‘The Leadership PASS’

Submitted by

Lisa J. Griffiths

“A critique to meet the requirements of the Doctor of Business Leadership at Torrens University Australia”

If your actions inspire others to dream more, learn more,

do more and become more, you are a leader

John Quincy Adams (cited in Dourado 2007)

December 2018

Declaration of originality

This critique is my own work and to the best of my knowledge it contains no materials previously published or written by another person, and no materials which have been accepted for the award of any other degree or diploma at Torrens University Australia or any other institution, except where due acknowledgement is made in the thesis. I acknowledge that copyright of published work contained within this critique resides with the copyright holder(s) of those works. Any contribution made to the research by others is explicitly acknowledged in the thesis.

Lisa J. Griffiths

12 December 2018

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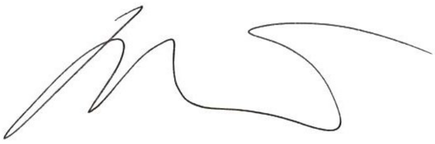

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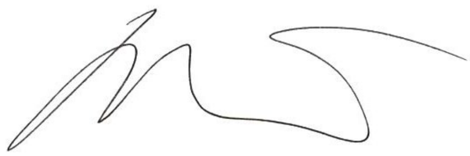
Ethical conduct statement

The research associated with this critique was conducted in accordance with the National Statement on Ethical Conduct in Human Research (2007).



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Abstract

This critique explores leadership in the Community Services Sector (CSS), and what constitutes effective leadership. Specifically, it looks at testing my Personal Contingent Leadership Paradigm (PCL paradigm) through my leadership PASS framework and my leadership effectiveness. Leadership effectiveness in the CSS, can in turn contribute to client outcomes, therefore optimising our leadership is essential for the clients we serve. The research methodology, research questions and premises were designed to justify my PCL paradigm with an overarching research question: 'How does the leadership PASS contribute to a CSS leader's effectiveness'? The research considered:

1) A literature review of values-based leadership to test the premise of intrinsic values alignment to be effective in the CSS.
2) A Systematic Literature Review (SLR) about the effectiveness of executive leadership in Community Service Organisations (CSOs) and the implementation of evidence-based programs (EBPs).
3) A longitudinal case study on my leadership practice to justify my leadership PASS.
4) Qualitative field research analysis to understand effective leadership in practice and using the Authentic Leadership Questionnaire (ALQ) to assess the perception of authentic leadership with acknowledged leaders in the CSS.

The literature review of values-based leadership found that the most effective leaders: are altruistic, can demonstrate they bring together groups with shared values and act upon them in an authentic way, have much higher levels of performance in systems, and help others to achieve improved outcomes. These leaders exhibit selfless behaviours and have a relational leadership style.

Both servant leadership and transformational leadership were found to be effective for leaders in CSOs, with a focus on relational behaviours. In a dynamic context, organisational transformation, innovation, volatility, and change-oriented behaviours are needed.

EBPs are of a much higher quality than traditional interventions in Australia in the CSS. They have a strong underpinning evidence base, have been subject to rigorous evaluation and

have demonstrated effectiveness and sustained results with specific population groups. Implementation of EBPs requires leaders to have certain conditions for success, the SLR found that an executive leader's personality and leadership style can impact many aspects of the organisation's strategy and culture, and whether they 'take up' EBPs or implement them well.

The qualitative research study looked at a purposeful sample of 'acknowledged leaders'. All participants had much higher mean scores of Authentic Leadership compared to other samples. All had strong personal values; the study found some value incongruence between the participants' personal values and what their espoused organisational values were and argued it matters most ***what those values are*** (not the organisational ones) if the 'best' decisions are to be made in the interests of others in the CSS. Participants took roles in both leading and managing, had an adaptive approach, few used an evidence-based decision-making approach consistently, many preferring *gut instincts*. All had an acute awareness of navigating systems, exuded *passion* for their work, a clear sense of *doing what's right for others* and displayed meaningful commitment to **making a difference**.

All research justified and further contributed to my leadership PASS.

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List of abbreviations

ACT	Australian Capital Territory
AL	Authentic Leadership
ACNC	Australian Charities and Not-for-profits Commission
CEBMa	Center for Evidence-Based Management
CEO	Chief Executive Officer
CFA	Country Fire Authority
CSO	Community Services Organisation
CSS	Community Services Sector
DBL	Doctor of Business Leadership
DGR	Designated Gift Recipient
EBM	Evidence-Based Model
EBP	Evidence-Based Program
HSO	Human Service Organisation
NFP	Not-for-Profit
NGO	Non-Government Organisation
NSW	New South Wales
NZ	New Zealand
OHS	Occupational Health & Safety
OHSAC	Occupational Health & Safety Advisory Committee
OOHC	Out of Home Care
PASS	People, Action, System, Self
PCL	Personal Contingent Leadership
PTSD	Post-Traumatic Stress Disorder
Qld	Queensland
RCT	Randomised Control Trial
RESI	Residential home for Children in OOHC staffed by paid employees
RCFV	Royal Commission into Family Violence
SA	South Australia
SL	Servant Leadership
SLR	Systematic Literature Review
SRG	Stakeholder Reference Group
TL	Transformational Leadership
UK	United Kingdom
US	Untied States of America
VBRC	Victorian Bushfires Royal Commission
VIC	Victoria
WA	Western Australia
WEF	World Economic Forum
WHS	Workplace Health & Safety

Glossary of key terms

Aboriginal Community Controlled Organisation (ACCO)

Within the child, family and community care sector, an Aboriginal Community Controlled Organisation (ACCO) has reflected in the organisation's constitution:

- Is an independent, not-for-profit organisation, that is incorporated as an Aboriginal organisation
- Has been initiated by, and is controlled and operated by Aboriginal people; thereby acknowledging the right of Aboriginal peoples to self-determination
- Is based in a local Aboriginal community, or communities
- Is governed by an Aboriginal Board which is elected by members of the local Aboriginal community or communities where it is based; and decision making of the Board is determined by Aboriginal Board members
- Delivers services that build strength and empowerment in Aboriginal communities and people

Authentic Leadership (AL)

Authentic leadership theory includes an in-depth focus on leader and follower self-awareness. It is premised on ethical and moral practices, the legacy of the leader and the responsible behaviour of all followers. Elements of competence, integrity, high self-esteem, reliability and trust are indispensable in this form of leadership.

Child Welfare

- Child welfare is a continuum of services designed to ensure that children are safe and that families have the necessary support to care for their children successfully. Child welfare agencies typically:
- Support or coordinate services to prevent child abuse and neglect
- Provide services to families that need help protecting and caring for their children
- Receive and investigate reports of possible child abuse and neglect; assess child and family needs, strengths, and resources
- Arrange for children to live with kin (i.e., relatives) or with foster families when safety cannot be ensured at home
- Support the well-being of children living with relatives or foster families, including

ensuring that their educational needs are addressed

- Work with the children, youth, and families to achieve family reunification, adoption, or other permanent family connections for children and youth leaving foster care

Community Services Organisation (CSO)

A non-government organisation funded by the Government to deliver a designated service to the community (e.g. Child welfare).

Community Services Sector (CSS)

The community services sector includes services provided by a broad range of national, state and territory governments and non-government agencies. These services are provided for a diverse range of needs (e.g. child care, aged care, disability support services, child welfare).

Evidence-Based Decision making

Evidence-Based decisions rely on both critical thinking and the use of the best available evidence. Sources include the combinations of: best scientific evidence available, best available experiential evidence, best available organisational evidence, organisational values and stakeholders' concerns

Evidence-Based Management

Evidence-based practice is about making decisions through the conscientious, explicit, judicious use of the best available evidence from multiple sources by:

1. Asking: translating a practical issue or problem into an answerable question.
2. Acquiring: systematically searching for and retrieving the evidence.
3. Appraising: critically judging the trustworthiness and relevance of the evidence.
4. Aggregating: weighing and pulling together the evidence.
5. Applying: incorporating the evidence into the decision-making process.
6. Assessing: evaluating the outcome of the decision taken.

to increase the likelihood of a favourable outcome.

Evidence-Based Program/Practices and Models (EBPs)

Evidence-Based Program (EBPs) are based upon an understanding of how programs and practices work on the ground to deliver outcomes. They involve gathering research evidence to inform decision-making about interventions, programs and practice principles delivered by individual practitioners, teams and whole organisations (Plath 2012b). An EBP is a dynamic process of critical reflection that involves a combination of well-researched interventions with the on-the-ground experience of both practitioners and service users, with solutions being evaluated for their effectiveness.

Evidence-Based Models which are part of many EBPs are rigorously evaluated interventions and have been recognised by a credible clearing house. Model programs meet these additional standards:

- Evaluation Quality: A minimum of (a) two high quality randomised control trials or (b) one high quality randomised control trial plus one high quality quasi-experimental evaluation.
- Positive intervention impact is sustained for a minimum of 12 months after the program intervention ends.

Human Service Organisation (HSO)

Human services are a vast sector that includes a broad range of disciplines, knowledge and skills focused toward enhancing human well-being, both individually and collectively. Just as there are many causes within the human services sector, so too are there a wide variety of organisations whose aim is to accomplish these goals. Three main organisational types define the human services field: non-profit (NFP) or Non-Government Organisation (NGO), a Community Service Organisation (CSO) governmental or public enterprise and the private sector. All of them use different methods to aid the people they serve.

Out of Home Care (OOHC)

Out of home care is the term used to describe the placement of children away from their parents, due to concern that they are at risk of significant harm. The purpose of out of home care is to provide children with a placement, which ensures their safety and healthy development and achieves stability.

Residential Care (RESI)

Temporary, short- or long-term accommodation for children and young people who are unable to live-in home-based care. Accommodation is staffed by paid employees.

Servant Leadership (SL)

Servant Leadership emphasises the individual character of the leader and their ability to inspire the commitment of followers to an organisation through attributes of trust, empowerment, vision, altruism, intrinsic motivation, commitment and service.

Systematic Literature Review (SLR)

The intention behind a systematic review is to identify as fully as possible all the scientific studies of relevance to a particular subject and to assess the validity and authority of the evidence of each study separately. As the name indicates, a systematic review takes a systematic approach to identifying studies and has the methodological quality critically appraised by multiple researchers independently of each other, as a consequence of which the review is transparent and reproducible and can be monitored.

Transformational Leadership (TL)

Transformational Leadership involves motivating, influencing and challenging followers to participate in collective decisions, to develop into leaders themselves and be innovative and creative in collective group accomplishment, organisational objectives or systemic change and innovation. TL is concerned with developing individuals' fullest potential and their motivation toward the greater good rather than their own self-interests. The TL model involves five factors: charisma, idealised influence, inspirational motivation, intellectual stimulation and individualised consideration.

Virtuous Deportment

How a person conducts themselves in relation to others and oneself. Underpinned by virtues which manifest as 'character traits' in the individual. Virtues are acquired through continuous learning and practice. This in turn lead to virtuous action. Virtuous action is *intrinsic;* it is neither for personal advantage nor the result of external rules, controls or compulsion (Wang & Hackett 2016)

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[1] Notes: Domain is the main thematic area, capturing the sum of all codes within it. Sub-codes are the smaller themes under the domain. For a full description please see Appendix 28 Emergent Coding Framework.

List of boxes

[2] https://www.acnc.gov.au/tools/reports/growth-and-change-australias-charities-2014-2016

Acknowledgements

For Sensei

Sensei is a term to describe teacher in both Chinese and Japanese languages. In the world of Judo, it means much more, in that, a Sensei is not only proficient in teaching Judo but equally considers the physical, emotional and spiritual growth of the student.

I have many Sensei's to thank for this work. Professor Stan Glaser my supervisor, whose wisdom and ability to challenge, support and advance my work was exceptional. Associate Professor Erica Frydenberg who encouraged me to match leadership practice with academic rigour. Helen Maxwell-Wright, President of OzChild who supported my undertaking this Doctorate and utilising its learnings within OzChild. Helen's unwavering support and belief in me, ensured my commitment to the end. Michelle Van Doorn, Mark Powell, Jarrod Edwards, Dea Delaney-Thiele and Alison Dall Stosic - my executive team at OzChild who supported me unwaveringly and safeguarded uninterrupted time to do the research. They all added their wisdom throughout the journey.

Alison Dall Stosic not only is an exceptional executive leader but her servant leadership epitomises the pure theory itself, without her support the thesis would not have become a reality.

All the 'Acknowledged Leaders' in my research who gave time, energy and generosity of their leadership to advance this work. Sidrah McCarthy my co- author on the Systematic Literature Review in Chapter 2 and her amazing tenacity as we completed the research.

Carmel O'Rourke and Celia Swales were co- contributors to my supporting portfolio accompanying this work, who patiently supported and challenged and advanced the leadership PASS. Phillip Volkofsky and his early thinking and support on the concepts of the leadership PASS. Our leaders at OzChild who have walked the talk of the leadership PASS and everyday support the incredible work OzChild does. The OzChild board who has enabled much of the work discussed in various chapters to become a reality. Their ability to selflessly give their time voluntarily to such an incredible organisation should never be taken for granted.

No Doctoral work is without sacrifice and not just on the students' part but their family. For my children Adrian, Lauren, Kate, Ciara and Blaine, thank you. My youngest Blaine in particular has shown much maturity in allowing Mum to study every spare moment.

And the love of my life- Paul. Who will never receive proper credit for his significant contribution and unwavering belief and love.

Finally, for my Mum & Dad and the late Glenda Watkins and late Sensei Steadman Davies. I dedicate this work to you as it's on your shoulders I stand.

Executive Summary

"Leadership and learning are indispensable to each other.

Leaders learn to become leaders, and they continue to learn in their role as leaders"

John F. Kennedy (cited in Shinagel 2017, para 7)

Introduction

The study of leadership has been written about for centuries. Many scholars have produced enormous amounts of literature to understand what it is and what it is not. Multitudes of authors profess to have leadership secrets and sell best-selling books. Unfortunately, most of these have no empirical grounding. As a leader in the not-for-profit (NFP) sector, I note that it is an area of research which seems to have been overlooked in providing quality research. What is available is mostly based in the United States and very general. This is further compounded when you break down the NFP sector into areas of NFP sector expertise (e.g. community services) and geography (e.g. Australia).

Several problems surface immediately regarding this. Firstly, researchers often equate leadership in an NFP sector with leadership research in general. Secondly, those working in the NFP sector often confuse leadership and management, proffering one to be superior to the other. Thirdly, with the absence of targeted research, there is little to guide emerging NFP leaders within their sector of expertise. It is for this reason I have chosen to undertake a Doctor of Business Leadership (DBL), to offer something tangible to my sector in understanding what it takes to be effective in the community services sector (CSS). Of course, it also provides an opportunity for me to improve my own leadership practice.

Leadership Critique Requirements

The DBL requires its candidates to be senior leaders, such as Chief Executive Officers (CEOs), and complete four leadership subjects prior to undertaking the Leadership Critique and supporting portfolio report. During the four subjects the candidate develops their own Personal Contingent Leadership Paradigm (PCL paradigm). This PCL paradigm is then validated through a longitudinal case study that captures the evolution of the candidate's leadership approaches and their paradigmatic consequences. What follows now is an overview of my leadership critique and the research undertaken for its validation and evolution. It also provides a summary of my contribution to leadership practice. The detailed analysis can be found within the relevant chapters that follow.

My Proposed Personal Contingent Leadership Paradigm

My personal 'contingent' leadership paradigm is made up of multiple dimensions. 'Contingent' means the leadership paradigm is dependent on the business context for which the 'leadership' is best suited. In this case, this critique focuses on the CSS and specifically within my organisation, OzChild. OzChild is a community service organisation (CSO) that has been in existence for 168 years. It operates in the child and family services sector in Victoria, the Australian Capital Territory, New South Wales and Queensland). Its strategic intent is to grow its reach Australia-wide, while ensuring it strengthens impact in pursuit of improving outcomes for vulnerable children, young people and families. Personally, I have over 30 years professional experience in the CSS, 20 years of this are in leadership roles and I currently operate as the CEO of OzChild.

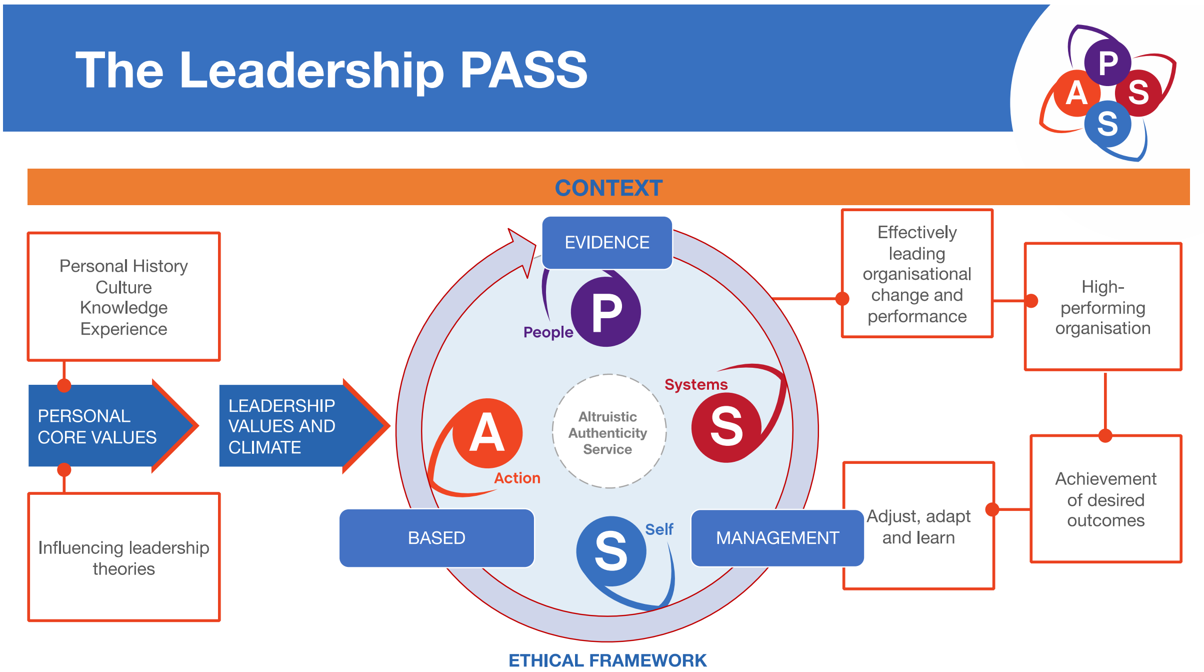
My PCL paradigm is described in this critique as a framework which contains:

- core values that drive my PCL paradigm
- influencing theories of leadership that underpin leadership in the CSS
- domains3 (which provide both guidance on how to be an effective strategic leader and an efficient operational and tactical leader in an organisation like OzChild), which are organised as People, Action, Systems and Self (PASS).

The leadership PASS is the framework that forms the basis of my PCL paradigm, and I shall refer to it interchangeably in this critique as the leadership PASS or PCL paradigm (see Figure E.1)

[3] Domain – a field of action, thought or influence (Dictionary.com 2018).

Figure E.1: The Leadership PASS



In commencing this program of work, the leadership PASS was just a mental model. A mental model is described by Norman (2014) as, *'people's views of the world, of themselves, of their own capabilities, and of the tasks that they are asked to perform'* (p.7). Another way of describing your own mental model is through a 'framework' or making meaning of all the *connecting structures* that can assist in describing the interrelationship between activities, objects, actions and knowledge (Magzan 2012). Of course, an additional expression is a paradigm, and hence why my PCL paradigm journey began with a 'making sense of my mental model' exercise and building my framework—the leadership *PASS*—to organise and interpret all those connections in my leadership.

In research conducted by Magzan (2012), she asserts a direct link between leadership effectiveness and mental models, and states: '*mental models have much more influence over the organisational outcomes than the actions or decisions being made'.* The majority of leadership development is often focused on the *individual* becoming more effective in and of themselves; for me, my goal from the outset of this work was to learn the **what**, **why** and **how** of effective leadership that could be shared to improve not only organisational outcomes but societal ones. My research questions reflect this (outlined in Chapter 3) as does the research conducted in both literature reviews in Chapter 2, and the qualitative study in Chapter 5. I explain the PASS in greater detail throughout the critique, alongside justifying its various *connecting structures.* Figure E.1 shows my concluding version of the leadership PASS*,* as adaptions were made along the way.

Key Leadership Practice Insights from the Critique

My leadership practice insights are organised below, in line with the relevant chapter in the critique of where a more thorough examination is presented. I have also related the insights to the relative leadership *PASS* area*.*

Chapter 1: Research Context

In the course of a decade I have been involved in senior roles that have seen no less than three Royal Commissions, multiple parliamentary inquires, tragedy and some of the poorest outcomes for vulnerable children and young people. In a dynamic leadership context such as this, you have to learn 'on the run' or as the future emerges. Scharmer (2000) describes this as *presencing,* where the leader's learning cycle not only reflects on the past experiences but develops a new cognitive ability for '*sensing, embodying, and enacting emerging futures*' (p.2). A key insight for me in leadership practice, is a leader has to not only go beyond adapting their leadership approach to the current context but initiate transformation at the same time. Examples of this are reflected in Chapter 4 and particularly in the Systems domain of the leadership PASS*.*

Chapter 2: Literature Reviews

As mentioned in the introduction, the quality of leadership literature in the NFP sector is mixed and not specific to NFP leaders in the CSS context. I undertook two literature reviews.

The first was to better understand the philosophical drivers (e.g. values and virtues) in leadership, working on the premise that it is '**necessary**' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can *align these to their work in the CSS,* to therefore get better *outcomes for others (e.g. vulnerable clients).* The review found that the most effective leaders: are altruistic, can demonstrate they bring together groups with shared values and act upon them in an authentic way, have much higher levels of performance in systems, and help others to achieve improved outcomes (Banks et al. 2016). These leaders exhibit selfless behaviours and a relational leadership style (De Cremer 2006; Sosik, Jung, & Dinger 2009).

Altruistic leaders will draw on their values and inner moral code (virtues) when the ***murky right*** confronts, and call on the ***right decision*** as needed to therefore be more effective. While an egoistic leader may be effective, it will be to advance oneself, it will have little impact on the system at large in the NFP world, as this world has a long-term view. For the larger system there is a need to bring along multiple stakeholder groups over the long-term. As an altruistic leader, knowing 'one's self', understanding their inherent values and *how* this drives their decision-making will in turn assist their leadership effectiveness in the CSS and keep them focused long-term. This review justifies the components of the PASS in the author's PCL paradigm around the domains of Values, System and Self.

The second review was an extensive systematic literature review (SLR) conducted with a co-researcher. The purpose of this chapter is to provide a review of the research literature about executive leadership in the child welfare sector in Australia (which combats abuse and neglect of children), in order to better understand what constitutes effective leadership, with a focus on the executive level in CSOs and the leadership required to implement evidence-based programs (EBPs)[4] or models (EBMs).

Both servant leadership (SL) and transformational leadership (TL) were found to be effective for leaders in human services organisations (HSOs), with a focus on relational behaviours. In a dynamic context, organisational transformation, innovation, volatility, and change-oriented behaviours are needed.

EBPs are of a much higher quality than traditional interventions in Australia in the CSS. They have a strong underpinning evidence base, have been subject to rigorous evaluation and have demonstrated effectiveness and sustained results with specific population groups.[5] They are widely used internationally, but had not been taken up in Australia in child welfare at the commencement of this SLR. As we technically are 'denying' clients access to the best

[4] The Term EBP or EBM is used interchangeably throughout this critique.
[5] http://www.episcenter.psu.edu/ebp/definition (EPISCenter 2018)

researched programs, this contribution to the literature is both original and significant in helping leaders understand what is required to implement EBPs. Implementation of EBPs requires leaders to have certain conditions for success, and the SLR assists with identifying these.

The SLR found that an executive leader's personality and leadership style can impact many aspects of the organisation's strategy and culture, and whether they 'take up' EBPs or implement them well. Effective leadership in human services focuses on the relationships connecting individuals, rather than the attributes of individuals. This resonates with the understanding of EBPs as an emergent form of collective action within organisations that is carried out by leaders and direct practitioners through non-linear and complex processes. This warrants further testing with leaders in the HSO field in Australia.

The key leadership practice insights from the SLR for myself are to continue to focus on using EBPs in Australia and how as a leader in the CSS you can effectively implement them using the evidence. The SLR has also advanced my application of evidence-based management and its application in decision-making (discussed in later chapters). This became an adaption to my original PCL paradigm, as seen in Figure E.1.

Chapters 3 and 5: Leadership Field Research

To further test the findings from the two literature reviews, I conducted a qualitative research study with a purposeful sample of 'acknowledged leaders' in the human services field (comprising leaders from NFPs in the CSS and the public sector that work with the CSS).

All participants took part in semi-structured individual interviews, while also undertaking a leadership survey instrument called the Authentic Leadership Questionnaire (ALQ) identified in the literature review. The research questions were 'What makes an effective executive leader in the community/human/social services sector?' and 'Do those leaders demonstrate an Authentic Leadership (AL) "style".'

All participants had much higher mean scores of AL compared to other samples, and this was also seen in their interviews. All had strong personal values; however, I found some value incongruence between the participants' personal values and what their espoused organisational values were. However, I don't see this as an issue but as a key insight in challenging the literature. I contend that what is more important is *what* the leaders' inherent values are. In studies by Lichtenstein, Lichtenstein and Higgs (2017), they argue that executives *enact* their personal values in organisational decision-making. It follows then, that ***what those values are*** matters most (not what those of the organisation are) if the 'best' decisions are to be made in the interests of others in the CSS.

Other key findings were that all participants had an active role in both leading and managing, and took an adaptive approach to complex problem-solving, few used an evidence-based decision-making approach consistently, many preferring *gut instincts*. All had an acute awareness of navigating systems and the impact that has in leadership. All exuded *passion* for their work, a clear sense of *doing what's right for others* and displayed meaningful commitment to **making a difference**. The key leadership insights were my understanding that effective leadership, as it appears in this study, requires an amalgam of individual circumstance, personality, context and system, along with a strong sense of purpose and ethics as guiding principles. There is no one common personality type of an effective leader in the CSS and all findings align with the leadership PASS.

Chapter 4: Evolution of the Leadership PASS

This chapter focuses on the evolution of my PCL paradigm in *practice*. It explains how I have used the leadership PASS to inform and understand my leadership in different contexts. It demonstrates the process of *making meaning* of all the connecting structures that can assist in describing the interrelationships between activities, objects, actions and knowledge within my leadership PASS (Magzan 2012). Key leadership insights are derived throughout and justified in answering the overarching research question: 'How does the leadership PASS contribute to a CSS leader's effectiveness? Some of the insights, for example, leadership in the CSS today requires a leader to both **transform and adapt the system**, through recognising the need for *presencing—sensing, embodying, and enacting emerging futures* (Scharmer 2000, p.2). I discuss **resetting the rules, thus creating adaption in the system** through introducing EBPs. This was underpinned by a key learning to use evidence-based decision-making. I now see this as a core requirement in the work I do in my sector. This decision-making tool is now embedded in my leadership PASS*,* whereas is wasn't at the beginning of this unpacking of my PCL paradigm; that is, it is another adaption (evolution) to improve my effectiveness in leadership.

Key Leadership Issues Ahead

If I could have one wish granted, it would be to put myself out of a job. That would mean there were no more complex problems impacting children and families. It appears my wish is a way off, but I can still do all I can to improve the outcomes for the clients my organisation serves.

To do this well requires never becoming complacent. One advantage I have had in my role at OzChild is being fairly fresh to the sector. My other roles in the NFP arena have been outside of Victoria and working with different client groups. However, in my five years in the CSS the outcomes are getting worse for our clients not better, and the cost to run the system at large exceeded $5.2b across Australia this year (AIFS 2018).

Systems like the child welfare system are operated and overseen by government, meaning there is the continual dance of political persuasion and political cycles that inevitably determine the policy context in which to operate and the funding allocations to programs that they want to invest in. While the CSS is large, it is interdependent on government to tackle the issues surrounding child welfare. Leaders in roles like mine need to collectively maintain pressure to continue to push for investment into EBPs that are *matched* to client needs and *proven* to work through robust evidence.

In leadership it will require continual adaption to enable transformation.

Original and Significant Contributions to Leadership Practice

The SLR (Chapter 2, Part 2) is both a significant and original research study to leadership in the CSS. This work has been shared within the sector (at multiple leadership conferences) and is currently in the submission for publication process. It will help advance the understanding of leadership theories best suited for this sector, as well as key attributes required for the effective implementation of EBPs.

In addition to this, in my last 10 years I have also published other influential pieces. Notably my contribution to the Victorian Bushfires Royal Commission, where my evidence directly impacted the policy position of 'stay or go', land-use planning and led to my subsequent published work on 'Post Black Saturday: Development of a bushfire safety system'. This work was a key driver for system reform in this sector and changed the paradigm around primacy of life in responding to crisis events like bushfires. This aligns with my leadership *PASS* of my underpinning *virtue* of doing good for others.

In my role as CEO at OzChild I have led the transformation of Victoria's oldest child welfare organisation. OzChild was the first organisation working in the CSS to deliver EBPs. When I joined OzChild it operated only in Victoria. Today it operates in four states and territories and has grown by 127 per cent in 5 years, now offering 18 EBPs, thus demonstrating the effectiveness of my leadership PASS in the CSS.

In my role as CEO at OzChild, and through this DBL, I have developed an emerging leaders program based on the leadership PASS. Once evaluated, there are plans to expand the program sector-wide. The program has a strong evidence base underpinned by the research in this DBL; it will contribute to creating more effective leaders in the CSS.

I hold several other leadership roles in the sector, on sector boards, Ministerial groups and chairing the Fostering Connections governance group (for all foster care agencies in Victoria). All these roles allow me to provide sector leadership and to continue to share learnings. I provide multiple other examples in my leadership supporting portfolio.

Summary

I have been very privileged in life to contribute to the betterment of others. This DBL has allowed me to better myself and I truly aspire to continue to grow in leadership every day. I hope you enjoy reading my critique as much as I enjoyed writing it.

Chapter 1 – Overview of Research Context(s)

"There's no success like failure and failure is no success at all.

It was a while before I understood it.

Leaders need the ability to fail and then get up and go on."

Bob Geldof

1.1 Introduction to the Author

The author of this critique is currently the Chief Executive Officer (CEO) of a not-for-profit (NFP) community service organisation (CSO) called OzChild. I have been in this role for just under 5 years. Most of my roles have been specifically within an NFP context. The exception being, prior to the current role, I spent 7 years in the public sector in senior leadership roles that both impacted and changed my leadership approach, or what I will refer to as my personal contingent leadership (PCL) paradigm. During the years I worked in the public sector the operating context was one heavily influenced by the political agenda and public policy. Leadership was constrained to work within the relative legislative remit of the role. A key major event was on 9 February 2009, known as 'Black Saturday', when the state of Victoria in Australia burned and 173 lives were lost. At this time, I was a senior executive within the fire services and the period during and following this event considerably shaped my leadership adaption and PCL paradigm.

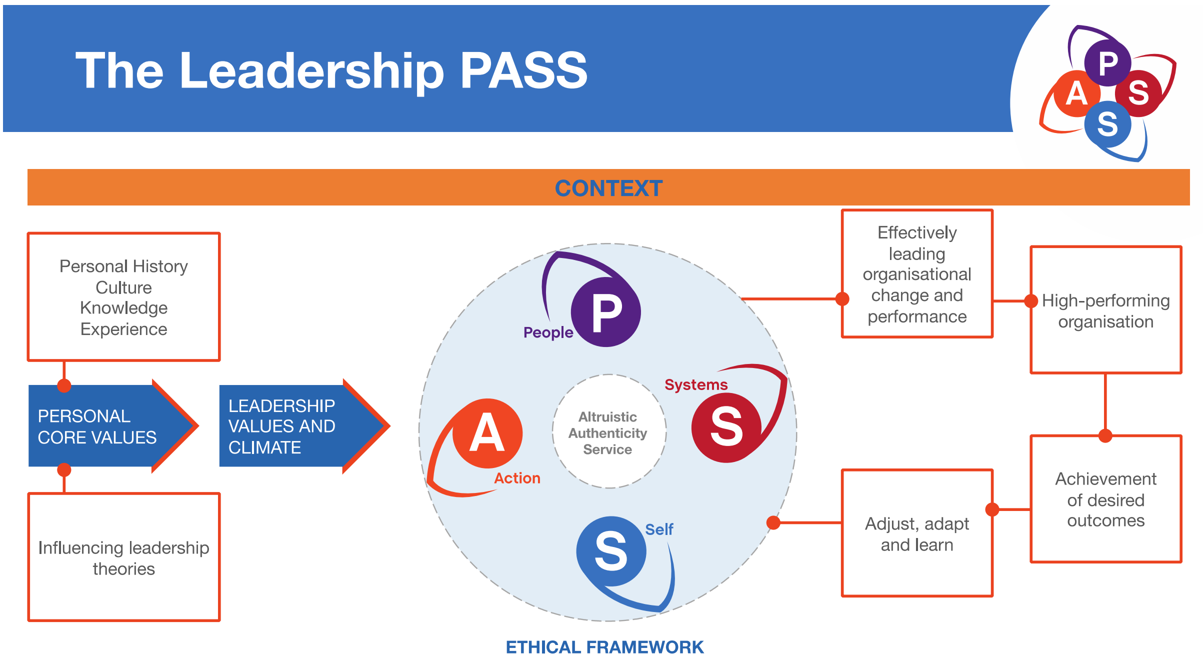
Today, as CEO of OzChild, the operating context is quite different from the fire services, and it is on this current context that I have focused this research for critically reflecting on my PCL paradigm. However, the evolution of my continuous leadership journey provides much insight into what I draw on in my leadership approach to deal with the context I work within. In particular, what I will refer to as my 'moral code inherent from childhood'. The overarching proposition of this thesis is linked to this moral code, in that I am driven by *purpose* to make a difference in the lives of others. In my current operating context, the core purpose for me is to improve outcomes for vulnerable children and families. This is underpinned by my disciplined commitment to the integration of knowledge from peer-reviewed research and critical reflection in my leadership practice.

The Australian Graduate School of Leadership's Doctor of Business Leadership (DBL) program uses the PCL paradigm to assist participants to develop an in-depth understanding of who they are as a leader, and critically reflect on how they adapt their leadership approach in their particular context. The following chapters in my critique test, through a research lens, how effective I am as a leader with my personal PCL paradigm. They also outline my contribution to the practice of leadership in the dynamic context within which I operate and are supported with a portfolio of works.

1.2 Introduction to My Personal Contingent Leadership Paradigm

I have organised my PCL paradigm through a diagram that I have called the leadership PASS. Within the leadership PASS are four domains. Domains are described as a sphere of knowledge that can give rise to an action, activity, thought or statement in the way that you lead. All are embedded within an ethical framework which sets the rules in which to operate in leadership (see Figure 1.1).

Figure 1.1: The Leadership PASS



These are rules that would apply in any organisation (e.g. obey the law, etc.) but in an ethical framework go a step further as they subscribe to the leader's moral imperative. In my case, in Chapter 4 I'll discuss virtue ethics as a driving force in how I lead. Virtue ethics originate from Aristotle and can be described as a broad term for theories that emphasise the role of character and virtue (of the moral agent) in moral philosophy (Hursthouse, Rosalind & Pettigrove, 2016), rather than *just* doing one's duty (deontological, Johnson & Cureton, 2018) or *only* acting in order to bring about good consequences (utilitarianism, Sinnott-Armstrong, 2015). In my case they extend beyond just doing what's required within a leadership role.

With my domain headings sits a short description of its intent (e.g. *people*—pick the right people aligned to your organisational values). These domains are the propositions in my PCL paradigm that will be examined under different contexts—thus checking to see if they have universal application in leadership or adapt or evolve depending on the context. Within the critique I'll refer to the domains when making arguments to justify them, or challenge and adapt their intention or direction. Their descriptions are provided in Box 1.1.

Box 1.1: The Leadership PASS domain descriptions

People:	Pick the right people aligned to your organisational values.
Action:	Be an evidence-based leader and provide evidence-informed services to improve client and organisational outcomes and make better decisions.
Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders.
Self:	Develop and understand yourself.

Surrounding the domains are the other interconnections that inform how one leads. If you look at Figure 1.1 in section 1.2, the left-hand side shows the process of understanding **why** I lead this way, as this then sets the leadership approach to the domains in the middle of the diagram (People, Action, Systems and Self). The right-hand side of the diagram shows **how** and informs the outcomes that you can expect, forming a continuous learning loop. All of the leadership domains are influenced by the **context** and set the **relevancy** for leadership. Throughout the critique I'll use diagrams of the leadership PASS to emphasise the arguments, justifications or examples.

1.3 Evolution of My Leadership Journey

Just over a decade ago I stepped into my most senior leadership role, working in the public sector for the first time, with a fresh master's degree. It is generally accepted that 'change is constant', since Heraclitus took this view in 500 B.C (Graham, 1997). Leadership therefore, needs to constantly make sense of what change brings. Leaders must become centrally involved in understanding what is going on (sense-making), setting directions about what to do (decision-making), prioritising the decision-making (meaning-making) and then determining the response (Boin & 't Hart 2003; Basu & Palazzo 2008). But what if the change is a crisis never seen before? Crisis is defined as a time of intense difficulty, a turning point or a condition of instability leading to decisive change.[6] Authors also write about crisis management, as identified by its features, such as treatment of harm, frequency, decision-making, timeframe, relationships, change, opportunities and uncertainty (Gilstrap et al. 2016). I would argue that the 'context of crisis', such as faced in my leadership role in 2009 when bushfires ravished the state of Victoria, cannot be prepared for in this linear and simplistic way but has to be developed 'on the run' if never experienced before. This could also be seen as a turbulent environment (Emery 1977). I further contend that developing on the run is intrinsically linked to embedded life experiences or crucible moments. In their study of the world's most successful leaders, authors Warren Bennis and Robert Thomas observed a remarkable consistency:

> *All of them—young and old—are able to point to intense, often traumatic,*
> *always unplanned experiences that transformed them and*
> *became the sources of their distinctive leadership abilities.*
> *(Bennis & Thomas 2002, p.63)*

The authors (Bennis & Thomas 2002) describe these life-changing experiences as 'crucibles' (after the medieval vessel in which alchemists would attempt to transform metal into gold). It is a transformative experience through which an individual comes to a new or altered sense of identity. These crisis events, like the 9/11 attacks, Bali bombing or Hurricane Sandy, all bring with them some extraordinary sadness. However, Bennis and Thomas

[6] http://www.dictionary.com/browse/crisis

(2002) argue that within each tragedy there is the opportunity for transformation for those who endure and learn and grow from the experience. Depending on the individual it can equally compound stress. According to the Holmes and Rahe who developed their own stress scale (Holmes & Rahe, 1967) there are a number of events that contribute to stress. These are measured by units, with death of a spouse having the highest mean value at 100 in the original scale. Hobson et al., 1998 later revised the scale to include other stressful events such as disasters. Being part of the crisis event of Black Saturday would rate on the revised Holmes and Rahe stress scale (Hobson et al., 1998) at stress at a mean value of 59 (p.7). Crisis leaders who cope well with such stress have some known attributes; those successful in crises have experienced failure and adversity early in their career, they have stamina and carefully process information (Muffet-Willett & Kruse 2009).

Leading during the 'crisis' of Black Saturday itself, and while the organisation was in 'crisis', was literally done through drawing on core disciplines in place from 20 years as an elite athlete, allowing a natural ability to remain calm and focused. Equally, drawing on working with vulnerable and traumatised clients and understanding stages of grief enabled sense-making to occur during the crisis event. This is reinforced through a study conducted by Showunmi, Atewologun and Bebbington (2016), in which they studied female leaders and how gender and ethnicity influenced their leadership experiences. What they found was that, for female leaders, it was the learned self-identity and life experience that influenced how the leader responded in their leadership role most, and gender and cultural identity less so. The stages of leading in crisis are quite distinct from following a crisis. The former naturally deals with the tasks required within the crisis (e.g. search and rescue, containment of fires, communication to the community and relocation of the affected). Authors Rashid, Edmondson and Leonard (2013) describe the key phases of leadership in crisis as: directing, through envisioning what to do; enrolling key people to the task; and engaging through disciplined coordination. This is prescribed well in emergency management[7] in Victoria. Within many leadership theories (such as transformational leadership or TL) at their heart they remain 'context-free'; in other words, the core elements of TL could apply anywhere. However, in crisis leadership the leader's ability to

[7] https://www.emv.vic.gov.au/policies/emmv

adapt to the evolving and dynamic context is essential, (Muffet-Willett & Kruse 2009), therefore leadership is 'context-specific'. Having been exposed to such complex dynamic situations in leadership, understanding how I have responded and adapted my leadership responses underpins much of my PCL paradigm.

1.4 My Leadership Post the 'Crisis'

The greatest learnings from this leadership context came from after the crisis and the subsequent Royal Commission into the 2009 Victorian Bushfires (the VBRC).[8] The VBRC lasted for 18 months, during which time I played a significant role. Leadership in these times is layered with complexity, and leadership response and development was on the run. There is intense scrutiny and political pressure, described by Boin and 't Hart (2003) as the political–psychological challenge. The demands emotionally and physically can prove overwhelming. Many studies discuss how elite athletes develop a coping style (Poliseo & McDonough 2012; Woodman & Hardy 2003; Cheng, Hardy & Woodman 2011). A coping style includes a type of response to stress and employs a range of strategies. This in turn can lead to coping reliability (Anshel & Anderson 2002). I would assert that, with 20 years of elite training as a Judo player, a level of coping reliability was ingrained in my leadership response to both this crisis event and the post-crisis response under immense pressures. This in turn shaped the response to that context and clearly prepared me for the next. This is discussed more in Chapter 4.

A summary of my personal leadership journey is provided in Figure 1.2:

[8] http://royalcommission.vic.gov.au/Commission-Reports/Final-Report.html

Figure 1.2: Summary of my leadership journey

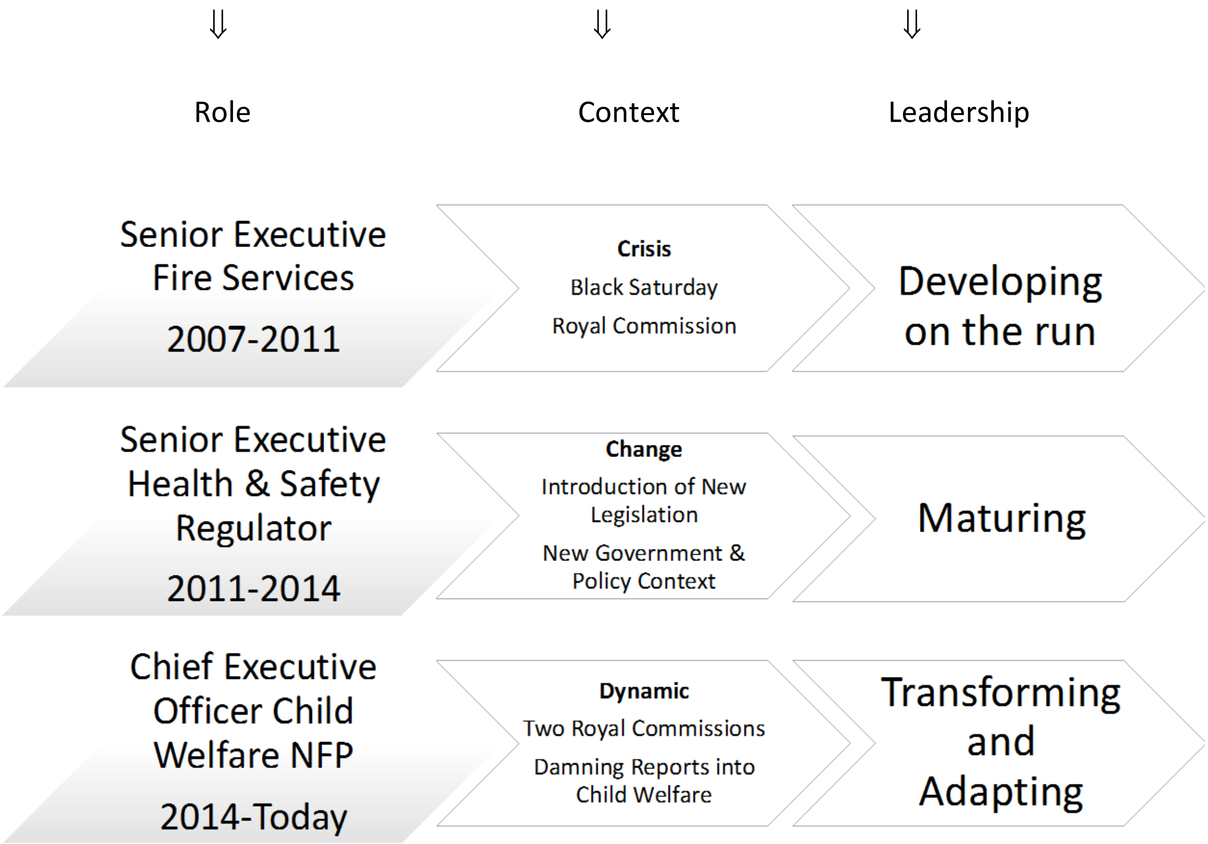


Figure 1.2 describes the stages of my leadership within the role and given context. However, these are not linear stages. While in the 'crisis' period, many 'firsts' were being experienced as a leader—first time in a major crisis, first time in a Royal Commission, etc. The leadership response was then in reaction to the context and developed at the pace required.

The context for my next role, as a senior executive in health and safety regulation, was still one where firsts would occur. This context was far more stable than the 'crisis' context and it offered an opportunity as a leader to mature my approach and thinking. Alongside appreciating a far broader remit. Unlike during a crisis period, when you rarely have time to consider stakeholders, evidence (including data or information), decision-making and action are literally in situ. In the context where I had to embed legislative change then my approach was far more considered, hence maturing. In this role I also had to be mindful of the political overlay. My leadership had to consider all the key stakeholders who would be impacted by any changes proposed. I developed multiple engagement strategies for working with all stakeholders, from individual stakeholder meetings to hosting a monthly stakeholder meeting with stakeholders with competing and diverse views. In this context you learn just as much about what not to do (directly from feedback loops from stakeholders who will voice their views of complaint, often directly to Ministers) to small successes when, for example, union leaders call and say, ‘job well done’.

With a maturity in role comes a greater awareness of needing to be adaptive in leadership. While I learned the art of stakeholder engagement and change processes during my years as a regulator, to achieve real and lasting changes requires transformation and adaption. Work by Heifetz, Grashow and Linksy (2009) summarises this as linking *purpose with possibility* through the ability to understand what needs to adapt in your context: (1) first understand the problems you are trying to solve; (2) in knowing this, determine if it's a technical fix for a solution; or (3) if complex, then recognise it as an adaptive challenge that may need multiple changes in systems or others’ behaviour (p.1).

In my current context, as CEO of OzChild, understanding the ‘problem’ you want to have an impact on and diagnosing it correctly couldn’t be more important. There are so many organisations that come with ready-made ‘solutions’ often looking for a problem. In my early leadership or management roles I was guilty of having a solution and looking for a problem to impose it on. During my maturity phase I developed an appreciation for using an evidence-based approach in my decision-making. I use evidence-based practice in my leadership approach as described by the Centre for Evidence Based-Management (CEBMa), see Figure 1.3.

Figure 1.3: What is evidence-based practice? (Adapted from the Center for Evidence-Based Management (CEBMa); Barends, Rousseau & Briner, 2014)

What is evidence-based practice?

Evidence-based practice is about making decisions through the conscientious, explicit and judicious use of the best available evidence from multiple sources by:

Asking:	translating a practical issue or problem into an answerable question
Acquiring:	systematically searching for and retrieving the evidence
Appraising:	critically judging the trustworthiness and relevance of the evidence
Aggregating:	weighing and pulling together the evidence
Applying:	incorporating the evidence into the decision-making process
Assessing:	evaluating the outcome of the decision taken to increase the likelihood of a favourable outcome.

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the Centre for Evidence Based Management
(https://www.cebma.org/teaching-materials)

It is this approach and adaption in my leadership journey that I have taken into my current operating context and which underpins my PCL paradigm.

1.5 Current Leadership Context

OzChild is the oldest CSO in Victoria at 168 years old. Its vision and purpose are:

Vision 'All children and young people are safe, respected, nurtured and reach their full potential.'

Purpose 'OzChild supports vulnerable children and young people by providing healing, preventing abuse and neglect, and strengthening families.'

OzChild's core business is to provide services on behalf of government that support vulnerable children and their families. It receives over 80 per cent of its revenue from government, who it regards as its main stakeholder. At OzChild we view the government internally as our 'customer'. A customer is defined as someone who buys goods or services and equally chooses which products it wants (Cambridge English Dictionary, 2018). All government funding received requires us to deliver a service of *their* choosing. We compete for the business against other providers and we are measured on both the quality of the product and the results it delivers. If we don't meet the 'customer's' expectations, they can buy from someone else.

These products or services purchased are to either strengthen vulnerable families who are at risk of having their children removed and placed into out-of-home care (OOHC) or, if children are removed, to provide services in OOHC that support placements with other family (kin) or in a foster care arrangement. OzChild works with over 9,000 children, young people and families each year and has over 400 children each night in its care in foster or kin homes. When I became the CEO, the internal context was that the organisation was under immense financial pressure. OzChild had made financial losses for nine of the previous ten financial years. This was largely due to very poor financial oversight, lack of governance and no transparency with the board of directors around key performance measures of the then CEO (e.g. there was no limit on corporate spending, no financial delegations' policy).

In addition, there was no evidence to demonstrate the programs and services offered in the organisation were working or having any impact; there were no outcome measures or reporting frameworks on any program to the board. Only outputs were measured, and there was no understanding of whether products or programs were matched to clients' needs or addressing particular problems.

Prior to coming into the role, the external operating and funding context had been fairly stable. For the immediate 10 years prior to joining OzChild it had experienced little growth, and operated mainly within Southern Victoria with a very small footprint in the Western District of Victoria. Funding contracts and targets had remained stable. With a change of government in late 2014, the operating context changed rapidly, along with the handing down of several significant reports, including two Royal Commissions.[9]

In order to provide the leadership necessary to guide OzChild into its next 168 years, a clear

[9] https://www.childabuseroyalcommission.gov.au/final-report *and* http://www.rcfv.com.au/Report-Recommendations.

look into my leadership and leadership throughout the system was necessary and this critique is a contribution to both.

1.6 Operating Context for Community Service Organisations in Australia: The Players and Strategic Arena

In Australia there are around 50,000 economically significant NFPs (Australian Government Productivity Commission 2010; ACNC 2016). The Australian Charities Report, written by Ramia et al. (2018), details that the NFP sector had a combined total revenue of $142.8b.

The Australian Charities and Not-for-Profits Commission (ACNC) further classify charities by sector, size and income. Among charities in the dataset, the largest group was extra-small (XS), with revenue under $50,000 (20,144 charities, or 39.8%). A minority of charities had revenue over $100 million (160 charities, or 0.3%), and were defined as extra-extra-large (XXL) (Powell et al. 2016 p.18). The majority of these were universities and hospitals. A complete breakdown of revenue by size is shown in Table 1.1. Most charities operate solely in one state or territory and over 50 per cent of income is from government grants (Cortis et al. 2016 pp.10–11).

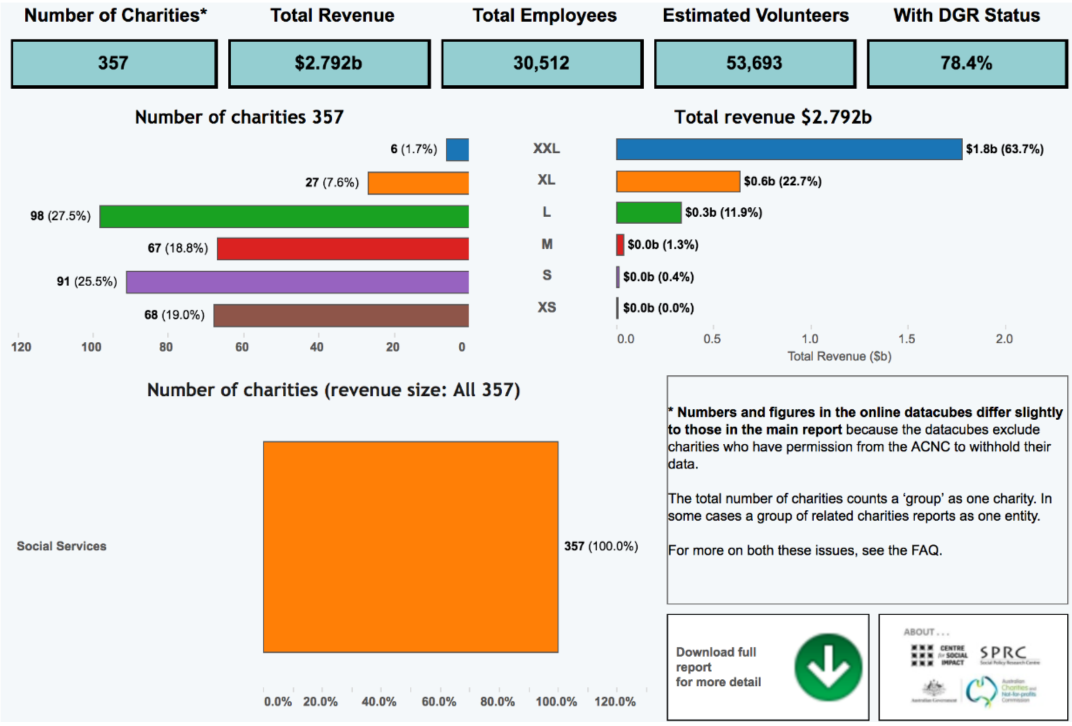
Table 1.1: Detailed measure of size by revenue (Powell et al. 2017)

Revenue size	Number of charities	% of charities
Less than $50k (XS)	20,144	39.8
More than $50k but less than $250k (S)	13,797	27.2
More than $250k but less than $1m (M)	7,990	15.8
More than $1m but less than $10m (L)	6,688	13.2
More than $10m but less than $100m (XL)	1,888	3.7
$100m or more (XXL)	160	0.3
Total	50,667	100.0

CSOs are within the social services classification, also known as the community services sector (CSS). The latest data available from the ACNC (using their interactive online tool) shows that, across Australia, there are 357 CSOs that assist children and youth (see Figure

1.4) (Australian Charities and Not-for-profits Commission (ACNC), 2018).

Figure 1.4: Number of charities classified in the CSS (via the ACNC's interactive data cube, Australian Charities and Not-for-profits Commission (ACNC), 2018)



In 2016, the NFP sector employed 10.6 per cent of the paid workforce. As mentioned, the NFP sector is divided into multiple sectors, of which this critique deals with the social services sector or CSS. Organisations within this sector are called CSOs—a term I will use throughout this critique.

1.7 Community Service Organisations and OzChild

There are just over 1,400 CSOs in Australia; most receive over 80 per cent of their revenue from government and are classified as NFPs (a few are private). Of those 1,400, under 400 operate in the same sector as OzChild (see Figure 1.4). OzChild is now classified in the extra-large (XL) category (revenue size >$10m but <$100m). It only entered this category in the last decade and is rapidly heading towards the XXL category, having doubled in size since I have been the CEO. OzChild's operating budget for 2019 is $43m; in 2014, when I started, it was $18m.

Being an NFP in Australia means you are registered and, as a designated gift recipient (DGR), are treated differently for tax purposes. The DGR status is taken up by 78.4 per cent of charities (see Figure 1.4). Typically, CSOs as a sector have one of the smallest margins and their employee costs make up the third-highest proportion of overall operating costs.

This is also true for OzChild. CSOs are often asset-poor and deal with some of the most disadvantaged communities. These include: child welfare, youth services, family services, family violence services, and some also provide disability and aged care services. OzChild is not asset-poor; in fact, it has over $26m in net assets, making it different from the majority of its competitors.

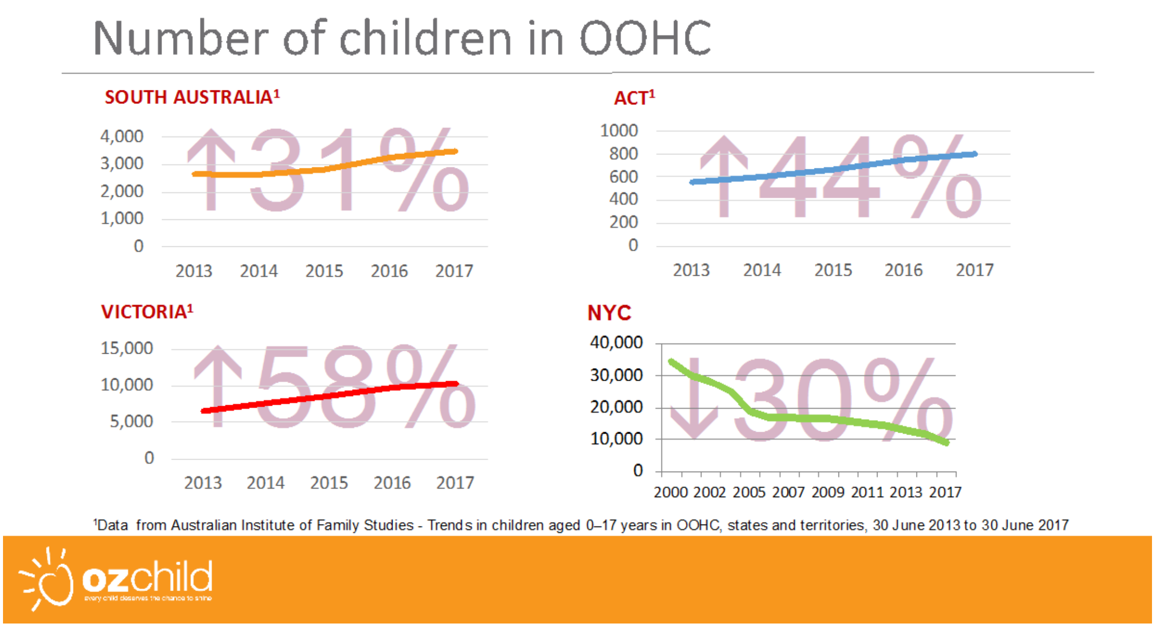
The CSS also historically been one of the lowest paid sectors, meaning that staff are often poorly trained (McLeod 2016). CSOs provide a range of programs that support disadvantaged communities, vulnerable children, youth and their families (often termed the child welfare sector). In the child welfare sector, government commission funding is provided to CSOs to strengthen vulnerable families who are at risk of having their children removed due to abuse or neglect and prevent creating further harm.
In Australia in 2016, there were 60,989 substantiations of abuse or neglect (also known as cumulative harm) to vulnerable children (AIHW 2017a). If children are not safe, they are placed into the OOHC system, where government takes on the responsibility as ‘legal guardian’ of the child and requires the CSO to provide a safe environment for that child to live until a decision can be made on the child’s permanency.

1.8 The Nature of the Problem Confronting CSOs that are Supporting Vulnerable Children, Young People and their Families

The OOHC system is made up of the state and territory governments, non-government organisations (NGOs), which comprise CSOs and Aboriginal Community Controlled Organisations, and the children, young people and families that enter it. The number of children in OOHC in Australia is rapidly rising, with 46,448 reported in 2015–2016 (AIFS 2017). In Victoria, there was a 58 per cent increase in the number of children coming into OOHC between 2013–2017 (AIFS 2017), along with average increases of 17 per cent across all jurisdictions (AIFS 2017).

Figure 1.5 shows these rises across three of the worst performing states and territories in Australia. With such consistent data rises, an obvious question is: 'Is this a world-wide trend?' Added intentionally to Figure 1.5 is the same dataset of the number of children in OOHC but in New York City (NYC) over the same period. As seen, they have reversed the trend in the other direction, with the number of children in OOHC being 8,512 as at June 2018 and having a 30 per cent decrease over the same period (NYC Administration for Children's Services 2018). The population of NYC included in their data is much higher than any state or territory in Australia at 8.55 million in 2018,[10] meaning that their result is even more positive; that is, in Victoria the population is 5.6 million and the number of children in OOHC is around 10,000, while in NYC their numbers in OOHC are less at 8,500 despite having a much larger population. This is further explored in Chapter 3.

Figure 1.5: The increase or decrease of children entering OOHC



[10] http://worldpopulation.com/us-cities/new-york-city-population/

1.9 Aboriginal and Torres Strait Islander Children

In 1997, the Human Rights and Equal Opportunity Commission provided a landmark report called Bringing them home: Report of the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from their Families (Commonwealth of Australia 1997). It provided shocking statistics stating that Aboriginal and Torres Strait Islander children made up, at the time, 20 per cent of all children in OOHC and called for radical change.

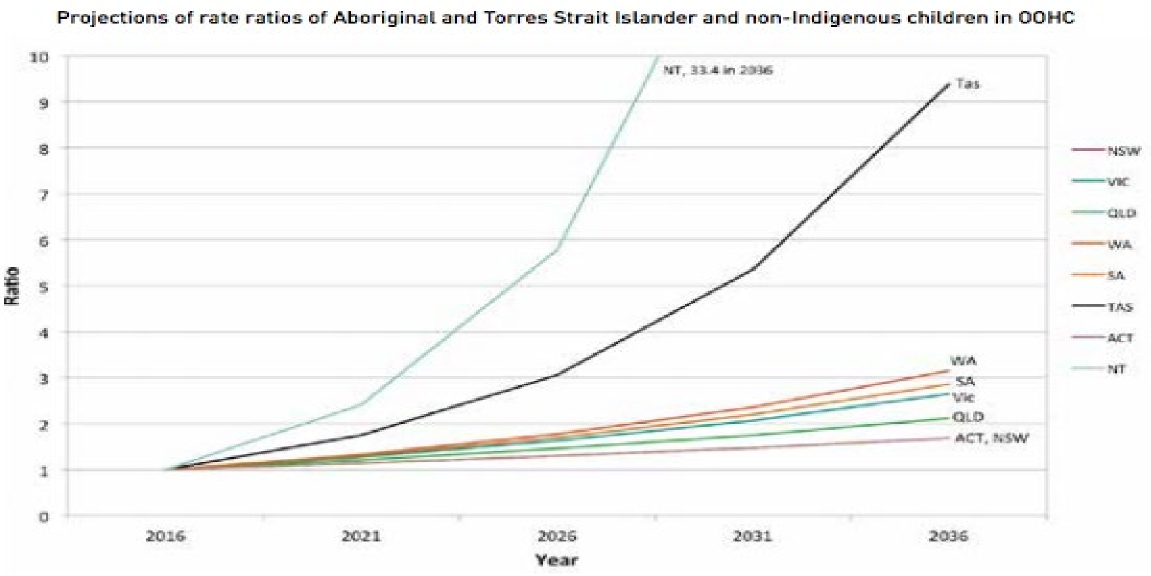
In 2017, Aboriginal and Torres Strait Islander children made up 36 per cent of all children living in OOHC (Family Matters et al. 2017). The numbers of Aboriginal children in OOHC in Victoria in 2015 were 1,511 or 17.6 per cent of all children in OOHC (Commission for Children and Young People 2016). This number had risen to 1,735 in 2017. Given that Aboriginal children form only 1.6 per cent of all children in Victoria, this raises immense concern for their over-representation in the OOHC sector. The rate of Aboriginal and Torres Strait Islander children in OOHC is 10 times that of other children, and the disproportionate representation continues to grow (AIHW 2017a).

In view of the fact that the Aboriginal and Torres Strait Islander population of children aged 0 to 17 in all jurisdictions increased by only 4.8 per cent, on average, the percentage increase of the Aboriginal and Torres Strait Islander OOHC population is highly disproportionate to the percentage increase of the Aboriginal and Torres Strait Islander general population of children.

In Victoria, the percentage increase in the Aboriginal and Torres Strait Islander population is almost 14.9 times that of the percentage increase in the Aboriginal and Torres Strait Islander general population. The disproportionality across other jurisdictions is 37.9 times in the Australian Capital Territory (ACT), 27.8 times in Western Australia (WA), 20.2 times in Tasmania, 12.6 times in South Australia (SA), 6.9 times in New South Wales (NSW) and 4.4 times in Queensland (QLD).

Figure 1.6 is taken from the Family Matters report (SNAICC, Save the Children, The University of Melbourne, & Centre for Evidence and Implementation, 2017) and shows the ratios of Aboriginal and Torres Strait Islander and non-Indigenous OOHC population projections across the states and territories, using the normalised Aboriginal and Torres Strait Islander and non-Indigenous populations in 2016 as a starting point.

Figure 1.6: Projections of rate ratios of Aboriginal and Torres Strait Islander and non-Indigenous children in OOHC (SNAICC et al. 2017, p.78)



Simply put, if something is not changed these numbers will triple by 2036.

1.10 What Do Outcomes Look Like for Children in Out-of-Home Care?

Research into outcomes for children associated with OOHC consistently reports poorer outcomes for children compared to those who have never been in care (Commonwealth of Australia 2016). In comparisons of multiple reports into the links between child maltreatment, living in OOHC and adolescent offending, 39.2 per cent of young people that move on to the juvenile justice system have lived in OOHC and are 12 times more likely to be in youth justice than the general population of the same age (AIHW 2017).

In Victoria, almost 500 children live in 'residential care units' (known as RESI units), which are staffed by paid employees. The cost to run these units is more than $100m per annum, yet in 2015 there were 189 reports of alleged sexual abuse and exploitation within these

RESI units; that is, for every child in residential care there is a 38 per cent chance they will be sexually abused or exploited while in care (Commission for Children and Young People, 2015). This number has since increased to almost 50 per cent in 2018.

There have been 40 reports into OOHC in the past decade, including a Royal Commission, and in 2016 the parliamentary Senate Committee on Community Affairs stated it is 'A system in crisis', (Parliament of Australia 2016). The over-representation of Aboriginal and Torres Strait Islander children perpetuates poor outcomes for more than just the children, with strong links back to the trauma experienced by individuals, families and communities from government policies that involved the widespread forced removals of Aboriginal and Torres Strait Islander children in the last century (AIFS 2017).

1.11 What Response Should a Leader Have? Defining the Problem

Working in the sector, with the ever-increasing demand on the OOHC system and poor outcomes for children that occur while in the OOHC system, these symptoms of dysfunction cannot be ignored. Federal and state governments are slowly wanting to arrest the core problems facing vulnerable children and reduce the over-representation of Aboriginal and Torres Strait Islanders children in OOHC. As a leader in this sector, my response must be one where I lead my organisation to work to address these problems. I have therefore used the data to define the problem to address and provided this as summary statements.

Problem Statement: Vulnerable children in OOHC have been let down many times in their life by:

- **their families, with 46,448 having had abuse/neglect substantiated against them (AIFS 2017).**
- **the OOHC system and CSOs, with a 38 per cent probability of being sexually exploited in RESI (Commission for Children and Young People 2015).**
- **the OOHC system, as it does not provide or invest adequately into evidence-based interventions which match needs (therefore improving outcomes) (The Centre for Community Child Health 2016).**
- **the child protection system and CSOs, with Aboriginal and Torres Strait Islander**

children 10 times more likely to face removal and making up 36 per cent of the OOHC population (SNAICC et al. 2017).

These statistics test the core fundamentals of our humanity if we are to truly hold close the basic human rights afforded to children, be they Indigenous or not. Within current operating arrangements, our little understanding of what works creates much uncertainty as to a way forward, so radical change and rethinking is being proposed by leaders like myself and tested to ensure future programs and services deliver **'what works'** and are informed by the evidence.

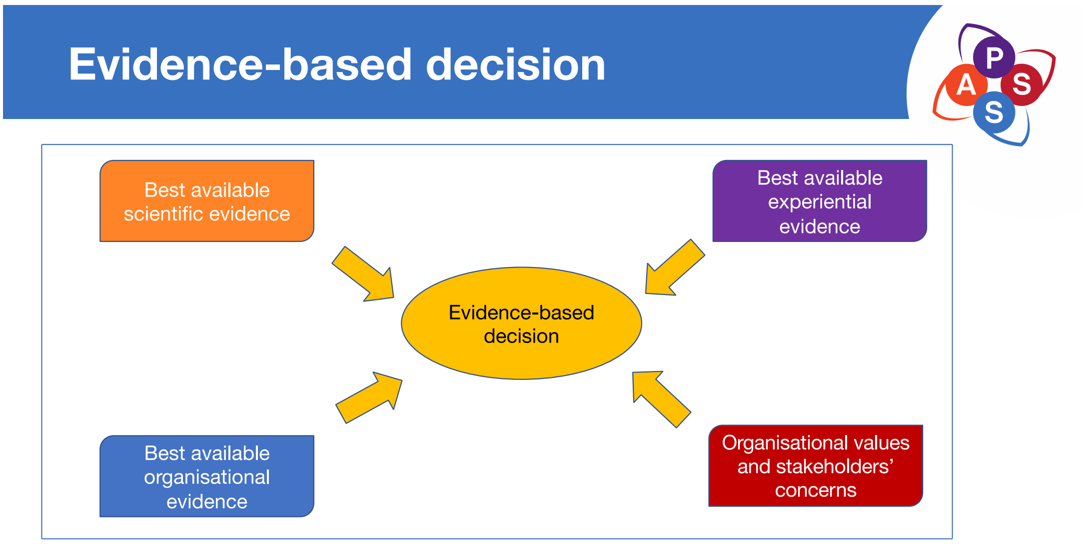
When there are turbulent times it requires a response of unity. Emery (1977) states that to cope with uncertainty requires us to have shared values and ideals. Creating these in the CSS will require leadership to determine these core shared values and exercise them in leadership if they are to truly make a change to the outcomes for vulnerable children. The change required is an adaptive challenge, as it will require people to change their ways and (likely values) to figure out what to conserve from the past, what to disregard and understand what needs to be invented or has worked in another context (Heifetz, Grashow & Linsky 2009).

1.12 'What Works': An Evidence-Based Response

I contend that the leadership response to this context will require a clear understanding of the operating conditions which present alongside navigating the complexity and ambiguity. This will need a strategic and tactical response, with both structural initiatives and investment. Due to the context outlined above for my sector, I have invested heavily in researching and understanding what other countries that run similar OOHC systems like Australia have done. Looking at their data and research to inform what could assist in re-orientating the current approach to get a better outcome (i.e. I have used the approach outlined in Figure 1.3 earlier from page 9).

I particularly looked at other Western countries, such as the United Kingdom (UK) and the United States (US), having similar child protection systems and policy responses. What I found were some exceptional examples of success. For example, as stated earlier, NYC's reduction of children in care has come down by 30% in the past 20 years (Children's Bureau, 2017). Underpinning its success was the introduction of evidence-based and evidence-informed practice models into NYC's continuum of preventive services (so as to 'prevent' children entering OOHC), also known as 'what works' in these other countries (Casey Family Programs 2017, p.9). 'What works' is a colloquial term fast gaining recognition around the world, including in the UK where several 'what works' centres[11] have been established to advance the use of evidence in practice (also known as 'evidence-based practice'). Evidence-based practice is defined in this critique as outlined in Figure 1.3. Figure 1.7 is adapted from the CEBMa to further illustrate this point of the sources of evidence used to make an evidence-based decision.

Figure 1.7: Evidence-based decision sources (Adapted from the CEBMa 2018)



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1.13 My Leadership Response

I have drawn on the available evidence to determine my leadership approach for my organisation in this dynamic context. My starting premise is that the organisation must aspire to provide all evidence-based services for its clients, underpinned by the right values in leadership (seen in the leadership PASS under the Action domain). Throughout this DBL program I have strived to better understand, justify and articulate my PCL paradigm to

[11] https://www.scie.org.uk/children/what-works-centre

assist my leadership at OzChild, as well as those aspiring leaders within OzChild, and to influence the system.

The great sociologist Max Weber said, over 100 years ago, that the organisations that will survive and thrive will be those that foster acts of leadership throughout the system, rather than assuming leaders only exist at the top (cited in Dourado 2007, p.96). I believe that to improve my leadership effectiveness I *must also assist others*. As such, I have proposed a leadership model (developed off my PCL paradigm) that I believe will assist my own leadership effectiveness in the sector as well as my organisation's and that of emerging leaders within the sector. This is provided in my supporting portfolio #1.

1.14 Developing Emerging Leaders

Of note for the leadership model is that leaders in CSOs operate almost entirely as NFPs or some are for-purpose[12]. The term CSO is quite specific to Victoria; other terms exist across Australia, including NGOs in NSW and NFPs or non-profits. More specifically, it represents a small cohort of some 1,400 organisations that work with vulnerable populations (McLeod 2016).

Hence, the literature reviews I undertook around leadership in this sector were targeted to CSOs to justify my personal contingent leadership paradigm. However, the search terms in the reviews had to be expanded to include terms such as human services, NFP, social work and child welfare to gain a sizeable sample of evidence. Within CSOs, the majority of funding is orientated towards frontline service delivery (McLeod 2016). The Centre for Excellence in Child and Family Welfare (CFECFW) recently undertook a workforce survey in Victoria and found the staff who work in these roles come predominantly from a social work (40%), community welfare (16%) or psychology (9%) background, with fewer coming from education (<1%).

[12] 'for-purpose' is fairly new terminology, where people come together to create social impact but may actually make a profit too; more and more the NFP sector is getting comfortable with budget surpluses, and redirects these for the good of the 'purpose' (Noble, 2017)

There are a range of people who work in CSOs, with 91.7 per cent having diploma or higher-level qualifications (CFECFW 2017). While the workforce of CSOs are qualified in these fields, very few (less than 3%) have any formal management or leadership training or are not part of formal leadership development (CFECFW 2017). With 40 per cent of the workforce having a social work background, it would appear that future leaders in this sector will come from this background.

In the US, research by Hoefer (1993) argues that social workers are not adequately prepared for management or leadership roles. Therefore, the operating context for leadership in this sector has the added complexity that most ‘leaders’ have only had limited exposure to formal leadership roles or development, which is similar in other contexts around the world (Rosenberg 2015). My intent therefore, was to also add to the limited research and use my learnings to further develop leaders in my sector. So, this research is able to make a scholarly contribution to leadership practice in the CSS.

1.15 Context for the Leadership Research in this Critique

In leadership research there are a dearth of studies that measure leadership behaviour or offer leadership theories and opinion on leadership approaches for differing contexts. Many studies have focused on the effects of TL and charismatic leadership on workers’ performance and their motivation under these models (see Avolio 1999; Bass 1985; Bass & Avolio 1997; Conger & Kanungo 1988; Lowe & Gardner 2000). The bulk of research relies on reports of behaviours, either self-reported or peer-reported by survey. This dependence on verbal reports (by questionnaire or through focus group) raises a measurement and validity problem (Podsakoff & Organ 1986).

One way to improve some of the reliability is through contextual orientation, meaning the researcher thinks about the phenomenon they are studying either in terms of being *context-free* or *context-specific*. The focus of the research should be specific to the leadership context (Blair & Hunt 1986). For example, as a researcher my research interests could be in motivation or strategic decision capability in leadership; that is, I am interested in the experiences wherever they are found, irrespective of any particular organisational context (so it doesn't matter where the leader works). In this case my research would focus on studying how a leader's motivation and their decision-making, irrespective of where the leader worked or what context or conditions they operated under; hence, context-free orientation. Often leadership research is depicted this way, particularly when looking at leadership theory.

Another option is that I could, as a researcher, take the context very seriously and focus my research on *how the characteristics of the context have impacted my leadership behaviour and how that has evolved my leadership practice*; for example, opportunities that leaders face at a given time, their training and career pathways taken as a result of that context, the ethical challenges they face as a result of the context (such as political interference, or death if working in a context where life/death decisions are made); that is, context-specific research that changes a leader's behaviour and overall leadership approach. This is the approach of this research.

1.16 Research Significance

To date, there has been very little published research in the professional literature about context-specific executive leadership in the CSS and, more specifically, working in child welfare in Australia. At time of writing there were no Australian examples of CSOs implementing evidence-based programs (EBPs). Given the outline of the problem statement above that leaders need to address in my context, it is my hope that this research goes beyond just critiquing my PCL paradigm but provides a significant contribution for other leaders in my sector to utilise the learnings for their own leadership practice. Therefore, the research undertaken has been designed with this in mind.

1.17 Research Questions

As outlined in my introduction, my overarching proposition within this critique is that my leadership is inherently linked to my moral code, in that I am driven by *purpose* to make a difference in the lives of others. This informed my research questions to justify how this is effective in leadership and understand why and what else is needed to continually improve as a leader.

The overarching research question is: 'How does the leadership PASS contribute to a CSS leader's effectiveness?' Sitting underneath this are specific questions that inform this and are addressed in different chapters and are provided in Table 1.2.

Table 1.2: The research questions in each chapter that collectively inform the overarching question.

Chapter Number and Name	**Research Questions and Premises being addressed in Chapter(s)**
Chapter 2 (Part 1)	'Is there, then, one values-based theory that is more effective to assist leaders in the CSS over another?' (so to inform the leadership PASS)
Chapter 2 (Part 1)	To test the premise is that it is 'necessary' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can align these to their work in the CSS (so to justify this part of the leadership PASS)
Chapter 2 (Part 2)	What particular styles, traits and behaviours make current executive-level leaders in HSOs* effective?
Chapter 2 (Part 2)	How can leadership positively influence EBPs and organisational innovation?
Chapter 3	Provides research methodology, research questions and premises for the whole critique.
Chapter 4	Explaining the how and why of my PCL paradigm. Testing and justifying my leadership PASS domains through a longitudinal case study.
Chapter 5	'What makes an effective executive leader in the community/human/social services sector?' and 'do these leaders demonstrate an AL** "style"?'

*Human Service Organisation, **Authentic Leadership

1.18 Structure of this Written Critique

For the overarching research question (and sub questions) within the leadership context above, I have chosen to structure the critique as follows:

a) Chapter 2 begins by looking at the underpinning philosophical drivers (e.g. values) and what the research literature says aligns best to the specific context of CSS and test the '**why'** within the leadership PASS (see Chapter 2, Part 1, for this literature review).
b) Chapter 2 continues with a systematic literature review (SLR) specifically targeting executive leadership research within this specific context; that is, the CSS and implementation of EBPs (see Chapter 2, Part 2, for the SLR).
c) Chapter 3 presents the methodology and epistemological underpinnings of the SLR, case study and qualitative study (which incorporates the use of interviews and thematic analysis). This chapter includes research limitations and external validity for chapters 2, 4 & 5).
d) Chapter 4 focuses on the specific types of context in which my leadership has evolved, it is described through a longitudinal case study on my leadership and provides justifications of the leadership PASS.
e) Chapter 5 presents the qualitative analysis and discussion of interviews with other leaders who are successfully operating in the same/similar context with similar leadership challenges to understand what leadership style/approach they have used to further inform/justify my leadership PASS.
f) Chapter 6 presents a discussion and conclusions, including proposed PCL paradigm readjustments to the leadership PASS as a result of the research. It discusses the contributions to leadership practice within my context and suggests future research.

1.19 Summary

This chapter has provided an introduction to the author alongside an overview of the research context for my PCL paradigm critique. What follows now in Chapter 2 are two comprehensive literature reviews to inform my PCL paradigm and the leadership PASS components.

Chapter 2 – Leadership Literature Reviews

'Research is formalized curiosity. It is poking and prying with a purpose.'

Zora Neale Hurston (BrainyQuote.Com 2018)

2.1 Overview

The purpose of this chapter is to provide a review of the research literature about executive leadership in the CSS and its application to leaders of CSOs to assist in justifying my PCL paradigm. Specifically, its purpose is to report on what the academic literature tells us about the underpinning values that align in this sector, what has shown to be effective in leadership in this and aligned sectors in the NFP realm and therefore justify my personal leadership approach. My leadership practice and approach fall under the conditions of the NFP sector, and this review looks primarily through that lens.

The chapter is divided into two parts. Chapter 2, Part 1, is a leadership literature review of value-based leadership in the NFP sector. The review looks at the justification of the premise that it is 'necessary' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can *align these to their work in the CSS (this is core to my leadership paradigm as outlined below).* Therefore, is it useful to explore the research on the variations of 'values-based leadership', their underpinnings in more detail and know what leads us to '*do the right things in leadership' in context and behaviourally as a leader*.

Chapter 2, Part 2, is a SLR of executive leadership and implementation of evidence-based programs in the CSS in Australia. The SLR has a lens to assist both current and emerging leaders to understand 'what works' (i.e. what does the evidence tell us?) in leadership within the NFP environment to improve effectiveness and outcomes in the delivery of the organisational purpose to assist client outcomes. It discusses the underlying values, competencies and theories that can improve leadership within this complex environment. It also considers what is needed from a leader in the implementation of 'EBPs'. EBPs are seen to improve the impact on vulnerable populations. This review is consistent with international literature on the need to develop and improve leadership in the NFP sector

(Hoefer 2012, 2014). Part 2 is conducted using an SLR, which was designed in such a way that it should provide a consistent, replicable and transparent method to identify and analyse the existing body of knowledge. The intent is that this work contributes to providing a foundation for the CSS in Australia, on which further research can be developed. To focus the analysis of the literature, the following works and questions informed the design.

2.2 Outline of Existing Works Sourced

Multiple journals were consulted to inform both literature reviews and attention was paid to their relevancy to address the research questions, outlined in Table 2.1.

Table 2.1: Outline of Leadership Research Area and where to find the sources in my critique

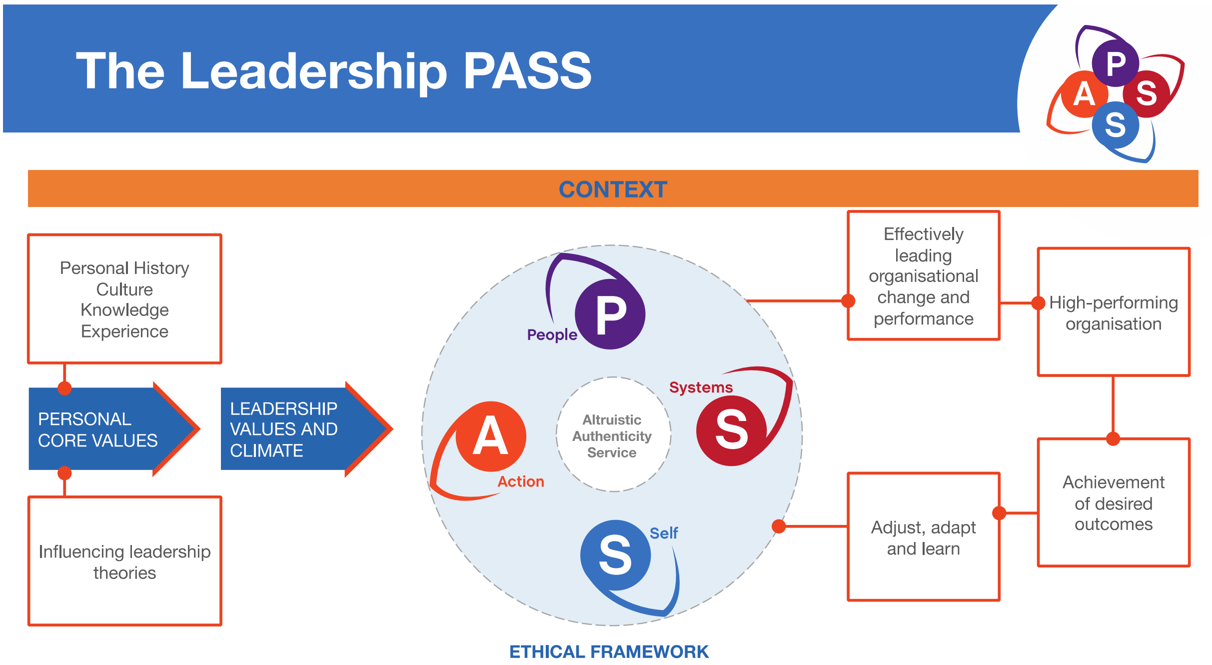
Leadership Area	Where to find
General leadership overview	Various authors (refer to Appendix 1 for journals sourced and bibliography)
Leadership theories and styles	Various authors (refer to References)
Charismatic leadership	Various authors (refer to Appendix 1 for journals sourced and bibliography)
Transformational leadership (TL)	Various authors (refer to Appendix 1 for journals sourced and bibliography)
Values-based leadership and its theories	Various authors (refer to Appendix 1 for journals sourced and bibliography)
Leadership in the CSS	Focused questions via an SLR process (see appendices 1 to 8)
Leadership and implementation of evidence-based programs	Focused questions via an SLR process (see appendices 2 to 8)

The review will also need to test a core component of my PCL paradigm, which has been the subject of previous work leading up to this review. The PCL paradigm is also known as the 'leadership PASS', due to its four domains of People, Action, Systems and Self (PASS). These domains were found to have promise for developing an effective leadership framework in the CSS (see Box 2.1 and Figure 2.1, repeated from Chapter 1, Figure 1.1). These have been dominant in my personal leadership journey and inform the evolving leadership approach. This review **focuses on the premise that an effective leader operates appropriately for the environment, and one key element in my environment is the leadership values one brings and the self** (i.e. knowing oneself – what drives these values and how do you align them to deliver on your core purpose as a leader?).

Box 2.1: Leadership PASS domains descriptions

People:	Pick the right people aligned to your organisational values.
Action:	Be an evidence-based leader and provide evidence-informed services to improve client and organisational outcomes and make better decisions.
Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders.
Self:	Develop and understand yourself.

Figure 2.1 (repeated from Chapter 1, Figure 1.1): The leadership PASS framework (Griffiths 2016)



The search included multiple academic databases for literature and research about:

- executive leadership in the CSS, human services, NFP and child welfare sectors
- ethical TL reviews and associated papers
- leadership reviews that include terms such as ‘altruism’, ‘values’, ‘ethics’ and ‘non-profit’, ‘evidence-based’ leadership to broaden the review
- specific targeted review of the theory of authentic leadership (AL) and values.

Throughout the review, it was identified that a key limitation of the literature was the absence of objective measures of effective executive leadership in the CSS, with the bulk of the research focusing on the taxonomies of leadership behaviours from the perspective of generalisations from mainstream leadership theories. This was distilled and further explored, fundamentally noting that all types of leadership are founded in its base concept.

In Part 1, the review first explains the generic leadership theories and approaches well researched in literature that are linked with the later values-based theories. It discusses the literature on values-based leadership theories which I propose are necessary for leaders in the NFP sector.

2.3 Chapter 2 - Part 1: A Literature Review of Value-Based Leadership in the Not-For-Profit Sector—Is It Better?

Leaders have been the subject of many stories, myths, legends, books and movies. In many writings, the words 'leader' and 'leadership' are often confused and interchangeable. Leadership, according to Lichtenstein et al. (2006), is a complex, dynamic process that interacts and connects people and ideas but does not rest within the character of one individual. Leadership is also a broad discipline that incorporates both skills and the person's ability to influence teams, lead and give direction to others as well as the capability to oversee operations in individual organisations (Avolio, Walumbwa & Weber 2009).

This literature review has considered a snapshot of available research on leadership, and in particular values-based leadership. Values-based leadership has been around since writings were captured—it can be seen across the centuries from Aristotle to Burns—and weaves itself in every form of leadership. Today, there is a multifaceted approach embraced in the understanding of leadership; it's misunderstood, and the term is typically derived from diverse combinations of elements, across cultural, social, political, moral, economic and religious settings. In fact, the review of leadership has been evolving across millennia, and multiple hypotheses have been postulated to offer guidance for the understanding of the same, including: leadership traits and behaviour; and leadership styles such as: charisma, situational, transformational (Boulden et al. 2003). On the contrary, values-based leadership (seen as having underpinning core values) deals with particular leader behaviours, contended in the research to contribute to be more effective in the NFP world, which is the context for this review (Copeland 2016).

Moreover, the goals of a CSO typically align with the underpinnings of values-based leadership as well as the personal objectives and individual desires of the respective workforce, which makes employees associate and identify strongly with both the purpose and vision statements that it espouses (Avolio, Walumbwa & Weber 2009). Therefore, this review in Part 1 **seeks to further justify why values-based leaders are more effective for CSOs.**

2.4 Leadership Theories

Leadership has been evolving over decades, which means leadership is defined by more complex terms other than the personality traits and individual-based theories used in its earlier descriptions. Following the escalating interest in the concept of leadership and the research that characterised it in the twentieth century, multiple theories were postulated to explain leaders and leadership in detail. Leadership can be described across eras from the 'Trait Era', where leaders were 'born' not 'made', to the behavioural theories, where leadership can be learned, to the 'Contingency Era' where your 'style' was affected by a range of factors such as 'task' or 'situation'. Then came what is often termed 'contemporary theories', which include transactional, charismatic and transformational. These still dominate the literature through to today, but in this century we have seen the rise of multiple offshoots of these theories and some newer 'modern theories' (see Table 2.2).

Table 2.2: An outline of eras of leadership (adapted from Bolden et al. 2003)

Era	Description
The Trait Era (mid-1800–1940)	Based on multiple theories that determine leaders are 'born', including 'great man theory'—born leaders (Borgatta, Bales & Couch 1954). Trait theory—well-defined traits and qualities found in a born leader (Bolden et al. 2003).
The Style Era Behavioural theories (1940s–1960s)	This period refuted 'leaders are born' and began to suggest that leadership can be 'learnt' through what they 'do' and their 'style' (Blake & Mouton 1967; Bolden et al. 2003).
The Contingency Era (1960s–1980s) (also known as 'situational leadership')	Bolden et al. (2003) discuss the crossover between contingency or situational schools. Hersey (2009) has four leadership styles depending on the task, readiness and response, whereas Blanchard (cited in Bolden et al. 2003) looks at the behaviours associated with tasks, relationships and maturity. Bolden et al. (2003) also discuss Tannenbaum and Schmidt's Leadership Continuum, which looks at adapting 'styles' depending on the situation. Fiedler's Contingency Model (da Cruz, Nunes & Pinheiro 2011)

Era	Description
	favours some elements of adapting your leadership depending on the person/task and situation.
The New Leadership Era Transactional and transformational theories (1980s–1990s and beyond) (also known as 'contemporary theory')	Burns (cited in Ryo 2015) introduced the concept of leaders and followers in this era. According to Sarros, Santora and Densten (1999), they saw this era as combining aspects of the trait, behavioural, power-influence and contingency approaches to be redesigned as transformational. Klenke (1996) looks at contemporary leadership theories from the feminist lens on the 'leader-follower' relationship to ascertain that there is little causality between productive followers and supportive leaders. Parry (1996) believes that Australian workers, while not identifying themselves as 'followers', do like charismatic leadership, particularly if there is concern for the individual. Reser and Sarros (2000) also provide a typology that includes the transformational/transactional/ charismatic approach, and call this 'contemporary theory'. Avery et al. (2004) call this era 'visionary', with its main basis being on emotion. This era though has stood the test of time, with multiple writings on 'charismatic leadership', with Bass cited in both Bolden et al. (2003), and Ryo (2015) agreeing that you can't have leadership without followership.
The Modern Era (beyond 2000)	Mumford and Van Doom (2001) bring in their work on the leadership of 'pragmatism', which is also supported in work by Ligon, Hunter and Mumford (2008), on a life-narrative approach. This approach links varied styles of leadership, such as charismatic, pragmatic and sense-making, but links them all to life-defining events. While Avery et al. (2004) move to 'organic leadership', in which there can be no formal leaders. Fairhurst (2008) introduced the term of 'discursive' leadership that attempts to look at leadership quite differently using

Era	Description
	sense-making as a way of leading through communication. Doh and Quigley (2014) look at 'responsible leadership', linking it with the popular corporate social responsibility, contending this can impact on organisational outcomes. Rowold (2014) advances the transformation-transactional paradigm to introduce 'instrumental leadership'. Authentic leadership* (Avolio & Gardner 2005; Gardner et al. 2011). Ethical leadership theory* (Brown & Treviño 2006). Servant leadership* (Greenleaf 1977). *

*These are all contained within the value-based leadership section 2.10 in this chapter and are discussed separately in detail.

2.5 Discussion on Eras of Leadership – Contingency Era (Situational Leadership), New Era (Charismatic Leadership)

2.5.1 Situational Leadership (Contingency Era)

While all elements from each era remain in literature today and are often the subject of meta-analysis, there are still many deficiencies and assertions as to what continues to be effective (Dihn, Lord & Gardner 2014). By way of example, situational leadership (SL) has had two generations, and is seen as requiring a rational understanding of the situation and a level of maturity in determining as a leader whether you focus on the required task or relationship with your followers (Bass 2008; Graeff 1997). This has immediate appeal to the CSS, wherein as a leader or manager the need to focus on your relationship with followers (volunteers or workers) is crucial in situations where you have to ask volunteers to go above and beyond; for example, foster carers who look after children removed due to abuse or neglect. These foster carers will not get paid for their support of a vulnerable child, so a leader's capability to maintain positive relationships with carers whom at the same time deliver many 'tasks' of the business is a useful construct in this theory.

SL was popularised in management in the book *The One-Minute Manager,* (cited in Zaman 2017) outlining the situations of when to adapt your management style, which may be of use to the NFP leader. Graeff (1997) discusses the growth in management development revolution, aiming to see a 'quick fix' using weasel words to describe and re-popularise older theoretical bases. A 2014 Norwegian study of 2,900 managers found that 61.8 per cent experienced ‘time-pressure’ (BI Norwegian Business School *2014)*. Similarly, in the 2014 Global Workforce study of 32,000 employees, 37 per cent of managers did not have time to handle the people aspects of their jobs, with over a third not developing or coaching their employees (Willis Towers Watson 2015). It follows then, why managers tend to quickly take up the latest buzz word and movement of the quick-fix mindset trying to regain some of their lost time. NFP managers are no different in their time-pressured roles, so is SL a buzzword? Or does it have practical use in leadership?

Many authors (Byrne 1986; McGill 1988) have argued that authors who apply buzzwords or acronymic formulas will quickly become sought-after in the nomenclature of managers, as opposed to the actual constructs themselves. As noted above, with SL in its revision, the changes were predominately seen as superficial, adding no further value to the original constructs; instead the change was the relabelling of the situational variable in the model (Zigarami, Zigarami & Blanchard 1985). These were the competence of followers and their commitment. SL was a popular conception of leadership; however, as experience with the original Hersey and Blanchard model accrued, problems with the construct appeared. Nicholls (1985) describes three flaws with SL, dealing with its consistency, continuity and conformity. Bass (2008) agreed, noting a lack of internal consistency, conceptual contradictions and ambiguities.

In the NFP field itself, managers’ relational qualities are strongly linked to the connection to their work and own social conscious; they execute tasks often as prescribed by the work they do. However, it’s highly challenging for NFP leaders to readily identify when confronted a new situation to practically know when and how to adapt their approach to be more effective in whatever the new context has thrown at them without much direction. With such ambiguity in what produces its effectiveness, SL itself doesn’t offer promise for NFP leaders as a theoretical construct and is somewhat abstract as a leadership approach. This is consistent with analysis that no particular leadership style is universally valid, and behavioural theories such as SL rely largely on abstract leadership types that are often difficult to identify individually (Bass 2008; Glynn & DeJordy 2010 cited in McCleskey 2014).

2.5.2 Charismatic Leadership (New Era)

Charisma has long been associated with ‘leadership’ and appeared in the literature in 1970, though its use and originality were developed by sociologist Max Weber many years before (Conger & Kanungo 1988; Yukl 1999). Charisma comes from a Latin Greek term meaning ‘favour or grace’ and involves creating a self-image so powerful that people are naturally drawn to you—a useful construct for the NFP leader who requires that need to motivate others to go further for the cause. Weber used this to describe how followers would attribute extraordinary qualities to the leader (Yukl 1989). Multiple authors find the ‘charisma’ concept appealing but have fundamentally divorced it from Weber’s original use to describe institutional functioning and the contextual conditions therein. In Weber’s theory he proffered a crisis was necessary for the emergence of a charismatic leader (Weber 1947, cited in Yukl 1989) and we see remnants of this construct today, where emerging leaders come out of crises (e.g. case studies such as Southwest Airlines post 9/11, Johnson & Johnson Tylenol Crisis; Kochanny 2015).
Several authors have discussed charismatic leadership with three different approaches:

1) Identification of individual characteristics and behavioural traits (Bass 1990; House & Aditya 1997).
2) Looking at followers’ perceptions (Conger & Kanungo 1987, 1994).
3) Identifying the contextual factors that contribute to charismatic leadership (Willner 1984).

These works suggest that charismatic leaders create a compelling vision and can be highly effective in communicating their vision to followers. The centrality of this is a leader having ‘vision’, yet O’Connor et al. (1995), in their historical analysis, claim that the literature on charismatic leadership has little to correlate charismatic leadership traits, their vision and organisational outcomes. The works of House and Howell (1992) start to discuss some of the dark sides of charismatic leadership by distilling it to ‘personalised charismatic leadership’ and ‘socialised charismatic leadership’. The key sentiment of their analysis being that one acts for the good of oneself and personal needs, and the other for the good of the organisation’s needs. Throughout history there are examples of charismatic leaders from both realms, Martin Luther King Jr., Gandhi and Winston Churchill, and others such as

Adolf Hitler and Fidel Castro. Yet, research on whether charisma is made or born and if charismatic leaders are effective is mixed, and an argument can be made on context and lens (e.g. some may say President Obama is very charismatic, but a republican would view this differently). In my world, what drives the leader is their own underpinning values and what is valued. Obama, we may argue, valued providing healthcare to those who need it most, whereas Trump would value tax cuts for those who need them least—both put a 'value' on their approach, both bring a difference in values. In the NFP environment, the value must be on others.

Work by Yukl (1999) discusses charismatic leadership theories that have been evaluated by different authors using various instruments. However, while his research provides evidence that supports some components of the major theories around charisma, most of the propositions in these theories are inconclusive on it determining effectiveness. O'Connor et al. (1995) agreed in their historiometric study testing a model of personality constructs to see if charismatic leaders were more interested in personal outcomes rather than organisational outcomes (as a measure of effectiveness). They found that charismatic leaders are often **not effective** at change for the organisation's and followers' good; rather, the leader is often more concerned in benefitting their personal outcomes. **In the CSS, client outcomes are paramount to a client's ability to overcome vulnerability, and a leader orientated to change for the organisational good is a proposition I argue is necessary for effectiveness. With 'personalised' charismatic leaders, who are often deemed to be egocentric, narcissistic and manipulative in their desire for power and success (Conger 1999), it is unlikely they will be successful operating in a world demanding you deal with someone else's issues and wellbeing.**

There are also multiple examples of the 'dark side of charisma', where there have been leadership failures and corporate scandals (e.g. Tyco, Enron, Lance Armstrong) across a range of sectors where the leaders where focused on personal gain (Avolio & Gardner 2005; Brown & Treviño 2006, Anderson & Sun 2015). Within the CSS, the 'client' is only a client due to the most vulnerable of circumstances (e.g. child abuse, drug addiction). Leaders who focus on personal gain will be a very poor fit for a sector that requires what Weber's original writings on charisma describe as a 'divine gift'—what was seen not as the power of an individual but as a communal blessing (Potts 2009, p. 107).

There is a need, I argue, for leaders to have much more of the original charismatic writings and transformational qualities than the diluted descriptions today that fail to assist. A more intentional description of leadership aligned to this is values-based leadership (Copeland 2014). Values-based leadership was always 'inherent' in the original theories of transformational and transactional leadership; as such I will now explore it a little more to see its merits for the CSS.

2.6 The Argument for Values-Based Leadership (Modern Era)

The economic rationale of an NFP is that it doesn't operate to make a profit (though technically it can) or for its own gain, but rather it operates for the betterment of others. Any 'profits' are required to be reinvested towards the organisation's purpose (ACNC 2018). The community services part of the NFP world exists to support, build capacity and develop the functioning of individuals, families and groups to improve their outcomes and to enhance community wellbeing (ACOSS 2013; AGPC 2013). Work by Byrne (2008) quotes multiple reasons as to what attracts people to the NFP sector. Most individuals will say 'they want to make a difference' and ascribe alignment to their personal values and job satisfaction (insync surveys 2016; Hansen, Huggins & Ban 2003). NFPs then, by their very creation, ascribe organisational values through their purpose for the betterment of others and to add to the organisation's social conscience (McMurray et al. 2010). NFPs and their leaders can be harshly judged and equally scrutinised for their leadership behaviours if the alignment of such behaviours is contrary to the organisation's purpose or mission.

Much like the private sector, the NFP sector is not without its scandals. Notably in recent years the Chief Executive (CE) of Oxfam (UK) was stood down in 2018 due to the sexual misconduct of staff following the Haiti disaster, the Haiti Government has banned Oxfam from providing any relief to their country (BBC News 2018). In addition, a similar fate awaits the Red Cross for its inability to explain internal expenses of $125m against Haiti donations of $500m (Sullivan & Elliot 2016), and the Chair of Save the Children International also quit in April 2018 for failing to act and investigate sexual misconduct of staff (Slawson 2018). In

Australia, high-profile former cricketer Shane Warne announced he was shutting down his charity due to the intense scrutiny over costs to run it (Thomsen 2016). These examples of leaders not passing the test of public scrutiny are clearly out of alignment with the expectations of an NFP. Carson (2002) highlights this as an issue confronting NFPs not having the ability to argue their meaning and substance.

The NFP sector has added to this discourse of lack of meaning by not holding to account its shortcomings, most notably the appalling let down of vulnerable children being uncovered in the Royal Commission into Institutional Responses to Child Sexual Abuse, with over 2,000 referrals to authorities on child abuse matters and over 40 per cent of abuse occurring while in the care of institutions that were 'church-based', arguably espousing strong 'values'. While accountability is finally being recognised today around individuals in leadership roles at the time, it is clear there was a mismatch in personalised values and espoused organisational values and the incapacity of organisations to address this globally. There also would appear to be a 'loss' of knowing what is right and meeting those community expectations.

2.7 Making the Right Decisions in Leadership: The Relationship to Values

Leaders become leaders often because they know where to go and how to get there. In their minds, this is what they are called to do. Leading is work; naturally driven by personal style and comfort. For some it is task-driven, getting stuff done, taking action, calling the shots. For many it is about relationships. Few leaders stand in isolation to achieve a goal. Most bring others on the journey or create and empower others to rise to the task and goal at hand. These leaders experience people and adapt their approach to them. Leaders at the top will always experience fear, loneliness and isolation at some point. How do leaders then deal with pressure and, in the face of adversity, make the 'right' decision? There is the right thing to do, for example following the law, and there is also the need to be 'right'. All overlap, and sometimes create a murky montage for leaders to navigate. Navigating the 'murky' right can mean how do you respond when you are pressurised to sign an unfair deal or when you are asked to continue delivering a service that doesn't work for the clients served? Does the leader allow risk to continue and justify it is a lesser risk than another?

Responding in the 'right' way and making the 'right' decision is the morality that humanity has struggled with for years. What guides a leader through the murky side of right? I would contend the following**.** Leaders need to:

- know where their moral compass lies and what they value (see Figures 2.2 and 2.3)
- understand what intrinsically drives them by knowing what values are embedded within their inner core (see Figures 2.2 and 2.3)
- draw down on these values and inner moral code when confronted by the murky right, and call on the right decision as needed (Figure 2.4).

This will, in turn, assist leadership effectiveness in the CSS.

These questions form part of the PASS Framework (provided below as in Figures 2.2, 2.3, 2.4).

Figure 2.2: Where does your moral compass lay and what do you value

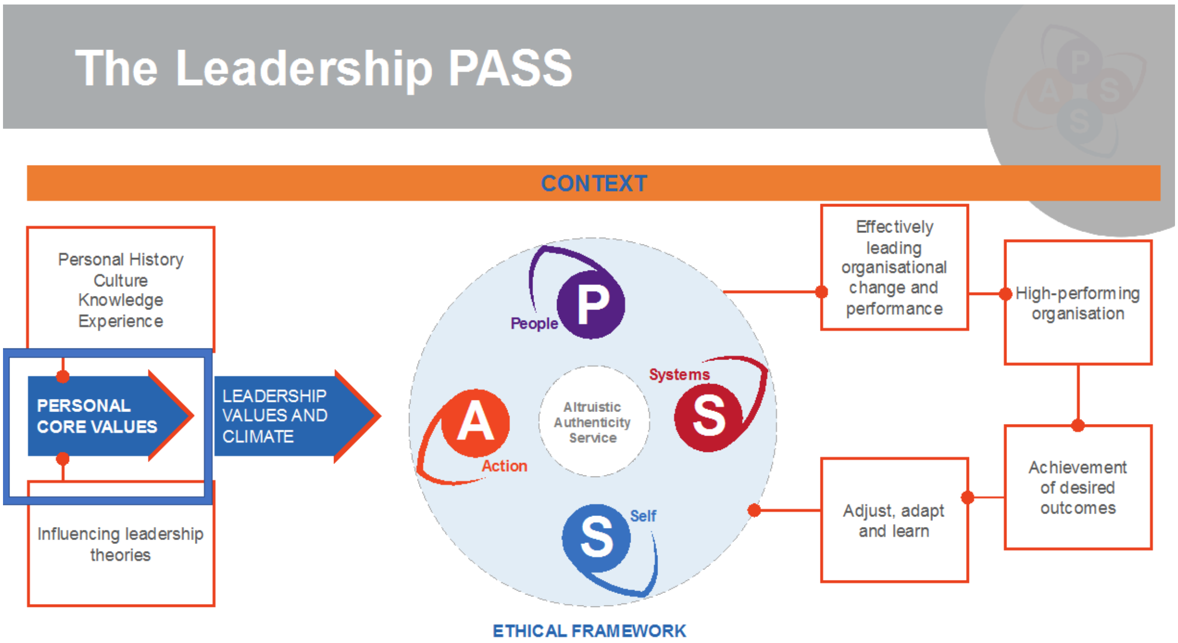


Figure 2.3: Understanding what intrinsically drives you by knowing what values are embedded within your inner core

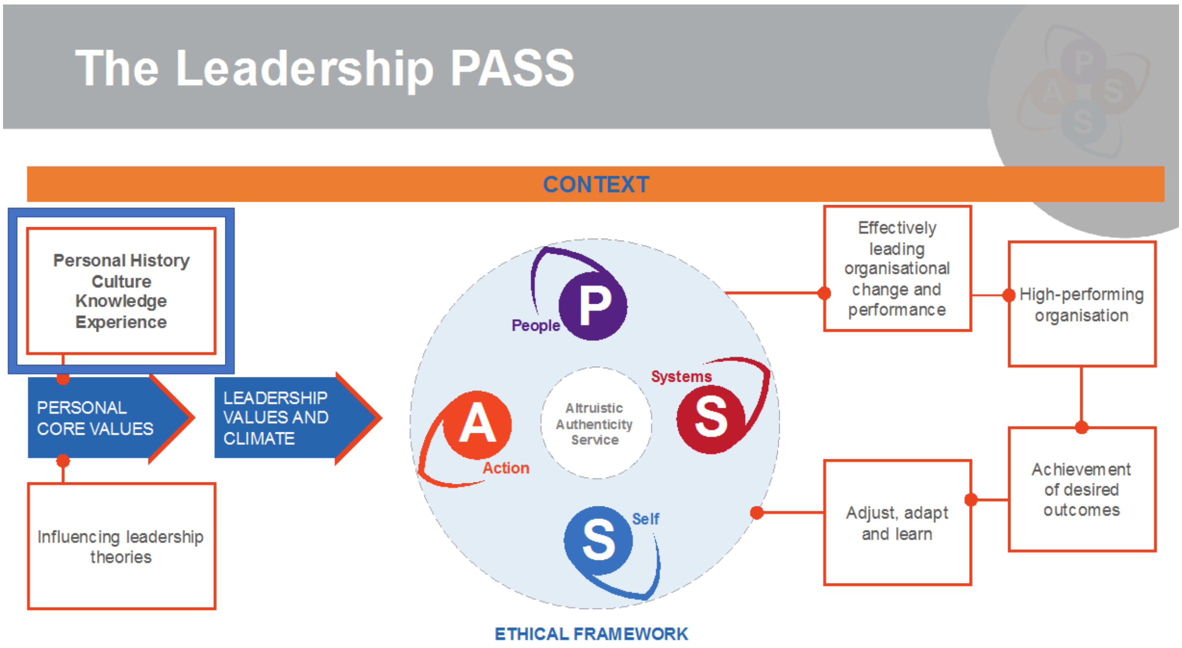
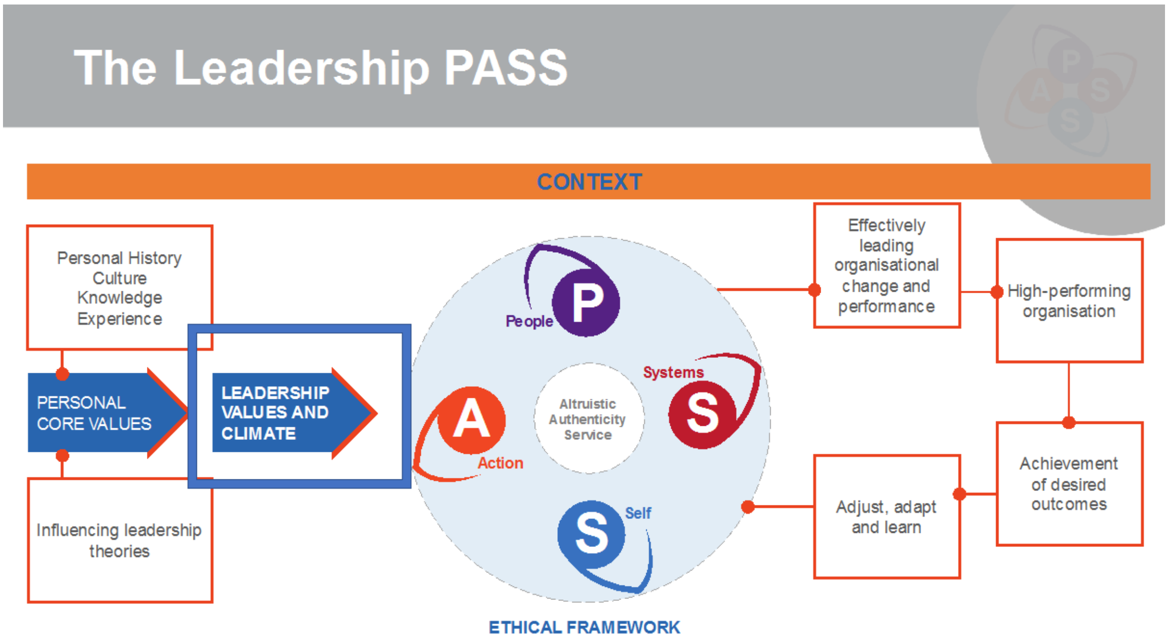


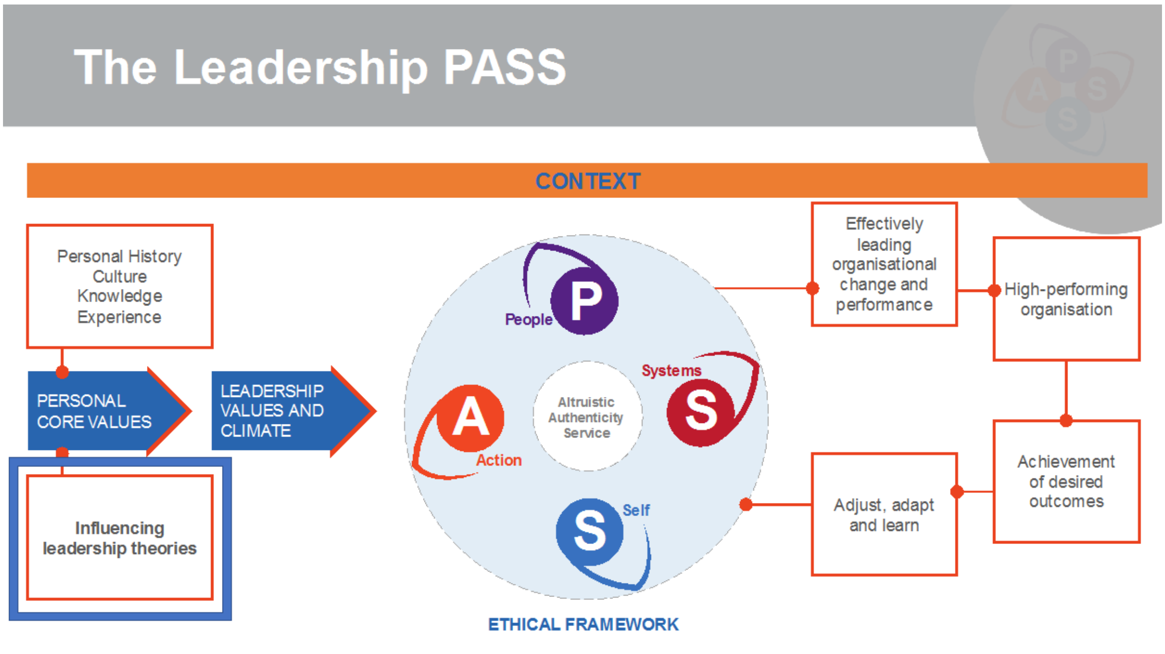
Figure 2.4: Draw down on these values and inner moral code when the murky right confronts, and call on the right decision as needed to create the right leadership climate



The research question I propose therefore is: 'Is there, then, one values-based theory that is more effective to assist leaders in the CSS over another?'

The next part of this review looks at this (see Figure 2.5)

Figure 2.5: Influencing leadership theories



2.8 Value-Based Leadership Theories (Modern Era)

Copeland (2016) completed a literature review on AL, TL and ethical leadership, outlining the various researchers who have nuanced earlier theories and highlighted the key values underpinning them. These main theories are presented in Table 2.2. Copeland's proposition contends that values-based leaders are more effective, and this matches the research question I have stated in this review. Fox (2011) states that NFP human service organisations (HSOs) are 'value-laden', and these are part of the foundation of their work. Barraket (2006) states that the CSS in Australia provides a medium for workers and volunteers to act upon shared values. It is therefore most instructive to look to those theories that are theorised as values-driven to best inform the propositions and research question I have posed. I have reviewed each theory and summarised the core elements in Table 2.3.

Table 2.3: The main values-based leadership theories (adapted from Copeland 2016; core elements added by author)

Values-Based Leadership Theories	Author(s) and Year	Core Elements
Servant leadership (SL)	Greenleaf (1977); Peterson, Galvin & Lange (2012); Howatson-Jones, (2004); Parolini, Patterson & Winston (2009)	Main features: mutual trust, service to others, collaboration, honesty. Unlike rational forms of leadership, the SL approach is founded on philosophical insight. While in traditional leadership, authority and power are from top to bottom, the aspect of SL is opposite in that leaders are subject to and literally serve their followers (Van Dierendonck 2010). The interests are shared between leaders and their subjects, and the burden of responsibility is a mission and vision for all to attain. The power of SL is that it unlocks the hidden potential of the followers once they learn that their leader is down-to-earth, ready, able and willing to deliver their best ability for the sake of the system.
Authentic Transformational (AT)	Bass & Steidlmeier (1999)	Re-emphasized that to be truly transformational a leader must also be moral, ethical and authentic. The ethics of leadership rest upon three pillars: (1) the moral character of the leader (2) the ethical legitimacy of the values embedded in the leader's vision, articulation and program, which followers either embrace or reject. (3) the morality of the processes of social ethical choice and action that leaders and followers engage in and collectively pursue.

Values-Based Leadership Theories	Author(s) and Year	Core Elements
Complexity leadership	Regine & Lewin, (2000), Marion & Uhl-Bien (2001)	Founded on complexity science, organisationally flat, adaptable, cultivation of change. Arguing that linear structures impede agility and flexibility. Strongest component is relationships. The complexity theory of values-based leadership enjoys and thrives on fundamentals like agent-based modelling, determination, strategy and execution, computer and social networks interconnection, as well as individual and collaborative choices (Uhl-bien, Marion & McKelvey 2008). In essence, complexity theory is derived from the understanding that leaders are not viewed as authoritative and authoritative figures at the apex of influence; instead, followers and leaders alike are responsible for the short- and long-term goals of the organisation through: collective identity, adaptation, organisational performance, sense of unity and innovations (Uhl-bien 2008, p.221).
Contextual leadership	Osborn, Hunt & Jauch (2002)	Leadership is determined by the context; the macro environment determines the leadership response. Contextual leadership gives a leader the compass direction to better align the available resources and the organisational objectives in a suitable manner (Osborn & Marion 2009). As such, strategic planning is critical, and leaders would, therefore, tend to move in the direction of chances and opportunities, rather than against the prevailing

Values-Based Leadership Theories	Author(s) and Year	Core Elements
		circumstances. Thus, shaping the situation at hand, while planning on how to overcome challenges, realise uncertainty and resolve complex matrices of external pressure is pertinent. As such, the leadership aligns itself in a manner that efficiently recognises the diversity of the followers and the unfolding events.
Shared leadership	Pearce & Conger (2002)	Shared or distributed leadership. Shared leadership is ‘a dynamic, interactive influence process among individuals in groups for which the objective is to lead one another to the achievement of group or organizational goals or both.’ (Pearce, Conger & Locke 2007, p. 282).
Spiritual leadership	Fry (2003)	The theory of spiritual leadership is developed within an intrinsic motivation model that incorporates: vision, hope/faith and altruistic love; theories of workplace spirituality; and spiritual survival. The purpose of spiritual leadership is to create vision and value congruence across the strategic, empowered team and individual levels and, ultimately, to foster higher levels of organisational commitment and productivity.
Authentic leadership	Avolio et al. (2004), Avolio & Gardner (2005), Gardner et al.	Authentic leadership theory includes an in-depth focus on leader and follower self-awareness. It is premised on ethical and moral practices, the legacy of the leader and the

Values-Based Leadership Theories	Author(s) and Year	Core Elements
	(2011)	responsible behaviour of all followers. Elements of competence, integrity, high self-esteem, reliability and trust are indispensable in this form of leadership (Walumbwa et al. 2008). As such, authentic leadership is deeply valued by many organisations, because of the power it has to nurture, develop, challenge and make transparent, reliable and trustworthy the followers and those at the apex of managerial influence (Diddams & Chang 2012).
Ethical leadership	Aronson (2001); Brown, Treviño & Harrison (2005); Brown & Treviño (2006); Copeland (2014); De Hoogh & Den Hartog (2008).	Ethical leaders are characterised as honest, caring and principled individuals who make fair and balanced decisions. Ethical leaders also frequently communicate with their followers about ethics, set clear ethical standards and use rewards and punishments to see that those standards are followed.

Copeland's (2014) work on analysing the impact of three of these leadership theories on a leader's effectiveness (authentic, transformational and ethical), found:

…that leaders that are ethical, authentic and transformational are more effective and that each of these behaviours can incrementally improve the positive outcomes of a leader. Of the three leadership behaviours, ethical leadership was the greatest predictor of leader effectiveness (p.95).

While Copeland's work has attempted to test the hypothesis that there will be higher levels of leadership effectiveness *if* leaders demonstrates ethical, authentic or transformational behaviours, there are some ambiguities and assertions in this research: (1) different survey instruments were used, (2) limited data collection, (3) different leaders answered different questions in different organisations, and (4) the sample size was small (N=175). All of these limitations impede the ability to effectively attribute causality, as they are based on assumptions that all the constructs are tested equally (i.e. the person is answering the same questions under the same conditions). While this is conceptually appropriate, causality cannot be attributed to actually determining effectiveness (MacKenize, Podsakoff & Podsakoff 2011).

2.9 Discussion

The analysis above has looked at the merits of some theoretical bases in the Contingency Era (SL), New Era (charismatic leadership) and Modern Era (values-based leadership). In their core underpinnings, many commonalities occur across each (all have elements of adapting, motivating and being relational in leadership). As a values-driven leader, I find that no one theory offers a definitive way to be more or less effective, and instead proffer the following conclusions derived from the review and my tangible practical experience as a leader.

2.9.1 The Role of Values in Leadership: Why? Your Moral Compass

Woodward and Shaffakat (1995) posit that leaders lead from their values and beliefs. Values are essential parts of our inner core. They are core beliefs—the underlying emotions that drive our behaviour. Rokeach (1968) defines values as being centrally located within this belief system and as having cognitive, affective and behavioural elements that affect our attitudes and behaviours (pp.124–5). Since values are intrinsic (embedded within our core and belonging to us), they play a key role in determining the choices we make. Values are the foundation that collectively form the value systems of our lives, and shape how we respond in leadership (Russell 2001). Knowing this means we understand how effective we can be and our intrinsic values become our moral compass. **Therefore, this forms part of the leadership PASS**.

2.9.2 Personal Values of Leaders: How

In their work on leaders and relationships, Kouzes and Posner (2011) postulate that the process and practices of leadership are fundamentally amoral, but leaders themselves can act morally or immorally, judging the leader as the one being able to get constituents to follow. Consequently, leaders' personal values have very significant effects on leader–follower relationships, and their values affect other leaders' moral reasoning and personal behaviour (Burns 1978; Deal & Kennedy 1982; Posner & Kouzes 1988; Russell 2001). Values also impact our moral reasoning by affecting those judgments that determine our ethical and unethical behaviour (Hughes 1993). It follows then that leaders who are consciously aware of their value systems and how they live them and operate, tend to behave more ethically than those who have not explored or have a strong values foundation. This in turn leads to improved behaviours and decision-making. **Therefore, this forms part of the leadership PASS.**

2.9.3 Behaviours and Decision-Making: The Right Decision

These intrinsic personal values and value systems result in characteristics that in turn affect how we conduct ourselves and how we make decisions (Malphurs 2004; Rokeach 1968). Greenleaf (1997) characterises those with a desire to help or serve as a servant first; these leaders hold in mind the effects their actions have on those least privileged and how you can make sure other people's priority needs are being attended too through your decision-making. Kanungo and Mendonca (1996) argue to do this for the centrality of altruism, where you recognise in your decision-making that everyone has moral standing and the interests of 'the other' matter (not just your own). Altruism can be an antonym of egoism.[13] Baston (1991, p.108) provides a definition of both altruism and egoism:

(1) If the goal is to increase another's welfare it is altruism.
(2) If the goal is to increase one's own welfare, it is egoism.
Therefore, this forms part of the leadership PASS.

[13] The Internet Encyclopedia of Philosophy describes Egoism as people who are motivated by their own interests and desires

2.9.4 Personal Values and Adaption to Increase the Welfare of Others

In Emery's (1977) seminal work around ideal seeking systems, the premise is that the way we as humans adapt to the conditions in which we work to deal with change is through shared values and ideals. Shared values and ideals are emphasised by leaders who exercise altruism and it is exemplified when applied at a systems level and will contribute to greater effectiveness. If we increase our effectiveness at the systems level, then our impact will be far greater for the welfare of those we serve. **Therefore, this forms part of the leadership PASS.**

2.10 Conclusion: Altruistic Leaders and Effectiveness—Part of My PCL Paradigm

In conclusion, I would propose, in the NFP world of serving and helping others, leaders need to know where their moral compass lies and what they value; to do this a leader with the normative behaviour of egoism will not be as effective as that of one of altruism.

A leader in the CSS is better equipped by understanding what intrinsically drives them when they know what values are embedded within their inner core and seeing if they are inherently altruistic (as outlined in the PASS framework). Leaders who can demonstrate that they bring together groups with shared values and act upon them in an authentic way have been found to have much higher levels of performance in systems, along with helping others to achieve improved outcomes (Banks et al. 2016). These leaders exhibit selfless behaviours and a relational leadership style (De Cremer 2006; Sosik, Jung & Dinger 2009).

Altruistic leaders will draw on their values and inner moral code when the murky right confronts, and call on the right decision as needed to therefore be more effective. While an egoistic leader may be effective it will be to advance oneself; it will have little impact on the system at large in the NFP world—this world has a long-term view. For the larger system there is a need to bring along multiple stakeholder groups over the long-term. For an altruistic leader, knowing 'one's self' and understanding their inherent values and how these drive their decision-making will in turn assist their leadership effectiveness in the CSS and keep them focused long-term.

This literature review considered the research question 'Is there, then, one values-based theory that is more effective to assist leaders in the CSS over another?' (so, to inform the leadership PASS). It also worked on the premise that it is 'necessary' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can align these to their work in the CSS (so, to justify this part of the leadership PASS. It has explored the research on the variations of values-based leadership in more detail and provided evidence on the why and how to 'do the right things in leadership' in context and behaviourally as a leader. Ultimately, to be more effective as a leader in the CSS. This review provided a strong alignment with the components of the PASS in my PCL paradigm around the domains of Values, System and Self.

In Part 2, the review now focuses narrowly on the research of 'what works' in the NFP, community and human services sectors and specifically child welfare through an SLR.

2.11 Chapter 2 - Part 2: Executive Leadership and Leadership in the Implementation of Evidence-Based Programs in the Community Services Sector in Australia – 'What Works', a Systematic Literature Review

Part 2 presents the SLR. The CEBMa provides the following description for the use of an SLR:

> *The intention behind a systematic review is to identify as fully as possible all the scientific studies of relevance to a particular subject and to assess the validity and authority of the evidence of each study separately. As the name indicates, a systematic review takes a systematic approach to identifying studies and has the methodological quality critically appraised by multiple researchers independently of each other, as a consequence of which the review is transparent and reproducible and can be monitored. The use of statistical analysis techniques in a systematic review to pool the results of the individual studies numerically in order to achieve a more accurate estimate of the effect is termed a 'meta-analysis'.* (CEBMa 2016)

I chose this approach to provide the most robust review of the literature I could undertake and contribute to an area of research where very little robust studies have been performed. To further remove bias, as is consistent with an SLR methodology, I had another researcher also review the same studies; this researcher is duly acknowledged as a co-researcher. The following section is provided in the format of a manuscript in process of submission to <Human Service Organizations: Management, Leadership & Governance> for publication. It is currently under review. For ease of reading, terms previously abbreviated in this critique are referred to in abbreviated form only and are not repeated (despite appearing in the original submission).

2.11.1 Abstract

Executive Leadership and Leadership in the Implementation of Evidence-Based Programs in the Community Services Sector in Australia – 'What Works', a Systematic Literature Review Lisa J. Griffiths & Sidrah McCarthy, OzChild, Australia

Purpose – The purpose of this study is to provide a review of the research literature about executive leadership in the *child welfare sector in Australia*, in order to better understand what constitutes effective leadership, with a focus on the executive level in CSOs and the leadership required to implement EBPs.

Design/methodology/approach – An SLR was performed to find articles that identify and describe the characteristics of effective leadership in HSOs, along with the effective implementation of EBPs used in Australia and internationally. Searches of electronic databases were conducted using set criteria for article selection. Altogether, 22 papers underwent an inductive content analysis.

Findings – All of the 22 studies reviewed found executive leadership important in the success of HSOs, and an important contextual dimension of the development, dissemination and/or implementation of EBPs. Further research is required in the Australian context.

Keywords – Executive Leadership, Evidence-Based Program/Practice (EBP), Community Service Organisation, Child Welfare, Servant Leadership, Transformational Leadership.

2.12 Introduction

> "Executives who do not know how to make themselves effective in their own job and work, set the wrong example" (Drucker 2002, p.40)

The purpose of this SLR is to better understand what the research says constitutes effective leadership in the Australian child welfare context and what is effective leadership for implementing EBPs within this context. It has a focus therefore on the executive level of leadership and its association with the implementation of EBPs. This is a niche area, with very few studies specific to it (Bish & Becker 2016; Young, Hollister & Hodgkinson 1993; McMurray et al. 2010; Sarros, Cooper & Santora 2011). For this reason, the research was extended to look at leadership and leadership implementation of EBPs in HSOs more broadly around the world.

While there has been much written about leadership, there is little consensus on a common definition of leadership, excepting many authors agree that leaders exert influence and provide direction (Covey 2004; Simons 1998). Influence needs to be referent and legitimate (Lunenberg 2012, p.5) but cannot be useful without the leader taking action and shaping behaviour while leading others, often towards a common goal (Bass & Stogdill 1990). Leaders influence, motivate and contribute to the overall effectiveness of the organisations they lead (House et al. 2004, cited in Lamond 2009, p.359). Research on leadership commonly uses leadership and management interchangeably, with leadership often conceptualised as leadership (or management) support (Reichenpfader et al. 2015[14]). There is a degree of overlap between leadership and management both in terms of the processes and the people involved, and that both capabilities are needed for organisational effectiveness (Yukl & Lepsinger 2005). This is true of the HSO and NFP organisational setting, which has historically demonstrated a more complex set of expectations regarding

[14]Boström et al. 2007; Damschroder et al., 2011; Forsman et al. 2012; Gifford et al. 2007; Sandstrom et al. 2011 all discussed this and are cited in Reichenpfader et al.'s SLR.

the importance of leadership versus managerial skills (Drucker 1990 and Hesselbein 2004, cited in Landsford et al. 2010) than needed for for-profit organisations. Within HSOs leadership is important, from the official leadership of the CEO right down to the informal leadership of citizens. Nevertheless, leadership is identified as requiring particular skills different from management (Kibort 2004). Leaders are differentiated by their personal attitude toward organisational goals, approaching work as an opportunity for risk and reward, forming subjective relationships with 'followers',[15] and having a sense of self-independence to the organisation employing them (Zaleznik 1977).

2.13 Australian Child Welfare Context

Child welfare organisations in Australia operate in the CSS[16] and can be NFPs or private entities. They function to ensure the safety and wellbeing of children.[17] This field needs urgent improvement in Australia, where the number of children removed from home to live in the OOHC system is rapidly[18] rising—doubling in the last 10 years. There are consistent poor outcomes for children associated with OOHC.[19] Indigenous children are over-represented and ten times more likely to be removed (AIFS 2017; Family Matters 2017). Internationally, the HSO more broadly is undergoing a period of volatility, facing rapid changes in society, technology and the economy (Shin & McClomb 1998; Smith & Phillips 2016). Within this context, ensuring earlier and timely intervention supporting vulnerable children's needs is essential to both prevent future complex problems and improve outcomes (AIFS 2018; Shonkoff et al. 2012.) Further, these empirical studies looking at organisations delivering services within child welfare have found improved outcomes for children when the organisations have engaged organisational climates (Aarons & Sawitzsy 2006; Glisson & Hemmelgarn1998; Glisson & Green 2011).

[15] In the Australian context, 'followers' are more commonly referred to as 'workers'.
[16] Community services sector (CSS) and community services organisation (CSO) are terms used in Australia, while human services sector (HSS) is more commonly used in other countries. The term community-based organisation (CBO) also used in the USA.
[17] https://www.dss.gov.au/our-responsibilities/families-and-children/publications-articles/protecting-children-is-everyones-business
[18] http://www.pc.gov.au/research/ongoing/report-on-government-services/2018/community-services/child-protection
[19]https://www.aph.gov.au/Parliamentary_Business/Committees/Senate/Community_Affairs/Out_of_home_care/Report/c04

2.13.1 Evidence-Based Programs and Practices

EBPs and evidence-based practices[20] are a growing part of the current requirement for innovation in service programs and increasingly considered strategies for HSOs to weather turbulent fiscal and policy environments (Carnochan et al. 2017). EBPs are based upon an understanding of how programs and practices work on the ground to deliver outcomes. They involve gathering research evidence to inform decision-making about interventions, programs and practice principles delivered by individual practitioners, teams and whole organisations (Plath 2012b). An EBP is a dynamic process of critical reflection that involves a combination of well-researched interventions with the on-the-ground experience of both practitioners and service users, with solutions being evaluated for their effectiveness (Plath 2012b; Social Work Policy Institute 2017). Back in 1999, the US Surgeon General declared that all those suffering from mental health disorders should receive state-of-the-art treatments that are evidence-based (Goldman & Azrin 2003). It follows that some 20 years later, child welfare is requiring the same (FACs 2016; DHHS 2016). The literature on EBPs in child welfare is limited, but broader research indicates that leadership has links between both organisational outcomes and client outcomes (Aarons 2006; Corrigan et al. 2000). Much of this is predicated on the success of implementation, and this SLR focuses on the role of executive leadership and its role in the implementation of EBPs.

2.14 Effective Leadership and Behaviours

The majority of the early research on effects of leader behaviour had been guided by popular leadership theories that emphasise one or two broadly defined behaviours (Yukl 2012; Bass 1985; Bass & Stoghill 1990; Bass & Avolio 1997; Avolio, Walumbwa & Weber 2009.) Multiple studies measure leadership behaviour, with the majority of research reliant on verbal reports. This raises both reliability and validity issues. The external validity may be very low on the hierarchy of evidence; that is, it will have a low confidence rating of predicting the same behavioural outcomes in others.

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[20] A similar term is evidence-informed practice (EIP).

Avolio (2007, p.28, cited in Den Hartog & Koopman 2001; Kirkpatrick & Locke 1991; Yukl 1998) argues that accumulated research shows that leaders possess *some* universal traits that are repeatedly associated with effective leadership, including persistence, tolerance for ambiguity, self-confidence, drive, honesty, integrity, internal locus of control, achievement motivation and cognitive ability. This advances critics of the leadership trait literature that the search for these was futile (House & Aditya 1997, p.410). The recent understanding is that traits may be shaped within the particular context in which the leader is embedded, and this contributes to leadership development and effectiveness (Avolio 2007, p.28).

In the NFP sector there is emerging research that leadership behaviours are linked to positive emotions in followers (McMurray et al. 2010). There is a large body of empirical research on types of leadership behaviours that enhance individual and collective performance to support effectiveness (Yukl, Gordon & Taber 2002, p.15). Yukl (2012; Yukl, Gordon & Taber 2002) is a long-term contributor to this field, conducting a meta-analysis of over 50 years of research on leadership to explore what contributes directly to effectiveness in executive leadership. Many researchers have tested, drawn-on and extrapolated on Yukl's (2012) taxonomy in their research (Ekvall & Arvonen 1991; Judge, Piccolo & Ilies 2004; Bish & Becker 2016). Due to this emphasis on the particularities of what makes effective leadership, we draw on Yukl's (2012) Taxonomy on Effective Leadership Behaviours to frame this review (see Table 2.4). There are four meta-categories of particular leadership behaviours in Yukl's taxonomy: task-oriented, relations-oriented, change-oriented and external (Yukl 2012, p.68).

Table 2.4: Hierarchical taxonomy of leadership behaviours (Yukl 2012)

Category	Behaviour	Primary Objective
Task - orientated	• Clarifying • Planning • Monitoring operations • Problem solving	Accomplish work in an efficient and reliable way
Relations-oriented	• Supporting • Developing • Recognising • Empowering	Increase the quality of human resources and relations
Change-oriented	• Advocating change • Envisioning change • Encouraging innovation • Facilitating collective learning	Increase innovation, collective learning and adaptation to the external environment
External	• Networking • External monitoring • Representing	Acquire necessary information and resources, and promote and defend the interests of the team or organisation

2.15 Leadership Theories in the Human Services Sector: Servant Leadership and Transformational Leadership

The key leadership theories that are used in the HSS (human services sector) to theorise effective leadership behaviours (this includes traits and styles) are SL[21] and TL.[22] SL and TL have relatively analogous value-based characteristics that correspond with a people-oriented leadership style and with Yukl's relations-oriented quadrant (Bass 1990; Avolio 1999; Russell & Stone 2002). Like the concept of leadership itself, both SL and TL lack clear, agreed definitions (Parris & Peachey 2013; Bass 1999). While both TL and SL have received considerable research attention, they continue to be criticised for conceptual weakness and, in the case of SL, a lack of empirical research support (Avolio & Gardner 2005; Odumeru & Ogbonna 2013; Wang et al. 2011; Yukl 1999).

[21] Prevailing theories of SL: Greenleaf (1977); Smith, Montagno and Kuzmenko (2004); Spears (1995, 1998); Spears, Lawrence and Blanchard (2001).
[22] Prevailing theory of TL: Burns (1978), Bass (1985), Bass and Bass (2008).

2.15.1 Servant leadership

SL emphasises the individual character of the leader and their ability to inspire the commitment of followers to an organisation through attributes of trust, empowerment, vision, altruism, intrinsic motivation, commitment and service (Dingman & Stone 2007; Fry 2003; Russell & Stone 2002; Spears 2004; Winston 2004). Greenleaf (1977) argues that SL is an inward lifelong journey, implying that the meaning of SL could change throughout one's lifetime.

2.15.2 Transformational leadership

TL also involves motivating, influencing and challenging followers to participate in collective decisions, to develop into leaders themselves and be innovative and creative in collective group accomplishment, organisational objectives or systemic change and innovation (Bass & Riggio 2006; Stone, Russell & Patterson 2003; Parolini et al. 2009). TL is concerned with developing individuals' fullest potential and their motivation toward the greater good rather than their own self-interests (Bass & Avolio 1997). The TL model (Bass 1999) involves five factors: charisma, idealised influence, inspirational motivation, intellectual stimulation and individualised consideration.

2.16 Research Objectives

The purpose of this SLR is to bring together findings from empirical research on leadership in HSOs to shed light on what makes effective leadership at the executive level in child welfare organisations in the Australian context. Within this context, effective leadership has much to do with the delivery of improved organisational effectiveness through improved client outcomes, of which EBPs are a growing aspect. The research questions are:

RQ1. What particular styles, traits and behaviours make current executive-level leaders in HSOs effective?

RQ2. How can leadership positively influence EBPs and organisational innovation?

This SLR addresses a significant gap in the extant research on leadership within child welfare organisations in Australia and contributes to an emerging field of research on the role of leadership in EBPs.

2.16.1 Method

The chosen method of this review was to undertake an SLR. The goal was to provide an assessment of research using a clear analytical process (Gough, Thomas & Oliver 2012; Siddaway 2014). The SLR was targeted toward research on executive leadership in the CSS in Australia. However, there is little research on this small sector, so it was expanded to include the NFP sector more broadly (human services, social work and child welfare) in Australia, New Zealand (NZ), Canada, the UK and the US. Some relevant research on effective leadership in the for-profit sector was also included. Reflecting the overlap of different types of leadership in the research, this SLR includes research on executive (also known as top-level) leaders, managers, supervisors and team leaders. These findings were synthesised for their relevance to the research questions on executive-level leadership in Australian CSOs and EBPs, and analysed to extract findings on effective leadership relevant to this context.

2.16.2 Search Strategy

A comprehensive search of existing literature was completed using multiple electronic databases through the Melbourne University Library using 'Discovery', this includes: Emerald, Taylor and Francis, Wiley, EBSCO, ProQuest, Sage and the British Library. These databases were chosen because they include leadership and management journals. A complex search strategy was used to capture research relevant to effective leadership in the Australian CSS. Searches included both leadership and executive leaders, human services and social services, charity and non-profit. Two researchers were used. Researcher 1 is an executive leader within the CSS. Researcher 2 is a social scientist. Researcher 1 determined the search terms and search strategy, included in the search terms were specific leadership theories and attributes that previous literature reviews had shown to be relevant to the CSS context (values, altruism, ethics, systems theory, strategic leadership, distributed leadership, relational leadership, authentic leadership (AL) and ethical transformational leadership). The term 'evidence-based' was also combined with leadership searches to capture studies that relate to this growing area of importance for leaders. For a full list of search terms see Appendix 2, Table A2.1.

2.16.3 Selection of Studies

In total, 215 searches were completed across the multiple discovery databases returning 3,634 items, duplicates were removed leaving 3,557 items. The results were catalogued into Mendeley[23] and Endnote[24] and imported into EPPI Reviewer 4[25] for further analysis. Further duplicates were removed, leaving 2,570 items. Only articles written between 1960 and 2017 in English and published in peer-reviewed journal articles or publications were included. Only studies in Australia, NZ, Canada, the UK or the US were included. Literature was excluded by topic to include only those relevant to the field of executive leaders in community / human / social or NFP organisations. Several stages of the title and abstract screening process were undertaken by the second researcher to identify articles for review. At each stage both researchers met to review these articles, a decision regarding inclusion or exclusion made and the criteria adapted. This ongoing process of adapting the screening criteria was necessary given the lack of research attached to leadership in Australia's child welfare sector and a need to draw on other areas of research. The records were then screened on title and publication type, and a further 2,169 items were removed.

2.16.4 Eligibility Criteria

To be eligible for inclusion, a study had to explicitly refer to leadership as a construct (or leaders or leaders' characteristics or leadership skills); management was included as an alternative term. In addition, studies that focused on executive-level staff in community/social/human services and NFP organisations and included additional terms of 'organisational development', 'governance' or 'mentoring' were included for further

[23] https://www.elsevier.com/solutions/mendeley
[24] http://library.unimelb.edu.au/reference-management/tools/endnote/about/what_is_endnote
[25] EPPI Reviewer 4 is software developed and maintained by the EPPI-Centre at the Social Science Research Unit at the Institute of Education, University of London. The software provides the necessary tools to undertake the steps of a systematic review, including reference management, study classification and data extraction, synthesis and overall review management.

screening of their relevance to leadership. Studies on HSOs with a focus on medical, mental health and education were excluded unless they were on leadership and EBPs (as these are at an early stage in child welfare organisations, and the health arena has been a leader in this field).[26]

A total of 76 articles were screened on full-text. Articles were excluded on study design, with only articles based on empirical evidence included (including systematic reviews and meta-analyses). Empirical studies were graded into the research type (quantitative or qualitative) and research quality (high, medium, low) using the adapted classification from Parris and Peachey (2012) (see Appendix 3 Tables A3.2). Any studies with a low rating on both quality and relevance were excluded. There were 51 full-text articles excluded, which included several that were based on the same empirical research. This left 22 studies of relevance to leadership in child welfare in Australia included for qualitative synthesis in the areas of: leadership in community/social/human service organisations and NFPs in the areas of social work, charities and child welfare organisations, but excluding the areas of medicine and education, and; leadership and the delivery of EBPs in HSOs more broadly. All included studies are shown in Appendix 4. An additional relevance rating was developed based on factors that made the study relevant to executive leadership in the child welfare context in Australia (see Table A4.3 in Appendix 4). The full process for the study selection is outlined in Figure A5.1 (the PRISMA Flowchart) in Appendix 5. A list of all the relevant journals where the included studies came from is provided in Appendix 6.

For initial analysis, articles in the systematic review were grouped into three main themes: leadership style/traits/behaviours, interactions between leadership and organisational culture or success, and EBPs. These were then analysed by the second researcher. In the synthesis of findings, much overlap between these three themes in terms of what constitutes effective leadership and how it is carried out existed. Then an inductive content thematic analysis (directed by the content of the data) of all 22 articles was undertaken by the second researcher to draw out key findings. Findings were reviewed by the first

[26] Many of these were excluded at the full-text screening stage based on relevance, as many covered supervisory-level leadership and implementing evidence-based clinical practices. As Reichenpfader et al.'s (2015) systematic review revealed, the majority of research on EBPs and leadership pertains to nursing.

researcher at several stages throughout this process and the main themes decided on. The inductive thematic content analysis came up with themes that are relevant to effective leadership at the executive level in HSOs: leadership theories, styles (including behaviour traits and relevant taxonomies), innovation, leadership development (EBPs), organisational culture and adaptability.

2.16.5 Study Characteristics

Out of the 22 studies (see Appendix 4), 10 looked at various levels of leadership (two combined just management and leadership, and one combined supervisors and leaders), six focused on executive leadership, five on supervisors and team/club leaders and one on management. The studies reflect the overall approach to leadership versus management, while they are often differentiated (Mary 2005; Shin & McClomb 1998), leadership behaviours and responsibilities are addressed in various roles, and leadership and management capabilities are often addressed in combination in leadership research (Bish & Becker 2016). Two of the studies were SLRs, while one was a meta-analysis of leadership research. The majority (17) of the studies focused on NFP HSOs, of which four were children's organisations, three were mixed organisations, one was an NFP club and one was a for-profit. The majority of studies were in the US (12), five were in Australia, three involved a mixture of countries, one was in Canada and one was in North America (US and Canada). Three studies focused on TL, two on SL and two drew on a combination of SL and TL. One study focused on democratic vs autocratic leadership, one on Yukl's (2012) taxonomy, with two drawing on other taxonomies that align with Yukl's (2012) taxonomy (see Table A7.4, Appendix 7), and four on other scales/models (see Table A8.5, Appendix 8). Seven presented descriptive, thematic findings or developed their own models or categories of leadership.

2.16.6 How is Leadership Defined and Measured in the Studies?

The most common research methods for effective leadership have been surveys and behaviour description questionnaires to examine the correlation between leadership behaviour and various indicators of leadership effectiveness (Avolio, Bass & Jung 1999; Yukl 2002). Bish and Becker (2016) tested the fit of their data relating to an Australian NFP to

Yukl's (2012) taxonomy. Several of their findings applied across the leadership/management roles in the organisation, verifying Yukl and Lepsinger's (2005) argument that these integrated capabilities are essential for organisational effectiveness. Research on EBPs is still developing, with the role of leadership in EBP implementation and their influence on success largely unknown (Reichenpfader et al. 2015[27]). Research on EBPs typically utilises multiple types of evidence and research methods, including qualitative and quantitative data. Aarons et al. (2017) recommend qualitative or mixed-methods as useful to understanding leadership influences on EBP implementation.

2.17 Findings

All of the 22 studies reviewed found leadership important in the success of HSOs and an important contextual dimension of the development, dissemination and/or implementation of EBPs. While TL (five studies) was the theory of most focus in the studies, followed closely by SL (four studies), most found a combination of these styles and/or particular leadership skills or behaviours associated with these (Schneider & George 2011; Shin & McClomb 1998; Mary 2005; Eagly & Johnson 1990; Uzonwanne 2016).

2.18 Thematic Analysis

2.18.1 Leadership theories, styles, traits and behaviours

A synthesis of the different use of TL, SL and leadership traits and behaviours supported that SL is interpreted primarily as a relations-oriented model of leadership. Relations-oriented approaches and behaviours are also emphasised in TL, with the added important element of change-oriented approaches and behaviours. All four behaviours in Yukl's taxonomy (Relations, Task, Change and External) are mentioned in the studies reviewed, with clear findings on the importance of relationship-oriented behaviours for leaders in HSOs (Reichenpfader et al. 2013; Landsford et al. 2010; Aarons & Sommerfield 2012; Schneider & George 2010). Studies that look across various organisational roles tended to emphasise all four orientations (Relations, Task, Change and External), and a need for

[27] Long et al. (2013), Rycroft-Malone et al. (2011), Wallin et al. (2006), Wong et al. (2013), Aarons et al. (2014) are all cited in Reichenpfader et al.'s (2015) SLR.

leaders to be flexible in performing these different behaviours in the relevant contexts (Bish & Becker 2016; Glisson 1989; Vito 2017). While relations-oriented approaches remained important for all levels of leadership, change-oriented and external behaviours were found to be the particular responsibility of executive-level leaders (Hartnell et al. 2016; Landsford et al. 2010; Rocque et al. 2014; Shin & McClomb 1998; Uzonwanne 2016). Bish and Becker (2016) tested the fit of their data from an Australian NFP to Yukl's (2012) taxonomy, adding several meta-categories and capabilities to existing meta-categories. While they looked across management and leadership, in this current SLR the focus was on the findings that are applicable to the senior level of management (executive).

Studies were clearer and more confident in their understanding and assertion of the relevance of SL. While, in line with Reichenpfader et al.'s (2015) finding, this review found that studies did not offer detailed explorations of TL theory, and commonly only looked at a part of the leadership behaviour described by TL, SL was verified as an effective leadership model across a variety of cultures, contexts and organisational settings (Parris & Peachey 2013; Landsford et al. 2010). The key traits of successful leadership identified that align with SL were empowerment, commitment and trust (Parris & Peachey 2013), authenticity and values (Landsford et al. 2010), and being humble (Aarons et al. 2017). The particular SL models that the traits aligned with are those of Spears (Parris & Peachey 2013) and Winston (2004) (these also include traits of; trust, empowerment, vision, altruism, intrinsic motivation, commitment, and service; Parris & Peachey 2013; Landsford et al. 2010) and Greenleaf (1977) (Parris & Peachey 2013; Landsford et al. 2010) and Laub (1999) (Parris & Peachey 2013). Parris and Peachey's SLR indicated the majority of authors use Greenleaf (1970, 1972a, 1972b, 1997), Spears (1998) and Laub (1999) to help define SL, while the review showed that an accepted consensus over SL's definition still does not exist. Pekerti and Sendjaya's (2010) study was the only one that measured SL via a behavioural scale.

Other studies that did not specifically focus on SL had findings that aligned to an SL model (Glisson 1989; Schneider & George 2011; Shaw et al. 2013). For example, the description of effective leaders emphasised strong character and commitment to the organisation (Shaw et al. 2013). Landsford et al. (2010, p.58) found that a 'more feminine style of leadership' corresponds to SL in regard to the authentic nature of female leaders and their flexibility and understanding. Empowerment, important in both SL and TL (reward, high expectation of performance), was found to be essential[28] in volunteer organisations (Parris & Peachey 2013; McMurray et al. 2012) and a key responsibility of executive leaders (Bish & Becker 2016, p.446). Schneider and George (2010) argue that SL may be uniquely suited to the management challenges of volunteer organisations, as the empowerment offered by servant leaders was a better predictor of the voluntary club's members' commitment, satisfaction, and intentions to stay. Bish and Becker (2016) found additional capabilities to relation-oriented behaviours were relating (communicating effectively with a range of people within and external to the organisation) and collaborating (bringing people to work together), which were associated with various levels of leadership.

While they received less emphasis, Yukl's task-oriented behaviours (e.g. instruction and transaction more associated with TL) were found to be important for effective leadership at various levels (McMurray et al. 2012; Shaw et al. 2013; Shin & McClomb 1998). Task-oriented behaviours were identified as more important to team leaders and middle management rather than senior management in both general HSO operations and in EBP implementation in particular (Aarons & Sommerfield 2012; Bish & Becker 2016; Novins et al. 2013[29]). In contrast, Shin and McClomb (1998) found that top executive directors used task-oriented behaviours (a directive, goal-oriented style) the most in organisational innovation, followed by a relations-oriented style (a concerned, supportive style), demonstrating the interaction between enhancing efficiency and productivity and building cohesion and developing people through care and empathy. McMurray et al. (2012, p. 540) suggest that in addition to the importance of values-congruence with the organisation's mission that attracts volunteers to HSOs, instruction and transaction are important in managing and maintaining volunteer workforces.

[28] For workgroup performance see McMurray et al. (2012)
[29] Bish and Becker (2016) identified task-oriented behaviours as more important to team leaders and middle management rather than senior management. Leadership at the supervisory level and task-oriented behaviours (e.g. leader-member exchange; Aarons & Sommerfield 2012) were found to be important during both Services As Usual (Aarons & Sommerfield 2012) and EBP implementation phases (Novins et al. 2013).

2.18.2 Situational context for leadership style

This finding of different styles and behaviours being more effective in different situations and for different levels of leadership was also born out in the research on EBPs. Relational behaviours were found to be of the most importance in the development, dissemination and implementation of EBPs (Aarons et al. 2017[30]; Aarons & Sommerfield 2012; Finn et al. 2016; Reichenpfader et al. 2016), while change-oriented leadership behaviours were also found to be important to establish, maintain and grow a culture that enabled EBP approaches to be successful (Novins et al. 2013; Aarons et al. 2017[31]; Vito 2017). The key relational-oriented behaviours required by leaders in the EBP context are to be supportive of workers responsible for implementation (Aarons & Sommerfield 2012; Finn et al. 2016; Landsford et al. 2010; Novins et al. 2013) and to create a positive organisational culture. Supporting staff to deliver EBPs involves new support behaviours and an overlap of relations- and change-oriented approaches, as it requires disseminating research evidence, producing practice frameworks and tools, and training ground staff (Plath 2013). Aarons and Sommerfield (2012) found TL to be associated with the 'innovation climate' needed for EBPs.

2.18.3 Innovation

Shin and McClomb (1998) found organisational innovation tended to be highest in organisations headed by top executives, who demonstrated an inventive, risk-taking vision-setter style (Hart & Quinn 1993). Bish and Becker (2016) found a higher expectation for senior-level leaders to envision and advocate for change, and to facilitate collective learning. Senior managers and leaders were identified as being responsible for EBP implementation in NGO HSOs (Plath 2013), and their vision and commitment to innovation to be essential to EBP success (Rocque et al. 2014). Senior-level leaders were seen as responsible for establishing an innovative culture, encouraging a culture of research and data appreciation, and supporting the behaviours that sustain innovation (Bish & Becker

[30] 'Humble leadership' (leaders who rated themselves lower than did their followers on the Implementation Leadership Survey) showed a more positive organisational climate for EBPs at the team-leader level (Aarons et al. 2017).

[31] They found discrepancies in leadership behaviours in the study, such as an inability to receive feedback and readiness for change when implementing EBPs; most of them can be addressed with some form of support (at various levels), such as improving performance feedback and involvement.

2016, pp.446–447; Carnochan et al. 2017). They are also responsible for communicating a vision through a range of forums throughout the organisation and beyond (Carnochan et al. 2017; Plath 2013; Reichenpfader et al. 2016), taking risks to innovate (Shin & McClomb 1998) and viewing challenges as opportunities (Vito 2017).[32] This was associated with the sustainment of successful programs and innovative ways to use existing resources (Reichenpfader et al. 2016).

While Yukl's (2012) External category (networking, external monitoring, representing) is only explicitly referred to by Bish and Becker (2016), aspects of it are emphasised, particularly in studies of executive leaders and their roles in innovation and EBPs (Rocque et al. 2014; Shin & McClomb 1998). Bish and Becker (2016) found senior leaders had the highest responsibility for external monitoring,[33] reflecting the need for this level to be highly focused on events and trends in the external environment (Yukl 2012) to assess implications for the organisation (Bish & Becker 2016, p.448).

The studies reveal the importance of collaborative relationships within and among state agencies and public and private groups, and the forging of ties with powerful advocates (Rocque et al. 2014). Rocque et al.'s (2014) case study on successful EBPs in juvenile justice in Maine (US), identified innovative, strong and lasting 'top-heavy' leadership, with a sophisticated understanding of the juvenile justice context and established, productive relationships with government and external agencies as possibly the most important thing that allowed forward progression in the face of numerous obstacles and barriers in the mid-1990s. Progressive research–practice partnerships are hallmarks of large-scale prevention and intervention initiatives in the US, which is at the forefront of experimentation with the evidence-based paradigm (Bumbarger & Campbell 2012).

[32] In concert, the behaviours identified by these different studies can be seen to correspond to a model of TL, as identified by Aarons and Sommerfield (2012).
[33] The responsibility for networking and representing fell with Executive Managers (middle management) and senior leaders (Bish & Becker 2016, p. 448).

2.18.4 Leadership development for EBPs

These findings reveal the additional leadership skills required by those leading organisational innovation and/or the development, implementation and sustainment of EBPs. These include a detailed understanding and appreciation of EBPs, searching for innovations and potential influence, experimenting with new concepts and procedures, and studying emerging social and economic trends (Finn et al. 2016; Hartnell et al. 2016; Novins et al. 2013; Rocque et al. 2014; Shin & McClomb 1998). These involve expanding decision-making, judgement and proactive problem-solving skills identified as existing important aspects of leadership in NFP HSOs (Shaw et al. 2012), and demand particular abilities, training and development (Shaw et al. 2012, p. 319).

Shin and McClomb (1998) found that organisations whose top executives had management training experience, planned and implemented innovations more frequently than did organisations whose top executives lacked such experience. This is supported by the 'knowledge and understanding' aspect of Bish and Becker's (2016) additional meta-category of non-profit orientation. The primary objective of this category relates to enhancing decision-making by understanding the broader NFP context in which the business operates, communication methods and overall approach to management. While this was expected across the leadership and management spectrum, a commitment to the organisation and sector, and a focus on external developments and envisioning of change was expected more of senior leaders (Bish & Becker 2016, p.454). Vito (2017) also mentions business management as an important leadership skill during service system transformation.

Bish and Becker (2016) added to Yukl's (2012) taxonomy the meta-categories of personal knowledge and experience, and non-profit orientation; these were expected at all levels of management to some extent. Personal knowledge and experience refers to the background that the manager has and how this influences their ability to perform in their current role. As a meta-category, its primary objective is the assimilation of what has been previously learned and the application of this knowledge to the current context (Bish & Becker 2016;

p.449). The capabilities are self-awareness[34] (awareness of one's own strengths and weaknesses), strategic thinking (big picture view and holistic perspective of the organisation and work) and discipline-based knowledge. Interestingly, strategic thinking was expected most of executive managers (even though more typically associated with senior leaders).

2.18.5 Organisational culture

The findings on leadership styles, traits and behaviours clearly demonstrate the many ways executive leaders can be effective in influencing the attitudes and orientations of followers and developing the organisation's culture. However, the influence is not just of leaders on the organisation, as organisational culture was found to be an important feature that interacts with, influences, moderates and is shaped-by effective leadership (Aarons et al. 2017; Shin and McClomb 1998; Glisson 1989;[35] Schneider and George 2010;[36] Hartnell et al. 2016[37]). This interaction was found to influence successful EBP implementation (Novins et al. 2013; Plath 2013; Carnochan et al. 2017). For example, Mary (2005) found that TL in combination with a democratic organisation[38] influenced successful leadership. This supports Avolio's (2007, p.31) argument that leadership is an operation of both the leader and the led, and the complexity of the context.

The influence of leaders on individual and organisational effectiveness through organisational culture was found to operate by influencing positive attitudes among workers (Glisson 1989; Parris & Peachey 2013). Parris and Peachey (2013) found this to be associated with an SL orientation that creates a trusting, fair, collaborative and helping culture within organisations.[39] Hartnell et al. (2016) found that behaviours of CEOs who were effective depended on the existing organisational culture. They suggest that

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[34] Self-awareness was expected across the organisation, while discipline-based knowledge was expected more from team leaders (Bish & Becker 2016).
[35] Both in HSOs.
[36] In volunteer organisations.
[37] US technology consortium.
[38] Asking the rater to place their organisation on a continuum from autocratic, bureaucratic, democratic to laissez-faire.
[39] Through enhancing leader trust and organisational trust, organisational citizenship behaviour, procedural justice, team and leader effectiveness, and the collaboration between team members.

organisational cultures that do not practice relations-oriented values (such as employee empowerment and cohesiveness) benefit from relationship-oriented leadership to build positive interpersonal relationships, employee cooperation, collaboration and support (Hartnell et al. 2016, p.848). In contrast, organisational cultures that lack a high performance-based orientation required task-oriented leadership to focus organisational efforts and execute tasks. Workers are influenced by both the culture of the organisation and the leadership behaviours of CEOs, meaning CEO behaviour that reinforces the existing task or relational style can be restricted in its success, but also that organisational culture can buffer an ineffective CEO (Hartnell et al. 2016, p.850). When it comes to organisation innovation, Shin and McClomb's (1998) results implied that executive leadership style was a dominant factor when compared to other possible influences, such as organisational characteristics and environmental pressure.

2.18.6 Adaptability

The studies reveal an essential leadership trait is being adaptable (Vito 2017). Leaders are required to be able to identify when to employ various styles and skills depending on their level of leadership, the organisation they are in, the workers they are dealing with and the sector's climate (Hartnell et al. 2016; Shin & McClomb 1998). This balancing of contrasting leadership values and orientations was associated with effective executive-level leadership (Shin & McClomb 1998). Eagly and Johnson (1990) found that women were more likely to accomplish both task and interpersonal styles of leadership.

2.19 Discussion

2.19.1 The importance of context

The effectiveness of different leadership styles, behaviours and approaches is dependent on the particular context that a leader operates within, which involves a range of factors such as social, economic, cultural and political climate (Chandler & Chandler 2013; McMurray et al. 2012). Many of the studies focused on organisational culture and the interaction with leadership and emphasised a conceptualisation of leadership as primarily about affecting organisational climate to empower, excite and inspire workers about the goals and missions of a particular organisation (Glisson 1989, p.100). Avolio (2007) emphasises the broader system and how leaders are an essential part of the system and subject to the forces that affect the system. Context also refers to the historic context in which leaders develop, and the setting and particular context in which they work (Avolio 2007, p.31).

The complexity of factors that shape the HSO sector and the services and organisations within this were rarely explored in the studies and warrant further research, especially given calls for greater inter-sector collaborations and international collaboration on EBPs. Avolio (2007) argues that the important, broader social, cultural, organisational and interpersonal context is largely ignored in leadership research (p.26).

2.19.2 Culture

Effective leadership styles are influenced by the culture within which they emerge and operate (Lamond 2004). The studies chosen were from English-speaking, settler–colonial nations (Australia, NZ, UK, USA, Canada), with the view that there would be similarities in the socio-cultural context. Parris and Peachey (2013) argue that SL is acceptable in a variety of countries and cultures. However, the majority of studies found for this review did not look into the cultural context in detail.

Despite five of the studies focusing on Australia (Bish & Becker 2016; McMurray et al. 2012; Plath 2013; Perketi & Sendjaya 2010; Shaw et al. 2013), Perketi and Sendjaya's (2010) study is the only one to focus on Australian culture's influence on leadership style in their comparison of SL in Australia and Indonesia. Pekerti and Sendjaya (2010) found SL to be universally practised in both Australia and Indonesia. They took this to suggest similar values in the two cultures, such as equalitarianism and 'mateship',[40] emphasising the community and mutual respect for and adjustment to each other. They found cultural and social aspects to be significant factors in determining what people perceive as important

[40] 'Mateship', a term for friendship and mutual respect, is derived from relationships between male soldiers during the First World War.

factors of SL.[41] However, their discussion of the Australian context and what makes an SL leadership style effective was limited in rigour.

2.19.3 Gender

Similarly, in combination, the findings on gender did not provide clear findings of how gender influences effective leadership and vice versa. Gender was the explicit focus of two studies (Eagly & Johnson 1990; Landsford et al. 2010), and a factor discussed in another (Shin & McClomb 1998). Eagly and Johnson (1990), in their meta-analysis of research comparing the leadership styles of women and men, found evidence for both the presence and the absence of differences between the sexes. This reflects the findings of Parris and Peachey's (2013) review, which looked at SL and demographics (gender, socio-economic factors) resulting in no conclusive findings, or findings that contradicted one another. As Shin and McClomb's (1998) findings demonstrate, it is difficult to disentangle gender from other characteristics of the organisation (centralisation) and the individual (post-degree management training experience) when trying to argue causality between gender and greater organisational innovation.

Despite not providing conclusive findings on how gender influences effectiveness, Eagly and Johnson's (1990) and Landsford et al.'s (2010) research in North America offers some findings that would be good to follow up on in the Australian context. Landsford et al. (2010) found that leaders valued the use of a distinctly feminine style and approach to leadership, and were very comfortable in utilising their gender differences in their roles. This different approach was reasoned as effective because: women use their power differently than men, they tend to be more authentic and willing to admit that they don't know something, they are more comfortable with ambiguity, and they create a more flexible and understanding work environment. Eagly and Johnson (1990) found that, consistent with stereotypic expectations, women tended to adopt a more democratic or participative style and a less autocratic or directive style than did men. Eagly and Johnson (1990) use a social role theory of sex differences in social behaviour to interpret these

[41] Six dimensions of SL (voluntary subordination, authentic self, covenantal relationships, transcendental spirituality, responsible morality and transforming influence; Parris & Peachey 2013).

findings and how the display of gender stereotypic behaviour in leadership is affected by various aspects of training and recruitment to leadership positions. For example, their findings suggest that leaders trained for leadership roles are less likely to manifest stereotypical leadership behaviour as compared to those socialised into a management role. This further suggests a need for detailed research dedicated to the gendered aspects of leadership that can look at how other aspects of the context of leadership interact with gender.

Given the diversity of quality and focus of these different studies, the strength of the findings when combined do not draw strong conclusions on how effective leadership interacts with socio-cultural aspects of context. More research is needed into how particular historical, political, economic, social and cultural contexts interact to shape and respond to effective leadership.

2.19.4 Challenges

Several of the studies identified the challenges faced by HSOs in the current context. A contradiction was expressed in the EBP space (Carnochan et al. 2017; Vito 2017), where innovation and creativity are increasingly necessary yet are also inhibited by the compliance expectations of government stakeholders and other funders. This was identified as a dual burden to adapt to the changing needs of clients, while developing more efficient and effective service systems in the face of severe resource constraints (Shin & McClomb 1998). These tensions were associated with EBPs (Novins et al. 2013), and were identified as more pronounced in NFPs (McMurray et al. 2012) where leaders experienced tensions between meeting the service delivery expectations of external (e.g. funding, reporting, innovation expectation) and internal stakeholders (reluctance to change practices, added responsibilities) and ensuring the business operates on a sustainable basis.[42]

[42] The expectations of government and community were in disagreement—the community expected profits to be reinvested in care improvement not in program development or evidence gathering.

This synthesis of diverse and contrasting studies reveals how an analysis that outlines particular traits or categories of leadership can detract from important contextual factors. Both TL (Barling, Slater & Kelloway 2000) and SL (Avolio and Gardner 2005) have received much criticism for conceptual weakness—being theoretical and lacking empirical research support[43] (Schneider & George 2010). This raises the question as to the use of such constructs in exploring effective leadership on the ground. Yukl (2012) acknowledges that the hierarchical taxonomy pays limited attention to context, speculating on particular contexts in which behaviours may be effective or ineffective and calling for empirical research on this. Perhaps it would be useful to move away from particular theories and models to explore skills and values of effective leadership (Benson 2015; Covey 2004; Jones 2015) or ‘capabilities’ (Townsend & Cairns 2003, cited in Bish & Becker 2016; e.g. capture knowledge, skills, behaviours and/or competencies). This could enable a more detailed and accurate understanding of the complexities of effective leadership in a particular context.

2.20 Authentic and values-based leadership

AL is a root construct that composes other forms of positive leadership, like TL and SL (Avolio 1999). It emphasises context and self-awareness. While AL was not explicitly addressed in the studies reviewed, findings showed that effective leadership at the executive level showed many characteristics that reflect key aspects of AL in the importance of the interaction between the leader, the follower and the context. Copeland’s (2016) work contends that values-based leaders are more ‘effective’, and her analysis of the impact of three values-based leadership theories on leaders’ effectiveness (authentic, transformational and ethical) determined that ethical leadership was the greatest predictor of leadership effectiveness.

Bish and Becker’s (2016) additional meta-categories of personal knowledge and experience and non-profit orientation bring additional understanding of particular effective leadership behaviours in HSOs. The quality of self-awareness, identified in the personal knowledge and awareness category, is argued by Avolio (2007) and Copeland (2016) as key to an AL model and as underlying all positive forms of leadership. The importance of inherent

[43] Avolio and Gardner’s (2005) criticism of the prevailing SL theories by Greenleaf (1977); Smith, Montagno and Kuzmenko (2004); Spears (1995, 1998) and Spears, Lawrence and Blanchard (2001).

qualities of the leaders themselves that inspire commitment and influence attitudes and subjective norms were identified in the studies (Carnochan et al. 2017; Glisson 1989).[44] Bish and Becker (2016) found a link between senior management having a personal commitment to the mission/values of the organisation/sector and being able to envision and bring others along to enact change. Bish and Becker (2016) suggest the leader/manager's own background is critical to this personal commitment in the NFP context.

The AL model (Avolio & Gardner 2005) proposes that leader and follower development are corresponding processes embedded in a climate that influences the success of leadership development. The cognitive elements of the leader's development, such as their self-awareness and self-regulation, are echoed in the development of their followers. This leader–follower relationship is also carried out through organisational culture; as Avolio (2007, p.31) argues, it is more about creating the conditions to stimulate innovation rather than creating innovation within individuals.

While an executive leader's personality and leadership style can impact many aspects of the organisation's strategy and culture (Avolio 2007, p.31), Balkundi and Kilduff (2005, p.942 cited in Avolio 2007, p.31) locate leadership in the relationships connecting individuals rather than in the attributes of individuals. This resonates with understandings of EBPs as an emergent form of collective action within organisations that is carried out by leaders and direct practitioners through non-linear and complex processes (Carnochan et al. 2017). This warrants further testing with leaders in the HSO field in Australia.

2.21 Effective Executive Leadership in the Child Welfare Context in Australia

The studies in Australia (Perketi & Sendjaya 2010) suggest that AL may be important for effective leadership in the child welfare context in Australia. Australian leaders exhibited more behaviours associated with the authentic self and, in relation to women in senior leadership roles in NFPs (Landsford et al. 2010), women emphasised leading with

[44] This supports previous research by McClelland and Burnham (1976, cited in Glisson 1989).

authenticity and/or values[45] and demonstrated a high level of self-awareness. As the studies on organisational innovation and EBPs reveal, rapidly changing contexts rely more on the top levels of leadership to make critical decisions, which is about both the decisions themselves and how they are implemented across the organisation (Avolio 2007, p.31). A unique factor of HSOs is the broad range of stakeholders involved in the sector, including volunteers. People working in the sector are motivated by making a difference in the lives of individuals, families and communities (Byrne 2008; insync surveys 2016; Hansen, Huggins & Ban 2003).

Volunteers are essential to child welfare organisations in particular, where volunteer foster carers are directly responsible for child welfare and sometimes involved in the delivery of EBPs. Research suggests that volunteers are drawn to the sector because of their values, career or growth aspirations and continue their relationship with an NFP if these needs are met (Peachey et al. 2013, cited in Bish & Becker 2016). This places additional emphasis on the importance of capable leaders who can grow a healthy organisational climate (McMurray et al. 2013, cited in Bish & Becker 2016), and foster creativity and innovation (Lutz Allen, Smith & Da Silva 2013, cited in Bish & Becker 2016) to meet the specific and varied needs of volunteers and employees.

2.22 Gaps

Hoefer (2012, 2014) identifies a need to develop and improve leadership in the NFP sector. As the breadth and diversity of studies in this SLR reveal, there is a significant amount of research on leadership in HSOs that is complex to synthesise into clear findings on what makes effective leadership. Avolio (2007, p.31) argues there is a need to integrate the context of leadership at multiple levels, whether or not research focuses on top-level leadership or the whole team. To address our niche question, research on the specific context of child welfare in Australia that focuses on executive leadership is needed. As EBPs grow in importance in the child welfare context more research is needed in this area (Fixsen et al. 2013).

[45] Emery (1977) argues that to cope with uncertainty requires the sharing of values and ideals.

2.23 Limitations

As the research questions were on the child welfare context in Australia—a niche area that has had little research attention—the studies drawn on were expanded to include those that would shed light on this context. This meant integrating results from studies from different disciplines that use various methodologies, techniques (both qualitative and quantitative) and academic rigour. While 18 studies were in the NFP sector, three involved a mix of settings, and only one was wholly in a for-profit organisation. This mix of settings poses limitations, as several authors have argued the difference between for-profit and NFPs[46] means that research and findings in the former settings cannot be assumed to apply in the latter settings (Cheverton 2007 cited in Bish & Becker 2016; Dandridge 1979; Westhead & Cowling 1998).

While SLRs are considered to provide a higher standard and more unbiased lens to literature reviews, (McDonagh et al. 2013) for the research questions on this under-researched area the SLR process was complex and included a diverse range of studies. The methodology was further limited, as one researcher developed the search terms and undertook the database searches, while the other undertook the vast majority of the screening and both analyses. Feedback and review steps were undertaken as a team where possible, but dual screening and analysis of findings was not possible due to time constraints. In addition, the findings were analysed by two researchers from different backgrounds; these different backgrounds provide benefits of combined research and applied experience but also pose limitations of integrating these different orientations.

Despite these complexities, the findings of the different studies do coalesce to shed light on effective leadership in HSOs, and identify insights and further areas of research into executive leadership in the child welfare sector in Australia. The results point to a need for more research on leadership in the NFP Australian context, including high-quality case studies, longitudinal research and objective measures such as peer and subordinate

[46] In terms of context and leadership challenges, the many differences include missions, metrics of performance, workforces, constituents and board structure. McMurray et al. (2012) argue for the need for context-specific analysis and diagnosis of particular NFP contexts, as we cannot assume research findings from one NFP will apply across a diverse range of NFPs.

reviews of leadership, performance results and randomised controlled trials (RCTs) (Bish & Becker 2016; Parris & Peachey 2012). Many of the studies relied on one-off online self-report surveys that either focused on leaders rating themselves or followers rating their leaders. This dependence on verbal reports (by questionnaire or through focus group) raises an age-old measurement and validity problem. The exhaustive analysis of the verbal data can lead to a description of the relationships between words rather than the relationship between words and things; that is, behaviour (Podsakoff & Organ 1986). Hence, the external validity may be low or non-existent, particularly with respect to the predictive validity of the verbal data; that is, the verbal data may not predict what people actually do (Podsakoff et al. 2003).

While Rocque et al.'s (2014) case study of an example of effective leadership provides a detailed understanding of the particular context, it is limited by being potentially biased by drawing on a small pool of informants. It would be useful to investigate a particular context in a more holistic and detailed manner, integrating case study methods with in-depth interviews and verified leadership questionnaires completed by both leaders and followers. Researchers need to stop underestimating the many potential elements that should be considered from the outset to 'fully' explain to complexity of leadership (Avolio 2007, p. 27).

2.24 Conclusion

The synthesis of the all the study's findings via the SLR offer a well-rounded understanding of effective leadership[47] at the senior level that includes cognitive elements (e.g. self-awareness), behaviours and various levels of the context. Both SL and TL were found to be effective for leaders in HSOs with a focus on relational behaviours. In a dynamic context, organisational transformation, innovation, volatility and change-oriented behaviours are needed. Executive-level leaders have a clear role in these situations, which relies on their relationships, both external and internal, and their vision and enthusiasm for change. Organisational climate or culture is a key aspect influencing, shaping and responding to what makes effective leadership at the executive level. These studies emphasised the importance of leaders collaborating with the community and external stakeholders,

[47] In line with Avolio's (2007) paper on building leadership theory.

maintaining good relationships, building networks and facilitating their buy-in (Rocque et al. 2014; Vito 2017). Future research should explore effective leadership within the Australian child welfare context.

2.25 Funding

This research received no specific grant from any funding agency in the public, commercial or NFP sectors.

2.26 Summary

Chapter 2 has provided two detailed literature reviews that addressed different research questions that inform the overarching research question in Chapter 1.

What follows now in Chapter 3 is a comprehensive account of the research methodology for Chapters 2, 4 and 5.

Chapter 3 – Research Methodology and Research Questions(s)/Premise(s)

"Research is to see what everybody else has seen, and to think what nobody else has thought". Albert Szent-Gyorgyi (cited in BrainyQuote 2018)

3.1 Introduction

The purpose of this chapter is to outline the research methodology, research questions and premises made to justify my PCL paradigm, using both evidence and critical reasoning including deductive and inductive arguments. The approach taken was as follows:

5) A literature review of values-based leadership to test the premise of intrinsic values alignment to be effective in the CSS (see Chapter 2, Part 1).
6) An extensive SLR led by two main research questions about the effectiveness of executive leadership in CSOs and the implementation of evidence-based practice (see Chapter 2, Part 2).
7) A longitudinal case study on my leadership practice to justify my leadership PASS.
8) Qualitative field research analysis to understand effective leadership in practice and using the Authentic Leadership Questionnaire (ALQ) as a self-administered instrument to assess the perception of authentic leadership in community service executives (see Chapter 5).

Given all methods were used to test the author's PCL paradigm there are naturally some overlaps in the research questions. Each of the approaches above will now be discussed within separate sections.

3.2 Research Method 1: Literature Reviews

3.2.1 Leadership literature review

In Chapter 2, I presented two literature reviews. In Part 1, the purpose of the values literature review was to target a better understanding of the values-based leadership theories and their merits for executive leadership in the CSS. Specifically, any application of these theories to leaders of CSOs. My research question/premises were:

- Is there, then, one values-based theory that is more effective to assist leaders in the CSS over another?' (so, to inform the leadership PASS)
- To test the premise that it is 'necessary' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can align these to their work in the CSS (so to justify this part of the leadership PASS)

Purposely, I chose to report what the academic literature tells us about the values that underpin leadership in this sector, and what theories have been shown to be most effective in leadership in this and aligned sectors in the NFP realm. It also served to test my premise (contained within my PCL paradigm) that it is '*necessary*' that any leader in the NFP sector has an understanding and consciousness of their intrinsic values and can *align these to their work in the CSS*. In targeting specific literature, I ensured I included literature that had been part of a systematic review for higher quality. Examples of this included meta-analytic reviews of AL and TL (see Banks et al. 2016), a meta-analytical review of ethical leadership outcomes (Bedi, Alpaslan & Green 2015) and an SLR of SL theory in organisational contexts (Parris & Peachey 2013). A full list is included in the bibliography.

3.2.2 Systematic literature review

SLRs can be viewed as research in their own right if conducted well. SLRs can address much broader questions than individual empirical studies ever can (e.g. uncovering connections among many empirical findings; Baumeister & Leary 1997). Siddaway (2014) describes the main aim of an SLR as *identifying, critically evaluating* and *integrating* the findings of all relevant, high-quality individual studies addressing one or more research questions. The SLR carried out as part of this study aimed to assist the development of both current and emerging leaders' understanding of 'what works' (i.e. what does the evidence tell us) in leadership in the NFP context and the underlying values, competencies and theories that can improve leadership within this complex environment. The review is consistent with the international literature on the need for the development and improvement of leadership in the NFP sector (Hoefer 1993, 2013; Norris-Tirrell, Rinella & Pham 2017).

The review was designed in such a way as to provide a consistent, replicable and transparent method of identifying and analysing the existing body of knowledge. The intent is to provide a foundation for the CSS in Australia, on which further research can be developed, and assist with the implementation of evidence-based practice (e.g. Schlosser 2006). The following questions informed the design:

RQ1. What particular styles, traits and behaviours make current executive-level leaders in HSOs effective?
RQ2. How can leadership positively influence EBPs and organisational innovation?

Indeed, systematic reviews sit above all other research designs at the top of the 'hierarchy of evidence', because they have the potential to provide the most important practical implications (University of Canberra 2018).

3.3 Research Method 2: Longitudinal Case Study

3.3.1 Leadership research design

In Chapter 1, I summarised my leadership journey and the emergence of my PCL paradigm—the leadership PASS. To critically review how it has been applied in my leadership practice, I formed the overarching research question: 'How does the leadership PASS contribute to a leader in the CSS's effectiveness?' So, has my leadership PASS worked in my leadership roles over different dynamic contexts? To address a 'how' question, case studies are a useful research method.

Research into management practice over long periods of time is often suited to this research method. Rowley (2002) states, 'case study research emerges as an obvious option…for those seeking to undertake a modest research project based on their workplace or the comparison of a limited number of organisations' (p.16). In this case, the case study is on me and my experience in a limited number of organisations over the last decade. With the case study focused on me, I am the unit of analysis. It's important to note this, as my research questions should focus on the unit of analysis and all sources of evidence be gathered in relation to it.

Case studies are useful to help explain the how and why, explained by Yin as '*A how or why question is being asked about a contemporary set of events over which the investigator has little or no control*' (Yin 1994, p.9, cited in Rowley 2002, p.17).

My research design has the following components:

- The case study question: 'How does the leadership PASS contribute to a leader in the CSS's effectiveness?'
- The study's propositions: These form the various components of my PCL paradigm namely the leadership PASS*, but specifically the four domains of People, Action, System and Self.*
- The study's unit of analysis: I am the unit of analysis (my actions, decisions, outputs and outcomes I have had in my PCL paradigm using the leadership PASS in my leadership roles).
- The logic linking the data to the propositions: I will describe personal experience and events to link to the various leadership PASS domains, but also look at other forms of evidence to justify these (e.g. organisational data, external documents, research).
- The criteria for interpreting findings: As this is a 'how does' question, I am focused on building an inductive theory as opposed to theory testing; that is, explaining what has been effective in my leadership and linking that to evidence so as to provide construct validity, as well as using deduction to understand when things haven't been effective. I can't expect to generalise any findings, but I will look to externally validate my outcomes in leadership by using external data sources to compare (e.g. other organisations) and will provide data collection that is reliable; that is, I will clearly identify the data source, so it can be repeated by someone else.

3.4 Research Method 3: Qualitative Field Research Analysis and Using the Authentic Leadership Questionnaire

3.4.1 Leadership research design

Following on from my literature reviews, both provided some core data on the primary leadership styles and underpinning values in the CSS. While my overarching research question guiding this research remained the same: ‘How does the leadership PASS contribute to a CSS leader’s effectiveness?’, for this design I focused on the following questions:

‘What makes an effective executive leader in the community/human/social services sector?’ and ‘do these leaders demonstrate an AL “style”?’

I wanted now to see if these approaches were used in leadership practice? From my concept of leadership, I could agree with much of what the reviews brought forth, but in particular I wanted to understand in a more descriptive and meaningful way:

- What the meaning of leadership is to other leaders in my context (is it leading or managing or both)?
- How does effective leadership work for them in practice?
- How adaptive were the leaders with their approaches over time?
- What drove them as leaders, did they articulate purpose?
- Did they adopt an evidence-based approach to decision-making in leadership? (i.e. were they walking the talk?)
- Did they perceive themselves as practicing AL?

In Chapter 5, I present the qualitative field research findings alongside the data from the ALQ to further explore this concept of effective and authentic leadership in the CSS, with the pragmatic aim of enhancing my own leadership practice. What follows in this chapter is the research design.

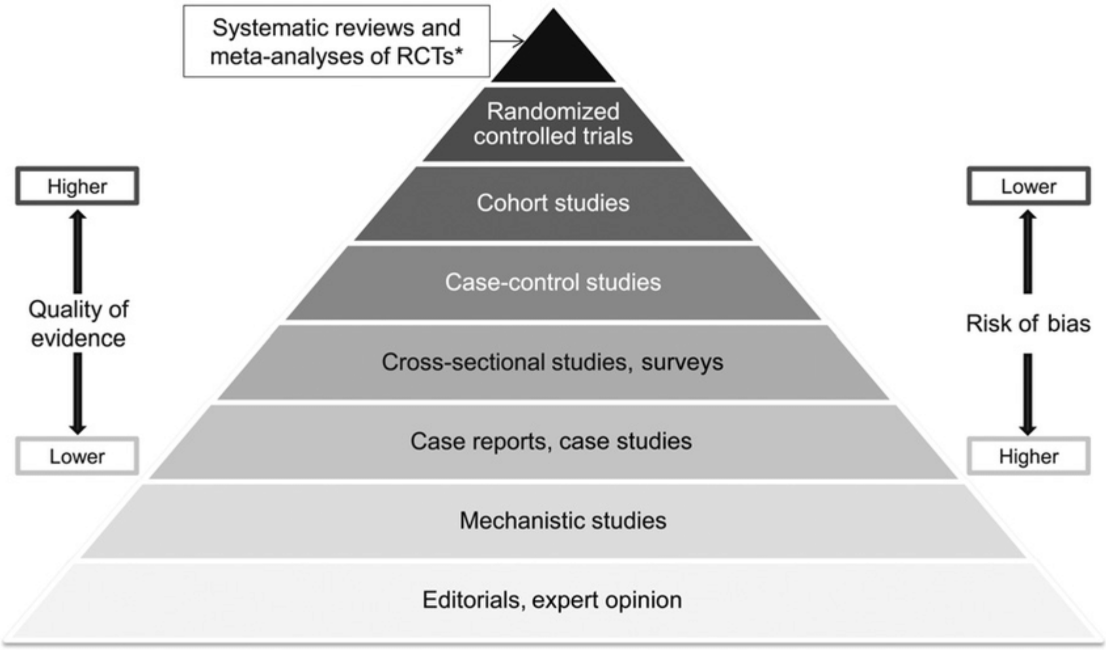
3.5 Research method

Any social scientist has an extensive palette of research tools upon which they can draw. In the hierarchy of evidence, depicted in Figure 3.1, it is clear that the higher up the pyramid you go, the higher quality of evidence and reduced risk of bias.

> *'The pyramidal shape qualitatively integrates the amount of evidence generally available from each type of study design and the strength of evidence expected from indicated designs. In each ascending level, the amount of available evidence generally declines. Study designs in ascending levels of the pyramid generally exhibit increased quality of evidence and reduced risk of bias. Confidence in causal relations increases at the upper levels.'*
> *(Yetley et al. 2016)*

Any research, such as the double-blind, RCT has the great benefit of being able to draw confident conclusions about the relationship between cause and effect.

Figure 3.1: Hierarchy of evidence pyramid (Adapted from Yetley et al. 2016)



For my research concerns, I am not trying to demonstrate a causal relationship. For example, if A occurs will B follow? Does A have an effect on B? I am looking at non-effect questions, such as *how* many people prefer A over B? How do people feel about A? How did we implement A? *What* worked for A in practice? *Why* did A preference B? These are far more observational and subjective. Therefore, my methodological appropriateness needs to align with this intent and research question.

3.5.1 The use of a qualitative approach for leadership research

According to Antonakis et al. (2004), researchers studying leadership generally preference the use of a quantitative approach; however, to better understand complex, embedded phenomena, qualitative approaches to studying leadership are also necessary (see Conger 1998). However, 'qualitative studies remain relatively rare… [and should be] the methodology of choice for topics as contextually rich as leadership' (Conger 1998, p.107). Given the contextual, complex and dynamic nature of leadership, quantitative approaches in and of themselves only provide one part of an answer; qualitative approaches can provide rich insights into the leadership spectrum.

There are multiple views on the definition of qualitative research; most agree that qualitative research contains a set of '*interpretative practices'* (Creswell & Poth 2018, p. 7) is '*a form of systematic empirical inquiry into meaning*' (Shank 2002, cited in Ospina 2004, p.2) and that the type of inquiry is grounded in the world of experience. *Inquiry into meaning* says researchers try to understand how others make sense of their experience. Denzin and Lincoln (2011, cited in Creswell & Poth 2018, p.7) claim that qualitative research involves an *interpretive and naturalistic* approach: '*This means that qualitative researchers study things in their natural settings, attempting to make sense of, or to interpret, phenomena in terms of the meanings people bring to them*' (p.3). At the basic level, taking a qualitative approach to studying leadership means the researcher is interpreting language, action, events, opinion and perspectives through the eyes of those being investigated (Bryman et al. 1988).

3.5.2 Qualitative research paradigms

The qualitative research paradigm has its foundations within sociology and anthropology, providing an alternative from quantitative research for exploring social science phenomena. All qualitative researchers aspire to bring to life some social meaning, and while some exclusively use qualitative methods others combine with a quantitative approach. Many early scholars suggest that all qualitative researchers, in some way, reflect a phenomenological view when attempting to understand the meaning of complex events, actions and interactions that occur in the natural setting from the point of view of the participants involved (Hoshmand 1989; Howe 1988; Lincoln & Guba 1985).

All researchers bring into play their own research paradigm, described by Guba (2000) '*as a set of beliefs that guide actions'* (p.17). These beliefs guide the study that the researcher undertakes and are seen as the researcher's view of: (1) reality (*ontology*), (2) how the researcher knows reality (*epistemology*), (3) the researcher's value-stance (*axiology*), and (4) the procedures the researcher uses (*methodology*) (Creswell & Poth 2018, p.18). The paradigm with which the researcher aligns will also influence the nature of the knowledge gained (Lincoln & Guba 2000); that is, whether the knowledge is viewed as 'verified hypotheses established as facts or laws (*positivism*)' or as 'individual reconstructions coalescing around consensus *(constructivism*)' (Lincoln & Guba 2000, p.166) or, where 'reality is only imperfectly and probabilistically apprehensible (*critical realism)'* (Healy &

Perry 2000). Within each qualitative paradigm there are ‘better suited’ research approaches for the research need, these include *narrative research, phenomenological research, grounded theory research, ethnographic research* and *case study research* (Creswell & Poth 2018, p.67). I found no one research approach best suited this particular study, so I have drawn on two approaches to inform the research design.

3.5.3 Narrative research

According to Chase (2005, cited in Denzin 2008, p.45), narrative research originated from literature, history, anthropology, sociology sociolinguists and education, and has thus spawned a variety of conceptual and methodological approaches, such as those seen in Margaret Mead’s anthropologist work, Freud’s psychology and later Drucker in the management field. Narrative researchers collect stories from individuals about their lived experiences and can often shed light on how the researcher see themselves (Creswell & Poth 2018, p.67). The stories are often then analysed thematically, which seemed a logical approach to adopt for the analysis—particularly given I have hypothesised throughout my leadership paradigm about the inherent values that can assist decision-making in my sector. I anticipated these would flow from the narrative and could be linked somewhat to the participants in my study’s AQLs and assist to demonstrate their leadership style.

3.5.4 Grounded theory

Grounded theory involves the collection and analysis of data. The theory is ‘grounded’ in the data collected, which means the analysis and development of theories happen after you have collected the data. It was introduced by Glaser and Strauss in 1967 to provide a systematic qualitative analysis and then use the comparison to produce a theory (Charmaz 2014). I was not necessarily looking to produce a theory out of the interviews, nor could I achieve data saturation required by grounded theory with a small sample; however, the techniques of grounded theory and, in particular, the constructivist approach (i.e., using inductive techniques that allow a comparative, open-ended approach) out of which then my themes should emerge and then test if these themes align to an AL style. This would complement the narrative analysis and take it a step further than just the storytelling of the leaders.

3.6 Getting a sampling of leaders

For qualitative research, several methods can be adopted to obtain a suitable sample. However, all social science is subject to compromise and this study is no exception. The principle constraints that were faced were time, resources and geography. As a result, a convenience sample of 'acknowledged leaders' in the NFP sector were selected. This was a very substantial compromise in social science methodology that was recognised and conceded to with reluctance. In all forms of research, it would be ideal to test a larger population size of leaders randomly selected, but, as in most cases, this was not an option.

My convenience sample is often referred to in the literature as 'non-probability sampling' (so the odds of those selected for the sample cannot be calculated). As an industry leader myself with over 30 years' experience in the field, I drew on my expert judgment to select a sample of experts in the field that I felt could enhance my leadership practice and best address my research question. In selecting leaders, I wanted to ensure that it provided a cross-section of executive roles that matched to my context in community services. As noted in Chapter 1, the CSS is made up of small, medium and large CSOs, so leaders of each of these were included. It is also made up of government and peak bodies (also included); board members equally play a part, so that role was also included. I intentionally sought out Aboriginal leaders from both CSOs and government due to overwhelming evidence of failure in addressing Aboriginal children's needs, as seen in Chapter 1. Finally, there is a small representation of international organisations, particularly held in the highest regard for delivering EBPs to children and families within child welfare (also prevalent from the SLR in Chapter 2, Part 2). A full list of participants is provided in Table 3.1.

Table 3.1: Summary of participant profiles

#	Role	Gender	Ethnicity (C/I)[a]	Age	Years in Leadership	Budget	Staff	Public or Community Sector and size (S, M, L, XL)[b]	Country
1	Senior VP	F	C	58	27	$150m	1000	CSS X Large	USA
2	Deputy Secretary[c]	M	C	51	10	$1.7b	11m	Public Sector	Australia
3	Board President	F	C	64	43	$40m	800	CSS Large	Australia
4	Commissioner	M	I	65	26	$10m	25	Public Sector	Australia
5	CEO	F	C	54	20	$5m	30	CSS Medium	Australia
6	CEO	F	C	60	30	$20m	250	CSS Large	NZ
7	Chief Officer	M	C	54	37	$500m	2000	Public Sector	Australia
8	CEO	F	C	68	34	$80m	1200	CSS X Large	Australia
9	CEO	F	C	60	22	$40m	600	CSS Large	Australia
10	CEO	M	C	55	25	$500m	2000	Public Sector	Australia
11	CEO	F	I	51	16	$50m	750	CSS Large	Canada
12	CEO	F	I	58	23	$3m	30	CSS Small	Australia

Notes: [a] Caucasian or Indigenous; [b] S <$5m; M $5m–$30m; L $31m–$79m; XL $>$80m; [c] Noting this role reports to the directly to the Secretary and the publicly available data captures the total organisation.

All leaders had over 25 years of experience in either the public or community service sectors, have major public profiles and have managed complex and dynamic portfolios or organisations. I assumed this group would unlikely be intimidated by my own experience and thus (hopefully) reduce some of the likelihood of the experimenter effect. However, it is well known that people respond to expectations, particularly when a researcher is trying to elicit their views on particular subjects. In the literature this is often referred to as the ‘experimenter effect’, where the people being interviewed respond to the ‘demand characteristics’ of the situation rather than the purposes of the interviewer. Orne (1962) did a number of tests on this in social research, finding that participants in social experiments will often *want* to meet the demands of the experiment. When a researcher asks a participant to perform a task (such as asking a question), that can *prime* a particular response (Gilder & Heerey 2018). In general, qualitative researchers try to avoid demand expectations by concealing their intentions from a respondent by opening interviews with non-directive questions. Non-verbal social cues can also play a part in influencing the response. To somewhat address this, in all interviews I explained to the respondent I would make little eye connect due to note-taking (three of the interviews were also conducted over video link) and that they should feel comfortable to let their narrative flow. Another element associated with demand expectations is the *power imbalance* between the researcher and the subject. Authors Baldwin, Kiviniemi and Snyder (2009) state expectation effects may create a power imbalance within a research setting. Power imbalance is generally linked to one party having more information than another. Given my respondents were all accomplished leaders it was unlikely they would feel any power imbalance through information I may have, or in the context of role imbalance as all respondents had roles at similar or higher levels than myself. Authors Karnieli-Miller, Strier and Pessach (2009) also discuss the hierarchical power imbalance that can occur in qualitative research between interviewer and respondent, recommending making the participants partners in the study through sharing data. I agreed upfront with all my participants that I would provide them with a full copy of their transcript to verify and edit within four weeks. I also gave them full access to their ALQ results. Table 4.1 provides a summary of the: (a) demographics of the selected leaders; and (b) organisation (de-identified), but noting public or community sector, role held, annual turnover, number of employees and country.

My view was that by purposefully targeting the leaders in Table 3.1 and the element of my leadership context they represent, it would provide insightful information. In addition, the option to use a non-directive approach was clearly not realistic. The risk also of experimenter bias is therefore made explicit and is hopefully recognised in the analyses that follow.

3.7 Research techniques

3.7.1 Using in-depth interviews

As mentioned above, one of the ways to limit experimenter bias is through the use of non-directive questions. Aborisade advocates that the strength of qualitative research '*lies in the use of interviews, which allow qualitative researchers to conduct an in-depth investigation into their subject of inquiry*' (2013, p.48). Legard, Keegan and Ward (2003) agree that using in-depth, unstructured, direct personal interviews, in which a single respondent is probed by the interviewer to uncover underlying motivations, beliefs, attitudes and feelings on a certain topic, are superior over group interviews in uncovering important underlying issues. While focus group interviews have 'extrinsic' advantages of being less expensive and faster in terms of data collection, individual interviews have 'intrinsic' advantages in terms of the quality of the outcome (Stokes & Bergin 2006). Semi-structured interviews (providing only prompts) can assist to produce rich, detailed accounts from the perspectives of the interviewees, allowing the broadest possible exploration of views and behaviour patterns for discoveries of new themes and efficient data analysis (Wengraf 2001). There are, however, noted limitations within interviews, as you only hear what people say—not observe what they do (Green & Thorogood 2004). For this body of research, using a more open dialogue would provide a greater richness of data about the topic of leadership.

3.7.2 Data collection

Data were collected in three ways: (1) through semi-structured interviews that were taped, (2) through examining publicly available artefacts where the participants worked, and (3) through field notes (taken by two different people). It was hoped this method would establish triangulation and improve the trustworthiness of the data.

3.7.3 Ethical considerations

Ethics approval was obtained for this research, and all participants invited completed a consent form (see Appendix 9(a) and 9(b)).

3.7.4 Interviews and questions

I invited 16 'acknowledged leaders' for 2-hour interviews with the possibility of a short follow-up phone interview. Of the invitations, 12 confirmed their availability for interview. Interviews were conducted at a location of their choosing (or via video Skype for overseas leaders) and took place between November 2017 and April 2018. The demographic make-up of the interviews is outlined in Table 3.1. The confirmed participants were told in advance what the research topic was and that a research assistant would be in attendance (see Appendix 10 for the introductory letter).

A standard open-ended set of questions was used in the same sequence with all participants. This enabled similar information to be obtained from all participants and reduced bias from gaining different information through different questions. Since the questions were open-ended, they allowed the flexibility to follow up additional useful information that surfaced within the interview discussion. This occurred through further unstructured questioning. All interviews were audiotaped and transcribed, with the transcriptions sent to each participant to verify and accept before analysis. All the participants consented to the full use of their interviews (and verbatim comments) and were also requested to complete the ALQ within two weeks of the interview.

3.7.5 Supporting documents, websites and artefacts

Interviews were followed by an analysis of supporting documents. Throughout the interviews participants would refer to examples of leadership practice, events, news articles and published work. Therefore, following each interview, the supporting evidence, such as publicly available material, was examined together with any printed materials provided to verify and substantiate interview statements.

3.7.6 Field notes and observations

Notes were taken by myself and a research assistant during each interview. They were typed up as field notes and observations. These were mainly descriptive notes, such as a portrait of the participant, a description of the physical setting, accounts of activities that surrounded/interrupted the interview and reflective notes such as personal thoughts or feelings, ideas and impressions. They also included demographic information, such as date and time, place of interview and number of years as a leader. In some interviews, drawings were made by the research assistant of thoughts that the participant mentioned as they described their leadership (see Appendix 11 for an example drawing). Observations related to participants' approaches, and other supporting materials also formed part of these field notes.

3.7.7 Data management

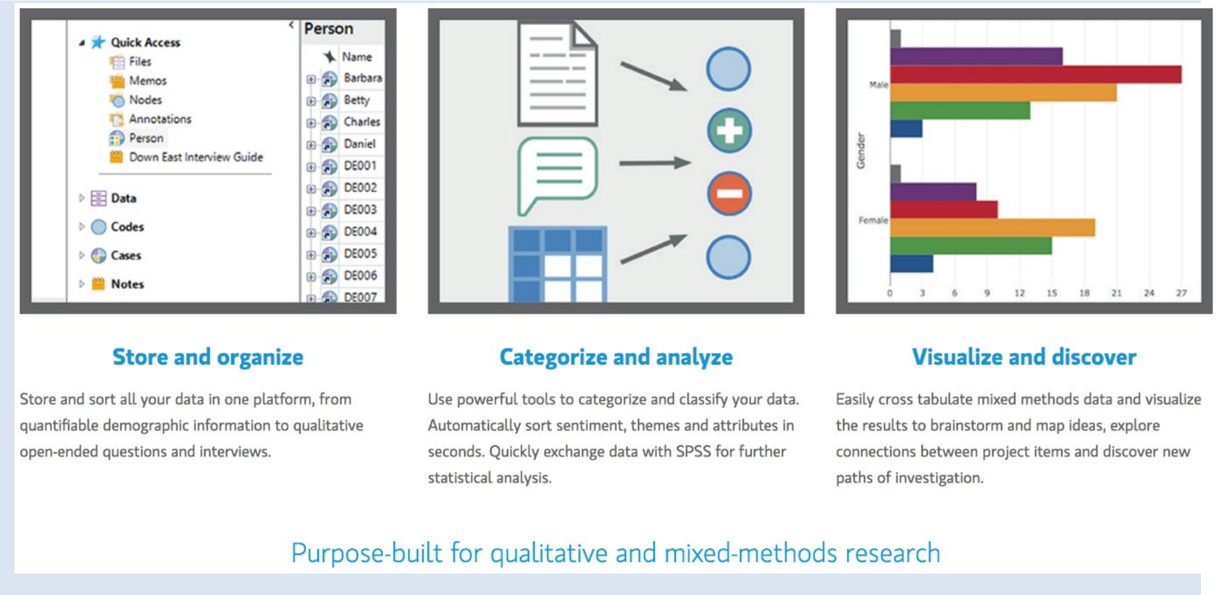
NVivo software was used for data organisation, storage, management and retrieval. It provided the storage system for all the source data (the interview transcripts, downloaded websites, memos and field notes). These source data were organised into specific folders that stored documents and files related to each participant. Specifically, NVivo was used to organise and archive the entire transcripts of all the interviews. All participant folders included an interview transcript, an ALQ example from Mindgarden, the values list used and the behavioural scale (see Appendices 12, 13, 14 for examples). NVivo performed the function of documenting the analysis carried out and providing the facility to maintain links between this original data and the interpretive statements, themes, categories and coding structures they were organised within. The processes involving the recognition of categories in the data, generating ideas about them, exploring the meanings in the data and subsequently coding them demanded data management. While the discovery and recognition of codes were important, the need to store this information with its links to the data source was crucial, and NVivo assisted to manage this. Thus, NVivo assisted in exploring patterns, themes and maintaining access to data (Bazeley & Richards 2000).

3.8 Analysis of data

Creswell and Poth (2018) state that 'data analysis in qualitative research consists of preparing, organising and reducing data into themes through a process of coding… condensing the codes and finally representing the data' (p.183).

Primarily, in the *preparation* phase, all interviews were transcribed and field notes were typed to gain an appreciation of the data, this included what participants were saying, the tenor of themes and general impressions, and a holistic view of the material, marginal notes and thoughts were captured. These were the first general thoughts about the data. The research assistant and I compared views at this stage, and then her notes were combined with my own to produce summaries. In the *organising* phase, each summary of each case with all other materials were categorised so the data *reduction* phase could begin. All relevant materials collected for each participant were placed into an electronic *file* within qualitative software called NVivo (NVivo 2018). Figure 3.2 illustrates the general functionality of this software.

Figure 3.2: NVivo software overview of functions to support qualitative research (Adapted from NVivo 2018)



NVivo calls these electronic files 'nodes'.[48] Included in the nodes were a series psychometric tests results, undertaken by the interviewee concerning their view of themselves and of others' views of themselves as leaders (see Appendices 12, 13, 14). These tests were used as contextual indicators as well as to test some of the consistency of themes emerging through the transcripts. To be able to represent the data, the initial data analysis began with the ALQ.

3.8.1 Deductive coding

According to Koddish and Gittelsohn (2011):

> *Deductive coding is oriented towards confirming or testing the investigator's preconceived terms and relationships. It is often based on a researcher's a prior hypotheses and might utilize 'prefigured' codes*

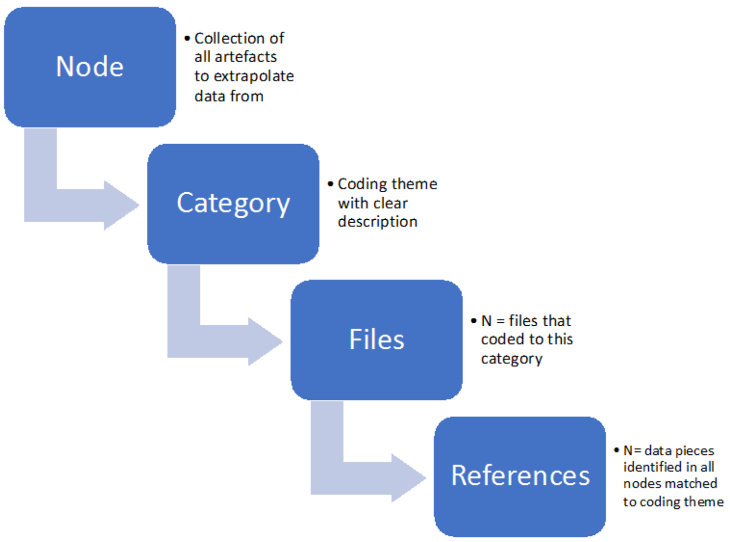
[48] 'A node is a collection of references about a specific theme, place, person or other area of interest. You gather the references by "coding" sources such as interviews, focus groups, articles or survey results etc...' (NVivo 2018, para 3)

> *derived from a theoretical model or existing literature on the topic of interest.* (p.53)

Given all participants had taken the ALQ, and using my a priori knowledge, I wanted to use deductive coding to determine if the participants' responses demonstrated any relationship to the ALQ scales, thus further confirming active AL.

This first deductive analysis of the data contained within each *node* was the creation of a coding structure based on the ALQ scales (see Appendix 15, Deductive Coding Framework). The material was organised into chunks and data were coded out of the *node* using NVivo into my deductive coding framework. This use of the software allowed searching through the data and structuring it into categories within the framework created. These categories were given descriptions (see Appendix 16 for the emergent coding framework and descriptions) and multiple references from the transcripts assigned to them. See Figure 3.3 for a high-level process flow of the work.

Figure 3.3: High-level process used to code all data



Coding of interview transcripts was done broadly, coding an entire response passage to relevant codes. This meant that most passages were assigned to more than one code (hence multiple references coming out of no more than the 12 files), providing the ability to query the data for thematic overlap. As this was deductive coding to see if the transcribed interviews validated the overall participants' ALQ scores (seen later in Chapter 5 and Appendix 27 for the ALQ group report), I had anticipated that at least some of the interview data would fit easily into these deductive ALQ codes. However, coding to the deductive framework appeared to be a more reductionist view of what makes an effective leader and in determining if the participants demonstrated AL in the narrative. Given it was limiting and the richer interview data actually contained much more than the deductive coding allowed, I determined to create an emergent coding framework. The participants' descriptions of AL and values appeared more emergently and, as such, moved to inductively coding. The deductive framework was left intact to allow for cross-referencing with the emergent coding.

3.8.2 Emergent coding

Creswell et al. (2003) note that '*there is no single way of analysing data and that analysis is an eclectic process which attempts to make sense of data'* (p.209). In the emergent coding process, data were broken down into parts, examined, questioned and compared for similarities and differences. As noted by several qualitative research methods authors, each researcher approaches this differently, and some make use of software to assist (e.g. Kuckartz 2014; Silver & Fielding 2008). However, Patton (2015 pp.530–531, cited in Creswell & Poth 2018) reminds us that the role of software in the process of analysis is limited:

> *…many swear by it because it can offer leaps in productivity for those adept at it, using software is not a requisite for qualitative analysis. Whether you do or do not use the software, the real analytical work takes place in your head*. (p.181)

All interviews were read and coded start to finish before any revisions to the coding were made, all the while not losing sight of the themes also being noted in my head. As emergent nodes developed, general definitions (capturing my themes) were assigned to each to ensure clarity and scope, and to avoid duplication of ideas (see Appendix 16 for the emergent coding framework). The next step was to move beyond the more generic approach to the more specific, and position the data within the theoretical leadership *PASS* framework (as described in earlier chapters) and analyse the codes from that angle. In the second iteration, similar topics were clustered together and labelled and categorised again. In this phase, Creswell and Poth (2018) recommend examining all the data again (e.g. transcripts, field notes, other supporting documents including the behavioural data and the values questionnaire in Appendix 12, 13, 14). The object here being to continue looking until there is no further insight into the coding and achieve data saturation within each code.

3.9 Issues of validity

The extent to which the qualitative data can be judged as a true reflection of leadership qualities is obviously a profound issue. In other words, is what the respondents say a reflection of their actual behaviour in the organisation? Or, to put in it more vernacular terms, '*Do they walk the talk*?' Multiple authors offer perspectives on what constitutes validation of qualitative research. Lincoln and Guba (1985, cited in Creswell and Poth 2018, p.255) state it consists of four components—*credibility, transferability, dependability,* and *confirmability*—but later work by Lincoln, Lynham and Guba (2011, cited in Creswell & Poth 2018) add the use '*of authenticity, transgression and ethical relationships'* (p.255).

Based on suggestions by Lincoln and Guba (1985), research strategies used to ensure credibility and reduce bias include the following:

- **Maintaining a field journal:** Every interview was accompanied by field notes and observation documents.
- **Maintaining rigorous data-gathering:** Interviews were tape-recorded, then transcribed and checked for accuracy against the tape. Transcripts approved by participants were then organised together with related field notes and artefacts.
- **Triangulation:** This was accomplished through different data sources. While interviews were the main source, what participants said in the interview was verified by examining the related websites and artefacts, and compared with field

notes and observations which formed a useful third data source. The multiple sources of data contributed to building validity.

- **Internal validity:** Extensive coding and thematic analysis were carried out during the data analysis stage.
- **Reliability:** All participants were asked the same set of questions in the same order, and the interview protocol was adhered to in the data-gathering process to ensure reliability.
- **Participant checking:** All participants were requested to check the transcript for accuracy and approve it. This gave them the opportunity to rephrase or revise their comments.
- **Use of software:** The use of software packages to analyse data increases reliability because other researchers can follow and construct the same procedure (Bazeley & Richards 2000). The use of NVivo provided a transparent analytical approach that can be followed or rebuilt by another researcher, thereby increasing the trustworthiness of this study.
- **Use of supportive quotations:** Verbatim quotations used in the findings of this study increased the trustworthiness and credibility of the results.

Finally, administering the ALQ to each of the respondents in the convenience sample allowed for a crude check of the leadership style. As will be shown in the findings (Chapter 5), all of the respondents met the criteria for demonstrating AL. An explanation of the ALQ, including its reliability and validity, is covered in Chapter 5.

3.10 Summary

In this chapter I have outlined the research methodology for my two literature reviews, one being a targeted values-based literature review and the other an SLR, both focused on different parts of my PCL paradigm justification. I then provided the reasoning behind the chosen research design for my longitudinal case study and qualitative field research; including the underpinning research approaches. I also gave a descriptive account of the research procedures to further demonstrate *credibility, transferability, dependability* and *confirmability* of the approach, should the qualitative study wish to be repeated at a later point. I also acknowledged the potential bias and limitations of the research. The following chapter contains the results of the AQL and the findings of the qualitative research study.

Chapter 4 – Evolution of my Personal Contingent Leadership Paradigm: The Leadership PASS

‘The difference between a beginner and the Master, is that the Master practices a whole lot more.’ Yehudi Menuhin (cited in Gibbings 2018)

4.1 Introduction

This chapter deals with my PCL paradigm and how it has evolved in different contexts over the last decade. In Chapter 1, I summarised my leadership journey; this chapter provides greater details of this journey and the emergence of my PCL paradigm. It takes the form of a longitudinal case study. Research into management practice over long periods of time is often suited to this research method, as Rowley (2002) states: ‘*case study research emerges as an obvious option…for those seeking to undertake a modest research project based on their workplace or the comparison of a limited number of organisations*’ (p.16). In this case, the case study is on me and my experience in a limited number of organisations in the last decade. With the case study focused on me, I am the unit of analysis. It’s important to note this, as my research questions should focus on the unit of analysis and all sources of evidence should be gathered in relation to it.

Case studies are useful to help explain the how and why; as explained by Yin, ‘*A how or why question is being asked about a contemporary set of events over which the investigator has little or no control*’ (1994, p.9, cited in Rowley 2002, p.17). The underpinning research design is covered in more detail in Chapter 3 Fundamentally, this chapter attempts to explain the **how and why of my PCL paradigm**.

For explanation purposes, it focuses on how I have used my PCL paradigm development to inform and understand my leadership approach in different contexts. I will use figures throughout to articulate these points, and multiple artefacts are contained within the appendices and my supporting portfolio as further justification.

My PCL paradigm is also known as the ‘leadership PASS’, due to its four domains of People, Action, Systems and Self. These domains were found to have promise for developing an effective leadership framework in the CSS (see Box 4.1) in the literature reviews in Chapter 2. These have been dominant in my personal leadership journey and inform the evolving leadership approach.

Box 4.1: Leadership PASS domains

People:	Pick the right people aligned to your organisational values (from Chapter 2, Part 1).
Action:	Be an evidence-based leader and provide evidence-informed services to improve client and organisational outcomes (from Chapter 2, Part 2).
Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders (evidence-based practice, from Chapter 2, Part 2).
Self:	Develop and understand yourself (from Chapter 2, Part 1).

4.2 Foundations of My Leadership

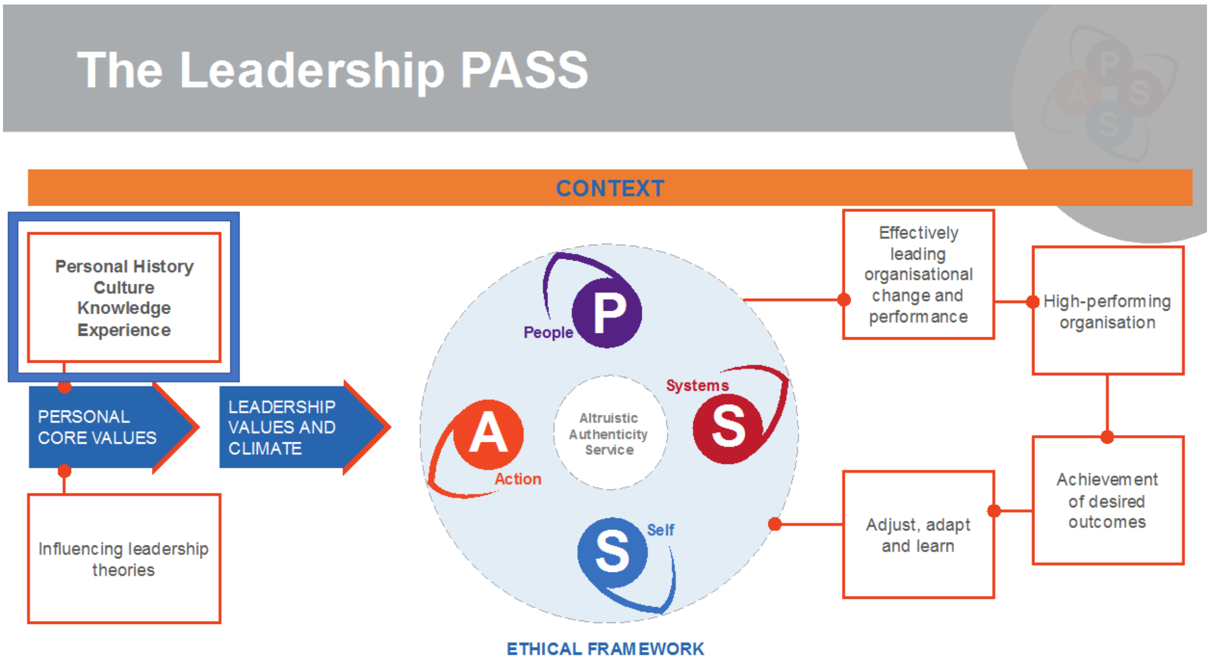
Almost two and half thousand years ago Sun Tzu famously wrote the book the Art of War, in which it is stated that five elements are needed for going to war: The Moral Law, Heaven, Earth, the Commander, Method and Discipline (Tzu, cited in Clavell 1983). While centuries have past, some of Tzu's principles remain timeless, one of particular note is what the 'Commander' stands for: 'The Commander stands for the virtues of wisdom, sincerity, benevolence, courage and strictness' (Tzu, cited in Clavell 1983, p.9).

It would seem that how one behaves in leadership and their character can influence the outcome of war as much as what one does in enacting a function of leading. My PCL paradigm considers both.

4.2.1 Personal History, Culture, Knowledge, Experience

Personal, lifelong experiences have shaped my current leadership approach. This includes tacit and explicit knowledge acquired through exposure to different cultures, organisational contexts and professional development. At the same time, my family life and deep engagement with the sport of Judo from an early age (I started at age 6) have shaped my beliefs, values and influenced my leadership practice. Moreover, I have always aspired to do good, and embedded in my leadership are core intrinsic values. As part of the development of my PCL paradigm the primary process I undertook was to understand the foundations that underpinned my leadership and unpack why I lead the way I do (see Figure 4.1).

Figure 4.1: Unpacking your past



In particular, it is important to note how my practice of Judo has shaped the foundation of my leadership. I was taught Kodokan Judo from Japan. Kodokan Judo explains its teachings as:

> *Using one's mental and physical strength in the most efficient way through immense disciplined practice of its techniques, cultivating the mind and body, striving for personal perfection while ensuring to* ***try and do good in the world***. (Kodokan Judo 2016, emphasis added)

In learning Judo from age six, students are taught to cultivate virtues, also known as 'Virtuous Deportments'. These are taught while learning the art of Judo and are provided in Table 4.1:

Table 4.1: Virtuous deportments taught while learning the art of Judo (adapted from Bennett 2009, pp.9–10)

Virtuous Deportment in Relation to Others	**Virtuous Deportment in Relation to the Self**
Refined demeanour	Look after the body.
Loathe extravagance	Suppress harmful emotions.
Venerate justice.	Develop power of endurance.
Do not talk of hardship and be prepared to dedicate life for the cause	Become courageous. Take the initiative.
Always be kind	Know the relationship between learning from others and investigating things. Understand the connection between the self and others.
Be fair	Always be prepared. Know a safe position while keeping the opponent at a disadvantage.
Be polite	Quick judgement. Be ready to act appropriately when caught off guard.
Be sincere	Think before acting, know when to stop, maintain control.

I have then updated this table (see Table 4.2) to include how this has translated into my leadership practice today.

Table 4.2: Virtuous deportments extended to the author's current leadership practice (adapted from Bennett 2009, pp.9–10)

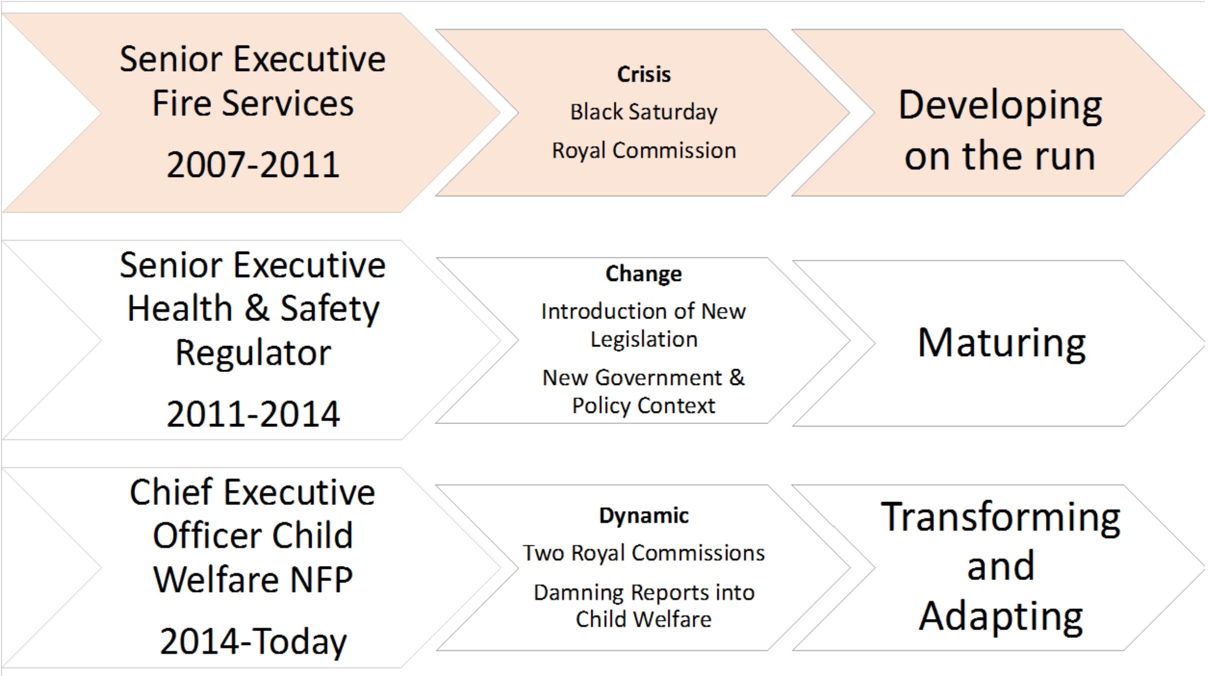
Virtuous Deportment in Relation to Others	**How these manifest in my leadership practice today**	**Virtuous Deportment in relation to the self**	**How these manifest in my leadership practice today**
Refined demeanour	Respectful to all and humble.	Look after the body.	Exercise daily.
Loathe extravagance	I am moderate.	Suppress harmful emotions.	Exercise, practice mindfulness.
Venerate justice	I am ethical in all I do and observe all law.	Develop power of endurance.	Extremely fit.
Do not talk of hardship and be prepared to dedicate life for the cause	My lifelong work embodies making life better for others.	Become courageous. Take the initiative.	I challenge the status quo in my sector and have driven change.
Always be kind	I value and respect all people.	Know the relationship between learning from others and investigating things. Understand the connection between the self and others.	I am a lifelong student. I seek out others' knowledge and share my learnings.
Be fair	I weigh up all the evidence before I make a decision.	Always be prepared. Know a safe position while keeping the opponent at a disadvantage.	I have a counterintuitive leadership approach in not being competitive but instead collaborate and share all I do to help my competition.
Be polite	I value and respect all people.	Quick judgement. Be ready to act appropriately when caught off guard.	I admit my mistakes and ensure I learn from them.
Be sincere	I value and respect all people.	Think before acting, know when to stop, maintain control.	I invite feedback and seek support.

This early Judo history and training has developed in my PCL paradigm into what Quatro, Waldman and Galvin (2007) call holistic leadership. They contend that leaders need to develop emotional and spiritual domains to be able to leverage emotions and foster a higher understanding of self and be self-aware. George (2007) describes this as knowing your authentic self. In George's research, involving interviews with over 125 CEOs, gaining self-awareness was found as critical to becoming an authentic leader. There is substantial consensus among scholars on the relationship between understanding one's personal values and self-awareness (Woodward and Shaffakat 2016; Rokeach 1979; Schwart 1992). Often, early in one's career the link is not explicitly made; if you are then to become a leader of people in today's 'knowledge age', embracing a holistic paradigm that includes mind, heart, body and spirit will increase your chances of success (Covey 2004).

Linked to this are core values. English and Peters (2012) found that those female leaders in NFPs who understood their core values had enhanced AL development. Another strong component of virtuous deportment in modern-day form is behaving ethically (in the construct of 'venerate justice' in Table 4.2), meaning holding in the highest regard the laws that govern us. In Chapter 2, Part 1, I discussed many of the unethical failings of NFP leaders (such as not investigating misconduct; while this isn't breaking the law, it certainly could be seen as acting unethically).

Ethics writer Ciulla (1995) contends that the research on ethical leadership should lie at the heart of leadership studies and is vastly overlooked in the immense array of leadership research and asserts it should answer the question: '*what sort of person should lead and what are their moral responsibilities of leadership*?' (Ciulla 1995, p. 18). This question in turn translates back to how I behave as a leader, how I should lead and what my moral responsibilities are in leadership. I describe myself as a values-driven, authentic and ethical leader. This underpins my PCL paradigm and has been inherent in my leadership approach from a young age. This correlates with the types of roles I have held, for example focused on others in the NFP sector or focused on the safety of the public. How my PCL paradigm has developed in the last decade I'll now cover in three sections, as seen in Figure 4.2.

Figure 4.2: Summary of my leadership journey (modified from Chapter 1)



4.3 Evolution of My Leadership Approach: Section 1 - Developing on the Run

In 2009, I was a senior executive with the Country Fire Authority (CFA). This was the first role I had been in outside of the NFP sector. My leadership approach at the time would be described as consultative, open and engaging; this had been the approach I had been using in my NFP experiences. I had established good relationships with internal stakeholders and had some relationships with external stakeholders. A major achievement was a joint community engagement framework developed under my collaborative relationships with partner agencies in 2008 (CFA et al. 2008, see also supporting portfolio #1a). Its intent was to work with communities to raise awareness about information, education and empowerment relating to fire in the environment.

While this was a significant piece of work on prevention and public safety, it failed to completely appreciate how the existing policy context in Victoria did not recognise the vulnerabilities in certain cohorts of communities living in bushfire-prone areas. It also did not challenge how we responded to support vulnerable communities. Response—putting the wet stuff (water) on the red stuff (fire)—was seen solely as the domain of uniformed fire officers and not the domain of non-uniformed staff (like myself), whose role was to ‘educate’ and raise ‘awareness’ (i.e. fire prevention).

Despite multiple attempts in my leadership role to try and engage senior uniformed officers during this period, my leadership approach fell short and subsequently meant that the public policy position remained as ‘prepare, stay and defend your property or leave early’—better known as ‘stay or go’—in the event of a bushfire. While it was outside of my leadership control to change this policy, it could be argued that the leadership approach I took did not influence enough.

Other factors were my gender (I was the only female executive and fire services are a well-known boy’s club), my perceived lack of fire experience (I had never worked in fire services before) and I had never lived in Victoria before (therefore did not known the landscape). There was also little evidence the policy would fail, other than a deep concern by leaders like myself whose focus was on the community and appreciated those vulnerable may not be able to make the decisions the policy expected them to make.

Regrettably, the much-needed change to policy and my leadership role having a bigger impact was not in time for the worst tragedy in Victoria’s history, on 7 February 2009, when 173 lives were lost—otherwise known as ‘Black Saturday’.

4.3.1 Leadership under crisis: coping reliability

At the time of Black Saturday, I was part of a seven-person senior executive reporting to the CEO. The CFA is a statutory authority, governed by his own Board of Directors. The CEO reported directly to the Minister. Shortly after Black Saturday, a Royal Commission (known as the Victorian Bushfires Royal Commission - VBRC) was called by the Premier, John

Brumby. When the VBRC completed its work on 31 July 2010, I was the only one of two executives remaining from the seven and the CEO in place at the time of the tragedy.

What changed in my PCL paradigm during this period? The first thing that came into play was a disciplined approach and coping reliability. Work by Gladwell (2000) discusses the need to do 10,000 hours of disciplined practice before you can ‘master’ anything. As a former elite athlete, I have endured at least 20,000 hours of training. There are multiple studies into athletes’ performance and what impacts it.

The ability to cope with pressure and anxiety is an integral part of all sports, but it is particularly important among elite athletes (Humara 1999; Hardy, Jones & Gould 1996). Elite athletes know how much work is required to achieve the desired performance. There have been several studies into the performance of Judo players (Han 1996; Filaire et al. 2001); most discuss how they develop a coping style. A coping style includes a type of response to stress and employs a range of strategies (Poliseo & McDonough 2012; Woodman & Hardy 2003; Anshel & Sutarso 2007; Cheng, Hardy & Woodman 2011). This in turn can lead to coping reliability (Anshel & Anderson 2002).

During my years of training I would frequently get measured pre- and post-competition. When I won the Commonwealth Games Championships in 1988, my heart rate one minute before entering the final bout was only 48 beats per minute. For male Judo players the mean heart rate at rest is 54.7, rising to 182.4 in a bout (fight) (Degoutte, Jouanel and Filaire 2003). What often de-rails athletes is the presence of cognitive anxiety in competition—clearly my learned response was to keep it completely in check or is not present.

I would assert, that with 20 years of elite training as a Judo player, a level of coping reliability was ingrained in my leadership response to both this crisis event and the post-crisis response under immense pressures and assisted me to navigate the months of work and scrutiny to come.

4.3.2 Values and people

In the immediate days following the tragedy my concern went towards our people when the tragedy struck. It was found following the attacks on the World Trade Centre on 11 September 2001 that there were much higher rates of post-traumatic stress disorder (PTSD) prevalence in those in roles that weren't trained in disaster management (e.g. other roles, such as construction workers, unaffiliated volunteers) than those in response or recovery roles (12.4% for rescue, rising to 21.2% for unaffiliated volunteers; Perrin et al. 2007). Many of our head office staff at the time were called upon to deal with the recovery efforts, most without the required training, as it was 'all hands on deck'.

My PCL paradigm recognises that in leadership roles you have to attract, train and retain people for your business needs, in my domain on:

People:	Pick the right people aligned to your organisational values (from Chapter 2, Part 1).

I have confidence that at the CFA at the time this was also the case. However, sitting underneath these simplified words is your employee value proposition, fundamentally in crisis ensuring the right supports are in place for an organisation with 2,500 staff and over 35,000 volunteers was critical. In the immediate days following Black Saturday my core values came strongly into play for all of them and our grieving community. In fact, it was our nation that grieved, yet somehow our organisation and executive became paralysed by its own grief; I did not.

In the absence of leadership across the board, executive and CEO, I thrust myself into immediately trying to address the grief and loss. It was not done reactively. I spent hours researching the best approach to share with the executive on supporting our staff and volunteers. Out of this work, a plan was designed and subsequently actioned. My PCL paradigm domain discusses using EBPs to address the problems you confront.

Action:	Be an evidence-based leader and provide evidence-informed services to improve client and organisational outcomes and make better decisions (from Chapter 2, Part 2).

Further to this, my PCL paradigm also discusses the ‘system’.

Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders (evidence-based practice, from Chapter 2, Part 2).

I was acutely aware of *system failure* on Black Saturday. Most of the political questions were coming from this angle. Given my statutory responsibility for the safety of the community, I was required to attend multiple meetings with the highest-ranking officials. Four weeks after Black Saturday in one of these meetings, with all uniformed senior-ranking officials of the CFA and the emergency management sector present, the question was put to the room about the system failure. What I observed then shifted my PCL paradigm. Most of the room comprised uniformed emergency service leaders; there were three notable non-uniformed exceptions: myself, the Secretary of the Department of Justice (appointed by the Premier to determine the response) and the Deputy Secretary. Coincidentally, we were all female. Every uniformed person affirmed that they did *everything* they could, doing the best job on the day and leading up, and there was nothing to change, as it was the community that didn't pay attention to the warnings.

A question was put to the room: ‘*Does anyone disagree*?’ Having joined the fire service as a female, not from Victoria and with no direct fire services experience, would I now risk challenging this room of decades of experience? Clearly the experience in the room was claiming they had ‘managed’ the event well. The question here then is, is managing vs leading the same?

4.3.3 Managing vs leading: is it all the same and will it affect my response?

In 1916, mining engineer and mathematician Henri Fayol (1841–1925) wrote his seminal publication on 'General and industrial administration' (Fayol 1917, cited in Voxted 2016). This classic management text framed management theory for decades. It provided the key functions of management that led management practice, including planning, organising, command, coordination and control. Following on from Fayol, was Taylor and later a more contemporary Weber, with his distinguishing features of bureaucracy, control, precision, stability, discipline and reliability (Hamel 2007, p.14).

These hard-wired paradigms have persisted over the decades and bear out in multiple authors' evolutions on management. Fires services are well versed in classical management practices, with standard operating procedures, command and control hierarchy, and much planning for emergency events.

There has been much conjecture about leadership and management in the literature; however, both have been in practice for centuries. Whether managers should or do exercise leadership, we mostly acknowledge in formal management roles they are leaders. In observing a room filled with Chief Officers, Commissioners and the like, it's easy to assume they are in leadership roles, while also acknowledging that some people take on roles when not in a formal management position; that is, informal leadership. To look briefly and succinctly, I consider three differences between leadership and management in the literature.

Primarily, we see that leadership theorists contend management and leadership overlap. Bass (1985) distinguishes this as transformational and transactional leadership, furthering earlier work by Burns. In his early studies, Bass contended that management was largely transactional (focusing workers on tasks and rewarding them), whereas leadership was transformational (transformational leaders may arouse their followers emotionally and inspire them to extra effort and greater accomplishment; 1985, p.39). Other scholars state:

> *…managers value stability, control, and efficiency, whereas leaders value flexibility, innovation, and adaptation. Managers are practical, analytical, and rational, whereas leaders are visionary, creative, and emotional.* (Yukl & Lepsinger 2005, p.361)

Secondly, Zaleznik (1977, cited in HBR 1992) sees managers as guardians of the organisation. The manager is responsible as the keeper of the organisational goals, the one who maintains the status quo, and who advocates for stability. Leaders, conversely, seek new goals which better the existing organisation and excite followers to higher levels of accomplishments for the institution, and advocate for change and new ways of working.

Thirdly, Bennis and Nanus (1985) define leadership and management as decisively different. Providing us with the well-versed term ‘managers do things right, and leaders do the right things’. In their view, the leader articulates the organisation’s vision to stakeholders. Leaders build trust in the organisation’s activities and develop workers to participate in and contribute to the vision. Leaders give meaning for the work performed by the organisation, and a hallmark is that leaders communicate continuously. Through communication the leader is providing meaning-building as a facilitator for change across an organisation. Through such efforts ‘accountability, predictability and reliability’ become a part of the organisational fabric (Bennis & Nanus 1985, p.43).

It would appear from the literature that the functions and roles of management and leadership have remained constant, with ‘additions’ being added to better describe foundations, success and responsibility. However, Lamond (2004 p. 353) reminds us that ‘management models all too often get re-labelled’.

To summarise the above three positions, Garner (1989, p.12, cited in Welleford1998) states, ‘The leader must be able to provide a sense of purpose and then construct a management system that will focus the energies of followers on that purpose.’ This concept seems simple, yet clear, to differentiate management and leadership. So, the leader sets the direction and the manager enacts it. The literature again has many notions regarding purpose, vision, mission, goals, objectives, etc., and that leaders orient the business through or towards this direction. In work by Kempster, Jackson and Conroy (2011), they contend this misrepresents the purpose in leadership and that the leader's role on delivering purpose is to provide sense-making of the context (managing meaning), incorporating the virtues of the organisation in order to achieve good. More recently, a systematic review looking specifically at purpose in leadership studies defined it this way:

> *A leader who defines success in terms of the legacy they will leave, the impact they intend to make in achieving both financial and business objectives, and more widely in terms of impact at the team, organisational and stakeholder level.* ***A leader with purpose is concerned to align their own personal values with their definition of success and achieve a sense of meaning and wellbeing in attaining their goals.*** (Russell & Underwood 2016, p.1, emphasis added)

For my perspective of leadership, what was missing in response to the question raised in the room of uniformed chiefs and me about system failure on Black Saturday was leadership purpose. If I am leading, I am doing something, acting with purpose and aligning my response to the context (sense-making). I am not just managing an event.

4.3.4 My response: the bushfire safety system

The room was full of well experienced and exceptional managers, who diligently followed the standard operating procedures under a command-and-control leadership style. Personally, for me this is where the distinction between leadership and management became acute. This is where purpose drives you. As I watched the faces look down, I thought (sense-making) of the 173 lives lost and how we needed to ensure we did all we could in analysing the system failure. My purpose was clear to know when to admit failure and ensure we committed to learning. My response, therefore was:

> *I disagree. We had multiple single points of failure in the system, most notably the lack of distinction between primacy of property vs primacy of life. Our system response does not privilege primacy of life*. (Lisa Griffiths formerly Sturzenegger in 2009)

That day I was given the role of designing the new bushfire safety system (see Appendix 17 for my later published works).

4.3.5 The scourge of scrutiny

With the CEO moved on, I was placed on the Royal Commission Taskforce and spent the next 18 months developing positions for input to the VBRC. The days and nights were long and exhausting. There were no days off and responses for politicians were needed in minutes. It was not uncommon to provide advice to the Premier minutes before a TV broadcast, and I myself became the face of CFA at community meetings and on YouTube (CFA 2009).

My PCL paradigm discusses Self—knowing yourself and your capability.

Self:	Develop and understand yourself (from Chapter 2, Part 1).

This period required intensive focus, discipline and the ability to deal with scrutiny, knowing your work would appear in the paper or on TV almost immediately. My years of Judo training undoubtedly gave me a ‘competitive advantage’. It was tested when I was called to give evidence at the VBRC. The request by the VBRC Senior Counsel was for me to discuss the science behind the land-use planning standards, and evidence on why land-use planning bushfire overlays had failed. In addition, it was also to demonstrate some new software developed for community members to determine their bushfire risk. My counsel (appointed by government) advised me to do none of that but to prepare a small witness statement.

4.3.6 Values linked to my purpose

The advice from the government counsel conflicted with my value system. I could not deal with not providing the evidence for failure, even if it meant a potential class action against government. I sought permission from my new CEO (now in place) to be allowed to be truthful in the witness box. My CEO agreed but warned that often these decisions are career-limiting. My staff knew this too. I had galvanised them with a new purpose for our Bushfire Safety System (Appendix 17), so they could contribute to a better system for our community.

I gave evidence one day after the one-year anniversary of Black Saturday (February 8–9, 2010). I admitted our mistakes. I showed the flaws in the science (having spent 3 weeks intensively with experts understanding the complex mathematical formulas). I was in the witness box for two days. At the conclusion I observed my staff cry. The commissioners went on to except my evidence and it became one of the driving catalysts for change in emergency management and bushfire across Australia. I was the last ‘woman’ standing; maintaining my executive position at the end of the VBRC and subsequently was headhunted for the next big change.

4.3.7 Summary: developing on the run

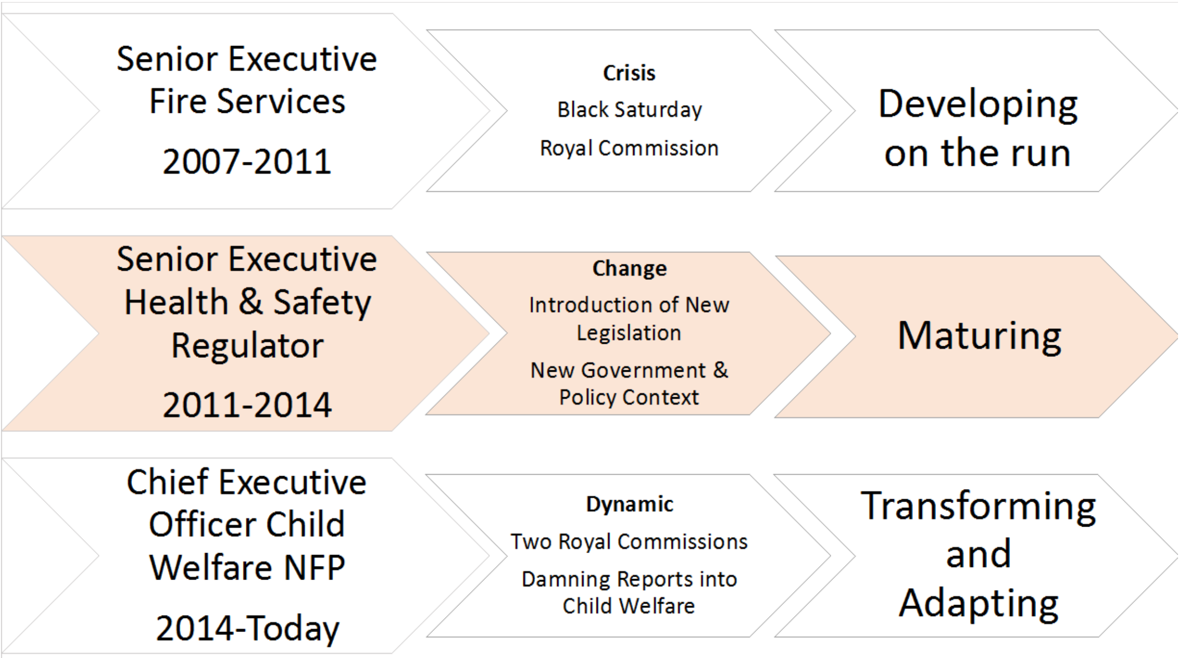
I describe this period of leadership as developing on the run due to the nature of the crisis and the never-seen-before events unfolding around me. Throughout this period my PCL paradigm was at play, but unconsciously. Clearly my inherent values played a huge part alongside my years of Kodokan Judo in my leadership response. I believe it taught me 10 years of leadership in 18 months. I published the Bushfire Safety System later in the *Journal of Emergency Management* and it became a driver for change in the revised emergency management arrangements following the VBRC.

In 2016, I received the National Emergency Medal for sustained service during a nationally significant emergency:

Service must be in the protection of lives and property, or in the service of interests, that are not their own, in direct response to the emergency, including support that enables or facilitates the emergency response (Commonwealth of Australia, 2018 para 4; see also supporting portfolio #2).

4.4 Evolution of My Leadership Approach: Section 2 – Maturing

Figure 4.3. Summary of my leadership journey (Modified from Chapter 1)



4.4.1 Introduction

This section briefly covers my maturing PCL paradigm. I spent 3 years as a senior executive with Victoria's Occupational Health & Safety regulator, and substantially grew my leadership experience in working with multiple stakeholders and the challenges that brings. It also was during a change of government and Chief Executive and this potentially limited my effectiveness in leading.

4.4.2 Context

In 2010, Australian states and territories were committing to introducing harmonised Workplace Health & Safety legislation under the model *Workplace Health and Safety (WHS) Act*[49]. In a modern country like Australia, one of its inherent weaknesses of federation are the multiple versions of regulation and Acts that make for a complicated overlapping set of laws, rules and regulations for national or multinational companies. With WHS or Occupational Health & Safety (OHS), a call from industry to get the various regulators to agree on one national WHS Act had been in play for a decade. Most jurisdictions had agreed to introduce the new national WHS Act, and upon joining WorkSafe my main priority was to introduce all the structural changes required for Victoria to effectively and seamlessly introduce the new Act.

WorkSafe aspired to be a 'modern regulator' (see Figure 4.4) and this also required a significant capability-build in frontline inspectorate roles. Traditionally, stakeholders from across industry and unions had little say in the operations of the regulator. My main brief was to change that paradigm.

[49] https://www.safeworkaustralia.gov.au/law-and-regulation/model-whs-laws

Figure 4.4: Extract from the Independent Review of OHS (Victorian Government 2016, p.36)

1.3.4 Internal organisational reviews

WorkSafe embarked on a significant period of transformation in its regulatory approach following the implementation of the 2004 OHS Act. This was reflected in WorkSafe's practices and approach to regulation, and in 2007, WorkSafe first began referring to itself as a 'modern regulator'. At this time, WorkSafe sought to clarify the concept of a modern regulator by describing the characteristics as:

+ has a 'client focus'
+ reflects and evolves with the community's needs and concerns
+ uses its regulatory powers in a constructive, accountable, transparent, effective and caring manner
+ has experienced, professional and well-trained people capable of dealing with each situation on its merits
+ is proactive and positive, identifying and focusing its resources on the areas of greatest risk and impact
+ helps people be on the right side of the law by showing them how to comply
+ ensures there are fair and swift consequences for those who do not do the right thing[14].

In 2013, an internal project titled 'Reinvigorating our focus as a modern regulator' was commenced within WorkSafe[15]. It examined the extent to which the recommendations of the Maxwell Review had been implemented, and how much WorkSafe had refocused its efforts towards the implementation of a modern regulatory approach.

4.4.3 The appointment

WorkSafe introduced Australia's first female in charge of OHS regulation in Feb 2011. As is often the case, there were mixed views on my appointment. Interestingly for me was the process to get to my appointment. In previous roles one, two or three interviews plus references was the norm. For this role I was interviewed 14 times. This included interviews with all board members, the Chair, the Chief Executive, Deputy Chief Executive and Executive Director of Insurance following the usual three panel interviews. In addition, my reference checks were from Ministers and Heads of Agency. I had national security clearances done. One of the resisting factors to my appointment put to me by a board member at interview was 'my ability to deal with stakeholders that would swear at me at a worksite'. Eventually I was appointed and, at the end of the arduous process, the head-hunter remarked she'd never seen anything like it before and that most candidates may have quit at half time. Clearly though, my PCL paradigm motivated me to push through the glass ceiling and get on with the job of stakeholder engagement.

4.4.4 The first year: stakeholder engagement

The concept of stakeholder engagement playing a major part in leadership has become more prominent in the literature from stakeholder theory popularised by Freeman in 1984. Multiple authors have advanced and nuanced this theory to tease out engagement (see Maak & Pless 2006; Greenwood 2007). In a review of the literature on stakeholder theory, authors Laplume, Sonpar and Litz (2008) state: 'A fundamental thesis of stakeholder-based arguments is that organisations should be managed in the interests of their constituents, not only in the interests of shareholders' (p.1153). As WorkSafe advanced its modern, regular focus to have a 'client focus' and reflect the 'community needs and concerns', constituent engagement was of utmost importance.

The list of stakeholders for this role is long. As the most senior person over the regulatory side of the business I held all powers under the Act, including coercive powers (ability to require production of any documentation necessary to conduct duties under the Act should a breach be suspected) and the ability to enter any registered or unregistered business where a suspected breach of the Act is occurring. These particular powers are in fact stronger than some policing powers. In 2015, there were over half a million registered businesses in Victoria.[50] The task of getting across key stakeholders to ensure I could effectively lead were the key learnings in this role. What follows is a short account of my approach taken to stakeholder engagement and how this has informed the development of my PCL paradigm domain of Systems.

Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders (from Chapter 2).

[50]http://stat.abs.gov.au/itt/r.jsp?RegionSummary&region=2&dataset=ABS_REGIONAL_ASGS&geoconcept=REGION&measure=MEASURE&datasetASGS=ABS_REGIONAL_ASGS&datasetLGA=ABS_NRP9_LGA&regionLGA=REGION&regionASGS=REGION

4.4.5 What is effective stakeholder engagement?

According to the World Economic Forum:

> *Stakeholders…today have access to such a wide variety of information, giving rise to millions of different opinions. Leaders have to make decisions in this context, not out of self-interest, but for the common good, where benefits are widely shared. Not only beneficiaries should be considered, but also those groups that are negatively affected.* (2013, p.19, cited in Olivier 2015, p.143).

The stakeholders of WorkSafe are numerous. Under section 19 of the OHS Act in Victoria, it makes provision for an Occupational Health and Safety Advisory Council (OHSAC) to meet with the regulator quarterly; members are appointed by the Minister. In addition to this key stakeholder group, other major stakeholders representing unions, peak industry bodies and industry experts in OHS meet bi-monthly as a stakeholder reference group (SRG).

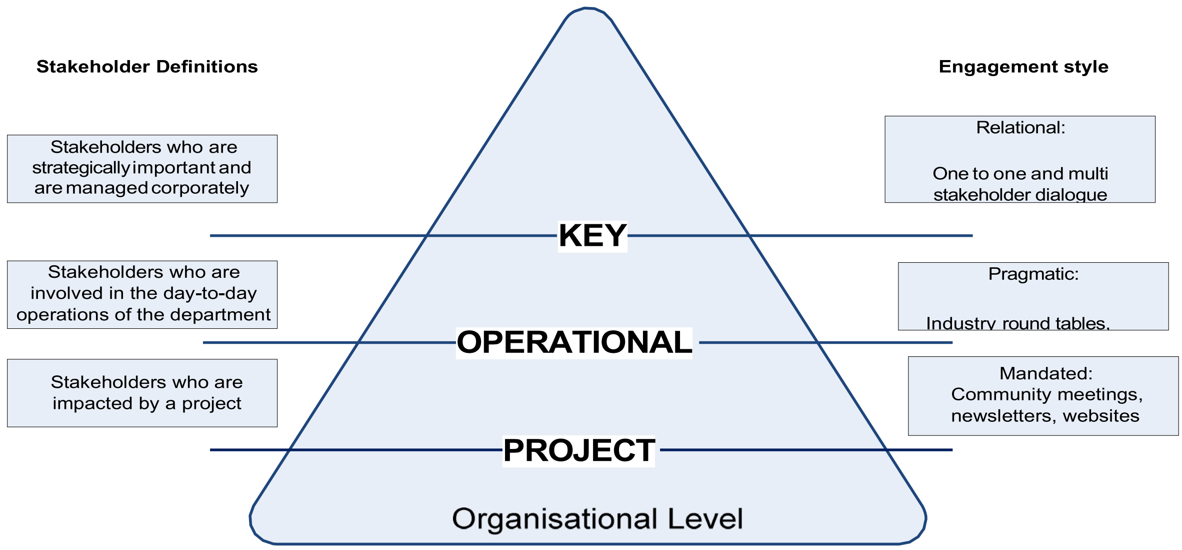
Upon appointment, it would reasonable to say that neither group functioned optimally, with one insider describing the SRG as '*feral*'. Staff who were invited to these meetings were often made statements to me such as they were '*sick at the thought of getting strips torn off them*'. In fact, if I had just been listening to insider commentary without context, I would have thought they were describing a cat fight or football riot; clearly this left me with a one-sided view and surely there was more to understand.

In leadership we often fall prey to cognitive biases: '*these are errors in thinking that affect how we make decisions*' (Barends & Rousseau 2018, p.68; explored more in chapters 5 and 6). Two such biases potentially operating here though for me were **authority bias**, the tendency to over-value the opinion of someone in authority (many authority figures were providing me this information), and **social desirability bias,** the tendency to do what the everyone else was doing so as to be accepted (in this case agree with everyone's opinion on the stakeholders to be liked as the new girl) (Barends & Rousseau 2018, pp.73–74). To ensure I had a fuller picture I took the step to speak to all identified stakeholders individually to commence my engagement.

4.4.6 'One-on-ones' with identified stakeholders

The depth and breadth of stakeholders interacting with government is enormous. In a research study undertaken by Beach, Brown and Keast (2009) on the role of stakeholders in government in Australia, they found a need to ensure you had a specific classification model to assist determine the engagement style required. The model is adapted and provided (Figure 4.5):

Figure 4.5: Stakeholder classification model for public agencies (adapted from Beach, Brown & Keast 2009, p.24)



WorkSafe have a mandated committee (OHSAC) of 18 members, whom I saw as key stakeholders from the classification in Figure 4.5, and an SRG of 24 members, whom I saw as operational stakeholders. With both groups I chose to adopt a relational one-to-one stakeholder dialogue to approach the problem of understanding how stakeholder engagement could best work. The enormity of holding 44 potential face-to-face meetings with all union leaders across sectors, major peak industry bodies, major employers in hazardous industries and major employers with some of the worst safety records and claims histories was daunting, but I committed to this using a modified case study approach. Case studies can have four main applications:

i. to explain the presumed causal links in real-life interventions too complex for survey or experimental strategies
ii. to describe an intervention and the real-life context
iii. to illustrate certain topics within an evaluation
iv. to enlighten situations in which the intervention being evaluated has no clear, single set of outcomes (Yin 2009, p.20).

As part of my modified case study, I planned on doing semi-structured interviews with stakeholders who accepted my invitation, alongside a review of various artefacts (previous minutes, terms of reference, complaints, key legislative and policy documentation, data on injury rates). My intention here was to acquire evidence from stakeholders, alongside evidence from the organisation, and what was available from the literature on stakeholder engagement. I documented all interviews, analysed all documentation and then synthesised the data. I then created a stakeholder engagement role within my function to take all the learnings in and develop a stakeholder charter.

4.4.7 The results

My findings were used to produce a discussion paper on building a stakeholder charter with core underpinning principles (see Appendix 18), alongside providing a draft of a stakeholder charter and principles (see Appendix 19). The intent was that this collective synthesis would then be workshopped with the group to test if it would be effective. The workshops agreed on the content of the document in March 2013, with a recommendation for its adoption to the OSHAC committee later in the year.

The results of this approach also gave me the blueprint for change requirements structurally and strategically to better perform as a modern regulator. We had pockets of very poor underperformance within the organisation and the stakeholders were now more likely to engage in constructive dialogue on required change. One area of poor performance raised through this process was WorkSafe’s role in emergency management. My obvious network in emergency management (from the CFA) meant a very candid assessment was provided to me and I commissioned independent research and a review of WorkSafe's role in emergency management. The results of this work changed WorkSafe's role to be far more accountable for its response to emergency events (published work on this is included in Appendix 20 and my supporting portfolio #3).

4.4.8 The changes to stakeholder engagement: did they work?

Of course, the measure of any new engagement framework with stakeholders is did anything change? Lavallee et al. (2012) contend the best way to evaluate effective engagement is through using an empirical framework developed in agreement with multiple stakeholder groups:

> *…a set of six meta-criteria should be considered as part of stakeholder engagement evaluation efforts: respect, trust, legitimacy, fairness, competence and accountability. These meta-criteria, indicative of the democratic and practical goals of public deliberation, provide a useful framework for evaluating the immediate outcomes of stakeholder engagement efforts.* (p. 399)

These meta-criteria mirror eight key principles captured in the stakeholder charter (see Appendix 19 p.4). A commitment to evaluating the charter was made within its approved documents later in 2013.

4.4.9 Challenges to my PCL paradigm during this period

Having established good stakeholder credibility and made positive changes to WorkSafe's emergency response role, it was an exciting period. With strong stakeholder support, it meant a great opportunity for the development of effective interventions to tackle key hazards to keep Victorian workers safe. However, during this period there was an unexpected change in CE following a change in government. This CE had very different views on stakeholder engagement and the role stakeholders played in working with WorkSafe, and had new ideas for improving organisational performance.

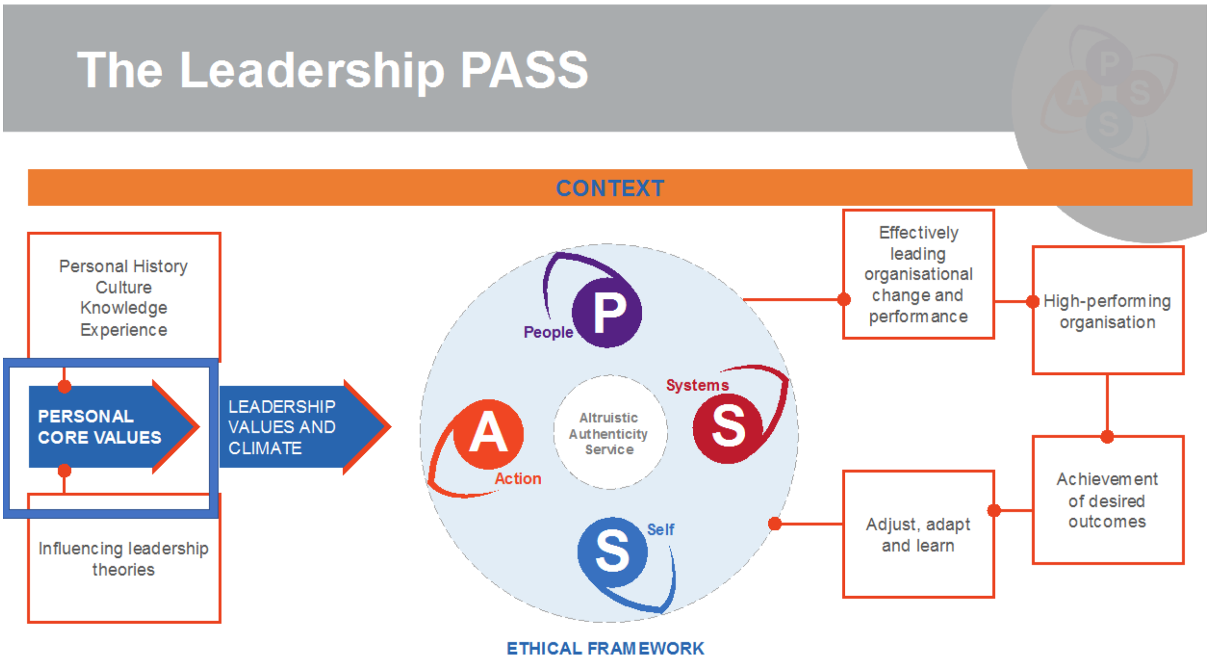
Subsequently, I was taken off working with the SRG and their role was downplayed and the stakeholder charter put on ice. My role was also changed without discussion, and I experienced much interference in conducting my role as a regulator. In executive roles it is well known that changes can be made as required. As this was the first time I had encountered this, it brought two key learnings to my PCL paradigm about dealing with this change.

Firstly, I could diagnose the situation and recognised I needed to be adaptive, but I also needed to be **flexible,** which I didn't first realise. Work by Yukl and Mahsud (2010) explains it this way:

> *One reason for the ambiguity is that flexible leadership can occur in several different contexts. For example, flexibility is required within the same position as conditions change for a leader, and flexibility is also required when moving from one type of leadership position to another with different responsibilities and challenges.* (p.81)

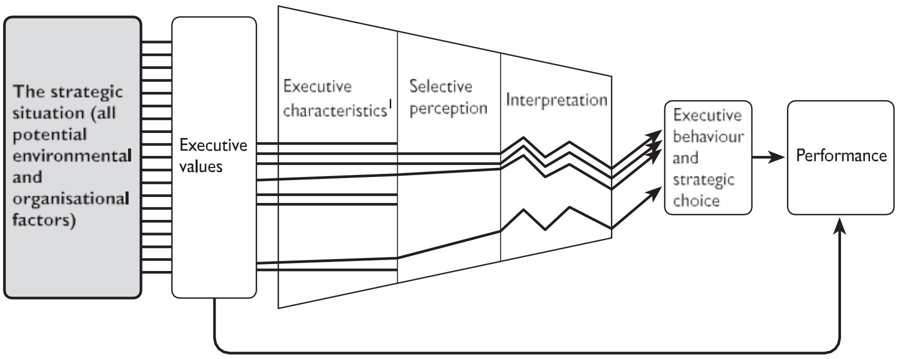
Secondly, even if I did adopt a flexible approach to being given a new role, what I was asked to do in this role impacted my value system. In my leadership PASS a key principle I argue is for executives to understand their core underpinning values (see Figure 4.6).

Figure 4.6: The leadership PASS—understanding your personal core values



Work by Lichtenstein (2005, 2007) on executive values, shareholders and performance has been developed on other earlier authors' work on personal values (see Rokeach 1968, 1979; Russell 2001; Schwartz 1994). Lichtenstein (2007) argues that an executive's personal value system has a direct link to organisational performance, as shown in Figure 4.7.

Figure 4.7: Executive values' impact on performance (Lichtenstein & Dade 2007, p.17, reproduced with authors' permission)



[1]Age, tenure, functional experience, level of education

Both Rokeach (1979) and Schwartz (1992) agree that there are dominant personal values (needs based), and those values are organised by us via their relative importance in life. Lichtenstein and Dade (2007) make a distinction in relation to executive values by calling them operative values. They describe these executive operative values as either being 'adopted' or 'enacted':

> *Executives' operative values are those dominant values that influence choice behaviour… as opposed to adopted values, those that are espoused by the organisation* ***which managers recognise is [sic] important to `get on' but are difficult to internalise, does [sic] not subscribe to and therefore does [sic] not directly influence behaviour to any great degree****.* (Lichtenstein and Dade 2007, p.17, emphasis added)

What I realised was I was unable to 'adopt' the work directed to me via the new CE, as I was not flexible enough in my leadership approach to be able to change my behaviour to align with these tasks as they comprised my core personal (enacted) values.

My tasks from the CE were to: (1) change my approach to working with stakeholders and not use the stakeholder engagement framework, (2) cut 10 per cent of all jobs, and (3) no longer exercise my role as a regulator and support keeping Victorian workers safe. WorkSafe at the time espoused five organisational values: constructive, accountable, transparent, effective and caring.[51] The CE, it appeared, was working with their operative values (not congruent with those described by WorkSafe). However, it was the CE's imperative to direct my work and clearly thought this would improve WorkSafe's performance.

Unmistakeably, my operative values **would** impact on the performance of the business (as the new CE defined in new tasks to improve performance). I realised: (1) I would struggle

[51]http://www1.worksafe.vic.gov.au/vwa/claimsmanual/Content/1TheWorkCoverScheme/1%201%202%20Vision%20mission%20and%20values%20of%20WorkSafe.htm

to deliver a different approach to stakeholder engagement (I strongly felt it would set us back years); (2) there was no compelling business case for a 10 per cent cut, when in fact we had a $679m net result after tax[52] that year, so I didn't agree with the cuts; and, finally, (3) the work I had done in a regulatory space with some very complex issues with stakeholders was taken away from me and I completely disagreed with the direction of decisions on keeping some workplaces safe.

It was time to leave.

4.4.10 Summary: maturing

My key learnings from this period that have informed my PCL paradigm were understanding: the organisational system, the key stakeholders in both the internal and external system, and the value of networks—which all contributed to success.

Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders (from Chapter 2).

When a change in direction came, I understood then how executives' values have an **integral impact on how you perform or not at work**; this too has influenced the development of my PCL paradigm. I left WorkSafe in early 2014 to take up my next role.

In 2016 (two years following my departure) the stakeholder charter originally developed under my leadership was published (with minor additions), on WorkSafe's website (see Appendix 21).

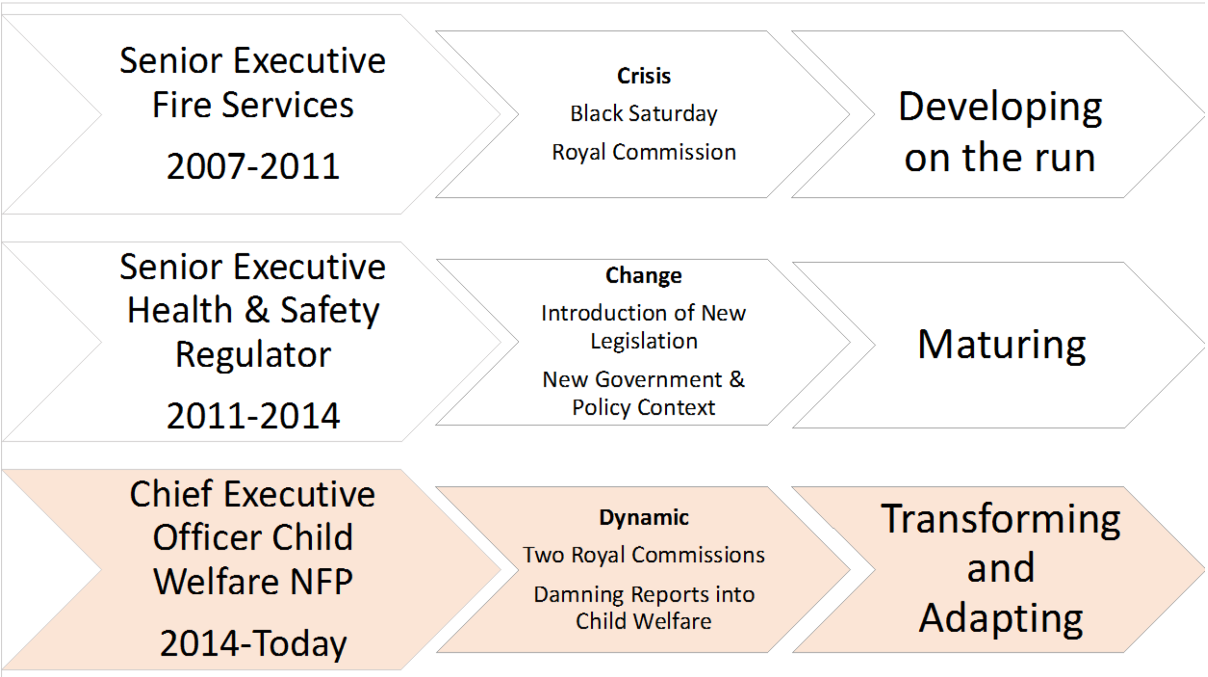
[52] https://www.worksafe.vic.gov.au/news/2014-04/worksafe-victoria-announces-positive-half-yearly-results

4.5 Evolution of My Leadership Approach Section 3 - Transforming and Adapting

4.5.1 Introduction

This section covers my adapting of the PCL paradigm in a transforming environment (as seen in Figure 4.8)

Figure 4.8: Summary of my leadership journey (modified from Chapter 1)



As outlined in Chapter 1, I commenced as the CEO of OzChild in 2014 and, at the time of writing, will be close to celebrating five year's service. Given I have provided the external context for this role in earlier chapters, this section focuses on the internal context at OzChild upon appointment. I discuss how my PCL paradigm came into play for my adaption in leadership to enable the necessary transformation required at OzChild and its links to the external context.

4.5.2 Internal context

My brief for this role upon appointment was interesting. The current incumbent was retiring after 20 years in the role. The executive recruiter described the organisation as '*lovely culture, not a fixer-upper, just maintain as is, but increase fundraising*'. The board members selected to pick the next CEO wanted to ensure I could '*raise funds and make us a national organisation again*'. When offered the role, the Chair outlined that he too would look to retire from the board once I had found my feet in the role and I should plan for board renewal.

After a brief hand-over and meet and greet with the staff from the retiring CEO, I set about making-sense of what challenges and opportunities the organisation had and where I could add greatest value. I read copious documents and chatted with all key staff and board members. The organisation appeared very healthy, however, I noted many red flags in looking at our finances and was informed of a major impending audit, so determined to undertake a due diligence review.

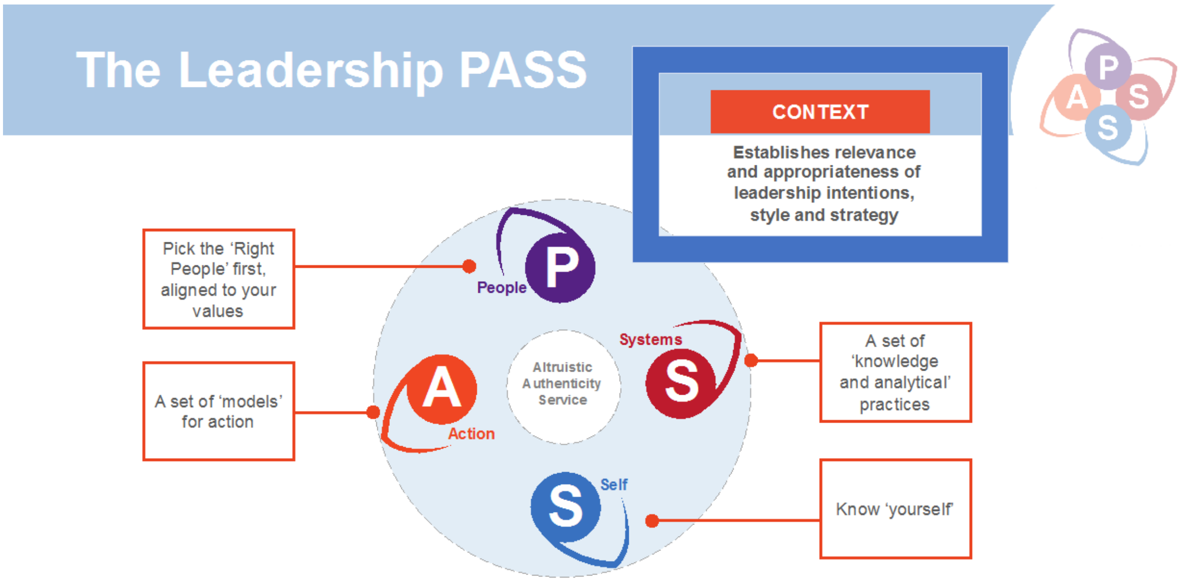
4.5.3 A due diligence review

These early weeks that had raised many red flags in my head and had me commence a due diligence review were to ensure I could fully appraise myself of all the organisational evidence. All information provided to me to date about the retiring CEO had been very positive; however, there is research suggesting that the positive effects of CEOs who are in tenure for too long are outweighed by negative effects and turn to dysfunction, as explained by Hambrick and Fukotomi (1991):

> *Job mastery gives way to boredom; exhilaration to fatigue; strategizing to habituation. Outwardly, such executives may show few signs of this malaise because they may have been well socialized in the importance of keeping up executive impressions and appearances. However, inwardly the spark is dim; openness and responsiveness to stimuli are diminished. The continuing incumbency of these executives is dysfunctional for the organization.* (p.731)

It could be that many of the areas I noticed as red flags where no longer seen by the last CEO. Given the organisation had been around for 164 years, this may well have been the case. As I wanted to ensure I did the best job I could I drew down again on my PCL paradigm—the leadership PASS (see Figure 4.9)—to ensure I assessed the context and to establish the appropriateness of my leadership intention so that I could adapt my style in line with determining the required strategy and in response to what I found.

Figure 4.9: The leadership PASS—assessing the context to determine your response



The areas I focused my review on were Governance, Accounts, Strategy, People and Planning. Fortunately, I had undertaken the Australian Institute of Company Directors (AICD) course early in my executive roles and had become a Fellow in more recent times. The AICD offer a great resource of ten principles that promote good governance. I utilised this resource to assess the governance of OzChild in examining all documents, alongside interviewing all board members (one-on-one) with a consistent set of questions around governance and free-flowing confidential dialog.

The AICD areas are available online (AICD 2013, p. 11). The assessment of this qualitative data and of other organisational data was synthesised and rated using a very high, high, medium or low risk rating, based on what the evidence acquired was saying. In all cases multiple sources of evidence were sourced (internal documents, interviews internally and externally with key stakeholders). I also engaged an external human resource consultant to intentionally undertake a pulse-check with all senior leaders in the business, alongside an external examination of our financial management practices. The results are documented in Table 4.3.

Table 4.3: Summary of key issues found in the review assessment

Area	Assessment	Risk
Governance	Outdated, poorly expressed board policies, no board papers documenting key decisions, no work plans for subcommittees or any oversight of strategic and operational risks. Culture of a 'family-business— board meetings focused on socialising. No engagement of the organisation with any external stakeholders.	Very High
Accounts (financial)	External review showed extreme concerns of financial management practices, with no accountability in place for continuous deficit funding of programs with operational losses nine out of the ten previous years.	High
Strategy	Lack of alignment of strategic plan to day-to-day business. No engagement of staff in strategic planning process, and only two board members had knowledge of it. Strategic plan set 8 years previously and not updated.	Medium–High
People	Review showed a lack of clarity in executive structure, poor people practices, EBA expired in 2006. No performance appraisal for senior staff or clear process on remuneration for non-award employees.	High
Planning	No planning or review process in place or any annual business plan. Senior staff just get on with the day-to-day business. No environmental scanning done and planning for forthcoming risks (e.g. changes in funding).	Medium–High

4.5.4 What to do?

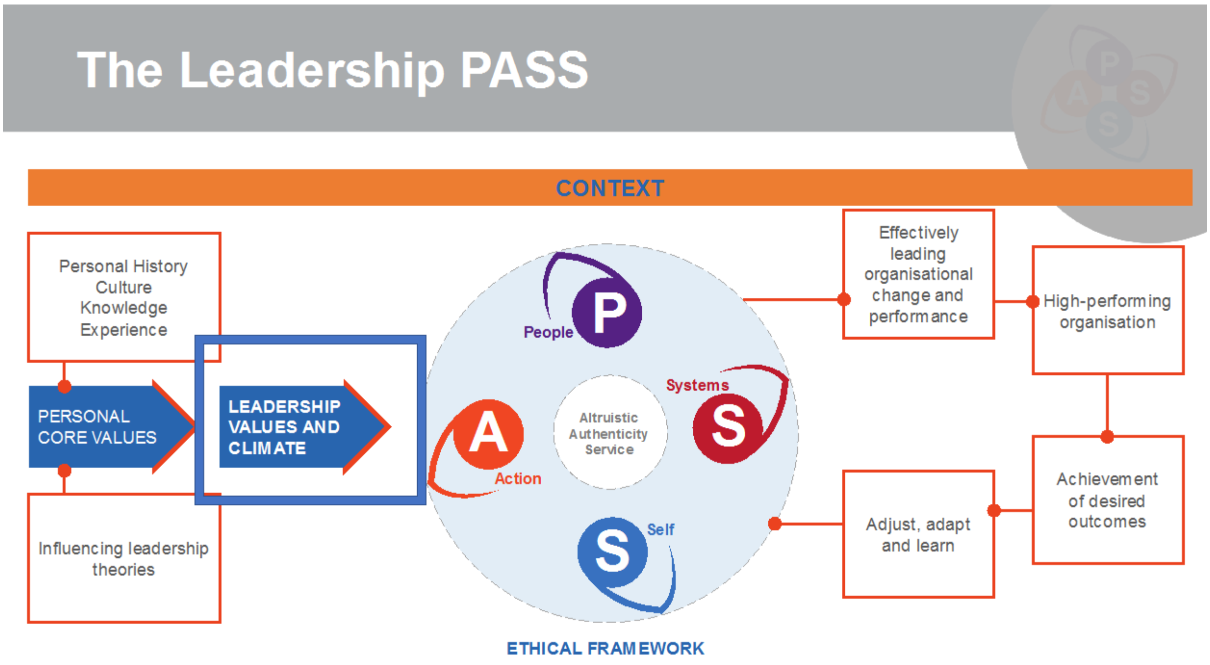
The area of effective executive leadership in the NFP sector is in much need of quality research. As discovered in Chapter 2, the SLR process looked for the highest quality empirical literature to determine this; after identifying 3,557 potential pieces of suitable literature only 22 studies met the criteria for inclusion, with only five in the Australian context. The majority of literature is written in the US, which has limited application for leaders of Australian NFPs—the largest difference being the way boards are viewed in the US. Most NFP board directors are expected to be involved in 'fund development' (Brown & Guo 2010), with the expectation to secure donations and donors (p.539). In the child welfare context in Australia, the key funder for NFPs providing services for children removed from families is government. The government transfers the responsibility to CEOs to provide parental care for that child while under statutory orders of the secretary (head) of the relevant jurisdictional department. This means that it is essential for boards and CEOs operating these types of NFPs to understand their governance obligations in relation to statutory care and funding obligations. It is largely irrelevant if they fundraise, as you aren't allowed to provide this care at law without entering into a service agreement with government and meet the obligations.

It appeared that the governance arrangements to inform the board had been completely overlooked or the board didn't fully understand this. Two board members shared they did know what their governance and fiduciary responsibilities but felt silenced by other members of the board and '*gave up asking*' for information. The board seemed out of touch with how the strategic plan aligned with what the organisation is both funded to do and is doing, but clearly stated they wanted to leave this until the new CEO started. The culture I experienced of the board can best be described as well-intended and sociable. In my one-on-one meetings with board members, they all wanted to see the organisation do its very best. OzChild had been around for 164 years at this point, so good work was being done and potentially more work could be offered. When I met with all major external stakeholders, none of them knew too much about what OzChild had to offer, other than our existing contracts. What to do? Well, I had to adapt my leadership approach and determine a set of priorities for action.

4.5.5 Priorities for action: governance

In looking again at my leadership PASS (Figure 4.10), I knew that all organisations must work within an ethical framework for improved decision-making. In work by Messick and Bazerman (1996), they offer that often the causes of poor decisions are based on inaccurate theories about the world, about other people or about us. Ethical decision-making can improve general decision-making by having a framework to ensure decisions are made with honesty, are based on evidence and are of a high quality. The board had no data to base its decisions (or lack thereof) on, no understanding of organisational metrics and no processes for holding the CEO to account. I used the evidence to have an honest conversation with the board about introducing an ethical approach in their governance informed by good organisational data.

Figure 4.10: The leadership PASS—creating the right climate through an ethical framework underpinned by leadership values



My primary focus to begin with was renewal of the board and investing in good governance practices. Fortunately, the organisation was due for its first major external audit against the funder's Human Service Standards and an audit against the ISO 9001 Quality Management System. I saw this as an opportunity to galvanise both the board and senior management into action towards OzChild meeting its compliance. This was also the view expressed by senior leaders in the organisation, who at an operational level were very concerned about the audit.

The 2012–2013 and 2013–2014 financial years immediately preceding my appointment experienced a combined comprehensive operating loss of $1.42m.[53] What was more concerning were the operating budgets; budgets were set, but there was no evidence of any accountability of anyone sticking to a budget. Instead, the budgets set and actual operational spending were wildly different (see section 4.31 Actions: Getting to Breakeven) and much of the poor operating performance was being masked by the organisational endowment funds (managed funds invested) that would provide an income to the business and it then would artificially offset the continuous overspending, which if justified may have been appropriate, but due to no annual business planning there was no way of justifying continual deficit funding in all business lines. One business line was operating at a loss in excess of $300,000 per year (see section 4.5.8 Actions: Getting to Breakeven). After providing the board with my candid assessment, a course of action was agreed upon.

4.5.6 Actions: governance

Two board members agreed to draft a new set of board policies. Several board members resigned as planned (including the Chair). A clear set of financial delegations was put into place, including that the CEO could not spend more than $100,000 without board approval outside of budget. A board charter was committed to, and the CEO was authorised to commence renewal of board positions alongside beginning to look at a new strategic direction. The CEO was given two years to bring the budget back to surplus, which would mean closure of some programs. Then would begin the next phase, galvanising the organisation to turning the OzChild ship around; it had survived 164 years, so it was likely it could survive this—new frontiers lay ahead.

[53] https://www.ozchild.org.au/wp-content/uploads/2015/03/OzChild_FinancialStatements_2013.pdf

4.5.7 Priorities for action: accounts (financials)

With my key performance indicator to bring the budget back to breakeven, I had to set a path to diagnose why there was a lack of discipline in operational spending and budget management. I again looked at both external and internal data.

I met with CEOs of other like-CSOs to seek their views on operational budgets and what was common practice, given I had not run a CSO in Australia before in child welfare. I also looked at other CSOs' annual reports and looked at where our greatest internal pressures manifested. What I discovered was quite straight forward. Externally, most CSOs had breakeven or better operating budgets. Some larger CSOs had their eye on OzChild and saw it as easy pickings for a future acquisition. Internally, there were two odd programs running that did not align in any way with core business (one was loosely related as it had young people involved) and were running at a significant loss. When I did some digging and met with the Department of Education and Training, it turned out there were several other providers in the same vicinity that provided the exact same program but were purely focused on education of young people—unlike OzChild who were doing it as an addition to business-as-usual. So, we were offering a program that we didn't have expertise in, in a highly competitive market, with specialised providers to compete with, and OzChild was unsurprisingly running at a big loss.

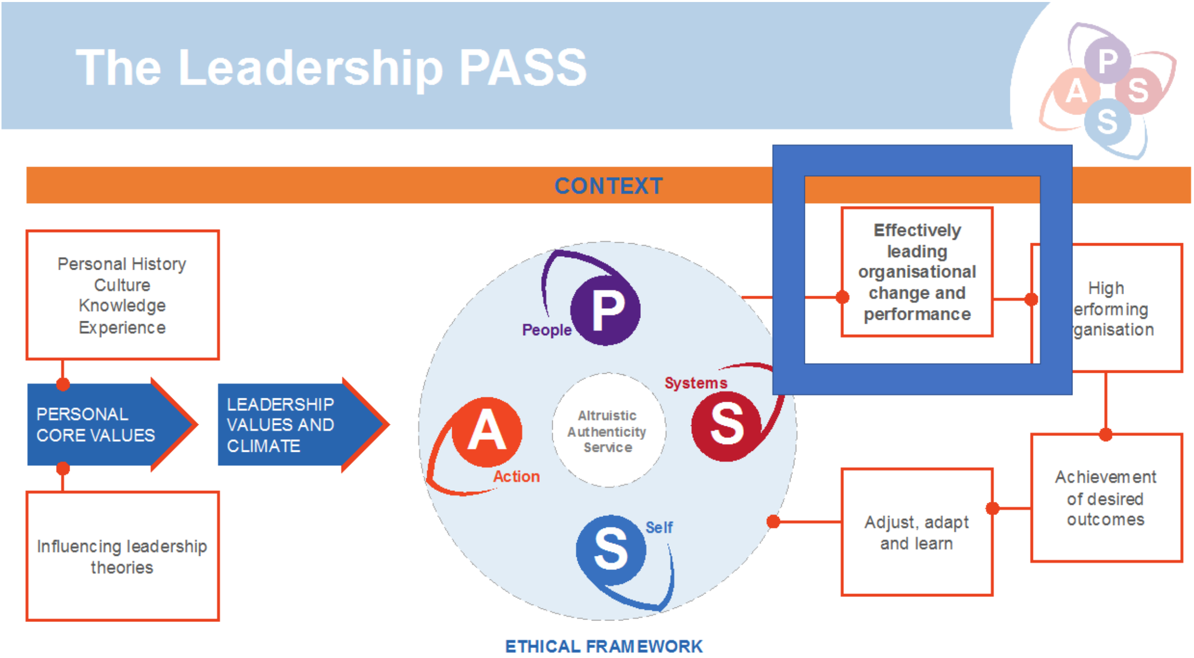
The other was an opportunity shop (traditionally its business model is to raise funds through using local volunteers to sell donated goods to the local community). In OzChild's case it had signed a three-year lease on the shop at a cost of $44,000 per year, hired a full-time manager to recruit volunteers at another $80,000 per year and after two years had recruited only five volunteers. With the cost of picking up donating goods, plus the manager's time and cost of the lease on the shop (designed to raise funds for OzChild) it was running at a significant loss. It was cheaper if we just closed the doors.

Finally, we had very poor financial literacy at the management level. In work done by Kluvers (2014) on Victoria's community sectors' access to accounting skills he found that access to accounting skills was uneven in the sector and a number of barriers existed, such as lack of funding, time and education, alongside awareness of paid staff in basic accounting knowledge. The unevenness was attributed to the size of the CSO, and given OzChild had been a fairly small CSO it could well be that financial literacy in staff was low due to lack of support in basic budget practices and accounting.

4.5.8 Actions: getting to breakeven (accounts & finances)

The pathway forward was evident, with a need to close the educational program, the opportunity shop and provide financial literacy support to line managers as a minimum. Before embarking on the pathway, a significant plan was drawn up with costings and communications. My leadership PASS shown in Figure 4.11 identifies that using the four domains of People, Action, System and Self will lead to more effective leadership of organisational change.

Figure 4.11: The leadership PASS—effectively leading change



Having used the PASS domains to help diagnose the problem, to effectively implement the solution required full engagement with all the staff by explaining the problem (i.e. sharing the data, which was through providing the compelling case for change). Some slides from the case for change communication shared with staff at all sites are provided in Figures 4.12, 4.13, 4.14 and 4.15.

Figure 4.12: Case for change pack from 2014 used with all staff (our funding)

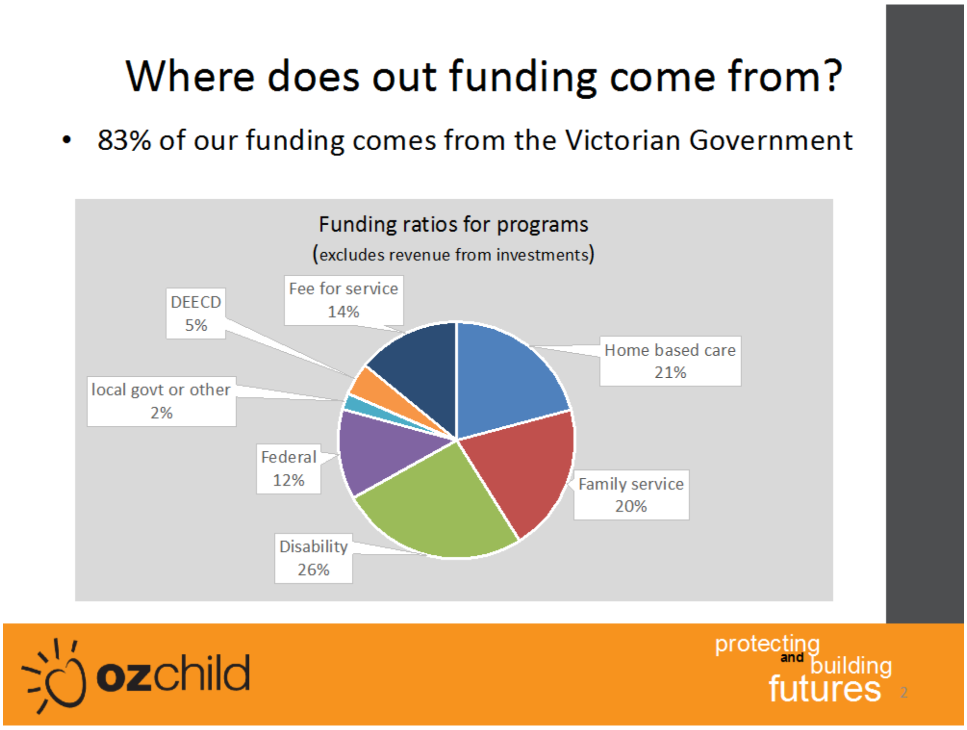


Figure 4.13: Case for change pack from 2014 used with all staff (our current approach)

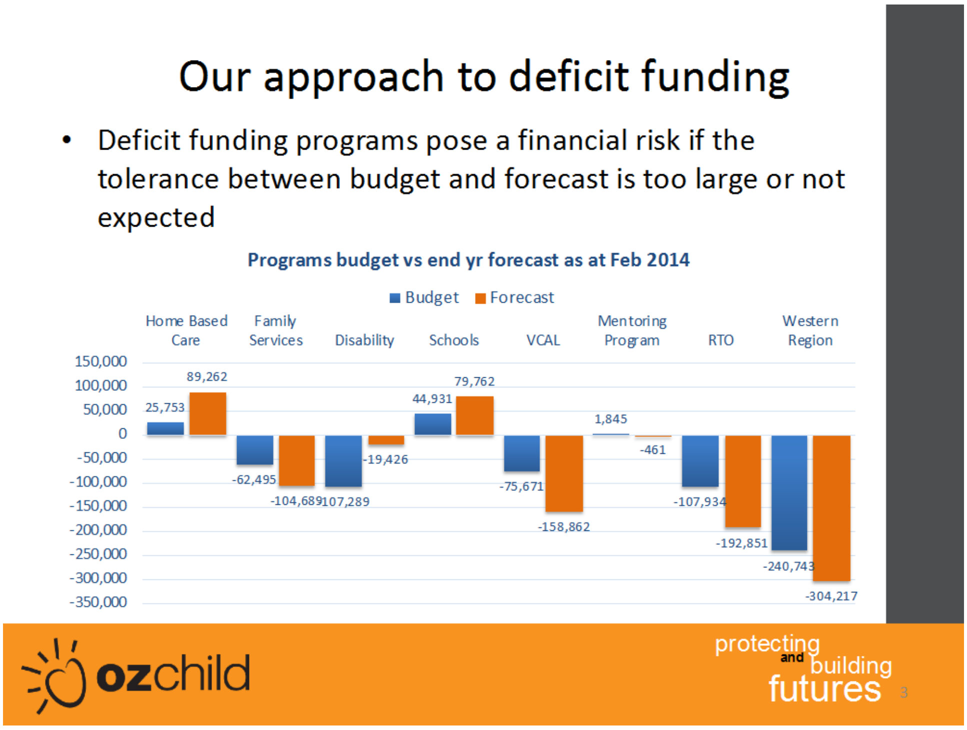


Figure 4.14: Case for change pack from 2014 used with all staff (our financial performance)

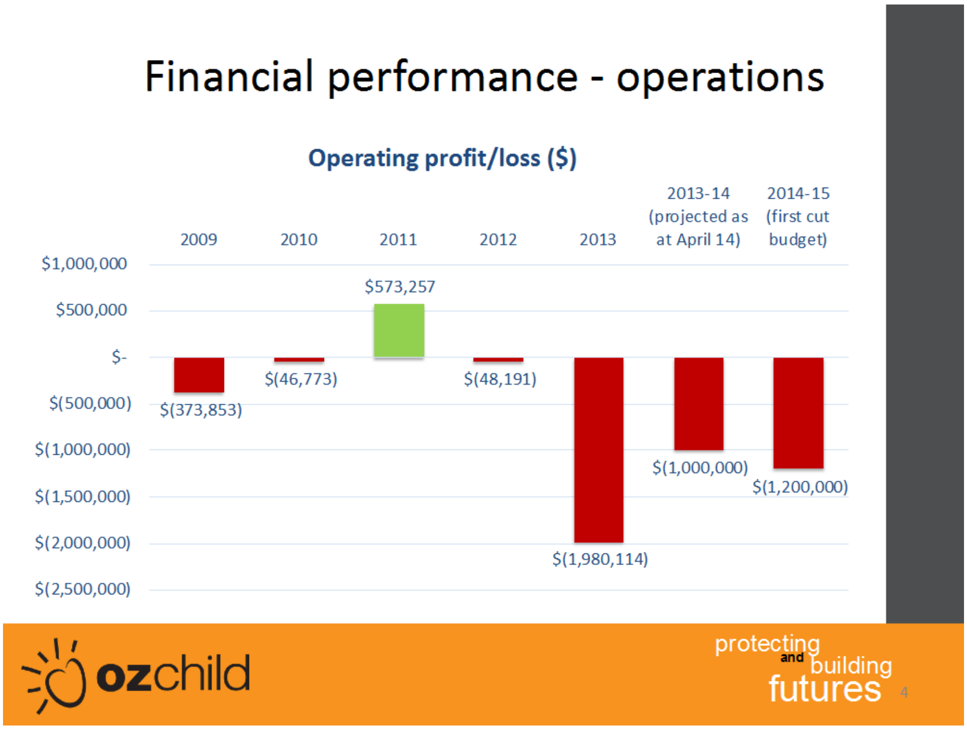


Figure 4.15: Case for change pack from 2014 used with all staff (time before we run out of cash on current spending trajectory)

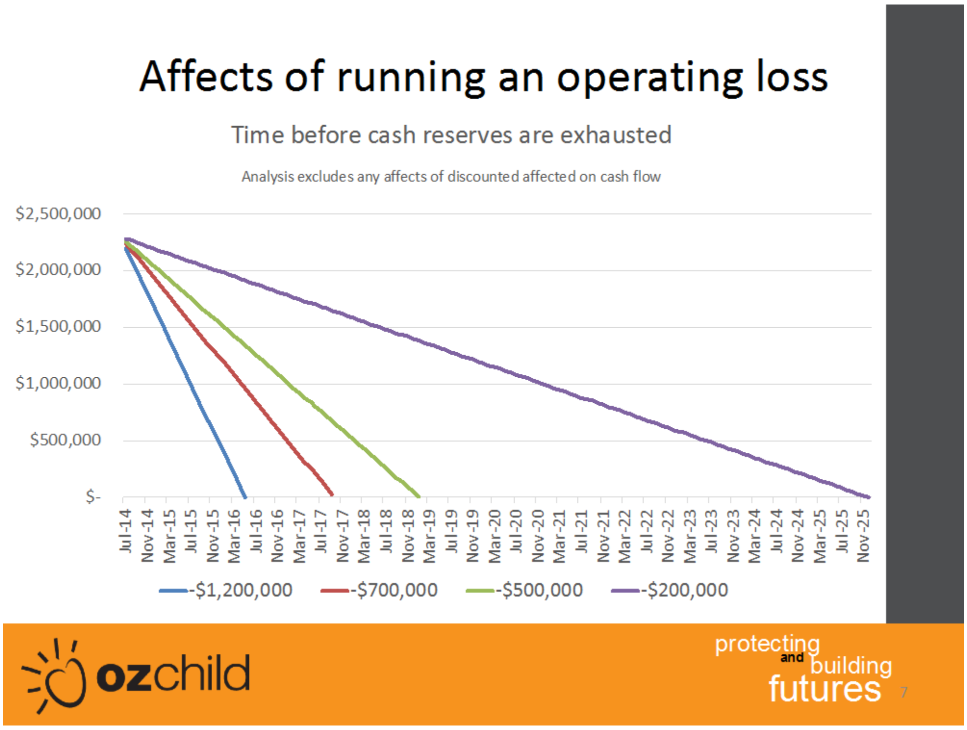


Figure 4.15 tells the most compelling part of the case for change, in that if we kept spending at the current rate, we could be out of cash reserves within 18 months. If we reduced it, then there were various scenarios projected, as depicted in the figure of when the cash would be gone. The requirement for long-term change was essential.

Kotter (2007) is well known for his eight-step leading change process, but he cautions on under communicating and recommends it's done by a factor of ten. When I started at OzChild I sent an all-staff email every day for my first week, then every week for my first 100 days, informing the staff of my journey. I then established OzChild's first internal newsletter called 'OzNews' weekly and then, after a while, moved to monthly (staff had never had written communications before or any internal news channel). The staff directly impacted by the changes were all involved in the change process directly, with two key principles to lead it: (1) all clients would maintain service until another suitable service provider could be found; and (2) all staff would be provided with full support to redeploy, retrain or transfer with clients to another provider, and full redundancies would be available. The change went seamlessly, with all clients transferred and jobs found for all impacted staff. OzChild was heading back in the right direction—at least financially. Now it needed a new strategic direction to chart its next course.

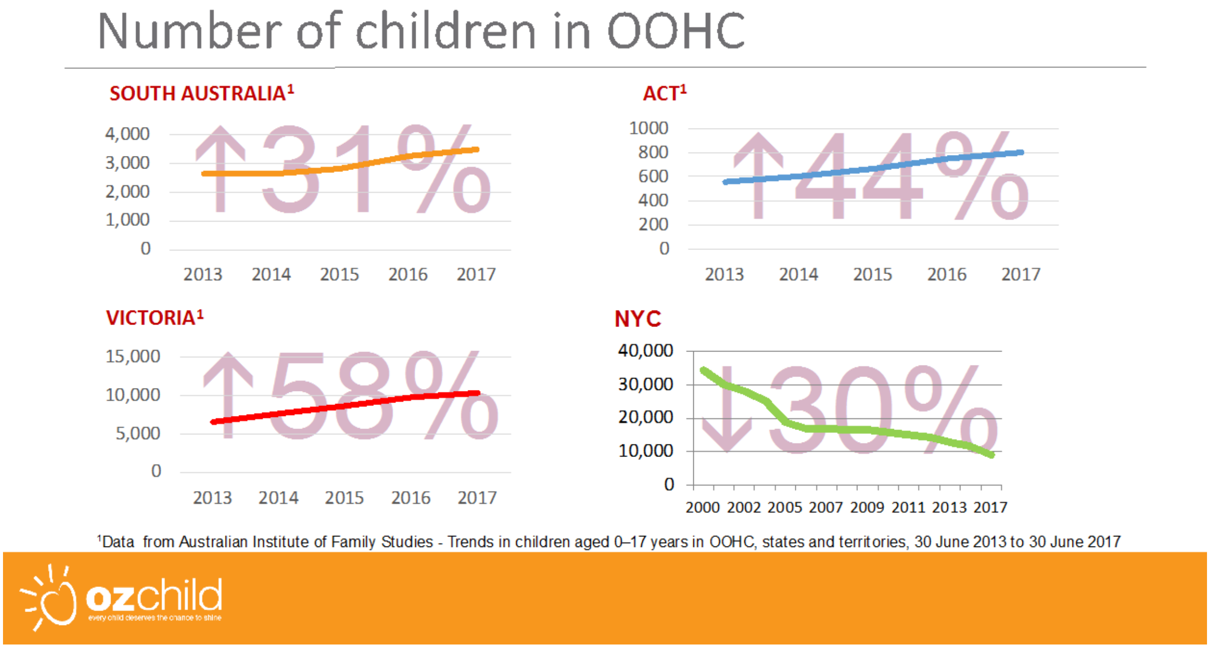
4.5.9 Priorities for action: strategy – realignment of vision

Strategic leadership theory argues that organisations are reflections of the top executives (Hambrick & Mason 1984) and that the specific knowledge, experience, values and preferences of top executives are reflected not only in their decisions but also in their assessment of decision situations. Within the evidence I had gathered in my analysis, referred to in Table 4.3, there was no connection with the existing strategic plan to day-to-day work. All expensive and poor decisions were aligned to this same paradigm. The existing strategic plan had also been in circulation for over 8 years, and very few staff or board members could recall what the goals were if stopped and asked. As we now had a refreshed board, the need for a new strategy was long overdue. We had a terrific new Chair appointed, who determined that a new strategic plan could be commissioned.

4.5.10 Actions: using evidence to inform strategy

The development of OzChild's new strategic plan was extensive, from full staff engagement to widespread environmental scanning. Stakeholder input (both clients, other providers and government) was also sought and this culminated in the board striking a new Vision, Purpose and Commitment. The plan can be found in Appendix 22. In developing the plan, I chose to self-fund a trip to the US. I had previously been a CEO of an NFP in the US and was intrigued by the evidence coming out of New York on the reduction of kids from OOHC, given one of our key problem statements was the increase in the number of children entering OOHC. A comparison with Australian states is seen in Figure 4.16.

Figure 4.16: Comparison of number of children in OOHC in states in Australia and New York City



To give numerical context, the population of Victoria in 2018 is 6.15 million,[54] of which about 24 per cent are under the age of 19.[55] The population of NYC is 8.55 million,[56] of

[54] http://www.population.net.au/population-of-victoria/
[55]http://quickstats.censusdata.abs.gov.au/census_services/getproduct/census/2016/quickstat/2?opendocument
[56] http://worldpopulationreview.com/us-cities/new-york-city-population/

which 24 per cent are children under 18.[57] In Victoria the number of children in OOHC in 2017 was 10,312[58] and had doubled over the last 5 years (i.e. a smaller population of children but larger and rising number of children living in OOHC). Conversely, in NYC the number was 8,512[59] and it had decreased by 30% over the same period. Therefore, in NYC there is a larger population of children and less (and declining) number of children living in their OOHC system.

Given this, I wanted to understand what had 'worked' for them, and what impact it had had for children and their families. What I discovered was aligned with my leadership PASS:

Action:	Be an evidence-based leader and provide evidence-informed services to improve client and organisational outcomes and make better decisions (from Chapter 2, Part 2).

In NYC, the drive down in numbers of children being removed from families was an investment into evidence-based models (EBMs). Several programs were introduced, matched to client need. Currently in Australia, if you are in 'need' of a service to address PTSD, for example, and you enter the child welfare system, organisations will accept your referral but treat you with whatever is available—not necessarily what the evidence says works, often claiming 'it will do no harm, and better than getting nothing'. This view is completely misaligned with my core values. So, I relentlessly pursued changing this paradigm (more to come a bit later). An evaluation completed by Casey Family Programs (2017) found, '*that case goals achieved was [sic] much higher through EBMs than traditional programs and a decrease in investigations of child abuse and neglect in high risk families receiving EBMs*' (p.8); that is, less children being removed and less children being harmed. Of course, I brought this research data and intelligence back to OzChild to look at what we could do to the mirror the effect and I have subsequently added to the research with the SLR completed in Chapter 2 (Part 2) to understand how you implement EBPs in the Australian child welfare context—something that had never been done before.

[57] https://en.wikipedia.org/wiki/Demographics_of_New_York_City#Demographic_profile
[58] https://aifs.gov.au/cfca/publications/children-care
[59] https://www1.nyc.gov/assets/acs/pdf/data-analysis/flashReports/2018/08.pdf

4.5.11 Priorities for action: people

Following the introduction of a new strategic direction and four clear goals and measures, it was time to look at organisational alignment to ensure that we matched our form (structure) to our functions in order to deliver on this bold strategic plan (see Figures 4.17 and 4.18).

Figure 4.17: OzChild's new vision, purpose and commitment struck in 2016

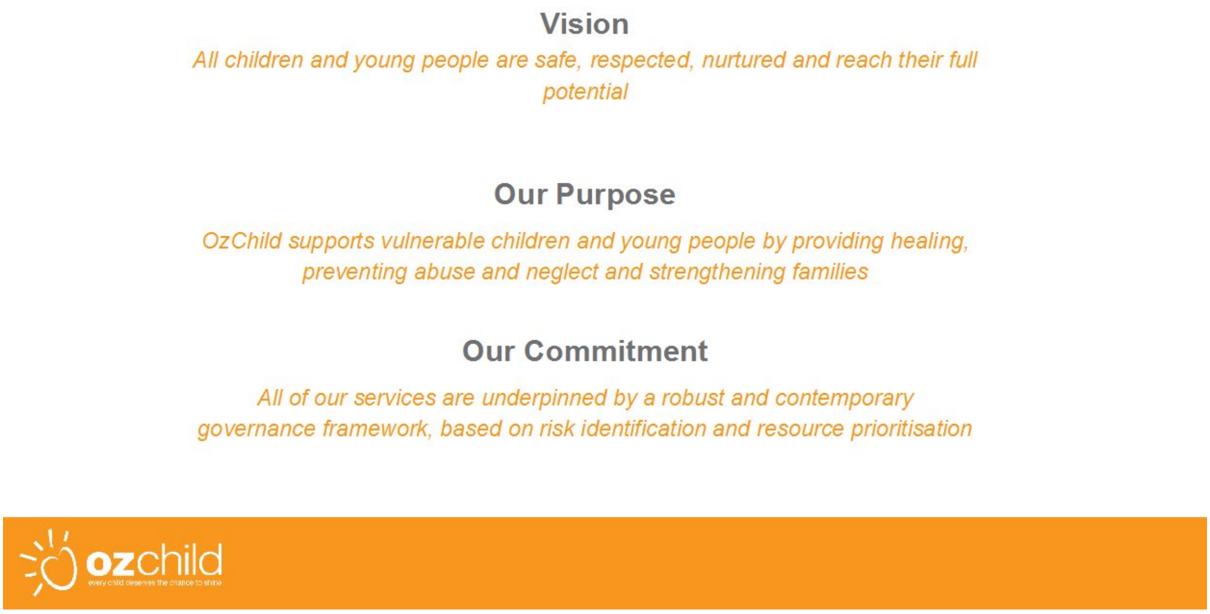
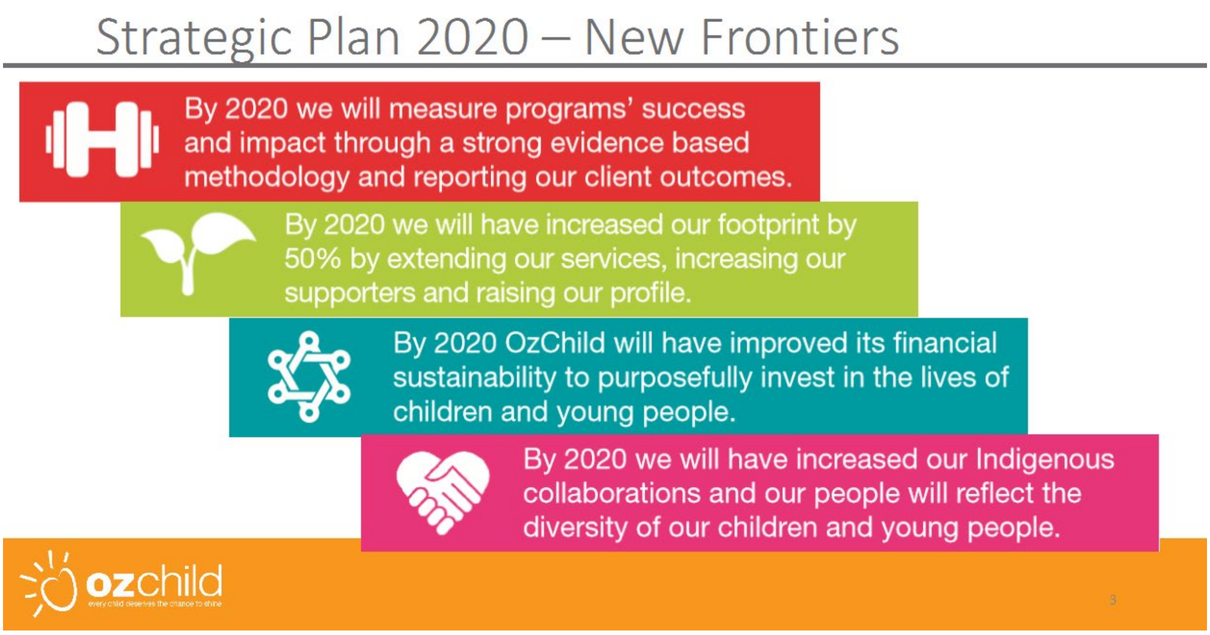


Figure 4.18: OzChild's measures against its four strategic goals (see Appendix 22)



4.5.12 Actions: people—form follows function

In work by Sarros and Sarros (2007) on CEOs' first 100 days, they determined that in today's context the process of acclimatising to an organisation is relatively short. CEOs have a multitude of stakeholders to engage both externally and internally alongside the board. To be most effective at this they assert, along with other authors, that:

> *…the best way for a new CEO to deal with these issues is through 'setting and communicating strategy, putting sound processes in place, [and] selecting and mentoring key people'. The new CEO also sets the tone and culture of the organization through these behaviours. In the end, any CEO appointment has a moral imperative, which is to do the best for the organization while remaining grounded in everyday realities that extend beyond the workplace.* (Porter et al. 2004, p.72; Kelly 1980, cited in Sarros & Sarros 2007)

With significant change already underway at OzChild, having key staff to share running the organisation during this change period was essential, as stated by Porter, Lorsch and Nohria (2004, p.65). Before jumping into restructuring, I wanted to ensure that form followed function. I intentionally took advice from external human resources specialists to realign functions of work to the strategic direction, so I could successfully create the right roles and attract people with the rights skills. The result of this work led to revised executive portfolios and I went to market, choosing two external candidates and two internal candidates with a mix of gender, experience and diversity. With a new executive team in place and a new strategic direction we now had to execute a plan.

4.5.13 Priorities for action: planning

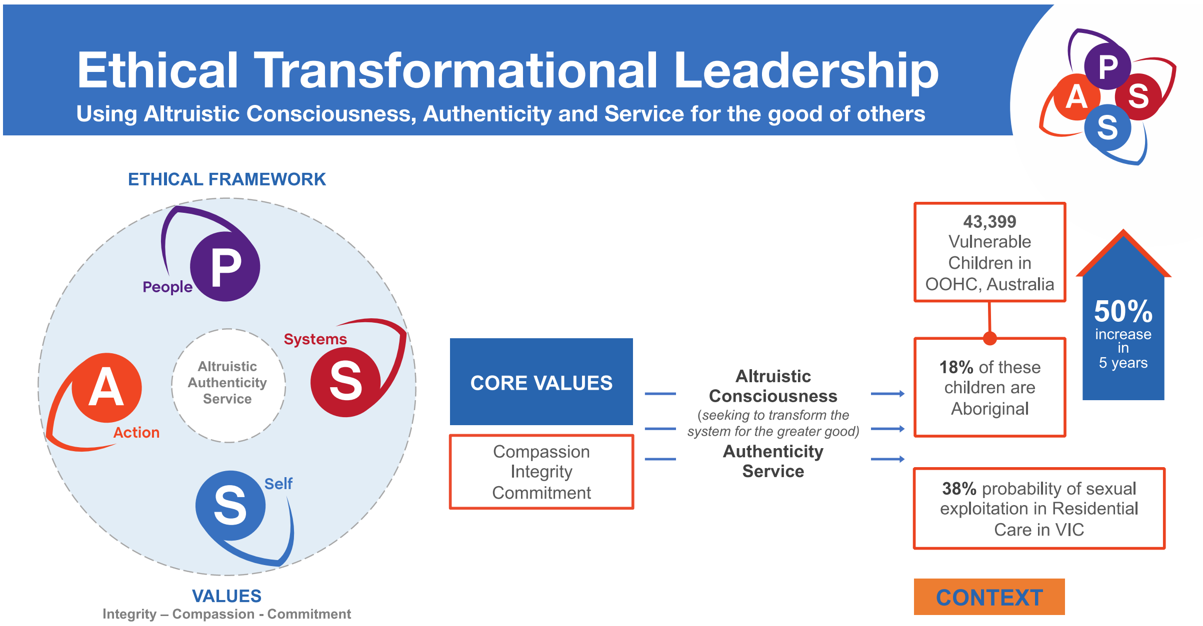
One of the strangest findings from Table 4.3 in my initial review was that there was no annual business planning process in the organisation. A study conducted on NFPs' organisational effectiveness in the US in 1998 found stakeholders viewed those NFPs with good management practices, such as planning, more likely to be effective (Herman & Renz 1998). When I asked staff what planning they did, they said it was driven by government; that is, government funds us to provide 165 beds in foster care and our target is to meet that (so we recruit foster carers continuously to have at least 165 beds available).

This concerned me that we weren't at all looking to align our work with our vision or purpose if all staff were focused on was meeting an output measure. Nor did we measure what change we wanted to see; there were no program logics for any programs. Various authors define the use of program logics as:

> *A program logic model is a schematic representation that describes how a program* is intended to work by linking activities with outputs, intermediate impacts and longer-term outcomes. Program logic aims to show the intended causal links for a program.* (NSW Ministry of Health 2017)

So, connecting our day-to-day work with the problems in our context was needed, and our planning needed to intentionally do this. All programs delivering services to our clients needed to have a program logic, so staff could understand what linkages there were between their work and change they were looking to make with their clients. I used my leadership PASS (see Figure 4.19) to connect the problem we were trying to address (on the far right of the figure) with a TL approach. At this point in my PCL paradigm I adapted my approach as I had realised that I needed to **transform both the internal context and the external one**, as the external context behaviour (output measure of funding x number of foster care beds) was not transforming lives; it was **keeping kids in foster care,** as this was reinforced by my staff who were **measured by keeping those same kids in foster care** (it was rewarded by payment)—a system reinforcing its own terrible outcomes. A system in crisis!

Figure 4.19: The leadership PASS—ethical transformational leadership



4.5.14 Actions: from strategy to execution transformation 'inside and out'

In seminal work by Emery (1977), he stated:

> *Men are not limited simply to adapting to the environment as given. Insofar as they understand the laws governing their environment they can modify the conditions producing their subsequent environments and hence radically change the definition of 'an adaptive response'* (p.67).

Emery is saying that as long as we understand the rules of the game we can change how we play it. Clearly from the discussion on the research context I opened with in Chapter 1, an adaptive response was required, otherwise we would continue with the definition of insanity by keeping on doing the same things and getting the same results. There was evidence that results could be radically different from the New York example, so my quandary now was how do I do it here in Australia? My only way was to adapt the system to deliver EBPs in Australia.

In work by Glaser (1994), he discusses the use of typical strategic behaviour to guide organisational strategy (i.e. looking at strategic fit, industry structure, competitive advantage and strategic focus). However, in addition, what Glaser proposes is that motivational factors can play a part in an organisation in itself directing the adaption of the environment or creating an adaption in the system through resetting the rules (1994, p.33). In OzChild's case, my proposal was to introduce the first EBPs to Australia in child welfare. Therefore, **reset the rules thus creating adaption in the system**. Where there seemed to be no gap in the market and no new investment, what I did was draw down on my leadership PASS through my knowledge acquired about EBPs.

Systems:	Develop knowledge and analytical practices to navigate executive leadership. Navigate the system and all its stakeholders (evidence-based practice, from Chapter 2, Part 2).

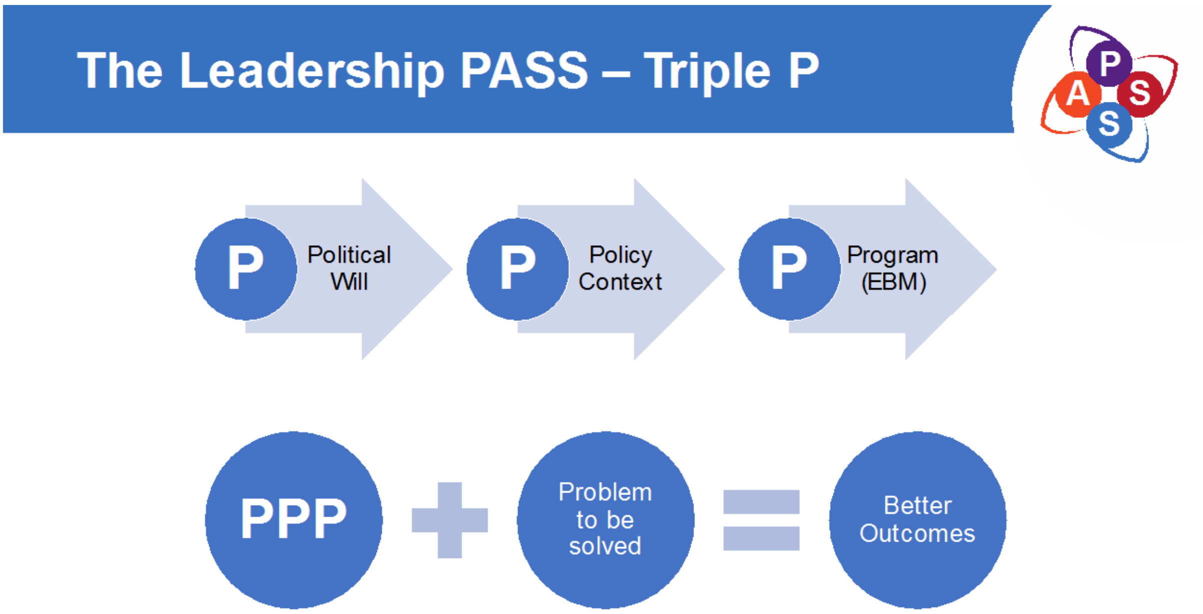
I developed a business case and got KPMG to undertake a cost–benefit analysis for me to argue the case for joint investment with government on three models particularly suited for problems identified in the context (see Appendix 23 for the report). I took the knowledge (and case) to the Minister (who I also convinced to take a trip to the US to see for herself, which she did), to the funders (the department) and my board. I had created the case for strategic investment to bring the first EBPs in child welfare to Australia. My board committed to a $2m investment into introducing three new EBPs to Australia and I subsequently got government to commit to jointly funding these programs with OzChild. I positioned this as part of the new Minister's commitment to testing new initiatives to tackle the problem of the rising number children entering OOHC.

Finally, **transformation** on the inside and outside of OzChild had begun.

4.5.15 Results: Transformation Changing Lives—Triple P, the Art of Crabbing (External Transformation)

Within 2 years the take up of EBPs went from zero to 18 programs, involving a public investment of $22m per year. In Viktor Frankl's (2006) seminal work, called *Man's Search for Meaning*, he stated that we all must adopt a position of crabbing; crabbing being an analogy of a flight path: if you chart your course in a linear route around the curvature of the world you'll land well short of your destination, instead you must plot your course like a crab and aim much higher to allow for the curvature, so you land where you need to be. Frankl's message gives us meaning: that we must always set the bar much higher. In my approach and my PCL paradigm I did much the same to give meaning to the system and create the adaption, but I used a simple analogy called 'triple P' as shown in Figure 4.20.

Figure 4.20: The leadership PASS—Triple P



If you follow Figure 4.20 from left to right, through lining up **P**olitical will (creating meaning—there was a big problem to be solved; that is, the rising number of kids into OOHC), within the **P**olicy context (i.e. the system at play, so work with the customer—government—to adapt the policy context to fund the child welfare sector differently and jointly fund new initiatives with robust evaluation and economic modelling sharing both risk and reward) and, finally, match the **P**rogram to the problem needing to be solved through using an EMB to match needs (of clients) with the best available evidence (what works). Included in the appendices are two case studies from two of the programs. SafeCare (Appendix 24) was recently featured on Four Corners, and Treatment Foster Care Oregon is assisting to get children (aged under 12) who have been left to live without a family in RESI care to a family environment (see Appendix 25).

4.5.16 Alignment of Team (Internal Transformation)

To bring this work to life (18 new teams!) required a high-performance executive team to work with me and a board to enable us. To do this I needed to go back to the domain of People from the leadership PASS to inform the alignment of the team.

People:	Pick the right people aligned to your organisational values (from Chapter 2, Part 1).

Tuckman first brought us the now famous forming, storming, norming, performing team development model (Tuckman & Jensen 1997), which advocates for the leaders to adapt their style to the team at every stage (e.g. in the forming stage you begin with a directing style, move to coaching, participating, delegating and detached). I *don't* subscribe to this model of working as a team. At the executive level, you have very talented people, and what you need to do is '**set them up for success'**. There are scholars who agree; to have a highly effective team the leader should focus less on their style of leadership and more on ensuring all functions of work can be accomplished, this includes: (1) balancing the collective efforts of the team, (2) identifying the most important tasks for success, (3) ensuring you have the right knowledge and skills collectively to bring to bear on those task, and (4) removing all barriers that get in their way (Hackman & Wagemen 2005). This was also afforded to me through my new board Chair, Helen Maxwell-Wright. Helen is an outstanding leader who ensured throughout this journey I too was set up for success by leading the board through its transformation, securing board members values matched to our work and aligning investment with what we needed to achieve. With this support and mandate, I established a new executive team around functions of work to deliver on the organisational strategic direction set by the board. To enable the team's success and continue with internal transformation I firstly ensured that my executive's individual values were aligned to the strategic direction. We then collectively set key principles to guide the organisation's work for us as individuals and for all staff. This, I contend, has been more pivotal than stating organisational values. They are called 'the OzChild Way' (see Figure 4.21).

Figure 4.21: The OzChild Way

I celebrate my 5th year as CEO in February 2019. OzChild will be celebrating its 169th year. My job, along with the incredible executive team, is that we have custodianship of OzChild during this phase of its long life; it's our job to ensure we leave it in a better place for those that come after us. Over the last 5 years I have adapted my PCL paradigm to transform both the external and internal context. Figures 4.22 to 4.26 illustrate how we at OzChild look now, having put the paradigm into practice.

Figure 4.22: The change in our operating income (I joined in Feb 2014), growth of 202%

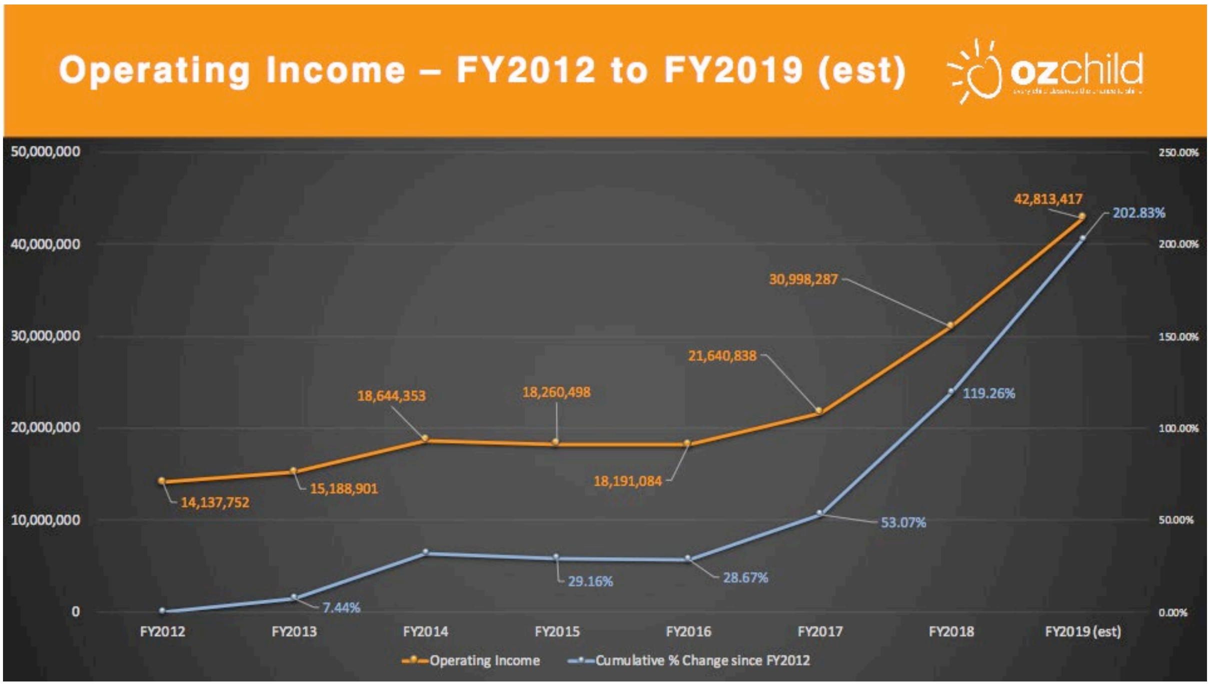


Figure 4.23: The change in our net assets (I joined in Feb 2014), growth of 21%

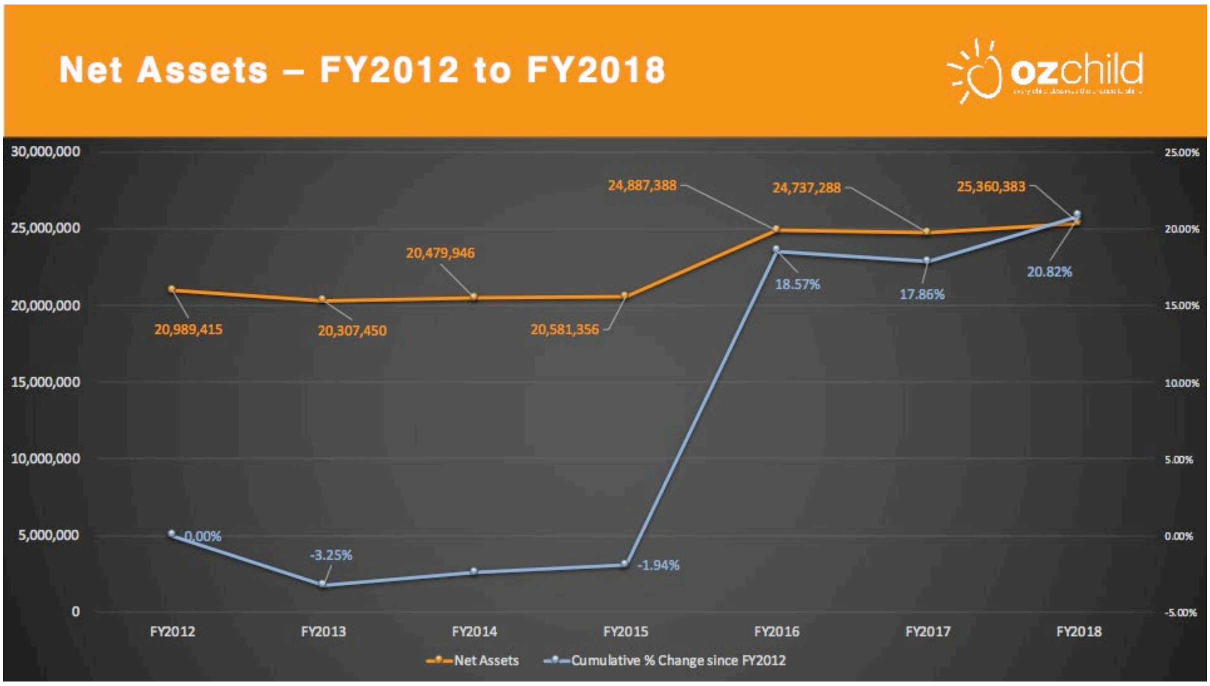


Figure 4.24: The change in our comprehensive income (I joined in Feb 2014)

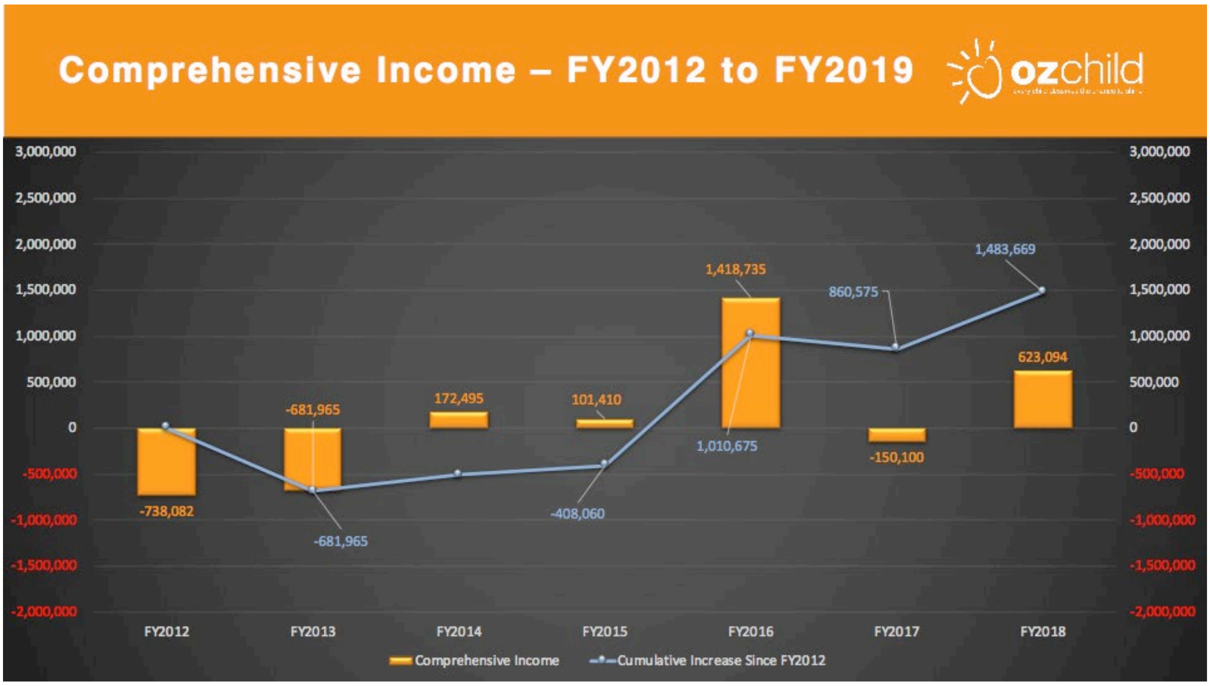


Figure 4.25: The change in our operating income, net assets and comprehensive income (I joined in Feb 2014)

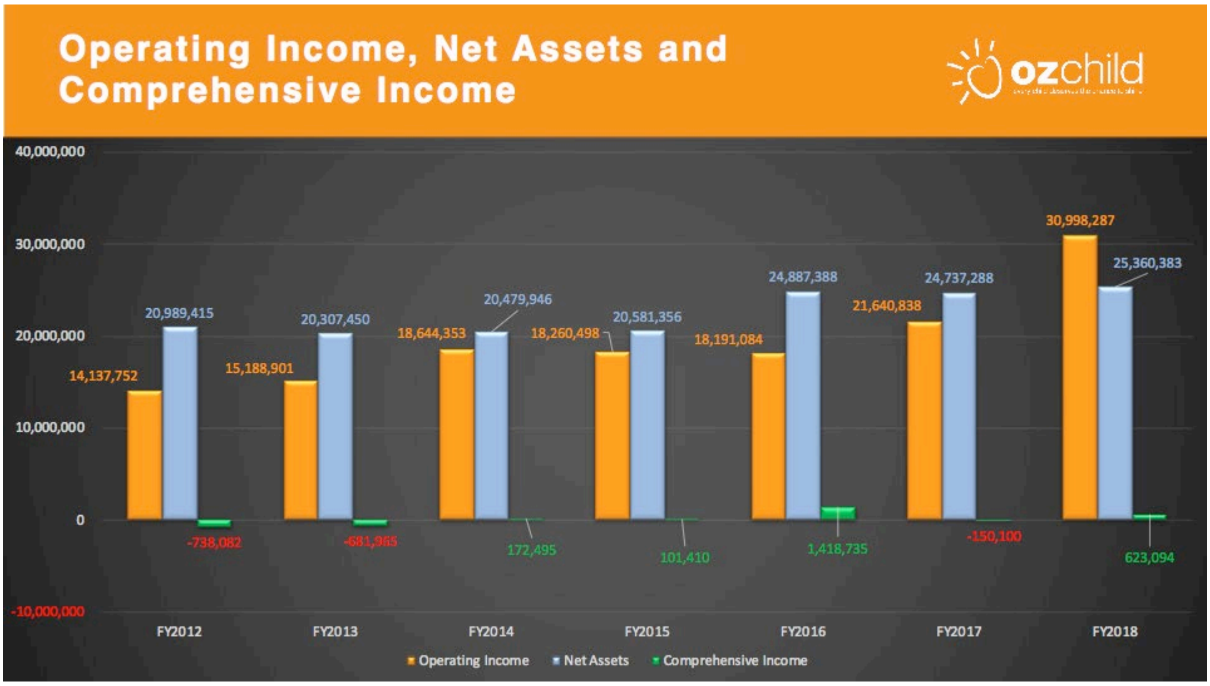
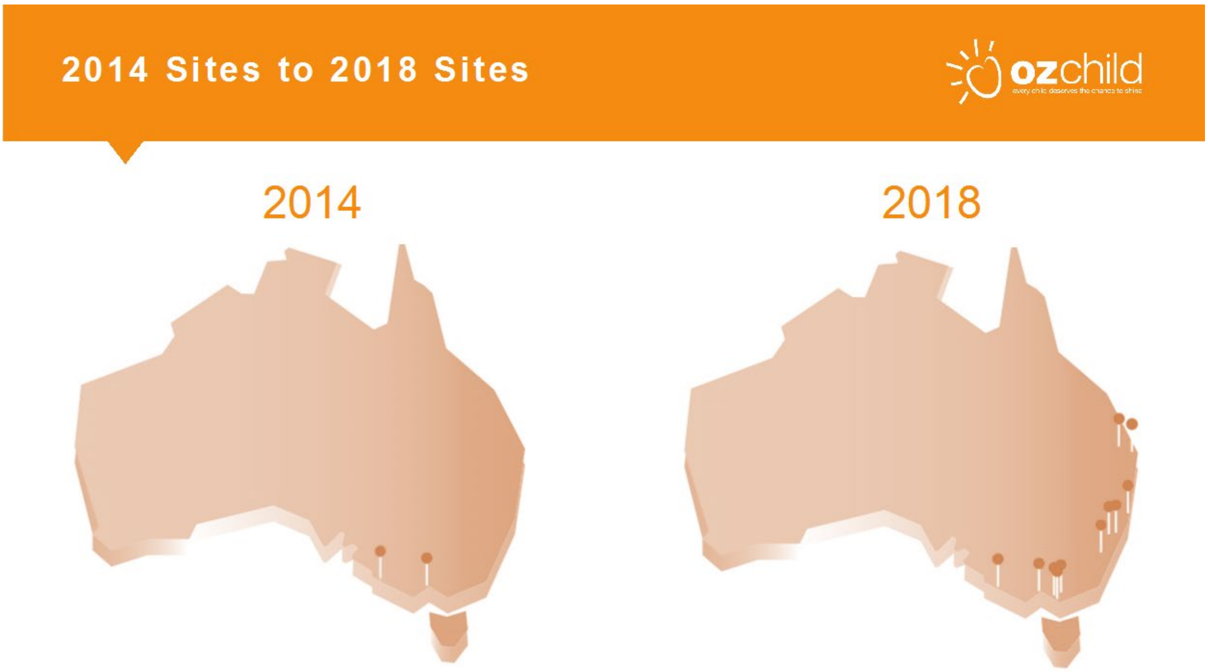


Figure 4.26: Where we were located and where we are now, from Victoria to NSW, ACT, Qld, etc.



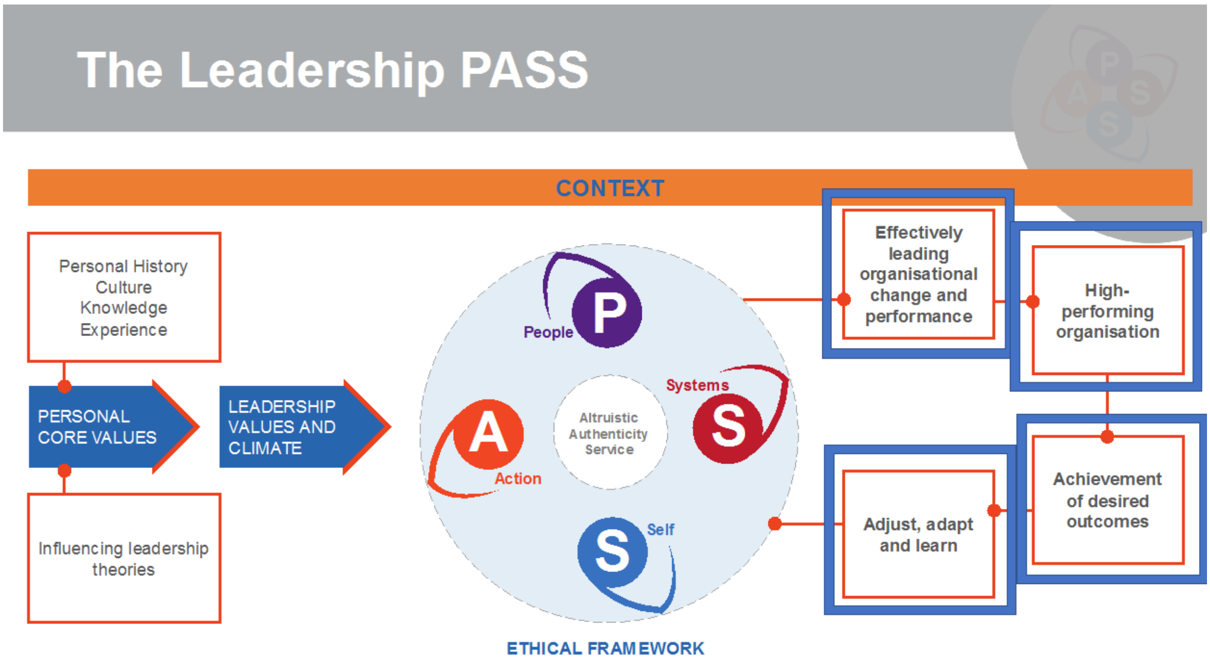
4.5.17 Summary: transforming and adapting

When I joined OzChild in 2014, I was told what the organisation needed (steady as she goes) and what the expectations of the role were. What I discovered through an evidence-based approach was quite different. Both the internal and external context needed transformation. Therefore, it required me to adapt my leadership approach to the context and realign those expectations.

This journey of adapting was not a linear one; neither was it meticulously planned from the start. It evolved out of response to the evidence I uncovered and then I was able to determine the response. Ensuring I kept my many stakeholders (board, staff, clients and funders) engaged along the journey was essential and continues. Underpinning my approach was my inherent value system that assisted to act in the best interests of others rather than myself. An alternate paradigm would have been to do what was asked and keep OzChild steady as she goes and the external context would have reinforced this.
OzChild today is on its way to truly being a national organisation. More importantly, OzChild is delivering programs matched to client need so it can truly fulfil its vision: that all children

and young people are safe, respected, nurtured and reach their full potential. This process is articulated in my leadership *PASS* (Figure 4.27).

Figure 4.27: The continuous learning loop in the leadership PASS



This Chapter has presented my longitudinal case study. Case studies are useful to help explain the how and why and, in this chapter, focusing on the case study question: ‘How does the leadership PASS contribute to a leader in the CSS’s effectiveness?’. It provided throughout examples of where I was able in leadership to draw down on the components of my leadership PASS and this was triangulated with data provided in the body, appendices and supporting portfolio. What follows now in Chapter 5 is a qualitative study with ‘acknowledged leaders’ in my field to further inform my leadership PASS.

Chapter 5 – Findings from Leadership Field Research

"Strive not to be a success, but rather to be of value" Albert Einstein
(cited in Gibbings, 2018)

5.1 Introduction

This chapter is presented in two sections. Section 1 presents the results of the participants' ALQ group results. It provides the underpinning AL theory, which appeared as a central theory for leadership within the CSS in both the values-based literature review and the SLR. Given this, I determined to use the ALQ as part of my leadership field research to determine whether those participants in my study sample perceived themselves of having an AL leadership style.

Section 2 presents the findings from my qualitative field research analysis, assessed against the main research questions, '*What makes an effective executive leader in the community/human/social services sector?*' and 'do these leaders demonstrate an AL "style"?', and the sub-questions outlined in Chapter 3.

The findings are presented thematically using a grounded theory qualitative method (described earlier in chapter 3, section 3.4.6). I also combine this presentation of findings with a narrative analysis approach (described earlier in chapter 3, section 3.5.5) to dive further into the participants' views of their leadership, including a rich discussion throughout the narrative analysis with direct verbatim quotes.

5.2 Section 1: Do We Have a Sample of Authentic Leaders?

5.2.1 Overview of authentic leadership

AL was originally described by authors Luthans and Avolio (2003). In my SLR, AL came up continuously as a characteristic of effective leadership, particularly in relation to NFP leaders. The AL model described by the authors considers the leader as someone who is self-effective (meaning capable—able to achieve goals) hopeful, resilient and optimistic. Attributes of AL include high moral character, altruism and virtuousness (Avolio & Gardner 2005). These characteristics were also prevalent in the values literature review I undertook as core personal attributes to leading in the NFP sector. According to Avolio and Gardner (2005), the authentic leader presents the capacity to analyse and make decisions on ethical dilemmas. This is something I argue is *essential* in the NFP sector. In the world of child abuse and neglect, we have seen multiple examples during the Royal Commission into Institutional Child Sexual Abuse where leaders in the NFP sector covered up much of these atrocities and did not speak up—therefore lacking the ability to lead and make decisions ethically or morally. Hence, I argue in my PCL paradigm—the leadership *PASS*—that these attributes are needed.

All of the AL attributes consistently appeared in my literature review, though they were often spread among differing theories (such as SL or TL). Walumbwa et al. (2008) added to the AL attributes described by earlier work of Avolio and Gardner (2005) to include the promotion of a climate of ethical work and development of followers' psychological capacities. I also argue for an ethical framework as part of my *PASS*. The theoretical construct of AL described by Luthans and Avolio has four domains. The first, relational transparency, consists of the presentation of the leader's genuine self (Ilies et al. 2005). The second, moral and ethics, deals with the leader's attitudes, values and moral standards (Walumbwa et al. 2008). The third, balanced processing, deals with others' consideration of the leader's deepest information and reflections (Walumbwa et al. 2008). The last domain is self-awareness, which includes knowledge of self and one's own potential (Avolio & Gardner 2005). All of these attributes surfaced in my literature reviews and align with the construct of ethical and values-driven leaders.

5.3 The Authentic Leadership Questionnaire

5.3.1 Reliability and validity

The ALQ was developed by Avolio, Gardner and Walumbwa in 2007, and it is a self-administered instrument that assesses the respondent's own perception of their AL (Walumbwa et al. 2008). It has been applied in several cultures and organisational contexts (Gardner et al. 2011). According to Walumbwa et al. (2008), the ALQ is a reliable measure of AL *perception,* with acceptable levels of reliability; that is, the results are consistent over time and the self-report procedure produces the same results on repeated trials. The reliability score provided by several authors is 0.70, which is considered acceptable (Walumbwa et al. 2008, p.118; Bakari & Hunjra 2017, p.40; Datta 2015).

For validity of the ALQ—that is, the understanding of how truthful the results actually are and the extent to which the ALQ measures what it purports to measure—the results are consistent from varied authors for what is termed 'construct validity' (see Gosling, Rentfrow & Swann 2003; McDonald 2008; Robins, Hendin & Trzesniewski 2001). Construct validity is concerned with the degree to which the survey tool measures what it intended to measure (McDonald 2008); in this case, the constructs of AL (self-effective, hopeful, resilient and optimistic. Having high moral character, altruism and virtuousness, provided in the ALQ tool through measuring four areas of self-awareness, transparency, ethical and moral approach, and balanced processing). According to Walumbwa et al. (2008) and Banks et al. (2016), it achieves validity in multiple conditions including being valid in different cultures (both Eastern and Western).

In administering the ALQ, there is a (self-report) instrument or a 360-degree measure given to other raters. However, this tool is only available if the broader multi-factor leadership questionnaire (produced by the same authors) is used. For this study and limitations of time, I only requested that the participants use the self-report measure of AL using the ALQ only. The ALQ is administered in the form of an online survey. It takes around 15 minutes to complete and the results were emailed to the participants and myself. The results give a score out of four on the four areas of self-awareness, transparency, ethical and moral approach, and balanced processing, and an overall score across all domains out of a maximum of four.

5.3.2 Strengths and limitations of self-report questionaries

Using objective self-reports, such as the ALQ, or seeking respondents to confirm information about themselves around a particular construct is extremely widespread in many of the social sciences, including personality psychology (Schwarz 1999). The ALQ is simple and easy to administer, but it does leave room for 'response biases', such as responding in a way which makes the respondent look best. The responder may also be worried about perceptions that others may have of them, and some evidence suggests we are predisposed to self-enhancement (McDonald 2008, p.79). This is also known as *overconfidence bias. Overconfidence bias* is the tendency to have an unwarranted faith in one's own knowledge, judgments, cognitive abilities or skills; for example, research has demonstrated that 93 per cent of American drivers rate themselves as better than the median. In a similar survey, 87 per cent of MBA students at Stanford University rated their academic performance as above the median. Professionals, such as physicians, economists, lawyers and managers, are by no means immune to this tendency either—research has demonstrated they all tend to overestimate their knowledge and ability. Physicians, for example, frequently underestimate the proportion of negative outcomes among clients in their caseloads (Kruger & Dunning 1999, cited in Barends & Rousseau 2018, p.74).

Overall, with limitations noted, the ALQ is presented as practical and efficient and is becoming one of the most widely used questionaries across the management literature, with almost one million websites referencing it and 799 published articles in a search I conducted use the term ALQ through the Melbourne University database.

5.3.3 Survey data analysis from the ALQ

All participants completed the ALQ, and the results are note-worthy in understanding if the AL style plays a part in my research questions, '***What makes an effective executive leader in the community/human/social services sector***?', and 'Do these participants demonstrate an AL style?'

Table 5.1 presents descriptive statistics of the ALQ and its dimensions of self-awareness, transparency, ethical/moral and balanced processing scales across all respondents in a group. Overall, for respondents the ALQ scale group score had a mean score of 3.575 and a standard deviation of 0.170. The mean score of 3.575 out of a maximum possible of 4.00 indicates a higher than fairly often frequency of AL. All four scales of the ALQ construct had mean scores more than 3.00 for each individual leader (the highest mean being 3.756 for the ethical/moral dimension and lowest mean score being 3.422 for transparency).

Table 5.1: Descriptive statistics of ALQ scales for all participants

Scale	**Mean**	**SD**
ALQ Overall	3.575	.170
Self-awareness	3.478	.259
Transparency	3.422	.186
Ethical/moral	3.756	.251
Balanced processing	3.444	.519

5.3.4 Authentic leadership questionnaire norms

Within the ALQ, the authors Walumbwa et al. (2008) developed *norms.* In order to assess overall performance, most psychological tests employ a standardisation sample which allows the test makers to create a normal distribution which can be used for comparison of any specific future test score. In the ALQ instrument, they call this ‘several normative groups’ (SNGs). SNGs are group of leaders and managers who have undertaken the ALQ in different contexts and cultures (described in Figure 5.1). I have chosen to include the SNGs to compare against my sample of participants to further demonstrate if they are aligned to AL compared to other populations. The composition of these sample groups is included in Figure 5.1.

Figure 5.1: SNGs for the ALQ (See Appendix 23, sample provided by Avolio, Gardner & Walumbwa 2007, p.23)

25. Norms For The ALQ

Three normative groups are included in what is referred to as "several norms" for the authentic leadership scales. All three Sample norms are from Walumbwa et. al. 2008.

Sample 1 was 178 working MBA and evening adult students. The average age of participants was 26 years (SD = 7.23), with 3.44 mean years (SD = 3.17) of work experience; 56% of the participants were female.

Sample 2 was 236 adult evening students with full-time jobs. The average age of the participants was 24.49 years (SD = 5.92), with 3.28 years (SD =2.55) of work experience; 48% were female.

Sample 3 was 478 working adults drawn from 11 diverse U.S. multinational companies operating in Kenya, Africa. Approximately 98% of respondents indicated they were Africans.

5.3.5 Comparison of group norms

By way of comparison, I looked at my participants' (industry) group (ILG) and the SNGs from Walumbwa et al. (2008) and also added the results of the ALQ I ran with 21 developing leaders at OzChild (ODL) (*N*=21). Figure 5.2 shows the comparison between all three.

Figure 5.2: Comparison of the ILG, SNG and ODL groups

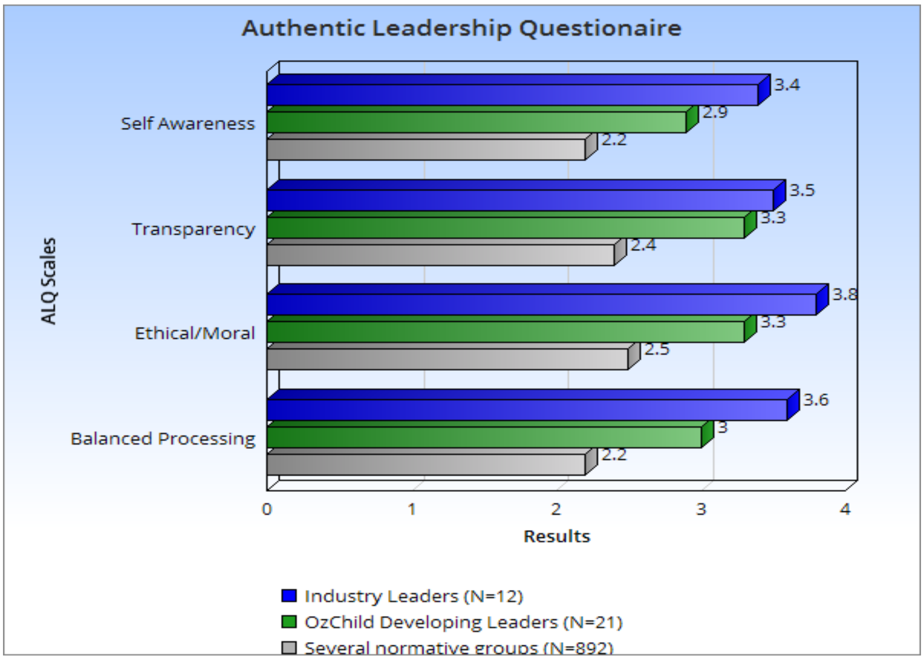


Table 5.2 provides the descriptive statistics for the ALQ mean scales for the ILG, ODL and SNG groups.

Table 5.2: Comparison of mean scores on ALQ for each group

Group	ALQ Overall Mean Score
Participant (Industry) Leadership Group (ILG)	3.575
OzChild Developing Leaders (ODL)	3.125
Several Normative Groups (SNG)	2.325

The distribution in Figure 5.2 and Table 5.2 unsurprisingly shows that the participants in my research group had much higher mean scores than developing respondents in the same sector (OzChild) (i.e., results for the ILG were 14% higher than for the ODL) or the several normative groups from Walumbwa et al. (2008) (i.e., the results for the ILG were 53% higher than for the SNG). This result contributes to the *validation* of the participants selected in my sample, based on their years of leadership, acknowledged success in their roles and perceived effectiveness in leadership and their AL. For a full group analysis see Appendix 27, the Authentic Leadership Questionnaire Group Report.

5.4 Section 2: What Makes an Effective Executive Leader in the Community / Human / Social Services Sector?

5.4.1 Introduction

Establishing through the ALQ that the participants *perceive* themselves as authentic leaders is encouraging to support and justify the theoretical underpinnings of my PCL paradigm—the leadership PASS. However, the other focus of this research was crudely to determine ‘Do they walk the talk?’ This underpins the main research question ‘*What makes an effective executive leader in the community/human/social services sector*?’ alongside the following *what* and *how* questions to further test my PCL paradigm:

- What is the meaning of leadership to other leaders in my context (is it leading or managing or both)?
- How does effective leadership work for them in practice?
- How adaptive were the leaders with their approaches over time?
- What drove them as leaders? Did they articulate purpose?
- Did they adopt an evidence-based approach to decision-making in leadership? That is, were they walking the talk?

The following provides a brief analysis of the high-level themes, and while none of the questions above were asked directly to the participants, they form part of my overall examination and triangulation of the data. As with much research, there are many overlapping pieces and I focus the exploration on the most relevant.

5.4.2 Self and People domains

In using the research process outlined in Chapter 3, the largest areas of emergent coding were contained under the domains of 'Self' and 'People' as seen in Table 5.3.

Table 5.3: High-level emergent coding framework60 (detailed in Appendix 28)

Emergent Coding Framework	Files	References	Description
People (Domain) **Sub-codes: 10**	12	174	Working with other people, picking people, communication and development
Action (Domain) **Sub-codes: 9**	12	146	Making changes, creating change, effecting change, making a difference, overcoming change, dealing and navigating change, implementation of new or evidence-based programs
System (Domain) **Sub-codes: 3**	12	59	Understanding the external context/system, navigation, causing a shift in the system, networks
SELF (Domain) **Sub-codes: 25**	12	310	How I manage myself, my attributes, my values and biases
Leadership Approach (Domain) **Sub-codes: 12**	12	103	My approach and style

[60] Notes: Domain is the main thematic area, capturing the sum of all codes within it. Sub-codes are the smaller themes under the domain. For a full description please see Appendix 28 Emergent Coding Framework.

I was particularly interested in finding out what the meaning of leadership is to these participants and whether they differentiated this with management or whether it was all the same. Given the interviews focused on the participant, it is not remarkable that the participants talked about themselves in leadership given they were aware of the research subject. The strongest attributing theme here was the association with two values: trust and integrity (41 references). These particular two values had the most references across participants and themes, and their perceived contribution towards the participant's role in effective leadership. This finding is consistent with the findings of Thach and Thompson (2006, p.356), who measured NFP and for-profit leaders' competencies and skills, with honesty and integrity ranking number 1. The concept of values is well traversed in earlier chapters, with the acknowledgement in the literature that the personal values of leaders have very significant effects on leader–follower relationships, and their values affect other leaders' or followers' moral reasoning and personal behaviour (Burns 1978; Deal and Kennedy 1982; Posner and Kouzes1988; Russell 2001). Other elements of the literature point to the improvement of employee commitment, better connections between people throughout organisations, stronger relationships and less reliance on line management when there is an alignment of values between employees and the organisation (Branson 2008). Participants had different views on values alignment with their own personal values, as seen in the following quote:

'I look to people that share a similar value base, but I also look at ... people with skill set[s] and capabilities that are different to mine.'(#11)

One leader specifically indicated they wanted people who felt strongly about ANY value, even if it didn't mesh with their own:

'You ask in an interview the question: 'give us an example of what value is important to you and how have you acted it?' and people want to get more direction on that, because they want to line up their values with my values. It's 'I'm sorry, answer the question as best you can', so you get the most amazing answers. What we're looking for are people who can immediately say: value, example. It's really hard for a lot of people when they don't act to values because we're looking for very concrete examples.'(#1)

And this participant linked the role of values to *purpose:*

> *'On top of that I look for what are their values and do their values fit well with our organisation and mine, are they aligned. Do they have that same **belief** about all parents want the best for their children and all children want to live safely at home and our job is to support that to occur no matter what job you're in, whether it's finance, IT, reception, therapist, whatever, you have to believe in that.' (#6)*

This participant's link to purpose is heartening, but from analysing other artefacts in relation to the participants there are a myriad of values statements or words used by the participants or their organisations and very few showed *consistent values alignment*: '*Individual values and organisational values are linked through the idea of "work-values" congruence which* ***in turn*** *impacts behaviour and other organisational functioning*' (Woodward & Shaffakat 2016, p.9 *emphasis added*). Williams (2011) discusses that many organisations today have taken to developing generic value statements that *do not offend* (p.316). Indeed, in this study, each participant's organisation displayed a common set of organisational values, all unremarkably similar, that did not offend. Clearly the participants understood their own values and those they sought in others, but demonstration of values in practice was harder to elicit or in *alignment* with stated organisational values on organisational websites and other artefacts. Noticeably, there was an understanding of the relationship of *personal* values to effective leadership, summed up by one participant as:

> *'Our character building starts from the beginning part of that lifelong leadership journey, it shapes the understanding of doing the right things ... that shapes your leadership effectiveness, but I only consider myself effective if I have remained true to those values that drive me.' (#7)*

While personal values were prominent and the participants perceived a link from these to their effectiveness, I was interested in what the meaning of leadership is to the participants and *how* this translated to their leadership practice—aka the 'doing' of leadership.

5.4.3 Leading or managing?

The literature on leadership, which is obvious from my earlier review is voluminous. Interestingly, the literature does not appear to consider the overlap between managing and leading an organisation or the clear distinction between both functions. The assumption in the management literature seems to be that leadership is qualitatively different, and probably better than management. I reviewed the evolution of management theories to further distil and shed light on any differences that management theories had on leadership theories (see Appendix 8b). With this understanding of management theory evolution, I kept this in mind while unpacking the data. Leading author Warren Bennis is famously quoted with saying: 'Leaders are people who do the right things, Managers are people who do things right' (Bennis 2007, cited in Lunenburg 2011).

I would hope that in either statement, leading or managing, you should do both of these. This then raises the questions on the nature of management and what managers should be doing verses what leaders should be doing and, in this review, what are *they doing* in the world of supporting vulnerable children and what in particular is effective to improve my own leadership practice and that of emerging leaders in my field? Of course, answers to this can be found in the Bible and in classic Greek philosophy, but for our purposes we'll turn to a more modern source—the French engineer Henri Fayol (1841-1925) and authors who have studied Fayol's functions of management—to see if our participants are managing, leading or both.

5.4.4 Fayol on management

The French theorist Henri Fayol approached the study of management from the view of upper administration (Wren & Bedeian 1994). Fayol, who is recognised as the 'Father of Modern Management', identified five functions of management (Fayol 1949, cited in Lamond 2004):

- **Planning:** Helping an organisation define and meet its objectives by outlining what an organisation must do to be successful.
- **Organising:** Turning plans into action through leadership and motivation.

- **Controlling:** Making sure the actual performance of the organisation conforms with the performance planned for the organisation.
- **Commanding** (directing): Providing the leadership direction and guidance for accomplishment of a mission or task.
- **Coordinating:** Managing independent effort and resources for a timely accomplishment the task of product.

To guide the manager in applying the five management functions, Fayol (1949, cited in Parker & Ritson 2005) listed many principles of management that he felt were helpful. Among them are:

- no subordinate should report to more than one supervisor (commonly referred to as unity of command)
- a clear line of authority should extend from the top of the organisation to the bottom (referred to as the scalar chain)
- employees should be allowed to use their initiative to develop their capacity to the fullest in influencing today's management thinking.

There is little argument to refute the above functions of management being required in contemporary management today. This is reinforced in the analysis of the respondents' verbatim quotes in looking at those through the lens of functional descriptions of Fayol, as seen in Table 5.4.

Table 5.4: Alignment of selected responses to management functions

Management Function	Respondent Verbatim Quotes
Planning	'The first thing that was necessary was a total look at the business… the second thing I did was engage them in strategic planning because I felt that the viability of the business long-term was being threatened by external forces and we all needed to understand that and develop a plan that would enable the survival of the mission of the business, if not the business'. #3
Organising	'… As I developed a broader view I could see the system's view of the world that said, I don't only have to look after that one patient, I have to look after the next two million. So, I have to be able to design and deliver a system that delivers the best outcomes for the next two million people, and to be able to do that in a sustainable way. So, you have to bring all of the pieces together. So sometimes it's not what I would describe the maximalist view for that particular patient, but an optimal view of the system.' #10
Controlling	'My mandate to everybody is "I hate surprises and we do not do crisis, so don't bring me crisis, and when you do I will run through the process and figure it out, but don't bring me another one that looks like that one again".' #1
Commanding	'Prior to Black Saturday was a combination of a lead up to a period of time where I displayed a whole range of leadership behaviours and taking the necessary action to provide resourcing and capability. But this occurred over a period of about 10 years of building my responsibility within an organisation to deliver at its worst moment at time. And the energy spent in leadership to ensure that we had the capability, the positioning and the people in the right roles with the right skills, doing the right things, the right way; and getting through that period of time and coming home, for me was a proudest moment where I looked after people, led them and positioned them to actually deliver, not public value but in fact, saving of lives within my patch. So, in my patch at that time, I was responsible for 6,000 people, 109 brigades and I led the positioning all before the day, including the

Management Function	Respondent Verbatim Quotes
	community preparedness… so on the day in our patch, it was all the work that we'd done a decade before that positioned us to minimise impact and, in fact, no loss of life.' #7
Coordinating	'I try and work a lot of my time external to the organisation… I put a lot of effort into developing relationships and trying to expand our influence across government agencies… Other chief executives and other NGOs across our health sector, education sector, police, courts, so, for example… we do it in a way that is more about being a trusted partner of government as opposed to a strong kind of advocacy. We really try and do it purposefully and in a way that helps them find a solution to their problems.' #6

5.4.5 Mintzberg on management

In contrast, let's look at someone who has examined what managers *do* using the ethnographic approach and sees management not as a function of work but what managers actually *do.* Mintzberg studied what managers did by following five executives through a work week, culminating in his work *The Nature of Managerial Work*. Mintzberg argues '*management is a practice and therefore you can conceptually separate leadership from management, but can you separate them in practice*?' (Mintzberg 2009, p.8). In Mintzberg's original work he described management as a list of roles, he later refined this in 2009 and 2013 to what he called 'well-rounded managing', through three planes: managing people, managing information and managing action (Mintzberg 2013). In looking at my participants' interviews, once again there are multiple responses that fit Mintzberg's categories of '*what managers do'*, as seen in Table 5.5.

Table 5.5: Alignment of selected responses to 'what managers do'

What Managers Do	Respondent Verbatim Quotes
Managing People	'I remember micromanaging people through upgrades in skills or sending them on courses but keeping a close eye on someone that I was worried about and being very aware that I was managing them very differently to other people.' #3
Managing Information	'I think there's something about the right information and enough information… and that varies depending on what it is, but several times, when things have happened, there's been a bit of a crisis or something, the first story you get is not usually the whole story. So, there's something about knowing when you need to not make a decision, to push back and say no, I'm not ready to make that decision. I don't have all the information, you need to go back and do X. And there's often pressure, particularly in crisis situations to make a decision really quickly. And of course, if you have to, you have to. But there is something about being able to know—it's a sense really, I think, that you don't—you haven't got the full picture.' #8
Managing Action	'We had a number of young people commit suicide in X, Aboriginal young people, and it was a community that was in emotional psychological turmoil. XX and myself mobilised the collective resources of two departments. We engaged with that community over a significant period of time to, one, help them journey through that significant grief and loss they experienced, but assist in the recovery process and marshal the collective effort of government and community to bring that effort together and I'm proud of it, because of the a [sic] whole-of-government approach and with strong leadership from both of our ends, were able to bring that leadership together and were able to bring a tangible change to that community.' #2

There appears to be a fairly strong management component in what the respondents are doing alongside the functions of management, but there is also an overlap with what they perceive as the *meaning of leadership*. So, the question arises: is leading or managing all about the approach?

5.4.6 Leadership approach

In the analysis of the group in the Self domain there was a distinct cross-over with the Leadership Approach domain and the participants' preference to remark on their perception of *other* effective leaders and little or no direct acknowledgment of management per se. This, alongside examples of where the participants deemed themselves effective *or* ineffective in leadership, and often would include the use of popular leadership terms in their responses, examples being the use of anecdotes such as 'leaders are visionary' or 'leaders have to bring people along'.

In describing their own leadership approach, several of these descriptions in leadership approaches could be paired, for example: 'Formal' vs 'Informal', 'Collaborative' vs 'Directive', 'Intuitive' vs 'Pragmatic'. Although these can hold contrasting ideas, the pairs are not necessarily diametrically opposed and show how the participants saw leadership as a fluid concept. This fluidity has a contextual element that is a sense of trial and error of what appears to 'work' in different circumstances, this is consistent with work by Lunenberg (2007, 2011) stating, '*executives may lean more heavily toward either leadership or management at various times depending on the situation'* (p.3). Thus, leadership is not a circumscribed role to them. This fluidity in leadership approach is described by Heifetz, Grashow and Linsky (2009) as *adaptive leadership*. In practice it requires *the leader* understand what the presenting challenge is in the context, to then *focus* on the specific challenge and to *adapt* your leadership approach to the challenge. As all the participants in this current study were in roles that dealt with immense complexity, large problems, from crisis management in an emergency event, granting wishes to children before they died through to raising the awareness of stakeholders around the over representation of aboriginal children in young justice or child death reviews, their stories had many *adaptive* challenges. None of the leaders discussed adaptive leadership directly, but all described how over time they had learned through mistakes, experience and others the necessity *to identify the problem your trying to solve, what part of the system it is in and who you need on board to assist find a solution to it*. Coupled with this adaptive approach, many participants described having the ability in effective leadership to create *urgency* around these problem or challenges and communicate a vision for how change may occur and bring people along in enact it. This resonates with Kotter's (2007) *Leading Change* work for organisations' transformation efforts to reinvent themselves to deal with the new challenges or problems that present within the organisation's context. This of course requires action.

5.4.7 Action domain: using evidence in decision-making

It follows then, that if our participants understand the *identification of the problem/challenge* they want to solve then they would use *evidence (data)* to make the decision and take the necessary *action* to solve it. Yukl's decades of studies on effective leaders acknowledge that effective leaders make better decisions (see Yukl 2012). Yet, '*most leadership or management decisions are not based on the best available evidence, instead, practitioners often prefer to base decisions solely on their judgment based on personal experience'* (Barends & Rousseau 2018, p.3). Overwhelmingly, however, the participants relied on personal experience or 'gut' feelings, as seen by these two quotes:

> *'My gut tells me this is the right thing to do. Always that. In some areas a very difficult thing to have balance.'(#6)*

> *'In my strategically led decisions one is gut feel, and emotional decisions based off experience and judgement.' (#7)*

Conversely, our personal gut feelings and judgment alone are not very reliable sources of evidence, as they are highly susceptible to systematic mistakes. Humans have cognitive and information-processing limits that make us prone to biases that have negative effects on the quality of the decisions we make. Often referred to as narrative fallacies, authors Kanhneman and Egan (2011) state:

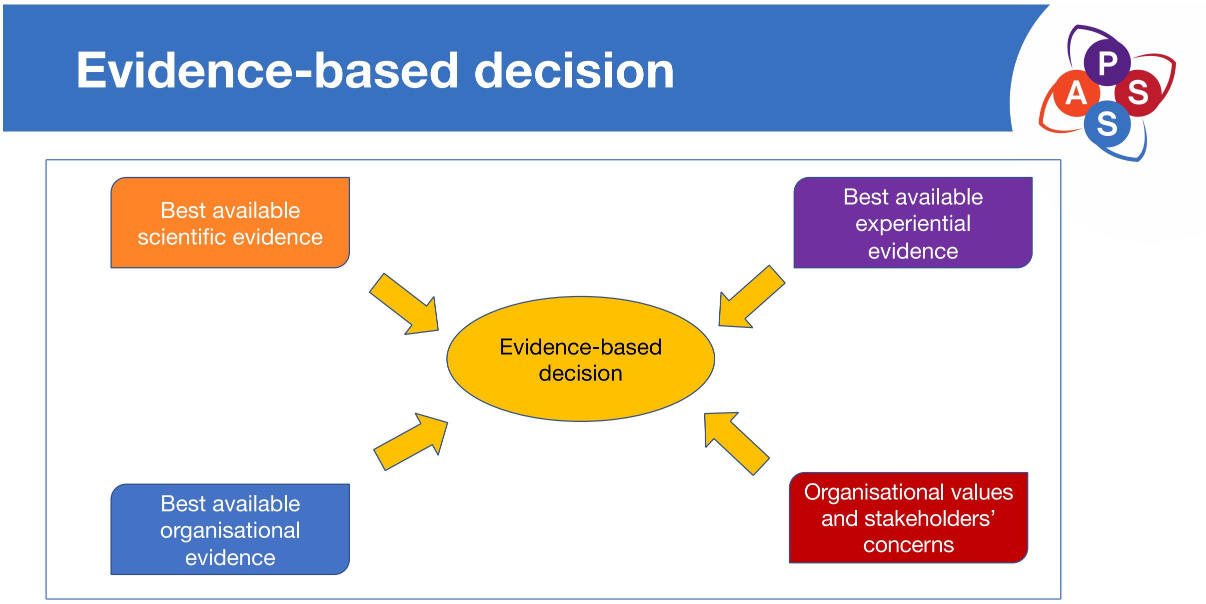
...narrative fallacies arise inevitably from our continuous attempt to make sense of the world. We, humans, are constantly fooling ourselves by constructing flimsy accounts of the past and believing they are true. (p.195)

As mentioned earlier in Chapter 3, overconfidence bias is an issue most humans contend with. In executive leadership it has been found to be more pronounced, as executives are less likely to seek further information due to their perceived experience base:

…cognitive biases are likely to influence decision making more when decisions are intuitive, impulsive or subjective rather than concrete, systematic, and objective… executives tend to preference the former. (Messick & Bazerman 1996, p.20)

Of course, in real life we anticipate leaders to make judgments and decisions daily. There have been four Nobel prize winners (Herbert Simon, Daniel Kahneman, Robert Shiller and Richard Thaler) demonstrating that human judgement systematically deviates from rationality. In Kahneman's (2011) work he describes two modes of thinking: system 1, which is *fast, intuitive, associative* and *emotional*; and system 2, which is *slow, effortful, deliberate* and *rational.* It is the interaction between these two systems that defines how we think and, according to Kahneman, we are tainted by our biases in system 1 due to the fact that *'system 2 is just mentally hard work, whereas system 1 is usually so efficient'* (Kahneman 2011, cited in Barends & Rousseau 2018, p.67). To assist reducing decision-making biases requires leaders to use multiple sources of evidence, as seen in Figure 5.3.

Figure 5.3: What sources to use to make an evidence-based decision (adapted from CEBMa 2018)



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I refer more on this in chapters 1, 4 and 6. In analysing all artefacts there was strong indication that most of our participants draw on at least three of the sources listed above to assist better decisions for themselves and their people. Some direct verbatim examples include:

> *'I would say this to them—you all need to accept a language, whatever that language is, around how you work a problem so let me understand how you problem solve and let's come around to a consistent way. They have to value data [evidence], they have to go process instead of content and I think the process versus content would help them be objective, because they are super subjective and emotional right now.'(#1)*

> *'And you can always be much more persuasive if you can build an evidence base and articulate a capacity to deliver better results for a much larger proportion of the community, because ultimately that's how the political dimension works.' (#10)*

As stated above, our participants presented an AL approach in dealing with complex problems, alongside using some sources of evidence to make decisions around these problems. Given the complexity of the system our participants work in, we turn now to understand *how* they navigate within the system (to tackle these problems) to maximise their effectiveness.

5.4.8 Systems domain: the networks

Complex or wicked problems have permeated the literature for a number of years. The Australian Public Service Commission stated in 2006, that much of their policy issues had become so complex that they were 'wicked', simply meaning highly resistant to resolution (APSC 2006). According to Peters (2017), wicked problems have been the driver of complexity theories within social sciences, and these complexity theories focus on systems and the connections within them. Systems, such as human social systems (like child abuse and neglect), are not clear cut or straight forward but are complex and *'tend to involve multiple actors…and therefore can be politically complex as well as technically complex'* (Peters 2017, p.386). According to Morgan (1997, cited in Kasser & Mackley 2008):

> *People who learn to read situations from different (theoretical) points of view have an advantage over those committed to a fixed position. For they are better able to recognise the limitations of a given perspective. They can see how situations and problems can be framed and reframed in different ways, allowing new kinds of solutions to emerge. (p.31)*

In Chapter 1, I outlined the research context for my PCL paradigm, which was summarised by multiple sources as a 'system in crisis'. All the participants in my study are either working within this system, or a like system in another country, so they understand the context and the system that surrounds it. Often complex systems are characterised as 'turbulent', given unpredictably and change. However, given the trend that data is spiralling consistently upwards for children being removed from their homes due to child abuse and neglect (doubling in the last 5 years), a betting person would bet this trend will not be unpredictable but actually predictable and will continue to worsen. If we follow that logic, is it then that the organisations or actors within the system *are not adapting*? Therefore, if we take Morgan's words above to heart, then perhaps we need to *diagnose the system?* To tackle complex, wicked or adaptive challenges according to Heifetz, Grashow and Linsky (2009) '*you need to get on the balcony and see how your organisational system is responding to it'* (p.49). My participants have varying views on the state of the system and the part they play in contributing to the problem (of child abuse and neglect), characterised by this participant:

'Oh, how I personally could have contributed to this not happening. How could we—and I include myself as part of the system—how could we have prevented this from happening?' (#4)

The emotion underscoring this response cannot be expressed in words on paper—genuine grief and acknowledgment that all are playing a part in system failure. But this also turned to resolve by the same participant:

'And I'm regularly told, don't shoot the victims. Well, I hold people accountable, whether they're the parents or the system.' (#4)

However, developing a response at the system level requires a different view, as stated by this participant:

'As I developed a broader view, I could see the system's view of the world that said, I don't only have to look after that one patient, I have to look after the next two million. So, I have to be able to design and deliver a system that delivers the best outcomes for the next two million people, and to be able to do that in a sustainable way.' (#10)

While there was acknowledgement from most participants about the system, there was little evidence of diagnosing how participants' organisations may or may not play part in contributing to the system problem. There was artefactual evidence in annual reports about 'programs', 'advocacy' and 'outcomes' from the participants' respective organisations, but no clear link to how their organisations were focusing *on* the system problems. What came though mostly in the analysis was the vast array of networks and relationships. Relationships were defined at varying levels (personal, professional and within team), but within the context of the system relationships were associated to create change or influence at multiple levels, as defined by these participants:

'I try and work a lot of my time external to the organisation for some of those reasons. I put a lot of effort into developing relationships and trying to expand our influence across—particularly across government agencies, so Ministers see us and our work.'(#5)

'We also have a Children's Commission here in XX and I work very hard on that relationship so that all key points of the decisions might be made about future services

and future services available to kids. I try and really work hard on developing and strengthening those relationships.' (#6)

'Obviously, I managed to maintain relationships with politicians from both sides of government and—but yeah, you know [you] have to do these if you're going to be effective. So, that's hard—but not everybody does it well, but I've avoided being partisan.' (#8)

The artefacts studied provided multiple examples of extended networks. All participants have extensive social media profiles, published literature and contributions to major reviews, which all extend outside their day job but are cause-related. In addition to the array of networks, all participants belong to other voluntary boards, such as non-executive directors, guest lecturers at university or as mentors. This would infer the extension of their collective network and influence to be considerably larger. It also infers passion for the work they do. Which leads to the second strongest reference in the analysis: having a passion for one's work, being committed—being driven by purpose.

5.4.9 Driven by purpose

All participants had a very clear articulation of *their* purpose and *how* this drove them, notable examples are:

'I am relentlessly driven, I eat sleep and drink the mission that I'm on.' (#1)

'I think the drive is just an internal drive. I still am driven to make a difference and to do my best. So that's just an internal drive.' (#9)

One leader described the force behind their drive:

'Going the extra mile is a character trait but also a learnt experience- driven trait. That is, just continuing on, contributing, pushing through barriers, going around barriers, making things happen... the notion of altruistic and intrinsic values I subscribe to in words. That is, there is always a higher calling and there is also a higher purpose, my higher purpose is, make a difference, looking after people's safety and protection in life, property, environment. That drives me, and it drives me every day. There were days when I didn't want to get out of bed by virtue of the context or circumstances and my mental resilience was low, going back to my purpose and calling got me out of bed to go back into that context.' (#7)

All participants discussed this drive as requiring *focus, energy and commitment* and a *clear desire to make a difference.* There was a small delineation in some participants between *enacting* commitments verses *desiring or giving* commitment to what they see as the purpose and delivery of their role. To better explain, I explore this more below.

5.4.10 Role given vs role taken

To determine the *purpose* of a role, I offer a simple definition:

…the primary task of any role in managing or leading is to deliver, to therefore achieve the strategic purpose of the organisation.

To perform the role effectively there needs to be clarity around the primary task of roles. Often this sounds simpler than it actually is. Typically, thoughts are centred towards the primary activity that the role does, which is different to the primary task. The primary task is almost the anchor point that an individual in a role can decide what activity (action) they will take up in their role to achieve and align with their primary task. Although a role is a structural part of an organisation, it is filled and shaped by its incumbent—the person.

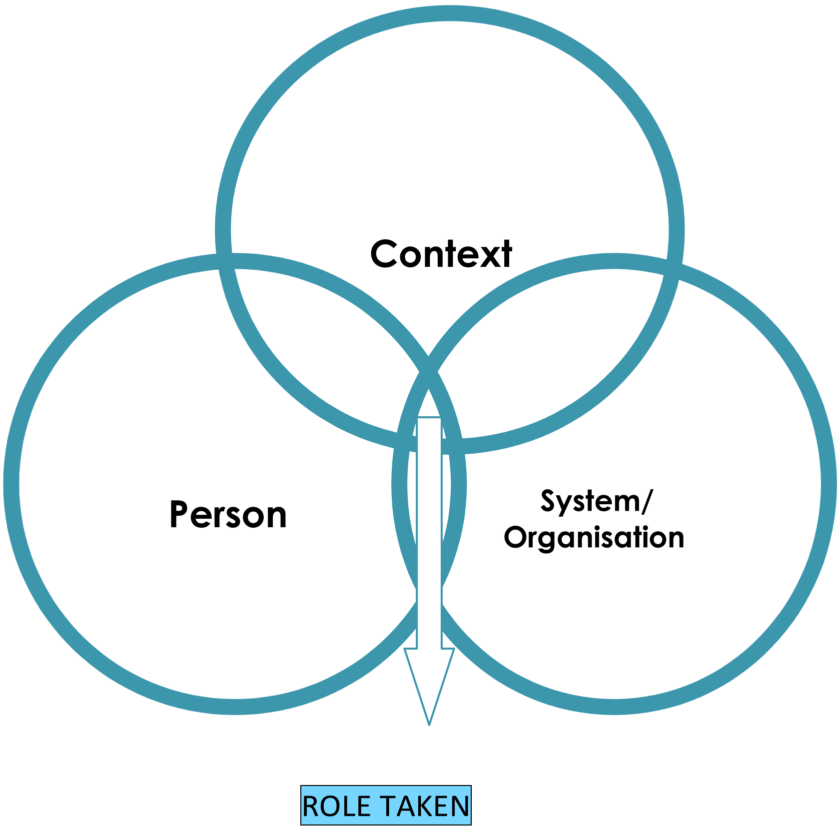
Any person has a history of taking up different roles in different organisations, systems, family, community and work. All participants brought decades of different role *take-ups* alongside holding multiple other roles, as mentioned above. When you combine the previous experience of roles one brings with the context (that often determines focus) and with the system (both external and organisation), you have the person's preferred 'role taken', which may well be different to the one 'given' through job design, and is often due to preference or style or desire.

In work by Lamond (2004), he describes management roles as having a 'preferred' and 'enacted' style:

Preferred managerial style relates to individuals' preferences regarding which roles are enacted and in what form [how], while enacted managerial style refers to the actual roles enacted and how they are enacted. (p.337)

To add to Lamond's work, I would add *desired* role, meaning that individuals *desire* to perform roles in certain ways, but through a range of circumstance (or capability) do not enact this *desire*. I further make this point in two short vignettes later from this study, and by way of illustration in Figure 5.4, to better describe the way participants roles are 'taken up'.

Figure 5.4: Role: person, context, organisation (adapted from work by Bazalgette 2009, p.6)



5.4.11 Short vignettes of role desired Vs role taken (enacted)

Within the analysis, two other triangulation[61] examinations were undertaken to verify data (see Chapter 4 for the sources of evidence used in addition to interviews to improve the credibility and trustworthiness of the data through using multiple sources). In this triangulation, what was less evident was a consistency in the connection between a participants' description of their *purpose and role* and what the organisation did to address the key problems within their context. By way of example, I provide two short vignettes.

Vignette 1

Participant X is a CEO of a small NFP with a $5m budget. Participant X talked extensively of the poor outcomes of the local community and the need for EBPs to address this. Yet, during the triangulation examination of the data, the organisation that participant X led offered no examples of EBPs to address the issues mentioned in the interview. What is more likely is participant X has a ***desire*** to introduce these programs but at this time has been unable to do so or lacks the capability or capacity to attract the funding for these programs. The programs that participant X's organisation runs have no empirical data behind them, no case studies or evidence of any evaluation of effect. I see this as an example of a role given and enacted with a ***desired*** role of commitment to purpose.

Conversely, there were three standout examples of participants' ***purpose*** linked to organisational evidence of goals needed to be achieved within the context, as illustrated in Vignette 2.

Vignette 2

Participant X is the CEO of a medium-size NFP. Participant X stated a clear purpose aligned with the goals of their organisation, a clear understanding of context and the problems participant X needed to focus the organisation on to address them. Artefacts show EBPs alignment to the organisation goals, alongside results of their impact and clear empirical

[61] Triangulation is a powerful technique that facilitates validation of data through cross-verification from two or more sources. In particular, it refers to the application and combination of several research methods in the study of the same phenomenon. (Wikipedia 2018)

evaluation. Two of the EBPs used to tackle particular context-driven problems had been published in reputable scientific journals. Participant X also talked extensively about using networks and relationships to further advocate for the purpose of the organisation, its results and value for stakeholders. Participant X has the ***commitment*** to purpose and uses all four quadrants of evidence-based management seen earlier in Figure 5.3. I see this as an example of role given with an ***enacted*** (role taken) of commitment to purpose.

5.4.12 Altruism

In a final note on the analysis, overwhelmingly, the participants' promotion of their own effective leadership was less evident. I have argued in earlier chapters for leaders in the NFP sector to privilege altruism, and this is described as: *if a goal is to increase another's welfare it is altruism.* Participants' talked about *what* they felt was effective leadership, with little focus on oneself but, rather, more on others. More evident was the clear examples in their leadership experience where they had confronted challenges, and reflected on how these experiences have changed their leadership approach and that much of their success was through others. *Bringing people along,* as mentioned, was discussed by the majority of participants, underlying this was many stories of team building and valuing people, and it is the sum of *all* that is greater than the parts. This is best summarised by this final quote:

> *I've always saw [sic] myself as the enabler. So, if I can create an organisation that enables staff to do their best work. Then you know, that's my job… to protect from what's happening in the department or the policy changes or the funding cuts or whatever else is happening, because there's a lot of up and down… not protecting them from it completely, but at the same time, creating a space that is—that they can feel safe enough and supported enough to just get on and do the work, after all they do the real work, I just get the privilege of enabling it. (#8)*

5.4.13 Summary

While it seems relatively straightforward to purposefully organise the demographics of a group of 'acknowledged leaders' to have a representative sample of mix of gender, age, experience and nationality, what became obvious in the study is that *who* you are plays an almost equal part to the context you operate within in leadership.

Just as important in the interviews were *what* the respondents didn't talk about. Remarkably, few discussed context and *how* that may limit or enhance leadership. For example, in Victoria I've mentioned the rising number of children being removed from families and placed into foster or residential care. I've also discussed in Chapter 1 that there are multiple reports on the very poor outcomes that occur for these children and subsequent long-term damage. Only three of my respondents didn't directly work in this context (they were either internationally based in the same context or in an allied context). Yet, many respondents didn't link themselves with being part of this problem or contributing to solving it.

Personality profiles would have possibly shed further light on the kinds of ways these leaders are effective. Two participants appeared inherently driven by a fear of failure and gave multiple examples of planning to avoid it. While risk-management planning also aligns with Fayol's classic management function of planning (Fayol 1949, cited in Lamond 2004), I contend in this very small example that these participants possibly moderate their internal confidence through risk-avoidance and this risk-avoidance links to an over-reliance on personal experience. Using all sources of evidence to assist removing biases in decision-making (i.e. using an evidence-based management approach) was also largely absent from the majority of participants.

Risk-taking did not appear as a feature in the interviews or in other artefacts; yet, in a context full of risk, I would have anticipated some discussion. This may explain (somewhat) the perceived lack of innovation in the sector, or the inability to affect external change leading to the continuation of poor outcomes for children. That said, all participants were seen and acknowledged to have extensive networks of relationships, and it *could* be that the system outcomes may be much worse if not for these participants and their networks.

While there was no obvious evidence of 'values-alignment' between participants' values and stated organisational values, I see this as a positive. I argue in my leadership PASS that it is personal values that count, and living them within the organisation will strengthen it—as opposed to feeling you need to modify your values because the sign at the door says we are all about these corporate values.

I do believe the experimenter effect played a small part in the interviews, as many participants gave the 'text book' response. I controlled for this through other means of data to triangulate findings. That said, there was a genuine humbleness about those responses, as most wanted to contribute to sharing what they believed was best for others to use. While some participants may not *enact* some of their words, they truly believe *what* they say will work in practice. Given their many years in leadership roles, these participants were clearly veterans and seasoned in a context marred with poor outcomes and little glory. Nevertheless, they all exuded *passion* for their work, a clear sense of *doing what's right for others* and meaningfully commit to **making a difference**.

5.5 Conclusion

The purpose of this study was to determine 'What makes an effective executive leader in the community/human/social services sector?' and 'Do these leaders demonstrate an AL style?'

The analysis demonstrates that the participants had a strong perception of AL. In addition, the qualitative analysis provides further weight to understanding the research question concerning those attributes that contribute to effective leadership. If one takes the analysis above as the common 'half' of what it takes to be an effective leader, the other half is completely individual. In this way, it can be argued that effective leaders are both born and made, naturally derived as well as needing to be nurtured. The messages emerging from the transcripts show there is no one common personality type of an effective leader. Some were laid back and self-reflective, others were sharper and more abrasive.

The analysis provides promising qualitative evidence that assists in defining the core domains of leadership that contribute to effectiveness of leaders in the community/human/social services sector and align to those within my PCL paradigm—the leadership PASS.

Effective leadership, it appears in this study, requires an amalgam of individual circumstance and personality, context and system, along with a strong sense of purpose and ethics as guiding principles. In Chapter 6, I apply the learnings from this study and the previous findings in my literature reviews to reflect on my personal leadership insights.

Chapter 6 – Discussion and Conclusions

'As for the best leaders, people do not notice their existence… when the best leaders' work is done, the people say, "we did it ourselves".' Lao Tzu (cited in Shinagel 2017, para 4)

6.1 Introduction

This chapter concludes my written critique with a short critical reflection of my PCL paradigm—the leadership PASS—and how it evolved. It will outline what adjustments are proposed and what continues to present as a challenge for any leader in my sector. It will acknowledge both the original and significant contributions I have made to leadership practice. It will also highlight the need for further research to support the essential work that leaders do in the NFP sector.

6.2 Evolution of the PCL Paradigm and What Has Changed?

In commencing this program of work, the leadership PASS was just a mental model. A mental model is described by Norman (2014, p.7) as, *'people's views of the world, of themselves, of their own capabilities, and of the tasks that they are asked to perform'*. Another way of describing your own mental model is through a 'framework', or making meaning of all the connecting structures that can assist in describing the interrelationship between activities, objects, actions and knowledge (Magzan 2012). Of course, an additional expression is a paradigm, and hence why my PCL paradigm journey began with a 'making sense of my mental model' exercise and building my framework, the leadership *PASS,* to organise and interpret all those connections in my leadership.

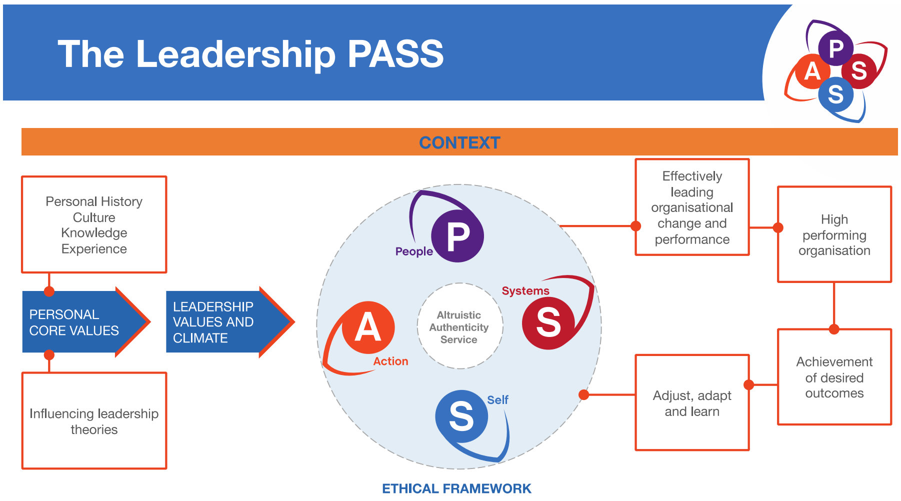
In research conducted by Magzan (2012), she asserts a direct link between leadership effectiveness and mental models and states: '*mental models have much more influence over the organisational outcomes than the actions or decisions being made'.* The majority of leadership development is often focused on the *individual* becoming more effective in and of themselves; for me, my goal from the outset was to learn the **what**, **why** and **how** of effective leadership that could be shared to improve not only organisational outcomes but societal ones. My research questions reflect this (outlined in Chapter 3), as does the research conducted in both literature reviews in Chapter 2, and the qualitative study in Chapter 5.

The process of developing the leadership PASS and articulating the **what**, **why** and **how** of my leadership has been an incredible journey and privilege. All work involves a process, which in turn is a task that we do, driven by the person we are. Leadership is also a process that we often fail to recognise as a leadership process, which is '*grounded in relationships that are fluid, dynamic, non-directive and non-unilateral*' (Meehan 2010, p.1). When we are in the task of leading, we often are unaware of the multiple processes going on. Without knowledge of any process of the task it's hard to ever determine how effective it is, and even harder, then, to improve quickly if it's ineffective. My observations over many years of working with leaders, is the leader who keeps trying to justify their work and keeps repeating doing it the same way only to find they achieve the same ineffective result. If we *understand* these processes, then we are able to challenge our paradigms—only then can we change our actions to get different results:

'Insanity is continuing to do the same things over and over, expecting the different results.' Unknown

Developing the leadership *PASS* as a framework (see Figure 6.1) allowed me to connect the core processes of leadership that need to be undertaken to assist in developing effectiveness, to get better outcomes and challenge the underlying mental model that limits effectiveness. Of course, this has meant that I have adjusted through its evolution, which I'll now explain.

Figure 6.1: The leadership PASS framework



6.3 Proposed adjustments of the PCL paradigm

In Chapter 4 I outlined three distinct stages of my PCL paradigm:

i. Developing on the Run
ii. Maturing
iii. Transforming and Adapting

Using the leadership *PASS* and unpacking the processes to understand my mental model pushed me to stop, reflect and realise that in a dynamic leadership context you have to learn 'on the run' or as the future emerges. Scharmer (2000) describes this as *presencing,* where the leader's learning cycle not only reflects on past experiences but develops a new cognitive ability for '*sensing, embodying, and enacting emerging futures*' (p.2). My experience, outlined in Chapter 4, of 'developing on the run' during the catastrophic event of Black Saturday is testament to this theory.

What I was actually doing during this phase was reacting to an event, which according to Senge (1990) is where many leaders focus their attention; however, they can shift focus through having a systemic view of leadership. Therefore, what has shifted in my leadership PASS is the critical role systems-thinking plays in leadership, both within the system of an organisation and the external system. This adjustment (or evolution) for me is in the

Systems domain of the leadership *PASS* and has continually strengthened throughout this critical reflection process. If I had been *presencing*—that is, '*sensing, embodying, and enacting emerging futures*' (Scharmer 2000, p.2)—I would have done much more in working on shifting the policy position on '*stay or go'* (discussed in Chapter 4) ahead of the event (i.e., in *relation to vulnerable people,* I should have been arguing for a state vs a shared responsibility for their safety). As I *sensed* the position was wrong for vulnerable people (I had no hard evidence pre-event), in sensing I should have *embodied or expressed* my clear position and therefore started to *enact* and develop a different future for vulnerable people during bushfire emergencies.

I took learnings from Black Saturday into my **maturing** phase and started to recognise the system networks at play in leadership. Through bringing together stakeholders at the time I was uncovering shared concerns, frustrations, hopes and goals, and found common ground to link the work through a stakeholder charter. This is referred to by Meehan (2010) as *bridging.* Therefore*,* my systems domain was again strengthened in this phase through understanding the necessity of developing, connecting and utilising networks, so as to achieve new scale in the problems we were trying to solve in leadership.

My **transforming and adapting** phase brought together a culmination of my leadership approach in *practice,* through practicing '*presencing, sensing, embodying, and enacting emerging futures'* (Scharmer 2000, p.2). In Chapter 4 I discussed **resetting the rules, thus creating adaption in the system** through introducing EBPs. This was underpinned by a key learning to use evidence-based decision-making. I now see this as a core requirement in the work I do in my sector. This decision-making tool is now embedded in my leadership *PASS,* whereas is wasn't when I began to unpack my PCL paradigm—this is another adaption (evolution) to improve my effectiveness in leadership.

So, to further explain this adaption, to transform the external and internal systems and how it is ingrained in my leadership practice, I provide this example: In looking at the plethora of evidence around poor outcomes for children and young people removed from families (including a Royal Commission, cited in Chapter 1), I am relentless in pursuing a shift in the system to avoid children and young people being removed from families, or if the children are in the OOHC system, to quickly provide the right intervention to safely get them home. This is an example of '*sensing, embodying, and enacting emerging futures*' (Scharmer 2000, p.2), demonstrating my adaptive leadership to improve my effectiveness to therefore improve outcomes for children and young people.

However, leadership effectiveness is connected to the ability to continually learn and change and challenge our own leadership paradigms. While I have adapted my approach in response to this, the work continues to pursue transforming the *system* to improve outcomes for children and young people. To be effective at this I need to bring a whole system of leaders with me, as individual efforts will account to very little in the end. A shift in my leadership PASS is a way to ensure I create a **shared ownership** around the complex problems within the system; this is consistent with the ethical, altruistic, values-driven leaders who I have argued are a necessity in my sector.

The SLR found that both TL and SL were key theories to contribute to leaders in my sector. Some key insights were also that an executive leader's personality and leadership style can impact many aspects of the organisation's strategy and culture (Avolio 2007, p.31); however, Balkundi and Kilduff (2005) 'locate leadership in the relationships connecting individuals rather than the attributes of individuals' (p.942, cited in Avolio 2007, p.31). This resonates with understandings of EBPs as an emergent form of collective action within organisations that is carried out by leaders and direct practitioners through non-linear and complex processes (Carnochan et al. 2017). This warrants further testing with leaders in the CSO field in Australia, and as such I shall pursue my current approach to share and build on this further.

In the qualitative study in Chapter 5, I found value incongruence between the participants' personal values and what their espoused organisational values were. However, I don't see this as an issue. What is more important is what the leaders' inherent values are. In studies by Lichtenstein, Lichtenstein and Higgs (2017), they argue that executives *enact* their personal values in organisational decision-making. It follows then, that ***what those values are*** matters most (not the organisational ones) if the 'best' decisions are to be made in the interests of others in the CSS.

This has shifted my leadership PASS People domain. The shift is subtle but important, in that, with People, the understanding is that we all hold different values and they are rarely the same as the organisations. A leader can create an organisational expectation of what organisational values are played out at work; for example, the OzChild Ways (principles) and aligning to the desired behaviours of the principles as opposed to stating only one or two words often espoused as corporate values i.e. justice or honesty. In my experience, people hold executives to their expectations of what they believe that one word means; for example, at OzChild I have staff members that really value 'privacy' and others who value 'openness'—both are valued by OzChild, even though the individuals will hold their own personal values in higher regard. We ask teams now to 'live' their values at work and appreciate others personal values. Changes to my leadership PASS are indicated in italics.

People:	Pick people *who can live their values* in alignment to your organisational values (from Chapter 2, Part 1).

Within my leadership *PASS* I have my *inherent values* that focus my work to make the best decisions in the best interests of others. These values to me are called my **virtuous deportments** (outlined in Chapter 1) in particular:

Virtuous Deportment	**Leadership Practice today**
Know the relationship between learning from others and investigating things. Understand the connection between the self and others	I am a lifelong student. I seek out others' knowledge and share my learnings.

As a lifelong learner, I have learned through this DBL that the work is never done. The problems will continue to need to have innovative solutions, so seeking out others' knowledge and critically reflecting will continue, as will sharing what I learn.

Part of sharing my learnings and trying to create shared ownership around some of my sector's big problems is outlined next through my significant and original contributions to leadership practice in my sector.

6.4 Original and Significant Contributions to Leadership Practice

6.4.1 Systematic literature review

As provided in Chapter 2, the SLR is both a significant and original research study conducted with a co-researcher. This work has been shared within the sector (at multiple leadership conferences) and has been submitted for publication (currently under review). To recap on what an SLR is, I provide the CEBMa's description:

> *The intention behind a systematic review is to identify as fully as possible all the scientific studies of relevance to a particular subject and to assess the validity and authority of the evidence of each study separately. As the name indicates, a systematic review takes a systematic approach to identifying studies and has the methodological quality critically appraised by* ***multiple researchers*** *independently of each other, as a consequence of which the review is transparent and reproducible and can be monitored. The use of statistical analysis techniques in a systematic review to pool the results of the individual studies numerically in order to achieve a more accurate estimate of the effect is termed a 'meta-analysis'. (CEBMa 2016)*

The purpose of the SLR was to better understand what the research says constitutes effective leadership in the Australian child welfare context, and what is effective leadership for implementing EBPs within this context. I intentionally wanted to provide an original contribution to the sector on what can assist to implement EBPs, to increase their take-up and improve the organisation's implementation success. As it is CEOs and often other senior executives in government who determine what programs are best, the SLR focused on the executive level of leadership and its association with EBP implementation.

This study is a niche area, with very few studies specific to it (Bish & Becker 2016; Hollister 1993; McMurray et al. 2009; McMurray et al. 2012). For this reason, the research was extended to look at leadership and leadership implementation of EBPs in HSOs more broadly around the world to further strengthen its application.

6.4.2 Sector leadership

OzChild, while a historic organisation, was not well-known in the sector other than at a local programmatic level when I joined. Since becoming CEO, OzChild's profile has risen enormously. If you google search ‘Foster Care’ now in Victoria, OzChild is always in the top ten hits, often the top one or two. I have been appointed to three Ministerial Advisory Groups (see appointment letters in my supporting portfolio #4,#5,#6). I also have led sector reform in Victoria around foster care collaboration. Traditionally, foster care agencies competed for foster carers, but following an initiative I ran to have an umbrella brand and shared collateral, Fostering Connections was born. It has been successfully running for four years and I am Chair of the governance group (see my supporting portfolio #7 include letter from Minister thanking me and Fostering Connections example. This collaboration is an example of ethical altruism, where I set aside my organisation’s individual need for foster carers to instead attract more to the entire system.

I have led and contributed to multiple working groups in my sector. As co-chair of one group I led work that produced a new system design called ‘all roads lead to home’, which is included in my supporting portfolio #8.

In 2016, I won a scholarship to the Harvard School of Business and completed the Strategic Perspectives in Nonprofit Management program. Following my completion, I was invited to join the Harvard Club of Victoria alumni as a fellow (see my supporting portfolio for evidence #9).

I am a Fellow of the Australian Institute of Company Directors (AICD). Who AICD considers a Fellow to be is provided below from their guidance note62 (AICD 2018, p.3) (see my supporting portfolio for evidence #10).

> *WHO IS AN AICD FELLOW?*
>
> *The AICD considers a Fellow to be an individual who:*
>
> *(a) Is, or has been, either a Director elected or appointed on to a Board, or is a Senior Government Official;*
>
> *(b) Has considerable experience, seniority and good standing within the Australian Director and governance community; and*
>
> *(c) Consistently demonstrates the highest levels of integrity, wisdom and generosity of knowledge amongst peers*

[62] https://aicd.companydirectors.com.au/-/media/cd2/global-resources/about/pdf/fellow-guidance-note-april-2018.ashx

I recently was invited to become a Fellow of the Center for Evidence-Based Management (CEBMa) (see my supporting portfolio #11). The Center for Evidence-Based Management (CEBMa) is the leading authority on evidence-based practice in the field of management and leadership.

CEBMa provides support and resources to managers, consultants, organisations, teachers, academics and others interested in learning more about evidence-based decision-making and practices in the field of management and leadership (CEBMa 2018).

6.4.3 Shared knowledge

As my research has unfolded I have regularly shared knowledge with my sector and the broader sector. Examples are included in my supporting portfolio, covering various speaking engagements (#12), a Ted Talk and workshops I have presented at to share my knowledge.

6.4.4 Introducing evidence-based models in child welfare

In 2014, ‘EBP’ was not in the lexicon of my sector. Today it’s what everyone talks about. However, while most desire to deliver EBPs, few do. Through my thought leadership and my resetting of the rules, thus creating adaption in the system through introducing EBPs, OzChild was the first to bring EBPs into the Australian market in 2016. More importantly, the EBPs were specifically introduced to tackle defined problems in the child welfare sector, these include: the first Functional Family Therapy – Child Welfare (FFT-CW) and Treatment Foster Care Oregon (TFCO) programs in Australia and the first SafeCare program in Victoria. Today, OzChild is the largest provider of EBPs for this sector, with 17 EBPs in Victoria, NSW, ACT and Qld. What this does is disrupt the market and create energy around these much-needed programs. Most significantly, the early results show they are working in line with what the evidence predicts from international studies (see my supporting portfolio for two case study examples #13, #14). I have also written about this, with an article being published in Social Work Focus (Summer 2018, Volume 1, Issues 1, pp. 20-21; see supporting portfolio #15.

6.4.5 Emerging leaders program

My view is that it takes many leaders to shift the system. As the great sociologist Max Weber said over 100 years ago, 'the organisations that will survive and thrive will be those that foster acts of leadership throughout the system, rather than assuming leaders only exist at the top' (Weber c1904 cited in The Leadership Hub 2018). I believe that to improve my leadership effectiveness I must also assist others. As part of my research, I worked with two organisational development colleagues to translate my research findings into practical operational guidance for emerging leaders at OzChild. The program outline is attached in the supporting portfolio #1.

6.5 Research Limitations

As discussed in chapters 1–3, and recognised in the leadership PASS, is the need to both understand my inherent values and how they drive my decisions and responses. While my research argues that values-driven leaders are more likely to be effective and are necessary in the NFP sector, distinguishing who is and isn't values-driven is incredibly limited, and is a distinct limitation of this research due to other erroneous factors. For example, a leader of a church-based, large CSO running many programs in response to community need can be seen as values-driven; however, this same leader may run RESI care homes which are known through research to have poor outcomes for children and young people. The leader still delivers the services, as the state has no other options of where to place those children, and the leader genuinely believes giving this child a service with their organisation is better than another provider. Complicating this is funding. This same leader will get $350,000 for this one child in RESI care; if they placed this same child in foster care they would only receive $35,000. While RESI care costs more than foster care the leader, in determining whether to keep doing RESI care (as outcomes are poor), must grapple with extreme funding cuts to move to a less-expensive model. Even cheaper of course is an intervention to prevent entry to RESI care (such as FFT-CW)—this runs at around $14,000 per child.

It's an ethical dilemma of note that is beyond this critique. What my personal values-driven decision would be in this dilemma is to not provide RESI services and forgo any funding to deliver such a service. Instead, I would pursue a prevention or reunification program, shifting the system to change. However, distinguishing whether the RESI provider leader is more/less effective is limited in the values lens, and other lenses need to be overlaid. This is recommended for further research. I did try and get a better understanding of this in my qualitative study in Chapter 5. The limitations are noted within chapters 3 and 5 around self-report measures in the use of the ALQ (which looks at the values perception lens), interviewing and experimenter bias.

6.5.1 Research limitations on SLR

The limitations of the SLR are well documented in Chapter 2, section 2. Limitations.

6.6 External Validity of Conclusions

Shall I compare thee to a summer's day?

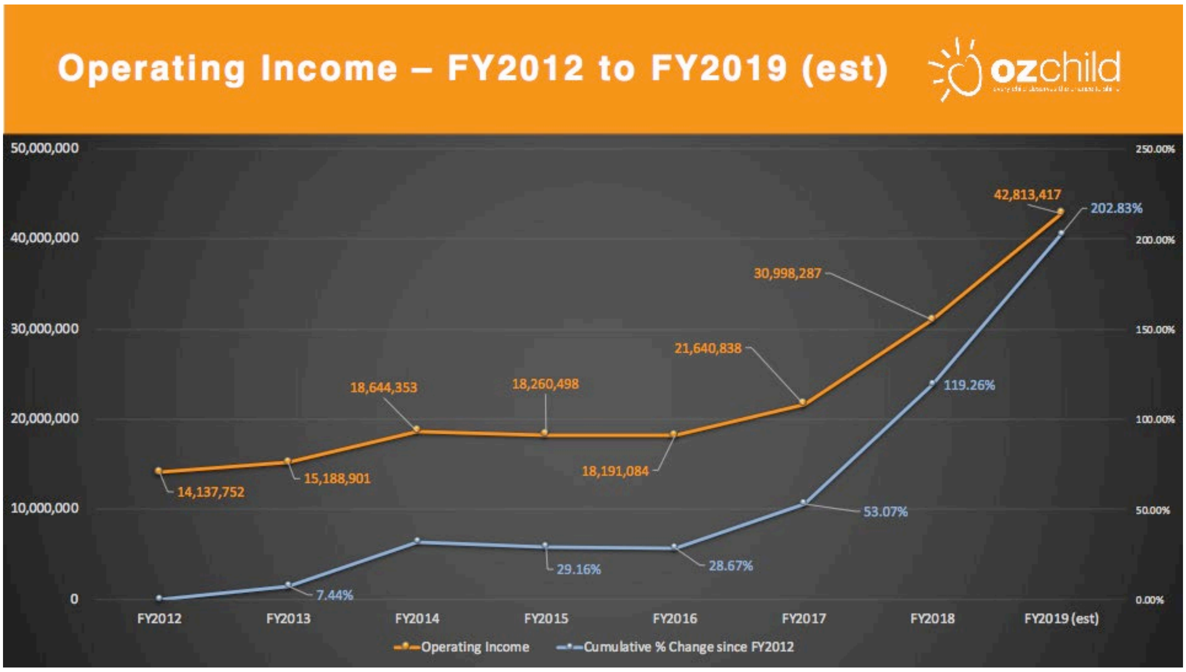
(Sonnet 18, William Shakespeare 1564-1616).

To provide some external validity to my research (in addition to what has already been covered in Chapter 3 in particular), I provide validation through comparisons akin to a pre-test and post-test method of what has changed (finances, geography, programs) since I have been in leadership at OzChild using my PCL paradigm and the leadership *PASS.* So, am I effective in the 'doing' of leading? Does my PCL paradigm—the leadership *PASS*—work in leading? The following areas of finances, geography and programs provide comparison of my organisation, OzChild (what position it was in when I started and where it is today), compared to the NFP/charity sector, where I was able to obtain comparative data.

6.6.1 Finances

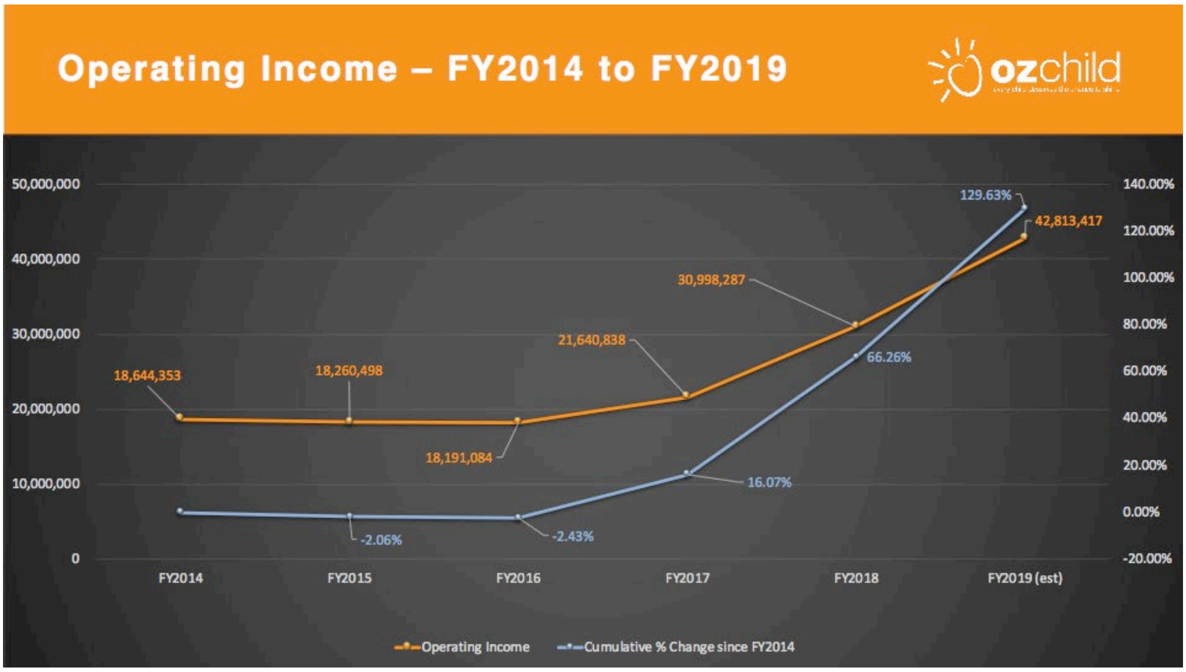
As noted in Chapter 4 and in OzChild Annual Reports, the change in operating income was 202.83 per cent between July 2012 and December 2018 (see Figure 6.2).

Figure 6.2: Change in operating income between FY 2012–2019



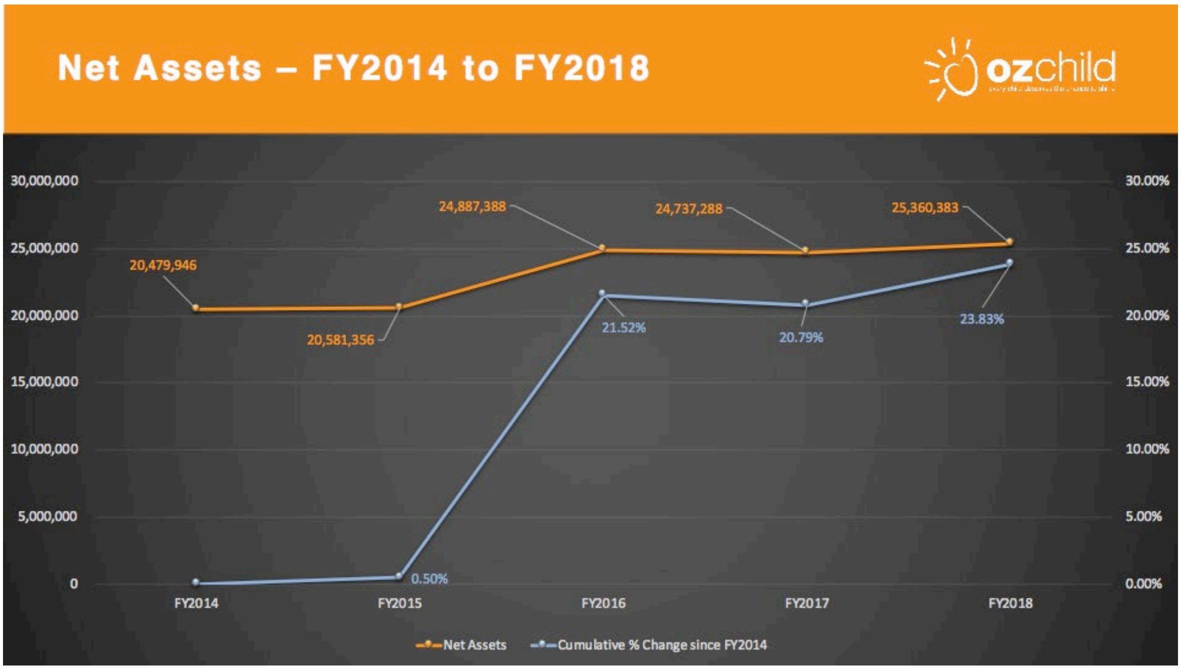
For the period March 2016 (when under my leadership the new strategic plan was launched and my board had agreed on an investment into EBPs) the change went from -2.43 per cent to 129.63 per cent—a shift of **127.2 per cent** (see Figure 6.3).

Figure 6.3: Change in operating income from 2014–2019



At the same time, the growth in net assets at OzChild increased by **23.83 per cent** (see Figure 6.4)

Figure 6.4: Net asset growth while in leadership



Then, to find a suitable comparison group, I looked at comparisons in the NFP sector. All charities and NFPs are registered with the ACNC. The ACNC produces multiple reports each year. The key findings of the key statistics report, conducted by the University of New South Wales to analyse the ways in which Australia's charities were growing and changing between 2014 and 2016, are provided in Table 6.1, providing a side-by-side comparison with OzChild's performance.

Table 6.1: Key statistics from the ACNC report on growth and change in Australia's charities 2014–2016[63] (ACNC 2018)

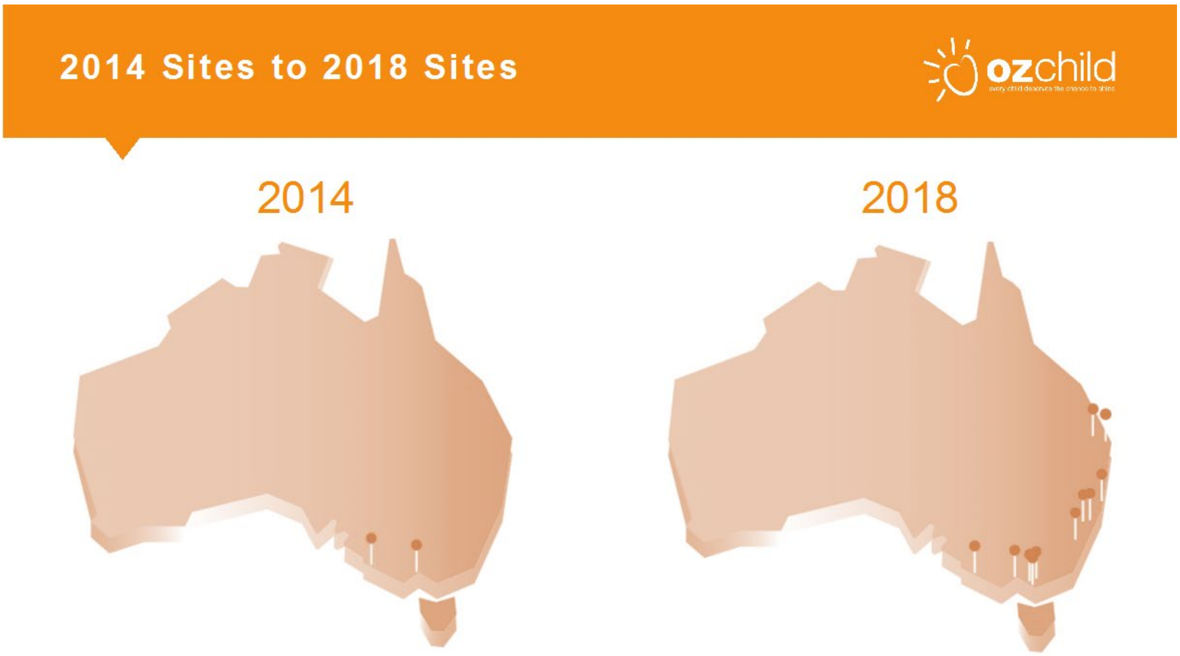
Charity Sector Category	Sector Change % increase (2014–2016, data came out in 2018)	OzChild Change % increase (2014–2018)
Operational Income	10%	127.2%
Charity Assets	14.8%	23.83%
Paid Employees	4.4%	32.7%[64]

6.6.2 Geography

The ACNC also commissioned the Australian Charites Report in 2015 (Cortis et al. 2015), outlining some other key information about the size of charities in Australia and where they are located. OzChild falls into the description of an XL category (income \$10m≤\$100m) (p.19). Within this category, 76.5 per cent of all charities operate in one single state or territory (p.24). In 2014, OzChild also met this criterion, but as of today it operates in four states and territories, as seen in Figure 6.5, which places it alongside only 13.7 per cent of charities that operate in the 2–7 states or territories category.

[63] https://www.acnc.gov.au/tools/reports/growth-and-change-australias-charities-2014-2016
[64] This percentage increase excludes casual staff or volunteers (data obtained from Chief Operating Officer, Mark Powell, OzChild on 16 October 2018).

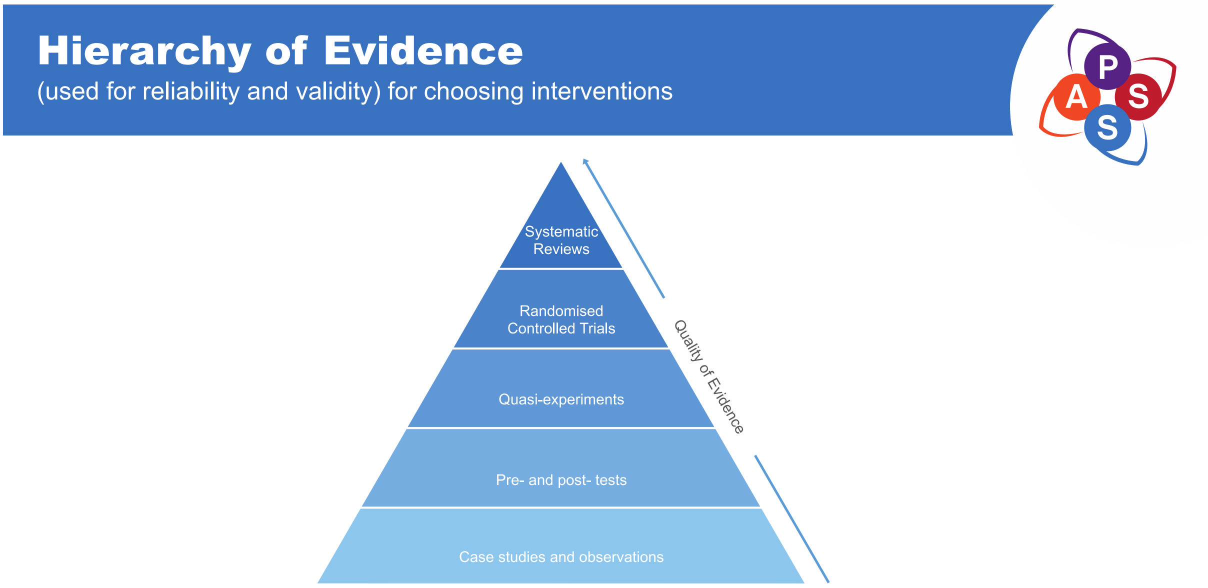
Figure 6.5: OzChild's locations in 2014–2018



6.6.3 Programs – Evidence Based Models (EMBs)

In 2014, OzChild purely operated non-research-based programs. In looking at Figure 6.6, it describes the quality of evidence when choosing interventions.

Figure 6.6: Hierarchy of evidence for choosing interventions



Source: KPMG based on Parker, R.2013. 'Evidence-based practice and service-based evaluation'. CFCA Practitioner Resource.

The programs OzChild uses in its business-as-usual in 2014 were at the bottom end of the quality-of-evidence triangle in Figure 6.6, therefore providing a lower confidence measure for a successful intervention. Going into 2019, OzChild now provides 18 EBPs that sit much higher up the quality-of-evidence triangle. All but one has been subject to multiple RCTs, and one has undergone a quasi-experimental trial. It is difficult and expensive to conduct RCTs in interventions in child welfare due to resource constraints, ethical considerations and a lack of long-term investment.

The value of using RCT-designed studies is the stronger confidence measure of repeating their design success, therefore leading to predicable results. OzChild is the largest provider in Australia of these types of specialised programs, so the comparator group is not available in Australia (most other organisations offer one or two of these types of programs and only in the last 2 years). The closest comparison is NZ, where Youth Horizons, an NFP serving a similar client group as OzChild has been delivering EBPs for over 10 years. Youth Horizons is an XL-size charity and operates across NZ; it is the largest provider in child welfare and one of the outstanding providers of EBPs, with multiple evaluations into the outcomes for their EBPs alongside empirical studies.

Many organisations visit Youth Horizons due to their reputation and approach. Table 6.2 compares operating income, net equity and the number of EBPs between Youth Horizons 2014–2017 and OzChild from 2014–2018 (noting published financial data is not available for Youth Horizons for 2018 and is in NZD).

Table 6.2: Comparison of Youth Horizons and OzChild on key metrics 2014–2017*

Measure	Youth Horizons Result 2014[65]	Youth Horizons Result 2017[66]	OzChild Result 2014[67]	OzChild Result 2018[68]	OzChild projected 2019[69]
Operating Income	NZ$15.1m or A$13.9m	NZ$18.6m Or A$17.1m	A$18.6m	A$30.9m	A$42.8m
Net Equity	NZ $4.39m Or A$4.09m	NZ$5.76m Or A$5.31m	A$20.4m	A$24.7m	A$25.3m
No. of EBPs running	20 teams across 7 EBPs	24 teams across 7 EBPs	Zero	10 teams across 4 EBPs	18 teams across 6 EBPs

*(noting NZ $ have been converted to A$ underneath to ease using XE Currency converter (XE 2018).

From the table above, you can infer that OzChild's current trajectory would be to emulate the great success of Youth Horizons. Youth Horizons celebrate their tenth anniversary of delivering EBPs in 2019 and provide much guidance to OzChild.

6.7 Suggested Further Research

This critique offers the first SLR into effective leadership in the human services sector in Australia, and the study in Chapter 5 can contribute to the very rare few qualitative studies into effective leadership in human services in Australia (most of relevance and quality appearing in the SLR). However, much more is needed. In particular, research is needed into the link between executive personal values, strategic choice and behaviour relationships, as argued by Lichtenstein and Dade (2007). In my ethical dilemma mentioned in section 6.5 Research Limitations, if executive leaders have the power to influence

[65] https://www.youthorizons.org.nz/assets/Uploads/Youth-Horizons-Annual-Report-June-2014.pdf
[66] https://www.youthorizons.org.nz/assets/Uploads/Youth-Horizons-Annual-Report-2017.pdf
[67] https://www.ozchild.org.au/wp-content/uploads/2015/04/OzChild-Annual-Report_2013-2014.pdf
[68] OzChild's Annual Report for 2018 is to be published following the AGM in November 2018 (data from audited financial statements provided by Mark Powell, Chief Operating Officer on 15 October 2018).
[69] Confirmed 2019 budget was adopted by the Board in September 2018 (data provided by Chief Operating Officer Mark Powell on 15 October 2018).

strategic choice (i.e. what programs and services they offer), then why is it they still provide inferior products and services to clients already facing the toughest of challenges in life, knowing that there is something better out there? Of course, that decision is a shared one with government, and more research into the strategic choices of key executives of the departments who determine the procurement of programs and services could throw more light on their personal values and strategic choice and behaviour.

The other research area is the continued exploration of implementing EBPs, and measuring implementation success in different-sized organisations and contexts (such as working with Aboriginal Community Controlled Organisations).

6.8 Conclusion

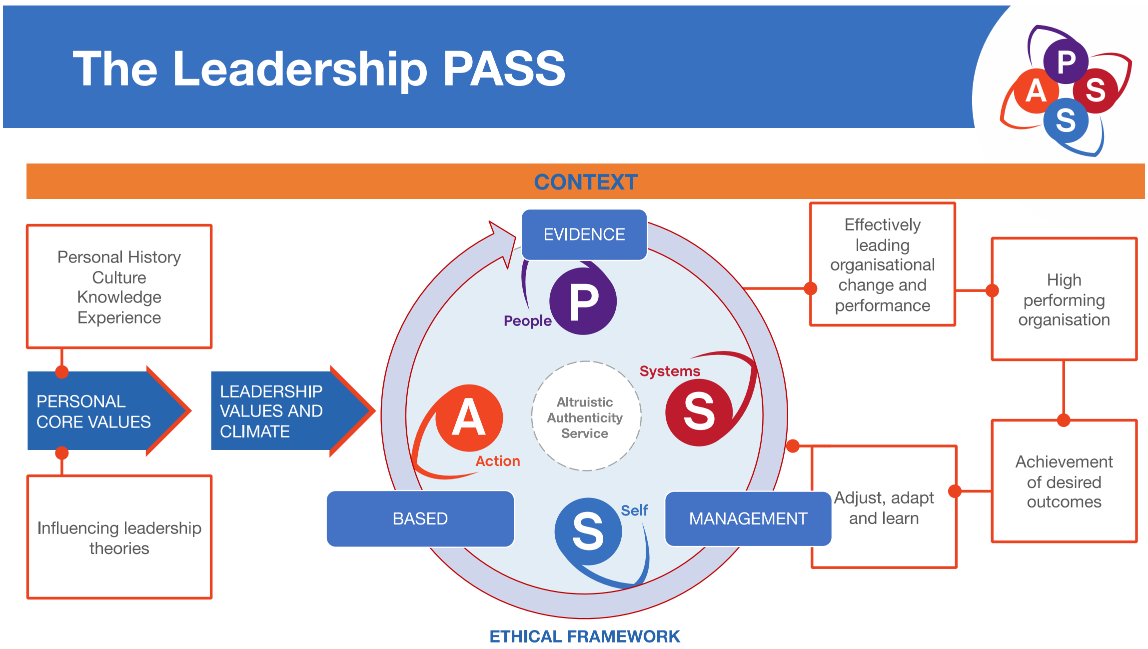
My starting premise in Chapter 1 was that in order to provide the most effective leadership response in my context, leaders like myself of organisations such as OzChild must aspire to provide evidence-based services for their clients, underpinned by the right values in leadership. Throughout this DBL program I have strived to better understand, justify and articulate my PCL paradigm to assist my leadership at OzChild, via my overarching research question: ‘How does the leadership PASS contribute to a CSS leader’s effectiveness?’ and through my research I have supported those aspiring leaders within OzChild and beyond to exercise influence throughout the system.

In Chapter 2, I proposed that in the NFP world of serving and helping others, leaders need to know where their moral compass lies and *what* they value. To do this *a leader with the normative behaviour of egoism will not be as effective as that of one of altruism*. A leader in the CSS is better equipped by understanding what intrinsically drives them, by knowing what values are embedded within their inner core and seeing if they are inherently altruistic (as outlined in the PASS framework). Leaders who can demonstrate that they bring together groups with shared values and act upon them in an authentic way have been found to have much higher levels of performance in systems, along with helping others to achieve improved outcomes (Banks et al. 2016). These leaders exhibit selfless behaviours and a relational leadership style (De Cremer 2006; Sosik, Jung & Dinger 2009). Altruistic leaders will draw on their values and inner moral code when the murky right confronts and call on the right decision as needed to therefore be more effective. While an egoistic leader may be effective, it will be to advance oneself—it will have little impact on the system at large in the NFP world; this world has a long-term view. For the larger system there is a need to bring many along, across multiple stakeholder groups over the long-term. An altruistic leader, knowing 'oneself', understanding their inherent values and *how* this drives their decision-making will in turn assist their leadership effectiveness in the CSS and keep them focused long-term.

To allow me to be more effective in leadership in the NFP sector, this critique aligns with the components of the leadership PASS.

Figure 6.7 is the last edition of the leadership PASS, which includes the new addition of evidence based-decision making throughout management/leadership.

Figure 6.7: The (adjusted) leadership PASS 2018



In embarking on the opportunity to advance my learning through the DBL program, I never envisioned the insights it would provide. I do believe that leadership can be infectious as through my quest to learn to be more effective through this critique I have observed many leaders around me surpass what I could hope in myself. As I conclude this critique, I am reminded of my greatest Judo teacher (Sensei Steadman) and in telling him at age 6 even that I thought I had mastered my technique [throw] and requested to learn another he said:

> *"Only when you have blindfolded yourself and thrown your opponent from every angle with your technique will you be ready to learn the next" (Sensei Steadman Davies, 1976)*

I conclude with this as I emphatically believe learning is never complete.

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Appendices

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