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Values as a Component of Leadership and Their Relationship to organizational Efficacy and Culture; An Ethnographic Study of Leaders' influence at a Pennsylvania Non-Profit Organization 1965-2005

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VALUES AS A COMPONENT OF LEADERSHIP AND THEIR RELATIONSHIP TO  
ORGANIZATIONAL EFFICACY AND CULTURE: AN ETHNOGRAPHIC STUDY  
OF LEADERS' INFLUENCE AT A PENNSYLVANIA NON-PROFIT  
ORGANIZATION  
1965-2005

by

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submitted in partial fulfillment of

the requirement for the degree

Doctor of Education

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School of Education

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by

Emma Lee McCloskey

2006

## Abstract

An ethnographic case study approach of a Pennsylvania non-profit organization was used to develop an understanding of leaders' values as they relate to organizational culture and organizational efficacy from the testimony of organizational leaders and followers. The past Executive Directors as well as the current Executive Director, past Chairpersons of the Board of Directors and a random sample of Leadership Council members were interviewed using a semi-structured interview guide to answer the following research questions:

- 1 How, if at all, do the values of a leader affect the organizational efficacy?
- 2 How, if at all, do the values of a leader affect the organizational culture?
- 3 What happens to organizational efficacy when there is a new leader?
- 4 What happens to organizational culture when there is a new leader?

In addition, relevant data from documents were collected, analyzed and coded for emerging themes. Subjects were asked to participate through a mass mailing to all potential participants. For Chairpersons of the Board of Directors and Leadership Council, a return card was included for them to choose to participate or to decline participation. The informed consent procedure, was signed and dated by both the participant and the researcher, and covered all necessary areas deemed appropriate by Duquesne University. These include: Title, Investigator, Advisor, source of support, purpose, risks and benefits, compensation, confidentiality, right to withdraw, summary of results and voluntary consent. Each interview was audiotaped and transcribed in addition to the researcher compiling field notes for analysis. All identification of the speaker and

reference to the speaker, as well as to anyone that was discussed was disguised. All identifiers were deleted during transcription by using pseudonyms. All subjects were treated with respect and dignity. The researcher addressed the recruitment process using informed consent, provided for confidentiality and brought forth data and reports that were authentic using fairness and honesty as basic principles. No harm came from participation or the choice of individuals not to participate in this study. Eight themes emerged from the study. These were: External customer relationships contribute to change; Appointed leaders' values not sole determinant for change; Leaders' modeling of values promotes change; Leaders' effectiveness enhances organizational culture and change; Care and respect for client and community; Honesty and dedication to mission; Funding challenges are not an obstacle to efficacy; Congruency of values between leaders and followers key to morale and culture.

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DEDICATION

To the beloved men in my family

Michael, Mark, Brad, George, Ben, Lee, and Charles

And to the women who were their sisters, mothers, wives, daughters, granddaughters,

mentors,

leaders and followers.

May this work serve as gift of appreciation for their dreams,

their inspiration,

their pain,

and

love.

## CHAPTER I INTRODUCTION

### Overview

Three major societal issues pervaded the 1990's and continue to plague the 21<sup>st</sup> century: environmental decay, an increasing number of people disconnected from society and leader corruptness (Mitchell, 1993). Environmental issues and isolation problems for people of all ages are intensely debated topics, however, leader corruptness crosses all walks of life. Problems with leadership issues have riveted mainstream attention as observed by the following: "The management abuses of the public and private trust are everywhere, and some say the lack of moral leadership is America's number one problem" (Mitchell, 1993, p. 111). In the last decade the number of corporate, government, and religious scandals have skyrocketed with the public being besieged with leaders having a severe lapse of judgment. One might conclude that in today's culture there is a pervasive problem with leadership throughout our society.

One only needs to recall the 1991 Salomon Brothers scandal. CEO John Gutfreund's leadership style permeated the culture of Salomon, Inc.'s investment banking division resulting in greedy and power-hungry employees (Sims and Brinkmann, 2002). According to analysts, "Gutfreund's leadership style helped to mold a corporate culture that eventually resulted in unethical and illegal behavior by its members" (Sims and Brinkmann, 2002, p. 30).

Another well-known tale of immoral leadership is that of Enron's former CEO, Ken Lay. During his tenure, a culture of innovation and unchecked ambition produced a "handful of highly paid executives (who) were able to pocket millions of dollars while

carelessly eroding the life-savings of thousands of unwitting employees” ... while “putting the bottom line ahead of ethical behavior and doing what’s right” (Sims and Brinkmann, 2003, p. 243).

These are two of hundreds of examples of worldwide corporate scandal in which the moral character and behavior of the leader has negatively impacted both the organizational culture and reputation of the company. This is not to say in time, and with the right leadership, that the company cannot “rebuild ethical capital damaged by a scandal” (Sims, 2000, p. 74). In fact, it may be in the relationship dynamic, in the hard ethical work to be done both among the leader and the followers, that righting the organization is possible and probable.

While examples of society’s dismay over unethical behavior in organizations have been previously discussed, for the purposes of learning, it is more important to illuminate positive leadership behaviors that occur within organizations. Bennis (1989) cites numerous distinguishing ones: ability to inspire, innovate, plan long term, build team, originate, challenge, transform and celebrate. He describes leadership styles as visionary, coaching, team-building, democratic, pace setting, and command and control. At a deeper level, one moves beyond leadership styles to the way in which a person leads his or her life, based on principles. A person who is principle-based and serves others in a caring manner is one who is at the center of shared values, transforming an organization into a covenantal community and affecting organizational efficacy (Greenleaf, 1977; Sergiovanni, 1992).

## Rationale

This researcher began her work at a Pennsylvania non-profit organization in 1987 and within a few years, became a member of the leadership team as Director of Development. In 1997 she left the organization to assume the Director of Planned Giving position at a lifelong learning center. In 2002, she returned to the non-profit agency to resume her former position of Director of Development. Now, with the passage of 8 years, significant organizational change has occurred. Several programs that were very large in the late 1990's, are now relatively small. Today's largest program initiative, serving more than 2900 persons with mental health care needs, was non-existent when the researcher left the organization. In the past eight years, the complexion of the administrative and clinical leadership team has dramatically changed. The way in which the organization makes decisions has also changed.

## Statement of the Research Problem

This researcher then became interested in the phenomenon of organizational change and culture and the values of leaders as they relate to organizational efficacy and culture over the past forty years. As an ethnographer, it is this researcher's intent to go beyond being a simple "chronicler of events and structures, to being a chronicler and teller of tales" (Shank, 2002, p. 60). In the spirit of postmodern ethnography, this researcher will pursue:

how experiences relate to data, how meanings get imposed on experience, how data are organized and transformed, how texts are written, and how (in the broadest sense) the research act is socially constructed (Ellen, 1984, p. 10).

Drawing upon the experiences and viewpoints of the organizational leaders, a case study approach will be used by this researcher to develop an understanding of the relationship among leaders' values and organizational efficacy and organizational culture at the Pennsylvania non-profit organization over the past four decades.

### Research Questions

Organizations and businesses of the 21<sup>st</sup> century, with evolving leaders at all levels, will require answers to two basic questions focused on values which will be determinants of organizational efficacy and culture:

- (1) How ought one act? and
- (2) What kind of person is it that I should be (Northouse, 2004)?

A person with positive values may be defined as one of virtue. A virtuous person is one who does the right thing at the right time and in the right way (Pfaff, 1998). Thus, this researcher will then ask the following research questions:

- 1 How, if at all, do the values of a leader affect the organizational efficacy?
- 2 How, if at all, do the values of a leader affect the organizational culture?
- 3 What happens to organizational efficacy when there is a new leader?
- 4 What happens to organizational culture when there is a new leader?

The answers to these questions will provide the researcher with information about the relationship between the leader's values and organizational efficacy and culture over the forty years of organizational history. Perspectives from both persons who have been appointed to leadership and those who emerge as leaders will provide an intimate lens for analyzing their influence on organizational change and culture within this non-profit organization.

## Operational Definitions

**Appointed Leader:** Executive Director or Chief Executive Officer (CEO)/President, the person hired by the Board of Directors to lead the organization.

**Follower:** A person who asks a question instead of giving an answer; one who does real work in support of others (Smith, 1996). A follower may also be a leader depending on the performance and skill challenge.

**Leader:** A person, who models, communicates and inspires passion, skill, vision, and values like courage, humility, perseverance and integrity and is reflective of the needs and goals of the followers. May also be a follower depending on the performance challenge.

**Leadership Council:** A group of approximately 23 people who function as the strategic planning committee for the organization.

**Organizational Culture:** How people act throughout the organization as identified by their beliefs, rituals, symbols, communication patterns, etc.

**Organizational Efficacy:** The organization's ability to provide education, treatment, and rehabilitation services for persons with mental health care needs with respect for their life goals.

## Organizational Overview

Founded by 22 volunteers from the local Chapter of the National Council of Jewish Women, the organization formally began in 1961. Their mission was to welcome county residents who were returning from the State Hospital back to the community and provide them with socialization activities based on their unique needs. Volunteers and members met afternoons and evenings on a second floor loft above a downtown shoe

store. This meeting space had been provided, rent free, by a local business entrepreneur.

The all volunteer effort had a chair and co-chair.

In 1964 the Jewish Council's direct involvement with the organization ended and on November 16 it was incorporated as an independent non-profit corporation. It began receiving funds from the County Office of Mental Health/Mental Retardation, which continues to be the primary funding source today. Today, the organization is a recognized leader in the behavioral health field. With more than 425 full and part-time paid employees serving more than 3500 youth and adults, it is accredited by the Joint Commission on Accreditation of Healthcare Organizations, the gold seal in quality services in the healthcare organizations. The organization's mission is to assist persons with mental health care needs at any stage of life by providing comprehensive rehabilitation, treatment and supports essential for living, working, learning and participating fully in the community.

With primary funding provided by the County Mental Health/Mental Retardation program, additional funding sources include the County Office of Drug & Alcohol Abuse, Pennsylvania Office of Medical Assistance, Office of Vocational Rehabilitation, the Pennsylvania Department of Education, numerous Foundations and individuals (Report to the Community, 2005). The organization is licensed by the Department of Public Welfare and the Bureau of Drug and Alcohol Services.

#### Relevance of the Study

Research on the positive affects of values as a component of leadership on organizational efficacy and culture may reveal one primary cause or multiple causes for

the change in direction taken by this organization or in the type of culture this organization exhibits. Still, other variables such as funding issues or location may have an even greater influence on the agency's efficacy and culture. Of particular note are Fisher's (1970) thoughts on historical study that the value of history is neither inductive nor deductive but rather it is adductive reasoning, where adducing means "leading out the answer... to specific questions so that a satisfactory explanatory fit is attained." The result "may take many forms: a statistical generalization, or a narrative, or a causal model, or a motivational model, or... maybe even an analogy" (Fisher, 1970, p. xv). Research may help transform generalizations into facts concerning events that occurred at specific points throughout organizational histories. In addition, a retrospective analysis may provide data for future learning and opportunity. By examining history, one learns lessons about effective deployment of resources, methods of problem solving, marketing strategies, or outcomes of centralization or decentralization.

With regard to the importance of capturing organizational histories, Nanus (1992) remarks:

Since most of modern work-- and all of leadership takes place in organizations, it is important for future leaders to understand organizational cultures, structures, and processes: how organizations are started, how they grow, and why they decline; how decisions are made; and how information technologies are employed. (p. 184)

By studying organizational histories, we are able to pass on to new generations the leadership lessons of the past and encourage improved processes and outcomes.

In a qualitative health care study on leadership behaviors and organizational performance in which perceptions of transformational and transactional leadership were assessed, Gellis (2001) noted that:

More studies also are needed to examine the effect of leader interventions in rapidly changing health care environments, in changing work patterns, and in team performance... and suggests subsequent research might use more qualitative data collection methods, such as participant observations and focus group interviews, to further document the leadership process. (p. 24)

Change may occur simply due to the time in history. For example, there may be times during the lifespan of the non-profit organization being studied, when independence was valued and leaders embraced the pioneer spirit, in turn fostering growth. In other time periods, a collaborative value or shared leadership may be more appropriate given the economics of the times. During this time period one might see partnerships or leadership teams emerging.

#### Theoretical Framework

Every day leaders make decisions and choices which affect people's lives. To this end, it is paramount that the decisions made by leaders are ethical in nature. It is important to have a framework for evaluating those decisions, which are ultimately based on the values or character of the leader.

According to a treatise by Pfaff (1998), when one queries "What sort of person should I be?" one is in the realm of virtue-based ethical theory in that it is not the actions that are being evaluated as right or wrong but rather the character of the person doing the actions. The person then, makes moral decisions based upon their repertoire of values.

Virtue based ethical theory places much less emphasis on which rules people should follow and instead focuses on helping people develop good character traits. With moral decision making at the core, “a new approach, labeled management by values (MBV) is emerging as a strategic leadership tool” (Dolan and Garcia, 2002, p. 101). Virtue based ethical theory and strategic tools like MBV will enhance one’s understanding of the motives for behavior.

Organizational culture theory frames how people behave, more or less ethically (Sinclair, 1993). A positive cohesive culture reflecting the moral values of the leader and the followers will serve to enhance ethical behavior in the organization. Over time, these values become assumptions grounded by articulated beliefs, norms and rules of behavior (Schein, 1992). According to Sims, (2000):

An understanding of the organization’s culture is a must first step for the new leader that should quickly be followed by proactive steps to communicate an explicit position on the importance of ethical behavior that will guide the future organization. (p.74)

This research will also draw from the ageless and seminal work on organizational behavioral by Lewin (1951) which provides “a classic model of change theory that consists of three phases: (a) unfreezing, (b) movement, and (c) refreezing ” (Dirkx, Gilley and Gilley, 2004, p. 35). According to Lewin, in the first phase of *unfreezing*, organizations examine their employees’ readiness for change including their basic assumptions which are the anchors for one’s decisions. Lewin’s theory suggests that the second phase is *movement* during which change is introduced through thorough communication with the intent of educating the members of the organization. Once

change is adopted by the employees, which may take some period of time, the organization is responsible for *refreezing* the new set of behaviors, thus altering the organization's culture (Dirks, Gilley & Gilley, 2004, p. 42-43).

Citing the critical relationship between change and values Dolan and Garcia (2002) remark:

Ideally, planned organizational change should always be the consequence of strategic reflection which involves a systematic re-positioning at all levels, including, of course, at the level of beliefs and values. In reality, however, in many situations there exists a sense of urgency, coupled with lack of training and mental preparation on behalf of corporate management in formulating strategy and in managing change. The result is a poorly managed planned change process, which often leads to disappointment or even catastrophes. (p. 108)

Numerous components of leadership such as good character traits, acting ethically and consideration for where an organization lies within the change cycle, have provided a framework for analyzing the role that change, values, beliefs, timeliness, training, and strategic capabilities play in organizational leadership.

#### Limitations of the Study

There were several notable limitations of the research study. The first limitation was the mortality factor for the Chairpersons of the Board of Directors over the forty year period of time. Important testimony was lost with the deceased members of this group. Secondly, the interview guide questions, while reviewed for clarity and ease of answering by the participants, needed further definition with regard to the term, obstacle, and with regard to organizational effectiveness. Third, complete objectivity was impossible. While

every effort was made to separate fact through the use of audiotaped interviews and transcription as well as the use of field notes for separating researcher perceptions and interpretations from fact, this researcher undoubtedly brought some forms of bias to the study. In addition, the documents chosen by the researcher to detail the changes that the organization underwent, were by nature of the document, biased in favor of the organization.

## CHAPTER II REVIEW OF LITERATURE

### Introduction

This literature review will focus on three bodies of literature. The first of these is valued-based leadership (Dolan & Garcia, 2002; Finegan, 2000; Kabanoff, Waldersee & Cohen, 1995; Pozner, Kouzes & Schmidt, 1985). Secondly, is organizational efficacy which this researcher has defined as change (Bohn, 2002; Kanter, 1983; Lewin, 1951; Schein 1992). The final section of the literature review will focus on the topic of predetermined organizational culture (Hofstede, Neuijen, Ohayv & Sanders, 1990).

Leadership can be defined as a shared group process in attaining goals with consideration given to the role of the followers (Roach and Behling, 1984; Hughes, Ginnott and Curphy, 1995). Modern day writers like Northouse, (2004) reaffirm this definition of leadership as “a process whereby an individual influences a group of individuals to achieve a common goal” (p. 3). Given this definition, with its emphasis on process, leadership implies a transactional event between the leader and the follower; becoming an interactive event available to everyone (Northouse, 2004). The far reaching significance of the leader’s influential role is captured by Schein (1992), who shares that “all group learning ultimately reflects someone’s original values, someone’s sense of what ought to be as distinct from what is” (p. 19).

As defined previously, the goal of this research will be to explore the values of leaders as they relate to organizational efficacy and culture. Three bodies of literature are germane to this goal: a) values based leadership; b) organizational culture; and c) organizational efficacy. This chapter will provide a thorough review of the research

already done in these areas followed by key studies, which illuminate the relationships among leader's values, organizational change and culture.

In both the for-profit and not-for-profit sectors, citizens have been left with an aura of skepticism about leaders and big business. From Enron, Salomon Brothers and United Way to the abuse issues of the Roman Catholic Church, institutions that were previously untouchable and untainted have toppled (Sims & Brinkman, 2002). In extensive study on disillusioned Americans, Kanter and Mirvis (1989) found that nearly one-half doubt what management tells them is true; only one-third believe management has integrity and three-fourths figure that those in charge do pretty much what they want disregarding what people think. One might counter that a thorough review of these examples of wrongdoing needs to be done. However, they represent the minority in each of these sectors. It is through this process of examination that we broaden the chances of collectively renewing in our minds and hearts, what is necessary for moral leadership and its importance to our citizenry. This review of the literature on personal and organizational values with regard to leadership values, is central to the analysis of culture and organizational efficacy (Dolan & Garcia, 2002; Finegan, 2000; Kabanoff, Waldersee & Cohen, 1995; Pozner, Kouzes, & Schmidt, 1985).

With regard to organizational efficacy (OE), it is the organization's collective capacity to cope with demands, stresses, and opportunities of the daily business world (Bohn & Grafton, 2002). For some organizations it means minimally updating an annual organizational plan. For the learning organization, OE means completing complex analyses of strengths, weaknesses, opportunities and threats (SWOT) in order to fully address today's work, get it done, yet plan for both the near- and far-horizons. OE calls

for the alignment of administrative and direct care staff goals, which support the mission, values and beliefs of the organization. Through this alignment, there is both staff agreement and support to deliver the product today, tomorrow and in the future to the myriad of internal and external customers. As staff give their best in response to the leader's articulated values, there is an impact on both organizational efficacy and culture.

O'Toole (1995) explains culture as "the unique whole—the shared ideas, customs, assumptions, expectations, philosophy, traditions, mores, and values—that determines how a group of people will behave" (p. 72). Schein (1992) reaches further saying, "Culture somehow implies that rituals, climate, values, and behaviors bind together into a coherent whole. This patterning or integration is the essence of what we mean by culture" (p. 10). Individual staff members, followers, by their presence provide distinctive cultural variation. Over time organizational culture is shared among employees, volunteers, and others affiliated with the organization through writings, dialogue and stories.

#### Moral Leadership Defined

If one supports the premise that there is a lack of moral leadership in our society despite citizens desiring it, then one must describe the values that define moral leadership and then discuss how one develops those values or elements to become more virtuous. Underlying the process of people working together as a leader and followers, is an individual's set of values, a moral dimension "including showing respect for followers, being fair to others and building community" (Northouse, 2004, p. 317). Velasquez, Andre, Shanks & Meyer (2005), citing Aristotelian thinking, shares that a moral person demonstrates the following virtues: courage, temperance, generosity, self-control,

honesty, sociability, modesty, fairness and justice, and that these virtues then are paramount to successfully living in community.

On a practical level, the concept of workers having to acknowledge and relate on a daily basis to each other's concept of right and wrong in the workplace demands evaluation, risk taking, trust and ultimately action on the part of the follower before the individual value of the leader becomes a shared value or belief (Schein, 1992). Whether one is viewed as a manager or as a leader, within his/her circle of influence, is irrelevant with regard to this concept (Northouse, 2004). acknowledges considerable overlap between managers and leaders maintaining that "management traditionally focuses on the activities of planning, organizing, staffing, and controlling whereas leadership emphasizes the general influence process" (p. 11). Whether one is discussing the role of manager or leader, the values of those in charge will have an effect on those around them. When Bennis and Nanus (1985) say "Managers are people who do things right and leaders are people who do the right thing" (p.221), they define the activity of each but clearly leave out the fact that managers as well as leaders have values which may influence behaviors of others. When managers and others ascend to leadership roles the "leadership qualities most in demand, and the rarest, are those that result from the inner journey: integrity, vulnerability, awareness of the human spirit, courage in relationships, curiosity, predictability, breadth, comfort with ambiguity and presence" (Rolls, 1995, p. 105).

## Organizational Efficacy and Organizational Culture Defined

Overall, the impact that the leaders' values have on an organization and how staff carry out their work is known as organizational efficacy. A more specific definition is provided by Bohn and Grafton:

Organizational Efficacy (OE) is a generative capacity within an organization to cope effectively with the demands, challenges, stressors, and opportunities it encounters within the business environment. It exists as an aggregated judgment of an organization's individual members about their 1) sense of collective capacities; 2) sense of mission or purpose; and 3) a sense of resilience. (2002, p. 65)

In the for-profit corporate realm, this concept of OE has been well researched as well as how staff behave while they go about their work, known as organizational culture (OC). Culture of a group has been defined by Schein as:

A pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (2002, p. 12)

There is abundant information on leadership as it relates to organizational efficacy and organizational culture in business arenas, yet there is a much less information on this same topic in the non-profit world despite this sector's growth. Instead, as federal funds, which have been the mainstay of most non-profit organizations (NPO's), have been slashed, the literature reflects a focus on studies reflecting cost-cutting methods by non-profits. NPO's have found a common strategy to fight less federal funding, that of

collaboration, whether it is with other non-profits or with for-profit companies (Austin, 2000).

The significance of change to both individuals and organizations cannot be underestimated. It is the only constant there is. It is rare for anyone or any business to change in isolation. Today's global economy has forced businesses and even non-profit organizations to operate competitively. In the case of the former, companies who use a less skilled workforce overseas, can produce the same product less expensively than can businesses using United States laborers. So too, the current Administration's commitment to a strong defense budget in light of acts of terrorism, has resulted in less Federal funding for non-profit organizations to the point that even the most stable of organizations have been driven to cost-cutting measures to stay afloat (Zahradnik, 2004). Both for-profits and not-for-profits are in heated races to satisfy customers while spending less and delivering more, all indicators of change (Austin, 2000). In order to increase their competitive edge, today's organizations are transforming themselves using numerous methods such as reengineering, restructuring, quality programs, mergers and acquisitions, strategic change, and cultural change (Kotter, 1996). According to Hagner and Murphy (1989), change in human service organizations involves structural, political, human resource and ideological elements. Pivotal studies in organizational change theory will continue to shed light on this continually evolving landscape.

### *Values-based Leadership*

Values, as they relate to governing behavior or decision making, are viewed as "abstract ideas that influence thinking and action in the organization and ultimately, the choice of vision" (Nanus, 1992, p. 51). Bohn and Grafton (2002), in studying educators,

independent consultants and instructors at a large private university in the mid-west, as well as vice presidents and middle managers at a Fortune 150 Company found that the leader's behavior has an effect on the overall perception of how the organization performs. High correlations between organizational efficacy and individual leadership indicate that leader consistency in communication, track record and focus influence employee perception of overall organizational performance (Bohn & Grafton, 2002). However, an egocentric view of a single value like personal courage, is insufficient to advance organizational change. This viewpoint overlooks the important dimension of the collegial effort (Ahn, Adamson & Dombusch, 2004). The value of personal authenticity is paramount, as well is co-option with others in contrast to their being coerced by the leader.

A relatively new strategic leadership tool called Management by Values (MBV) has emerged in the literature (Dolan & Garcia, 2002). Building upon the previous concept of co-option, Dolan and Garcia (2002) share that MBV is a dialogue in a continually changing system of articulated "values, metaphors, symbols and concepts that guide the daily activity of creating value, by employees at all levels and functions" (p. 103). Numerous studies have dealt with the concept of shared values, critical elements to successful organizations (Finegan, 2000; Kabanoff, Waldersee & Cohen, 1995; Pozner, Kouzes & Schmidt, 1985).

However, two questions must be asked when reading these studies: what are good personal values and what are good organizational ones? Sergiovanni (1992) answers these questions in a circuitous way by saying "...the fundamental basis of any covenantal relationship should be moral"... and thus, a reasonable test for moral value, personally or

organizationally, is whether the value is regarded as good in and of itself rather than what it does (p. 105). In the same vein, when one queries a leader, one asks, “What sort of person should I be?” the individual is in the realm of virtue-based ethical theory in that it is not the actions that are being evaluated as right or wrong, but rather the character of the person doing the action that is being evaluated (Pfaff, 1998). Virtue based ethics places much less emphasis on which rules people should follow and instead focuses on helping people develop good character traits. For example, “arrogant, autocratic management will be punished or at least not rewarded, and leaders and managers are expected to work participatively, communicate with others honestly, and do business in an open and above board way” (London, 1999, p. 171). In addition, Gonzalez (2003) notes:

Moral virtue respects and promotes cultural diversity insofar as it promotes human growth from within the human agent, in his or her particular context.... and human beings have a natural aptitude to look for the truth in theoretical and in practical matters and therefore to acquire moral virtue. The actualization of this aptitude requires both habituation and rational instruction. (pp. 33-34)

Thus, virtue based ethical theory informs our understanding of the motives for behavior and provides a framework for evaluating those decisions which ultimately are based on the values or character of the leader. Kouzes and Posner (1995) suggest that “such a leader has a unifying set of values that guide choices of action regardless of the situation....and with integrity has one self, at home and at work, with family and with colleagues” (p. 339). It should be noted that, according to Northouse (2004), if one does not have these virtues, they can be learned through practice with guidance from one’s family and community.

### *Organizational Culture*

Culture may be defined as a dynamic grouping of assumptions, values and artifacts which when shared have meaning to a given group at a specific point in time (Ogbonna & Harris, 2002). The early study of culture in the 1970's addressed culture's role in successful Japanese companies (Hayes & Abernathy, 1980). On the heels of this pivotal study were other authors who advanced thinking about culture as central to improving organizational effectiveness (Deal & Kennedy, 1982; Peters & Waterman, 1982). These studies found evidence that organizational performance relied on existing traits, like affiliation with the customer, exhibited by the group. In the 1990's Ogbonna & Wilkinson (1990) uncovered a popular idea, that of organizational culture management in the UK retailing business from which a ten-year study was derived. More recent studies have moved beyond these ideas into linking culture and performance, which were dependent on adapting individual cultural traits in order to produce ongoing competitive advantage (Kotter & Heskett, 1992).

Complementing virtue based ethical theory is organizational culture theory in that it frames how people behave based on shared understandings of appropriate behavior in the organization (Sinclair, 1993). A positive cohesive culture reflecting the moral values of the leader and the followers will serve to enhance ethical behavior in the organization. Over time, these values become assumptions grounded by articulated beliefs, norms and rules of behavior (Schein, 1992). Culture is apparent in all organizations and businesses and in fact some cultures may be similar to others. Thus, the suggestion that culture in itself may generate competitive advantage, may not be a logical conclusion (Ogbonna & Harris, 2002).

Clark, Clark and Campbell (1992) state that there has been limited research identifying changes in organizational culture due to leadership development. They state that while studies have addressed the impact of leadership development, these studies have not specifically factored out leadership development as key in changing organizational culture. Sims (2000) also shares that “Changing an organizational culture is more difficult than developing a new one” (p. 66). When practices are working and traditions are enjoyable, there is built-in resistance to change.

According to Sims (2000) however, organizational culture can be changed. Citing Schein’s model in his research, Sims finds that when the leader embeds and reinforces new values in tandem with new policy, structure and behavior alignment and also provides concerted attention, reaction to crises, role modeling, in tandem with allocating rewards, successful change in culture does occur. This phenomenon was evident at Salomon Brothers. This example reinforces the concept that “new visions are most important when people are ready to pay attention, and they are only ready to pay attention when they are consciously or unconsciously hurting because of an accumulation of disconfirming information” (Schein, 1992, p. 301).

Kanter’s (1983) seminal work on organizational efficacy and culture is a summation of wisdom nearly 20 years after it was written and expresses the ways in which change and innovation occur:

Though innovators are diverse people in diverse circumstance, they share an integrative mode of operating which produces innovation: seeing problems not within limited categories but in terms larger than received wisdom; they make new connections, both intellectual and organizational; and they work across

boundaries, reaching beyond the limits of their own jobs-as-given. They are not rugged individualists—as in the classic stereotype of an entrepreneur—but good builders and users of teams, as even classic business creators have to be. (p. 212)

When leaders and followers think outside the boundaries of the formalized job descriptions, in line with their and the organization's values, their work, as well as the goals of the organization, become shared, inspired work.

This final section of the literature review will focus on the topic of predetermined organizational culture (Hofstede, Neuijen, Ohayv & Sanders, 1990). Culture is evident in artifacts like stories, traditions and language yet speaking to the multifaceted nature of culture, Schein (1992) defines it as:

shared learning of a given group, covering behavioral, emotional, and cognitive elements of the group members' total psychological functioning. For shared learning to occur, there must be a history of shared experience, which in turn implies some stability of membership in the group. (p. 10)

How is organizational culture linked to leadership and change? Often the leader creates his or her team, intending success, unless the group predates the new leader. In this case, one of the group's members will frequently be placed into a leadership role to deal with past, emerging and future boundary issues (Schein, 1992).

Interest in organizational culture was at its peak in the 1980's when studies were indicating that it was associated with improved performance (Deal & Kennedy, 1982; Peters & Waterman, 1982; Schwartz and Davis, 1981). Other studies have since countered this viewpoint finding that the organizational culture was deeply rooted and not a determinant of improved performance (Anthony, 1990; Legge, 1994; Willmott, 1993).

According to Ogbonna & Harris (1998), the debate on the culture-performance link involves assumptions that culture is either a variable subject to manipulation and control or culture is at the heart of the organization unable to be plied by management.

A review of these three theoretical frameworks will show what is known empirically about the effects of leader values on organizational efficacy and culture. In addition, the role that the leader's values play in the cultural milieu and how they affect change within a non-profit organization will be instructive due to the lack of study regarding impact and dynamic force of culture within a sector such as the nonprofit world (Ogbonna and Harris, 2002).

### *Organizational Efficacy*

Lewin's (1951) seminal work on change theory consisting of unfreezing, movement, and refreezing, is identical to what Schein defines as cognitive restructuring (Schein, 1992). During the unfreezing/unfrozen stage, "the change process proceeds along a number of different lines that reflect either new learning through trial and error based on scanning the environment broadly or imitation of role models based on psychological identification with the role model" (Schein, 1992, p. 301). Next, some form of movement or amount of cognitive restructuring as Schein calls it, takes place. Finally, refreezing, the term used by both, occurs:

Refreezing... refers to the necessity for the new behavior and set of cognitions to be reinforced, to produce once again confirming data....Once confirming data from important environmental sources, external stakeholders, or internal sources are produced, the new assumptions gradually stabilize until new disconfirmations start the change process all over again. (Schein, 1992, p. 302)

This process of stabilization is what Kanter (1983) calls institutionalization. During this phase, the innovation:

...must touch, must be integrated with other aspects of the organization...

Furthermore it is important that rewards change to support the new practices....Other structures and patterns also need to change to support the new practices: the flow of information, the division of responsibilities, etc.... (pp. 299-300)

Thus, the literature demonstrates through numerous research studies in the field that leadership has a direct relationship to people's perceptions of organizational efficacy (Bohn & Grafton, 2002). In addition, a myriad of literature previously cited in this chapter reinforces the concept that both leader values and leader behavior such as consistency, focus, and ethics, have a relationship with organizational efficacy. Finally, the review of the literature reflects that there is a relationship between the leader's values and organizational culture.

## CHAPTER III METHODOLOGY

### Introduction

The purpose of this research was to produce a detailed description about the phenomenon of leader values within one organization. This study provided a thick description of this phenomenon through “statements that re-create a situation and as much of its context as possible, accompanied by the meanings and intentions inherent in that situation” (Gall, Gall, & Borg, 2003). This researcher interfaced with participants whose information and experiences brought this important topic of leaders’ values forward. Relevant data from multiple sources was also collected, analyzed and coded for thematic compilation. Subsequently, these themes contained salient information which added depth to the descriptions (Gall, Gall & Borg, 2003). Since this researcher gathered extensive data, covering a period of years, from one organization, a case study approach was used.

Qualitative research, noted for its interpretive nature, was warranted because “qualitative research questions... lead us in the direction of gaining a deeper understanding” of a topic that was previously incomplete (Shank, 2002, p. 99). To more completely understand the leaders’ values over the course of 40 years, the study focused on multiple data sources, including interviews of leaders and followers, Board of Director meeting minutes, organizational newsletters, and a archival scrapbook.

### Quality of Research Design

This ethnographic case study of a non-profit Pennsylvania organization yielded information regarding the impact of values of the various leaders throughout the

organization's history on organizational efficacy and organizational culture. This researcher strove for accuracy in recording of data during the interviewing process. Several methodological controls which Merriam (1998) recommends were utilized including having a person familiar with, but not employed by the non-profit, review the data with respect to accuracy and interpretation as well as identifying specific verbal cues which if used, may influence the interviewees during the interview process. In addition, in order to enhance reliability or the trustworthiness of the study an audit trail provided extensive description of how the study was done and carefully articulated how the conclusions flowed from the data.

This researcher also placed paramount importance on the ethics involved in case study analysis. The integrity of the study was heightened through rigor in collecting, constructing and analyzing the data. Mortality of the organization's volunteers did not allow one hundred percent of the Chairpersons to be personally interviewed. So too, some interviews needed to be completed by phone due to the distance involved in reaching some individuals who have moved from the region.

#### Research Questions

This researcher posed the following research questions of the three sets of leaders, previously mentioned:

- 1) How, if at all, do the values of a leader affect organizational efficacy?
- 2) How, if at all, do the values of a leader affect the organizational culture?
- 3) What happens to organizational efficacy when there is a new leader?
- 4) What happens to organizational culture when there is a new leader?

## Context of the Study

In the early 1960's, during the Kennedy administration and subsequent Lyndon Johnson years, government funding for social programs was abundant. The 1960's saw many grassroots organizations welling up through the ideology and passion of legions of volunteers. Later an abundance of these would be incorporated into nonprofit 501 c 3, non-governmental organizations (NGO) with paid staff. Founding volunteers frequently identified talented "program people" as they were called and rewarded the star with the title, Executive Director. They knew the peoples' issues and the mission and they were successful in delivering the needed community service. Sometimes this was a proper and good fit; oftentimes it was not. It was a rarity if an NGO emulated the abundant corporate (for profit) management training programs begun in the mid 1960's to selectively groom individuals for increasingly important leadership roles.

Until the late 1970's, the program person functioning as Executive Director was able to tread water in a relatively calm sea. By the 1980's however, the tides were changing. The Federal government was beginning to shift the burden of care to nonprofit sector or NGO and along with it greater demand for NGO accountability. With this shift of responsibility there was an increased expectation, from a variety of stakeholders, of non-profit leaders regarding their effectiveness in dealing with change, government requirements, regulations, and even survival strategies in a highly competitive marketplace. Government, donors, and society at large developed expectations of outcomes, non-duplicative, gold standard programs from NGOs. The non-profit world was being told it should mimic the very best of the for profit world with little to no preparation for the leadership in achieving this task. For the last 15 years, libraries and

bookstores have been and continue to be full of best sellers on corporate leadership.

However, with the exception of Francis Hesselbein, who for years represented a national NGO, the voice of private non-profit leaders, has been quiet while responding to a perform or perish mentality.

This Pennsylvania non-profit organization, birthed by grassroots volunteers and maturing over its 40 plus years into a \$14.1 million dollar organization has weathered a sea of change. This major transformation has asked the very best from non-profit leaders with little preparation for these new leadership roles. Yet the story of its leaders has never been told. By sharing this segment of history, we may better judge progress, bring forward truth and illuminate meaningful differences and similarities among non-profit organizations.

#### Participants of the Study

A purposive sample from this organization was selected since this investigator wanted “to discover, understand, and gain insight and therefore must select a sample from which the most can be learned” (Merriam, 1998). Using a case study approach, one-on-one semi-structured interviews were completed with each of the following: (1) leaders, defined as Executive Directors; (2) volunteer Chairpersons of the Board of Directors; (3) random sample of the members of the Leadership Council. Each of these was a unit of analysis. This researcher gathered raw data from these three identified groups and simultaneously looked for patterns and themes that surfaced among the numerous interviews. According to Gall, Gall and Borg, (2003) once organized, these patterns which were attached to data led to emergent themes. All participants were

informed that their participation in the study was optional and no penalty accrued for any individual who chose not to participate.

By engaging these participants, it was this researcher's intent to: a) inform the literature by eliciting information needed to more fully understand the phenomenon of the leaders' values as they faced changing environments (e.g. what was going on in the leader's head and heart while society and the organization were changing and concurrently what was going on in the heads and hearts of the staff and Board); b) contribute different perspectives from various sub-groups (staff and volunteers) which may illuminate themes which will distill thinking about leaders impact on their staff and organization; and c) make effective use of the time available for data collection. An interview guide was utilized. (Appendix A).

Stake (1998) contends, "The purpose of case study is not to represent the world, but to represent the case" (p. 104). Thus, this researcher's focus on the non-profit organization was to shed light on the phenomenon of the effects of leaders' values on organizational change and culture. Hodder (1994), shares:

An advantage of material evidence is that it can continually be returned to, unexcavated parts of sites excavated and old trenches dug out and reexamined...the interpreter learns from the experience of material remains—the data and the interpreter bring each other into existence in dialectical fashion. (p. 401)

During the course of doing research, this researcher became what Denzin and Lincoln (2002) called a bricoleur, in that "research is an interactive process shaped by [one's] personal history, biography, gender, social class, race and ethnicity, and those of

the people in the setting” (p. 4). Referring to the product that is shared “the bricoleur’s labor is a bricolage, a complex, dense, reflexive, collage like creation that represents the researcher’s images, understandings, and interpretations of the world or phenomenon under analysis” (p. 4).

Shank (2002) reveals that the ethnographic lens allows the researcher “to see the world from their cultural perspective, and to understand the meanings in their rituals, cultural artifact, and activities” (p. 56). Gilchrist and Williams (1999) process of cultivating key informants will be welcomed as the researcher has a genuine interest both in lifelong learning and in others.

#### Ethical Implications

To preserve ethical integrity, the purpose of the study and its parameters and boundaries were explained to all participants. Confidentiality of individual responses was paramount. All information was maintained in a locked file cabinet. In addition, this researcher continually examined her values and experiences in order to create an awareness of how these may influence the interpretation of the data. The issue of gaining entry to the circle of participants was eased because the researcher served 13 years with the organization.

#### Data Collection

Triangulation was used to operationalize Shank’s notion (2002) that data guides the findings. He defined this validation strategy in the following way:

Triangulation is the process of converging on a particular finding by using different sorts of data and data-gathering strategies. Each set of data or strategy,

on its own, might not be strong enough to support the finding. When these different ‘strands’ are taken together, though, there is stronger evidence for the finding. (pp. 134-135)

The data collection called for one-on-one interviews of the participants using a semi-structured interview guide developed by the researcher. Each interview was audio-taped and transcribed in addition to the researcher compiling notes on facts for analysis and emerging themes. The tape recordings and transcriptions were secured in a locked cabinet for confidentiality. Field notes were compiled using a divided notebook format to facilitate descriptive information and analytical notations on themes.

Numerous records, such as organizational meeting minutes of the Board of Directors, were collated and analyzed for historical significance. Hodder (2004) shares that records such as these are different from documents in that documents are prepared for personal rather than official reasons and include items like memos, letters, field notes, and so on. “Documents, closer to speech, require more contextualized interpretation” (Hodder, 2004, p. 393). Other documents such as an archival period scrapbook and organizational newsletter, also informed the study. Primary and secondary research helped to transform generalizations into facts concerning events that occurred at specific points in the organization’s history.

On November 23, 2005 this researcher sent a letter of introduction which reviewed the proposed research topic along with their potential role in the research study and enclosed two copies of the “Consent to Participate” form to each of the full time Executive Directors (ED) and to all 15 of the surviving Presidents/Chairpersons of the organization’s Board of Directors (BOD). This investigator also enclosed a self-

addressed, stamped return envelope for return of the signed Consent to Participate form (Appendix B).

Appointments were then established for interviews for the following leaders: Executive Directors, Presidents/Chairpersons of the volunteer Board of Directors. On December 5, 2005 a second letter of invitation was sent to another leadership group within the organization—the leadership council. Its purpose was to introduce the idea of their potential participation through a random sample. Those members who replied affirmatively were listed alphabetically for the random sample. Twenty-three interviews were conducted between December 6, 2005 and January 13, 2006. This researcher conducted one-on-one semi-structured interviews with 12 full time staff and 11 volunteers. She interviewed three of the four, or 75% of the full-time Executive Directors (ED) since 1965; 11 of the 15 chairpersons, or 79% of the surviving Chairpersons of the Board of Directors (BOD) and a random sample, nine of the 17 who agreed to participate from the 23-member leadership council (LC). Specifically, using an alphabetical listing drawn from the committee's roster, every other member of the organization's 2005 leadership team was designated for inclusion in the study, beginning with the first person. The interviews of three of the EDs and eight of the nine LC, as well as 11 of the 15 Chairpersons, were done in person. One LC interview and three BOD interviews were done by telephone due to death of a family member and distance on the part of the interviewees. All 23 of the interviews were audio-taped for transcription. The researcher also established a set of documented field notes completed either during the interview or the evening of the interview(s), comprised of observations and insights. There were

several instances in which this researcher read her notes to an interviewee to check the accuracy.

The transcription process was completed by a third party using audiotapes as the source. Following receipt of the transcribed interview, this researcher applied pseudonyms to all references to individual names and/or organizations, according to confidentiality conditions stated in the consent to participate form.

Concurrent with the interviews, the researcher conducted an extensive review of documents. These included an archival scrapbook maintained by the founding volunteers from 1959 to 1977; recorded minutes of the board of directors the non-profit organization since its incorporation in 1964 through 2005; and official newsletters of the organization from July 1985 through 2005.

The original archival scrapbook, compiled by a volunteer, contained newspaper clippings from a local newspaper, newsletters, photographs, and advisory board minutes. The artifacts were transferred to CD ROM drive in order to preserve their historical integrity. The earliest recordings were the minutes of the initial workshop held in 1959 to explore the creation of a potential organizational structure to address the needs of recovering mental patients in Pennsylvania.

The organization's newsletter was originally published quarterly in July, October, January and April with 49 hard copies available to this researcher for review extending from July 1985 and ending February 1998. Beginning in August of 1998, the newsletter was published three times annually through 2003 and from 2004 through 2005, the organization published bi-annual newsletters, all of which have been included in this

research study. All copies of the minutes of the organization's Board of Directors were available for review.

Three colors of marker were used to separate the responses of the EDs , BOD and LC by time period. A yellow marker was used to highlight testimony referring to the time period 1965 – 1969. Green was used from 1969- 1973. Blue highlighter recorded insights referring to 1973 to 1997 and pink was used from 1997 through 2005. Responses were first coded for ED. Next all answers to the question 1 through question 14 of the interview guide were collated for the EDs. Subsequent to this, the same collating procedure was used to group the responses of the BOD and finally to group the random sample of the LC.

Patterns were identified through consistency of testimony among the three groups: EDs, BOD and LC. These patterns were recorded on a summary sheet for each of the identified groups. From these summary sheets, the researcher created several templates for visually depicting the emerging themes. These visual representations assisted the researcher in capturing the macro relationships as well as the relationships of each of the member groups with the others. They were also key in discovering and defining where an abundance of information existed as compared to where there was a need for more analysis of the data.

Table 1 is a visual depiction of organizing the relationships among the information contained in the literature review, the research questions asked by this researcher and the methods of data collection. It was helpful to the researcher as she looked at both process and content with regard to the study.

Table 1

*Literature Review, Research Questions, and Data Collection Methods.*

<b>Research Question #1:</b>	
How, if at all, do the values of a leader affect organization efficacy?	
<b>Conceptual Themes</b>	<b>Citation in Literature</b>
Value-based leadership	Bohn, 2002; Schein, 2002; Austin, 2000; Kotter, 1996; Nanus, 1992; Hagner & Murphy, 1989; Bohn & Grafton, 2002; Ahn, Adamson & Dombusch, 2004; Finegan, 2000; Kabanoff, Waldersee & Cohen, 1995; Pozner, Kouzes & Schmidt, 1995; Sergiovanni, 1992
Management by values (MBV)	Dolan & Garcia, 2002
Leader immorality	Sims & Brinkman, 2002; Kanter & Mirvis, 1989
<b>Data Collection</b>	
<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Minutes of the BOD</li> <li>• Newsletters</li> <li>• Archival Scrapbook</li> </ul>	<p><b>Interview Questions:</b></p> <ul style="list-style-type: none"> <li>• What did you think needed to be done to carry out (the) mission?</li> <li>• What did you see as your role in helping fulfill the mission?</li> <li>• Do you feel that the leaders' values have impacted the organization?</li> <li>• Every organization has stakeholders. These are key people who help to see that the organization succeeds. Can you describe the values of your primary stakeholders?</li> <li>• Every organization has a vision of what it wants to be. The organization then tries to be effective in carrying out the vision. How effective has the organization been in carrying out its mission? What has helped it be as effective as it is? What obstacles have stood in its way of being as effective as it could be? (RQ1, RQ3)</li> <li>• How have changes in leadership affected its ability to accomplish its mission? (RQ3)</li> </ul>

Table 1 (continued)

*Literature Review, Research Questions, and Data Collection Methods.*

<b>Research Question #2 :</b>	
How, if at all, do the values of a leader affect the organizational culture?	
<b>Conceptual Themes</b>	<b>Citation in Literature</b>
Organizational culture theory	Anthony, 1990; Kegge, 1994; Wilmott, 1993;
Predetermined organizational culture	Ogbanna & Harris, 2002; O'Toole, 1995
Inner journey characteristics	Hofstede, Neuijen, Ohayv, & Sanders,1990 Rolls, 1995
<b>Data Collection</b>	
<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Minutes of the BOD</li> <li>• Newsletters</li> <li>• Archival Scrapbook</li> </ul>	<p><b>Interview Questions:</b></p> <ul style="list-style-type: none"> <li>• What was the atmosphere like as you began working?</li> <li>• Do you feel the leaders' values have impacted it? Explain how.</li> <li>• What is the biggest influence on the culture of the organization?</li> <li>• Every organization has a vision of what it wants to be. The organization then tries to be effective in carrying out that vision. How effective has it been in carrying out its mission? What has helped it be as effective as it is? What obstacles have stood in its way of being as effective as it could be?(RQ1, RQ3)</li> </ul> <p>How have changes in leadership affected' its ability to accomplish its mission? (RQ3)</p>

Table 1 (continued)

*Literature Review, Research Questions, and Data Collection Methods.*

<b>Research Question #3:</b>	
What happens to organizational efficacy when there is a new leader?	
<b>Conceptual Themes</b>	<b>Citation in Literature</b>
Organizational change theory Leadership as transactional event	Lewin, 1951; Bohn & Grafton, 2002 Northouse, 2004; O'Toole, 1995
<b>Data Collection</b>	
<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Minutes of the BOD</li> <li>• Newsletters</li> <li>• Archival Scrapbook</li> </ul>	<p><b>Interview Questions:</b></p> <ul style="list-style-type: none"> <li>• What did you think needed to be done to carry out the mission?</li> <li>• What did you see as your role in helping fulfill the mission?</li> <li>• Every organization has stakeholders. These are key people who help to see that the organization succeeds. Can you describe the values of your primary stakeholders?</li> <li>• What is the biggest influence on the culture of the organization?</li> <li>• Every organization has a vision of what it wants to be. The organization then tries to be effective in carrying out that vision. How effective has it been in carrying out its mission? What has helped it be as effective as it is? What obstacles have stood in its way of being as effective as it could be?(RQ1, RQ3) How have changes in leadership affected the organization's ability to accomplish its mission? (RQ3)</li> </ul>

Table 1 (continued)

*Literature Review, Research Questions, and Data Collection Methods.*

<b>Research Question #4:</b>	
What happens to organizational culture when there is a new leader?	
<b>Conceptual Themes</b>	<b>Citation in Literature</b>
Virtue-based ethical theory	Pfaff, 1998; Sims, 2000; Dolan & Garcia, 2002; Velasquez 1992
Organizational culture theory	Deal & Kennedy, 1982; Peters & Waterman, 1982; Ogbanna & Wilkunson, 1990; Schein, 1992; Clark, Clark & Campbell, 1992
Culture in relation to efficacy	Schwartz & Davis, 1981; Ogbonna & Harris, 2002
<b>Data Collection</b>	
<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Minutes of the BOD</li> <li>• Newsletters</li> <li>• Archival Scrapbook</li> </ul>	<p><b>Interview Questions:</b></p> <ul style="list-style-type: none"> <li>• What was the atmosphere like as you began working?</li> <li>• What is the biggest influence on the culture of the organization?</li> <li>• Every organization has a vision of what it wants to be. The organization then tries to be effective in carrying out the vision. How effective has it been in carrying out its mission? What has helped it be as effective as it is? What obstacles have stood in its way of being as effective as it could be?(RQ1, RQ3) How have changes in leadership affected its ability to accomplish its mission? (RQ3)</li> </ul>

Finally, this researcher has enumerated the criteria for assessing the quality of the research design. Altheide and Johnson, (1994), speak to the credibility of an interpretive claim through numerous safeguards: usefulness; contextual completeness; researcher

positioning; reporting style; triangulation; member checking; outlier analysis; representativeness check; and coding check.

Since this researcher was in the role of the interpreter of what is seen, heard and experienced, the criterion of objectivity will be nullified and instead, this interpretive research will be evaluated by the criterion of *usefulness* providing enlightenment to those who read it (Gall, Gall, and Borg, 2003). Thick description and convincing analysis will assist readers in judging how applicable the research is to individual settings. To further the understanding by the readers, this case study will be set within a *context*. According to Altheide and Johnson (1994), the phenomena being investigated should be contextually complete. Dependability is accomplished by thoroughly documenting the following contextual features: history, physical setting, and environment; number of participants; activities, schedules and order of events; division of labor; routines and variations from them; significant events and their origins and consequences; members perceptions and meanings, social rules and basic patterns of order. *Multivocality*, defined by these authors as participants having diverse points of view rather than speaking with a unified voice, provided for increased researcher credibility.

*Researcher positioning* also heightened credibility (Gall, Gall & Borg, 2003). This researcher was sensitive to her role of observer in the midst of various levels of staff and volunteers and in fact, even sought out uninvolved colleagues to review and provide feedback to the themes. So too, colleagues were also helpful to this researcher in reviewing this researcher's *reporting style*, helping to reinforce readability.

By using *triangulation* through multiple sources of data and data collection methods, this researcher sought to validate the case study by securing consistent,

corroborating evidence. If inconsistencies were found, this researcher’s challenge was to provide an alternative explanation for the phenomenon. This process resulted in authentic diversity regarding the research.

Table 2 describes the process for data gathering concurrent with the interview process.

Table 2

*Investigator, Data Collection Method and Timing*

	Data Collected	When Data was Collected
Primary Investigator	Minutes of the Board of Directors	Read Monday, Wednesday and Friday in November and December for two hours daily
	Archival Scrapbook	Reviewed Tuesdays during November for two hours daily Reviewed
	Organization Newsletters	Thursdays during November and December for two hours daily
Third Party from outside	One-on-one Interviews	December 6, 2005 through January 13, 2006
	Random selection of leadership council volunteers	First week of December

While all of these characteristics help to ensure quality of the case study method, Merriam sums up the essence of the ethnographic study by saying “ethnography is not defined by how data are collected, but rather by the lens through which they are interpreted” (p. 9).

Each of the methods of data collection were purposefully chosen in order to provide the most comprehensive and credible case study. The data was gathered until such time as it became obvious that no further relevant information was forthcoming. In addition this researcher committed to holding no particular viewpoint, but rather was devoted to representing a range of different realities which informed the readers of the phenomenon of leaders’ values and their relationship with organizational change and culture. This dedication to authenticity was tempered by the awareness that research studies represent a temporary consensus on what is considered true (Seale, 2002).

## CHAPTER IV

### RESULTS

#### Introduction

This ethnographic study of a Pennsylvania non-profit organization serving persons with mental health care needs was executed to address the following research questions:

1. How, if at all, do the values of a leader affect organizational efficacy?
2. How, if at all, do the values of a leader affect the organizational culture of the organization?
3. What happens to organizational efficacy when there is a new leader?
4. What happens to organizational culture when there is a new leader?

These research questions were designed to explore leader values and their relationship to organizational culture and efficacy. Data was collected from numerous sources including, twenty three one-on-one interviews, minutes of the organization's Board of Directors over a forty plus year period of time, twenty years of organizational newsletters and an archival scrapbook focused on the early beginnings of the organization.

This chapter is organized by research question and corresponding emergent themes elicited through extensive data collection as discussed in Chapter Three along with subsequent analysis. This section of the chapter addresses the emergent themes from the participant interviews, minutes of the Board of Directors, organizational newsletters from 1985 through 2005, and newspaper articles from an archival scrapbook from the organization's inception through 1970, for each of the research questions as they relate to the four full-time Executive Directors, three of whom were interviewed.

In addition to audiotapes of the interviews, observations of how people responded to the interview guide questions were recorded in field notes. The voices of the culture-sharing leaders were recorded from an emic perspective (Fraenkel and Wallen, 2003). Patterns emerged by employing rigor throughout the study, paying particular attention to the participants' testimony and using data triangulation. Eight major themes in relation to the four research questions have emerged through analysis of the multiple data sources:

a) *External customer relationships contribute to change*; b) *Appointed leaders' values not sole determinant for change*; c) *Leaders' modeling of values promotes change*; d) *Leaders' effectiveness enhances organizational culture and change*; e) *Care and respect for client and community*; f) *Honesty and dedication to mission*; g) *Funding challenges are not an obstacle to efficacy*; and h) *Congruency of values between leaders and followers key to morale and culture*.

#### Theories in Relation to the Research Questions

The research questions for this study were designed to explore leaders' values as they relate to organizational culture and organizational change in a Pennsylvania non-profit organization throughout its forty-four year history. The participants in this study included two of the past full-time executive directors (ED) and one current ED of the PA non-profit organization whose tenures spanned from 1965 to present day. Each question with corresponding themes will be discussed in depth.

Research question one asks, "How, if at all, do the values of a leader affect organizational efficacy?" The following themes have emerged in relation to this question:

a) *External customer relationships contribute to change*; b) *Appointed leaders' values not*

*sole determinant for change; c) Funding challenges are not an obstacle to efficacy; d) Leaders' modeling of values promotes change; and e) Leaders' effectiveness enhances organizational culture and change.*

#### Executive Director- W (ED - W) and Virtue Based Ethical Theory

Virtue-based ethical theory will elucidate how a leader's character, comprised of values, will guide choices of action regardless of the dynamics of a particular situation (Kouzes and Posner, 1995). The following direct testimony as well as that given by others on the values of the four full-time executive directors is accompanied by testimony on the same topic from the Executive Director's (ED) counterparts: Chairpersons of the Board of Directors (BOD) and leadership council (LC) members as well as from the documents previously discussed.

From ED - W's testimony in his interview, it is evident that he is grounded in doing what is right and expressing it by demonstrating the utmost respect for the essence of all people regardless of their status or disability. ED – W states during the interview,

I am a caring person, concerned about individuals and the community...I wanted to insure that the volunteers were effective in what they were doing and continue to organize activities and provide an atmosphere where people could function socially... and in a wholesome way.

The organization's archival scrapbook contains four photos of ED-W in social and athletic activities helping to facilitate interaction between clients and volunteers, a testament to his caring personality and commitment to service. One photo dated Feb. 23, 1966 shows ED-W at valentine party talking with volunteers and clients around punch bowl. A second is a photo of ED dated June, 1966, holding a badminton racket at a

Peninsula picnic with volunteers and clients. A third photo dated Nov. 1967, shows ED-W addressing volunteers and clients at an event titled “Thanksgiving Feast.” The fourth photo of February 13, 1966 captures the “Troubadours,” and a variety show juggler, along with a tap dancer on roller skates. So too do the organizational Board minutes capture the socialization-related functions including an Open House with Board Volunteers (1966, March 23, p. 49); Picnic Plans (1966, May 11, p. 53); and Staffing Pattern Changes to a Full-time Therapeutic Activities Worker (1966, June 6, p. 86).

A Board member during ED - W’s tenure described his perceptions of the ED’s values by saying, “He was dedicated. He was running what later became known as daycare, but it was sort of group therapy type things, to keep people interested and get them out of their shell.” And from another BOD, “they (the clients) were housebound and one of our missions was to get them out in the community.”

Time after time, this ED was commended by Board Chairpersons for using his sense of compassion and wholesome, healthy nature to help make a difference in this growing program serving increasing numbers of the persons with disabilities.

#### Executive Director (ED – X) and Change Theory

ED - X was unable to be located for an interview due to an unpublished phone listing and mail marked “return to sender” and “no known forwarding address.” His tenure however, illustrates the principles of Change Theory, a classic model of organizational behavior that ED – X relied upon with regard to the three phases of instituting change which were defined as unfreezing, movement, and refreezing (Lewin, 1951). He accomplished dramatic growth in the organization’s role of addressing the

variety of patients needs as they were coming to the organization, particularly with regard to their housing and therapy options.

The following testimony shows a shift from the virtues-based tenure of ED –W to one which illustrates the importance given to command and control type values with regard to organizational efficacy. A shift in values is noted across all data collected which included interviews from a Leadership Council (LC) member, a Chairperson of the Board of Directors (BOD) and an ED who earlier in his career had worked for the ED-X.

Documents corroborated the interview information on values. The LC member shared, “There was a lot of slippage of boundaries, because it was more family-like. He would have the staff wash his car, have maintenance staff work on his house.” During the ED-X’s tenure, the BOD Chairperson described him in the following way:

I thought he was brilliant. Not a typical sit-in-the-office guy. You knew exactly where he stood. We were emptying asylums. The mental health consumer was no threat. Instead of these folks being on the street the organization expanded and it needed a strong business executive.

An Executive Director at the organization, who worked for ED- X many years ago, stated, “He was smart, creative, but brusque and adversarial, running the organization truly like a business.”

Specific articles from the only local newspaper and photos saved by the founding organizational members in the Archival Scrapbook, which extends in its coverage only to the end of his term, reinforced this Executive Director’s commitment to action and a business mode of operation. These articles all clipped from the newspaper and placed in the scrapbook included “Check Presentation from South Erie Lions Club” (1970, June 28,

p. 79), “Organization Given Currick Award at Brotherhood Dinner in Temple” (1969, February, p. 68), “Organization Names Executive Director” (1970, p. 86); and “Organization Elects New Officers” (1971, January p. 83).

Minutes of the Board of Directors during ED – X’s tenure had many references to business-based values and changes in the way the organization did business, some of which are respresented in the following topics, “Commercial Bank Loans Explored” (1969, February 9, p. 99), “Application for Model Cities Funds” (1969, August 7, p. 115), “Cooperative Working Relationship with Business and Industry” (1970, January 8, p. 2), “Request for Compensation to Administer and Consult on Drug Program (1971, August 23, p. 175), and “Tour of Dr. William Beach, Jr., PA Secretary of MH & Medical Services” (1974, December 13, p. 229).

#### Executive Director (ED – Y) and Change Theory

Research question one, “How, if at all, do the values of a leader affect organizational Efficacy?” is addressed in both the interviews and documents. However, the archival scrapbook does not cover this leader’s tenure. ED – Y was hired as the appointed leader, from within the organization, at a time when the organization was enduring the after affects of ED- Xs “brusque and adversarial” ways.

The values which the Executive Director (ED – Y) held were expressed in the following statement from the interview, “No one thing or role defines me. Rather, know thyself...the self exploration has been intense. I’m still a learner ... you need to make it (the organization) customer oriented...yet the times were bureaucratic and political.” These self-descriptive comments by ED - Y were substantiated through the

following reflections by five different BOD Chairpersons in their interviews. The first noted, “More of an academic than a leader, he could conceptualize things.” Another stated, “He was contemplative. Sort of a caretaker, a bridge after the aggressive, political and controversial one, the one you got out of his way for as he was a larger than life leader.” The third said, “Probably an individual who could think of things that maybe I couldn’t even begin to.” Another mentioned, “While dysfunctional, he was quite a visionary ... and was always bringing these ideas back to the organization.” And the fifth Chairperson related, “All the leaders were creating this umbrella above which all this dysfunction was happening... and it was becoming harder and harder for them to do their own jobs, when they felt that they were not appreciated and, in fact not only were they not appreciated—they were being mistreated.”

A member of LC who worked with ED - Y, said in an interview, “It almost seemed ... there was almost a fear of putting people in positions of authority who might challenge authority, who might want to do something different.” Another said,

People were not comfortable in their jobs or happy in their jobs and did not have a feeling of autonomy that perhaps they feel they have today. They did not feel they had the ability to screw up and use it as a learning tool, as opposed to having it as something that is held over their head.

The Minutes of the Board of Directors indicated that a number of staff other than the ED as well as members of the Board of Directors played major leadership roles during this leader’s tenure. This information is inferred from these excerpts, “Public Relation Committee as Ambassadors for Community Outreach” (1980, June 20, p. 39); “Reorganization of Board Committees for Leadership with JCAHO” (1978, June 16, p.

214); “(Staff) Provides Leadership for Specialized Housing with Domiciliary Care and Housing and Urban Development (HUD)” (1979, April 20, p. 270); “(Staff) Provides Leadership for Management/Union Negotiations” (1980, August 15, p. 51); “(Staff) Provides Leadership for Vocational Rehabilitation Initiatives” (1981, March 20, p. 101); “Transfer of Information to the Community” (1985, May 24, p. 56); and “Two staff Introduced in Charge of Public Relations and Fund Raising” (1978, April 21, p. 201).

The Change Theory model has an ideal planful progression from one phase to the next. However, as ED – Y assumed leadership, there was a sense of urgency to move quickly to solve problems created in the last ED’s tenure. From his own testimony and that of others during their interviews, ED –Y’s problem solving approach to crisis reaffirmed an outcome oriented, command and control focus which endured throughout his tenure. He chose to delegate the virtue-based, people oriented functions to others.

#### Executive Director Z (ED–Z) Virtue-Based Ethical and Organizational Behavior Theories in Relation to Change Theory

Finally information was surfaced with regard to ED – Z and research question one, “How, if at all, do the values of a leader affect organizational efficacy?” In his interview, he readily said,

I value gratitude, a giving back as you have been given to; it’s a mission of people serving people. There is no better job than engaging people who see holes in themselves and you reaffirm their wholeness. To create possibilities for people...it’s a time of transferring responsibility, talking about truth, listening.

Corroborating these thoughts in his interview was a BOD Chairperson when he said,

More than debate and dialogue occurs throughout the organization. There

is an example from the top of truly trying to listen and understand various points of view and assimilate the best outcome where possible, from different points of view and different ways of approaching various problems or situations. One of the things, too, that I'd say that exists is an action orientation. Here there is that open environment...and that expectation comes from the top and has filtered down throughout the organization.

A LC member reflects, "I keep coming back to collaborative. I think that decisions are not made in the back room by one or two people. Key decisions in the organization are made by consensus of a group." Another says,

The most important thing based on my experiences in other places I've been in and here is that it is the first place where the leadership really does walk the walk and talk the talk. Where we say we're this kind of an organization and we say it to everybody outside and we say it to everybody inside and that's what we are.

We're honest. We work hard. We tell the truth. ... I think the leadership sets the pace, that there is a lot of integrity and that you can trust the people you work with here. You know it's a very safe place to be, as long as you hold the ideals and principles of the agency, which is not difficult to do.

A number of organizational newsletter article titles appearing on the cover of the publication during the tenure of ED-Z detail the open, honest and respectful nature of this ED and its affect on the organization. Samples of these include, "Head of Education Division Wants Organizational Mission Free of Semantic Cobwebs" (2002, Winter); "Mental Health Messages Have Major Community Impact" (2005, Summer); "New Executive Director Brings Energy, Commitment to Organization" (1998, August);

“Organization Expands Outpatient Services to Crawford County” (2003, Winter);  
 “Organizations Form New Opportunities... Innovative Program Created” (2004, Spring);  
 “Organization Hosts National Conference in Erie” (2004, Fall); “Outpatient Clinic Opens  
 Doors in Grand Style” (2000, Winter); “Program Makes Every Day “Independence Day”  
 for Clients” (2002, Summer).

The following roster of topics from the Minutes of the Board of Directors during ED-Z’s tenure provide insight into the collaborative and service-based values which contributed to organizational efficacy during this leader’s tenure: Affiliation Agreement & Named Legacy Society for Planned Gifting (2003, May 31, p. 5); Board Retreat Review: New Model of Board/Staff Working Teams (1998, February 27, p. 4); Credentialing of On-site Physicians, Psychiatrists (1999, May 28, p. 2); Executive Director Communications; Radio and TV Spots (2000, September 27, p. 5); Fairweather Lodge Luncheon & Tour; Second Lodge Based on Successes (2000, November 17, p. 2); Feasibility Study Report; Community Interviews (2003, July 25, p. 4); Joint Ventures & Employee Assistance Program (2003, September 26, p. 3); Leadership Council’s Strategic Planning Committee; (2004, January, 28, p. 2); Marketing: TV/Annual Report to Community (2004, July 30, p. 5); National Conference Planning (2004, March 26, p. 2); Schizophrenic Relapse Predictor Project: Research on Predictor Tool (2001, November 3, p. 4).

#### External Customer Relationships Contribute to Change

An ever-present theme throughout the entire organization’s history is that of *external customer relationships contribute to change*. This theme is paramount to the first research question which asks, “How, if at all, do the values of the researcher relate to

organizational efficacy?” The three EDs who were available to be interviewed provided their testimony with ED-W saying, “Everyone had the clients, the primary stakeholders’ best interest going at their heart.” ED-Y remarked, “In nonprofits you have many customers but the key is harmonizing the various customers.” ED-Z shared, “The primary stakeholders are the clients and their families. There can be no compromise. [There must be] the sense that nothing matters except this phone call. Nothing matters except this person. Nothing should eclipse that.” All three of the ED’s noted the significance of external customers and the interactive nature of these relationships during their tenure.

Thoughts about the importance of relationships from BOD Chairpersons’ perspectives included, “We had some newspaper articles, but not a lot, but wherever we went, and I spoke about the organization to the community groups, trying to drum up interest, I think we were well respected.” Another said, “The client voice on the Board and elsewhere helps keep us grounded, in serving our mission. We’re here to serve those clients and indirectly we also serve their families because we serve those loved ones.” And from a third BOD Chairperson, “The county funding source wanted expanded services for which they would pay. Client needs and funding from the county and possibly managed care needed to mesh.”

A LC member also reflected on the importance of relationships, by saying, I think that all the stakeholders, the state, the Board, the County and I’d roll into that other providers of other services in the county, are also stakeholders and I think that their view has always been to serve the disabled. I don’t think that has ever changed.

Another shared,

I think of major donors. I think of minor donors. I think of other providers in the county that network with us...the county agencies that fund us and give us money and the state agencies. You know politicians that sit there and say, ‘All right, is this something that I can support or not?’

And another remarked,

You almost want to liken it at some times to an alumni association, because there’s so many people in the community who may not themselves have been through programming, but you’re probably hard pressed to find anyone who lives in the area who doesn’t know someone, a family member, a friend, a neighbor, who has been able to benefit from something that this organization has done and I think you really have to consider all those people as stakeholders, because when push comes to shove, that’s what they’re going to remember.

Accounts from the organizational newsletter chronicle the relevance of relationships with regard to organizational efficacy. Articles suggestive of change include, “Agency Enters in Arrangement with GECAC” (2001, Summer, p. 1); “Collaboration on the Community Level” (1992, October, p. 1); “Endowment Partnership with Erie Community Foundation” (2003, Spring, p. 3); “Hats Off to Lowe’s Home Improvement Center” (1995, November, p. 6); “Insuring the Future Through Endowment” (1991, October, p. 1); “Jewish Council Finds Agency” (1985, July, p. 4); “Sheriff’s Department Shares Expertise with Staff” (1999, Winter, Back Cover); “Stairways Stresses Family Involvement” (1995, September, p. 1); “The Nineties: A Time for Relationships” (1992, April, p. 1).

Referring to relationship building were the Board of Director minutes which highlighted a number of instances such as the National Council of Jewish Women financing discussion (1964, August 19, p. 32); United Fund financing (1966, January 12, p. 47); United Fund allocations committee budget request for aftercare via transitional living services (1968, September, p. 89); County MH/MR funding (1969, July 3, p. 113); Placement of W, X, Y, and Z interns (1971, May 13, p. 170); Contract with Bureau of Vocational Rehabilitation (1977, February 11, p.123); Sertoma Funds (1980, June 20 p. 41); Executive Director Report: Client Assistance Fund Use (1986, March 21, p. 106); Executive Director Report: year end county MH/MR funding for inpatient diversion unit needs (1990, June, p. 300); and Program report: drug & alcohol unit participating in the county drug & alcohol coalition (1994, April 29, p. 276).

Information drawn from multiple data sources indicated a blending of virtue based ethical theory, reflective of the ED's character and values, along with a framework of organizational culture theory in which the moral values of both the leader and followers served to guide organizational behavior (Schein, 1992).

#### Appointed Leaders Values Not Sole Determinant for Change

Another theme that had a niche in each of the ED tenures, each for very different reasons, was that of appointed leaders' values not being the sole determinant for change. Several board members had diverse viewpoints on this topic. One shared, "The ED's values influence has been stronger over the last few years. In addition though, it is not just the ED. On the Board we see it in senior staff with their leadership on various initiatives." Another felt strongly about the ability to try new initiatives in an environment of support for creatively approaching new initiatives stating,

You have to create an environment in which people are free to take risks, be held accountable for the results, but not be afraid of failure. We have to celebrate...you know, we create a culture where we celebrate the successes. We look at and improve where there are shortcomings. We're not afraid to look at here we fall short of the mark of where we want to be... a culture where we communicate fully and honestly. You know, not just the ED, but the ED and the staff, the middle managers, everybody needs to want to and try to create that kind of environment. It's not a paint-by-numbers. It's a living of values.

Finally, another member of LC shares an alternate perspective stating, "People are playing various leadership roles. We have obtained more funding from a variety of different sources and I think we're also been able to provide different programs."

#### Funding Challenges Are Not Seen by All as an Obstacle to Efficacy

The theme stating that *funding challenges are not an obstacle to efficacy* relates to two of the study's research questions, "How if at all, do the values of the leader affect organizational efficacy?" and the second research question, "What happens to organizational efficacy when there is a new leader?" To address the first research question, Chairpersons of the BOD and LC members most often cited funding as a challenge, while not insurmountable nor a real obstacle to change. A "can do" attitude prevailed as a BOD Chairperson shared,

Well, we had a money obstacle.... But we certainly did our best and we did have community financial support. Well, if we needed something I never found a time when we couldn't get it. We were careful over the years to make sure we had

people on the board that had contacts in the community. [They had] contacts and support.

Another BOD member said “The obvious obstacle is funding. Constantly looking for grants.” With great passion a third Chairperson of the BOD remarked,

The state doesn’t provide adequate increases to keep up with inflation for paying our professionals what they deserve and what they are worth. Well, do we sit back and wring our hands? No. We get involved down in Harrisburg and we publicize the inequities of the situation and push for change. And despite budgetary cutbacks or limited funding, how can we continue to be successful? How can we change and adapt with the resources that we have? So there’s no insurmountable obstacle.

A LC member articulated, “We need to have the resources follow us.” Another member made a case for the creativity of the staff by saying:

The ability to take a \$400,000 reduction in our funding level and be able to say to our staff, okay, let’s not cry too much about that. We can make this work. And to get through that relatively unscathed, and still keep our infrastructure in place and still remain a strong entity. So, to be flexible, but smart.

The minutes of the Board of Directors shed light on the strategic initiatives that occurred to provide solid diversification of programming and numerous creative short and long term plans to meet client need circumventing the ever-present funding challenges. Organizational ingenuity evidenced by being flexible, smart and cost-effective is captured in titles from Board minutes such as “Marketing Outreach: Dix & Eaton Advertising Agency” (1991, May 3, p. 36); “Legislative Breakfast” (1996, January

26, p. 5); “Managed Care Advisory Committee” (1996, February 23, p. 4); “Report on Erie Warren Ad Hoc Committee” (1992, June 17, p. 78); “Systems Change Concept Paper” (1991, July 19, p. 44); “Endowment Formed” (1991, September 27, p. 50); “Formation of Two Socialization Programs: Center for Arts and Culture & The Club House” (1991, December 6, p. 59); “Funding to Assist People in Public Housing” (1992, September 18, p. 110); “Development of Personal Care Homes” (1992, November 20, p. 135); “Shelter Plus Care Proposal” (1993, June 25, p. 198); “Crisis Residential Program Review” (1995, February 24, p. 2).

The organizational newsletter strongly affirms the aptitude of the organization to counter the constant funding limitations faced by this non-profit organization and provide for organizational efficacy through the following cover stories: “New 8-Bed Residential Facility Opens” (1985, July); “Residential Services Expand Again”(1986, July);“Agency Planning Includes Skills Center” (1987, October); “Training Program to Serve Western PA” (1988, July); “Organization Is On The Grow Again: Skills Center” (1989, April); “Organization Sets National Trend in Housing for Mentally Ill Persons” (1991, January); “On the Move With the Center for Arts & Culture” (1991, October); “Collaboration on the Community Level: Housing Authority and Organization Join Efforts”(1992, October); “Teamwork & Comprehensiveness...Cornerstones of the Erie-Warren Project” (1993, January); “Quality Living in A Personal Care Home” (1993, October); “Individual Are Now Equipped For Greater Participation” (1995, February); “Evidence of ‘Curves’ Being Jumped” (1995, July); “Leading Information Technology” (1996, January); “Experience, Expertise & Vision: Managed Care Recovery” (1997, July); “Organizational Launches Plan for Future” (1998, February); “Outpatient Clinic Opens

Doors in Grand Style” (2000, Winter); “Wraparound Program Wraps Youngsters With Caring Community” (2002, Winter); “Organization Expands Outpatient Services to Crawford County” (2003, Winter); “Organization & Deerfield Form New Opportunities: Innovative Employee Assistance Program Created” (2004, Spring); and “Organization Hosts National Conference in Erie” (2004, November). The content of these articles reaffirms organizational creativity as well as strategic planning for increased efficiencies.

A review of the testimony by the EDs, Chairpersons of the BOD, and LC, as well as a review of the documents, surfaced no specific comments or evidence at the time of change in leadership to indicate a relationship among funding, new leaders and organizational efficacy with regard to the theme, *funding challenges are not an obstacle to efficacy*, and its relationship to the third research question; “What happens to organizational efficacy when there is a new leader?”

For research question number two, “How, if at all, do the values of a leader affect the organizational culture?” the themes of, *care and respect for the client and community* and secondly, *honesty and dedication to mission*, became evident. When reviewing the organizational newsletter, the following articles addressed the topic of care and specifically the way in which the organization was thoughtfully planning for clients, their families and the community: “Crisis Intervention Training Aids Families” (1987, January); “Program Offers Hope to Returning Patients” (1990, April); “Organization Brings a Heritage of Caring to Her New Home” (1991, July); “Creating Dialogue as We Build on a Heritage of Caring 30 Years Strong” (1991, July); “The Nineties: A Time for Relationships” (1992, April); “Training That Makes You Think Leaves Nothing to Chance” (1993, April); “Welcome to the Organization’s Service Center” (1997, May);

“Delivering What is Promised” (1997, October); New ED Brings, Energy, Commitment to the Organization” (1998, August)“Lines Between Mental, Physical Wellness Converge” (2003, Spring); “Mental Health Messages Have Major Community Impact” (2005, July).

The Minutes of the Board of Directors reveal a close parallel with the newsletter articles in that there is a focus on accessibility and quality of life for the client along with diversification of services based on client need. Examples of information gleaned from the minutes of the Board of Director include, “Move from vertical hierarchy to a horizontal one” (1996, October 25, p. 4); “Planning stage for pursuing Joint Commission Accreditation”( 1997, February 28, p. 3); “Outpatient Clinic Access; next day access model” (2000, January 28, p. 2); “Awards for Performing a Heroic Act” (1999, March 26, p. 1); Mental Health/Drug Court for non-violent offenders with mental illnesses” (2001, November 31, p. 4); “Visions of Hope” lecture & Singing Ensemble” (2000, September 27, p. 4); Client Assistance Fund grows” (2000, March 23, p. 3); “CDBG funding for handicap accessibility” (2004, May 28, p. 2); “Candy Cane Ball outreach to clients” (2004, November 19, p. 4). The references reaffirm a steadfast commitment throughout the history of the organization to client care and mission focus.

#### Leaders’ Modeling of Behavior

Just how does the theme of *leaders’ modeling of behavior*, and the research question of, “What happens to organizational efficacy when there is a new leader?” interface. A chairperson of the BOD sized it up succinctly by saying, “With the transition to a new leader, formally, there was openness to radical change.” A member of LC shared with enthusiasm, “This leadership has made great decisions as far as how to market, how

to make changes and to keep up with what the demand is now, and to keep viable, financially solvent, and keep the corporation going.” Another council member says,

The new ED would be the first one to admit it publicly ...he certainly sets an example by saying, ‘Hey, We’re doing the best we can here. Let’s try and let’s not be tied down by the old way of doing business. What are some new creative things we can do? And then, well it didn’t work. We did it for the right reasons but it ...And then, what did we learn from it? Where do we go next?’

According to an interview with an ED “it was the mid-1960’s and the organization was poised to expand due to an increasing number of people successfully remaining in the community, and more on their way from the hospital.” At the same time, the organization underwent a change in leadership. A person described in an interview by a Chairperson of the BOD as having “connections, knowledge from other agency work” was chosen. According to an interview with a Chairperson of the BOD, his actions paralleled his values as he demonstrated his “aggressive goal-setting style.” Housing stock expanded with this unity of values and behavior to meet increasing client need for residential placements in the community. Building upon community contacts, the ED provided leadership to begin a small jobs creation program.

#### Care and Respect and Congruency of Values Key to Morale and Culture

In regard to research question four: “What happens to organizational culture when there is a new leader?” there are two related themes, *care and respect for the client and community*; and *congruency of values between leaders and followers key to morale and culture*. Throughout its history according to the twenty six participants’ testimony and in the documents, this researcher both heard and read about the founder values of deep care

and respect for the client and for the community at the core of the organization. During the tenures of EDs who demonstrated this care and respect for client and community, morale was positive. The inverse is also true- without care and respect on the part of the EDs, there are morale problems. The following comments refer to immediately after the end of an EDs tenure, in which he had difficulty sustaining relationships based on lack of trust and respect. One Board member felt “the culture was one of relief due to rebuilding of relationships throughout the organization and the community.” Another shared, “When the new ED came in things settled down. He knew his stuff.” A third board member said, “I see the new ED as a perfect mix between the hard charging business and the in-office thinker. He melds both.

A member of LC reflected,

There was a lot more integration, I think, that occurred after the dust cleared in the transition period. This integration occurred between our organization and other community systems where previously we really weren't integrated—the criminal justice systems was one. Credibility has been enhanced in the community oh tenfold ....under the new ED and he always, I think, encourages the organization to look in new directions and to think about old things in new ways.

A LC member compared values of founders with an ED's and his problematic tenure:

Boy, it was just so fragmented. There was so much transition. Today, there are a couple of different things. I think we look more at the whole person. I think we deliver a much more integrated unit of service. I would say it's an organization with heart and that's what the most important thing to me...it's the core and it is

not lip service. It is what the organization is and I sense from meeting the people who founded the organization it's probably been at the core for a good long time.

With regard to the theme of *honesty and dedication to mission*, Chairpersons of the BOD and members of LC were united: From a BOD member, "I value my honesty, my integrity, my openness. I felt very strongly about treating people fairly." Another continues, "I really understood that we were serving persons recovering from mental illness in the community...So, I feel like I understood the basic, core part of this organization --- what the core mission was, and the values that the organization believed in. I felt that I really understood the mission of serving." Concurrently a LC member says,

the leaders of the organization have... brought into the organization in leadership roles people who are mission-oriented themselves, who perhaps could work in a major corporate entity , but wouldn't get the same fulfillment ...in that manner, to be happy in their own lives.

Another LC member expressed this sentiment,

I work hard and I'm honest. The thing I most value about my profession is that it gives you the opportunity to help people and as the field advances...we get into a very knowledge-based and research oriented intervention philosophy.

### Conclusion

Eight themes have distilled hundreds of examples of reflective of leader values as perceived by participants' testimony and organizational documents. These themes are lenses that help the reader to appreciate and understand leaders and their influence in how the organization developed throughout the course of its mission. The themes spanned the

tenures of four full-time Executive Directors since 1965. During these four decades under study, from 1965 through 2005, evidence of organizational efficacy was expressed in the size of the organization's budget, number of staff and breadth of programming. In the mid 1960's this non-profit organization employed a staff of four with a budget of \$180,000 dollars. By the mid-1970's, the staff had grown to 63 persons with an organizational budget of \$300,000 dollars in 1975. During the mid-1980's, there were 150 staff accompanied by an annual budget of \$1.8 million dollars in 1985. And from 1995 to 2005, the staff more than doubled increasing from 211 to 425 persons. Concurrent with the doubling of the staff, the budget more than doubled from \$6.3 million dollars in 1995 to \$14.1 million dollars in 2005. The organization also began to address the mental health care needs of youth and adolescents. As an increasing number of clients either returned from the state hospital system or remained in the community, the continuum of services broadened as the number of persons receiving services increased. The health of the organizational culture was reflective of the extent of alignment of the culture with the values of the leader.

## CHAPTER V DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

### Introduction

This chapter is organized into four sections: an overview of the study, discussion of the results, conclusions and recommendations for further research. The Chapter is intended to be a gestalt of the emergent themes from the multiple data sources in relation to the research questions within the context of the literature.

### Overview of Study

The purpose of this research was to discover information on the phenomenon of leader values and their affect on organizational culture and efficacy within one organization. This research provided thick description of this phenomenon through “statements that re-created a situation and as much of its context as possible, accompanied by the meanings and intentions inherent in that situation” (Gall, Gall and Borg, 2003). This researcher interfaced with participants whose information and experiences brought this topic of leaders’ values forward. Subsequently, the themes resulting from multiple data collection methods, contained salient information which added depth to the descriptions (Gall, Gall and Borg, 2003). It was necessary to gather data from several levels of staff and volunteers as well as from documents, covering forty-four years, from this one Pennsylvania non-profit organization serving persons with mental health care needs. Thus, a case study approach was used.

The research questions for this study were:

- 1 How, if at all, do the values of a leader affect organizational efficacy?

- 2 How, if at all, do the values of a leader affect the organizational culture of the organization?
- 3 What happens to organizational efficacy when there is a new leader?
- 4 What happens to organizational culture when there is a new leader?

### Discussion of Results

This section will present a discussion of emergent themes in relation to individual research questions and the literature review for the study. The following themes are particularly relevant when talking about virtue-based ethical theory, which defines leadership from the standpoint of a leader's character (Pojman, 1995). The themes with relevancy are: a) *External customer relationships contribute to change*; b) *Appointed leaders' values not sole determinant for change* c) *Leaders' modeling of values promotes change*; d) *Leaders' effectiveness enhances organizational culture and change*; e) *Care and respect for client and community*; and f) *Honesty and dedication to mission*. These themes are rooted in values and thus are related to research question one which asks, how, if at all, do the values of a leader affect organizational efficacy and research question two, inquiring how, if at all, do the values of a leader affect the organizational culture of the organization?

The following themes relate best to Organizational Culture Theory, which frames how people behave based on shared understandings of appropriate behavior in the organization (Sinclair, 1993). The significant themes are: a) *Care and respect for client and community*; b) *Honesty and dedication to mission*; c) *Leaders' effectiveness enhances organizational culture and change*; and d) *Congruency of values between leaders and*

*followers key to morale and culture.* There are two research questions to which these themes relate. They are, research question two, “How, if at all do the values of the leader affect the organizational culture?” and research question four, “What happens to organizational culture when there is a new leader?” Each of the four themes are connected to a cohesive culture in which the moral values of the leader and the followers are reflected, stimulating ethical behavior in the organization. These values then, over time, become assumptions that are the very essence of articulated beliefs, norms and rules of behavior (Schein, 1992).

Finally, the following themes are significant in their relationship to Lewin’s Change Theory in which an organization moves through the “classic model that consists of three phases: (a) unfreezing, (b) movement, and (c) refreezing” (Dirks, Gilley and Gilley, 2004, p. 35). The themes with particular relevance to change theory include, a) *Relationships with external customers contribute to change*; b) *Appointed leaders’ values not sole determinant for change*; c) *Funding challenges not an obstacle to efficacy*; d) *Leaders’ modeling of values promotes change*; and e) *Leaders’ effectiveness enhances organizational culture and change*. Research question one, “How, if at all, do the values of a leader affect organizational efficacy?” and research question three, “What happens to organizational efficacy when there is a new leader?” are directly applicable to Change Theory. Through this model of change, the leadership of the organization designs a planful approach to change in which stability is a factor at the beginning and the end of the three phases (Schein, 1992).

This researcher will discuss the following themes in relation to the relevant research questions. The first research question, “How, if at all, do the values of a leader

affect organizational efficacy?” is related to the following themes: a) *External customer relationships contribute to change*; b) *Appointed leaders’ values not sole determinant for change*; c) *Funding challenges are not an obstacle to efficacy*; d) *Leaders’ modeling of values promotes change* and e) *Leaders’ effectiveness enhances organizational culture and change*.

There are many citations throughout this study from the archival scrapbook which begin at the organization’s inception and continue through the tenure of the second Executive Director; the organizational newsletter covering 1985 through 2005; and the forty years of minutes of the Board of Directors. This information reinforces the testimony of the Executive Directors, Board Chairpersons and Leadership Council members indicating that collaborations and community partnerships were pivotal to the growth of this organization. These documents substantiate the change-based themes in two ways, 1) by their descriptions of organizational change in the organization’s expansion of program delivery indicated by the increasing number of clients being served, and 2) in its increased breath of service in response to the changing needs of clients. The values of the leader, while particularly important to organizational culture, never stopped organizational change. Rather it is the organization’s collective capacity to cope with the demands, stresses, and opportunities of the daily business world that determines the extent of organizational efficacy (Bohn & Grafton, 2002). The point was also made throughout the testimony of the board of director Chairpersons and the Leadership Council that there were contributions made through roving leadership (DePree, 1989). In particular, the values of senior staff members, even during a tenure marked by hierarchical leadership, had significant impact in determining organizational

efficacy. Despite the lack of high touch skills by the Executive Director over several decades, organizational efficacy was documented in the substantive changes in treatment, rehabilitation methods and supports for those whom the organization served as evidenced by new configurations in housing, vocational service provision, employment initiatives and psychiatric rehabilitation services.

The second research question, “How, if at all, do the values of a leader affect the organizational culture?” had two related themes. These were: a) *Care and respect for the client and community* and b) *Honesty and dedication to mission*.

There were two tenures in which leaders extensively modeled the values they espoused. In the first instance, there was substantial change in the numbers of people being served, rather than in the content of the program being delivered. This called on the leadership to seek a new site for the program and ultimately to involve more of the community, those individuals and businesses with connections in the housing market, in dialogue based on shared values.

Throughout the 40 year analysis period of this non-profit organization, the theme of *care and help for client and community* were the central focus of at least two of the three sets of organizational leaders; the Chairpersons of the Board of directors and the leadership team. In addition, there were periods of time for which the values of *care and help for the client and community* were the focus for all three levels of leadership: Executive Director, Board of Director Chairpersons and Leadership Council.

Coupled with the founding members’ values of respect for the quality of all people, care, and help for those returning from the state hospital, was the value of “imagination in putting things together for the community” along with a “sense of

responsibility to the community.” These comments are reflective of the way in which the earliest Board Chairpersons, some of whom were founders, went beyond what De Pree, (1989) calls indebtedness in the sense of what he or she gives back to the organization to attain an even higher value, that of a heart felt sense of responsibility to the community. This level of respect for the client and valuing their dignity as people is expressed in this testimony, “By keeping the training of their workers at a high level, and having the assistance of a psychiatric consultant, they (are) able to offer the most therapeutic atmosphere possible toward helping these released mental patients” (Archival Scrapbook, p. 18). The organizational shift from an early 1960’s program serving 83 individuals on one afternoon and one evening per week, to that of a program with a full-time Executive Director serving hundreds was due to “results of growth and community acceptance, as well as the needs of returning patients” (Archival Scrapbook, p. 3). Service-based leading was being practiced by this organization’s founders, Executive Director and Chairperson of the Board in the 1960’s and continues today. The theme of *Leader effectiveness enhances organizational culture and change* confirmed the literature on organizational efficacy (Bohn & Grafton, 2002; Kanter, 1986; Schein, 1992). The third research question, “What happens to organizational efficacy when there is a new leader?” had two related themes. They were: a) *Funding challenges are not an obstacle to efficacy* and b) *Leaders’ modeling of values promotes change*.

As described in several interviews with Board Chairpersons who participated in the interviews, an internal candidate whose strength was as a program evaluator, and was known as a “thinker” more than a “doer,” was appointed ED. His proclaimed values revolved around “seeking knowledge” and “seeking the answer to the question, what is

truth?” Despite the self-focused values, he shared in his interview that he had both witnessed and observed the financial sloppiness and personal slights caused by the outgoing ED. Informed by his former role as a program evaluator, he articulated that his immediate goal was to solve the problems that existed. These problems included fractured relationships, low staff morale and issues of programmatic and staff integrity. There was an obvious disconnect which he realized, along with his senior management staff, between his values and needs and those of his followers. As a talented evaluator however, he drew upon the leadership of his two senior colleagues, and together they comprised what he termed the “brain” of the organization. These two roving leaders took the time to listen to the expressed needs of the followers, building a level of trust, which helped to stabilize the organization. One’s strength was visioning and formulating ideas and the other had great command of the pragmatic, day-to-day issues. The triumvirate was created with each of the three vigorously contributing to the health of the organization from their strengths as planner, implementer, and visionary.

According to DePree, (1989) leaders are chosen or come to organizations through their talents, more or less their strengths, which will ultimately help contribute to the clients’ ability to achieve their life goals. Over the years, each ED brought his own values to the organizational table. In reviewing the values which surfaced from the vantage point of the three leader categories, EDs, BODs and LC, three metaphors surfaced. From a gestalt viewpoint, the first metaphor was that of organization as heart. The timeline for this was primarily in its formative years, the 1960s. The second was organization as brain. This metaphor was applicable from approximately 1970-1997. And the third metaphor is organization as organism. The time frame was 1998 to the present.

Throughout the years, the goal of mission-based service to client was reached, though each ED took a different route.

The final research question, “What happens to organizational culture when there is a new leader?” had two related themes, a) *Care and respect for the client and community* and b) *Congruency of values between leaders and followers key to morale and culture*.

According to Sims, (2000)

An understanding of the organization’s culture is a must first step for the new leader that should quickly be followed by proactive steps to communicate an explicit position on the importance of ethical behavior that will guide the future organization. (p. 74)

The respectful nature which has characterized two of the four tenures of the EDs, began with each of those leaders gaining input from the followers regarding their needs, values and goals as the tenures began, from the standpoint of both program and process. In the two other scenarios of the action based, charging warriors, the leaders did not take the temperature of the followers in order to lead from the middle (Dolan & Garcia, 2002; Kouzes, & Schmidt, 1985).

Leadership cannot be separated from followers’ needs and goals. MacGregor Burns (1978) asserts that the key to leadership lies in how leaders see and act on their own and their followers’ values and motivations. The interaction of the leaders and followers is an active process and transforms both the followers and the leaders.

## Conclusions

Two of the four leaders of the organization instituted hierarchies. In one of those cases, however, the hierarchical leader identified two roving leaders defined as individuals assuming major organizational leadership roles, to address the multifaceted opportunities and needs of the organization with regard to organizational efficacy. However, this form of roving leadership on the part of the triad, did not sustain an overall healthy organizational culture especially with regard to those most often relating to the appointed organizational leader. This is congruent with the literature that affirms the importance of the consistency between what a leader espouses and models to the followers and the effect it has on organizational efficacy (Kanter, 1983; Kouzes and Posner, 1995; Northouse, 2004). While a problem with this hierarchical leadership was identified very early in the ED's tenure by the staff, this form of strong hierarchical leadership and its negative impact on the organizational culture was not fully addressed until many years later. It is interesting to note that all three of the triad had been employed at the time of the previous ED who was also characterized as hierarchical in nature. His tenure, however, was relatively short and ended due to other employment.

This researcher found it unusual that approximately forty percent of the leadership council members cited funding as an impediment to change. These individuals felt that the ability of the organization to provide treatment, rehabilitation and support services was limited by the dependence on one primary funding agent. They cited progress in diversifying the funding sources but still maintained that funding was an impediment. This viewpoint was not supported by the testimony of this organization's BOD and the past and current EDs. LC members also referenced their historical perspective on

budgeting as well as a more global view of the relative size of funding problems in relation to the total size of the budget. For example, a \$400,000 cut in this organization with regard to a \$13M budget is a different scenario than a \$400,000 reduction when compared to another organization's budget of \$1M. So too, the leadership council members have responsibility for their budget in relation to their individual program area. The budget is reviewed individually and collectively for compliance and thus is the topic of major discussion throughout the year.

This researcher was hopeful to draw upon Leadership Council members for two reasons, their backgrounds initially as "followers" in the organization and their "leader" roles for their specific program areas. However, their testimony from the "leader" standpoint about leadership in general and practices by the Executive Directors and Chairpersons of the Board of Directors may have outweighed their role in the study as both leader and follower. Adding to this were the different lengths of time which LC members spent in the leadership roles. This was compounded by the nature of the random sample selection of the participants from LC.

An interesting aspect of the study was that the Executive Director who was most passionate about service-based or servant leadership and the benefits of roving leaders was employed during the administration of two hierarchical leaders, whose tenures lasted more than 25 years. It may be said that he was an understudy with an entirely different suit of armor than that of the main character. Continuing this line of thinking, it may be that the audience was extremely tired of the "lead" character and welcomed with grand applause the understudy's walk onto stage ending the monologue and beginning audience participation. An alternate explanation is that of a leader providing a framework for

building a positive cohesive culture via organizational culture and virtue based ethical theory (Schein, 1992).

### Recommendations

In building the interview guide, the wording of the question, “What obstacles have stood in the way of the organization being as effective as it could be?” warrants further analysis if this study were to be replicated. So too, the theme stating that *funding challenges are not an obstacle to efficacy* needs a qualifier with regard to the definition of the word, obstacle. The size and scope of the funding challenge as well as the knowledge of the growth trends of the organization over time are variables which have considerable impact from organization to organization. In addition, it is important for the researcher to take into account the specific involvement levels of the interviewees in the budget process of the organization as it relates to their testimony.

An overlooked, but germane theory which surfaced in this researcher’s field notes was that applicability of Maslow’s hierarchy of needs in assessing the developmental stage of the leader. This researcher proposes that in leaders with evidence of immaturity or self-absorption, their concentration of *deficiency needs* would be higher than their *growth needs*. According to Maslow, higher needs only come into focus once all the needs that are lower down in the pyramid are mainly or entirely satisfied (Senge, 1990). Thus, a leader’s ability to be effective in a thoroughly rational, stable fashion would be compromised due to the focus on basic needs.

Individuals involved with compiling documents were primarily, except for those who wrote newspaper articles on the non-profit, individuals who worked for the organization. It could be argued that these individuals were disposed to writing with a

more positive spin on the information than would be the case with a non-related party.

Therefore, this is a limitation in that the source documents could be considered organizational propaganda, limiting their effectiveness in providing unbiased information. Based on this insight, an extension of this study might be an analysis of these materials in comparison to organizational reality.

If this researcher were to redesign the study, the inclusion of direct care staff would aid in confirming the veracity of the information obtained at the more formal leader levels. Of course there are times in which direct care or front line staff members function as leaders. However, the testimony from staff members whose job description requires they take direction from supervisors in their work, would provide a level of information which is currently lacking and shed further insight into the research on leader values and their relation to organizational culture and efficacy.

Finally, the inclusion of clients in the study, as recipients of the service might also increase the trustworthiness of the findings. As a primary stakeholder, their perspective would bring another dimension of testimony to the fore.

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Appendix A  
Semi-structured Interview Guide

## Semi-structured Interview Guide

1. Describe what you value most about yourself and your profession.
2. What did you believe was the primary mission of the organization as you began your role as an Executive Director/Board President/ member of the leadership council?
3. What did you think needed to be done to carry out that mission? (RQ1, RQ3)
4. What did you see as your role in helping fulfill the mission? (RQ1, RQ3)
5. Can you describe your values as you began your work?
6. What was the atmosphere like as you began working at the organization e.g. what was going on? (RQ2, RQ4)
7. Who were the key leaders?
8. From your perspective, what did they value?
9. Do you feel the leaders' values have impacted the organization? Describe how. (RQ1, RQ2)
10. Every organization has stakeholders. These are key people who help to see the organization succeeds. Can you describe the values of your primary stakeholders? (RQ1, RQ2)
11. What word or phrase would you say describes the organization's culture?
12. Every organization has a vision of what it wants to be. The organization then tries to be effective in carrying out that vision. How effective has the organization been in carrying out its mission? What has helped it be as effective as it is? What obstacles have stood in the way of being as effective as it could be? (RQ1, RQ3)
13. How have changes in leadership affected the organization's ability to accomplish its mission? (RQ3)

Appendix B  
Letter of Introduction

## Letter of Introduction

November 23, 2005

Hello,

My name is Emma Lee McCloskey, a fourth year Doctoral student in Duquesne University's Interdisciplinary Doctoral Program for Educational Leaders (IDPEL). I am contacting you because of the leadership role you have.

Because of your history, you are being invited to participate in a research project in which I will investigate leaders' values as a component of leadership at and their relationship to organizational change and culture.

If you choose to participate, approximately 45 minutes of your time will be needed for an interview which will be audiotaped. If you reside out-of-town or will be traveling extensively, this interview may be done by phone. Please know that when audiotapes are transcribed, all identifiers of you, the organization, and anyone you talk about, will be deleted or disguised using pseudonyms. Your name will never appear on any survey or research instrument. In addition, you may withdraw your consent to participate at any time.

In addition to interviews, documents relevant to the study such as Minutes of the Board of Directors, organizational newsletters and scrapbooks will be reviewed. Results of this study will be provided freely to you upon your request.

If you determine that you would like to participate, please sign and return the "**Consent to Participate in a Research Study**" sheet in the enclosed, addressed and stamped envelope by December 2. If you choose not to participate, please return the form to me unsigned. Know that I respect your decision and greatly appreciate your consideration of this request.

If you have any questions regarding this letter, please feel free to contact me directly at 814-878-2087 or email: [emccloskey@xxxxxxxxxxxx.org](mailto:emccloskey@xxxxxxxxxxxx.org) or my dissertation committee chairperson, Dr. Leanne Roberts at 814-824-2448 or email her at [lroberts2@mercyhurst.edu](mailto:lroberts2@mercyhurst.edu).

Sincerely,

Emma Lee McCloskey, M.S., M.Ed.  
Director of Development

Appendix C  
Consent to Participate

## Consent to Participate

DUQUESNE UNIVERSITY  
600 FORBES AVENUE ♦ PITTSBURGH, PA 15282

**CONSENT TO PARTICIPATE IN A RESEARCH STUDY**

- TITLE:** Values As a Component of Leadership and their Relationship to Organizational Efficacy and Culture: An Ethnographic Study of Leaders' Influence at a Pennsylvania Non-Profit Organization
- INVESTIGATOR:** Emma Lee McCloskey, 235 Kraus Drive, Erie PA 16511  
(H) 814-899-7196 (O) 814-878-2087
- ADVISOR: (if applicable:)** Leanne Roberts, PhD., Dissertation Committee Chairperson, Mercyhurst College, 501 E. 38<sup>th</sup> Street, Erie PA 16504  
814-824-2448
- SOURCE OF SUPPORT:** This study is being performed as partial fulfillment of the requirements for the doctoral degree in the Interdisciplinary Doctoral Program in Educational Leadership at Duquesne University. The research will receive no form of private or public support e.g, grants, government funding, etc.
- PURPOSE:** You are being asked to participate in a research project that seeks to investigate leaders' values as a component of leadership at and their relationship to organizational efficacy (change) and culture at this organization. In addition, you will be asked to allow me to interview you. If you choose to participate, the interviews will be taped and transcribed using pseudonyms with all identifiers deleted.
- These are the only requests that will be made of you.

- RISKS AND BENEFITS:** This researcher anticipates no physical or emotional risks to you during the course of this research. A benefit of participating in this research is that you are contributing to primary research on the nature of leader values in the context of organizational leadership in a non-profit organization over a forty year period.
- COMPENSATION:** There is no compensation for participation in this research. However, participation in the project will require no monetary cost to you. An envelope is provided for return of your response to the investigator.
- CONFIDENTIALITY:** Your name will never appear on any survey or research instruments. No identity will be made in the data analysis. All identifiers will be deleted. Your response(s) will only appear in statistical data summaries. When audiotapes are transcribed, all identifiers of you, the organization, and anyone you talk about, will be deleted or disguised. All materials will be destroyed at the completion of the research.
- RIGHT TO WITHDRAW:** You are under no obligation to participate in this study. You are free to withdraw your consent to participate at any time.
- SUMMARY OF RESULTS:** A summary of the results of this research will be supplied to you, at no cost, upon request.
- VOLUNTARY CONSENT:** I have read the above statements and understand what is being requested of me. I also understand that my participation is voluntary and that I am free to withdraw my consent at any time, for any reason. On these terms, I certify that I am willing to participate in this research project.
- I understand that should I have any further questions about my participation in this study, I may call Dr. Paul Richer, Chair of the Duquesne University Institutional Review Board (412-396-6326) or Emma Lee McCloskey, investigator (814-878-2087).

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Participant's Signature

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Date

Appendix D

Individuals: Executive Director, Board of Director or Leadership Council  
and Interview Date

Individuals: Executive Director, Board of Director or Leadership Council  
and Interview Date

Name	Title	Interview Date
ED - W	Executive Director	Jan. 3, 2006
ED - Y	Executive Director	Dec. 28, 2005
ED - Z	Executive Director	Jan. 4, 2006
BOD - A	Chairperson, Board of Directors	Dec. 6, 2005
BOD - B	Chairperson, Board of Directors	Dec. 6, 2005
BOD - C	Chairperson, Board of Directors	Dec. 7, 2005
BOD - D	Chairperson, Board of Directors	Dec. 14, 2005
BOD - E	Chairperson, Board of Directors	Dec. 19, 2005
BOD - F	Chairperson, Board of Directors	Dec. 21, 2005
BOD - G	Chairperson, Board of Directors	Dec. 28, 2005
BOD - H	Chairperson, Board of Directors	Jan. 6, 2006
BOD - I	Chairperson, Board of Directors	Jan. 10, 2006
BOD - J	Chairperson, Board of Directors	Jan. 11, 2006
BOD - K	Chairperson, Board of Directors	Jan. 10, 2006
LC - 1	Leadership Council Member	Jan. 12, 2006

Name	Title	Interview Date
LC - 2	Leadership Council Member	Jan. 12, 2006
LC - 3	Leadership Council Member	Jan. 3, 2006
LC - 4	Leadership Council Member	Jan. 6, 2006
LC - 5	Leadership Council Member	Jan. 9, 2006
LC - 6	Leadership Council Member	Jan. 10, 2006
LC - 7	Leadership Council Member	Jan. 12, 2006
LC - 8	Leadership Council Member	Jan. 13, 2006
LC - 9	Leadership Council Member	Jan. 5, 2006