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The University of Southern Mississippi

A STUDY OF THE LEADERSHIP CODE AND
EMPLOYEE ENGAGEMENT

by

Richard James Stewart

Abstract of a Dissertation
Submitted to the Graduate School
of The University of Southern Mississippi
in Partial Fulfillment of the Requirements
for the Degree of Doctor of Philosophy

May 2012

ABSTRACT
A STUDY OF THE LEADERSHIP CODE AND
EMPLOYEE ENGAGEMENT

by Richard James Stewart

May 2012

Ulrich, Smallwood and Sweetman's (2008) leadership code presents a synthesized approach to developing individual leadership ability and forms part of the base for organizational leadership capability. Employee engagement research indicates that effective leaders consider employee engagement as one of their primary focuses (Weichun, Avolio, & Walumbwa, 2009). While studies of employee engagement and leadership approaches are plentiful in the research world, no research on the leadership code and its relationship to employee engagement can be found. Therefore, research to identify a relationship between the leadership code and employee engagement can provide a much needed advancement in the body of leadership research.

This cross sectional exploratory study explored the relationship between the leadership code and employee engagement at a Native American casino in the Southeastern United States. Any relationships identified between the five leadership code domains and employee engagement was insignificant. Additional studies should focus on additional study designs to further examine the relationship between the constructs of the leadership code, as defined by Ulrich, Smallwood and Sweetman (2008), and employee engagement, as defined by Schaufeli and Bakker (2004).

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Submitted to the Graduate School
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May 2012

DEDICATION

You never travel alone on your dissertation journey. When you initially embark you have the encouragement and support of many well wishers. As time wears on many who wished you well have fallen away or grown weary of asking if you have completed your journey. Then one day you look around and realize that only a few ardent supporters remain. Those remaining loved ones, and they can be called loved ones at this point, continue pushing you along with honest and pointed feedback, much needed encouragement and at times your favorite sandwich, beverage or snack. These are the ones you know will be with you now and into the future no matter where your ultimate journey takes you.

This dedication goes out to those loved ones who never left me, encouraged me and made those sandwiches - my amazing in EVERY way and beautiful wife Jill, our awesome children Breeann, Hunter and Savannah; my mom Barbara who just listens intently while I drone on incessantly about nothing and has always been there for me no matter what; Clea-mom who I consider my second mom and has one of the most caring hearts on the planet; Wayne, the crazy man who made me laugh often and in the moments I most needed it; Tom O, my friend and my mentor who has taught me so much and supported my efforts in so many ways; my work buddies who kept me motivated even when I didn't want to be motivated, you have earned this honor right along with me and for all those others who put up with my whining and complaining and for some reason never told me to shut up, I salute you! WE MADE IT!

ACKNOWLEDGMENTS

I would like to acknowledge my dissertation committee, Dr. Cyndi Gaudet, Dr. Heather Annulis, Dr. Brian Richard and Dr. Dale Lunsford. Dr. Mary Nell McNeese provided unending and unselfish statistical guidance along the way. Dr. David Ulrich of The RBL Group for being available in the early part of my study and providing useful ideas, research approaches and making his staff and his knowledge available when needed. Dr. Ryan Nelson for going above and beyond providing suggestions, edits, reference material and encouraging me to push on and never give up. Jay Baker from The RBL Group, for copyright permission and assisting with the Leadership Code data collection and finally Dr. Wilmer Schaufeli for permission to use the Utrecht Work Engagement Scale.

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CHAPTER I

INTRODUCTION

Organizations in the United States and many other countries face operational disruptions caused by increased pressure from globalization, economic and social forces. These disruptions cause many organizations to shift their operational model to a knowledge-based approach in order to survive in the new world economy. The Organization for Economic Cooperation and Development reports that currently in the United States, knowledge-based services represent almost 80 percent of the economy and in the top 40 world economies, almost 60 percent (Chesbrough, 2011, pp. 2-3).

This massive disruption creates a critical need for organizations to identify and implement effective methods to organize and lead in the new global era.

Survival in this new era will require the development of new organizational forms and systems, such as teams and new incentive systems, which decentralize decision making, mobilize intellectual capabilities, and harness the knowledge and intelligence of all members of the organization. (Florida & Kenney, 1993, p. 637)

The research indicates that organizations must develop new methods of organization and leadership to adapt to the disruptions faced in the new world economy. As Florida and Kenney (1993) state, the new era requires a shift away from past methods of organization to ones that include all members of the organization. To do this requires a different leadership development approach.

In the past, leadership development programs focused on what Ulrich, Zenger, & Smallwood (1999) call the ARE-KNOW-DO approach to leadership

development which consists of who leaders are, what they know and what they do (p. 4). Additional leadership research supports the ARE-KNOW-DO approach to developing leadership abilities and focuses on identifying characteristics of successful leaders, leadership contexts and developing methods to enhance the leadership skills of individual leaders (Arvey, Avolio, Zhen, & Krueger, 2007; Avolio & Gardner, 2005; Barsh, Mogelof, & Webb, 2010; Bennett, 2009; Bennis, 2007; Brightford, 1966; Cojocar, 2008; Covey, 1991; Fiedler, 1972; Heifetz, 1994; Kirkpatrick & Locke, 1991; Kouzes & Posner, 2010; Sergiovanni, 1979; Tucker & Russell, 2004; van Maurik, 2001; Van Vugt, Hogan, & Kaiser, 2008; Vroom & Jago, 2007).

The ARE-KNOW-DO approach, while still an important part of leadership and leadership development, does not address all of the current challenges created by the new global economy (Bennis, 2007; De Meuse, Tang, Mlodzik, & Dai, 2010; Intagliata, Ulrich, & Smallwood, 2000; Kouzes & Posner, 2010; Ulrich & Smallwood, 2007; Ulrich, Smallwood, & Sweetman, 2008). Additionally, a focus on developing rudimentary ARE-KNOW-DO skills for only a select few senior leaders can create what Jim Collins (2001b) refers to as celebrity leaders. “When you have a celebrity, the company turns into ‘the one genius with 1,000 helpers.’ It creates a sense that the whole thing is really about the CEO” .

Enhancing the ARE-KNOW-DO model, Ulrich & Smallwood (2007) believe organizations should, “focus not only on the personal attributes of a noble or successful leader but on leadership, or the cadre of leaders within your company” (p. 228). Ulrich and Smallwood do not stand alone in their assertions (Heifetz, 1994, p. 20; Hogan, Curphy, & Hogan, 1994, p. 493; Ulrich & Smallwood, 2007,

p. 3; Van Vugt et al., 2008, p. 193) . As the researchers cited indicate, leadership development research and practice focuses on building individual leaders but misses the broader picture of organizational leadership. For organizations to develop capabilities that can be put to a purposeful use, organizations must identify and develop broad individual leadership abilities among a cadre of leaders who have mastered the fundamentals of leadership which forms the base of organizational leadership capabilities (Ulrich et al., 2008).

Ulrich & Smallwood (2007) offer an organizational leadership capability model in, *The Leadership Brand*. Following *The Leadership Brand*, Ulrich, et al. (2008) wrote, *The Leadership Code*, which posits a synthesized leadership framework, called the leadership code. The code forms the basis of building the organizational leadership capabilities, as described in *The Leadership Brand*.

According to Ulrich, et al. (2008) the leadership code synthesizes numerous leadership theories, leadership best practices, leadership frameworks and best practices into a single leadership framework resulting in five leadership rules, known as the leadership code. The five rules or domains are: strategist, executor, talent manager, human capital developer and personal proficiency. Strategist represents a long term organizational approach. “They can clearly articulate a vision of what those [future organizational] changes will require of the organization and create consensus around how to organize and respond...” (RBL Group, 2010, p. 5). Executor represents a near-term organizational approach. “They set clear priorities and accountabilities and get things done” (RBL Group, 2010, p. 5). Talent managers represent a near-term individual approach. “They create an open, positive leadership climate that engages employees hearts,

hands and minds” (RBL Group, 2010, p. 5). Human capital developers represent a long term individual approach. “They keep a clear line of sight between the future strategy and the skills and competencies...” and know how to develop talent for the future (RBL Group, 2010, p. 5). The personal proficiency domain is set in the center of the model and ties the other four action domains together. Personal proficiency represents “behaviors that are critical to performing and sustaining the actions effective leaders take” and consists of seven leadership competencies (RBL Group, 2010, p. 4). The leadership code represents a synthesized approach to leadership study and development and can provide a more modern approach than the ARE-KNOW-DO approach taken by most organizations for leadership development.

Statement of the Problem

Research suggests globalization and shifting economic forces (Collins, 2009; Florida, 2005; Friedman, 2005) create a critical need for organizations to alter the way they view leadership and leadership development. Within the context of this global economy, organizations need to develop effective result-oriented leaders who can form the basis of the organizations leadership capabilities (Ulrich & Smallwood, 2003, 2007; Ulrich et al., 2008; Ulrich et al., 1999). Without a cadre of effective leaders, organizations will lack an important capability needed to compete in a rapidly changing global environment.

To obtain effective leadership requires leaders that know how to obtain results for the organization. Individuals make up organizations. Therefore, leaders must create higher levels of collaboration with employees and others with whom the organization interacts (Collins, 2001b). Leaders can create the

collaboration Collins calls for by engaging their employees in the mission of the organization. Employee engagement research indicates that effective leaders maintain employee engagement as one of their primary focuses (Weichun et al., 2009). Research demonstrates the importance of leaders engaging employees (Gostick & Elton, 2009; Kelleher, 2009; Schaufeli, Salanova, Gonzalez-Roma, & Bakker, 2002; Xanthopoulou, Bakker, Demerouti, & Schaufeli, 2009).

Organizations that fail to engage employees have lower earnings and cannot deliver what they promise their shareholders (Fleming & Asplund, 2007; Harter, Schmidt, & Hayes, 2002; Kelleher, 2009; Many employees would fire their boss, 2007; Robison, 2010).

While studies of employee engagement and leadership approaches are plentiful in the research world, the relationship between the leadership code and employee engagement is unknown. The leadership code offers a synthesized approach to individual leadership development. As research shows, developing leaders, who in turn engage employees, positions organizations to compete in the global economy. When leaders master the leadership code they build a base for organizational leadership capabilities. Therefore, research to identify the relationship between the leadership code and employee engagement provides furtherer exploration into the link of leadership and employee engagement research.

Purpose of the Study

The purpose of this study is to determine how effective leadership as defined by Ulrich et al.'s leadership code relates to employee engagement. Ulrich et al.'s (2008) leadership code presents a synthesized approach to developing individual

leadership competency and forms part of the base for organizational leadership capability. Figure 1 represents the theoretical framework of the study.

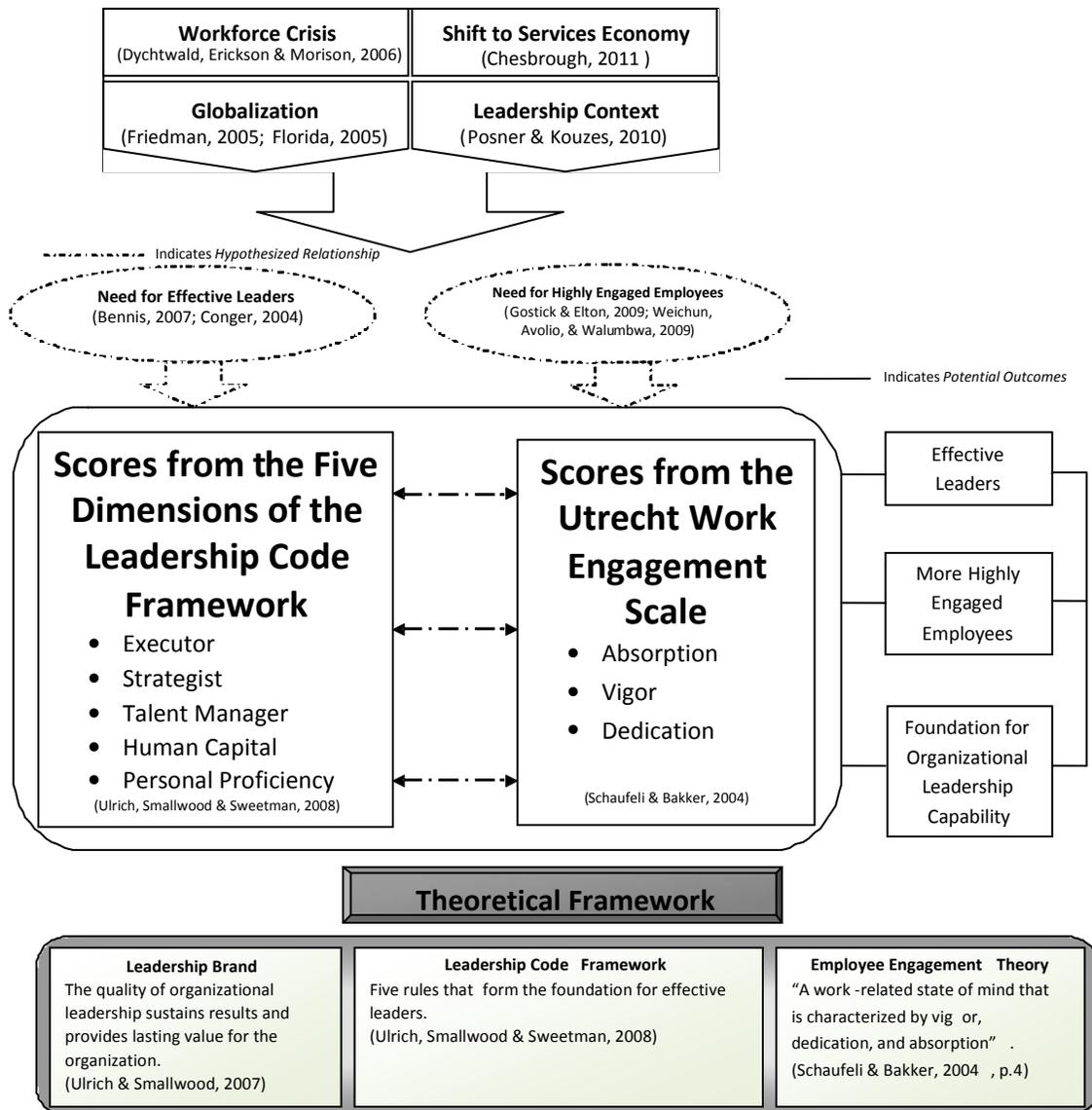


Figure 1. Study Conceptual Framework

Research Objectives

Research Objective 1: Determine the relationship between the strategist rule and employee engagement as perceived by the supervisor’s direct reports.

Research Objective 2: Determine the relationship between the executor rule and employee engagement as perceived by the supervisor’s direct reports.

Research Objective 3: Determine the relationship between the talent manager rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 4: Determine the relationship between the human capital manager rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 5: Determine the relationship between the personal proficiency rule and employee engagement as perceived by the supervisor's direct reports.

Significance of the Study

The popular press and academic research indicate an impending shortage of individual and organizational leadership (Dychtwald, Erickson, & Morison, 2006; Gioia, 2007; Harper, 2006; McCall Jr., 1998). To combat this impending leadership crisis and the effects of globalization, approaches such as the leadership code need to be researched to identify effective methods to develop effective results-based leadership. Further bolstering this claim, The Conference Board and the Human Resource Institute have issued two studies that indicate the urgency and concern around the current state of leadership. The Conference Board reported that only "54 percent of companies felt they had the leadership necessary to respond to change....The Human Resource Institute found leadership to be the number 1 issue for effective people management" (Ulrich et al., 1999, p. 1).

The only known study, unpublished and in progress, on the leadership code is being conducted in Ireland. The results have not been published and not

expected for some time. The present study can provide organizations and researchers with results to guide them in evaluating the leadership code framework and the relationship with employee engagement. The study results can provide organizations with new leadership development strategies as organizations struggle with a lack of leadership as cited in the Conference Board and Human Resource Institute studies.

Delimitations

The current study focuses on the leadership code as it relates to middle management and direct reports at a single property Native American casino. The data analyzed for this study was obtained solely from this organization. Additionally, the researcher chose to use the Utrecht Work Engagement Scale as opposed to others such as the Gallup Q12 instrument based on limited financial resources. The Utrecht instrument is available at no cost except sharing the data with the Utrecht developer. The Utrecht survey instrument serves as a valid and reliable engagement instrument (Schaufeli & Bakker, 2004). Since the leadership code represents such a new leadership construct, using a leadership feedback instrument specific to the leadership code was limited to the Leadership Code 360° feedback instrument. Finally, since the leadership code represents a newly posited framework (Ulrich & Smallwood, 2007) no other published research could be located for comparison or replication.

Limitations

Since 360 degree feedback instruments have not been widely used in this organization, direct reports may not understand the process or level of confidentiality maintained in this study. Participants may respond more favorably

believing their identities and survey responses could be shared with their supervisor or other more senior leader. The participant may believe that a negative response could create some form of retaliation from the leader. Additionally, participants could provide survey responses not indicative of their true observations simply because they were selected to complete the survey resulting in the Hawthorne effect (Chiesa & Hobbs, 2008).

Definitions of Key Terms

The following include definitions of key phrases and terms used in this study:

1. *Absorption*: An aspect of work engagement that “is characterized by fully concentrating on and being deeply engrossed in one's work, where time passes quickly and one has difficulty detaching oneself from work” (González-Romá, Schaufeli, Bakker, & Lloret, 2006, p. 166).
2. “*Capabilities* represent the ability of an organization to use resources, get things done, and behave in ways that lead to accomplishment” (Ulrich & Smallwood, 2003, p. 12).
3. *Dedication*: An aspect of work engagement that “is characterized by a sense of significance, enthusiasm, inspiration, pride and challenge” (González-Romá et al., 2006, p. 166).
4. *The leadership code*: A leadership framework posited by Ulrich and Smallwood (2007) consisting of five leadership rules that form the “*sin qua non* of effective leadership...[and] avoids the trap of emphasizing one element of leadership over others” (Ulrich et al., 2008, p. 3).

5. *The Leadership Code 360 degree feedback instrument*: A validated feedback survey instrument (Jacobs, 2009; Jacobs & Sanders, 2009) which utilizes feedback from several stakeholders including direct supervisor, peers and direct reports.
6. *Vigor*: An aspect of work engagement “characterized by high levels of energy and mental resilience while working, the willingness to invest effort in one's work, and persistence even in the face of difficulties”(González-Romá et al., 2006, p. 166).
7. *Work Engagement*: A “positive, fulfilling, work-related state of mind that is characterized by vigor, dedication and absorption” (González-Romá et al., 2006, p. 166).

Summary

As organizations become more global and workforce demographics continue changing, the need for organizations to develop not only effective leaders but effective leadership capabilities rises on the organization's priority list. Organizations that focus on leadership as an activity instead of developing only individual celebrity leaders can build organizational leadership capabilities as posited by Ulrich and Smallwood (2007) in *The Leadership Brand*.

The leadership code provides a new framework for developing effective leaders through synthesizing past and current leadership theories, frameworks, and best practices into five leadership rules. The current study provides research to explore the leadership code and how it relates to employee engagement.

No published studies exist linking the leadership code and employee engagement. The current study provides organizations faced with an impending shortage of leadership, as stated in the Conference Board and Human Resource Institute studies (Ulrich et al., 1999), and leadership researchers a peek at a new framework to develop effective leaders while building organizational capabilities.

CHAPTER II

LITERATURE REVIEW

Introduction

The first sections of this chapter provide a review of prominent leadership theories and a brief discussion of impact on leadership development. The topic of leadership creates an almost unending list of articles, studies, papers and organizations hawking leadership products. To demonstrate the context of the largesse of leadership, a Google (2010) web search using the term, "leadership theories", yields 1,070,000 hits and the search engine Bing (2010) yields 7,280,000. A search completed on The University of Southern Mississippi library EBSCO Host utilizing 72 databases and searching peer reviewed articles between 1938 and 2012 yields 5,098 results for leadership theories.

Excellent summarizations of the numerous individual theories and models exist as histories or brief summaries to provide readers with an understanding of the development of leadership theories and practices (Covey, 2004, p. 352; Jago, 1982). This review summarizes the major theories into four categories: trait, behavioral, contingency and transformational. In addition to these categories, a review of The Leadership Code and its five rules will be conducted. Finally, a review of leadership feedback methods and employee engagement will ensue.

A Short Review of Leadership

Leadership research provides much in the way of leadership content including numerous leadership qualities, competencies and traits. While the content of leadership has remained basically constant, the context of leadership

continues to change. Kouzes and Posner (2010) describing this phenomenon in their own leadership research stated, “*the context* of leadership has changed dramatically since we first asked people in the early 1980s.... the context of leadership has changed, the *content of leadership* has not changed much at all” (pp. xiv-xv).

Research reveals that most leadership generations build upon the previous generation but in many cases theories or practices from previous generations persist. Researchers build upon what they consider the *better parts* of leadership research and theory and incorporate the better parts into new frameworks and theories that continue to offer a better and more complete picture of leadership content and context.

Although it is true that the progression of thinking tends to follow a sequential path, it is quite possible for elements of one generation to crop up much later in the writings of someone who would not normally think of himself or herself as being of that school. Consequently, it is fair to say that each generation has added something to the overall debate on leadership and that the debate continues. (van Maurik, 2001, p. 3)

Surely as the body of knowledge continues to grow, several “elements of one generation” emerge in future generations as van Maurik states.

In the case of leadership research, the need for a generation of improved leadership theories emerges from the consumers of the research, organizations. Dychtwald, Erickson & Morison (2006) report, “In the course of our research, a surprising number of corporations raised the issue of shortages in leadership

ranks or their leadership development and succession pipelines” (p. 90). They identify three root causes for the lack of leadership in the pipeline:

- Widespread organizational upheaval due to consolidation, restructuring and downsizing.
- Neglected leadership development efforts related to the upheaval.
- Changing requirements of leadership might make the old pipelines obsolete anyways (Dychtwald et al., 2006, p. 90).

As Van Maurik states above, the generations of leadership provide important elements into the development of leadership. Dychtwald et al., indicate that the consumers of leadership development remain hungry for the new generation of leadership to meet the constantly changing environment in which they operate. To better understand the progression of leadership research and identify ways to contend with changing leadership needs a review of the major leadership theories and the synthesized leadership code framework follows.

Trait theory. The Great Man Theory remains one of the earliest leadership theories to posit that great leaders are usually men who others recognize as leaders due to some inherent trait. Professor Ronald Heifetz, speaking about trait theory and its application in modern times stated, “Thomas Carlyle crystallized this view in his 1841 volume *On Heroes, Hero-Worship, and the Heroic in History*. Although various scientific studies discount the idea, this *trait approach* continues to set the terms of popular debate” (1994, p. 16).

From the turn of the century through the 1940's leadership research was dominated by attempts to show that leaders possessed some intrinsic quality or characteristic that differentiated them from followers. The search

was directed toward identifying that property possessed by the likes of Napoleon, Hitler, Lincoln, Gandhi, Kennedy (and their lesser known counterparts in educational, military and industrial settings) that would ultimately prove to be the essence of successful and effective leadership. (Jago, 1982, p. 317)

Modern leaders like Jack Welch are studied to identify effective leader traits (Welch, 2005). Trait theory remains an important part of leadership theory and research as stated by van Maurik (2001).

As early empirical leadership research progressed, it became apparent that individual traits were not the only factor involved in leadership. One well known theorist, Ralph Stogdill posits that leadership was more than a series of traits inherent to an individual. "A person does not become a leader by virtue of the possession of some combination of traits" (Kirkpatrick & Locke, 1991, p. 49). While he was alive, Stogdill believed that based on his and others research from the time that leaders across different types of organizations did not have identical traits. He posited that other factors play a part in leadership.

Stogdill's research opened the door to the next generation of leadership research. He shows that while trait theory has a place in leadership study other factors are at play. According to Kirkpatrick and Locke (1991), "the evidence indicates there are certain core traits which significantly contribute to business leaders' success. Traits alone, however, are not sufficient for successful business leadership—they are only a precondition" (p. 49).

While traits remain important, traits do not represent the entire spectrum of leadership factors or development opportunities. Leadership does not lend itself

easily to identification by a simple set of traits as Kirkpatrick and Locke (1991) state. The recognition that traits are only a starting point for leadership theorist, the study of leadership theory advances into the next generation of leadership research, behavioral theory.

Behavioral theory. Behavioral leadership theories focuses on the actions or methods leaders use to reach goals. Researchers began to explore how managers interact with followers and the behaviors employed to obtain the desired results.

Several leadership theories and instruments based on previously mentioned theories were developed including McGregor's theory X – theory Y, Likert's system 1 – system 4 and Blake and Mouton's managerial grid. For example, consider McGregor's theory X/Y management styles. Under McGregor's theory X management, or classical management, managers believe:

- People dislike work and will avoid it if possible.
- Most people must be “coerced, controlled, directed, and threatened with punishment to get them” to work.
- The average human prefers to be directed, wishes to avoid responsibility, has little ambition, and wants security. (Bobic & Davis, 2003, p. 244)

Much of McGregor's theory is based on Maslow's hierarchy of needs. McGregor, speaking of this hierarchy of needs, said that, “workers in the 1950s had moved beyond lower needs and were seeking to meet social or esteem needs” (Bobic & Davis, 2003, p. 244). McGregor later adds the theory Y style of management which he based on the following assumptions:

- The expenditure of physical and mental effort in work is as natural as play or rest.
 - External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
 - Commitment to objectives is a function of the rewards associated with their achievement.
 - The average human being learns, under proper conditions, not only to accept responsibility but to seek it.
 - The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
 - Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized.
- (Bobic & Davis, 2003, pp. 244-245)

Managers who subscribe to theory Y believe those they supervise possess interest in the work and want to be involved in finding solutions to the problems before them. Theory Y managers tend to give subordinates the opportunity to find appropriate solutions without being subject to the dictatorial control of the manager. Managers described as Theory Y create an environment which allows a great deal of autonomy for subordinates to align personal goals with organizational goals.

Around the same time McGregor develops the theory X and theory Y framework, other researchers examine other behavioral approaches to leadership study. Robert Blake and Jane Mouton develop a managerial grid placing the leaders concern for people on one axis and concern for production

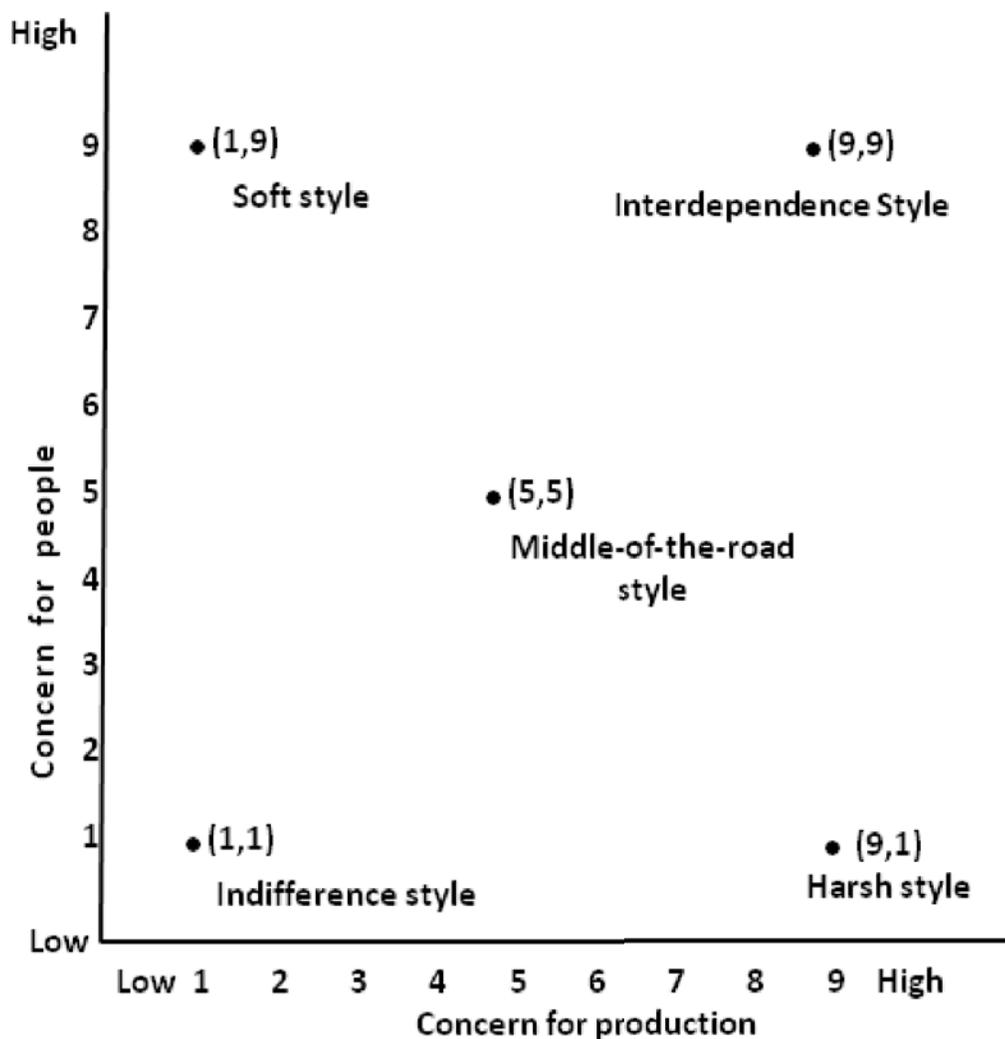


Figure 2. Blake and Mouton's Managerial Grid. The grid illustrates various types of leadership styles based on leaders concern for people and production as determined by feedback from multiple rater sources (Blake & Mouton, 1966, p. 31).

on the other axis. Blake and Mouton's managerial grid was very popular and highly utilized when presented in the 1960s. In 1966, Eric Brightford, wrote an

article describing Blake and Mouton's Managerial Grid as, "the most acceptable practical approach to industrial psychologist's problem of formulating an effective concept of leadership." Brightford continues, "Using the *grid*, one can crystallize various *managerial* styles. Managers can gain self-insight and set goals to achieve a style of management. The *grid* offers the manager feedback from descriptions of his behavior made by his peers and subordinates" (Brightford, 1966, p. 106). This is an example of multi rater feedback instruments currently used. The instrument provides the individual with a well-rounded view of how they are perceived by others.

The Blake and Mouton managerial grid along with McGregor's theory X and theory Y approaches, demonstrate that leadership styles are not simply based on an individual's innate traits as posited by the great man theory. The second generation of leadership research and practice provides insight into the ability of individuals to develop their leadership attributes and realize they were not constrained solely by their individual and natural traits. Organizations could also create leadership development opportunities for individuals by providing a framework for leadership growth and development.

Leadership researchers turn their attention to situational variables and other environmental factors. Leadership researchers posit that situational variables need attention and leaders should change their style to fit a particular situation.

Situational and contingency theory. Contingency theory was originally introduced by Fred Fiedler. "The basic premise of the theory is that the performance of interacting groups is contingent upon the interaction of leadership

styles and the favorability of the situation for the leader” (Mitchell, Biglan, Oncken, & Fiedler, 1970, p. 253). Style effectiveness as defined in Fiedler’s contingency theory indicates that if a situation required the leader to be very influential or not influential at all, a task style or approach to the situation would be the most effective approach. If the situation is one of moderate influence, approaching it with a relationship style approach would be most effective. Fiedler recommends, “that leaders consider at least three variables (none of which includes follower maturity) in defining and classifying leadership situations; leader-member relationships, the leader’s position power, and the structure of goals and tasks” (Sergiovanni, 1979, p. 391).

Sergiovanni points out that Fiedler does not include follower maturity in his theory. While this may not be of interest in and of itself, it demonstrates that as leadership theory advances, more and more areas for consideration emerge, adding to the complexity of the research. As additional variables arise such as follower maturity, the scope and breadth of research expands and the variables making up leadership grow to create a much larger and complex body of knowledge.

Hersey and Blanchard’s situational leadership theory (SLT) has enjoyed some prominence in the leadership practice arena for several decades. “As noted by Northouse (2007, pp. 96–97), SLT possesses several distinct strengths (vis-à-vis other theories of leadership dynamics). Specifically, the theory has stood the test of time in the marketplace of leadership training programs, as it is well-known and commonly used for training leaders” (Thompson & Vecchio, 2009, p. 838). In the same study, Thompson & Vecchio (2009) provide a

contrasting point, “While SLT has garnered substantial recognition within the area of management training (Blanchard & Nelson, 1997), the theory has also come under much criticism in academic circles for its lack of clear empirical support (Northouse, 2007; Yukl, 2006)” (p. 838). The contradiction between practitioners and researcher highlights an ongoing struggle within leadership research and practice, to find a framework that can bring the research and practice to a common point in use and theoretical soundness.

As the generations of leadership research continue, leadership theories increase in complexity. In the 1970s and 1980s, the next generation, or iteration, of leadership research emerges. Researchers examine aspects other than areas like leadership styles and follower’s maturity levels. This includes the motivational environment, which includes recognizing the needs of others and how leaders help followers find intrinsic sources of motivation. The idea in the new generation of leadership research includes creating transformational situations that focus followers on the greater good of the organization as opposed to their own self interests.

Transformational, charismatic and related leadership theories. James McGregor Burns and Bernard Bass are commonly cited as the earliest contributors to the theory of Transformational Leadership. According to Bernard Bass (2000), “transformational leaders raise the awareness of their constituencies about what is important, increase concerns for achievement, self-actualization and ideals. They move followers to go beyond their own self-interests for the good of their group, organization, community, country or society as a whole” (p. 21). As an example, Bass (2000) cites John F. Kennedy’s

inaugural address in which he declares, "My friends, ask not what your country can do for you, ask what you can do for your country" (p. 22).

Bass (2000) conducted extensive leadership research and introduced three major components of transformational leadership:

(1) *Charismatic and inspirational* leadership (the leader envisioned a valued future, articulated how to reach it, set high standards, and set himself as an example which followers identified with and wanted to emulate); (2) *intellectual stimulation* (the leader encouraged followers to question assumptions and look at old problems in new ways to enable the followers to be more innovative and creative); and (3) *individualized consideration* (the leader treated each of her followers individually with different needs for support and development). (p. 22)

As part of Bass' transformational leader studies he identifies the polar opposite of transformational leaders. Bass classifies these leaders as transactional leaders. Transactional leaders focus on extrinsic motivation or a quid pro quo approach. For example, in a production environment a leader may implement a piece rate for sewing shirts, whereby the follower receives more pay by sewing more shirts. In other words, the leader creates a situation in which sewing shirts may not matter to the individual but they do it because they receive some external reward for doing it. The transformational leader would create some sense of purpose in sewing shirts that aligns with the value system of the individual. Creating this alignment allows the individual to find an intrinsic reward and engages the individual in completing the activity. Stephen Covey (1991),

who has written extensively on leadership and personal development, further clarifies the differences between transformational and transactional leaders.

Transformational leadership is not the same as transactional leadership.

The former basically means that we change the realities of our particular world to more nearly conform to our values and ideals. The latter focuses on an efficient interaction with the changing realities. Transformational leadership focuses on the “top line” and is principle-centered.

Transactional leadership focuses on the bottom line and is event-centered. (p. 285)

The study of transformational and transactional leaders has provided a point of departure for additional related theories. Shamir, House, & Arthur, (1993) conducted an extensive review of studies related to transformational leadership and reveals the direction taken by leadership researchers began focusing on different aspects of transformational research. Shamir, et al. (1993) discovers that while the studies vary in their respective theoretical perspectives, all the studies demonstrate that followers of charismatic leaders find the leaders to be more effective, the employees perform better, and followers experience more motivation (pp. 578-579).

In addition to Shamir et al.'s research, Bennett conducts additional research adding the nontransactional laissez-faire type of leadership, also known as passive leadership, to that of transformational and transactional rounding out the theory. A laissez-faire type leader basically remains somewhat aloof from the followers believing the followers can manage themselves and the tasks. A lack of input and interactions defines this type of leader (Bennett, 2009).

Authentic Leadership theory relates to transformational leadership theory focusing on many of the same areas to include follower relationships. Authentic leaders act in accordance with deep personal values and convictions, to build credibility and win the respect and trust of followers by encouraging diverse viewpoints and building networks of collaborative relationships with followers, and thereby lead in a manner that followers recognize as authentic. As this process cascades to followers, they may also operate in a similar manner portraying to leaders, colleagues, customers and other interested stakeholders their authenticity, which over time may become a basis for the organization's culture (Avolio, Gardner, Walumbwa, Luthans, & May, 2004, p. 806). The central premise of authentic leadership "is that through increased self-awareness, self-regulation, and positive modeling, authentic leaders foster the development of authenticity in followers. In turn, followers' authenticity contributes to their well-being and the attainment of sustainable and veritable performance" (Avolio & Gardner, 2005, p. 317). The theories in this generation of leadership research continue to expand upon the previous generations by demonstrating how leaders can influence followers by methods of transformation that involve the follower's innate values and preferences.

As each generation of leadership research expands the depth and breadth of leadership knowledge, competing theories and approaches develop. The current body of leadership knowledge remains vast. The rapidly changing global economy forces organizations to reconsider the approach to leadership by searching for common ground among the competing leadership theories, opinions and thought leaders of today.

The Leadership Code

Thomas Friedman (2005), Richard Florida and Martin Kenney (Florida, 2005; Florida & Kenney, 1993) write extensively about the effects of globalization and its effect on organizations. Though these researchers see the causes and effects of globalization differently, they agree that globalization changes the way organizations must be led. Dychtwald et al. (2006), add to the argument noting “fundamental shifts in workforce demographics will affect every part of your organization, demanding changes not just to human resources practices, but also to management methods generally” (p. 233).

Further highlighting the need for change, a leadership competency study conducted by the Korn/Ferry Institute titled, *The world is flat...and so are leadership competencies* (De Meuse et al., 2010, p. 7), completed over a ten year period, includes six regions of the world. The study includes a list of the top ten leadership competencies as determined by managers and executives in North America and other nations. Table 1 illustrates that leadership research and development can no longer focus solely on building leadership traits. Attention focusing on external factors such as customer relationships, internal factors such as functional and technical skills, building effective teams and driving results remain areas with a need for inclusion in an effective leadership framework.

Table 1

Top Ten Leadership Competencies from Korn/Ferry Institute Study

Competency	NA	EU	NZ/AU	Asia	SA	AF
Integrity and Trust	1	6	1	1	2	1
Customer Focus	2	2	3	3	5	6
Ethics and Values	3	12	8	5	1	2
Drive for Results	4	1	5	2	3	3
Decision Quality	5	3	4	4	4	5
Functional/Technical Skills	6	5	2	8	6	4
Priority Setting	7	4	10	9	12	11
Problem Solving	8	8	17	7	17	18
Teams	9	9	12	6	11	7
Motivating Others	10	7	14	13	20	16

Note: Adapted from Korn/Ferry Institute Study of leadership competencies - De Meuse, Tang, Moldzik & Dai, 2010, p. 7.

Individual Leaders. Do leaders really matter in organizations? Jim Collins in his book, *Good to Great*, describes his attempt to play down the importance of leaders in his research. However, his research team kept pushing back because they saw something that indicted the importance of those who were effective leaders or what Collins called, Level 5 leaders. Collins (2001a) states, "I gave the research team explicit instructions to *downplay* the role of top executives... I kept insisting, 'Ignore the executives. . . .' The comparison companies also had leaders, even some great leaders. So what's different? . . . Finally-as should always be the case-the data won" (pp. 21-22). Collins premise was that individual leaders were not a key component in a successful company but his team's data showed the importance of leaders. Further driving home his point, Jim Collins (2001b) in a Fast Company Magazine interview states, "If I were running a company today, I would have one priority above all others: to acquire as many of the best people as I could... the single biggest constraint on the

success of my organization is the ability to get and to hang on to enough of the right people” (p. 6).

Effective leaders need to learn the fundamentals of leadership so they can be the best. As with most things in life, there are no shortcuts. If you want to be an expert, you have to put in the work. Malcolm Gladwell (2008) reports in his book, *Outliers*, it takes approximately 10,000 hours to become an expert at almost anything. Leadership is a skill that can be learned and if leaders do not master the fundamentals, they will fail as leaders (Ulrich & Smallwood, 2007, p. 20).

Professor Ronald Heifetz and others (Glover, Friedman, & Jones, 2002; Glover, Rainwater, Friedman, & Jones, 2002; Heifetz, 1994; Heifetz, Grashow, & Linsky, 2009) write extensively on an approach to leadership titled adaptive leadership. Part of what researchers advocate includes a need to approach leadership differently because of the variation in the context within which the organization operates.

Given that contextual demands shift constantly, an organization’s adaptive potential is always in flux....The ability of a human organization to meet the adaptive demands of its contexts, no matter how simple or how varied, is the key to its adaptive potential. (Glover, Rainwater et al., 2002, p. 35)

Researchers identify the importance of the individual leader’s ability to lead, the organization’s need for effective leadership capabilities and the varying environments in which they must operate to accomplish the stated goals of the organization. The study of leadership indicates that the context of leadership changes constantly. To deal with the constantly changing organizational context,

the impact of globalization and a myriad of leadership theories, a unifying leadership framework would provide leadership stability in an otherwise constantly changing environment.

Ulrich and Smallwood (2007) and Ulrich et al. (2008) posit a leadership framework titled the leadership brand as shown in figure 2.2. One segment of

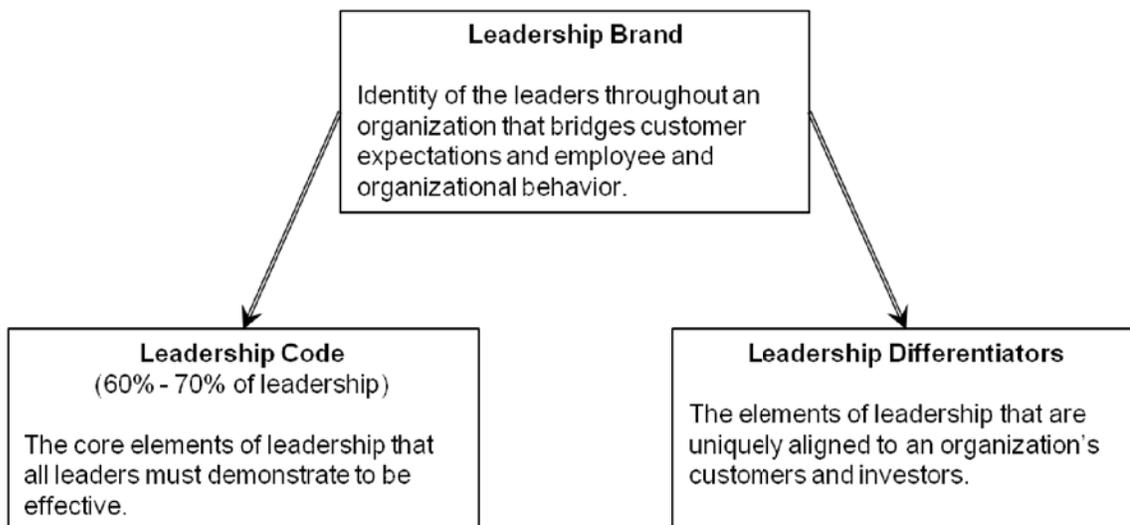


Figure 3. Leadership Brand. Description of the different parts of the leadership brand. (Ulrich & Smallwood, 2007, p. 18).

the leadership brand is the leadership code. In their book, *The Leadership Code*, Ulrich et al. (2008), describe their synthesis of the current body of leadership knowledge to create five foundational leadership rules.

This book attempts to do the improbable, if not the impossible. In a brief and clear way, we want to synthesize large numbers of frameworks, tools, processes, and studies of leadership to identify the essential rules that govern what all great leaders do. The challenge of synthesizing this amorphous and enormous body of knowledge is not easy, but it is important. (Ulrich et al., 2008, p. 2)

To synthesize the immense body of leadership research and theories Ulrich et al. (2008), . . . turn[ed] to recognized experts in the field who had already spent years sifting through the evidence and developing their own theories. These thought leaders had established a theory of leadership based on a long history of leadership research and empirical assessment of what makes effective leadership. Collectively, they [the thought leaders] have written over fifty books on leadership and performed well over 2 million leadership 360s. They are the thought leaders of this field. (p. 8)

Ulrich et al. (2008) conclude from extensive research that leadership comes from two primary parts:

One part the *leadership code* and the other the *differentiators*. The code represents about 60 to 70 percent of what makes an effective leader. It represents the basics, the fundamentals, or the essentials of leadership. The differentiators may vary by firm strategy and vision and by individual job requirements. *Mastering the code becomes the foundation on which effective leadership is established* [emphasis added]. (Ulrich et al., 2008, pp. 11-12)

The leadership code represents a great leap forward for leadership researchers and practitioners. The concept of a unified, synthesized leadership foundation has obvious benefits and can serve as, “the basis for all good leaders just as our genetic code determines our elemental core as people... (Ulrich et al., 2008, p. 3).” Using a similar analogy, Collins (2001a) provides a similar analysis regarding timeless and enduring principles.

Yes, the world is changing, and will continue to do so. But that does not mean we should stop the search for timeless principles. Think of it this way: While the practices of engineering continually evolve and change, the laws of physics remain relatively fixed. I like to think of our work as a search for timeless principles – the enduring physics of great organizations – that will remain true and relevant no matter how the world changes around us. Yes, the specific application will change (the engineering), but certain immutable laws of organized human performance (the physics) will endure. (p. 15)

The Dimensions of Time, Focus and Self. Due to the rapidity of change organizations face, having a foundational and defined leadership framework that will “remain true and relevant” over time provides a method to manage constantly shifting demographics and global changes. Leaders need to pay attention to the dimensions of time, focus and self. Dychtwald et al. (2006) indicate that leaders “must think both long term and short term about these issues [referring to changing workforce composition]. On one hand, plan on leaving your organization the legacy of a secure talent supply; on the other, insist on results from every workforce management initiative” (p. 233). The leadership code framework incorporates the dimensions of the long term and short term vision to accomplish those tasks spoken of by Dychtwald et al. (2006). The Y axis of the leadership code represents the dimension of time and the X axis represents the dimension of attention as shown in figure 4.

Figure 4 illustrates how the leadership code maps against the dimension of time indicated by near-term operational and long-term strategic. Effective leaders focus near term on the day to day needs of the individual and organization. Near term operational requirements includes change management, making day to day decisions in accordance with decisions protocols, building teams and assuring the organization possess the needed technical proficiencies. Near-term individual requirements includes assuring a positive working environment, communicating with workers and other stakeholders, assuring alignment with the company vision/mission and securing resources to meet demands (Ulrich et al., 2008).

Long-term strategic operational requirement includes activities such as creating a point of view about the future, creating customer-centric strategies and other strategy development related activities. Long-term individual requirements include encouraging the development of professional networks, helping others manage their careers, developing future talent and aligning the workforce with the future needs of the organization (Ulrich et al., 2008).

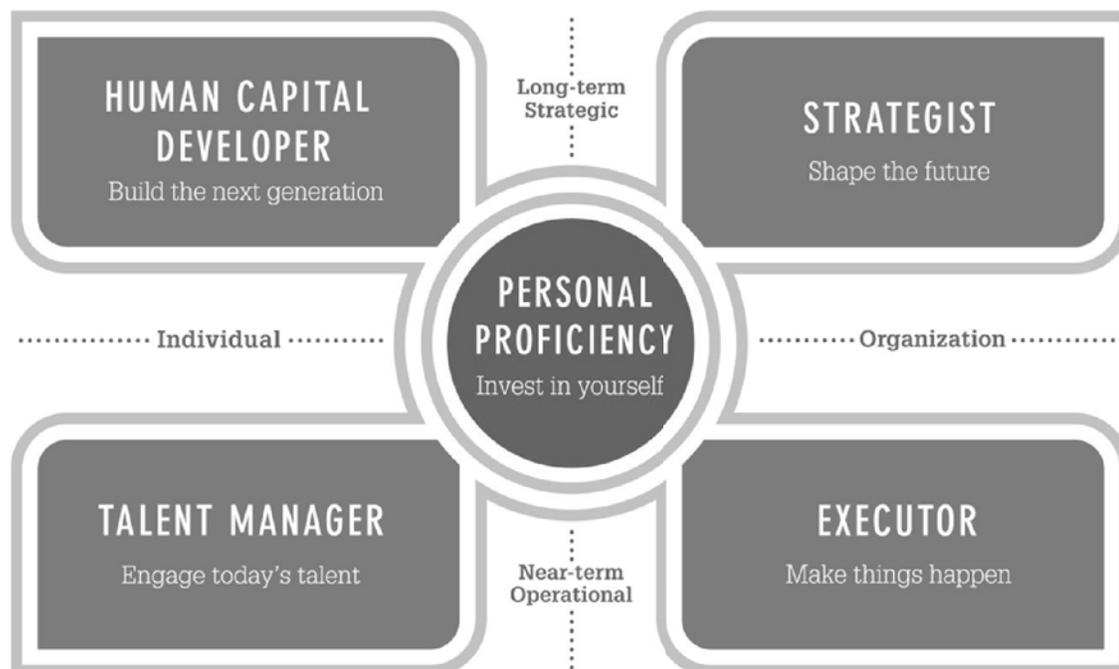


Figure 4. The Leadership Code (Used by permission of The RBL Group).

Personal proficiency resides at the heart of the framework to indicate that truly effective leaders must invest in their personal development while remaining self aware. Leaders need to understand their own strengths and weaknesses before they can help others develop. If they cannot “learn and grow as a leader, [they] will not be prepared to be a strategist, executor, talent manager, or human capital developer” (Ulrich et al., 2008, p. 130). Though Ulrich et al. (2008) refer to this as rule number five, it holds the most prominent position at the heart of the framework indicating that individuals will experience limited growth as leaders unless they master this rule first. “Without personal proficiency, it is not possible to keep the other dimensions in balance” (Ulrich et al., 2008, p. 13). The remaining leadership code rules exist in one of the four quadrants created by the axes of time and attention.

The strategist dimension or rule number one exists in the organization/future quadrant. Strategists focus on the future and assure that the organization has an unquenchable curiosity for what can be. They know how to partner with individuals and organizations internally and externally. “*Rule 1: Shape the Future*. This rule is embodied in the *strategist* dimension of the leader. . . .The rules for strategists are about creating, defining and delivering principles of what can be” (Ulrich et al., 2008, p. 15).

Located in the organizational/near-term quadrant is the executor dimension. Executors assure that organizations stay focused on executing their mission. They make changes where needed, building competencies, capabilities and demand outstanding execution of the organizations strategic focus. “*Rule 2: Make Things Happen*. . . . The *executor* dimension of the leader focuses on the question, ‘How will we make sure we get to where we are going?’ . . . The rules for executors revolve around disciplines for getting things done” (Ulrich et al., 2008, p. 15).

In the individual/near-term quadrant resides the talent managers. Talent managers are expert communicators. They focus much of their time and effort on ensuring that people are connected to the organization and have the resources they need to accomplish their mission. They create work environments that are interactive and rewarding to the employees. “*Rule 3: Engage Today’s Talent*. ‘Who goes with us on our business journey?’ *Talent managers* know how to identify, build, and engage talent to get results *now*. . . . The rules for talent managers center around resolutions that help people develop themselves for the good of the organization” (Ulrich et al., 2008, pp. 14-15).

The human capital developer resides in the individual/future quadrant. Human capital developers work to develop future talent. They assure that the organization can have a sustainable human capital legacy. This is accomplished through assisting employees to identify, define and develop future focused growth opportunities within the organization. They understand that early identification of future talent is tantamount to future success. *“Rule 4: build the Next Generation. Leaders who are human capital developers answer the question, ‘Who stays and sustains the organization for the next generation?’ . . . Human capital developers ensure that the organization will outlive any single individual”* (Ulrich et al., 2008, p. 16).

The five rules, or leadership code, build the foundation for effective leadership. The leadership code provides the map for leadership development and includes leadership and organizational internal and external variables not included in previous models.

There really is a codebook for leadership: a set of fundamental, must-do things leaders ignore at their peril. The vast body of leadership theory and research has established the essentials....With these basics in place, leaders can move on to begin shaping their organization’s leadership brand, and their own. (Ulrich & Smallwood, 2007, p. 20)

Assessing Leadership

Mastering the basics of leadership and showing that mastery amount to two very different things. The ability to measure leadership provides organizations and researchers with data that can assist in identifying development opportunities and demonstrate how a model such as the leadership

code can be applied in the *real world*. Three hundred and sixty degree feedback from multiple raters provides leaders with full circle feedback. Additionally, assessing leadership as an individual ability provides organizations with the opportunity to develop individual's leadership abilities which form the basis for the organization's leadership capabilities. 360 degree feedback instruments provide more informational avenues by which an individual can be evaluated. "This measurement approach is in accord with Lueder's (1985a,b) and Hersey's (1985) observations that descriptions of leader behaviors taken from the same leaders are suspect and that follower reports of leader behaviors should be preferred" (Thompson & Vecchio, 2009, p. 839).

Empirical research demonstrates that engaged employees perform better and are more effective in their work (Dai, De Meuse, & Peterson, 2010; London & Smither, 1995; Vukotich, 2010). Employee performance reviews are tools used to measure employee performance. While employee performance reviews come in different shapes and sizes, use of 360 degree feedback instruments have shown themselves as valuable and useful tools that can engage employees in the workplace.

Engaged followers who are involved in setting goals are more apt to accept and meet performance goals. Burke, Weitzel, & Weir (1978) in a study on effective performance reviews that employees are much more likely to align themselves with the goals of the organization when they are involved in the process. One of six effective performance review characteristics cited by Burke, et al. (1978) include ,

High levels of subordinate participation in the appraisal and development process (Maier, 1958; Solem, 1960; Greller, 1975; Nemeroff and Wexley, 1977; Wexley, Siiigh, and Yukl, 1973). In general, these studies show that the more the employee participates in the appraisal process, the more satisfied he is with the appraisal interview and his supervisor, and the more likely are performance improvement goals to be accepted and met (Latham and Yukl, 1975; French, Meyer and Kay, 1966). This variable has also been called "invitation to participate" by some investigators (e.g., Greller, 1975). (p. 904)

Expanding upon this traditional supervisor employee model of appraisal by implementing a 360 degree feedback model provides an even more inclusive format that can provide additional sources of feedback than the traditional single source appraisal (see Figure 5). "As the name implies, a person receives feedback from the 'full circle' of other people who work around him or her. Feedback is provided by others from every direction including peers, subordinates, supervisors, and even the individual him- or herself" (Livi, Emil, Irina, & Delia, 2009).

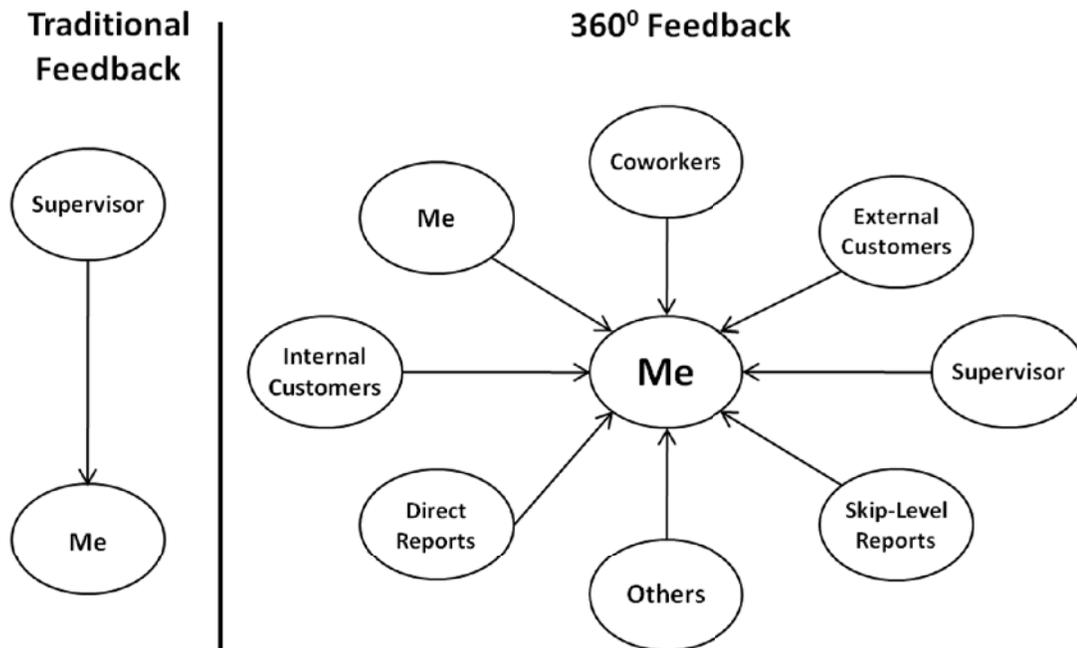


Figure 5. 360 degree feedback versus traditional feedback. (Liviu et al., 2009, p. 302)

A case study on the environmental services firm ENSR, demonstrates how a 360 degree feedback form was implemented to improve feedback to the employee.

Senior Vice President of Human Resources, Bob Kelleher (2009), indicates that based on the results of a 2002 employee survey, ENSR implemented the following steps regarding the then current performance review program:

- implementing 360-degree reviews to provide each employee with a better sense of his/her perceived strengths and weaknesses;
- rebranding the program from “Performance Review” to “Employee Development Planning”; and
- emphasizing that the manager and the employee work together to set clear goals and expectations

- and to outline appropriate training and development opportunities to help the employee reach his/her career goals (p. 10).

ENSR found that the implementation of a new performance review provided a better and more robust view of employees “perceived strengths and weaknesses” (Kelleher, 2009, p. 10).

Three hundred sixty degree feedback instruments have become well accepted in leadership studies and development programs. Kouzes and Posner (2010) developed the Leadership Practices Inventory (LPI) which is a widely used leadership 360 degree feedback instrument. Over one million LPI’s have been analyzed in the past two years (Kouzes & Posner, 2010, p. xx). Ulrich et al. (2008) comment that thought leaders in the leadership field have collectively “performed over 2 million leadership 360s” (p. 8). Using 360 degree feedback instruments is a highly utilized tool for conducting leadership research and application. Other types of survey tools identify other additional areas of concern such as employee engagement. Tools used to assess employee engagement provide researchers and organizations with the ability to understand not only the performance of the individual, as 360 degree feedback instruments, but also understand where to place leadership emphasis.

Employee Engagement

Employee engagement arose out of the study of employee satisfaction (Smith, Kendall, & Hulin, 1969). As research continued, in 1990, Kahn provided an early definition of employee engagement, “as the harnessing of organization members’ selves to their work roles; in engagement, people employ and express themselves physically, cognitively, and emotionally during role performance” (p.

694). Kim, Shin and Swanger (2009) discuss Kahn's early approach to engagement noting that, "Kahn (1990) identifies three psychological conditions related to personal engagement and disengagement: meaningfulness, safety, and availability" (p. 96).

Furthering the research done by Kahn and others, Maslach and Leiter (1997) posited that employee engagement and burnout were basically two ends of the same spectrum. Maslach and Leiter created the Maslach Burnout Inventory or MBI to measure burnout and engagement. Finally, in 2004, Schaufeli and Bakker publish their preliminary manual for the UWES based on their previous research of engagement and burnout. Schaufeli and Bakker indicate that burnout and engagement are two separate concepts and should be studied separately.

However, the fact that burnout and engagement are assessed by the same questionnaire [referring to the MBI] has at least two important negative consequences. First, it is not plausible to expect that both concepts are perfectly negatively correlated. That is, when an employee is not burned-out, this doesn't necessarily mean that he or she is engaged in his or her work. (Schaufeli & Bakker, 2004, p. 4)

Schaufeli and his research partners determine that burnout and engagement are two separate and distinct concepts and as such should be studied separately since a lack of burnout did not necessarily indicate engagement (Schaufeli et al., 2002).

For purposes of this study, the researcher uses the Schaufeli et al., definition of engagement:

[Engagement is] a positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption. Rather than a momentary and specific state, engagement refers to a more persistent and pervasive affective-cognitive state that is not focused on any particular object, event, individual, or behavior. *Vigor* is characterized by high levels of energy and mental resilience while working, the willingness to invest effort in one's work, and persistence even in the face of difficulties. *Dedication* is characterized by a sense of significance, enthusiasm, inspiration, pride, and challenge. . . .The final dimension of engagement, *absorption*, is characterized by being fully concentrated and deeply engrossed in one's work, whereby time passes quickly and one has difficulties with detaching oneself from work. (Schaufeli et al., 2002, pp. 74-75)

Employees who demonstrate engagement as defined by Schaufeli, et al. represent a valuable resource for leaders who understand what it takes to reach the vision and mission of the organization.

Effective leaders believe and research confirms that employees, especially those who directly interact with customers have an increasing effect on an organizations success (Gostick & Elton, 2009; Heyman, 2010; Hsieh, 2010). Engaged employees serve as a valuable resource in understanding customer needs and creating organizational capabilities that support and align the mission of the organization and the needs of the customer. Oakley (2004) reports, "There is a direct link between employee satisfaction and customer satisfaction,

and between customer satisfaction and improved financial performance” (p. 1).

Oakley continues,

Issues regarding communication, *supervisory interactions* [emphasis added], and job design are key drivers [to] the climate within an organization. Communication within the organization is critical to disseminate information and create an environment where employees feel valued. In addition, employees’ perceptions of *supervisory behavior* [emphasis added] have considerable impact on their work attitudes. Effective job design and empowerment enable employees to act on behalf of the customer, improve decision making, and increase autonomy, all of which should lead to greater job satisfaction. (p. 5)

The leadership code in large part focuses on the needs of employees both as it relates to employees directly and indirectly to the employee interactions with customers and other stake holders. In addition to Oakley’s (2004) research findings, additional engagement research show that leaders who demonstrate higher levels of empowerment tend to have higher engaged employees with lower turnover intention (van Schalkwyk, du Toit, Bothma, & Rothmann, 2010). Based on the research findings, organizational leaders must understand how to engage employees so organizations can create sustainable capabilities to accomplish the mission of the organization (Beehr, Glazer, Fischer, Linton, & Hansen, 2009). Finally, organizations with highly engaged employees have higher financial returns (Beehr et al., 2009; Fleming & Asplund, 2007; Harter et al., 2002; Many employees would fire their boss, 2007; Oakley, 2004; Xanthopoulou et al., 2009).

As the research has shown engaged employees are critical to the success of an organization, it follows that organizations want to know if they have an engaged workforce. Two engagement instruments commonly used to assess employee engagement include, the Gallup Q12, previously called the Gallup Workplace Audit (Harter et al., 2002) and the Utrecht Work Engagement Scale or UWES (Schaufeli & Bakker, 2004). While both are recognized and used internationally to assess employee engagement, the UWES is often used due to its low cost, ease of availability and demonstrated validity in measuring engagement (Harter et al., 2002; *The individual in the changing working life*, 2008, pp. 380-404; Schaufeli & Bakker, 2004). Because of these factors, the researcher has chosen to use the UWES.

Finally, Harter et al. (2002) offers a meta-analysis study demonstrating the link between unit level managers, their direct report employee's engagement and unit level results. Similarly, the current study looks at the relationship between the leader's score on a leadership code 360 survey instrument and their direct report's employee engagement score which provides an important addition to the study of the synthesized leadership code framework posited by Ulrich et al. (2008).

Summary

Leadership theories have been developed and modeled since the late 1800's. Each generation of leadership theory builds upon the last and identifies new research and criteria for inclusion in the next generation of leadership theory. The effects of globalization, a shift to a knowledge-based economy and the changing demographics create the need to enter a new generation of

leadership development to enhance the current ARE-KNOW-DO leadership development model (De Meuse et al., 2010; Dychtwald et al., 2006). Ulrich et al. (2008) posits such a framework titled the leadership code which represents a synthesized leadership model that like previous models builds upon past models while including additional variables.

Since the leadership code represents a synthesis of previous leadership theories, frameworks and input from leadership thought leaders, little additional research has been completed on the leadership code and leadership brand other than that of Ulrich & Smallwood (2007) and Ulrich et al. (2008). As Ulrich et al. (2008) state, “The challenge of synthesizing this amorphous and enormous body of [leadership] knowledge is not easy, but it is important” (p. 2). The Leadership Code builds upon and synthesizes past and current leadership research and frameworks.

Employee engagement research demonstrates how vital employee engagement remains to organizations in accomplishing the stated missions and goals. Considering the relationship between the leadership code and employee engagement is the focus of this study. If effective leaders need engaged employees, then understanding the significance and relationship between the leadership code and employee engagement provide exceptional opportunities for further study and research. A detailed explanation of the research design and methodology utilized to better understand the relationship between the leadership code and employee engagement is included in the following chapter.

CHAPTER III

RESEARCH DESIGN AND METHODOLOGY

Introduction

This study examines the relationship between the *Leadership Code 360⁰* (LC360) scores of supervisors with the titles of manager, assistant manager and front line supervisor at a Native American casino as perceived by their direct report employees and the employee engagement scores of the supervisor's employees on the UWES. The leadership code framework consists of five rules or domains representing a synthesis of various leadership theories (Ulrich et al., 2008). The five rules or domains of the leadership code include: Strategist, Executor, Talent Manager, Human Capital Developer, and Personal Proficiency. The UWES measures employee self perception of work engagement.

The researcher investigated the relationship between the LC360 domain scores and the UWES scores from direct report employees as stated in research objectives one through five below.

Research Objective 1: Determine the relationship between the strategist rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 2: Determine the relationship between the executor rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 3: Determine the relationship between the talent manager rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 4: Determine the relationship between the human capital manager rule and employee engagement as perceived by the supervisor's direct reports.

Research Objective 5: Determine the relationship between the personal proficiency rule and employee engagement as perceived by the supervisor's direct reports.

As demonstrated in the literature, leadership and employee engagement are two important organizational areas of study (BlessingWhite Research, 2011; Intagliata et al., 2000; Robison, 2010). As the leadership code framework serves as a synthesis of previous leadership theories developed "to identify an underlying framework of knowledge, skills, and values common to all effective leaders" (Ulrich et al., 2008, p. 5), this study determines if the leadership code framework relates to employee engagement. The research design, population, sample, survey instruments and data collection process and analysis are discussed in this chapter.

Research Design

To determine if a relationship between the five rules of the leadership code and employee engagement exists, a cross-sectional exploratory study was undertaken. Belli (2009) describes cross-sectional research as data, "collected at one point in time, often in order to make comparisons across different types of respondents or participants" (p.66). In exploratory research, "the goal is not to examine theoretically specified relationships, but simply to find a good set of predictors" (Agresti & Finlay, 1997, p. 533). The current study focuses on

exploring the relationship between the five rules of the leadership code and employee engagement.

To study that relationship, two survey instruments, the *Utrecht Work Engagement Survey* (UWES) and the *Leadership Code 360* (LC360), were used to gather data. The reliability and validity of the instruments are discussed later in this chapter. The data from both instruments was gathered at a single point in time as indicated by the cross-sectional study design.

Population

The target population for this study (N=772) includes supervisors (with titles such as Managers, Assistant Managers, and Supervisors), their bosses and the full-time employees who report to the supervisors. The population is a Native American casino in the southeastern United States. The population consists of employees who work in various areas of the casino including food and beverage, gaming, administration, support services, compliance, marketing and accounting. Length of employment for members of the population range from less than one year to over 18 years, consists of males and females over the age of 18, with an average age of 35. Most job positions represented in the population for this study require at least a high school diploma or equivalent, and the primary spoken language is English.

Sample

A purposive sample (n=195) consisted of 13 supervisors, 39 supervisor peers, 13 bosses (the person to whom the supervisor reports) and 130 employees who report directly to the supervisor. The sample consisted of two phases. The first phase of the sample identified eligible supervisors and the

second phase identified eligible employees, direct reports, who report directly to the supervisor. Because of the organizational structure of the organization, the number of available supervisors, and the LC360 cost, only 13 supervisors were selected to participate. Planning to use 13 supervisors for the sample provides a sufficient number of supervisors to participate in the study in the event one or two drop out. Using this number of supervisors also provides a sufficient number of employees who report directly to the supervisor, as defined in the selection criteria below, and provides the opportunity to study the relationship. Employees who report directly to the supervisor make up the rater groups. According to The RBL Group, generally, a rater group consists of 10-12 raters, but smaller groups are acceptable (A. Brandt, personal communication, April 8, 2010).

For consideration in the study, participants were required to meet the following criteria:

1. A full-time employee with at least one year in their current position.
2. Employed for at least one year.
3. Reporting directly to a supervisor with at least 10 direct reports.

Supervisors and their direct report employees who met the criteria were identified by the Human Resource Manager (HRM). The HRM created a list of all eligible supervisors based on the above criteria. The HRM randomly selected supervisors from the list using a computerized random name generator. After obtaining the names of the supervisors, the HRM used the same selection technique to select eligible employees to participate as raters. The anonymity of participants was a critical concern throughout the study. Steps to assure participant anonymity and confidentiality are discussed in the next section.

Confidentiality of Participants

Approval for this study was obtained from The University of Southern Mississippi Institutional Review Board (Appendix A) and the General Manager of the organization (Appendix B). All participants were 18 years of age or older and asked to sign the Authorization to Participate in Research Project form (Appendix F).

The supervisor personally invited their boss and their peer managers to rate the supervisor on the leadership domains by completing the LC360. Unique identifiers used to protect the anonymity of supervisors and direct report employees were assigned by the HRM. A unique identifier, such as the letter "A", was assigned to the supervisor participants. Each employee reporting to a supervisor was identified by the same letter as their supervisor, linking them to their supervisor, and assigned a number such as "1" resulting in "A1". The unique identifier, "A1", indicates that the employee works for supervisor A and is employee number 1. Names of peer managers and bosses were not available to the researcher who only had access to the unique identifiers for the supervisor and the direct reports.

The RBL Group sent an e-mail with the unique URL links to the LC360 and the UWES to all participants. The RBL Group, a professional leadership development company experienced in survey design compiled the LC360 responses. UWES responses were collected by SurveyMonkey, an online survey company .

A master coding document linking the names of the supervisors and employees to their individual unique identifiers was sent by the Human

Resources Manager to the RBL Group. The RBL Group stripped names and identifiers from the raw data, replacing it with the unique identifier before returning the data to the researcher. The master coding document was destroyed by The RBL Group after completion of the research.

Data Collection

Steps taken prior to collecting data to assure consistent and reliable data collection included:

1. Obtained permission from the General Manager at the organization to conduct the study.
2. Obtained permission to use the UWES instrument from Professor Wilbur Schaufeli, the test designer.
3. Purchased and obtained permission to use the Leadership Code 360 survey instrument from The RBL Group.
4. Drafted a memo to participants indicating the purpose of the study, the use of the data, participant confidentiality, and other instructions necessary to complete the survey instrument.
5. Obtained permission to conduct the research from The University of Southern Mississippi Institutional Review Board.
6. Conducted training with the Research Assistants (RA), selected from employees in the Human Resources department, who administered the surveys. The RA's were trained on how to deliver the oral presentation, gather Authorization to Participate in Research Project forms, assure that the unique identifiers were appropriately listed, and

be available to answer any questions asked by participants related to the study.

7. Selected participants.
8. Distributed invitation memos in sealed envelopes via the organization's interdepartmental mail system.
9. The Human Resource Manager created the master coding document and submitted to The RBL Group.
10. Created a PowerPoint slide reminder for participants displayed in the employee dining area, accessible to all employees.

Procedures. Data was collected over a three-week period to encourage employees to participate in the study. Employees received their regular base rate of pay for survey completion. No other rewards or benefits were offered or received by those participating in the study. Participants scheduled a time to complete the surveys immediately before, after or during their regularly scheduled work shift at the casino.

A large, well lit conference room, generally used for training and located in the Human Resource department, was set up for survey completion. Each participant signed the Authorization to Participate in Research Project form and returned it to the RA (Appendix F). Once the trained RA read the oral presentation (Appendix G) and collected the Authorization to Participate in Research Project form, the participants began completing the survey. Computers were set up on tables with enough distance between monitors to avoid collaboration of participants while responding to the survey.

Specific time periods were approved by the organization during a three week span. The Human Resource Manager provided the researcher with appropriate times for use of the room several times over a three week period. During the times approved by the Human Resource Manager, a trained RA familiar with the use of the computer who could answer general survey completion questions remained in the room. Each participant completed the LC360 and UWES via computer by accessing the unique URL e-mailed from The RBL Group.

The survey consisted of three separate parts: The LC360, the UWES, and demographic information such as the unique identifier, age, gender, and occupation. While age, gender, and occupation are not utilized in the current study, the author of the UWES required this data in exchange for use of the UWES (see Appendix C). Upon completion of the survey, the RA reset the computer to the start screen, eliminating access to the previous participant survey or e-mail account.

Contingencies and Follow up

The RBL Group sent one e-mail reminder weekly for three weeks to any participant who had not completed the survey until at least 11 supervisors and eight employees reporting to each supervisor completed the survey. Reaching these numbers ensured the desired representation from both supervisors and employees. Additional study participation reminders were sent through interoffice company mail three weeks after the initial invitations. When at least nine employees reporting directly to the supervisor completed the survey, no

additional reminders were sent to other employees reporting to that individual supervisor.

Additional Contingencies Implemented

At the beginning of the third week of data collection, only eight supervisors and 32 direct reports had completed the survey. The Research Assistants reported the method of survey completion appeared to impede participants from completing the survey. Participants had difficulty completing the survey electronically. Many were unfamiliar with operating computers to take surveys, forgot e-mail passwords and in one case could not operate the computer mouse effectively enough to complete the survey.

Based on the Research Assistant feedback and in consultation with the researcher's dissertation committee, participants were given the option to complete the survey in paper-based format. Survey collection was extended an additional week. The paper format looked identical to the electronic version and all other collection procedures remained in place.

Survey input for the paper-based versions were completed by a long-time Human Resource Professional experienced in data entry. The Human Resource Professional input the data directly into the same survey system as the electronic version. She received a unique link for each participant from The RBL Group and using the unique link input all LC360 data from the individual participants. The same Human Resource Professional completed the data input for the UWES. All UWES data was input into the SurveyMonkey survey system individually for each participant and identifying them using their unique identifier previously assigned by the Human Resource Manager. The same level of

confidentiality remained in place to protect the anonymity of the participants whether the survey was completed electronically or on paper. The next section describes the LC360 and the UWES survey instruments.

Survey Instrumentation

To explore the relationship between the five dimensions of the leadership code and employee engagement, the Utrecht Work Engagement Survey (UWES) and the *Leadership Code 360* (LC360) feedback instrument were used to gather data. Validity and reliability measures specific to these instruments are discussed in their specific sections later in this chapter.

Leadership Code 360 Degree Feedback Instrument

The LC360 is a survey instrument designed to provide a 360 degree perspective of a leader's behaviors. Feedback can be obtained for 360 degree feedback instruments from the individual being rated, the individual's supervisor, peers, and direct reports (Vukotich, 2010). The LC360 is a 360 degree feedback instrument designed by The RBL Group, cofounded by Dave Ulrich and Norm Smallwood, and in conjunction with organizational psychologists Owens Jacobs and Mike Sanders (See Appendix D) from the company, Human Resource Tactics. The LC360 obtains data that assesses leaders on their *ability to deliver results* associated with leadership behaviors not just their *ability to exhibit general performance behavior*. In other words, the LC360 instrument intends to assess observed results not generalized behaviors.

While most leadership assessments are based on the assumption that individuals who exhibit these behaviors will produce results that are valued by the organization, in the Leadership Code 360 Assessment, that

assumption is checked for each individual participant as raters rate their performance in *delivering results that matter* [emphasis added], not just in exhibiting behaviors that have been linked to high performance more generally. (Jacobs & Sanders, 2009, p. 3)

To obtain a comprehensive view of the supervisor's demonstrated ability to deliver leadership results, their boss, direct reports and peers (those at the same authority level) complete an LC360 assessing the supervisor's ability. The LC360 information is aggregated and scored to provide an overall leadership code score and individual scores for each of the leadership code domains based on a Likert type scale ranging from one (Poor, 0-25%) to five (Outstanding, 91-100%). The rater may also indicate, "unable to rate" for any of the questions.

Table 2

Sampling of Questions Comprising the LC360

Question	Leadership Domain
Translates our strategy into a compelling and achievable story.	Strategist
Excels at generating commitment to future directions.	Strategist
Makes needed changes happen.	Executor
Monitors work in progress and provides timely corrections.	Executor
Creates a work environment that is upbeat and supportive.	Talent Manager
Ensures people get the information they need to be productive and engaged.	Talent Manager

Table 2 (continued)

Question	Leadership Domain
Invests time in helping key employees develop and advance.	Human Capital Developer
Maintains updated picture of what our future talent needs will be.	Human Capital Developer
Consistently looks for novel ways to solve new problems.	Personal Proficiency
Rarely spends time on trivial tasks that can be delegated.	Personal proficiency

Note: Adapted from paper based leadership code survey tool, J. Baker, personal communication, May 12, 2011. Used by permission of The RBL Group. Copyright 2011 and all rights reserved.

Table 2 provides a sampling of LC360 questions linked to the five leadership domains. The LC360 contains a total of 71 scored questions and two open ended questions spread across the five domains of effective leadership as defined by Ulrich et al. (2008). Table 3 lists the five leadership code domains and the number of questions relating to each domain.

Table 3

Number of Questions for Leadership Code Domains

LC360 Domain	# of Questions
Strategist	9
Executor	11
Talent Manager	13
Human Capital Develop	10
Personal Proficiency	24

The five domains refer to specific foundational leadership abilities of effective leaders based on the dimensions of time and focus as shown on the x and y axis

of the model. The strategist domain represents a long term organizational approach. Effective strategist leaders “can clearly articulate a vision of what those [future organizational] changes will require of the organization and create consensus around how to organize and respond...” (RBL Group, 2010, p. 5). The executor domain represents a near-term organizational approach. Effective executor leaders “set clear priorities and accountabilities and get things done” (RBL Group, 2010, p. 5). The talent manager domain represents a near-term employee individual approach. Leaders who have mastered the talent manager domain “create an open, positive leadership climate that engages employees hearts, hands and minds” (RBL Group, 2010, p. 5). The human capital developer domain represents a long term individual approach. Effective human capital developers “keep a clear line of sight between the future strategy and the skills and competencies...” and know how to develop talent for the future (RBL Group, 2010, p. 5). The personal proficiency domain resides in the center of the model and ties the other four action domains together. The personal proficiency domain represents “behaviors that are critical to performing and sustaining the actions effective leaders take” (RBL Group, 2010, p. 4). In addition to the LC360, participants completed the Utrecht Work Engagement Scale.

Utrecht Work Engagement Scale (UWES)

The UWES measures the level of an employee’s work engagement. Schaufeli and Bakker (2004) define work engagement as “a positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption. Rather than a momentary and specific state, engagement refers to a

more persistent and pervasive affective-cognitive state that is not focused on any particular object, event, individual, or behavior” (pp. 4-5).

The UWES identifies and measures three constituting aspects of work engagement: vigor, dedication, and absorption.

Vigor is characterized by high levels of energy and mental resilience while working, the willingness to invest effort in one’s work, and persistence even in the face of difficulties.

Dedication refers to being strongly involved in one's work and experiencing a sense of significance, enthusiasm, inspiration, pride, and challenge.

Absorption is characterized by being fully concentrated and happily engrossed in one’s work, whereby time passes quickly and one has difficulties with detaching oneself from work. (Schaufeli & Bakker, 2004, p. 5)

A shortened nine question Utrecht Work Engagement Scale (UWES) shown in Appendix D (Bakker, Schaufeli, Leiter, & Taris, 2008; Schaufeli, Bakker, & Salanova, 2006; Seppala et al., 2009), was used. The shortened survey best fits the objectives of this study because it reduces the amount of time participants spend completing the survey and avoids survey fatigue.

Researchers have used the UWES in a number of groups and organizations in various parts of the world. According to Seppala et al. (2009), “The UWES has been translated into many languages and used among different occupational groups (e.g., blue-collar workers, dentists, hospital staff, managers,

police officers, teachers; see Schaufeli 2007a; Schaufeli and Bakker 2003)” (p. 460).

The UWES uses a six point Likert scale to describe how frequently participants experience work engagement during a work day. Participants select a number on each question ranging from *zero (0, never)* to *six (6, always, every day)* to describe their work experience. The questions relate to the three areas of work engagement: absorption, dedication and vigor. Dr. Wilmar Schaufeli grants researchers permission to use the UWES in exchange for the data collected from their studies (see Appendix C). Threats to reliability and validity for the UWES and the LC360 are discussed in the next sections.

Reliability and Validity

Utrecht Work Engagement Survey

Several research studies report that the UWES is the most widely used instrument to measure work engagement on an international basis and serves as a valid and reliable test instrument (Bakker et al., 2008; Schaufeli & Bakker, 2004; Schaufeli et al., 2006; Schaufeli et al., 2002; Seppala et al., 2009). These studies focus on a wide variety of work groups, organizations and nationalities. “Since its introduction in 1999, a number of validity studies have been carried out with the UWES that uncover its relationship with burnout and workaholism, identify possible causes and consequences of engagement and elucidate the role that engagement plays in more complex processes that are related to worker’s health and well being” (Schaufeli & Bakker, 2004, p. 8). The UWES is appropriate for the population being studied since the instrument provides valid and reliable data that demonstrates the engagement scores for employees. The

use of the LC360 and UWES can “identify possible causes and consequences of engagement” (Schaufeli & Bakker, 2004, p. 8) for the study population and provide some understanding of the importance of leadership abilities as demonstrated by the supervisor.

Bakker et al. (2008) provide additional research on employee engagement survey instruments indicating that “the most often used instrument to measure engagement is the Utrecht Work Engagement Scale (UWES; Schaufeli & Bakker, in press; Schaufeli et al., 2002).... All investigations used confirmatory factor analyses and showed that the fit of the hypothesized three-factor structure to the data was superior to that of alternative factor models” (p. 190). The three constituting parts, absorption, dedication and vigor, represent employee engagement and as indicated represent a superior and reliable survey instrument. Finally, the UWES Cronbach’s α for each of the UWES-scales are located in Table 4 and “are well above the criterion of .60 that is recommended for newly developed instruments (Nunnally & Bernstein, 1994)” (Schaufeli & Bakker, 2004, p. 14). Adding to the UWES body of knowledge and building on past research and other validity studies, Seppala et al. (2009) found that, “The UWES-9 seems to be a sound measure of work engagement and the use of the 9-item version of the scale can be recommended in future research on occupational well-being” (p. 479). Based on the above factors, the UWES-9 was selected to measure employee engagement.

Table 4

Utrecht Worker Engagement Survey Alpha Scores

	UWES-9 (N=9,679)			UWES-15 (N=9,679)			UWES-17 (N=2,313)		
	Total	Md	Range	Total	Md	Range	Total	Md	Range
Vigor	0.84	0.84	.75 - .91	0.86	0.86	.81 - .90	0.83	0.86	.81 - .90
Dedication	0.89	0.89	.83 - .93	0.92	0.91	.88 - .95	0.92	0.92	.88 - .95
Absorption	0.79	0.79	.70 - .84	0.82	0.81	.75 - .87	0.82	0.8	.79 - .88

Note. UWES-9, UWES-15 and UWES-17 represent the Utrecht Work Engagement Survey consisting of nine questions, 15 questions and 17 questions respectively. Md=median alpha score. Adapted from UWES, Schaufeli & Bakker, 2004, p. 14.

Leadership Code 360 Assessment (LC360)

Any results regarding the use or results of the LC360 instrument have yet to be published in scholarly research. However, current research in Ireland uses the LC360 instrument to study leadership within the Irish government, but data is not yet available. Though no LC360 published research could be located, organizational psychologists conducted an in-depth analysis of the LC360 and found internal consistency and demonstrated discriminant and predictive validity as presented later in this chapter (Jacobs, 2009; Jacobs & Sanders, 2009).

Alpha scores for each of the four action domains (Strategist, Executor, Talent Manager, Human Capital Developer) in the *Leadership Code 360* are .95 or above. The personal proficiency domain which includes seven competencies equal .85 or above. While the high alphas (assuming a lower alpha coefficient limit of .70) suggest that the five rules are unidimensional, only four of the seven

competencies in the personal proficiency area “were meaningful but not aligned with the hypothesized competencies” (Jacobs, 2009, p. 2).

“While the individual competencies in this area [personal proficiency] also had high alphas, a factor analysis of the item pool produced four components rather than seven, which are more meaningful if regarded as attributes of the rated managers rather than competencies...” (Jacobs, 2009, p. 4). Jacobs and Sanders (2009) recommend the 360 degree survey designers “consider adding a section to the feedback report that captures the new grouping identified in the factor analysis of the personal proficiency items. For the immediate future, awaiting further data collection, the competency breakouts of these items probably should be retained” (p. 5). Because these findings do not change the internal consistency of the instrument but refer to the way in which the items are perceived, the instrument still provides appropriate and significant data sought for the current research project. In addition to internal consistency, Jacobs (2009) indicates that the LC360 has both discriminant and convergent validity as demonstrated by the same/not-same variables listed in table 5.

Table 5

Leadership Code 360 Discriminant and Convergent Validity Measures

	Same	Not Same
Strategist	0.41	0.32
Executor	0.38	0.29
Talent Manager	0.32	0.24

Table 5 (continued)

	Same	Not Same
Human Cap Dev	0.25	0.17
Clear Thinking	0.41	0.21
Know Self	0.13	0.16
Tolerate Stress	0.26	0.13
Learning Agility	0.34	0.18
Character/Integrity	0.28	0.10
Take Care of Self	0.26	0.07
Passion/Energy	0.37	0.15

Note. Adapted from Leadership Code Analysis, (Jacobs, 2009, p. 3).

Huck (2004) reports, “Claims of construct validity are more impressive when evidence regarding both convergent *and* discriminant validity is provided” (p. 92). The authors of the LC360 instrument have provided convergent and discriminant validity statistics illustrating the document to be statistically valid and that the participants in the study were able to discriminate among the different domains. This “indicates that developmental feedback using this 360 degree would be based on valid variance” (Jacobs, 2009, p. 3).

In addition to the use of the nine-item UWES in the research design, the LC360, the sole instrument available to study the five rules of the leadership code, is central to the current study. The research objectives for this study all relate to the five rules of the leadership code and employee engagement. A valid

and reliable survey instrument such as the LC360 is required to gather data related to the five rules of the leadership code.

Summary

The location of this cross-sectional exploratory study is a Native American casino located in the southern United States. The population of the study consists of approximately 772 employees, defined as supervisors and their direct report employees, employees who report directly to the supervisor. The selection of participants occurred through a purposive sampling technique and consisted of approximately 195 participants.

Participants completed a survey consisting of the LC360, the UWES, and some demographic information as required by the creator of the UWES in exchange for usage of the UWES. The LC360 gathered data from the participant, boss, peer managers and direct report employees indicating how fundamental leadership abilities are perceived by the raters. The UWES gathered data indicating how direct report employees perceive their own work engagement. Lastly, demographic information regarding the sample was collected.

SPSS was used to analyze the data and obtain descriptive statistics, including mean and standard deviation. Cronbach's alpha was conducted to assess reliability and internal consistency. Finally, Kendall's Tau was conducted to determine the relationship, if any, between the five leadership code domains and employee engagement. The final chapters of this study include the data findings and results obtained from the LC360 and UWES along with a discussion of the results and recommendations for future research.

CHAPTER IV

RESULTS

Introduction

This study conducted at a Southeastern Native American casino determined if a relationship existed between casino supervisor's leadership abilities as defined by Ulrich et al.'s (2008) leadership code framework and the direct report employee work engagement as defined by Schaufeli and Bakker's (2004). Ulrich et al.'s (2008) leadership code synthesizes the body of leadership research into five basic rules or domains required of all effective leaders. Schaufeli & Bakker's (2004) work engagement survey indicates how engaged employees feel towards their work.

The Leadership Code 360 Survey (LC360) was used to ascertain how employees perceived their supervisor's leadership abilities. The LC360 presented participants a number of questions related to each of the five leadership domains. The number of questions for each domain varied from nine to 24 questions. Employees were asked to respond to questions related to their perceived work engagement using the Utrecht Work Engagement Survey (UWES). The UWES consisted of nine questions that when combined provide a worker engagement score. Of note, the same nine questions of the UWES were correlated to each of five leadership code domains based on the employee participant's responses to determine the relationship between each of the five leadership domains and employee engagement. A discussion of the analysis and findings from the responses of the direct report employees on the LC360 and the UWES follows.

Data Analysis

The research objectives sought to determine the perceived relationship between the casino employees self-reported work engagement and the rating of their supervisors on the five domains of the leadership code. Participants accomplished this by rating their supervisor's leadership abilities on the LC360 and the employees self-rating for engagement on the UWES. The data collected from the UWES and LC360 resulted in ordinal data.

Ordinal data provides limited but meaningful information. Sheskin (2004) describes ordinal scales such as the data obtained using the UWES and the LC360 from the participants in this study as follows:

In an ordinal scale, the numbers represent rank-orders and do not give any information regarding the differences between adjacent ranks. Thus, the order of finish in a horse race represents an ordinal scale. If in a race Horse A beats Horse B in a photo finish, and Horse B beats Horse C by twenty lengths, the respective order of finish of the three horses reveals nothing about the fact that the distance between the first and second place horses was minimal, while the difference between second and third place horses was substantial. (p. 3)

Since the raw data obtained by the UWES and LC360 surveys resulted in ordinal data, it needed some manipulation prior to analysis in SPSS. For example, raters answered nine questions from the LC360 on the strategist domain. Each answer resulted in a "1" through "5". To retain the variability in the nine responses for the strategist domain, the nine ratings were summed resulting in a single score which retained the characteristics of the ordinal data. This process

took place with every domain and employee engagement score for each individual rater. The researcher used SPSS to complete the analysis of the ordinal data producing Kendall's tau for each of the five leadership code domains. A brief description of the demographic information follows this section.

Demographics

A total of 194 casino employees whom the Human Resource Manager confirmed reported directly to a supervisor were invited to participate in the study. Of the 194 invited employees, 92 volunteered to participate, yielding an initial response rate of 47.4%. From the participants who completed the survey documents, one chose to drop out of the study, three were excluded because they failed to provide the correct indicator linking them to the appropriate supervisor, six because their supervisor dropped out of the study causing them to drop out, and 14 due to incomplete surveys that could not be repaired using data imputation as described later in the study leaving a total of 68 direct report participants, a 35% final response rate.

Employee participants ranged in age from 18 to 65 years of age with 41-45 as the median age range. Fifty nine (86.8%) participants were female and nine (13.2%) male. The largest number of participants were food and beverage employees ($n=28$) followed by the slot area employees ($n=13$) as the second largest group.

As reported by the Human Resource Manager, supervisor participants averaged 46.8 years of age. Nine supervisors participating in the study were female and one was male. The number of direct reports, reporting to an

individual supervisor, who ultimately completed the LC360 and UWES surveys ranged from seven to nine.

The employee rating of supervisors on the five leadership domains from the LC360 and the employees work engagement self assessments scores from the UWES were analyzed using SPSS. The employee responses to the LC360 and the UWES were used to identify relationships between the five leadership code domains and employee engagement. From the correlation of these responses, a Kendall's tau was obtained. Prior to discussing the research objectives, a short discussion of Kendall's tau and Cronbach's alpha follows.

Data Imputation

After removing 10 data cases due to participants asking to be dropped, inaccurate identifying information, and supervisors dropping out causing employee participants to be dropped, a total of 82 completed surveys remained. A Little's MCAR test was performed (chi-square = 2347.888, DF = 2373, Sig. = .639) indicating the remaining cases of missing data were missing completely at random (MCAR). The use of data imputation for the 82 cases was discussed with the researcher's dissertation committee. After further discussion the decision to use mean imputation was made.

A decision to either impute or remove cases resulted after reviewing the missing data cases. According to Barzi and Woodward (2004) no data imputation method seemed satisfactory if a response set includes more than 60% of missing data. "Predictors with a high rate of missingness are probably best omitted because they would increase the variability about the estimates of interest rather than provide information" (Barzi & Woodward, 2004, p. 35). A

conservative approach was taken to determine which cases to remove from the current data set.

If 50% or more of the responses from a participant's response set were missing in any of the five leadership domains or the employee engagement responses, the entire case was deleted. This seemed appropriate since the study focused on the individual relationship between each of the five leadership domains and employee engagement. Based on this parameter, 14 additional cases were removed completed as they were missing more than 50% of the responses for any response set. The remaining 27 cases which included missing data less than 50% were repaired using mean imputation. Sixty eight cases remained for analysis. After repairing the data statistical analyses including Kendall's tau were completed.

Kendall's Tau

The resulting Kendall's tau was used to identify whether or not employee engagement could be related to their perception of their supervisor's leadership abilities. In general, Kendall's tau reflects the relationship between two ordinal variables (Cliff & Charlin, 1991) such as the data obtained from the casino employee on the LC360 and the UWES. A Kendall's tau "can also be used to make inferences about the *degree of relation between variables* [emphasis added] without making assumptions about the distribution underlying the samples that are observed" (Cliff & Charlin, 1991, pp. 693-694). Casino employee ratings of supervisor leadership abilities, as measured by the LC360 and employee's self reported engagement scores as reported on the UWES instrument, are two ordinal level variables. Kendall's tau was chosen over

Spearman's rho as a statistical method because no assumptions of normality were made and the responses could yield ties among the rankings.

However, differences between Kendall's tau and Spearman's rho as statistical forms of measurement exist. The fundamental difference between these two methods of analysis is that Kendall's tau assesses the degree of concordance between pairs of ranked data while Spearman's rho computes and squares the variance between the pairs. Thus, Kendall's tau is based on probability of concordant pairs and Spearman's rho is based on the variance between the pairs.

Some research indicates that Kendall's tau coefficients may be more statistically reliable than those based on Spearman's rho. According to Gibbons & Chakraborti (2003), "approximate P values based on R are less reliable than those based on T " (p. 444). This indicates that Kendall's tau may provide a more robust statistical measurement than Spearman's rho. Because Kendall's tau has a more intuitive interpretation that, "represents a probability, i.e., the difference between the probability that the observed data are in the same order versus the probability that the observed data are not in the same order" (United Nations Educational Scientific and Cultural Organization, 2004, p. para. Kendall's tau). Thus, Kendall's tau can better estimate the corresponding population parameter and generally provide more accurate p values with smaller sample sizes (Gignac, 2011; Scanlan, n.d.; Sheskin, 2004; Wilcox, 2010). Kendall's tau which utilizes concordant pairs, *indicated by the letter "C"*, and discordant pairs, *indicated by the letter "D"*, as contained in the formula

$$\tau_b = \frac{2(\sum C - \sum D)}{\sqrt{(n(n-1) - T_x)} \sqrt{(n(n-1) - T_y)}}$$

where

$$T_x = \sum t(t-1) \text{ with } t = \text{number of ties on the } x \text{ variable}$$

$$T_y = \sum t(t-1) \text{ with } t = \text{number of ties on the } y \text{ variable}$$

though less utilized, is recognized as better estimating the population parameter for smaller sizes such as the study sample size consisting of 68 participants.

Since employee participants rated their direct supervisors on their perceived leadership abilities on the LC360, and also self reported their perceived engagement scores on the UWES, both with Likert scales, ranging from *one (poor)* to *five (outstanding)* and *zero (never)* to *six (always)* respectively, tied rankings could result when analyzing the final results. Kendall's tau handles ranking ties better than Spearman's rho. Finally, it should be "noted that concordance and covariance measure relationship in the same spirit" (Gibbons & Chakraborti, 2003, p. 432) meaning that both Spearman's rho and Kendall's tau provide appropriate measures of correlation.

Cronbach's Alpha

A Cronbach's alpha was calculated for each of the five domains as rated by the employees on the LC360 and their self ratings on the UWES to test for internal consistency of the participant's survey responses. Cronbach's alpha is defined as, "the average value of the reliability coefficients one would obtain for all possible combinations of items when split into two half-tests" (Gliem & Gliem, 2003, p. 84). "The closer Cronbach's alpha is to 1.0 the greater the internal consistency of the items in the scale" (Gliem & Gliem, 2003, p. 87). George and

Mallery, as cited by Gliem and Gliem (2003), “provide the following rules of thumb: ‘ $\alpha > .9$ – Excellent, $\alpha > .8$ – Good, $\alpha > .7$ – Acceptable, $\alpha > .6$ – Questionable, $\alpha > .5$ – Poor, and $\alpha < .5$ – Unacceptable (p. 231)’ (Gliem & Gliem, 2003, p. 87). According to Schaufeli and Bakker’s (2004) *UWES Preliminary Manual*, the UWES “Cronbach’s α are equal to or exceed the critical value of .70” (Schaufeli & Bakker, 2004, p. 7) which would be acceptable. The following section includes a discussion of the research objective results.

Results

To determine the relationship between each of the leadership code domains or rules and employee engagement at a Native American casino located in Southeastern Louisiana, 68 participants who met the following criteria:

1. A full-time employee with at least one year in their current position.
2. Employed for at least one year.
3. Reporting directly to a supervisor with at least 10 direct reports.

completed the LC360 and UWES. The employee responses resulted in a Kendall’s tau that measured the direction and strength of potential relationships between the participant’s direct supervisor and the participant’s self reported employee engagement as indicated in table 4.2.

Each group of participants was assigned a letter that corresponded to the supervisor’s unique identifier assigned by the Human Resource Manager during the data collection phase. For example, group A indicates all members of group A are employees who report directly to supervisor A. The letters assigned assisted in maintaining the anonymity of the participants while allowing appropriate data analysis.

The casino employee participants completed the LC360 which utilizes a five point Likert assessment scale, *poor (1), fair, good, very good, outstanding (5)*. Participants could also select, *unable to rate*, but since this choice did not provide a measure of the supervisor's leadership ability, it was not included in the data analysis. Only ratings obtained from the direct report employees indicating their perception of their supervisor's performance in the five leadership domains were utilized. For each leadership domain employees individually rated their supervisors from *poor (1) to outstanding (5)*.

Employees also responded to the UWES, which represented a self assessment of the employee's perceived work engagement. The UWES utilizes a seven point Likert scale, *0 = never, 1 = almost never (a few times a year), 2 = rarely (once a month or less), 3 = sometimes (a few times a month), 4 = often (once a week), 5 = very often (a few times a week), 6 = always (every day)*. For coding and SPSS analysis purposes only, the rating scale was coded, *1 = (never) to 7 = (always)*. This was done to avoid any potential issues that could cause SPSS to identify "0" as a missing value.

Employee's individual ratings on the UWES ranged from *never (0) to always (6)*. The aggregate responses of the 76 employees to the UWES, yielded a mean response of 4.57 indicating they felt engaged at work *4 = often (once a week) to 5 = very often (a few times a week)*. In comparison, Schaufeli and Bakker (2004) reported that an average engaged workplace (N = 9,679, M = 3.74) had engagement scores between 2.89 and 4.66 (p. 36).

The five research objective findings including the analysis and outcome for the sample are discussed below. Descriptive statistics are included in table 6.

Table 6

Descriptive Statistics

	N	Range	Min	Max	Mean	Std. Deviation
Strategist	68	36	9	45	31.735	9.867
Executor	68	45	10	55	39.432	13.219
Talent Manager	68	52	13	65	46.722	14.742
Human Capital Developer	68	40	10	50	33.740	11.981
Personal Proficiency	68	96	24	120	84.030	26.460
Employee Engagement	68	54	9	63	50.309	10.990
Valid N (listwise)	68					

Note. All data represents summed totals from all participants for each subset of questions which when summed provided a summed total for employee engagement and each of the five leadership domains.

Research Objective One

Research objective one seeks to determine the relationship between the strategist rule and employee engagement as perceived by the supervisor's direct reports. The strategist rule, or domain, has a strong orientation toward the future of the organization as a whole. Strategists focus attention on partnering with individuals and organizations both internally and externally in an effort to assure the organization remains curious about what the future holds for the organization. "The rules for strategists are about creating, defining and delivering principles of what can be" (Ulrich et al., 2008, p. 15).

Responses from nine questions on the LC360 designed to gather information relating to the strategist domain were summed together to obtain a single score for each employee. This represented the employee's perception of the supervisor's strategist domain leadership ability. In addition, nine questions from the UWES designed to gather information relating to employee engagement were also summed to maintain the variability of the data. This process allowed SPSS to rank order the data and produce a valid Kendall's tau from the employee responses on the LC360 and UWES.

The LC360 questions relating to the strategist domain include, "Incorporates expectations of outside stakeholder, including customers, into our future goals" and "Excels at generating commitment to future directions" (RBL Group, 2010). In addition to the strategist domain questions from the LC360, questions presented from the UWES instrument included, "At my job, I feel strong and vigorous", "My job inspires me" and "I am immersed in my work" (Schaufeli et al., 2006, p. 714). Questions from the UWES intend to assess employee engagement, as defined by Schaufeli & Bakker (2004).

According to Schaufeli and Bakker (2004), "When one is interested in the concept of engagement as *such*, rather than in its constituting parts, the total score may be used. In that case, one may prefer to use the shortened 9-item version" (p. 30). The 68 respondents completed the shortened 9-item UWES and the LC360 strategist questions which were used for data analysis.

Table 7

Five Leadership Domains Correlated to Direct Report Employee Engagement

Kendall Tau-b	N	<u>Employee Engagement</u>	
		τ	Significance (2-tailed)
Employee Engagement	68	1.000	-
Strategist	68	0.085	0.323
Executor	68	0.098	0.253
Talent Manager	68	0.046	0.588
Human Capital Developer	68	0.081	0.347
Personal Proficiency	68	0.053	0.531

The resulting relationship between the strategist domain scores and employee engagement scores as displayed in Table 7 showed a low relationship for the entire casino employee sample between their reported strategist domain scores for their supervisors and their self reported employee engagement scores. The relationship was not statistically significant ($p = .323$).

As noted in Table 7, no statistically significant relationship existed between the supervisor's strategist domain and employee engagement as perceived by the employees.

To test for internal consistency within the casino employee responses for the strategist domain, Cronbach's alpha was computed. Cronbach's alpha for the employees responses on the strategist domain was excellent ($\alpha = .968$)

indicating a high internal consistency in the casino direct report employee participants responses and demonstrating a high degree of reliability within the reported results for the strategist domain.

Finally, on the strategist domain the responding employee participants (n = 80) indicated they perceived their supervisors strategist domain performance to fall between *good (3) and very good (4)*. When compared to the global norm of 3.7, for the strategist domain, as reported by The RBL Group (RBL Group, 2010, p. 8)., respondents for this study indicated a strategist domain mean score slightly below the global norm at 3.51.

Research Objective Two

Research objective two seeks to determine the relationship between the executor rule and employee engagement as perceived by the supervisor's direct reports. Executors have a near term focus with their attention on assuring the organization executes its mission. They make changes where needed, building competencies, capabilities and demand execution of the organizations strategic focus. "*Rule 2: Make Things Happen. . . . The executor dimension of the leader focuses on the question, 'How will we make sure we get to where we are going?' . . . The rules for executors revolve around disciplines for getting things done*" (p. 15).

Examples of the LC360 questions relating to the executor domain include, "Monitors work in progress and provides timely corrections" and "Understands the level of technical skill required for the organization" (RBL Group, 2010). Casino employees responded to 11 questions from the LC360 related to the executor domain and the nine employee engagement questions from the UWES

as discussed earlier and shown in Appendix E. The 68 respondents completed the shortened 9-item UWES and the LC360 executor questions which were used for data analysis.

After analyzing the responses of the casino employees as related to their perception of their supervisor for the executor domain, the resulting correlation between the executor domain scores and employee engagement scores as displayed in table 4.2 showed a low relationship for the entire casino sample between the executor domain scores and employee's self reported employee engagement scores, The relationship was not statistically significant ($p = .253$).

To test for internal consistency within the responses for the executor domain, a Cronbach's alpha was run. Cronbach's alpha for the executor domain was excellent ($\alpha = .975$). This indicated a high internal consistency in participant's responses and demonstrating a high degree of reliability.

On the executor domain the responding employee participants ($n = 68$) indicated they perceived their supervisors executor domain performance to fall between *good* (3) and *very good* (4). When compared to the global norm of 3.6, for the executor domain, as reported by The RBL Group (RBL Group, 2010, p. 8)., respondents for this study indicated an executor domain mean score slightly below the global norm at 3.57.

Research Objective Three

Research objective three seeks to determine the relationship between the talent manager rule and employee engagement as perceived by the supervisor's direct reports. Talent managers have a near term focus with their attention on ensuring that people are connected to the organization and have the resources

they need to accomplish their mission. Talent managers are expert communicators. They create engaging and rewarding work environments for the employees. “*Rule 3: Engage Today’s Talent*. ‘Who goes with us on our business journey?’ *Talent managers* know how to identify, build, and engage talent to get results *now*. . . . The rules for talent managers center around resolutions that help people develop themselves for the good of the organization (Ulrich et al., 2008, pp. 14-15).

Examples of the LC360 questions relating to the talent manager domain include, “Helps the people on his/her team understand their role in achieving the goals of the organization” and “Ensures that rewards and growth opportunities reflect individual integrity, motivation, and work performance” (RBL Group, 2010). Casino employees responded to 13 questions from the LC360 related to the talent manager domain and the nine employee engagement questions from the UWES. The 68 respondents completed the shortened 9-item UWES and the LC360 talent manager domain questions which were used for data analysis.

After completing all of the analysis for the talent manager domain, the resulting correlation between the talent manager domain scores and employee engagement scores as displayed in table 4.2 showed no statistically significant relationship ($p = .588$) for the entire casino sample between the talent manager domain scores and reported employee engagement scores. This finding indicates no significant relationship between the talent manager domain and employee engagement in this sample.

Cronbach’s alpha was used to test for internal consistency within the responses for the talent manager domain. Cronbach’s alpha for the talent

manager domain was excellent ($\alpha = .968$). Thus, indicating a high internal consistency in casino employee responses and demonstrating a high degree of reliability.

On the talent manager domain the responding employee participants ($n = 68$) indicated they perceived their supervisors executor domain performance to fall between *good* (3) and *very good* (4). When compared to the global norm of 3.7, for the talent manager domain, as reported by The RBL Group (RBL Group, 2010, p. 8)., respondents for this study indicated a talent manager domain mean score slightly below the global norm at 3.56.

Research Objective Four

Research objective four seeks to determine the relationship between the human capital developer rule and employee engagement as perceived by the casino supervisor's direct reports. The human capital developer has a future focus with attention placed on developing future talent. Human capital developers assure the organization has a sustainable human capital legacy. Human capital developers accomplish this by assisting employees in identifying, defining and developing future focused growth opportunities within the organization. Understanding the importance of early identification of future talent for human capital developers remains a key for future organizational success. "*Rule 4: build the Next Generation. Leaders who are human capital developers answer the question, 'Who stays and sustains the organization for the next generation?' . . . Human capital developers ensure that the organization will outlive any single individual*" (Ulrich et al., 2008, p. 16).

Examples of the LC360 questions relating to the human capital developer domain include, “Creates an employee brand that identifies expectations and rewards that appeal to the most talented current and potential employees” and “Finds targeted development assignments for promising employees who will become our next-generation talent” (RBL Group, 2010, pp. 32-33). The questions intend to assess the perception of the supervisor’s boss, peers, self and direct reports. Casino employees answered 10 questions from the LC360 related to the human capital developer domain and the nine employee engagement questions from the UWES. The 68 respondents completed the shortened 9-item UWES and the LC360 human capital developer domain questions which were used for data analysis.

After completing all of the analysis for the human capital developer domain, the resulting correlation between the human capital developer domain scores and employee engagement scores as displayed in table 4.2 showed no statistically significant relationship ($p = .347$) for the entire casino sample between the human capital developer domain scores and employee engagement scores. This indicated that any increase in the supervisor’s human capital developer scores did not necessarily mean an increase in the employee engagement scores.

To test for internal consistency within the responses for the human capital developer domain, a Cronbach’s alpha was run. Cronbach’s alpha for the human capital developer domain was excellent ($\alpha = .983$). This indicated a high internal consistency in participant’s responses and demonstrated a high degree of reliability on the employee responses.

On the human capital developer domain the responding employee participants (n = 81) indicated they perceived their supervisors executor domain performance to fall between *good* (3) and *very good* (4). When compared to the global norm of 3.5, for the human capital developer domain, as reported by The RBL Group (2010, p. 8)., respondents for this study indicated a human capital developer domain mean score slightly below the global norm at 3.31.

Research Objective Five

Research objective five seeks to determine the relationship between the personal proficiency rule and employee engagement as perceived by the supervisor's direct reports. The other four domains or rules are action domains, while the personal proficiency rule resides in the middle of the leadership code framework to indicate the importance of investing in personal development while remaining self aware, it represents a grouping of competencies. If individuals cannot "learn and grow as a leader, [they] will not be prepared to be a strategist, executor, talent manager, or human capital developer" (Ulrich et al., 2008, p. 130). Though Ulrich et al. (2008) refer to this as rule number five, it holds the most prominent central position in the framework indicating that individuals limit their leadership abilities unless they master personal proficiency first. "Without personal proficiency, it is not possible to keep the other dimensions in balance" (Ulrich et al., 2008, p. 13). Personal proficiency focuses on competencies such as: clear thinking, know yourself, tolerate stress, demonstrating learning agility, personal character and integrity, taking care of oneself, and having personal energy and passion (Ulrich et al., 2008, p. 129).

Examples of the LC360 questions relating to the personal proficiency domain include, “Shows exceptional commitment and energy to achieve organizational goals”, “Appears to passionately enjoy and care about the work she/he does”, “Rarely spends time on trivial tasks that can be delegated”, and “Seeks feedback from others in order to better understand strengths and weaknesses” (RBL Group, 2010, pp. 37, 40-41). To determine if a relationship exists between the personal proficiency rule of the leadership code and employee engagement, casino employees responded to 24 questions from the LC360 related to the personal proficiency domain and the nine employee engagement questions from the UWES related to employee engagement. The 68 respondents completed the shortened 9-item UWES and the LC360 strategist questions which were used for data analysis.

After completing all of the analysis for the personal proficiency domain, the resulting correlation between the personal proficiency domain scores and employee engagement scores as displayed in table 4.2 showed no statistically significant relationship for the entire sample between the personal proficiency domain scores and employee engagement scores ($p = .531$) This indicates that if the supervisor has a high personal proficiency score the employee’s reported engagement score is not necessarily high.

Finally, to test for internal consistency within the responses for the personal proficiency domain, a Cronbach’s alpha was run. Cronbach’s alpha for the personal proficiency domain was excellent ($\alpha = .987$). This indicated a high internal consistency in participant’s responses and demonstrating a high degree of reliability.

On the personal proficiency domain the responding employee participants (n = 68) indicated they perceived their supervisors personal proficiency domain performance to fall between *good* (3) and *very good* (4). When compared to the global norm of 3.8, for the personal proficiency domain, as reported by The RBL Group (2010, p. 8), respondents for this study indicated a personal proficiency domain mean score slightly below the global norm at 3.49.

Threats to Study Design

Mitigating potential influences or bias that could confound the study remained an important factor. Shadish, Cook and Campbell (2002) indicate that validity “is not a property of designs or methods, for the same design may contribute to more or less valid inferences under different circumstances” (p. 34). A review of the potential influence and biases includes a discussion of both internal and external validity threats identified in the study. Six internal validity threats and two external validity threats are identified and discussed.

Internal Validity

Selection. The internal validity issues discussed by Shadish, Cook and Campbell (2002) include selection. Casino employees selected to participate in this study were not selected through randomized choice but a purposive sampling technique. The researcher chose the population due to the immediate access and availability of the population and a desire to study the potential relationship between the casino employee’s level of employee engagement and their supervisor’s leadership abilities. This selection approach could introduce selection bias since it was not completely random. “When properly implemented, random assignment definitionally eliminates such selection bias because

randomly formed groups differ only by chance” (Shadish et al., 2002, p. 56). Not conducting a random selection process could create a sample that does not truly represent the population.

Maturation/Test Fatigue. The survey instrument used to collect data from the casino participants included two surveys and some basic demographic information. Since the study was a cross-sectional study the issue of maturation, which occurs when comparison groups do not perform at the same level during the pretest, did not affect the study as there was a one-time measurement. However, related to the concept of maturation is test fatigue which was a concern for the researcher since the LC360 survey had over 60 questions. Test fatigue could cause participants to begin responding without considering the questions or answers given to the question. They may become bored and try to rush through the surveys and not give the accurate responses a participant might give when they did not feel bored or rushed.

To lessen the amount of time required to complete both surveys and the demographic information, limited demographic information was collected and the nine question version of the UWES instead of the 17 question UWES was used. The use of the shortened UWES version appeared well accepted by the casino participants according to feedback from the research assistants. Though this appeared to lessen survey fatigue it did not eliminate it all together. However, the alpha scores for the survey remained high indicating that participants had provided reliable and consistent responses.

Treatment diffusion. Additionally, the opportunity for participants to discuss the meaning of the study outside of the data collection room existed

which could have impacted the participation or responses of fellow casino employees who completed the survey after their coworkers. This could produce results similar to what Maxwell and Delaney (2004, p. 29) refer to as treatment diffusion. Since the participants completed the surveys at various times during the collection period, participants could discuss the responses, what they thought would be done with the resulting data and provide inaccurate responses. Given that the study occurred in a location within a small rural area where participants are known to interact frequently outside of the workplace and many at the casino were related to one another, this was a potential threat even though no treatment was conducted.

However, the trade off would have been to allow the researcher knowledge of participants. Potentially, if the participants knew that the researcher knew their identity, the participants may have responded differently to the surveys. The participants could consider that unfavorable responses could result in unfavorable treatment following the survey since the researcher was a senior member of the management team. This could have potentially created more confounding issues such as selection bias or the Hawthorne effect since the researcher knew many at the casino and would have been sitting in the survey collection room observing.

Attrition. Attrition, “refers to the fact that participants in an experiment sometimes fail to complete the outcome measures” (Shadish et al., 2002, p. 59). Two supervisors who originally agreed to participate in the study dropped out which meant that six employees who reported to those supervisors and had already completed the survey had to drop out as well. Though additional

supervisors and employees were added, a potential bias could be created. Perhaps the supervisors who dropped out had less engaged employees leaving only supervisors with highly engaged employees to complete the survey. This could potentially provide a bias that would not be representative of the population.

Instrumentation. Three weeks after the initial invitation to participate, response rate was low at 32 completed surveys. Several participants indicated to the Research Assistants a desire to complete the survey in a paper based format as opposed to the online method. After discussion with the researcher's dissertation committee a paper based survey was made available to participants. A paper based version that appeared exactly as the version on line was provided to the participants. Shortly after making the paper based survey available and being notified, 60 additional employees completed the survey resulting in 92 eligible participants. Though there was no treatment, this was a onetime measure, and the questions and instructions visually looked the same, the instrument did change from an online version to a paper based version. Shadish, Cook and Campbell (2002) indicate that instruments should not be changed if possible but if necessary both versions should be kept so that old and new items can be measured against each other (pp. 60-61).

Experimenter bias. Another area of concern for the current study was the participation of the researcher as a member of the organization where surveys were collected. Exceptional care was taken to assure that participants' anonymity was preserved and that the researcher could maintain an arm's length approach to data collection. This potential confound was mitigated through using

the Human Resource Manager (HRM) to randomly select participants who met the predetermined criteria. After determining who would participate, the HRM created a list of unique identifiers to further protect the identity of the participants. The HRM maintained the list of the unique identifiers only sharing it with the research assistants and one individual from The RBL Group who compiled the data.

The researcher only had access to the data with unique identifiers as required to group the responses for analysis. The HRM destroyed the unique identifier list upon completion of the study. Implementing this level of separation provided an important step in alleviating experimenter bias (Rosenthal, Persinger, Kline, & Mulry, 1963).

External Validity

According to Shadish, Cook and Campbell (2002) external validity, "is not just the statistical significance of interactions but also their practical and theoretical significance; not just their demonstration in a data set but also their potential fruitfulness in generating compelling lines of research about the limits of causal relationships" (p. 87). Certainly, the relationship between leadership and employee engagement requires our attention given the globally competitive environment. Though this study found the relationship between the five leadership code domains and employee engagement to be insignificant, studying employees from other industries, administering the survey in a different manner such as through the mail or in small groups, using a different survey to measure employee engagement such as the Gallup Q12 or allowing employees to take

the two surveys at different times, may provide significant relationships between these two variables (Shadish et al., 2002).

Construct. Since no other published studies could be found that reported on the leadership code and employee engagement, other constructs could be conducted to avoid a mono-operation bias (Maxwell & Delaney, 2004). For example, studies which include pretests to measure employee engagement followed by a treatment consisting of leadership training and followed by a post test measure of employee engagement could alleviate the mono-operation bias.

The size of the study could also impact the measurement of the results. The study consisted of 10 groups of 10 or less employees. This could create limited or low statistical power. Increasing the size of the sample and reviewing the participant selection criteria could assure the appropriate representation of the population.

The present study was limited in its scope to measuring the relationship between the leadership code and employee engagement. Additional studies could focus on not only replicating the study but also expanding the constructs of the research so as to improve the external validity of the study between employee engagement and the leadership code.

Generalization. As this study was conducted at a Native American casino located in a rural area, generalizations across populations is limited which is always a concern when considering external validity. "Nonsignificant interactions may reflect low power, yet the result may still be of significant practical importance to be grounds for further research" (Shadish et al., 2002, p. 87). Conducting research with different employee groups, industries and populations

while exploring different constructs can provide additional opportunities to identify the relationship between the leadership code and employee engagement and are necessary before any generalization from a single study can occur.

Summary

This purpose of this study was to identify a relationship between the five leadership domains or rules of the leadership code framework and employee engagement. To determine the relationship, the population of the study included supervisors and employees of a Southeastern Native American casino. Employees completed two survey documents, a leadership survey, LC360, and an employee engagement survey, UWES, during a 30 day period.

The resulting LC360 and UWES participant scores showed excellent and good Cronbach's alpha scores respectively. The alpha scores indicated that both surveys demonstrated internal consistency and reliability for the employees who participated in the study. The researcher found the relationship between casino employee engagement scores and the employee ratings of their supervisors on each of the five leadership code domains at the Native American casino were not statistically significant among the sample of 68 participants as noted in Table 7. The following chapter discusses the findings and recommendations regarding the relationship between the five leadership code domains and employee engagement for future research and consideration.

CHAPTER V

RESULTS, CONCLUSIONS AND RECOMMENDATIONS

The purpose of this study was to explore the relationship between the five rules or domains of leadership as synthesized by the leadership code framework and employee engagement at a Native American casino located in the Southeastern United States. This chapter is divided into four sections. The first section provides a brief summary of the study and results. The second section discusses the conclusions and recommendations of the study while the third section discusses the recommendations for future studies. The final section summarizes the limitations of the study.

Summary of the Study

Sixty eight employees of a Native American casino located in the Southeastern United States completed two surveys consisting of the Utrecht Work Engagement Survey (UWES) and the Leadership code 360 degree feedback survey (LC360). The study sought to examine the relationship between the 68 employee's work engagement and their perception of their direct supervisor's performance on five leadership domains. Supervisors, who were full time, employed as a supervisor for at least one year with at least 10 employees reporting directly to them, identified as direct reports, were eligible to participate in the study. Eligible supervisors were randomly selected by the Human Resource Manager (HRM) using a computerized random name generator.

After the casino supervisors were identified and agreed to participate in the study, employees who reported directly to the casino supervisor and were employed full time in the organization for at least one year were randomly

selected by the HRM to participate in the study using a computerized random name generator. Employees and supervisors participating in the study worked in various work units including Food and Beverage, Table Games, Slots, Engineering/Housekeeping, Casino Cage, Security/Transportation, and other gaming and non-gaming departments. The casino participants completed the LC360 indicating perceptions of their supervisor's leadership abilities on the five leadership code domains. Participants also completed the UWES indicating perception of their work engagement at the casino. Both the LC360 and the UWES used a Likert scale to obtain ordinal raw data. The raw data was summed to obtain a score for each of the leadership domains from each respondent. The ratings were ranked by SPSS and resulted in a Kendall's tau correlation coefficient for each domain compared to the ranked employee engagement scores. The following section discusses the conclusions and recommendations based on the study findings.

Conclusions and Recommendations

The purpose for this casino study was to explore the relationship between the five domains of the leadership code, as defined by Ulrich et al. (2008), and employee engagement, as defined by Schaufeli and Bakker (2004). No published research regarding the relationship between the leadership code and employee engagement could be found in the published literature. Ulrich and Smallwood (2007) first introduced the concept of a synthesized leadership framework in their book, *Leadership Brand: Developing customer-focused leaders to drive performance and build lasting value*. They state, "There really is a codebook for leadership: a set of fundamental, must-do things leaders ignore at

their peril. The vast body of leadership theory and research has established the essentials.... Without excellence in these core elements of leadership, leaders will fail" (Ulrich & Smallwood, 2007, p. 20). The next section discusses the conclusions obtained from the research findings that relate back to the supervisors, employees and the organization studied.

Conclusion

The responses of the employees in the study and the resulting Kendall's tau, did not demonstrate a significant relationship between any of the leadership code domains. According to the leadership code, effective leaders focus their attention on the organization and on the employees both in the short term and the long term (Ulrich et al., 2008). This indicates that leaders who have mastered the leadership code would create opportunities for a motivating and interactive environment allowing employees to feel engaged in their work, specifically within the talent manager domain.

A significant Kendall's tau result between the talent manager domain and employee engagement did not occur in this study. Ulrich et al. (2008) reported that many leaders in top companies spend "up to 30 percent of their time on talent issues" (p. 83). This could indicate that supervisors in the study have not mastered the leadership code domain of talent manager, or any of the domains for that matter. Focusing specifically on the talent manager domain, two areas that may have lead to an insignificant finding could include the supervisor's lack of mastery in the talent manager domain and the general engagement culture of the organization.

Supervisors who master the talent manager domain focus on doing some very specific things. Talent managers dedicate and focus much of their time working on talent issues. To engage their employees, talent managers should focus much of their time on six talent resolutions:

1. Communicate, communicate, communicate.
2. Create aligned direction; connect the individual to the organization.
3. Strengthen others; ensure people have the competencies they need.
4. Provide people with the resources to cope with demands.
5. Create a positive work environment – practice spiritual disciplines at work.
6. Have fun at work. (Ulrich et al., 2008, p. 81)

Other reasons for the insignificant results could include that employees were uncomfortable rating their supervisors. The organization did not have a consistent and regular practice of asking employees to rate their supervisors. The potential uneasiness could be caused by employees being unsure what would happen with their responses, even though the employees were told during the survey collection that all information would be confidential.

Also, the LC360 survey consisted of 64 questions which could have caused employees to become confused or fatigued as discussed in the validity section. Employees could have simply decided to complete the survey as rapidly as possible in order to get out of the survey room. As mentioned previously, this type of survey was not regularly administered so the employees were not used to completing surveys and especially ones as long as this one.

Conclusion 2

The possibility exists that the leadership code does not influence employee engagement as defined in this study. One of the main purposes of the study was to identify the relationship between the leadership code and employee engagement. No significant relationship existed for the sample studied. The leadership code represents a synthesis of various leadership theories and practices of leadership thought leaders. No other published studies could be found comparing the leadership code to employee engagement as defined by Schaufeli and Bakker (2004). Employee engagement may not relate to the domains of the leadership code. They may not have a relationship one to the other. However, since the leadership code posits, and specifically in the talent manager domain, that effective leaders should engage their employees, additional studies would be warranted to further explore whether the leadership code relates to employee engagement. Approaches to accomplish this are discussed later in the chapter.

Recommendation 1

As discussed in the conclusion section no relationship between the talent manager domain and employee engagement was identified. In the current organization, supervisors may not communicate directly enough with the employees who report directly to them. The supervisors may not spend enough of the work day focusing on creating a work environment infused with the six talent resolutions as described by Ulrich et al. (2008). As observed by the researcher, monthly expanded staff meetings take place in the organization which includes senior management, middle management, some front line

supervisors and administrative employees. Though this provides an opportunity for information to be shared no follow up method to assure the information reaches the front line employees exists. Other information channels were observed in the organization. However, the organization should evaluate the effectiveness of the various channels and assure that supervisors are included in some way and specifically provide information to the direct reports. This approach provides a direct link between the supervisor and the direct report employee to assure the employees are in the information loop and ultimately feel a part of the team and the organization (Beehr et al., 2009).

The organization also has an ongoing performance review process used to evaluate employee's performance. According to the Human Resource Manager, the supervisor usually participates directly in the process. However, some department heads prefer to complete the reviews which exclude the direct supervisor. This in essence removes the supervisor from the process in the eyes of the direct report employee. It may be beneficial to allow the supervisors to participate more directly in the review process. Direct supervisors are well placed to strengthen the competencies of the employees, assure they have the tools needed to accomplish their jobs, deal with other demands and understand how the department and organization works together to accomplish the vision and direction of the organization (Burke et al., 1978). Doing so would allow supervisors to have a more active and direct role with their direct report employees. Not allowing the day to day supervisor to have more direct involvement could prove confusing for the employee and according to Burke et

al. (1978) create a situation where the employee dreads receiving a performance review from the direct supervisor.

The organization should review the performance management process and assure that the supervisor participates fully and directly with the direct report. Providing training to the supervisor regarding the approach and method of completing performance reviews could enhance the employee to supervisor relationship. Successfully implementing this type of training may lead to increased talent manager domain scores. .

Additionally, working with supervisors to enhance their ability to communicate on a regular basis and assuring the supervisors receive organizational information on a regular basis could also provide improved talent manager scores. Not holding the supervisor responsible for creating these types of interactions or not allowing them to do so could cause talent manager domain scores to remain low. Though the formal performance review does not consist of the entire interaction between the direct supervisor and the employee, it is representative of a potential area of concentration in which the organization should focus.

Outside of the supervisor to employee relationship, the organization in the study has a well established engagement culture that could possibly subjugate the direct supervisor's role. The employee may not perceive that the direct supervisor has any direct impact on the employee's work engagement. As identified by the Human Resource Manager, the organization has a number of organization wide employee relations practices such as multiple employee of the year winners who could win a large amount of money; an outstanding employee

dining room open 24/7 which includes a hot line, a grill, a sandwich station, a salad bar, ice cream machine with various toppings, various beverage choices, many dessert choices and all available to the employees free of charge, regular opportunities to participate in employee teams focused on organizing employee events; regular access to senior management; free birthday dinners to any of the high end restaurants and a number of other programs and practices to create an engaging environment.

The organization's engagement culture provides many positives for the organization and the employees. However, focusing on engagement programs that do not directly involve the supervisors may have abrogated the supervisor's talent manager responsibilities. The organization should review the six resolutions of the talent manager domain and create appropriate training opportunities for the supervisors while reviewing the opportunities to interact on a regular basis with their direct report employees. By focusing the supervisors on the six talent manager resolutions, employees could perceive the supervisors behaving in a manner that creates an engaging environment. This in turn could create higher talent manager to employee engagement scores.

As employee engagement remained an area of focus throughout the study, the organization could focus on the talent manager domain first but not discarding the others altogether. Mastering the five leadership code domains provides the participating supervisors the opportunity to actively participate in developing the larger organizational leadership capabilities.

To take full advantage of the opportunity to develop the supervisors, as well as other leaders, in the study, an appropriate leadership domain gap

analysis should be conducted. Remember, “as an individual leader, some of these rules will come naturally, some will have to be learned” (Ulrich et al., 2008, p. 19).

Using the study as a starting point, the organization can further develop their supervisors using the leadership code as a guide. As the Kendall’s tau results indicated the areas of focus, this can provide some guidance in developing a *going forward* plan. The organization should follow up with a training and development plan designed to increase mastery in the leadership domains and specifically in the talent manager domain.

Recommendation 2

Since the resulting Kendall’s tau did not demonstrate a significant relationship between the leadership code and employee engagement as defined by Schaufeli and Bakker (2004), the possibility exists that the two are not related. Additional studies should be completed to further explore the possibility of finding a significant relationship. Since Ulrich, et al. (2008), discuss the aspects of engagement in the talent manager domain, special attention should be given in looking at further research design especially focused on the talent manager domain. Ideas for further study and research are discussed later in the chapter and provide direction for future research.

Caution should be taken in drawing causal relationships between the leadership code domains and employee engagement from this study. Because the study was exploratory in nature, causality cannot be determined. The next section provides recommendations for future research.

Recommendations for Future Research

This section includes a brief summarization of the lack of available research on the relationship between the leadership code and employee engagement. Three specific recommendations for future research will also be addressed. A review of the literature did not reveal any studies focused on the performance of casino supervisors with regard to the leadership code and the relationship to their direct report employees work engagement. For that matter, no published studies of the leadership code could be identified at all. Because the leadership code represents such a potentially ground breaking approach to leadership, additional research is needed to identify how it impacts employee performance, engagement and a myriad other employee and organizational factors.

A plethora of previous research on other leadership frameworks and theories exists within the literature and the same can be said for employee engagement. This study summarized the immense body of leadership research into four areas: trait, behavioral, situational and transformational. Other researchers have summarized leadership history differently depending on the focus of their studies but the body of research remains the same. The leadership code framework reviewed the vast body of leadership research and synthesized it into five leadership domains: strategist, executor, talent manager, human capital developer and personal proficiency.

In addition to leadership research, Schaufeli et al. (2006; 2002) and others (Bakker et al., 2008; BlessingWhite Research, 2011; Dychtwald et al., 2006; Fleming & Asplund, 2007; González-Romá et al., 2006; Vroom & Jago, 2007)

provide excellent research addressing employee engagement and the necessity for organizations to focus on it so they can survive in a globalized environment. Because organizational leaders are those most in a position to create environments that can engage employees (Gostick & Elton, 2009; Hsieh, 2010) giving them meaning in their work while providing enduring organizational capabilities (Ulrich & Smallwood, 2003; Ulrich et al., 1999; Xanthopoulou et al., 2009), this study provides an important starting point for future research on the leadership code.

Recommendation 1

Engagement does not simply reside in the realm of the supervisor. Leaders at all levels and the organization as a whole create the type of culture and environment which either engages employees or cause them to wonder why they work for the organization. One aspect of the casino that could have possibly confounded the study results is the existing strong culture of engagement and employee inclusion on an organizational basis. The organization has a number of organization wide employee relations practices to create an engaging environment.

These practices may have created an environment that was highly engaging outside of the influence of the direct supervisor. A highly engaging culture should be considered in future studies when studying the relationship between individual supervisors and their direct employees. Future researchers should conduct studies in other types of environments and take into consideration the type of organizational cultures in which the study is conducted.

Finding ways to focus the study on the supervisor's impact on engagement while limiting outside factors should better identify the relationship.

Recommendation 2

In addition to the potential confound of the culture, this study only attempted to determine if a relationship existed between the leadership code framework and employee engagement at a Native American casino. As the sample studied was small, opportunities for future research with larger samples and more diverse organizations exist.

It was the goal of this study to provide some insight into the intersection of leadership and employee engagement as it relates to the leadership code framework and spark a desire for further study. Additional research that adds to the body of knowledge regarding the leadership code and its relationship and impact on employee engagement can be of great import to future researchers and organizational practitioners. This additional study, especially focused on the talent manager domain, can provide clear indications regarding whether or not a relationship exists between the talent manager domain or not. Though the talent manager domain represents only one part of the leadership code, it represents an important area that Ulrich et al. (2008) have stated relates to employee engagement and leadership. Knowing how or if a relationship exists between the talent manager domain and employee engagement can provide researchers with additional knowledge regarding these two important areas of leadership and employee engagement.

Recommendation 3

The current study design consisted of an exploratory cross sectional design. Future researchers should consider conducting experimental and quasi-experimental research to expand beyond the objective of establishing a relationship between the leadership code and employee engagement. The application of a treatment, leadership training based on the five leadership code domains, and a control group could provide additional data. The resulting data could provide evidence indicating how organizational leaders trained in the leadership code can impact employee engagement.

Limitations

This study represents a single study conducted at a Native American casino located in a rural portion of the Southeastern United States. No inferences should be drawn or applied to any other population other than the population within the casino as described in the study. The study was a non-experimental cross sectional exploratory study with a sample drawn using a purposive sample technique. Using this method might increase the likelihood that confounding variables lower the ability to generalize results. Conducting additional research such as a quasi-experimental multisite research or conducting the research at additional Native American casinos could provide more robust data.

Additional limitations were identified at the end of the initial three week period of survey collection during a discussion with the human resource manager. One reason participants were not completing the survey occurred because they could only provide survey responses electronically. This created

difficulties for many of the participants as they were not comfortable using computers and in some cases participants could not operate the computer mouse. After three weeks only 32 participants out of 195 had completed the survey. Participants expressed the desire to complete the survey if it could be done in a paper-based format. A paper-based format was not part of the original research protocol and though the paper-based format appeared identical in every way to the electronic version, it was still a different presentation of the survey than the original online version. Though it cannot be clearly shown as a limitation for the amount of participants, it is important to note the variation from the original protocol and the potential limitation due to instrumentation (Shadish et al., 2002) that might have occurred.

Finally, 68 direct reports ultimately provided usable data by fully completing the LC360 and the UWES. The small sample size limits the statistical analysis that can effectively be completed. Though Kendall's tau is an effective choice for small samples of ordinal ranked data, additional types of statistical data analysis should be completed to explore further the relationship between casino employee engagement and their supervisor's performance on the leadership code domains. Recommendations for future research are outlined in the next section.

Summary

Ulrich, Smallwood and Sweetman's (2008) leadership code presents a synthesized approach to developing individual leadership ability and forms part of the base for organizational leadership capability. Employee engagement research indicates that effective leaders consider employee engagement as one

of their primary focuses (Weichun et al., 2009). While studies of employee engagement and leadership approaches are plentiful in the research world, no research on the leadership code and its relationship to employee engagement can be found. Therefore, research to explore the relationship between the leadership code and employee engagement can provide a much needed advancement in the body of leadership research.

This cross sectional exploratory study looks at the relationship between the leadership code and employee engagement at a Native American casino in the Southeastern United States. No statistically significant relationships between the five leadership domains and employee engagement were found using Kendall's tau. Further study should focus on different study designs and different types of participant groups to further explore and study the relationship between the leadership code and employee engagement.

This study has its limitations but no other published studies addressing the relationship between the leadership code and employee engagement were found in the published literature. Further research that explores this relationship warrants more attention and research. A synthesized leadership framework that purports to distill the vast body of leadership knowledge into five rules or domains represents an important and critical step forward in developing and applying leadership learning and should receive additional attention by future researchers.

How this framework relates to and impacts other bodies of knowledge such as employee engagement can provide additional direction for organizations in our highly globalized world. Other researchers are encouraged to investigate this relationship using different research methods such as quasi experimental

methods and mixed methods while better controlling potential confounds such as sample size and homogenous industries so as to provide more insight and direction into the crossroads of the leadership code and employee engagement.

APPENDIX A

INSTITUTIONAL REVIEW BOARD APPROVAL


**THE UNIVERSITY OF
SOUTHERN MISSISSIPPI.**

INSTITUTIONAL REVIEW BOARD
118 College Drive #5147 | Hattiesburg, MS 39406-0001
Phone: 601.266.6820 | Fax: 601.266.4377 | www.usm.edu/irb

NOTICE OF COMMITTEE ACTION

The project has been reviewed by The University of Southern Mississippi Institutional Review Board in accordance with Federal Drug Administration regulations (21 CFR 26, 111), Department of Health and Human Services (45 CFR Part 46), and university guidelines to ensure adherence to the following criteria:

- The risks to subjects are minimized.
- The risks to subjects are reasonable in relation to the anticipated benefits.
- The selection of subjects is equitable.
- Informed consent is adequate and appropriately documented.
- Where appropriate, the research plan makes adequate provisions for monitoring the data collected to ensure the safety of the subjects.
- Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of all data.
- Appropriate additional safeguards have been included to protect vulnerable subjects.
- Any unanticipated, serious, or continuing problems encountered regarding risks to subjects must be reported immediately, but not later than 10 days following the event. This should be reported to the IRB Office via the "Adverse Effect Report Form".
- If approved, the maximum period of approval is limited to twelve months. Projects that exceed this period must submit an application for renewal or continuation.

PROTOCOL NUMBER: **11072104**
PROJECT TITLE: **The Leadership Code and Employee Engagement**
PROJECT TYPE: **Dissertation**
RESEARCHER/S: **Richard James Stewart**
COLLEGE/DIVISION: **College of Science & Technology**
DEPARTMENT: **Economic & Workforce Development**
FUNDING AGENCY: **Cypress Bayou Casino**
IRB COMMITTEE ACTION: **Expedited Review Approval**
PERIOD OF PROJECT APPROVAL: **08/09/2011 to 08/08/2012**



Lawrence A. Hosman, Ph.D.
Institutional Review Board Chair

8-10-2011
Date

APPENDIX B
PERMISSION TO CONDUCT THE ORGANIZATIONAL STUDY

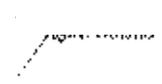
May 11, 2011

Dr. Lyndi Gaudet
730 E. Beach Boulevard
Jack and Patti Phillips Workplace Learning and Performance Institute
The University of Southern Mississippi
Long Beach, MS 39560

Dear Dr. Gaudet:

This letter will confirm that Richard J. Stewart has permission to conduct a research project at [redacted] as it relates to his PhD program at The University of Southern Mississippi. Please contact my office if you need further information.

Sincerely,

APPENDIX C

PERMISSION TO USE UWES FOR RESEARCH PURPOSES (Schaufeli, 2010).

Notice for potential users of the UWES and the DUWAS

- You are welcomed to use both tests provided that you agree to the following two conditions:
 1. The use is for non-commercial educational or research purposes only. This means that no one is charging anyone a fee.
 2. You agree to share some of your data, detailed below, with the authors. We will add these data to our international database and use them only for the purpose of further validating the UWES (e.g., updating norms, assessing cross-national equivalence).
- Data to be shared:

For each sample, the raw test-scores, age, gender, and (if available) occupation. Please adhere to the original answering format and sequential order of the items.

For each sample a brief narrative description of its size, occupation(s) covered, language, and country.
- Please send data to: w.schaufeli@uu.nl. Preferably the raw data file should be in SPSS or EXCEL format.
- By continuing to the test forms you agree with the above statement.

APPENDIX D
BIOGRAPHICAL SKETCHES

Dr. T. O. Jacobs

Dr. Jacobs is currently Senior Fellow, Executive Leadership Assessment and Development, Pal-Tech. From 1995 to 2005, he held the Leo Cherne Distinguished Visiting Professor of Behavioral Science Chair at the Industrial College of the Armed Forces, National Defense University. There, he taught courses in Strategic Leadership, and Creative and Critical Thinking. He also created and directed the College's Executive Assessment and Development Program.

From 1974 to 2005, Dr. Jacobs served in a series of assignments with the U. S. Army Research Institute for the Behavioral and Social Sciences, where he completed landmark research on strategic performance requirements and the developmental processes required to produce strategic leadership skills. With Jaques, he developed an adaptation of Jaques' requisite organization structure that specifies (a) critical performance requirements at the various levels of a requisitely structured organization, and (b) the critical cognitive skills which must develop over time to enable successful performance. The structure identifies developmental targets over time and constitutes a theory-based template for development of leadership within large-scale organizations. The conceptual base for this structure has been widely adopted by the military senior service colleges. He began research on leadership in 1957 with Carl Lange, developing a social learning theory-based concept of the functional roles of leaders in groups. This was among the first formulations of leadership incorporating the concept of "value added" (exchange theory) providing a broad conceptual framework within which to view leader functional roles, leader "value added," organizational power dynamics, and organizational pathology stemming from inappropriate leadership and management controls.

Dr. Jacobs received the B.A. and M.A. degrees from Vanderbilt University, and the Ph.D. from the University of Pittsburgh. He is the author of Leadership and Exchange in Formal Organizations, and Strategic Leadership: The Competitive Edge as well as eleven book chapters, 28 reports, and other articles. His most significant recent publication was as leadership section editor and chapter contributor (with Jaques) in Handbook of Military Psychology. He was the year 2000 recipient of the John C. Flanagan Lifetime Achievement Award from the American Psychological Association Division of Military Psychology, and is a Fellow of both the American Psychological Association and the American Psychological Society.

Dave Ulrich

Dave Ulrich is a Professor at the Ross School of Business, University of Michigan and a partner at the RBL Group a consulting firm focused on helping organizations and leaders deliver value. He studies how organizations build capabilities of leadership, speed, learning, accountability, and talent through leveraging human resources. He has helped generate award winning data bases that assess alignment between strategies, organization capabilities, HR practices, HR competencies, and customer and investor results.

He has published over 175 articles and book chapters and 23 books: *Asian Leadership* (2010, Robert Sutton), *The Why of Work* (2010, Wendy Ulrich), *Leadership in Asia* (2009), *HR Transformation* (2009 Justin Allen, Wayne Brockbank, Jon Younger, Mark Nyman), *Leadership Code* (2008 Norm Smallwood, Kate Sweetman), *Companion for Strategic Human Resources* (2008 John Storey, Pat Wright), *HR Competencies* (2008 Wayne Brockbank, Dani Johnson, Kurt Sandholtz, Jon Younger), *Leadership Brand* (2007 Norm Smallwood), *Human Resource Value Proposition* (2005 Wayne Brockbank), *The Future of Human Resource Management* (2005 Michael Losey, Sue Meisinger), *Human Resources Business Process Outsourcing* (2004, Ed Lawler, Jac Fitzenz, James Madden). *100 Things You Need to Know* (2003, Robert Eichinger, Michael Lombardo), *Competences for the New HR* (2002, Wayne Brockbank), *Why the Bottom Line Isn't* (2003, Norm Smallwood), *Results Based Leadership* (1999, Norm Smallwood, Jack Zenger), *Learning Capability* (1999, Arthur Yeung, Mary Ann Von Glinow, Steve Nason), *Tomorrow's (HR) Management* (1997, Gerry Lake, Mike Losey), *Human Resource Champions* (1997), *The Boundaryless Organization* (1995, Ron Ashkenas, Steve Kerr, Todd Jick), *The Boundaryless Organization Field Guide* (2002, Ron Ashkenas, Todd Jick, Katy Paul-Chowdhury), *Organizational Capability* (1990, Dale Lake)

He edited *Human Resource Management* 1990-1999, served on editorial board of 4 Journals, on the Board of Directors for Herman Miller, and Board of Trustees at Southern Virginia University, and is a Fellow in the National Academy of Human Resources.

Honors include:

2010:

- Nobels Colloquia Prize for Leadership on Business and Economic Thinking
- Life Fellowship in Australia Human Resources Institute (AHRI)
- Ranked #1 most influential international thought leader in HR by HR Magazine
- Kirk Englehardt Exemplary Business Ethics Award from Utah Valley University
- Why of Work (co-authored with Wendy Ulrich) #1 best seller for Wall Street Journal and USA Today

2009:

- Listed in Thinkers 50 as a management thought leader
- Ranked #1 most influential person in HR by HR Magazine

2008:

- Ranked #1 most influential person in HR by HR Magazine

2007:

- Lifetime Achievement Award from American Society of Training and Development (ASTD)
- Honorary Doctorate from University of Abertey, at Dundee Scotland

2006:

- Ranked #1 most influential person in HR by HR Magazine in vote by influential HR thinkers
- Dyer Distinguished Alumni Award from Brigham Young University, Marriott School of Management

2005:

- Ranked #2 management guru by Executive Excellence
- Named by Fast Company as one of the 10 most innovative and creative thinkers of 2005

2002-2005:

- President, Canada Montreal Mission, Church of Jesus Christ of Latter-day Saints

2001:

- Ranked #1 management educator and guru by Business Week

2000:

- Lifetime achievement award from World Federation of Personnel Management
- Listed in Forbes as one of the “world’s top five” business coaches

1998:

- Society for Human Resource Management award for Professional Excellence for lifetime contributions
- Lifetime achievement (PRO) award from International Association of Corporate and Professional Recruitment, and Employment Management Association

1997:

- Warner W. Stockberger Lifetime Achievement Award from International Personnel Management Association

1995:

- The Pro Meritus Award from Employment Management Association for “outstanding contribution to the human resources field,”

He has consulted and done research with over half of the Fortune 200.

Norm Smallwood

In 2010, the Harvard Business Review described Norm Smallwood as doing “innovative and ground-breaking work on effective leadership.” He is a recognized authority in developing businesses and their leaders to deliver results and increase value.

In 2000, Norm co-founded The RBL Group with Dave Ulrich. Much of his current work relates to increasing business value by building organization, leadership, and people capabilities that measurably impact market value, and connecting firm brand identity with leadership brand capability. Leadership brand capability occurs when investors, customers, and employees have confidence that leaders are able to deliver present and future results in a manner consistent with the desired customer experience or firm identity.

He has co-authored six books: *Real-Time Strategy*, *Results-Based Leadership*, *How Leaders Build Value*, *Change Champions Field Guide*, *Leadership Brand*, and *Leadership Code*. He has published more than 150 articles in leading journals and newspapers such as *Washington Post*, *Forbes*, and *Financial Times*, and has contributed chapters and forewords to multiple books. He has published two articles in Harvard Business Review and is a frequent blogger on HBR Online. Norm was also a faculty member in executive education at the University of Michigan in the Ross School of Management.

For several years, *Leadership Excellence* magazine has ranked Norm as one of the top 100 Global Voices in Leadership and the RBL Group as one of the top leadership development firms in the world.

Background

Prior to co-founding the RBL Group, Norm was a founding partner and managing director of Novations Group, Inc. where he led business strategy, organization design, and human resource management projects for a wide variety of clients spanning multiple industries. Before this, he was an organization development professional at Procter and Gamble in a start-up business in Georgia and in Calgary, Alberta, with Esso Resources Canada.

He is on the editorial board of the *Journal of Human Resource Management* and an Honorary Colonel for the West Valley City Police Department.

Mike Sanders

Areas of Expertise

Mike Sanders has performed research and created research based products that address the full spectrum of personnel issues from recruiting, to selection and assignment, training, leader development, and attrition and retention. He has developed selection systems, training, and leader development programs for clients in a wide variety of business and military settings. Mike has created tests and feedback reports for the National Football League (NFL) and National Basketball Association (NBA) teams. He has also conducted workshops and consulted with sports, military, and business leaders.

Background:

Mike is co-owner of the Human Resource Tactics and for over a decade has provided consultant services to the National Football League (NFL) teams concerning player selection and development. For the past 13 years, Mike has consulted with elite military units belonging to the US Army Special Operations Command. He has served as a Team, Division, and Field Unit leader for the US Army Aero Medical Research Laboratory and the US Army Research Institute for over 30 years. Mike served as an Active Duty Captain, Aviation Psychologist at Fort Rucker, AL, the home of the US Army Aviation Center and School.

Mike holds a Ph.D. in Experimental Psychology from Texas Tech University and has performed research and created and applied assessment processes and procedures for aviator selection, Green Beret soldier selection, and Special Operations soldier and leader selection. His work has been used as a basis for policy decisions at all levels of the Army.

Publications & Honors

Publications

- Author of over 100 papers, technical reports, presentations, and articles.
- "Principles for Building the Profession: The SOF Experience" (with T.O. Jacobs and Michael G. Sanders) in the book, *The Future of the Army Profession*, (2005).

Honors

- Recognized on a number of occasions for leadership and exceptional performance by the US Army Special Operations Command, US Army Personnel Command, US Army Armed Forces Command, US Army Research and Material Command and other Army organizations.

APPENDIX E

UTRECHT WORK ENGAGEMENT SURVEY SHORTENED VERSION (UWES-9)

Work and Well-being Survey (UWES) ©

The following 9 statements are about how you feel at work. Please read each statement carefully and decide if you ever feel this way about your job. If you have never had this feeling, write "0" (zero) in the space preceding the statement. If you have had this feeling, indicate how often you feel it by writing the number (from 1 to 6) that best describes how frequently you feel that way.

	Almost never	Rarely	Sometimes	Often	Very often	Always
0	1	2	3	4	5	6
Never	A few times a year or less	Once a month or less	A few times a month	Once a week	A few times a week	Every day

1. _____ At my work, I feel that I am bursting with energy
2. _____ At my job, I feel strong and vigorous
3. _____ I am enthusiastic about my job
4. _____ My job inspires me
5. _____ When I get up in the morning, I feel like going to work
6. _____ I feel happy when I am working intensely
7. _____ I am proud of the work that I do
8. _____ I am immersed in my work
9. _____ I get carried away when I'm working

© Schaufeli & Bakker (2003). The Utrecht Work Engagement Scale is free for use for noncommercial scientific research. Commercial and/or non-scientific use is prohibited, unless previous written permission is granted by the authors.

____ Supervisor's Unique Identifier

APPENDIX F

INFORMED CONSENT DOCUMENT

The University of Southern Mississippi Authorization to Participate in Research Project

Participant's Name _____

Consent is hereby given to participate in the research project entitled The Leadership Code and Employee Engagement. All procedures and/or investigations to be followed and their purpose, including any experimental procedures were explained by (name of Research Assistant) _____ . Information was given about all benefits, risks, inconveniences, or discomforts that might be expected.

The opportunity to ask questions regarding the research and procedures was given. Participation in the project is completely voluntary, and participants may withdraw at any time without penalty, prejudice, or loss of benefits. All personal information is strictly confidential, and no names will be disclosed. Any new information that develops during the project will be provided if that information may affect the willingness to continue participation in the project.

Questions concerning the research, at any time during or after the project, should be directed to Rich Stewart at 337-924-3218. This project and this consent form have been reviewed by the Human Subjects Protection Review Committee, which ensures that research projects involving human subjects follow federal regulations. Any questions or concerns about rights as a research participant should be directed to the Chair of the Institutional Review Board, The University of Southern Mississippi, 118 College Drive #5147, Hattiesburg, MS 39406-0001, (601) 266-6820.

A copy of this form will be given to the participant.

Signature of participant

Date

Signature of person explaining the study

Date

APPENDIX G

ORAL PRESENTATION

Oral Presentation to be given at the beginning of each survey session

1. The purpose of the surveys today will assist the researcher in studying the relationship between a leadership framework entitled, the leadership code and employee engagement in the workplace. This study is being done as part of the requirements for completing the researcher's PhD. The results from the surveys will be used to write the dissertation paper.
2. The study includes approximately 150-200 participants made up of managers, assistant managers, supervisors and employees who report directly to one of the managers, assistant managers or supervisors.

Participants were selected based on the following factors:

- a. Participants must have been in their current position at least one year.
 - b. Participants must have worked for the employer at least one year.
 - c. Participants must be employed full-time.
3. The survey should take approximately 30 minutes or less to complete and you should be clocked in during the time you are taking this survey.
 4. Each participant in the room should be clocked in so you can be paid for the time it takes to complete the survey.
 5. No risks to you as a participant are expected and you may discontinue your participation at any time. If you decide you do not want to participate, let the Research Assistant know. If you have questions, you may ask them at any time.

6. Your responses will remain confidential. To assure confidentiality, you received a unique identifier when you signed in. Use this identifier instead of your name on the survey. The list linking your unique identifier and your name will be kept in a locked drawer in the Employee Services Manager's office and destroyed once the research paper has been completed. This means there will be no way to link your responses to your name.
7. Instructions for the surveys can be found at the beginning of each survey. You may begin the survey by filling in the information on the first screen. Remember to use your individual identifier instead of your name. If you have any questions, I will be available to answer them at any time. Thank you very much for your time in completing the surveys. You can now begin.

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