one-sixth of the candidates met the tests and I am happy to report that you are one of the exemplary leaders.

I would like to begin by interviewing you at your office. After the conversations with all of the leaders are completed, you will be asked to complete a questionnaire based upon these conversations. The results from this questionnaire will be used to create a second questionnaire for you to complete. The total time estimated for this study is no more than three hours at the most (90 minutes for the interview, 45 minutes for each questionnaire).

I will be calling you in the next few days to see if you are willing to participate. In the meantime, would you please read the attached informed consent form to be sure that you understand how I will use the information from the study? There's no need to send it back to me as I'll pick up when I visit you. Please note that although you will be identified as a panelist by name (including a short biographical sketch) in all publications and presentations of the study results, your responses will be kept anonymous unless you decide otherwise.

I have my fingers crossed that you will be able to participate in this wonderful study. I'll call you soon to see what you think. Until then,

All my best to you!

Mark Light

*Appendix 5: Delphi Panelist Announcement Letter*

September 20, 2006

«First Name» «Last Name» «Suffix»  
 «Job Title»  
 «Company»  
 «Address 1»«Address 2»  
 «City», «State» «Postal Code»

Dear «First Name»,

Thank you very much for the time you gave recently to help with my Ph.D. study of exemplary nonprofit leadership. I have concluded all but one of the interviews and the preliminary results are extremely valuable.

Because you signed an informed consent form giving permission for your name and affiliation to be known, I want to take this opportunity to introduce the expert panelist for this study:

Adopting Children Today Information and Option Network - Patricia Hill  
 Boys Scouts of America Miami Valley Council - Ken Wade  
 Choices in Community Living - Tom Weaver  
 Community Action Partnership - Tim Donnellan  
 Daybreak - Linda Kramer  
 Girl Scouts Council of Buckeye Trails - Ann Granger  
 Goodwill Industries of Dayton - Amy Luttrell  
 Graceworks Lutheran Services - Willis Serr, II  
 Grantmakers in Aging - Carol Farquhar  
 Hithergreen Senior Center - Cynthia Fraley  
 Hospice of Dayton - Deborah Dailey  
 Learning Tree Farm - Jean Ryan  
 Miami Valley Fair Housing Center - Jim McCarthy  
 Resident Home Association - Brenda Whitney  
 The Dayton Urban League - Willie Walker  
 YMCA of Greater Dayton - Tim Helm

In the next few weeks, I will be analyzing all of the interviews in order to create a questionnaire for you to complete. The results from this questionnaire will be used to create a second questionnaire. The purpose of the two questionnaires is to see if the panelists as a whole can reach consensus. I expect to have the first questionnaire to you the week of October 9.

Please know that I am deeply grateful for the time you have given to this important study. You are an extraordinary leader and I am privileged to have your participation.

Mark Light

*Appendix 6: Delphi Informed Consent Form*

**Title of Study:** Finding George Bailey: Wonderful Leaders, Wonderful Lives

**Introduction:** You are invited to participate in a research project being conducted by Mark Light, a Ph.D. student in the Leadership and Change Ph.D. program at Antioch University. Mark Light will be the primary researcher and he will be guided by a small number of faculty advisors from academic institutions including Antioch University.

**Purpose:** The purpose of this study is to understand the experiences of those who serve as chief executives of nonprofit organizations.

**Procedures:** In a one-on-one interview either in person or by phone, you will be asked to share your opinions about leadership. The conversation will be recorded so that a transcription can be made for analysis purposes. After the conversations with all of the leaders are completed, you will be asked to complete a questionnaire based upon these conversations. The results from this questionnaire will be used to create a second questionnaire for you to complete. The total time estimated for this study is no more than two hours (one-hour for the interview, one-half hour for each questionnaire).

**Risks and Discomforts:** It is not anticipated that there will be any risks or discomforts arising from your participation in this study. With that said, you will be discussing your experiences, which could be emotionally unsettling.

**Benefits:** You will receive no direct benefit from your participation in this study, but your participation may help others to better understand the experiences of leaders of nonprofit organizations.

**Right to refuse or withdraw:** Your participation in this study is voluntary and you may refuse to participate or withdraw from the study at any time, which will involve no penalty or loss of benefits to which you are otherwise entitled.

**Confidential Data Collection:** Any identifying information collected will be kept in a secure location and only Mark Light and his faculty advisors will have access to the data. The names of participants will be individually identified in any publication or presentation of the research results, but all responses will be anonymous. Only aggregate data will be used. Your signed consent form will be kept separate from your data, and nobody will be able to link your responses to you. Your confidentiality may be voluntarily surrendered in the event that you give express written permission in advance.

**Confidentiality of records:** All forms of data including, but not limited to recordings, written transcripts, draft reports, and hand-written notes will be destroyed upon completion of this project. In the meantime, storage of the data will be at Mark Light's office.

**Whom to contact with questions:** In the event you have any questions about this study, you may call Mark Light at (937) 299-4100. This project has been reviewed and approved by the Antioch University Ph.D. in Leadership and Change Institutional Review Board. If you have any questions about your rights as a research participant, you may call Carolyn Kenney, PhD, Chair, IRB, Leadership & Organizational Change Program, Antioch University, (805) 569-1265, [ckenny@phd.antioch.edu](mailto:ckenny@phd.antioch.edu).

**Acceptance & signature:** I have read the information provided above and all of my questions have been answered. I voluntarily agree to participate in this study. I will receive a copy of this consent form for my information.

---

Participant Name

---

Signature

---

Date

*Appendix 7: Delphi Study Round One Interview Questionnaire*

I want to thank you for taking time to meet/talk with me. I am working on my Ph.D. dissertation study of leaders in nonprofit organizations and their leadership experiences. The purpose of this interview is to learn about your experiences with this topic. I would like to tape our conversation today so that I can have it transcribed and then add it to the other interviewees to create a final report. Any comments I use from you in this report will be completely anonymous. I will keep the transcript of this interview under my sole control at all times and after the study is finished, I will destroy the transcripts. Is this okay with you? Do you have any questions before we begin?

1. Let's talk about your life as a leader of an exemplary nonprofit organization and begin with some questions about your motivations.
  - A. People talk a lot about their purpose, the fundamental reason for why they do the work and its importance. What is your purpose? Why do you do this work?
  - B. What personal sacrifices do you make to do the work?
  - C. What values are important to you when it comes to how you do the work? If you had to choose just one value that you would absolutely never give quarter on, which one would it be?
  - D. How do you keep things in balance, your purpose and self-sacrifices?
2. Some people think it's really important for nonprofit leaders to have a vision for their organization while others think that it may not be.
  - A. Tell me about your experience with vision. What is your vision?
  - B. How do you go about making a vision? Where does your vision come from?
  - C. How do you go about telling the vision to others, creating a sense of it among your followers and stakeholders?
3. There are those who say that an important quality of nonprofit leaders is being adaptable to the world around them. How do you weigh in on this?
  - A. How do you stay connected with the world around you?
  - B. Some people might equate adapting to the world around you to going with the flow of things. How does that fit with your experience?
  - C. There are those who say that "stuff happens" plays a big role in leadership, that sometimes you get a lucky break or you're in the wrong place at the wrong time. What's your experience with lucky breaks and wrong places?
4. You were chosen for this study because you seem to have accomplished a great deal compared to other leaders. How are you different from the people on your staff? That is, how would you describe your personality?
 

Extraversion - sociable, gregarious, assertive, talkative, and active

Emotional Stability - anxious, depressed, angry, embarrassed, emotional, worried, and insecure

Agreeableness - courteous, flexible, trusting, good-natured, cooperative, forgiving, soft-hearted, and tolerant

Conscientiousness - careful, thorough, responsible, organized, and planful

Intellect - imaginative, cultured, curious, original, broad-minded, intelligent, and artistically sensitive



5. We're now to the place where we add up your work as a leader to see what happened.
  - A. Let's talk about the differences you have made in this work. Talk to me about your experiences with clients that say you have made a difference. What about for your staff - the Uncle Billy effect? And your family?
  - B. People often say that mission achievement is job one. How do you know you've accomplished the mission?
  - C. Where do financial results fit into your assessment of achieving the mission?

*Appendix 8: Delphi Study Round Two Letter and Questionnaire Page One*

November 9, 2006

«First Name» «Last Name» «Suffix»  
«Address 1»«Address 2»  
«City», «State» «Postal Code»

Dear «First Name»,

Thank you again for your help in my dissertation study about exemplary nonprofit leadership. I have analyzed all of the panelist interviews to create the attached questionnaire. The purpose of the questionnaire is to see if the panelists as a whole can reach consensus. Once I have all of the completed questionnaires, I will create a second questionnaire showing the aggregate results and giving you a final opportunity to review, rank, and comment.

Based upon the interviews, I know what your experience is with regard to each statement. Now it is time for you to give expert advice to other nonprofit executive directors. So, I am not asking you to tell me how true each statement is to your personal experience; I am asking you how important each statement is to the success of other nonprofit executive directors. **In essence, your personal experience may be different from what you recommend to others.**

Please remember that even though your questionnaire is not anonymous to me, all responses and comments will be anonymous to the other panelists and readers. As always, if you have questions, call me or email me; I will be quick to respond.

I thank you in advance for your timely response to the questions below, which I would greatly appreciate having back no later than Friday, November 17. Your insights have made a wonderful difference in the study, thank you!

All my best!

Mark Light

1. From your personal experience, rate the importance of each statement to the success of other nonprofit executive directors on a scale of 1 to 5 with 5 being very important. **Your personal experience may be different from what you recommend to others.**
2. Check the specified number of the most important statements
3. Feel free to make arguments pro or con about statements within each grouping
4. Return the questionnaire by Friday, November 17

### I. ABOUT THE WORK OF SUCCESSFUL NONPROFIT LEADERS

Nonprofit leaders often talk about the motivations for why they do the work. From your personal experience, how important is each motivation to the success of other nonprofit leaders?

	Not important	Very imp	important	
Being your own boss				
Commitment to the mission				
Doing what you love				
Enjoying everything about the job				
Feeling good about what you do				
Flexibility in the work schedule				
Getting things done				
Getting to select staff, put them in the right position, and see them succeed				
Leaving organization in the best shape possible for the next executive				
Liking the people that are served by the organization				
Making a difference				
Making a living				
Meeting tremendous people along the way				
Operating the organization in an efficient and effective manner				
Putting teams together and then seeing them get things done				
Taking the organization to the next level				
The challenges are stimulating, certainly there is no boredom				
Using creativity in the job				

Comments pro or con about any or all of the statements

P  
Please  
check (✓)  
your 3  
most  
important

Some non-profit executives say that certain sacrifices are required by their positions. From your personal experience, how important is making each sacrifice to the success of other nonprofit leaders?

	Not important	Very imp	important	
A lot of time must be put into the job				
Finding a balance between job and personal life				
It's a job and a half, a whole lot more responsibility and liability				
Lifestyle choices must be made (e.g., marriage, children, moving frequently).				
Lower pay and lower benefits				
The board makes the job harder than it needs to be				
The job is often very stressful				
The work is undervalued and underappreciated				
There is a sacrifice of anonymity				
There is a negative impact on relationships with family and friends				
There is never enough money to do the things that need to be done				

P  
Please  
check (✓)  
your 3  
most  
important

*Appendix 9: Delphi Study Round Three Letter and Questionnaire Page One*  
 December 7, 2006

«First Name» «Last Name» «Suffix»  
 «Job Title»  
 «Company»  
 «Address 1»«Address 2»  
 «City», «State» «Postal Code»

Dear «First Name»,

Just in time for the holidays is the final questionnaire about exemplary nonprofit leadership! The work you did earlier this fall was incredible. **Thank you so much for helping!**

Though the enclosed questionnaire looks longer, it actually is the same length only placed sideways on the page. This is to allow you to see what the other panelists had to say including their comments. Armed with that information, you now have **a chance to change your mind or hold your ground.**

Here's what I'd like you do: First, read the comments for each section and then review the importance rating (the average and median for all the panelists and your own rating) and the top choices (the number of panelists who voted for each choice and your top choices). Second, **re-rate each statement and re-pick your top choices.** It's perfectly okay to change your mind or to simply copy from your previous questionnaire. Because no comments are necessary, the questionnaire should be quicker for you to complete.

Remember, I am not asking you to tell me how true each statement is to your personal experience; I am asking you how important each statement is to the success of other nonprofit executive directors based upon your experience. In essence, **your personal experience may be different from what you recommend to other nonprofit executive directors.**

Please note that even though your questionnaire is not anonymous to me, all responses and comments will be anonymous to the other panelists and readers. As always, if you have questions, call me or email me; I will be quick to respond.

If you get this back to me by **Tuesday, December 19**, I would be very grateful. Your insights have made a wonderful difference to other nonprofit executive directors.

**Happy Holidays!**

Mark Light

1. Read the comments for each section and review the importance rating (the average and median for all the panelists and your rating) and the top choices (the number of panelists who voted for each choice and your top choices). A blank space indicates that you did not give an answer and/or make a choice for that statement.
2. **Re-rate the importance of each statement and re-pick your top choices.** It's perfectly okay to change your mind or to simply copy from your previous questionnaire.
3. Remember, **your personal experience may be different from what you recommend to others.**
4. Please return by **Tuesday, December 19.**

### I. ABOUT THE WORK OF SUCCESSFUL NONPROFIT LEADERS

**A. Nonprofit leaders often talk about the motivations for why they do the work. From your personal experience, how important is each motivation to the success of other nonprofit leaders?**

**Panelist comments from the previous questionnaire:** • Important for CEOs to be visionary and forward thinking. • All of these motivations lead to success - the trick is to find the right combination at any one time. • Using creativity is a more personal motivator. It's important to those of us who are similar to entrepreneurs. • "Being your own boss" should never be a motivator. Nonprofit leadership requires accountability and the job of a CEO is to establish systems of accountability. A leader should expect to work hard in a nonprofit organization, so flexibility in work schedule is not normally a realistic goal.

Your importance rating for each statement from the previous questionnaire				Circle your <i>NEW</i> importance ratings for each statement					Number who ranked each statement a top choice		
Median importance rating of all panelists from the previous questionnaire									Your top choices		
Mean importance rating of all panelists from the past questionnaire				Not importantVery importa					Check (✓) your <i>NEW</i> top 3 choices		
Being your own boss	3.1	3.0	4	1	2	3	4	5	1		
Commitment to the mission	4.9	5.0	5	1	2	3	4	5	12	X	
Doing what you love	4.5	5.0	4	1	2	3	4	5	4		
Enjoying everything about the job	2.8	3.0	1	1	2	3	4	5	0		
Feeling good about what you do	4.4	4.5	4	1	2	3	4	5	1		
Flexibility in the work schedule	3.4	3.5	3	1	2	3	4	5	0		
Getting things done	4.2	4.0	4	1	2	3	4	5	2		
Getting to select staff, put them in the right position, and see them succeed	4.3	4.5	2	1	2	3	4	5	2		
Leaving organization in the best shape possible for the next executive	4.6	5.0	4	1	2	3	4	5	2		
Liking the people that are served by the organization	4.1	4.0	3	1	2	3	4	5	2		
Making a difference	4.5	4.5	5	1	2	3	4	5	6	X	
Making a living	3.6	4.0	4	1	2	3	4	5	0		
Meeting tremendous people along the way	3.7	4.0	3	1	2	3	4	5	1		
Operating the organization in an efficient and effective manner	4.4	4.0	4	1	2	3	4	5	3		
Putting teams together and then seeing them get things done	4.4	4.0	3	1	2	3	4	5	2		
Taking the organization to the next level	4.6	5.0	4	1	2	3	4	5	4		
The challenges are stimulating, certainly there is no boredom	3.4	3.5	2	1	2	3	4	5	1		
Using creativity in the job	4.1	4.0	4	1	2	3	4	5	1		

*Appendix 10: Delphi Member Checking*

October 16, 2006

«First Name» «Last Name» «Suffix»  
 «Job Title»  
 «Company»  
 «Address 1»«Address 2»  
 «City», «State» «Postal Code»

Dear «First Name»,

Attached you will find a coding summary report from our recent interview. This report summarizes my interpretations of portions of the interview, but it is not a complete transcription. I am sending you this summary so that you know how I am interpreting your answers to the questions. It is not necessary for you to review this report in detail, but you may find it interesting. Per the informed consent that you signed, you are the only one who is seeing this report and none of your responses will ever be attributed to you without your consent.

Because the interview was a conversation, the transcription will always contain errors due to human error and issues with recording clarity. Spellings and typographical errors are common. A dashed line means that the transcriber could not understand that particular segment of the interview. The best way to read the report is to pay attention only to the node coding and the reference; the other information (e.g., coverage, character range) is not relevant. Take the following for example:

<b><u>Node Coding</u></b>	<b>Tree Nodes\1. Purposeful\A. Reasons I do this work\I like building the organization, helping it grow.</b>
---------------------------	--------------------------------------------------------------------------------------------------------------

Reference 1

It gives you a chance to do stuff that you – to build things

The statement after the last backslash in the node coding is my interpretation of what the person said (e.g., \I like building the organization...). Reference 1 is exactly what the person interviewed said, (e.g., It gives you a chance to do stuff...).

If you have any questions or comments about the coding summary report, please let me know as soon as you can. I will be preparing the first questionnaire for all panelists to complete by the end of the month.

Let me thank you again for your help in this important study.

All my best to you!

Mark Light

## Coding Summary Report

**Project:** FGB Delphi 2  
**Generated:** 10/16/2006 9:14 PM

**Total References** 64

<b><u>Node Coding</u></b>	Tree Nodes\1. Purposeful\A. Reasons I do this work\I do this work because of the people we serve.	<b><u>References</u></b> 5	<b><u>Coverage</u></b> 0.74 %
---------------------------	---------------------------------------------------------------------------------------------------	----------------------------	-------------------------------

<i>Reference 1</i>		<i>Character Range</i> 6,479 - 6,641
Well you know you decide on your major when you're pretty young and I thought like a lot of other people oh, I want to work with people and I want to help people.		

<i>Reference 2</i>		<i>Character Range</i> 11,487 - 11,549
I like that the population that we work with is pretty broad.		

<i>Reference 3</i>		<i>Character Range</i> 11,755 - 11,965
there's a lot of poverty agencies but there's just not very many agencies that focus on trying to meet the needs of people that have some kind of a disability and I like that that's who we're here to benefit.		

<i>Reference 4</i>		<i>Character Range</i> 12,048 - 12,072
Cause they're underdogs.		

<i>Reference 5</i>		<i>Character Range</i> 13,029 - 13,051
I enjoy the underdogs.		

<b><u>Node Coding</u></b>	Tree Nodes\1. Purposeful\A. Reasons I do this work\I like being in the top job.	<b><u>References</u></b> 3	<b><u>Coverage</u></b> 0.43 %
---------------------------	---------------------------------------------------------------------------------	----------------------------	-------------------------------

<i>Reference 1</i>		<i>Character Range</i> 7,518 - 7,636
I liked that you had more ability than I had in my old position to fix things that should be fixed and make them right		

<i>Reference 2</i>		<i>Character Range</i> 7,747 - 7,776
I like being in that position		

<i>Reference 3</i>		<i>Character Range</i> 7,865 - 7,998
I can actually have a big impact on whether at some point we're able to do that, do that thing that should be done and do it right.		

<b><u>Node Coding</u></b>	Tree Nodes\1. Purposeful\A. Reasons I do this work\I make a living.	<b><u>References</u></b> 1	<b><u>Coverage</u></b> 0.03 %
---------------------------	---------------------------------------------------------------------	----------------------------	-------------------------------

<i>Reference 1</i>		<i>Character Range</i> 813 - 833
I work for my family		

<b><u>Node Coding</u></b>	Tree Nodes\1. Purposeful\A. Reasons I do this work\The flexibility of the schedule is very important to me.	<b><u>References</u></b> 1	<b><u>Coverage</u></b> 0.14 %
---------------------------	-------------------------------------------------------------------------------------------------------------	----------------------------	-------------------------------

<i>Reference 1</i>		<i>Character Range</i> 18,730 - 18,820
I think that one of the advantages is being in a job where my schedule has to be flexible.		

<b><u>Node Coding</u></b>	Tree Nodes\1. Purposeful\A. Reasons I do this work\The mission of the organization is important to me.	<b><u>References</u></b> 1	<b><u>Coverage</u></b> 0.03 %
---------------------------	--------------------------------------------------------------------------------------------------------	----------------------------	-------------------------------

*Appendix 11: Delphi Round Three Questionnaire Statements and Stability Analysis<sup>21</sup>*

		% change Likert-type scale	% change importance rankings
I. About the work			
Why they do the work			
1	Being your own boss	19	3
2	Commitment to the mission	6	0
3	Doing what you love	13	3
4	Enjoying everything about the job	6	0
5	Feeling good about what you do	6	0
6	Flexibility in the work schedule	3	0
7	Getting things done	13	0
8	Getting to select staff, put them in the right position, and see them succeed	13	0
9	Leaving organization in the best shape possible for the next executive	13	3
10	Liking the people that are served by the organization	31	0
11	Making a difference	19	3
12	Making a living	19	0

---

<sup>21</sup> A statement was stable when the percentage of panelists *not* shifting their position from round two to round three was  $\leq 15$  percent.



		% change Likert-type scale	% change importance rankings
13	Meeting tremendous people along the way	19	0
14	Operating the organizations in an efficient and effective manner	6	0
15	Putting teams together and then seeing them get things done	6	0
16	Taking the organization to the next level	6	3
17	The challenges are stimulating, certainly there is no boredom	31	0
18	Using creativity in the job	6	0
About the sacrifices required			
19	A lot of time must be put into the job	3	0
20	Finding a balance between job and personal life	13	3
21	It's a job and a half, a whole lot more responsibility and liability	0	0
22	Lifestyle choices must be made (e.g., Marriage, children, moving frequently).	19	0
23	Lower pay and lower benefits	19	0
24	The board makes the job harder than it needs to be	19	0
25	The job is often very stressful	6	3
26	The work is undervalued and underappreciated	6	0

		% change Likert-type scale	% change importance rankings
27	There is a negative impact on relationships with family and friends	0	0
28	There is a sacrifice of anonymity	6	0
29	There is never enough money to do the things that need to be done	25	0
How to stay grounded			
30	Come in to work, focus on the job; walk out the door and turn the job off	16	3
31	Enjoy the simple pleasures (e.g., A glass of wine, food, chocolate)	3	3
32	Faith, spirituality	6	3
33	Friends and family including pets	13	0
34	Getting physical (e.g., Exercise, manual labor, gardening)	13	0
35	Have a simpler life (e.g., Living in your means, not sweating <sup>9</sup> the small stuff)		0
36	Have personal goals unrelated to the job	13	3
37	Take time to recharge and reflect (e.g., yoga, be with friends, quiet time)	13	0
38	The board and others in the workplace help keep things in balance	13	0

		% change Likert-type scale	% change importance rankings
39	The flexible schedule	6	0
Values that are important			
40	Be independent, know what the job is, and go do it	13	0
41	Be open to change	6	3
42	Do what you say you are going to do, walk your talk	0	0
43	For people, with people, through people	19	3
44	Go the extra mile	0	0
45	Honesty	0	3
46	Never forget the mission	13	3
47	Put the people the organization serves first	31	0
48	Quality is first	13	0
49	Respond to family needs	13	0
50	Some things you do because it's simply the right thing to do	6	0
51	Take responsibility for your actions	6	0
52	Teamwork	22	0

## II. About adaptivity

### How to be sensitive to context

53	Listen carefully	13	0
54	Slow down	19	0
55	Stay open	0	3

		% change Likert-type scale	% change importance rankings
About staying connected			
56	Build and work your local networks because you have to be recognized in the community as the one who cares about those issues	19	3
57	Build and work your national networks because the challenges Dayton's facing are similar to the challenges other communities face	6	3
58	Build and work your state networks	28	0
59	Get out and spend as much time as possible going to activities, events, anything where you can get to know the people you serve	6	0
60	Read everything you can including newspapers, magazines, and books, surfing the web, all to keep a pulse on what's happening out there	6	0
61	Stay connected to your staff members that are out there with the clients; half the time, they come back with the best information	13	0
62	Stay connected with people who could be future collaborators	13	0

How leaders are aligned

		% change Likert-type scale	% change importance rankings
63	Always be in the mode of “what now, what next, how can we grow”	3	0
64	Bigger isn't necessarily better	6	0
65	Go for change that pushes the envelope	13	3
66	Keep the focus on the big vision	9	0
67	Make sure that the organization is experiencing dramatic change that is obvious to everyone including those in the community	13	0
68	Respect the limits of your organization, don't push beyond its capacity or capability	13	3
69	Stay focused on implementation, delivery of services day to day	13	0
70	You should achieve steady change that is gradual in texture	9	0
71	Understand that the needs are usually stable from one year to the next	19	0
Where vision originates			
72	Look at the environment, at the vision from a business perspective including revenue, competition, capacity issues; it's a rational process	13	3
73	Look at the mission	6	3

		% change Likert-type scale	% change importance rankings
74	Look at the worst practices at other organizations to see if you can do any of them better	16	0
75	Look at what's going on with those you serve	3	0
76	Look at what's missing in the community	6	3
77	Look at other organizations to find best practices that might be duplicated	13	3
78	Pay attention to your intuition; just see the vision, feel it	6	0
How vision elements are finalized			
79	When ideas for the vision do stick, you put them into the final cut	0	3
80	When ideas don't stick after repeated efforts, you let them go	22	0
81	When ideas for the vision don't stick, do more research and try them again	13	0
82	You kick around a final draft of the vision with others including staff and board; it's a way of floating trial balloons and building ownership	6	0
83	You run a small experiment on an idea to see if it might work on a larger scale	0	3
84	You start with lots of ideas, most that the executive director should generate	25	0

		% change	% change
		Likert-type	importance
		scale	rankings
How visions are conveyed			
85	Be persuasive enough to get people involved	6	0
86	Convey the vision carefully and slowly	13	0
87	Convey the vision through the strategic plan	31	3
88	Get inside the mind of the people you're trying to convince; 13		3
	the message changes depending upon the specific audience		
Types of visions <sup>22</sup>			
89	Be a very exciting organization	NA	NA
90	Be more financially sound	NA	NA
91	Be the best at what you do	NA	NA
92	Enhance the diversity of the organization	NA	NA
93	Grow the organization	NA	NA
94	Increase capital assets like buildings and endowments	NA	NA
95	Reach more people to serve	NA	NA
96	To always accomplish the mission	NA	NA

#### IV. Personality characteristics

##### Importance of personality characteristics

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<sup>22</sup> Because this category was not part of the round two questionnaire, it was not possible to test for stability.

		% change Likert-type scale	% change importance rankings
97	Be extraverted even if you're naturally introverted (e.g., Sociable, gregarious, assertive, talkative, active)	19	0
98	Be somebody to count on; known for dependability (e.g., Responsible, careful)	6	0
99	Have intellectual capacity (e.g., Imaginative, cultured, curious, original, broad-minded, intelligent, artistically sensitive)	9	0
100	You can have your moments, but overall, be pretty solid when it comes to emotional stability (e.g., <u>Not</u> anxious, depressed, angry, embarrassed, emotional, worried, or insecure)	13	3
101	You should always want to do more, be known for your achievement orientation (e.g., Hardworking, persistent)	6	3
102	You should be easy going for the most part, known for agreeableness (e.g., Courteous, flexible, trusting, good-natured, cooperative, forgiving, soft-hearted, tolerant)	19	0
103	You should be organized; known for orderliness (e.g., Planful, organized)	13	3
Importance of decisiveness			
104	Be willing to take risks	6	3



		% change Likert-type scale	% change importance rankings
105	Begin with the end in mind	13	3
106	Know intuitively when something's right or when something's wrong	6	0
107	When opportunity comes along, grab it Importance of determination	0	0
108	A lot of the luck you experience is actually the result of laying the groundwork well in advance	0	3
109	Being lucky matters when it comes to your getting into the work in the first place; it's usually a lucky accident when it comes to how your got the job	25	0
110	Being lucky really matters when it comes to hiring staff members	13	0
111	It's less about a lucky break than it is about lucky timing	19	0
112	No matter how lucky it seems, always stay true to the mission	13	0
113	The harder you work, the luckier you appear to be	6	3

## V. Difference making

### How to evaluate mission achievement

114	It's an intuitive thing; you just know the mission is being met	6	0
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		% change Likert-type scale	% change importance rankings
115	The budget grows, the programs grow; growth says that you are achieving the mission	13	0
116	The workforce tells stories, anecdotes that describe mission achievement	19	0
117	You can't measure mission achievement in nonprofits; mission achievement can't be touched, felt, or seen	19	0
118	You have metrics that measure mission achievement including outcomes	19	3
119	You have very sound business practices	13	3
120	Your clients provide feedback	0	3
Importance of financial results			
121	Financial results are the price of admission; no financial results, no mission	19	3
122	If you do your work well, good financial results naturally follow	38	0
123	Meeting the budget is part of how you maintain credibility	13	3
124	The money is a means to meet the mission; it's not an end in itself	6	0
125	Worry about the financial results, always be cognizant of them	13	3

		% change Likert-type scale	% change importance rankings
How to know you made a difference with those you serve			
126	It shows when people come back and tell you personally	13	3
127	The services you provide are obviously much better than 25 years ago	25	0
128	You can see it immediately in the faces of those you serve	13	0
129	You can see it in the way your clients grow during the time you are serving them	19	3
130	You make a difference simply because your organization is the only viable alternative for those you serve	13	0
How to know you made a difference to those who work for the organization			
131	You can look at many of your staff members and see how they've grown as people including assuming more responsibility	3	0
132	You sometimes carry the load for less capable staff for whatever reason including for the staff member who is going through a tough time	16	0
133	Your work gives meaning to the people who work in the organization	0	3

		% change	% change
		Likert-type	importance
		scale	rankings
134	You've had staff members who have themselves gone on to become leaders who make a difference in the lives of others	13	3

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