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Pepperdine University

Graduate School of Education and Psychology

PUBLIC LEADERSHIP: A STUDY OF THE LEADERSHIP PRACTICES OF  
ELECTED PUBLIC OFFICIALS IN GUAM AND THE COMMONWEALTH OF THE  
NORTHERN MARIANA ISLANDS

A dissertation submitted in partial satisfaction  
of the requirements for the degree of  
Doctor of Education in Organizational Leadership

by

Florie Nadine Manglona Mendiola

July, 2012

June Schmieder-Ramirez, Ph.D. – Dissertation Chairperson

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DOCTOR OF EDUCATION

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## TRIBUTE

I would like to pay tribute to my grandfather, Fidel Mendiola. He was so passionate about leadership. My study of leadership and dissertation was inspired by his passion in the hope that I can continue his legacy.

## DEDICATION

This dissertation is dedicated to my family. Thank you for your unwavering love and support. I also want to dedicate this dissertation to the people of Rota. I am a living example of the concept, “It takes a village to raise a child.” I am blessed to have been born and raised on the beautiful island of Rota by humble and caring people. I chose to pursue this degree in order to one day serve my people, my island, and my community in hopes that I can contribute to the island that has nurtured me. In return, I believe that it is my mission to help nurture our youth, the next generation, and the future leaders of our islands and the Micronesian region.

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## ABSTRACT

Elected public officials hold one of the highest levels of leadership. They are voted into office with the belief that they embody the ideals of a good leader and are charged with the all-encompassing task of making crucial decisions that affect all sectors of society and its constituents. There is pressure to produce results, maintain credibility in their performance, and build trust with constituents. It is essential that an assessment tool be used to help leaders gain perspective and understanding in determining the effectiveness of their leadership practices.

The opportunities to self-evaluate allow leaders to continuously refine their craft to improve their performance and, thus, better serve the needs of their constituents. In Guam and the Commonwealth of the Northern Mariana Islands, no process exists to evaluate the effectiveness of leadership practices of elected public officials. The results of this study will not only contribute to the scarce literature of public officials in the region, but can also be used in the development of leadership in the region.

The purpose of this quantitative study was to identify and measure the leadership practices of 89 public officials using Kouzes and Posner's leadership model (Modeling the Way, Inspiring a Shared Vision, Challenging the Process, Enabling Others to Act, and Encouraging the Heart) and the Leadership Practices Inventory as the research instrument. This study also determined if there were differences in leadership practices based on demographic information (gender, age, ethnicity, number of years of service, education level, frequency of leadership training/development, and area of representation). Descriptive statistics determined the significance of differences between the variables derived from demographic information using ANOVA.

Twenty-six public officials voluntarily completed an online version of the LPI through Survey Monkey, including demographic information. Based on the findings, respondents scored “moderate” on the five leadership practices. The differences were in Modeling the Way and Enabling Others to Act based on frequency of participation in training/development activities. In Modeling the Way and Inspiring a Shared Vision, the differences were based on gender and area of representation. There were no differences in Challenging the Process and Encouraging the Heart.

## **Chapter One: Introduction**

Leaders have been glorified throughout history as extraordinary people who have conquered, overcome extenuating circumstances, and achieved what was thought to be impossible. Throughout history, they have been identified as heads of countries, states, and religious organizations with the belief that their leadership authority was granted by a divine power. Other leaders have been granted the authority through voice and recognition of the people. Leaders are identified as those who achieve great success, accumulate great fortune, or display great courage through action.

The romanticism of leadership has led to the study of leadership in order to understand the mysticism that embodies these extraordinary individuals. Often, they are seen as the individual ruling an entire country, leading a great army, or speaking before a rapt audience, but rarely are they viewed as fallible individuals. According to Daft (2008), "Leadership has been a topic of interest to historians and philosophers since ancient times, but scientific studies began only in the twentieth century" (p. 4). To understand leaders and leadership, one must first define it.

However, there are hundreds of definitions for leadership framed with multiple conceptualizations. Leadership has been studied from the vantage point of external as well as internal forces and influences. Based on the study of leadership literature, Stogdill (1974) came to the conclusion that leadership has been defined based on the following conceptualizations: traits, influence, role relationships, behaviors, interaction patterns, and occupation of administrative positions.

While there are multiple definitions of leaders, to be specific, Burns' (1978) study includes 130 definitions, which reveal several components of leadership. Leadership

definitions express several themes of leadership: (a) purpose (b) role (c) beliefs and (d) perceptions. The expression of leadership also defines what a leader must embody and how they must behave.

Fleishman et al. (1991), as cited by Northouse (2010), states, “In the past 60 years, as many as 65 classification systems have been developed to define the dimensions of leadership” (p. 2). Despite the multitudes of classification, there are four main components central to the study of leadership: (a) leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals (Northouse, 2010, p. 3). In this case, the definition presented by Daft (2008) fits the four main components as he defines leadership as “an influenced relationship among leaders and followers who intend real changes and outcomes that reflect their shared purpose” (p. 4).

The heroic images of leaders failed to emphasize one essential element of leadership, which is that there are no leaders without followers. Bolman and Deal (2008) explain that leadership is not a one-way transaction in a sense that leaders lead and followers follow; in fact, the followers play a significant role in the formation of leadership. Leaders exist only when power and authority is granted with the belief that the leader is able to take necessary actions to meet the needs of the people and change undesired circumstances.

Followers, based on the socioeconomic situation of their areas, expect and look for a type of leader needed to meet the demands of the time. Gardner (1989), Simmel (1950), Heifetz and Linsky (2002), as cited in Bolman and Deal (2008), expound that “leaders are not independent actors; they both shape and are shaped by their constituents”

(p. 344). Followers develop their concept of successful leadership as they “. . . believe in the power of the leader. By believing, people are encouraged to link positive events with leadership behavior (Bolman & Deal, 2008, p. 307). People follow leaders whom they believe embody the characteristics successful leaders and whose actions are constantly reinforced in accordance with successful leadership.

Peoples from all over the world, in various contexts and cultures, determine the type of individual granted the title of leader. They develop the context for a leader which they will empower and follow. House, Ruiz-Quintanilla, Dorfman, Javidan and Dickson (1999) states that “the attributes and entities that distinguish a given culture from other cultures are predictive of the practices of organizations and leader attributes and behaviors that are most frequently enacted, acceptable, and effective in that culture” (p. 187). It is the followers that shape the leadership needed to fulfill their needs, address their concerns, and take action for the common good of the country and its people.

One of the highest levels of leadership bestowed amongst the people is the title of elected public officials. According to Black's Law Dictionary, a public official is [o]ne who is elected or appointed into public office person to facilitate the government's sovereign powers” (Garner, 2009). This is due to the fact that the American population elects their leaders. The individuals who win the election have the approval of the people. They believe the individuals they voted into office represent leadership qualities and abilities, and are fit to take on a leadership role created to participate in leading the nation.

These individuals elected into office take on the roles and responsibilities as representatives of the people, providing his or her constituents with a voice and a



participatory role in our government. With this power entrusted by the people, public leaders are held to a higher standard and code of ethics in which they represent the people and act on their behalf.

People elect public officials, with the belief that they embody the ideologies, knowledge base, and skills essential to their leadership position. People have beliefs “about the attributes and behaviors that distinguish leaders from others, effective leaders from ineffective ones, and moral leaders from evil ones” (House et al., 1999, p. 185) As public leaders, they are charged with devising solutions to tackle the country’s problems while moving our country towards becoming a more prosperous nation that fulfills the needs of its citizens. Kouzes and Posner (2011) state that every election year brings changes, positive or negative, that affect employees on all levels in the public and private sectors, in addition to consequences which affect their ability to continue to meet society’s needs.

Due to the democratic process, in order for these individuals to stay in public office, they must be re-elected. Public officials, throughout their time in office, must therefore demonstrate effective leadership. Officials must do so in order to continue to earn the trust of constituents and build their confidence in their representative’s abilities to be an effective leader in his or her role, often accomplished through tackling problems and bringing prosperity to their city, country, or region. Kouzes and Posner (2011) illustrate this point by stating, “Exemplary leaders know that it’s their behavior that earns real respect. They practice what they preach” (p. 2). In their study, Kouzes and Posner (2007) identified that the trait in a leader that people felt was the most important was honesty.

However, productivity is another important component to U.S. citizens, one which leads them to ask, “How effective are our elected public officials as leaders?” This goes hand in hand with various researches which prove that effective leaders produce results. As Kouzes and Posner (2011) state, with pressures for new administrations to deliver short term results, it becomes difficult for leaders to stay true to their vision, but exemplary leaders know what is needed to create productive work environments that nurture and develop employees, provide quality products and services, and create an institution worthy of the public’s trust.

This study will identify and measure the leadership practices of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) using Kouzes and Posner’s leadership model based on the five practices of exemplary leaders: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart. Kouzes and Posner (2002) claim that “leaders do exhibit certain distinct practices when they are doing their best. This process varies little from industry to industry, profession to profession, community to community, country to country” (p. xxv).

### **Theoretical Framework**

Kouzes and Posner’s leadership model and assessment tool, the Leadership Practices Inventory (LPI), has been used in over a hundred academic studies and researches in various fields and professions; in addition, it has been extensively used in leadership training and development programs in multiple industries, domestically and internationally. Seventeen studies have focused on leadership in government and the public sector. Based on its extensive use, proven validity, reliability, user friendliness,

and relevant conceptualization in various leadership contexts and environments, this study employed Kouzes and Posner's leadership model as the theoretical framework.

As this study seeks to uncover the leadership practices of elected public officials and determine the level of effectiveness in their leadership practices, Kouzes and Posner's five practices of exemplary leaders, grounded in multiple leadership concepts focusing specifically on transformational leadership, proved best suited to frame the context of the study. Through their research as well as the contributions of many academic studies, Kouzes and Posner's leadership model continues to validate that exemplary leaders, despite their leadership position, leadership style, personal traits and characteristics, work place, field, location, have similar leadership practices that make them effective as leaders as they lead their organizations and followers to accomplish goals and produce extraordinary results.

Kouzes and Posner's (2011) leadership model and the LPI identifies leadership practices of effective leaders; in addition, it measures the level (measurement of frequency in each practice) of each leadership practice, which makes this model appropriate when seeking to uncover the leadership practices of elected public official in Guam and the CNMI. Identifying leadership styles is not necessarily a priority in this study as the problem is based on a need to measure the effectiveness of leadership practices of elected public officials to determine the areas of strengths and weaknesses of leaders in Guam and the CNMI. Good public governance is a result of public leaders demonstrating effective leadership (Kouzes & Posner, 2011). The results of the LPI will be a starting point to begin to examine leadership practices in relation to this region and develop leadership training programs and processes that fosters the growth of present and

future leaders for the overall vision of achieving a self-sustaining island nation that provides for the needs of its constituents. Good public governance creates social value and has positive affects in the quality of our daily lives (Kouzes & Posner, 2011).

### **Problem Statement**

Through various investigations, the Department of the Interior found that the U.S. insular areas of American Samoa, the Commonwealth of the Northern Marian Islands (CNMI), Guam, and the U.S. Virgin Islands (USVI) faced long term economic accountability challenges. The results of the investigations uncovered factors related to the economic struggles of these insular areas: (a) dependence on few key industries, (b) scarce natural resources, (c) small domestic markets, (d) limited infrastructure, (d) shortages of skilled labor, (e) reliance on federal grants to fund basic services, (g) government spending exceeding revenues, and (h) delayed and incomplete financial reporting (Government Accountability Office, 2006). These challenges have affected the islands governments' ability to effectively operate and manage their organizations and resources. This has been detrimental to the overall ability of the islands to sustain themselves as well as addressing the overall well-being of citizens.

The insular areas cannot risk continuing to be dependent on U.S. federal funding to fulfill their citizens' basic needs. The delayed and incomplete financial reporting has raised questions about the ethics of responsible fiscal management. There is no guarantee in the amount of monies or the continued timeframe in which the federal government will continue to fund a portion of the insular governments' budget. If at any time federal funding is significantly decreased or ceases to be available to the insular areas, the citizens of these islands will suffer severely. It is crucial for the leaders of these islands

to be well-versed in the art of leadership, knowledge base, and skills to move the islands forward in order to become more self-reliant and self-sustaining.

As a result, the Government Accountability Office (GOA) was requested to conduct a study to identify and report on (a) economic challenges facing each government, (b) fiscal condition of each government, and (c) financial accountability of each government. The study confirmed the findings from previous investigations. The conclusions of the study stated the need for the insular areas to (a) promote economic development through business opportunities as well as diversity in industries, (b) increase local tax revenues to promote a healthy private sector, (c) participate in formal Office of Internal Affairs (OIA) evaluations, (d) provide officials with timely and complete reporting for effective decision-making, (e) provide reliable and complete information that would give auditors an accurate and honest assessments of financial reporting, (f) participate in the training sessions, conferences, and programs necessary for improving accountability, and (g) provide feedback through formal evaluations of the effectiveness of these training initiatives (Government Accountability Office, 2006). The report determined that there is lack of formal evaluation and data collection to measure the growth and effectiveness of leaders in these insular areas. As the report stated, “The benefit to the insular areas of past and current assistance is unclear, as is the way toward prosperity and fiscal stability” (Government Accountability Office, 2006, p. 57). There is a need to measure current state of performance and effectiveness of governmental organizations and their leaders to determine if there have been any benefits or progress towards improvement towards effective governance and leadership.

## **Purpose of the Study**

This study sought to provide a means of measuring the effectiveness of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) in their leadership positions. It provided the first step towards identifying the leadership practices of current public officials to determine their leadership effectiveness using a western model of exemplary leadership behavior, representative of transformational leadership. The study focused on the leadership practices of elected public officials from Guam and the CNMI and identified the practices that are congruent to an effective form of leadership, using Kouzes and Posner's leadership model of transformational leadership.

Kouzes and Posner's leadership instrument, the Leadership Practice Inventory (LPI), provided an accurate measurement of exemplary leadership behaviors. This tool is validated and reliable in measuring the levels of leadership practice, which helps leaders to determine their strengths and areas of improvement. This study addresses the five leadership practices, developed by Kouzes and Posner (2011):

1. Modeling the way: leadership behavior that (a) clarifies values by finding their voice and affirming shared ideas, and (b) set an example by aligning actions with shared values.
2. Inspiring a shared vision: leadership behavior that (a) envisions the future by imagining exciting and ennobling possibilities, and (b) enlists others in a common vision by appealing to shared aspirations.
3. Challenging the process: leadership behavior that (a) searches for opportunities by seizing the initiative and by looking outward for innovative

ways to improve, and (b) experiments and take risks by constantly generating small wins and learning from experience.

4. Enabling others to act: leadership behavior that (a) foster collaboration by building trust and facilitating relationships, and (b) strengthen others by increasing self-determination and developing competence.
5. Encouraging the heart: leadership behavior that (a) recognizes contributions by showing appreciation for individual excellence, and (b) celebrates the values and victories by creating a spirit of community.

In addition, this study sought to determine if there are differences in leadership characteristics, as measured by the LPI, based on gender, age, ethnicity, number of years of service, educational background, frequency of leadership training/development within the past five years, and area of representation.

### **Research Questions**

The following research questions informed this study:

1. What are the percentile levels, according to Kouzes and Posner's established standards, of leadership practices (modeling the way, inspiring a shared vision, challenge the process, enabling others to act, and encouraging the heart) of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) as measured by Kouzes and Posner's Leadership Practices Inventory (LPI)?
2. What are the similarities and differences in leadership practices of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of

gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experiences, and area of representation?

### **Significance of the Study**

Elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) are bestowed the highest level of leadership in these islands. The people vote these individuals into office with the confidence that these individuals embody the characteristics of good leaders; furthermore, they represent the beliefs and voice of the people. Elected public officials are entrusted to represent their constituents in making decisions that address the needs of the people and for the overall good and well-being of the islands.

Literature on elected public officials on these islands is scarce. This study will be an addition to the literature of leadership on these islands. In addition, the findings of this study can be the first initial step in developing a framework of leadership in this region by identifying the leadership practices of its leaders. Identifying the means in which their leaders practice leadership consistently will lead to an initial understanding of the type of leadership that exists within the islands of Guam and the CNMI.

The measurement of leaders' practices can act as a guide to determine the strengths and areas of improvement of leaders. The findings can provide opportunities to tailor leadership training to address the needs of Guam and the CNMI and help them grow in their capacity to better lead the islands towards self-sustenance. Participation in this study can help island leaders use the results as a reflective tool to evaluate their beliefs and performance in their leadership capacities. Participation in the study can give island leaders the perspective and experience to observe the benefits of using evaluative



tools as a guide for learning, development, and problem-solving. Beginning with themselves, leaders can model the use of evaluative tools and implement its uses in the development of their organizations and employees.

### **Methodology**

The research design for this study is quantitative. Creswell (2002) defines quantitative research as a systematic scientific investigation consisting of the relationship between qualitative properties and the phenomena. The study employed a validated instrument, LPI, in addition to demographic questions, to collect data which addressed the research questions. The LPI and demographic questions were used to identify the leadership practices of elected public officials in Guam and CNMI and determine the type of leadership practice based on Kouzes and Posner's five leadership practices of exemplary leadership: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart.

The results of the LPI were compared to the Kouzes and Posner's standards found in the score indicator to measure the level of the leadership practices of participants in the survey. The results of the LPI were then compared to the demographic questions to discover if there were any similarities or differences based on gender, age, ethnicity, number of years of service, education level, frequency (number) of leadership training experience, and area of representations. Statistical analysis using the analysis of variance (ANOVA) was used to test the significance between variables.

### **Limitation of the Study**

1. The researcher assumed that the participants would offer full cooperation and that all responses in the demographics section and LPI would be answered truthfully.

2. The impact of the researcher's beliefs, ethnicity, and family background is unknown.
3. The knowledge of the participants in the study of leadership and leadership theories is unknown.
4. The knowledge of the participant's participation, frequency of participation, and level of involvement in leadership conferences and training programs is unknown.
5. The comparison between the participants' set of personal values and the organization's and the islands' cultural values was not included in the study therefore were not controlled variables.
6. The participant's family education, class, and economic standing were not variables being studied and therefore were not controlled.
7. The participant's religion was not a variable being studied and therefore was not controlled.
8. The participant's previous work-related history was not a variable being studied and therefore was not controlled
9. The participants answered a self inventory of the LPI, which is based solely on the participant's perceptions of his or her leadership practices. Others methods to validate the participant's perceptions were not used in this study.

### **Definition of Key Terms**

Chamorro: Native people in the Marianas or the language spoken there (Topping, Ogo, & Dungca, 1975).

Commonwealth: An organized United States insular area, which has established with the Federal Government, a more highly developed relationship, usually embodied in

a written mutual agreement (U.S. Department of the Interior: Office of Insular Affairs, 2012).

Effective leadership: The pattern of leadership behavior consistent with people who are accomplishing extraordinary things in organizations, described as best practices: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart (Kouzes & Posner, 1997).

Insular area: A jurisdiction that is neither a part of one of the several states, nor a Federal district (U.S. Department of the Interior: Office of Insular Affairs, 2012).

Leadership: An influenced relationship among leaders and followers who intend real changes and outcomes that reflect their shared purposes (Daft, 2008, p. 4).

Organic Act: The body of laws that the United States Congress has enacted for the government of the United States Insular area; it usually includes a bill of rights and the establishment and conditions of the insular area's tripartite government.

Public Leader: A formal or informal leader who serves in a leadership role in the public sector.

Public official: One who holds or is invested with a public office; a person elected or appointed to carry out some portion of a government's sovereign powers (Garner, 2009).

Unincorporated territory: A United States insular area in which the United States Congress has determined that only selected parts of the United States Constitution apply (U.S. Department of the Interior: Office of Insular Affairs, 2012).

U.S. Department of the Interior: An executive department of the U.S. government created in 1849 to take charge of the Nation's Internal Affairs. (U.S. Department of Interior, 2011).

U.S. Territory: An unincorporated United States insular area, of which there are currently thirteen, three in the Caribbean and ten in the Pacific (U.S. Department of the Interior: Office of Insular Affairs, 2012).

### **Organization of the Study**

Chapter one introduces the topic, as well as provides a brief overview of leadership in relation of elected public officials, presents the problem statement, discusses the purpose and significance of the study, lists the limitations of the study, and provides definitions of key terms.

Chapter two presents the literature review findings relevant to the research questions in the following areas: overview of the geography, history, demographic, and government of Guam and the CNMI, leadership theories, and Kouzes and Posner's work as the theoretical framework for this study.

Chapter three discusses the research design, which includes the following: description of participants, research instrument, data collection procedures, data analysis, assumptions of the study, and limitations of the study.

Chapter four reports the data findings and a discussion of the analysis of the data after a complete process of data collection.

Chapter five presents the conclusions of the study and recommendations for further research and study.

## **Summary**

Chapter one gives a brief introduction to the concept of leadership. The chapter also gives a brief overview of elected public officials in the context of leadership. The chapter continues with a discussion of the problem, the purpose of the study, research questions, significance of the study, and methodology used in the study. The limitations of the study were also presented. A list of key terms accompanied with definitions was included as a basis to understanding the concepts presented in the dissertation.

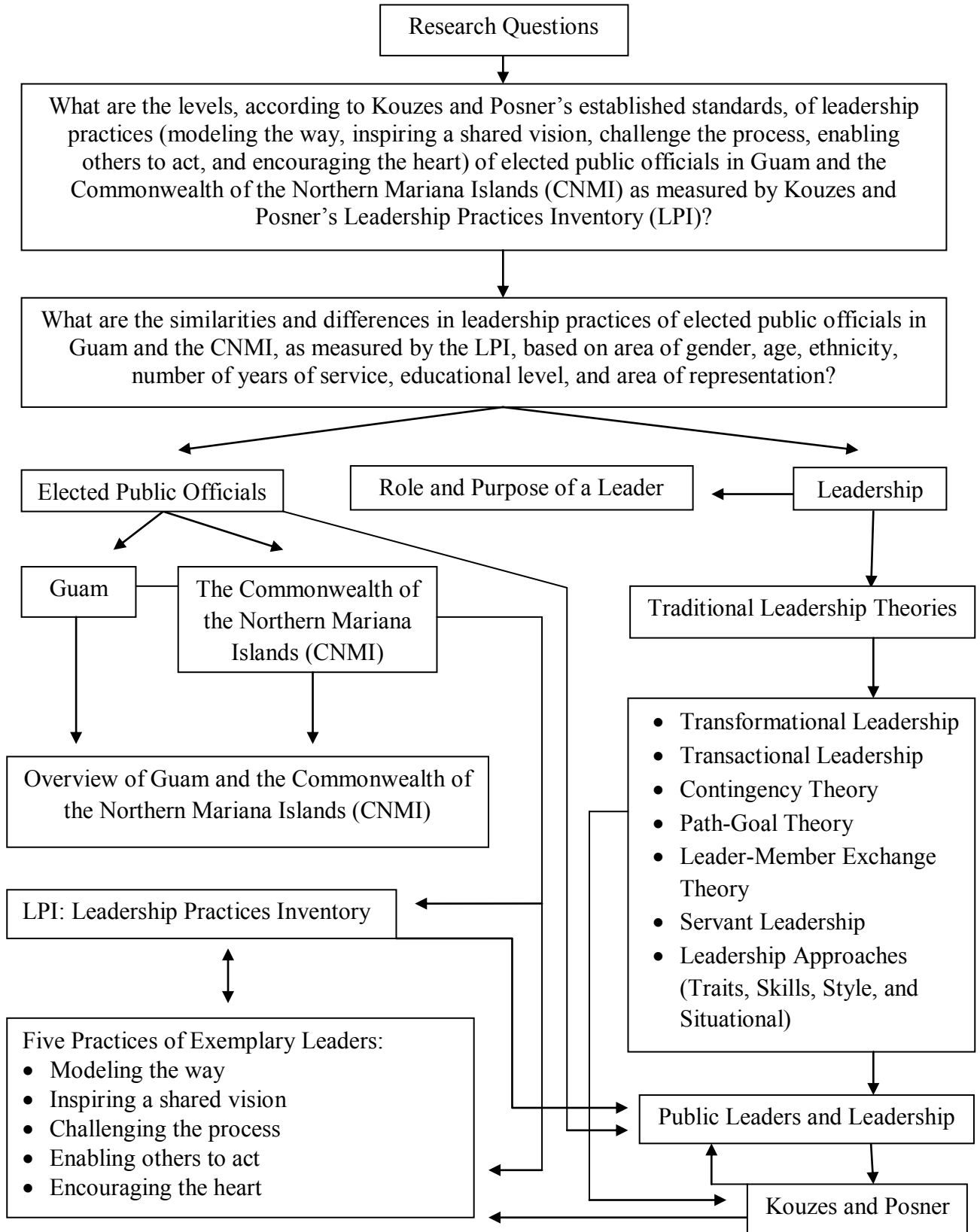


Figure 1. Chart that illustrates how the theoretical framework guides the study.

## **Chapter Two: Review of Literature**

This chapter presents the review of literature for this study. The review of literature discusses the main themes that framed the context of this study. The main sections discussed in the review of literature are as follows: (a) geography, demographics, economy, government, and history of Guam and the Commonwealth of the Northern Mariana Islands (CNMI), (b) role and purpose of a leader, (c) traditional leadership theories, (d) public leaders and leadership, and (e) overview of Kouzes and Posner theories in addition to the background and development of their leadership model and assessment tool.

### **Overview of Guam and the Commonwealth of the Northern Mariana Islands**

Guam and the Commonwealth of the Northern Mariana Islands (CNMI) were islands acquired by the United States as a result of World War II in the Pacific. These islands have been entrusted to the United States as a protectorate and to guide these island nations towards self-governance and self-sustenance. The United States Department of the Interior was charged with the oversight of these islands, known as the insular areas.

The insular islands consist of American Samoa, the Commonwealth of the Northern Marian Islands (CNMI), Guam, and the U.S. Virgin Islands (USVI). Each insular island created a constitution in congruence with the U.S. Constitution. The specific type of relationship between the U.S. government and these island nations was negotiated through each of the island nations' constitutions. As a result of each agreement, the insular areas (a) follow U.S. federal laws, (b) were granted U.S.

citizenship, (c) benefit from federal financial assistance, and (d) modeled the form of governance and educational system demonstrated by the U.S.

Guam and the CNMI are located in the Micronesian region in the Pacific Ocean. Both island nations have had a history of occupation by the Spanish, Germans, Japanese, and Americans. Each occupation has changed the cultural and social landscape of the island and its original inhabitants, the Chamorro people. There has been a significant influx of immigrants from the Philippines, Micronesian, and Asian people into the islands and there is presently a diverse representation of the population in elected government positions. Although the majority of elected government officials and administrators are of Chamorro ethnicity, and this is reflective of the population, the continued immigration is changing the social, economic, and cultural landscape of the islands, which will also transform the governmental leadership population as well as the political agenda of these islands.

**History: Guam and the Commonwealth of the Northern Mariana Islands (CNMI).** The history of the people of Guam and the Commonwealth of the Northern Mariana Islands (CNMI) has been divided into four major sections: Pre-contact, Spanish occupation, Japanese occupation, and American occupation. Pre-contact refers to the time before the indigenous people, the Chamorro, had contact with any Western or Eastern powers. The Spanish occupation marked the first occupation of these islands, in which the Spanish sought to civilize and assimilate the Chamorro people. Later, the results of the Treaty of Paris led to the Japanese occupation. Then, in the aftermath of World War II, the Americans claimed the islands as a trust territory of the United States and were kept under their control and protection.



The ancestry of the Chamorro people stemmed from two possible geographical locations: Southeast Asia and Oceania. Existing evidence, such as recent anthropological, historical, archaeological, and linguistic research, supports the claim that the first Chamorros migrated from Southeast Asia and were seafaring people skilled in ocean navigation (Cunningham, 1998; Rogers, 1995). Researchers believe that the Mariana Islands were the first to be inhabited within the Micronesia region 3,500 years ago. These seafaring people had the navigational knowledge and skills as well as the technological advancements to sail the vast open ocean. The rationale that prompted the treacherous voyage stemmed from theories of overpopulation, lack of food supplies, and threat of war or conflict (Cunningham; 1998; Farrell, 1991, 2011).

The name for these original inhabitants, Chamorro, stems from several theories. The most well-accepted theory is that it comes from the name, *Chamori*, given to high ranking chiefs in their ancient society, which means, “he who has his head shorn,” referring to the shaved heads of men with the exception of a topknot on the crown of their heads (Marche, 1982; Plaza, 1971).

The pre-contact era led to the development and solidification of the ancient Chamorro society. The main elements of ancient Chamorro society are represented in their worldview, which is illustrated through their cultural beliefs and practices. According to Diego (2010), The Chamorro worldview includes the perception of nature as a living entity as expressed in their cultural venues of legends, myths, dances, and songs; social behaviors; and spiritual beliefs. The ancient Chamorro people believed that they shared the land and co-existed with spirits in nature and the spirits of the deceased.

They passed down their beliefs and traditions orally, maintaining the core values of the Chamorro people, including respect, family and relationships, interdependence, and help.

Ancient Chamorro society was a caste system, divided into two classes: *Chamori* (Matao and Acha'ot) and *Manachang* (Diego, 2010). The *Matao* consisted of the most privileged and skilled occupations consisting of chief, warriors, fisherman, carpenters, latte-house builders, and money manufacturers (Baratt, 2003; Kasperbauer, 1996). The *Acha'ot* were the lower level of the *chamori* class and were able to rise to the *Matao* rank if they were able to prove themselves through exceptional deeds or character. The *Manachang* were the lowest of the classes and were considered to be inferior.

The caste system dictated the type of relationship that was acceptable between Chamorros and their interactions, and additionally, their accessibility and use of natural resources. The caste system determined control and access to water and land resources (Kasperbauer, 1996). The higher class had greater freedom and access to food sources and supplies, which at the time was predominantly the ocean, while the lower class were restricted inland to find food sources in the jungle and rivers.

Ancient Chamorro society was divided into familial clans and organized through a matrilineal system, where women held important roles and power in society (Farrell, 1991). Chamorro women were valued because they produced children and the more people in the clan, the more power that clan had. According to Souder (1992), "Descent within the clan was reckoned through the female line," and she further purports that "the matrilineal principle conferred power and prestige on Chamorro women" (p. 143). Children were seen as a blessing because they were adding to the value and power of the clan. Land and property was passed down through the women's lineage.

When a Chamorro man and woman married, the activities and loyalty of the union is dominated by the women's family. In marital disputes, the women would always have the advantage. According to an unidentified reporter (as cited by Farrell, 1991), "The woman alone rules the house. She is the boss, and has all the authority, and the husband cannot even arrange even the smallest thing without her consent" (p. 89). Throughout all the occupation periods until the present, the Chamorro woman continue to hold the power within the home and family matters; in addition, they have been active change agents in the resiliency and assimilation throughout each occupation ensuring the survival of the Chamorro people (Souder, 1992).

The first western contact the Chamorro people had began through trade in 1521, with whaling ships or expeditions such as Magellan's and Legazpi's (Cunningham, 1992; Farrell, 1991). The Chamorro people would sail out to the ships on their *proas* (canoes) to replenish the basic supplies of food and water for the ships in exchange for metal, weapons, and goods. The first outside contacts would lead to a drastic change in Chamorro society---the beginning of subjugated life to foreign rules; this marked the era of succeeding occupations of foreign rulers among the Chamorro people (Cunningham, 1992; Farrell, 1991).

The Spanish were the first to conquer and occupy the Marianas. Father San Vitores was the catalyst in the colonization of the Chamorro people, known among Catholics as the "Apostle of the Marianas" (Farrell, 2011). His intentions were to convert the Chamorro people into Catholicism and bring civility to their society. Through the guidance and leadership of San Vitorez, there was little change to the culture and customs of the Chamorro people. He sought to work collaboratively with the Chamorro chiefs to

keep the peace while instituting the Catholic religion and converting the Chamorro people. Unfortunately, clashes between the islands' chiefs and the priesthood led to the beheading of San Vitores in Guam and the killings of several Spanish priests throughout the islands (Guam and CNMI).

The aftermath of the clashes and killings led the Spanish authority to increase their military presence resulting in the Chamorro Spanish War, which lasted for approximately 25 years. The Chamorro people were no match for the introduction of new diseases and advanced weaponry; thus, their numbers dwindled. There were approximately 40,000 Chamorros living in the Marianas upon the arrival of San Vitores in 1668 and by the end of the Chamorro Spanish War in 1710, the Chamorro population decreased to 3,539 and continued to decrease until 1786, when the population was at its lowest, consisting of 1,318 people (Farrell, 1991, 2011).

The Chamorros were forced to evacuate the other Mariana Islands and live on Guam. The repopulation of the Chamorro people consisted of interracial marriages between the Chamorros and the Spaniards, Mexicans, and Filipinos. The remaining occupation by the Spaniards consisted of military control, Spanish governance, and forced allocation and assimilation of Chamorro people into Spanish rule, way of life, and customs. Towards the end of the Spanish occupation, Guam and the Mariana Islands hosted a number of scientists, voyagers, and whalers from Russia, France, and England, who contributed to the existing literature of the history of the Mariana Islands.

On June 21, 1898, the United States occupied Guam during the Spanish-American War, and under the Treaty of Paris with the defeat of Spain, Guam was ceded to the U.S. (Rogers, 1995). Guam became an important U.S. military port due to its strategic

location enroute to Asia and was crucial in the war plans and efforts against Japan in WWII in the Pacific.

On the other hand, the rest of the Mariana Islands were purchased by Germany at the end of the Spanish American War. This marked the separation between Guam and the rest of the Mariana Islands, which created the first line of division between the Chamorro people. According to Farrell (1991), the German administration affected the Chamorro and Carolinian people in the Mariana Islands by instilling in them the concept of work as a virtue, instilling order and efficiency as desirable characteristics, and measuring progress by economic development and a higher standard of living. The German began building the infrastructure of the islands for governmental use, mandated public education, created industries such as copra plantations for exports, and vaccinated the island population for small pox (Farrell, 1991).

In 1941, Japan invaded both Guam and the Mariana Islands; this marked the beginning of the Japanese occupation. The American military personnel and civilians were sent to internment camps in Japan and those who were not captured were hidden by the Chamorro people, but were later found and executed. The Chamorro people on Guam were loyal to the United States and the Japanese were bitter of this nationalism, illustrated by the treatment of the Chamorro people. Towards the height of WWII in the Pacific, the Japanese administration of Guam feared that the Chamorro people were helping the Americans transpire against Japan, so the Chamorros were placed in concentration camps.

The Chamorros in the Mariana islands had a much different experience under the Japanese occupation. The occupation of the islands was first led by a naval government

and later replaced by a Civil Affairs Bureau. The Japanese administration was successful in developing the economy and physical facilities of the Marianas; in addition, the standard of living and health conditions improved during this administration. They created a lucrative sugar plantation which led to economic development.

The Japanese administration encouraged the local residents to develop a sense of loyalty to the Japanese Empire and embrace the sense of nationalism and culture of the Japanese (Russell, 1983). This was reflected through the public education instituted by the administration. Local residents were allowed to keep their land ownerships, in which some leased or sold their lands to the Japanese. There were several waves of migrations into the Mariana Islands of Japanese, Korean, and Okinawan immigrants, who came to work and settle in the new territory of Japan. As a result, the local population had to compete with the immigrants for jobs and public positions. Though the Japanese administration promoted the public education and cultural assimilation of the Japanese culture, the local population were still treated as second class citizens. They were not given the same rights, opportunities, and protection as Japanese imperial subjects (Russell, 1983).

In Guam, the Chamorro people weren't treated well from the beginning. In the Mariana Islands, they were treated fairly well at first, though still as second class citizens, but treated worse as WWII loomed. The accommodations, services, and opportunities first granted to the local population were now restricted. The local population were forced to live on their farms and work on military construction projects. Food became scarce and the Japanese had a monopoly over food sources preventing access to the local residents. On June 11, 1944, the American Navy captured the Mariana islands, ending

the Japanese occupation era in the Mariana Islands (Farrell, 1991). On July 21, 1944, the battle of Guam began and after several weeks of heavy combat on August 10, 1944, the Japanese forces officially surrendered to the Americans (Rogers, 1995).

After WWII, the U.S. Navy established administrative controls over the Guam and the Mariana Islands. The U.S. military continued to build its military bases and presence in the area, leveraging the benefits of its strategic location. The U.S. military used Guam and the Mariana Islands as military stations in implementing the attacks against Japan, which led to the surrender of Japan in August 14, 1945.

In Guam, the dominance of the U.S. Navy administration led to increased political pressures to provide local leaders with greater autonomy over the affairs of the island and its people. This resulted in the creation of the Guam Organic Act of 1950, which established Guam as an unincorporated territory of the United States and provided a civilian government consisting of local leaders. Later negotiations with the U.S. government provided born residents of Guam with U.S. citizenship and the authority of the people to elect their local governmental representatives.

The Mariana Islands held separate negotiations with the U.S. government to determine its political status. Under the trusteeship agreement in accordance with the United Nations, the trust territories of the Pacific Islands were given a choice between independence and self-government. The people of the Mariana islands wanted separate political negotiations from the other Pacific Islands and wanted to be a part of the United States (McPhetres, 1997). A covenant was signed to begin this process of self-determination for the people of the Northern Mariana Islands to establish a commonwealth and which also “defines the future relationship between the Northern

Mariana Islands and the United States” (as cited in McPhetres, 1997, p. 65). With the approval of both parties, the covenant came into full effect in 1986 and sovereignty over the Northern Mariana Islands was transferred to the United States (McPhetres, 1997). The Commonwealth of the Northern Mariana Islands (CNMI) created a constitution in accordance with the guidelines and laws presented in the U.S. Constitution. The CNMI-born residents were given U.S. citizenship, and the power and authority to vote for their local governmental representatives, and control over their immigration.

**Guam: Geography, demographics, economy, and government.**

**Geography.** Guam is the largest and southernmost island of the Mariana Islands archipelago. Its geographical location is of strategic importance to the U.S. military. There are two U.S. military bases located on the island: Navy and Air Force. According to the Central Intelligence Agency website, Guam’s land size makes up a total area of 544 sq. km. comparative to three times the size of Washington, D.C. (U.S. Central Intelligence Agency, 2011).

**Demographics.** The people of Guam are U.S. citizens; in addition, residents are referred to as Guamanians. According to the Central Intelligence Agency website, and information provided by the 2000 U.S. Census, as of July 2011, the population of Guam was 183, 286 with the ethnic make-up consisting of: Chamorro, 37.1% ; Filipino, 26.3%; other Pacific Islander, 11.3%; White, 6.9%; other Asian, 6.3%; other ethnic origin or race, 2.3%; and mixed, 9.8% (U.S. Central Intelligence Agency, 2011). The indigenous population of Guam consisted of people of Chamorro descent. Peoples from the Philippines and parts of Micronesia migrated to Guam making Guam their home, which comprises the next two major ethnic groups.



The official languages of Guam are English and Chamorro; yet due to the diversity in population, English, Chamorro, and Filipino are the three major languages used on Guam. The majority of the people on Guam identify themselves as Roman Catholic, which plays a major role on societal and cultural norms of the island. The median age is 29 years of age, placing the majority of the population within the age range of 16-64 at 65.5% (U.S. Central Intelligence Agency, 2011).

***Economy.*** The economy of Guam is dependent, on the most part, on U.S. military spending and tourism. The tourism industry brings in the majority of the revenue in the government's budget, while the military and U.S. federal financial assistance still constitutes a large amount to the island's budget. According to the Central Intelligence Agency website, Guam's industries are the following: U.S. military, tourism, construction, transshipment services, concrete products, printing and publishing, food processing, and textiles (U.S. Central Intelligence Agency, 2011). One major challenge to the economy of Guam is diversify its industries and promoting more business opportunities that allow the government's budget to be less reliant on U.S. financial aid. Another economic challenge is the reliance on imports of petroleum, food, and manufactured goods accounting for \$701 million (U.S. Central Intelligence Agency, 2011).

***Government.*** The conventional name for Guam is the Territory of Guam; its traditional name, Guahan. The political status of Guam is labeled as an unincorporated territory in which their political relation with the U.S. government is established in the Organic Act of Guam, the island's constitution. Guam is under the jurisdiction of the

Office of Insular Affairs, in the U.S. Department of the Interior. As a U.S. territory, federal laws are applied and enforced.

The local law and system of government is modeled after the U.S. system; in addition, the local education system and curriculum is modeled after the U.S. system. The governor is the head of government. The governor appoints his cabinet, heads of executive departments, with the consent of the Guam legislature. Guam has a unicameral legislature with fifteen seats. Guam is also afforded one delegate, a Congressional Representative, in the United States Congress, who has no voting power.

The residents of Guam do not vote in the election for the U.S. presidency. The governor and lieutenant governor are elected by popular vote and serve a four-year term. Members of the legislature, given the title of Senators, are elected by popular vote and serve a two-year term. The Congressional Representative is elected by popular vote and serves a two-year term. The two major political parties are Democrat and Republican and follow the same beliefs systems as the national parties.

**Commonwealth of the Northern Mariana Islands (CNMI): Geography, demographics, economy, and government.**

*Geography.* The Commonwealth of the Northern Mariana Islands consists of 14 islands of the Mariana Island archipelago. The islands consist of Saipan, Rota, Tinian, Aguiguan, Farallon De Medinilla, Anatahan, Sariguan, Guguan, Alamagan, Pagan, Agrihan, Asuncion, Maug Islands, and Farallon De Pajaros. Saipan, Rota, Tinian, and Aguiguan are the only inhabited islands (Farrell, 2011). According to the Central Intelligence Agency website, the total land area of Saipan, Rota, and Tinian is 464 square kilometers, comparable to 2.5 times the size Washington, D.C. (U.S. Central Intelligence

Agency, 2011). The Northern Mariana Islands are also recognized by the U.S. government as a strategic location in the Pacific in reference to Asia.

***Demographics.*** The indigenous people of the CNMI are Chamorro. According to the Central Intelligence Agency website, with information provided by the U.S. Census Bureau, the population of the CNMI is 46,050 as of July 2011, with an ethnic breakdown as follows: Asian, 56.3%; Pacific Islander, 36.3%; Caucasian, 1.8%; other, 0.8%; and mixed, 4.8% (U.S. Central Intelligence Agency, 2011). Chamorro was not identified as a separate ethnicity in the U.S. Census form or data collection and analysis process.

As a result, people of Chamorro ethnicity were divided as to which ethnic category they chose to be identified by. Based on the mixed ethnic background of Chamorros, and due to the occupational periods of the CNMI, Chamorros choose based on their mix, whether they are predominantly Asian, Pacific Islander, other, or mixed. As a result, there is no accurate data that accounts for individuals that identify with the Chamorro ethnic group. The 2010 census results for U.S. island areas are not available for viewing on the U.S. census bureau website.

English, Chamorro, and Carolinian are the national language of the CNMI. The languages spoken in the CNMI are as follows: Philippine languages, 24.4%; Chinese, 23.4%; Chamorro, 22.4%; English, 10.8%; other Pacific island languages, 9.5%; other 9.6% (U.S. Central Intelligence Agency, 2011). The reason for Philippine languages and Chinese constituting the majority language used in the CNMI is due to a significant number of alien workers from Asia that reside in the CNMI to fill the need for skilled labor jobs. The fields that were in need of skilled labor include healthcare, construction, infrastructure development and maintenance, and service industries.

The majority of the population identify as Roman Catholics. Traditional beliefs and practices are still found in the local indigenous population. The average age of the population is 30 years old with the age range of 16-64 comprising of 70.4% of the population (U.S. Central Intelligence Agency, 2011).

***Economy.*** The two major funding sources come from U.S. federal funds and tourism. According to the Central Intelligence Agency website, the tourism industry employs about 50% of the workforce and amounts to one-fourth of the GDP, with about 60% of the funding coming from the federal government (U.S. Central Intelligence Agency, 2011; Government Accountability Office, 2006). The garment industry was considered the second most important industry before it was shut down, its highest profit in exports, at 419.1 million dollars, in 1995 (McPhetres, 1997). At one point, the garment industry was an important industry with significant contribution to the GDP, employing 17,500 of which majority were Chinese workers (U.S. Central Intelligence Agency, 2011), but no longer exists due to workers' grievances of questionable unethical treatment of workers, such as alleged abuse and poor working conditions. Other industries include banking, construction, fishing, and handicrafts (U.S. Central Intelligence Agency, 2011). With an economy dependent on federal funding and tourism, an economic challenge elected officials in the CNMI continue to face is the diversification of their industries and promoting the private sector towards becoming more self-sustaining.

One major challenge facing the CNMI is the deportment of alien workers as the aftermath of legal and ethical issues concerning the garment industry. The economy has been dependent on the skilled labor of these alien workers to fuel its basic human

services and industries. The economy and these industries will struggle to fill these crucial job positions, which will not only hinder the productivity of these industries, but also human services needed to provide the basic needs of its citizens. The CNMI is also dependent on the the imports of food, construction equipment and materials, and petroluem spending \$214.4 million dollars (U.S. Central Intelligence Agency, 2011).

**Government.** The Commonwealth of the Northern Mariana Islands received commonwealth status under the guidance of the United States government. The people of the CNMI decided to build a political future in partnership with the U.S. rather than seek independence. The CNMI was given territorial status with the recognized political status of being a commonwealth. The commonwealth status allowed the CNMI to have local control over its immigration laws, wages, customs, and taxation (McPhetres, 1997). The CNMI's political status is recognized as self-governing with locally elected public representatives.

The partnership agreement between the U.S. and the CNMI was solidified in the creation of the Commonwealth of the Northern Mariana Islands' Constitution. In 1978, after negotiations, the U.S. approved the provisions of the political union and the creation of the new government went into effect (U.S. Central Intelligence Agency, 2011). The Office of Insular Affairs under the U.S. Department of the Interior is charged with overseeing the political union, including the distribution of federal funds, with the CNMI.

The CNMI government and education system is modeled after the U.S. system. The head of the government is the governor, followed by the lieutenant governor. The cabinet members act as heads for ten executive departments. The ten seats are appointed by the governor with the advisement and consent of the senate. The legislative branch is

bi-cameral, consisting of a Senate and House of Representative; nine seats in the Senate and twenty seats in the House of Representatives. The CNMI has a delegate as a Congressional Representative in the U.S. Congress, though it is a nonvoting position.

The residents of the CNMI do not vote in the election for the U.S. presidency. The governor and lieutenant governor are elected by popular vote and serve a four-year term. Members of the legislature, senators and representatives, are elected by popular vote and serve a two-year term. The Congressional Representative is elected by popular vote and serves a two-year term. The two major political parties are Democrat and Republican and follow the same beliefs systems as the national parties. Though CNMI residents do not vote in the U.S. presidential election, they may vote in the Democrat and Republican presidential primary elections. The Covenant is another political party represented in the CNMI.

**Role and purpose of a leader.** In today's world, one thing is certain; change is a constant event. The world we live in is intricately interconnected, and social and political issues are taking place in global terms. As rapid change and globalization has become the norm, it is crucial to have people in leadership positions that are equipped with the knowledge and skills to lead an environment of interconnectedness and constant change. It is essential that today's leaders are able to inspire and influence others, develop people and organizations, provide direction, adapt to varying situations, create an environment that can withstand changes, and grow to meet the demands and standards of a changing world.

Leadership has many definitions that do more than just define or describe leadership; they also illustrate the leader's role. The following are different definitions of

leadership: (a) an influence relationship among leaders and followers who intend real changes and outcomes that reflect their shared purpose (Daft, 2008); (b) the ability to influence a group toward the achievement of a vision or set goals (Robbins & Judge, 2008); and (c) leaders inspiring followers to act for certain goals that represent the values and motivation—the wants and needs, aspirations and expectations—of both leaders and followers (Wren, 1995). Based on these definitions, it becomes clear that the essence of leadership involves a person who has the ability to influence and inspire individuals as followers to achieve or accomplish a goal, mission, or vision.

**Leadership roles.** Though the ability to influence, inspire, create followers, and achieve may seem simple, the underlying meaning delineates the elaborate process that accompanies the work a leader must perform to embody the essential meaning of leadership. This process includes the ability of the leader to take on many different roles while remaining true to oneself. If these roles were to be ascribed titles, they would be called: (a) architect, (b) motivator, (c) developer, (d) role model, (e) missionary, (f) visionary, and (g) connector. Each of these roles illustrates the depth and range of the work in which a leader must engage. Every role focuses on a piece of the leadership puzzle. As all of the pieces come together, a picture of leadership is created representing its different facets, depths, colors, and dimensions.

Each role presented above can be categorized into Bolman and Deal's (2008) framework for reframing leadership. Bolman and Deal reframed leadership into four categories: (a) structural, (b) human resource, (c) political, and (d) symbolic. In each category, a leader takes on specific roles. Bolman and Deal identify the roles in the following categories: In a structural frame, a leader is an analyst and architect; in the

human resource frame, a leader is a catalyst and servant; in a political frame, a leader is an advocate and negotiator; and in the symbolic frame, a leader is a prophet and poet. The following section is organized using Bolman and Deal's reframed leadership model to present the leadership roles found in the literature of leadership studies. The sections are as follows: Structural Frame, role of architect; Human Resource Frame, role of developer; Political Frame, role as motivator and connector; Symbolic Frame, role as role model, missionary, and visionary.

***Structural frame.*** As the leader assumes the role of an architect, he or she is responsible for the design of the infrastructure of the organization, in addition to the processes involving the people connected to the organization. When designing the infrastructure of the organization, it is essential that leaders create a foundation grounded in the values and mission of the organization. The foundation is symbolic of what the organization represents. Mixed into the foundation is the organization's ability to learn, adapt, be creative, and expand. The organization will be designed to replicate what Senge (2006) described as a "Learning Organization," where learning is a continuous process that results in the increase of the capacity of individuals in the organization and leads to new ways of thinking and shared goals (p. 3). This design also includes creating an environment that nurtures the personal and professional growth of individuals, instilling a sense of commitment and ownership. Bill O' Brian, an executive leader (as cited in Senge, 2006) states that, "The first task of organizational design concerns designing the governing ideas—the purpose, vision, and core values by which people will live" (pp. 326-327). The guiding principles are a part of what Schein (2004) refers to as the culture of the organization.



Schein (2004) defines organizational culture as “everything and anything that the organization encompasses that is created, altered, and evolving through the interactions of individuals within the organization, moreover, the involvement and implementation of the leader in these interactions” (p. 1). An organization with a strong culture has members that consistently are in agreement with the mission of the organization, resulting in a shared purpose, cohesion, loyalty, and commitment to the organization (Robbins & Judge, 2008). As the leader accepts the role of architect, he or she must consider the foundation of the structures and the principles upon which they are built, in addition to the environment and the make-up of the organization’s culture. Another function in this role involves crafting an environment that provides support to its members that will create an environment vital to achieving the organization’s goals (Schmid, 2006).

***Human resource frame.*** Another role of a leader is one of a developer. Good leaders have the ability to develop people. The developer is responsible for cultivating the capacities of employees by expanding and deepening their knowledge. Effective leaders have a genuine concern for people and present opportunities to harness their potential (Daft, 2008). When leaders develop their employees in a manner where they are able to perform at their best, the organization benefits on all levels. Daft (2008) purports that “Leaders can harness and direct the power of emotions to improve follower satisfaction, morale, and motivation, as well as enhance overall organizational effectiveness” (p. 143).

Successful employees equate a successful organization. As a result, the organization benefits in the following ways: high motivation and performance of employees, harnessing the optimum talents and skills of individuals, diversity of perspectives and ideas, and commitment gained as a result of personal and professional

development. Kazuo Inamori, founder and president of Kyocera, believes that “Tapping the potential of people, will require new understanding of the ‘subconscious mind,’ ‘willpower,’ and ‘action of the heart’ . . . sincere desire to serve the world” (as cited in Senge, 2006, p. 130).

***Political frame.*** A leader is also a motivator who must inspire and influence others. People are not willing to follow a leader, nor will they go so far as to participate in the process of carrying out the mission or vision of the organization, without the inspiration of a strong leader. People must believe and feel that they are a part of something purposeful, something that has meaning. Senge (2006) emphasizes, “If employees themselves are not sufficiently motivated to challenge goals of growth and technological development . . . there simply is no growth, no gain in productivity, and no technological development” (pp. 129-130).

Motivating people involves a clear understanding of factors related to motivation. Robbins and Judge (2008) present implications for leaders to motivate employees: “(a) recognize individual differences in order to address individual needs and motivations; (b) use goals and feedback to establish the standards and monitor progress, allow employees to provide input and take part in the decision-making process; and (c) reward based on performance” (p. 105).

The connector role of a leader is about bringing people together. It is crucial for members within the organization to come together and establish norms in which shared values, principles, and purpose are undeniably present within the organization. Daft (2008) states, “Connecting people to the mission while establishing a shared culture and set of values calls for uniting the thinkers, doers, and leaders to foster ownership” (p. 17).

This connection ties individuals to the organization, creating a sense of ownership. Ownership creates the sense of having a stake in the participation of attaining the goals, mission, and vision of the organization while upholding its values and principles. Through the process of connecting people, leaders must also allow them opportunities to grow in knowledge and abilities in order to make a greater contribution to the goals of the organization. Such opportunities for growth and membership in a meaningful organization allow leaders to encourage people “to assume responsibility for their actions” (Daft, 2008, p. 17).

***Symbolic frame.*** A leader will always be viewed as a role model. Individuals look to the leader for guidance and direction. The leader’s characteristics and behaviors have a direct impact on determining which attitudes and behaviors are appropriate within an organization. If a leader’s words and actions consistently display honesty, integrity, and high standards, then employees will relate these standards to a desired way of behaving. Schein (2004) explains that leaders can affect the change in the culture of the organization by being aware of where and what they focus their attention on, what they control, and how they reward.

Robbins and Judge (2008) point out that through a leader’s remarks and behaviors, norms of the organization are created that will determine the following: risk-taking, freedom and flexibility, dress code, actions that lead to incentives and rewards, and so on. Schein (2004) further explains that a leader’s priorities, goals, and assumptions are transmitted throughout the organization more evidently through his or her actions and behaviors. A leader has the power to impact the culture, as well as, the reputation of the

organization, in a positive or negative manner. This impact, to some extent, may be directly linked to the performance of an organization in achieving success.

Employees look to top-management as a guide in determining what is considered as acceptable and appropriate behavior. If the boss cuts corners and engages in unethical activities, then employees believe it is tolerable to do the same. This form of socialization is part of the cultural development of the organization; therefore, if an organization is to develop an ethical culture, its leader must have a reputation of being ethical. Trevino, Hartman and Brown (2000) state, “Developing a reputation as an ethical leader begins with being a moral person and then a moral manager by making ethics and values as a feature of one’s leadership while communicating its importance as a priority to the organization” (p. 133).

Developing an ethical culture needs to begin from the top down. An organization can develop a bad reputation for unethical practices. This type of exposure may result in a lawsuit or loss of clients and trust, which can lead to an unrecoverable downturn. Robbins and Judge (2008) offer a combination of practices that can help leaders create an ethical culture: “Be a visible role-model, communicate ethical expectations, provide ethical training, visibly reward ethical acts and punish unethical ones, and provide protective mechanisms” (p. 260).

The position and status of a leader holds power and influence; therefore, it is essential that a leader is disciplined towards achieving a high level of self-awareness. Senge (2006) calls this level of self-awareness *personal mastery*. Senge states, “People who fall in the high level of personal mastery are fully aware of their limitations, biases, weaknesses, inabilities, strengths in addition to having a purpose, continuously seeking

the truth, and feeling connected to others” (Senge, 2006, pp. 132-133). A leader who sees and practices the value of personal development is likely to foster this value within his or her employees.

In the role of missionary and visionary, the leader’s responsibility is to provide a sense of meaning for the organization, while consistently communicating what it is that the organization represents. The leader is also responsible for plotting the direction of advancement of the organization; this includes developing a plan to move from where the organization currently finds itself, to where it wants to go. Daft (2008) states that “Leadership calls for creating a compelling vision of the future and developing farsighted strategies for producing the change needed to achieve that vision” (p.17). The role of the leader is to clearly communicate the mission and develop a vision attainable and achievable to all employees. Schmid (2006) explains, “The real challenge of a leader is be able to clearly articulate and convey the vision to followers and is able to elicit support” (p. 181).

**Characteristics of an effective leader.** Effective leaders are integral to the success of any organization. Daft (2008) states, “Leadership power comes from the personal character of the leader” (p. 18). There are several characteristics that a leader must possess for an organization to thrive. Bennis and Nanus (1985) identified four competencies for effective leadership: (a) building trust, (b) having a vision, (c) communicating the vision, and (d) knowing and managing self.

**Trust.** There are no leaders without followers. Followers must trust in the leader’s ideals and capabilities before they allow themselves to be led. Daft (2008) explains the importance of trust in a leader-follower relationship as it “inspires collaboration and

commitment to common goals” (p. 264). An essential element of building trust is that a leader models and fosters open and honest communication with followers and throughout the organization.

***Having and communicating the vision.*** Although there have been many studies on effective leadership, there are two characteristics that recur most often: vision and focus. Senge (2006) states that in creating a shared vision, one must ask, “What do we want to create?” (p. 192). Bolman and Deal (2008) states, “Effective leaders help articulate a vision, set standards for performance, and create focus and direction” (p. 345). When people are empowered and energized by a leader’s vision, they have a sense of purpose and direction for the organization and can help to create change. Senge (2006) explains that a shared vision connects people.

Kotter (1996) emphasizes that to lead a successful change effort, leaders must have a good vision and be effective at communicating the vision at all levels. Kotter (1996) states that a good vision serves three purposes: (a) clarifying the general direction for change, (b) motivates people to take action in the right directions, and (c) helps coordinate the actions of different people in a remarkable and efficient way. Many successful organizations have short, slogan-like vision statements that are easy for everyone to understand and remember. This will help the vision be solidified into the organization’s culture and be effectively communicated. Daft (2008) discusses how leaders can also utilize this tactic to paint a compelling picture of their visions.

The vision expressed by civil rights leader Martin Luther King, Jr. in his “I Have a Dream” speech is a good example of how leaders paint a vision in words. King

articulated a vision of racial harmony, where discrimination was nonexistent, and he conveyed the confidence and conviction that his vision would someday be achieved.

***Knowing and managing self.*** Gaining the respect of their followers is also important for leaders to be effective. They build confidence in their people and are not afraid to ask their followers for help. Daft (2008) states, “Leadership means being emotionally connected to others” (p. 18). Leaders who are high in emotional intelligence are the most effective. According to Goleman (2004), the components of emotional intelligence are self-awareness, self-regulation, motivation, empathy, and social skill.

A self-aware leader not only understands where his/her employees are emotionally, they also notice what effect they have on their employees. The ability to self-regulate is important because it promotes an openness to change. A leader who can self-regulate is able to suspend judgment and think before acting.

Motivation is a key trait, because leaders “are driven to achieve beyond expectations – their own and everyone else’s” (Goleman, 2004, p. 6). Striving for achievement, rather than other external motivators such as salary, is what makes a leader most effective. Having empathy, the ability to understand the emotional framework of others, is essential. Lastly, a leader who is adept at managing relationships and building rapport is effective in leading change. A well-developed emotional intelligence is beneficial for both the individual and the organization as a whole.

Self-awareness is also about understanding one’s strengths and weaknesses. On the path of self growth, a person must be able to see clearly and with honesty how he or she is hindering his or her ability to learn, improve, and grow. Senge (2006) explains the importance of integrating into our lives the concept of “Personal Mastery,” which is the

discipline of personal growth and learning to provide two actions: (a) it continually clarifies what is important to us, and (b) it is continuous learning that helps us to see reality more clearly. Practicing personal mastery creates a sense of purpose which fuels one's vision and goals because it allows the person to be honest about one's assessment, yet continuously learn and grow.

Effective leaders demonstrate many characteristics that help their organizations be more successful. It is a combination of these character traits, emotional intelligence, and vision that makes a leader most effective.

### **Traditional Leadership Theories**

Kouzes and Posner (1995) developed their work on exemplary leadership practices using the traditional leadership theories of transformational leadership, contingency theory, path-goal theory, leader-member exchange theory, servant leadership, trait approach, skills approach, and situational approach. This section will focus on the following theories that help frame Kouzes and Posner's leadership model.

**Transformational leadership.** Burns and Bass initiated the concept of transformational leadership that has been advanced by others in the organizational leadership field. Bass first posited a simple yet poignant view of transformational leadership. According to Bass (as cited in Stone, Russell, & Patterson, 2004), transformational leadership:

...occurs when leaders broaden and elevate the interests of their employees, when they generate awareness and acceptance of the purposes and mission of the group, and when they stir their employees to look beyond their own self-interest for the good of the group. (p. 350)



Daft (2008) updated this idea by expounding that these types of leaders are able to “lead changes in an organization’s vision, strategy, and culture as well as promote innovation in products and technologies” (p. 356). Based on the theory, leaders produce transformational results because of the type of relationship the leader develops with the followers and the organization. Transformational leaders connect followers to the organization, putting individuals’ goals in alignment with the goals of the organization.

Burns, as cited in Northouse (2004), identifies two types of leadership: transformational and transactional. Transformational leadership is “a process whereby a person engages with others and creates a connection that raises the level of motivation and morality in both the leader and follower” (Northouse, 2010, p. 172). On the other hand, transactional leadership, “focus[es] on the exchanges that occur between leaders and their follower” (Northouse, 2010, p. 172).

**Transactional Leadership.** Robbins and Judge (2008) describe transactional leaders as leaders who “guide and motivate their followers in the direction of established goals by clarifying role and task requirements” (p. 188). Bass (1985) presents transactional leaders as those who practice the leadership styles of contingent reward, management by exception, and laissez-faire. Transactional leaders focus on the interaction and process between leader and followers needed to get the work done, produce results, and meet set standards.

**Contingent reward.** Contingent reward utilizes the exercise of compensation based on good performance and recognition of achievements. Individuals will be rewarded in exchange for recognized performance, behavior, and results. This

characteristic is based on the notion that reward and recognition will motivate followers to accomplish goals and tasks.

***Management by exception.*** Management by exception (MBE) is a reactionary style and does not address underlying problems, most of the time appearing when problems occur. This style takes a “watchdog” approach, monitoring followers to ensure that they are meeting the standards and producing results. Bass (1974) explains that leaders that practice MBE set up standards and regularly monitor subordinates in search for deviations and shortfall.

Leaders are focused on policing followers, which in turn may create an environment of distrust. The motivation for followers to follow standards and perform is based on the fear of punishment and consequences. MBE uses feedback as a tool to keep subordinates in line with standards and job performance, which comes in the form of reclarification, encouragement, and on the other end, disapproval, reprimand, a formal citation, suspension, or discharge (Bass, 1974).

***Laissez-faire.*** Laissez-faire is a passive approach to leadership. A leader that practices the laissez-faire approach abdicates responsibilities, avoids making decisions, does not respond to problems, or does not monitor performance (Bass, 1990b). This approach is considered to be the least effective.

***Transactional versus transformational leadership.*** Transformational differs from transactional leadership in the leader’s behavior and practices. While transactional leaders focus more on the exchange between leader and follower, transformation focuses on the quality of the interaction and the building of relationships, connecting individuals to the organization. Daft (2008) identifies four significant areas in which

transformational leadership differs from transactional leadership. Transformational leadership: (a) develops followers into leaders, (b) elevates followers from lower-level physical needs to higher psychological needs, (c) inspires followers to go beyond their own self-interest and enlists commitment for the good of the group, and (d) illustrates a vision of a desired future and communicates it effectively.

**Contingency Theory.** The contingency theory was developed by Fieldler (1967) through studying the styles of many different leaders in various contexts. As a result, he concluded that certain leadership styles are more or less effective based on the situation and setting in which they worked. In this case, the contingency theory is based on matching a leader to the work situation and setting that best fits the leader's style. Leadership styles presented in the contingency theory framework are task-motivated or relationship-motivated, while the situation variable to match the leader to the work situation and setting are leader-member relations, task structure, and position power (Northouse, 2004).

Fiedler suggests that the key factor in the success of leader's is to first identify their leadership style, which led Fiedler to create the least preferred coworker (LPC) questionnaire (Robbins & Judge, 2008). The LPC questionnaire measures whether a leader's style is task- or relationship-oriented. The questionnaire asks the leader to recall on relationships with all coworkers from past and present, identify the individual that he or she least enjoyed and did not work well with, and then rate this person on a scale which will result in the leader's LPC score (Yukl, 2002). If the respondent described and rated the person with the least preferred relationship in positive and favorable terms, then

the leader is relationship-oriented; if the response was negative and unfavorable, then the leader is task-oriented (Robbins & Judge, 2008).

Fieldler began with eight situational categories that are best or least suited for each leadership style, then later condensed the categories to three. Fieldler (1993) explains that the situational variables that fit the leadership style would be evaluated based on three contingency factors: (a) leader-member relations, (b) position power, and (c) task structure. According to Fieldler and Chemers (1974), the descriptions of each situational variable are as follows: The first variable, leader-member relations, is the amount of confidence, loyalty, and attraction followers have for their leader. The second variable, position power, refers to the amount of power that a leader has over his or her followers to reward or to punish. The third variable, task structure, is based on how well tasks and goals are defined, communicated, and carried out.

A leader with relationship-oriented leadership style would be more effective in a work setting that requires the need for that type of leadership, and the same goes for a task-oriented leadership style. For leadership to have maximum effectiveness, the leader and situation must fit, whether it is changing the leader's leadership style to match the organization or vice versa. Fieldler (1964) emphasizes that the leader matches the situation, not that every leader fit the situation. This may be due to changing situations and the need for leaders to modify their leadership styles to better adapt and meet the needs of the organizations. Fieldler (as cited in Robbins & Judge, 2008) says, "Task-oriented leaders perform best in situations of high and low control, whereas relationship-oriented leaders perform best in situations of moderate control" (p. 181).

**Path-Goal Theory.** In Path-Goal theory, the leader defines and clarifies the path to help followers to move towards accomplishing the goals expected of them. According to Daft (2008), the path-goal theory is a contingency theory because it is based on three contingency factors: leadership style, followers and situation, and the rewards to meet follower's needs. The leader must practice the leadership style that best meets the needs and the situation of followers and organization, and essentially provide motivating forces that influences followers to accomplish the goals.

In this theory, it is the leader's job to "provide followers with the information, support, and other resources necessary for them to achieve their goals" (Robbins & Judge, 2008, p. 184). The theory purports that the leadership style should fit the needs of the subordinates and the goals that needs to be accomplished through their work, which are identified as: (a) directive, (b) supportive, (c) participative, (d) and achievement-oriented (Northouse, 2010).

Directive leadership defines and clarifies the path and tasks for subordinated. Directive leaders focus on planning, scheduling, performance and behavior standards, adherence to rules and regulations (Daft, 2008). Supportive leadership involves the care and concern for the overall well-being and needs of subordinates. Supportive leaders focus on creating a team atmosphere and the equality of subordinates and do so by being open, friendly, and approachable (Daft, 2008).

Participative leadership is participatory in such a way that leaders provide opportunities for subordinates to contribute in the decision-making process. Participative leaders create the interaction, process, and environment that promote the sharing of ideas and shared decision-making (Daft, 2008). Achievement-oriented leadership is focused on

goals. Achievement-oriented leaders create goals and help subordinates improve towards high quality performance to achieve expected goals (Daft, 2008).

The needs of the subordinates and goals determine the type of leadership style that will be most effective this situation. Robbins and Judge (2008) explain “Environmental factors determine the type of leader behavior required as a complement if follower outcomes are to be maximized, while personal characteristics of the employee determine how the environment and leader behavior are interpreted” (p. 185). Based on the theory, the organization needs a leader whose style isn’t exactly parallel with the environment, but whose style compliments the goals that the organization and its employees are trying to accomplish, and whose style acts to maximize its results.

The leader’s leadership style should help increase the motivation of subordinates to help them accomplish their work goals. A leader’s increase motivation through the following means: (a) clarifying the follower’s path to the rewards that are available, or (b) increasing the rewards that follower value and desire. Essentially, as followers’ motivation increases, their job performance increases, maximizing their potential to accomplish their goals; which in turn, increases the potential for success in the organization.

**Leader-Member Exchange Theory.** The Leader-Member Exchange Theory focuses on the relationship between the leader and a member within an organization. Before this theory, leadership was perceived as leaders causing change among members, but it was not considered a phenomenon that members also caused change with the leaders, although they do. The beginning of the theory was conceived through the concept of social exchange, then evolved in understanding the effects that leaders have on

their members and vice versa. In earlier studies, the exchange theory was called vertical dyad linkages (VDL) because it studied the leader's linkages (relationship) to the whole, called dyads (Northouse, 2008). Through the study, researchers identified two types of linkages (relationship): (a) in-group, based on expanded and negotiated role responsibilities; and (b) out-group, based on defined roles of the formal employment contract (Northouse, 2008).

In the leader-member exchange theory, the role and expectations of the leader and members are negotiated, whether informally or formally, suggesting that there is a mutual interest that affects both parties. According to Deinesch and Liden (1986, as cited by Bass, 1990a), the quality of the exchange (relationship) is affected by the following factors: (a) mutual trust of the leader and the member, (b) mutual loyalty, (c) their mutual influence on each other, (d) the competence of one or the other, (e) perceived equity of the exchange, and (f) the interpersonal attraction of the leader and member (p. 333). Higher quality exchanges lead to increased quality in interactions, roles, and performance.

The leader creates the context and relationship between members within a group. Depending on the type and quality of the relationship between leader and members within a group, this will result in the access of time, recognition, resources, roles, responsibilities, and rewards. In Dansereau, Graen, and Haga's (1975) study, the relationship between the leader and the in-group was characterized as a partnership based on reciprocal influence, extracontractual behavior exchange, mutual trust, respect and linking, and sense of common fate (Bass, 1990a). The study also found that with the out-group, the leader-member relationship was characterized as downward influence, role-

defined relations, and a sense of loosely coupled fates (Bass, 1990a). According to Robbins and Judge (2008), members of the in-group are chosen by the leader and get more trust, special privileges, and attention from the leader. Members of the out-group are those members not chosen by the leader to be part of the in-group, wherein their relationship is based on formal authority interaction and therefore get less time with the leader and fewer preferred rewards.

In the conclusion of the study by Dansereau et al. (1975), they found that members of the in-group exhibit more energy and effort and fewer job problems in comparison to the out-group (Bass, 1990a). The results could be explained due to the fact that members of the in-group have a higher quality relationship with the leader and were given more opportunities and benefits than the out-group. One main reason for this is that evidence has shown that leaders tend to choose members into the in-group who have similar attitudes, personality characteristics, and qualities to the leader; in addition, the members of the in-group have higher competency levels than those of the out-group (Robbins & Judge, 2008).

**Servant leadership.** Greenleaf (as cited in Stone, Russell, & Patterson, 2004) was the first to be given credit for establishing the notion of servant leadership among modern organizational theorists. The theory was conceptualized from Herman Hesse's "Journey to the East", which describes a servant named Leo who unconditionally helped others. In this case, a servant leader becomes a leader from the inner will of wanting to serve others.

The servant leader is servant first—It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is leader first. (Greenleaf, 1991, p.



22)

In Greenleaf's opinion, "leadership must primarily meet the needs of others. The focus of servant leadership is on others rather than upon self and on understanding of the role of the leader as a servant" (Stone et al., 2004, p. 350). This idea of selflessness is a central theme surrounding the concept of servant leadership.

According to Barbuto and Wheeler (2007), "[servant leadership] is characterized by a belief that leadership development is an on-going, life-long process" (p. 3). A servant leader also focuses on self-growth in order to build one's capacity to continuously serve. Servant leaders model growth and service and through their contributions inspire other to build their capacity to grow and serve as well. Pollard (as cited in Hesselbein, Goldsmith, & Beckhard, 1996) identified characteristics of servant leaders: (a) committed, (b) keep their promises, (c) listen, (d) learn from followers, (e) available, (f) willing to put themselves in the other person's shoes, (g) make things happen, (h) givers, not takers, (i) have a succession plan and develops future leaders, (j) promote diversity, (k) provide an environment where people can learn and grow as they work and share together, (l) value driven and performance oriented, and (m) hopeful.

Greenleaf's (1991) theory suggests that in order for change to occur, it must start with compelling the minds and hearts of people to want to change and then help create change. Greenleaf (1991) emphasizes that listening, empathy, and unconditional acceptance are essential skills for a servant leader. Barbuto and Wheeler (2007) further propose that there are several qualities that are inherent to a servant leader, such as calling, empathy, healing, and stewardship. Other traits such as listening, awareness,

persuasion, conceptualization, foresight, growth, and community building are those which can be acquired through practice.

### **Approaches to leadership.**

*Traits approach.* The Traits Approach theory is based on the premise of a leadership question that has been debated by researchers and leaders throughout the years: Are leaders born or made? It is one of the earliest leadership theories, stemming from the “great man” theory, which developed a set of traits representative of great leaders in the social, political, and military spheres. The trait approach suggests that leaders are born, possessing innate characteristics or qualities of a leader. The trait approach was challenged by Stodgill’s (1948) study which found that there was no consistent set of traits that made leaders different from non-leaders (as cited in Northouse, 2004).

Various researchers continued to study traits that distinguished leaders from followers. According to Bass (1990), the evolution of the traits approach theory started with framing leadership in terms of personality and character traits, in which he sought to answer two questions: (a) what traits distinguished leaders from other people, and (b) what is the extent of those differences? Bird (1940), through psychologically oriented studies, compiled 79 such traits (Bass, 1990). Stodgill’s (1948) study used surveys, which identified a set of nine traits based on how individuals became leaders: intelligence, alertness, insight, responsibility, initiative, persistence, self-confidence, and sociability. Stodgill (1948) concluded that a combination of traits does not dictate whether a person become a leader or not.

Stodgill (1974) furthered his study to observe the role of traits in relation to leadership; however, Stodgill (1974, as cited in Northouse, 2004), then identified traits that were positively associated with leadership:

(a) drive for responsibility and task completion; (b) vigor and persistence in pursuit of goals; (c) risk-taking and originality in problem-solving; (d) drive to exercise initiative in social situations; (e) self-confidence and sense of personal identity; (f) willingness to accept consequences of decision and action; (g) readiness to absorb interpersonal stress; (h) willingness to tolerate frustration and delay; (i) ability to influence other people's behavior; and (j) capacity to structure social interaction systems to the purpose a hand. (p. 17)

Kirkpatrick and Locke (1991) found that leaders are not like other people. Their study identified six traits that made leaders differ from non-leaders: drive, motivation, integrity, confidence, cognitive ability, and task knowledge (as cited in Northouse, 2004). Further studies led to the investigation of traits related to emotional and social skills.

***Skills approach.*** The skills approach suggests that knowledge and skills of effective leadership can be learned and developed. The initial emergence of the skills approach theory came from Robert Katz's (1955) article, "Skills of an Effective Administrator," which sought to reframe leadership as a set of skills, instead of the main beliefs of the time of leadership as traits (as cited in Northouse, 2004). According to Katz (1955), leadership is dependent on three personal skills: technical skills, which are knowledge and proficiency in a specific type of work or activity; human skill, which is knowledge and ability to work with people; and conceptual skill, which is ability to work with ideas and concepts (Northouse, 2004).

This approach turned the focus of leadership from suggesting that leaders can be made by developing their knowledge and skills. An individual's knowledge base and skill set can be developed specifically to leadership needed in the situation or organizations. This concept allows leaders to diversify their knowledge base and skills to become effective in various situations and settings.

***Style approach.*** The style approach is based on identifying a leader's leadership style by focusing on a leader's behaviors. The study of the leadership style approach is based on behavior research consisting of: (a) task behaviors, the typical patterns of time management, activities, responsibilities, and functions; and (b) relationship behaviors, identifying effective leadership behavior (Northouse, 2004; Yukl, 2002). According to Northouse (2004), task behaviors help to accomplish goals and objectives, while relationship behaviors help to create a positive environment that promotes optimal performance. Effective leaders practice using both leadership behaviors, which researchers contend means that leaders must be both manager and visionary.

A widely popular and used leadership style model is the leadership grid, developed by Blake and Mouton (1985). The grid shows how both task and relationship styles can work simultaneously to produce results. The interaction of styles developed a combination of five major leadership styles: authority-compliance, country club management, impoverished management, middle-of-the-road management, and team management (Blake & Mouton, 1985).

Based on Blake and Mouton's leadership grid, the leadership style of authority-compliance represents a leader who emphasizes task and job requirements and only emphasizes on people when they are needed to accomplish the task. A leader who

represents country-club management emphasizes relationships and is less concerned about tasks. A leader who represents an impoverished management style is not concerned with tasks or relationships. A leader who represents a middle-of-the-road management style is a compromiser and has immediate concern for the task and people performing the task at hand. A leader who represents a team management style emphasizes both tasks and interpersonal relationships (Northouse, 2004).

The two main instruments used to measure leadership styles are the Leadership Grid and the Leader Behavior Description Questionnaire (LBDQ) developed by Sashkin and Fulmer (1985). Identifying a leader's style can help leaders to understand their leadership process. Also, as importantly, the leadership style can help leaders improve in areas where their leadership behavior is ineffective in the progress and success of the organization.

***Situational approach.*** This leadership approach focuses on leadership on contingent to the situations. The approach suggests that certain leadership styles are more or less effective depending on the situation in which they are used. The factors that shape the situations are based on the following: maturity of the group, follower readiness, willingness or ability to accept responsibility, and necessary education and experience for a specific tasks (Waller, Smith, & Warnock, 1989). The basis of situational leadership is that a leader “match[es] their style to the competence and commitment of the subordinates” (Northouse, 2004, p. 89).

Blanchard developed a model that illustrates the situational leadership approach in relation to leadership style and developmental level of subordinates. In the model, Blanchard (1985) identified four leadership styles: (a) high directive-low supportive

style, known as the directive approach, (b) high directive-high supportive style, known as the coaching approach; (c) high supportive-low directive style, known as the supporting approach, and (d) low supportive-low directive style, known as the delegating approach. The leadership styles are applied based on actions of subordinates at different levels.

The developmental levels of subordinates are classified from levels D1-D4, depending on developmental and commitment level. Blanchard et al. (1985), as cited in Northouse (2004), states that the “developmental level is the degree to which the subordinates have the competence and commitment necessary to accomplish a given task or activity” (p. 92). The level of commitment results from the job-specific competence and morale (Blanchard et al., 1985).

The directive approach is used, in the D1 level, when subordinates have low competencies and high commitment (Blanchard, Zigarmi, & Zigarmi, 1985). The coaching approach is used, in the D2 level, when subordinates have moderate competencies and low commitment. The supporting approach is used, in the D3 level, when subordinates have high competencies and moderate commitment. The delegating approach is used, in the D4 level, when subordinates have high competencies and high commitment (Blanchard, Zigarmi, & Zigarmi, 1985).

In situational leadership, the goal of the leader is to be well versed in each approach so that he or she may be effective in varying situations and meet the developmental needs of subordinates. Situational leadership emphasizes the leader’s ability to adapt and be flexible in any given situation and prescribe the leadership that effectively produces results. When leaders utilize effective leadership approaches that

address the needs of followers, they nurture the growth of subordinates to increase their competency and commitment moving up the developmental levels.

### **Public Leaders and Leadership**

Elected public officials, throughout history, have been given the title of leaders. They were labeled heads of state, kings, politicians, and presidents. They have been revered by the people and have been bestowed the power and authority to act on behalf of the people in the best interest of the common good and society. In all political and social movements, an individual or group of individuals arose to the leadership challenge, acting as a catalyst or perpetual force in the change process. This section discusses the following: defining leadership in regards to political/public leaders, political leadership theories, the political leadership frame, and effective leadership practices for public leaders.

**Defining leadership.** The concept of a leader has been traced back in history to the early 1300s, yet the concept of leadership did not appear until the early nineteenth century in reference to the political power of the British Parliament (Bass, 1990a). Many historical and influential leaders were studied to identify leaders and define the concept of great leadership. In the Great Man theory, William James (1880) exclaimed that the history of the world is created through great men who were able to herd the masses to produce great accomplishments needed for progressive societies (as cited in Bass, 1990a). Many of these great men included political leaders such as Winston Churchill, Nikolai Lenin, Thomas Jefferson, Franklin Roosevelt, John F. Kennedy.

The Great Man theory was based on the belief that leaders were born with a set of traits and characteristics that made them great leaders. Later leadership theories

determined that traits are not the sole premise of exceptional leadership or successful leaders. Other factors such as behavior, situation, personal characteristics, and interactions, play a role in defining leadership. In this case, leadership literature points out that leaders can be made.

**Public leaders: political leadership theories.** Plato, *The Republic*, identifies three type of leaders: (a) philosopher-statesmen, to rule the state with reason and justice; (b) military commander, to defend the state and enforce its will; and (c) businessman, to provide for citizen's needs and desires (Bass, 1990a). The statesman, an elected public official, is given the power and authority by the people embodying the collective will of the people. This leader must "sort out essential problems, offer possible solutions, establish priorities, and launch developmental operations" (Bass, 1990, p. 12). Followers seek a leader to guide the way to prosperity and success, and in times of crisis, followers seek a hero in the form of leaders to act with courage and perform enormous feats of leadership.

Public leaders use their power and influence to move people towards a desired picture of the future, move people into action conducive to the desired future, and move a society towards progress into the desired state of the future. They must perform the previous duties while balancing the needs and wills of diverse groups and create a collective agenda. Tucker (1981) studied politicians and observed that their attention and actions are based on focusing their constituents on short-term goals and agendas, in addition to "arous[ing] and direct[ing] a democracy towards achieving long-term goals, such as stabilization of the population, improvement of the environment, and arms



control” (Bass, 1990a, p. 16). They set the agenda and help frame goals from a local, national, and global level.

In the study of U.S. presidents, Neustadt (1960) found that a president’s leadership is defined by his power to persuade (Bass, 1990a). As research and testimonials of presidents concur, leaders must be able to: (a) frame the situation and necessary actions, (b) persuade and inspire people into action, and (c) inspire the will of others to continue to move forward. The power to persuade is not founded in coercion, but instead in the ability to inspire the mind, heart, and will of the people.

The concept of leaders and leadership signifies a person in a position of power who exercises his or her power. Political theorists, such as Machiavelli and Marx, suggest that power is the root of political leadership (Bass, 1990a). A leader’s power can be perceived in various forms such as coercion, rewards, force, influence, persuasion, inspiration, or motivation. Public leaders use their power and influence to shape the agenda of constituents, institute goals, and persuade action. Public leaders also exercise their power in the allocations of resources, funding, and distribution of power and authority to others.

Plato is credited to developing the first typology of political leaders, classifying political leaders as: (a) timocratic, ruling with pride and honor; (b) plutocratic, ruling by wealth; and (c) democratic, ruling by popular consent on the basis of equity (Bass, 1990a). Much of political leadership is studied under the basis of plutocratic, democratic, and tyrannical leadership. The concept of who should be a leader and what a leader should be able to do is based on the expectations influenced by followers given the context or situation that calls for a definitive type of leadership.

Political theorists study the follower-leadership context shaped by the need of followers and the environment. Marxism-Leninism, in determining the relationship between leaders and followers, focuses on a dictatorship interaction on the basis of economic progress (Bass, 1990a). Mao Zedong's theory, Mass-line leadership, explains that leadership should be a systematic approach based on raising and unifying the consciousness of followers and directing them towards collective movements of thought with the goal of implementing actions and testing results.

Nazi ideology, a dictatorship form of leadership, is founded on the basis that leaders have the power and authority to establish a new world order with ethnocentric ideals. Leadership under the Nazi ideology purported a new era of prosperity and order driven by loyal and unquestionable obedience of followers and the eradication of the lesser races that are the causes of societal problems. Other dictatorial forms of leaders are emperor worship and divine rights theory, which are rooted in the belief that the power and authority to lead was granted by god and the heavens.

Democratic leadership is designed through constitutional agreements between the people and the established government, which explicitly lays out the framework for government, distribution of power and authority, and rights granted to all parties. People are given the right to elect their leaders, who will act as representatives on behalf of the people to govern in the best interest and common good of all in society. In a democracy, a leader's power and authority are granted by the people and explicitly stated in a constitution, which acts as a contract between the government and the people. Haiman (1951) identifies the types of leaders needed in a democracy: the executive, the judge, the advocate, the expert, and the discussion leaders (Bass, 1990a). Each type of leader has a

specific skill set and knowledge base necessary for political leaders to lead in a democracy such as being able to elicit trust to enforce the laws, to act with reason and justice, to be the voice and representative for diverse groups, to be well-versed in systematic approaches in forces that influence and effect people and societies, and to facilitate conversations and collaboration with various parties.

Bell, Hill, and Wright (1961), as cited in Bass (1990a), classified the types of leaders engaged in public leadership. They identified four types of political leaders: (a) formal leaders, individuals appointed or elected into official positions; (b) reputational leaders, individuals who are identified as being influential in community or national affairs; (c) social leaders, individuals who are active participants in voluntary organizations; and (d) influential leaders, individuals who influence others on a daily basis (Bass, 1990a). These types lead from all arenas in society, representing various groups in the population, and serve in various modalities.

Bass and Farrow (1977a), using an empirical approach in their study, identified six types of political leaders in relation to leadership behavior and subordinates. The six types of leaders, with relevant examples are as follows: (a) Autocratic-submissive: Adolf Hitler, Joseph Stalin, Nicholas II, and Louis XIV; (b) Trustworthy subordinates: Hirohito, Alexander the Great, Franklin Delano Roosevelt; (c) Clear, orderly relationship: Winston Churchill; (d) Structured, sensitivity to outside pressures: Fiorello LaGuardia, John F. Kennedy, and Franklin Delano Roosevelt; (e) Satisfying differential power: Nikolai Lenin; and (f) Egalitarian, analytic: Thomas Jefferson. (Bass, 1990a)

Kotter and Lawrence (1974) studied political leaders, specifically city mayors, observing the way they frame their agendas, build their networks, and accomplish tasks.

As a result of their study, they placed the various roles of political leadership into five categories, creating titles for each one: Ceremonial mayors, Personality/Individualistic mayors, Caretakers, Executive mayors, and Program entrepreneurs (Bass, 1990a). Kotter and Lawrence (1974) determined that distinctions between the types of mayors centered around whether they set short or long terms goals, the need and utilization of staff, and interactions with the scope of their network.

The study of political leadership has also uncovered a set of leaders labeled as legislative leaders. Burns (1978) determined that there are several types of legislative leaders: ideologues, tribunes, careerists, parliamentarians, and brokers (Bass, 1990a). According to Bass (1990a), these leaders are represented as the following: ideologues are advocates for economic, religious, or political ideals; tribunes discover the needs of the masses and defend popular interest; careerists seek to impress in order to move up the political ladder; parliamentarians are skilled at moving or stopping legislation, and promote and defend the institution and its traditions; and brokers are mediators who promote balance and unity.

An effective political leader must lead, representative of the types of leaders identified by Burns. They must be able to stand and act upon ideals congruent to their roles, must address the needs of the people, must act collaboratively with others in alignment to fulfilling those needs, and must perpetuate trust in the institution and its members. Buckley (1979), as cited in Bass (1990a), states that a successful political leader “‘crystallizes’ what the people desire, ‘illuminates’ the rightness of that desire, and coordinates its achievement” (p. 23).

According to the literature, political leaders use both transactional and transformational forms of leadership. Political leaders are transactional when they play the politics of the field, using forms of influence and persuasion to strategically wield favor in constituents and power within the framework. They are transformational when they seek to challenge the process, reform the system, build collaborative environments and processes, and inspire others within the framework, as well as constituents, to rise above individual interests for the common good. Transactional and transformational leadership has been observed throughout history as those who watch things happen, while others make things happen, respectively. This concept is illustrated in Paige's (1977) classification of political leaders as: (a) conservative leaders, who maintain the status quo; (b) reformist leaders, who promote moderate changes; and (c) revolutionary leaders, who seek fundamental changes (Bass, 1990a).

Burns (1978) extensively studied the role of transactional and transformational styles of leadership in political leaders and identified the behaviors and results of both leadership styles. Transactional leaders focus on the exchange interaction with followers and the political institution. Relationships are built directly from the transactional point of view. Action for a vote, support for support, appearances for popularity and favor, frequency and quality of interaction for higher political position and status. Burns (1978) labels transactional political leaders as opinion leaders, bargainers, bureaucrats, party leaders, legislative leaders, and executive leaders (Bass, 1990a).

Transformational political leaders, on the other hand, seek to raise the consciousness of followers. While fulfilling their basic needs, transformational leaders seek to provide opportunities for personal and professional development of followers.

They focus on the forces that promote self-actualization, shared collectivism, individual and collective contributions, a sense of individual and national purpose, and actions that promote progress towards the collective good. Burns (1978) labels transformational political leaders as intellectuals, reformers, revolutionaries, heroes, and ideologues (Bass, 1990a).

***Political leadership frame.*** Elected public officials, interchangeably used with the word politician, for the most part are known for playing the field of politics. Politics is a way of life, a cultural component in governmental affairs. Chris Matthew, as cited in Bolman and Deal (2008), claims it is the “discipline of gaining and holding power, useful in any profession or undertaking, but practiced most openly and unashamedly in the world of public affairs” (p. 194). Robbins and Judge (2008) purport that the factors that lead individuals to engage in political behaviors or seek such positions include high self-monitors, internal locus of control, and a high need for power.

The status of the leadership position goes hand in hand with concepts of power and authority. Power is central to political thinking (Bolman & Deal, 2008). The election process creates the context for elected public officials to remain in power and develop stability in their legitimacy and leadership. The tendency for leaders to hold onto their power is based on five factors: (a) validators, support or withdraw the leader’s right to the office; (b) continuing redefinitions, redefine group boundaries to interact with those that support their self-preservation; (c) acquisition of relevant information, acquires knowledge, networks, and power; (d) control resources and restructuring situations, blocking movement or processes that threaten status and power; and (e) higher authority, using authority to stay in favor with groups continuing the support the leader’s power and

agenda (Bass, 1990a). These five factors contribute to the politics surrounding the activities and behaviors of elected public officials.

As a case in point, the public view elected public officials who play the game of politics as self-interested, easily influenced by political pressures, and distrustful. The game of politics leads the public to scrutinize the character and values of elected public officials. James David Barber (1985) states that a public leader's character is based on their "worldview, style, power situation, and climate of expectation" (Ciulla, 2010, p. 40). The continual decline in the public's trust and confidence in governmental leaders can be traced back to the late 1950s, when negative characteristics described elected officials and the perception of ineffective leadership grew (Mitchell & Scott, 1987). Paige (1977) discusses values that are important to political leaders: (a) political leaders must place emphasis on the value of the end result to justify the activity needed to achieve the end result; (b) what a leader pays attention to and emphasizes must be guided by relevant values; (c) leaders must value commitments, model loyalty, and continuously develop loyalty within followers; (d) politicians may sacrifice certain values to achieve desired results as long as they are justified and for the common good; and (e) values are significant as a leader reacts to circumstances and goals (Bass, 1990a). Elected members of government answer to citizens and are held accountable for their actions and decisions. When they play with politics, they lose the trust of their constituents and are less effective leaders. Communication with leaders and followers must provide information that justifies executive actions, usage of power, performance, and how and why of decisions, which ensures accountability (Wallis & Gregory, 2009).

A political leader's values must be in alignment with constituents, in the context of the circumstance, in the desired end result, and in the manner necessary to leadership and remaining in the leadership position. James F. Pffner (2004) expressed that the values that the public desires in public leaders are honesty, keeping promises, consistency, fidelity, trustworthiness, loyalty, respect, accountability, responsibility, self-restraint, and compassion (Ciulla, 2010). According to Rockman (1984), political leaders must intentionally advertise and sell their personal and leadership qualities in order to be elected and hold on to the power and influence of the leadership position (Bass, 1990a).

Bolman and Deal (2008) propose a political frame of leadership as essential to effective leadership. Bolman and Deal (2008) transfer the focus of politics from the individual leader to factors that promote an environment of politics, which are interdependence, divergent interests, scarcity, and power relations. Members within an organization band together to create a power circle that promotes their shared goals, interests, and values. In the process, however, every organization engages in some level of politics. Groups and individuals compete for power, influence, authority, and resources creating a political environment. Bolman and Deal (2008) propose that politics are alive in every organization, based on the following assumptions: (a) organizations are made up of coalitions based on specific individuals and interest groups; (b) members have different values, beliefs, information, interests, and perceptions; (c) resources are allocated based on priorities and important decisions; (d) scarce resources and diverse interest create conflict and promote power struggles; and (e) members bargain and negotiate to promote their interest, define goals, and influence decisions.



Bolman and Deal (2008) suggest reframing the political arena within organizations where issues can be negotiated and new coalitions can be formed. The new political frame focuses on the needs of individuals and groups and identifies the factors that may cause conflict which creates competition between parties. The new frame allows individuals and groups to openly discuss their needs, negotiate interests, share resources and power in order to accomplish shared goals. Leaders must have a good understanding of political characteristics and behaviors within the organization to be able to restructure the way that politics is played within the organization.

Leaders must be able to partake in political behavior that influences the distribution of advantages and disadvantages within the organization (Robbins & Judge, 2008). According to Daft (2008), "Politically skillful leaders strive to understand others' viewpoints, needs, desires, and goals, and use their understanding to influence people to act in ways that help the leader accomplish his or her goals for the team or organizations" (p. 371). Daft identifies several tactics a leader can use to increase his or her political power and influence: (a) use rational persuasion, (b) make people like you, (c) rely on the rule of reciprocity, and (d) develop allies.

Skilled political leaders understand that relationships are essential to the ability to influence others, which begins with building trust. Political leaders identify and develop an understanding of others' concerns and interests. With the awareness of the concerns and interests of followers, political leaders can navigate and reform the political structure and processes of the organization. Skilled political leaders can influence decisions, allocation of resources, shared goals and interests while strengthening support, commitment, and trust in followers.

Bolman and Deal (2008) illustrate the behavior of effective political leaders, under the political frame, as leaders who: (a) clarify what they want and what they can get, (b) assess the distribution of power and interest, (c) focus their attention on building relationships and networks, and (d) persuade first, negotiate, second, and coerce only if necessary. Effective political leaders are constantly reevaluating their perception of reality. They are able to put their personal desires aside to seek more beneficial opportunities. They are able to navigate through the political terrain, identifying key players, influential coalitions, and leverage interactions to maximize support, power, and influence. They are able to influence followers to into action, not because they have to but because they want to.

**Public leaders: effective leadership practices.** Public leaders are charged with an all-encompassing task of providing leadership and guidance in society. Their leadership range includes all aspects of society from private to public sectors, responsible, to a certain degree, for the economic and social state of country. DiRienzo (2010) explains that public leaders “are responsible for formulating policies, goals, and implementing strategies to maneuver a country through various stages of economic, social, and political development” (p. 832). This includes the agendas they set, the initiatives they create, the decisions they make, collaborations they build, in addition to their successes’ and failures’ impact on constituents. Based on a review of the literature, there are certain practices of public leaders that make them effective in their leadership role and are more likely to produce beneficial and rewarding outcomes. These include being present, participating in civil engagement, confronting reality, providing a legacy

and a vision, being a leader and a follower and working with their followers, and having adaptive practices.

***Present.*** According to Ciulla (2010), “The meaning of where you are, when you are there, and what you are doing is contingent on who you are” (p. 43). When public leaders are visible and present, especially in times of crisis, they portray care for constituents. A leader’s presence in itself brings guidance and reassurance. When public leaders show up, they reaffirm their commitment to their leadership position honoring the opportunity to serve granted by the people. It shows the public that they are active participants in the issues and events that affect the people. Bill Clinton demonstrated that, by being present, he was showing empathy while creating a sense of unity with followers (Ciulla, 2010). When a leader is present and sharing in the moment with followers, they show that they care and that act in itself creates a bond with the leader and follower. Good leaders show care, motivated by their sense of duty, and that is what guides their daily movement as well as their presence in difficult times, in times of crisis, or when the situation calls for their guidance, inspiration, and assurance.

***Civic engagement.*** Public leaders need to be the role model of civil engagement. They must act with civility with other public leaders, private and public organizations, and constituents. The essential test in being a role model of civility is working with individuals or groups of different interest, especially with those interlaced with disagreement or competing interest. Donald Borut (2011) states that public leaders should encourage the democratic process through actions and communication. They must listen with empathy, set the tone, model the example, and develop a culture of civic engagement (Borut, 2011). When public leaders emphasize civil engagement in the

democratic process, it respects the rights, thoughts, interests, and actions of others.

Authentic leadership is displayed by leaders who act as advocates for the common good (Grace, 2009).

Civil engagement includes developing collaborative processes with various groups. This may mean redefining boundaries and interactions in order for collaborative processes to occur. Research indicates that public leaders who guide and facilitate have more of an impact on leadership effectiveness in the public sector (Trottier, Van Wart, & Wang, 2008). Public leaders must actively create and participate in collaborative communication and actions with various groups to redefine boundaries where ideas, actions, resources, and goals are shared. Morse (2010) refers to this collaborative nature in government as boundary-spanning leadership, in which a public leader: (a) is entrepreneurial, (b) develops relationship capital, (c) has ego strength, and (d) leverages boundary organizations. Effective public leaders seek opportunities that create public value, recognize the purpose and value of key players and organize in collaborative efforts and bring them together to fulfill goals that are in the best interest of the common good.

***Confront reality.*** Effective public leaders have a good understanding of the current realities. They think locally, nationally, and globally on behalf of citizens and understand how the realities of the nature economy, human economy, and market economy affects the citizens in the short and long term (Grace, 2009). They are realistic about problems, yet they do not allow their fears to prevent them from taking risks to find innovative solutions and opportunities for change. Luthy (2011) explains that the

government needs to be adaptive, efficient, collaborative, and dexterous in addressing known and predicated events.

Effective public leaders are strategic thinkers, well-versed in how each part of the system affects the other. By understanding the operations of systems, they are able to identify pitfalls, leverage successful processes, and work within the framework to create needed change. Systems thinking may be small, focused actions that with minimum effort but can produce long-lasting, significant improvements (Senge, 2006).

***Legacy: Vision, mission, and beliefs.*** Effective public leaders lead by example and set the bar and expectations for the next generation of public leaders. Their leadership legacy is illustrated in the culture they've created to show the vision, mission, and beliefs of the government and community. Effective public leaders are transformational leaders in a sense that they use their understanding of global, economic, and social forces to influence their leadership in creating collective ideals and promoting higher principles and values (Burns, 1978). They create a clear vision of the desired future that vibrates throughout public organizations and the community. Every action a public leader makes is in alignment with the mission of the government and community. Followers share in the vision, mission, and beliefs and translate them into their work and contributions. Mitchell (1999) states, "Ownership belongs to the people" (p. 27).

***Leader and follower.*** Power shared by various individuals and groups has more impact than the power of one individual. A leader with his or her followers, collectively, have more power to produce significant, long-lasting impact and changes than a lone leader. Bryson and Crosby (1992) state, "No one person can embody all the needed qualities or perform all the tasks," and no person can encompass all the knowledge and

skills to solve every issue; therefore, “a person may be a leader on one issue and a follower on others” (p. 32). No person is a leader without followers, and a good leader is both a leader and a follower. Daft (2008) states, “Together, followers and leaders provide the dependencies, cooperation, and commitment to build a sense of community and interdependence in the organization” (p. 214).

Leader and follower relationships are based on shared power. Shared power is illustrated through sharing of ideas, collaborative efforts, shared vision and goals, shared resources, and shared decision-making. Shared power creates an environment of shared ownership for learning, failures, and success. In public leadership, leader and follower relationships are built on collaborative efforts and active participation in framing the agenda, coalition groups, convening stakeholders, enabling deliberation, and demonstrating results.

*Adaptive practices.* Effective leaders are able to adapt to changes in environment in which different situations call for leaders to play different roles. An important aspect of public leadership is being able to identify and anticipate the needs of constituents. Public leaders must also be aware and adaptive in their leadership to the trends of local, national, and global realms and forces that influence and impact those realms. Barnes (2010) identifies trends that are shaping as well as affecting public leaders and leadership practices: (a) new governance, (b) new leadership styles, (c) generational changes and succession planning, (d) strategic management/performance measurement, (e) citizen focus, (f) reorganizing work structure and process, (g) E-government and E-democracy, (h) new thinking about service delivery, (i) innovation, and (j) ethics and transparency.

Public leadership calls for collaboration and partnership, promoting interdependent relationship between organizations and communities. Public leaders must now be skilled in facilitation and vision building to create a compelling vision that unites the efforts and goals of various private and public organizations. In continuing a legacy of effective public leadership, leaders must recruit, develop, and retain talented and skilled individuals to succeed their leadership positions.

Accountability and responsibility are now more of a priority, and evaluative methods and processes are needed to measure effectiveness and results. Technology has made public leaders more accessible to constituents; in addition, citizens are better able to voice their concerns and opinions playing a more active role in the democratic and political process. Public leaders must leverage innovation as technology continues to shape the landscape and the means of community in the country and around the world. Effective leaders embrace change and seek opportunities to grow and better serve in their leadership capacities.

### **Kouzes and Posner**

Jim Kouzes and Barry Posner are known as acclaimed researchers in field of leadership studies. They have been working together for the past 30 years in the research and writing of examining leaders, leadership, and leadership development from several points of views (Kouzes & Posner, 2011). They have written award winning books and sold millions of copies: *The Leadership Challenge*, *The Truth About Leadership*, *A Leader's Legacy*, *Credibility*, *Encouraging the Heart*, *The Leadership Challenge Workbook*, and *The Leadership Journal*.

In 1983, Kouzes and Posner pioneered a study using 550 survey types to interview middle and senior level managers in the public and private fields, which later expanded to community leaders, student leaders, church leaders, governmental leaders, and hundreds of others in non-managerial positions. They wanted to discover the best practices of leaders. Through their study, they developed the Leadership Practices Inventory (LPI), a 360-degree assessment tool to measure the leaders practices of individuals based on the best leadership practices of leaders, exemplary leadership model: (a) model the way, (b) inspiring a shared vision, (c) challenge the process, (d) enabling others to act, and (e) encourage the heart. The LPI is one of the most widely used leadership assessment instruments in the world and has been used in over 350 dissertations and academic research projects.

Kouzes is the Dean's Executive Professor of Leadership in the Leavey School of Business at Santa Clara University. Posner is a professor of leadership and served as a dean of the Leavey School of Business for 12 years at Santa Clara University. Kouzes and Posner continue to speak and present at conferences. They are also actively involved in leadership development programs across the globe. They have conducted leadership training and consulted for hundreds of organizations such as Apple, Applied Materials, ARCO, AT&T, Australia Post, Bank of America, Bose, Charles Schwab, Cisco Systems, Community Leadership Association, Conference Board of Canada, Consumers Energy, Dell Computer, Deloitte Touche, Dorothy Wylie Nursing Institute, Egon Zehnder International, Federal Express, Gymboree, Hewlett-Packard, IBM, Jobs DR-Singapore, Johnson & Johnson, Kaiser Foundation Health Plans and Hospitals, L. L. Bean, Lawrence Livermore National Labs, Lucile Packard Children's Hospital, Merck,



Mervyn's, Motorola, NetApp, Northrop Grumman, Roche Bioscience, Siemens, Standard Aero, Sun Microsystems, 3M, Toyota, the U.S. Postal Service, United Way, USAA, Verizon, VISA, and the Walt Disney Company (John Wiley & Sons, 2011).

**Kouzes and Posner on leadership.** The foundational concept of Kouzes and Posner's leadership model is based on observing leadership from a behavioral perspective by examining the practices of leaders instead of their traits. Consistent with behavioral theory, an individual can learn and develop leadership skills affluent to the behaviors and practices of effective leadership. Kouzes and Posner (2002) state that if a person has the will become a better leader, then he or she can do so through the means of study, reflection, and practice.

Kouzes and Posner (2002) frame leadership as a relationship between the leader and followers. The leader builds high quality relationships with followers, which promotes a positive working environment. The relationship motivates and encourages people to accomplish goals, and perform in the best interest of the group and organization. The group becomes collectively committed to the success of the organization.

Leadership in this dynamic is defined and shaped by followers just as much as the leaders defines and shapes followers. This concept is illustrated in Daft's (2008) definition of leadership as "an influenced relationship among leaders and followers . . ." (p. 4), which is further expounded by Gardner et al., as cited in Bolman and Deal (2008): "Leaders are not independent actors; they both shape and are shaped by their constituents" (p. 344). In Kouzes and Posner's (2002) study, people identified the qualities and traits of their ideal leader. The characteristics of the ideal leader has been

constructed and reviewed throughout Kouzes and Posner's twenty years of research. The four characteristics that people desire in an ideal leader are honesty, competence, forward-thinking, and inspiration.

Based on Kouzes and Posner's findings, honesty was ranked number one, referring to the participants' belief, is a leader's words aligned with his or her actions (Kouzes & Posner, 2002). Followers are hesitant to follow a leader if the leader does not have a clear sense of direction; they must be able to envision a desirable future. People must believe and trust that the leader has the competence, knowledge and skills, to get things done and effectively lead the organization. A good leader should be able to inspire followers, encouraging them to be positive and excited about the vision and goals of the organization. As followers are inspired, they will be motivated to do a good job, committed to moving forward towards accomplishing the goals and vision of the organization (Kouzes & Posner, 2002).

**Kouzes and Posner's leadership theory.** Kouzes and Posner (1995) began their research project, *The Leadership Challenge*, in 1983. The research sought to discover what people did when they were at their "personal best." After asking ordinary people to describe their extraordinary experiences, they found a pattern of successful practices. The preliminary work from this study helped Kouzes and Posner to frame the concepts in the development of a personal-best leadership survey. The survey consisted of thirty-eight open-ended questions, such as: (a) who initiated the project, (b) how were you prepared for this experience, (c) what special techniques and strategies did you use to get other people involved in the project, (d) what did you learn about leadership from this experience (Kouzes & Posner, 1995).

In 1987, Kouzes and Posner (1995) used 550 of the surveys, with each interview consisting of up to two hours of reflection. Within the same time frame, another study was conducted with 80 additional managers completing two-page forms; an 42 in-depth interviews were conducted as well. The qualitative research led to the design and development of the leadership practices inventory (LPI).

In the beginnings of the study, Kouzes and Posner examined middle-and senior-level managers in the public and private sectors. Since then, the research and data collection has expanded to cover community leaders, student leaders, government leaders, and hundreds of non-manegerial positions. The LPI has also been used extensively in leadership development programs of fortune 500 companies around the world. The LPI has also been utilized in more than 350 doctoral disserations and academic research projects. The use of the LPI in the academic community continues to further the study of leadership practices and add to the data collection. The widespread use of the LPI continues to strengthen the validity of the tool in various contexts and global domains, contributing to framing leadership in a societal and cultural perspective across the world.

**Kouzes and Posner on leadership context.** Kouzes and Posner (2011) believe that leadership is everyone's business. Change is inevitable and therefore leadership today calls for leaders with the knowledge and skills to effectively navigate through the changing times. Kouzes and Posner (2002) believe that effective leadership involves making change and influencing others. Effective leaders frame changes as an opportunity to grow, learn, and adapt.

As the world continues to become more globally interconnected through technology, political alliances and affairs, and economic growth and international activities, the context of leadership has changed to meet the needs of the rapid and ever-changing global arena. Kouzes and Posner (2002) identified eight ways the context of leadership has changed and evolved: heightened uncertainty, people first, more concern, social capital, global economy, speed, changing workforce, and search for meaning.

With events such as September 11, 2001, the global war on terrorism, natural disasters, and the economic recession, people are faced with feelings of uncertainty, and in most cases, worry and fear for the future. These realities call for leaders who are able to adapt to changes, and encourage an inspired vision of the future to get people moving forward. Emotional and social intelligence are crucial leadership skills in alleviating the fears and uncertainty and creating trust in followers.

Various studies have been conducted in motivating employees to perform, achieve goals, and produce results. The studies found that individuals perform better when they are appreciated, when their work has value and purpose, and when they are given opportunities to grow in their knowledge and skills. Effective leadership focuses on people first, increasing the social capital of people by placing emphasis on caring for followers and nurturing their development. They help to develop people, define the meaning and purpose of such work, and help align people to their values and vision of individuals to the values and vision of the organizations. Effective leaders lead the whole individual, putting into consideration their lives outside of work, their personal values, culture, and individual dynamics.

Effective leaders continue to develop their knowledge and skills to improve their leadership practices in order to meet the needs of their followers. Effective leaders are lifelong learners, updating their knowledge on events and influences that affect their leadership practice, organization and followers. They embrace innovative tools and processes that help to improve their leadership practices and that of followers and the organization. Effective leaders constantly grow to meet the demands of rapidly changing world. They leverage change into successful opportunities for growth. According to Robbins and Judge (2008), “Today’s successful organizations must foster innovation and master the art of change or they’ll become candidates for extinction” (p. 10).

**Kouzes and Posner’s five leadership practices.** Kouzes and Posner (1997) identified five leadership styles that lead to effectiveness and organizational success. The leadership styles focus on behaviors and practices of effective leaders, which Kouzes and Posner label as exemplary leaders. The five leadership practices of exemplary leaders are: (a) model the way, (b) inspiring a shared vision, (c) challenge the process, (d) enable others to act, and (e) encourage the heart.

***Modeling the way.*** Leaders set the standards and expectations of appropriate behaviors and practices within the organization. Followers take the lead on how to behave, what is appropriate behavior, what behaviors are rewarded and reprimanded by observing what leaders say and do. Before leaders can set the example, they must first be clear about their guiding principles and values. These guiding principles and values must be clearly and consistency communicated through their words and actions. Leaders must be intentional in creating the culture of the organization, clarifying and communicating what the organization stands for and how things are done within the organizations.

***Inspiring a shared vision.*** Effectively leaders do not just create a good vision, they are able to inspire others to believe and commit to the vision. The vision must be easily and clearly communicated, in so that others may follow and perpetuate the ideal picture of the future. A vision is useless unless there are people who believe in, feel a part of it, and are committed towards moving in that direction. Once there is collective ownership and commitment, a vision becomes a shared vision. The leader must develop symbols that illustrate and communicate the vision on all levels and areas of the organization. According to Kotter (1996), short term wins must be celebrated to reinforce the vision and motivate people to continue to move forward.

***Challenging the process.*** Challenging the process means being willing to take risks to change the status quo, embrace innovation, learn, and grow (Northouse, 2010). Effective leaders seek out opportunities to benefit from change, using change as a means for growth. They also seek out opportunities to learn, working on their personal development and the development of followers. Effective creates what Senge (2006) identified as “Learning Organizations.” Senge (2006) defines learning organizations as “organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together” (p. 3).

***Enabling others to act.*** Exemplary leaders understand that effective leadership involves team work and collaboration. They nurture relationship and build trust in followers. They practice open and honest communication, opportunities for the organization to share and provide feedback, and promote a collaborative environment.

Kouzes and Posner (2011) elaborate, “When leaders involve others in decision making and goals setting, and build teams with spirit, cohesion, and a true sense of community, they make it possible for teamwork, trust, and empowerment to flourish” (pp.4-5).

Effective leaders are able to incite and mobilize the troops, keep them working together efficiently, and moving forward towards accomplishing goals and the vision of the organization

***Encouraging the heart.*** Exemplary leaders recognize and reward followers for their accomplishments. They also consistently show appreciation and give praise for the work and contributions of followers. Effective leaders create rituals and symbols that celebrate wins, reinforcing efforts and good performance, and validating progress leading towards the vision. A good leader stimulates the development to people and moves their heart. They continuously communicate the meaning behind the follower’s contributions, perpetuating the sense of community and shared purpose.

**The Leadership Practices Inventory (LPI).** The Leadership Practices Inventory (LPI) was derived from the research conducted by Kouzes and Posner. The triangulation of the qualitative and quantitative research developed the finished LPI 360-degree leadership assessment tool, consisting of 30 questions. The LPI was created to measure leadership competencies based on modeling the way, inspiring a shared vision, challenge the process, enable others to act, and encouraging the heart.

Each statement was first based on a 5-point Likert scale, and in 1999 was changed to a 10-point Likert scale. A participant in the LPI takes an average of 8-10 minute to complete the LPI. The value of the answers represents the frequency that the individual

uses each of the leadership practice. Based on Lewis' (1995) extensive review of the leadership practices inventory, the following are his conclusions of the LPI:

Internal reliabilities for the five leadership practices, underlying factor structure across a variety of studies, and a setting demonstrating the LPI construct and concurrent validity. Findings are relatively consistent across people, gender, ethnicity and cultural backgrounds and organizational characteristics. The LPI has been noted to demonstrate powerful assessment of individuals' leadership capabilities, and demonstration for the five practices of exemplary leaders making a difference at the personal, interpersonal, small group, and organizational level. The LPI is quite robust in assessing individuals' leadership behavior and in providing feedback for developing and enhancing leadership capabilities. Overall, the five practices of exemplary leadership framework and the LPI contribute richly to the understanding of leadership process and in the development of leadership capabilities. (p. 557)

Based on the data from Kouzes and Posner's website, the LPI has been used in numerous researches in diverse fields: business, secondary education, health care, higher education, government and public sectors, not-for-profit/community-based, and religious institutions. The LPI was used in the research to measure various leadership positions in different areas and levels, in addition to comparing level of leadership practices to demographics and culture. The LPI accounted for 84 studies in business research: 64 consisting of managers, executives, and administrators, and 20 consisting of employee or individual contributors, members, and adults. One hundred and forty-seven studies were conducted using the LPI in secondary education: 9 consisting of managers, 23 consisting



of teachers, 114 consisting of principals and superintendents, and 1 for students. Sixty-eight studies were conducted using the LPI in healthcare: 59 consisting of managers, executives, and administrators, and 9 consisting of employee or individual contributors, members, and adults. One hundred and twenty-six studies were conducted using the LPI in higher education: 57 consisting of managers, 7 consisting of teachers, 1 consisting of principals and superintendents, and 53 consisting of students. Seventeen studies were conducted using the LPI in the government and public sectors: 14 consisting of managers, executives, and administrators, and 3 consisting of employee or individual contributors, members, and adults. Sixteen studies were conducted using the LPI in not-for-profit and community-based: 12 consisting of managers, executives, administrators and 4 consisting of employee or individual contributors, members, and adults. Fifteen studies were conducted using the LPI in religious institutions: 10 consisting of priests and pastors and 5 consisting of employee, individual contributors, members, and adults (John Wiley & Sons, 2011).

### **Summary**

The literature review focused on the major sections relevant to the study. The major sections include geographic, demographic, economy, government, and history of Guam and the Commonwealth of the Northern Mariana Islands (CNMI), theories of leadership, effective leadership practices, public leaders and leadership, and leadership theories relevant to Kouzes and Posner's work. The study of leadership consisted of research that sought to conceptualize leadership based on traits, values, behaviors, process and interaction, and practices. Leadership research illustrates that leadership can be learned and developed.

There are a set of commonalities that successful and effective leaders share, which is the premise of Kouzes and Posner's research and leadership framework. The review of public leaders and leadership reflects the emergence of effective leadership practices such as transformational leadership style and practices, reframing political skills, ethics and values, duty, adaptability, collaboration, vision, and performance/management measurements and evaluations. Public leadership emphasizes the need to build relationships with followers that consists of trust, shared power, and collaboration. Public leaders must now be skilled in facilitation and vision building to create a compelling vision that unites the efforts and goals of various private and public organizations. In continuing a legacy of effective public leadership, leaders must recruit, develop, and retain talented and skilled individuals to succeed their leadership positions.

The review of effective practices and desired characteristics of public leaders fit into the mold of Kouzes and Posner's leadership model of exemplary leaders, with similar practices: modeling the way, inspiring a shared vision, challenging the process, enabling others, and encouraging the heart.

Kouzes and Posner's research and work leading up to the development of their leadership model and leadership assessment tool, Leadership Practices Inventory, were presented in this chapter. The chapter also discussed the use and relevancy of the leadership model and assessment instrument for this study.

### **Chapter Three: Research Design and Methodology**

This chapter discusses the research design and methodology used to conduct this research. The chapter consists of the following: research questions, participants of this study, research instrument, data collection, data analysis, assumptions of the study, and limitations of the study.

This study utilized Kouzes and Posner's Leadership Practice Inventory (LPI) to identify and analyze the leadership behaviors and practices of elected public officials in Guam and Commonwealth of the Northern Mariana Islands (CNMI). The purpose of this study was to identify the leadership practices of elected public officials in Guam and the CNMI and measure the level of their leadership practices in relation to Kouzes and Posner's five exemplary leadership model: modeling the way, inspiring a shared vision, challenge the process, enable others to act, and encourage the heart.

The study also described the extent to which surveyed elected public officials in Guam and CNMI function on a "high" level (70<sup>th</sup> percentile) on each of five leadership practices scale according to Kouzes and Posner. The study also determined whether there are similarities and differences in the leadership practices of elected public officials in Guam and the CNMI. Furthermore, demographic data such as gender, age, ethnicity, years of service, education level, frequency of leadership training, and area of service was analyzed to determine the similarities and differences in the leadership practices. Prior to this study there was no known data that exists which identifies the leadership styles or leadership practices of elected public officials in Guam or the CNMI, nor is there public documentation or academic literature of the use of leadership assessment tools to measure the growth or effectiveness of the participants' leadership practices.

## **Research Questions**

1. What are the percentile levels, according to Kouzes and Posner's established standards, of leadership practices (modeling the way, inspiring a shared vision, challenge the process, enabling others to act, and encouraging the heart) of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) as measured by the Leadership Practices Inventory (LPI)?
2. What are the similarities and differences in leadership practices, as measured by the LPI, based on the areas of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

## **Research Design**

The research design for this study utilized a quantitative approach. Creswell (2002) describes quantitative research as a systematic scientific investigation that involves quantitative properties, phenomena, and their relationship to one another. This study employed a quantitative approach as it sought to identify and measure the level of each leadership practice according to Kouzes and Posner's five practices of exemplary leaders using elected public officials in Guam and the CNMI as a research sample.

This study used one validated and reliable instrument: Kouzes and Posner's Leadership Practices Inventory (LPI). Participants were asked to provide demographic information such as gender, age, ethnicity, number of years serving in an elected government position, educational level, frequency of leadership training and development within the past five years, and area of representation. Both the LPI and demographic information were replicated into an online version using the website, Survey Monkey.

The relationship between the results of LPI and identified leadership practices and demographic information of the research sample were further analyzed. The LPI results and demographic information were analyzed using a statistic software and Excel. The analysis included the mean, standard deviation, frequency tables, and histograms to analyze the data. An analysis of variance (ANOVA) was performed to test the significance of the differences between the variables.

### **Participants in the Study**

The sample for this study consisted of elected public officials in executive and legislative branches in the areas of Guam and the CNMI. An elected public official, for the purposes of this study, is an individual elected by popular vote into the executive and legislative seats in government. The participants in the study currently hold a seat in the executive and legislative branches in government for the present election term as governmental representatives for the areas of Guam and the CNMI (Saipan, Rota, and Tinian). The positions held by potential participants are ones such as governor, lieutenant governor, senator, house representative, congressional representative, mayors, and council members.

The first step in determining the research sample for this study was to conduct an informal investigation using current and reliable sources. The information investigation also cross referenced primary and secondary sources to ensure an accurate number of credible potential participants of elected public officials in Guam and the CNMI. Each potential participant fulfilled the following requirements: (a) held the title of elected public official, (b) was a governmental representative in either the executive and

legislative branch in Guam and the CNMI, and (c) was a current elected public official in either the executive and legislative branch in Guam and the CNMI.

An informal investigation was conducted to determine the size of the population and identify each individual as a potential participant for the study. First, the most current and reliable sources were consulted to identify the number of current seats in the executive and legislative branches of each area, which included the U.S. Central Intelligence (CIA) website and government websites of Guam and CNMI. The U.S. Central Intelligence website indicated the following: Guam: (1) governor, (1) lieutenant governor, (15) legislative members, (1) congressional representative and (26) mayors. CNMI (Saipan, Rota, Tinian): (1) governor, (1) lieutenant governor, (9) senate members, (20) house of representatives members, (1) congressional representative (5) mayors, and (8) council members.

Table 1

*Research Sample*

<b>Area of representation</b>	<b># of potential participants</b>
Guam	44
Commonwealth of the Northern Mariana Islands (CNMI)	45
Total	89

The information assembled from the CIA was cross-referenced with the governmental websites of Guam and the CNMI, and historical and governmental references. The governmental websites were used to identify the names and contact information for each elected public official in the executive and legislative branches of

Guam and CNMI. The overall total of potential participants for this study determined through the informal investigations was 89: 44 from the area of Guam and 45 from the area of CNMI. Due to the small population size, the goal of the study is to include all 89 elected public officials representative of both Guam and CNMI as participants of the study. This study sought to investigate and included the entire population of 89 elected public officials in Guam and the CNMI.

### **Research Instrument**

Kouzes and Posner's Leadership Practices Inventory (LPI) was the primary instrument used to measure the leadership practices of elected public officials in Guam and the CNMI. The LPI measures the level of leadership practices based on the five-part model of leadership approach identified by Kouzes and Posner (2002).

**Instrumentation.** The LPI presents five categories of leadership:

1. Modeling the way
2. Inspiring a shared vision
3. Challenge the process
4. Enabling others to act
5. Encouraging the heart

Kouzes and Posner used qualitative and quantitative approaches in their study, and the triangulation of the research methods and studies led to the development of the LPI. Kouzes and Posner's study included in-depth interviews and case studies of personal-best leadership experiences. The LPI was created after the use of multiple psychometric processes and has been administered to over 350,000 individuals (Kouzes & Posner, 2002). The LPI has been used on over one hundred research studies in

business, secondary education, higher education, government/public serve, not-for-profit/community-based, and religious institutions in various countries.

The LPI consists of 30 behavior statements with six questions representing each of the five leadership practices. Each statement is equal in weight, no questions having more or less weight than the other. A Likert scale was used as a form of measurement, ranging from 1-10, 1 being “almost never” and 10 being “almost always.” The respondents were asked to rate themselves on each statement, leadership behaviors, on a scale of 1-10. The responses were based on a self-assessment and the leader’s perceptions of his or her leadership behavior. A score ranging from 6 to 60 was derived from each of the five criteria. The respondents were assessed on each of the five categories in the LPI; therefore, there is no cumulative score or overall leadership behavior or leadership quality of the respondent.

The LPI is copyrighted by its developers, Kouzes and Posner. Individuals and organizations intending to use the instrument must submit a request through proper channels and wait for authorization before the instrument can be administered to intended participants. Proper permission was requested and obtained for the use of the LPI in this study.

**Validity and reliability.** In the process of research design, the researcher must consider two underlying principles in order to conduct a thorough and sound research: the validity and the reliability of the instrument used in the methodology to compile the data needed to answer the research questions, which are used in order to evaluate the adequacy of data collection (McMillan & Schumacher, 2006). Validity refers to the appropriateness of the instrument to measure specific inferences from the results and



scores generated from the completion of the use of the instrument (McMillan & Schumacher, 2006). Reliability, on the other hand, refers to the consistency of the measurement. This is concluded after reoccurring use of the instrument over different forms and is confirmed with similar results. The testing of the reliability of an instrument looks for the frequency of error, measured error by estimating how consistently a trait is assessed (McMillan & Schumacher, 2006). If an instrument shows little error, then it is considered a reliable instrument; on the other hand, if it shows frequent errors, then it is an unreliable instrument. Only reliable instruments should be used in studies for the research to be considered sound and legitimate.

The LPI has been tested and proven to meet the highest standards of validity and reliability. Kouzes and Posner used factor analysis to measure the content areas of the items in the LPI. According to Kouzes and Posner (2002), the results provided empirical evidence that proves consistency in the leadership practices broken down into the groups of the five practices (Kouzes & Posner, 2002). Kouzes and Posner (2002), as cited in Wardell (2010), discuss the validity and reliability to the LPI:

1. The LPI is internally reliable. The six statements pertaining to each leadership are highly correlated with one another.
2. Test-retest reliability is high. The scores from one administration of the LPI to another within a short time span (a few months) and without any significant intervening event (such as a leadership training program) are consistent and stable.

3. The five scales are generally independent. The five scales corresponding to the five leadership practices do not all measure the same phenomena. Instead, each measures a different practice, as it should.
4. The LPI has both face validity and predictive validity. Face validity means that the results make sense to people. Predictive validity means that the results are significantly correlated with various predictions about leadership effectiveness.

(p. 64)

5. Internal reliability, as measured by Cronbach's Alpha, continues to be strong with all scales above the .75 level. This is true for the Self version as well as for all Observers and for each Observer category (Kouzes & Posner, 2011).
6. Recent validation by the authors: (a) Principals from "Blue Ribbon" schools had consistently higher LPI scores than their counterparts from non-Blue Ribbon schools (Knab '98); (b) LPI scores were significantly related to employee commitment levels (Gunter '97); (c) Leadership practices were significantly related (positive direct) to perceptions of workplace empowerment (Sproule '97); (d) Significant relationships between LPI scores for pastors and the job satisfaction of their ministerial staff members were reported (Patterson '97); (e) LPI scores were significantly higher (using pre and post-tests) as a result of collegiate leadership development program (Brungardt '97); (f) Burnout among mental health professionals was inversely related to LPI scores of their supervisors (Webster & Hackett '99); (g) Job satisfaction, productivity and organizational commitment were all significantly

correlated with managers' use of leadership behaviors (LPI) with Singaporean managers (Foong '99); (h) LPI reliability scores were  $< .82$  for Self and  $< .92$  for Observers (Singh '98); reliability scores for Philippine managers were greater than  $.73$  for Self and  $.86+$  for Observers (Chitonnom 99); (i) No significant relationships were found between LPI and gender (Sproule '97, Singh '98, LaVine '98 Kahl '99); (j) Females reported higher LPI scores than males (Randall '99) (Kouzes & Posner, 2011).

### **Protection of Human Subjects**

This study used elected public officials as the research population. Public officials are often in the public eye, in which their character and actions are constantly being assessed by constituents, peers, public and private organizations, and most especially through the media. It is crucial that participants in this study felt a sense of safety and security that their responses in the LPI and questionnaire would not be publicly displayed, most especially that the results of individual elected public officials would not be displayed.

This study considered the nature of their leadership position and was sensitive to the following possible effects of the study on participants: (a) the results should not be linked to the individual for it may influence the outcome of the study, (b) participants may be more unlikely to participate if there is a possibility that they can be criticized for their results (c) if results were publicly displayed, it may affect constituents' perception of the leader, whether positive or negative, and (d) if the overall results were publicly displayed or shared with only participant members, it may affect the perception, relationship, and interaction between elected public officials and could create an

environment of criticism or competition. The name or leadership title and position of elected public officials were irrelevant to the study, therefore, it made this information unnecessary to answering the research question.

In order to maximize the number of voluntary participants and the quality of responses from participants, it was essential that the results of the LPI and demographic information be grouped as overall data and that there were no means to identify the results of individual participants. This will also bring some peace of mind and sense of security to participants that the study they chose to participate in would not be able to identify individual participants nor can they be linked to their results. The purpose of the study was to identify and measure the level of leadership practices of elected public official in Guam and the CNMI, in which the results would be used for the development of a leadership framework for the region and for the development of leadership training and initiatives; therefore, name and specific job title were unnecessary for the purpose or end result of the study.

There are proper academic and ethical considerations and procedures that need to be followed in studies that use human subjects in their research. The researcher must submit and be approved by an Institutional Review Board (IRB) before any study can be conducted. The researcher for this study completed the online tutorial in the IRB process and the Human Participant Protections Education for Research, in which a certificate of completion was granted at the end of the tutorial as documentation. The researcher submitted an IRB form to Pepperdine University's Institutional Review Board. The IRB application for this study fell under the exempt status of the IRM protocols. According to

Wright (2005), the following factors must be present for a study to be considered under exempt status:

1. Human subjects could not be identified, directly or indirectly, in the research.
2. All responses will be strictly confidential and will not result in the criminal or civil liability of subjects due to the study.
3. The study will not be damaging to the subjects financial standing, employability, or reputation.
4. The research will not include any of the protected groups: (a) fetuses, (b) pregnant woman, (c) prisoners, (d) people with mental impairments, and (e) minors.
5. The study will not present more than a minimal risk to subjects.
6. The purpose of the study will be clearly identified and will involve any unethical practices.

In addition, subjects were be given the opportunity to contact the researcher is they have any questions or concerns about participation in the study. This ensured that the participants would be comfortable with participating in the study and that the researcher was transparent in the process.

Communication in regards to request for participation of human subjects via mail and email was distributed to all potential participants identified who met the requirements for this study. Follow-up emails were sent in totality once to all potential participants with no way to isolate certain individuals or identify the human subjects who have completed or have not completed the survey. Follow-up phone calls were used as a last option of communication when it was necessary to elicit more participants appropriate for

the study. Phone calls were only used to leave a message as a reminder, and not intended for a direct conversation with the potential participants unless the human subject chose to initiate communication with the researcher. This was clear in the information that was presented to potential participants about their privacy rights. This process was necessary to ensure that participants could not be directly or indirectly identified in any step of the research study.

### **Data Collection Procedures**

The data collection process began with receiving permission from Kouzes and Posner to use the Leadership Practice Inventory (LPI) as the instrument to be used in this study. After permission was granted by the authors to use the LPI in this study, the LPI self-assessment in paper format was replicated into an online version, with the inclusion of demographic questions, using Survey Monkey. Survey Monkey is a website that allows individuals to develop and distribute surveys online. The ability to deliver surveys online and receive the data immediately upon completion of the survey makes the data collection process easier, quick, and efficient for both the researcher and the participant. The process also provides the participant with a sense of privacy for only he or she can access the survey through a link that will be provided in their preferred email address.

The participants in the study were asked to voluntarily participate without any means of compensation. A cover letter was sent or hand delivered to potential participants who were identified through the informal investigation using governmental websites. The cover letter included the following: introduction of the researcher, brief explanation of the study, and request for voluntary participation in the study. The cover letter was sent as a formality which gave potential participants the information needed to

make an informed decision regarding whether to participate. Afterwards, an email was sent to potential participants, which included the contents of the cover letter, informal consent form, and the link to access the LPI.

The email also reassured potential participants of their privacy; there was no possibility that the participant would be identified individually. Participants were not asked to give their name or position. Participants were asked demographical information consisting of their gender, age group, ethnicity, number of years of service, educational level, frequency of leadership training within the past 5 years, and area of representation. There was no possibility for the researcher to connect individual responses to a certain individual. Survey Monkey forwarded the raw data from the surveys to the researcher. Potential participants were informed that the results will be compiled based on overall results.

No individual responses or individual results were publicly identified, exhibited, or released. The privacy statement was used to reassure participants and encourage them to be completely honest in their responses. The researcher's contact information was provided in the content of the email. Potential participants were encouraged to contact the researcher if he or she had any questions or concerns about the study.

The rest of the email included the URL to the website that the potential participant used to complete the survey. A set of instructions was presented above the link to guide the participant through the process. As participants access the site using the URL, they were presented with a consent form in which they acknowledged that they have read the content and accepted the terms as a participant in this study by checking the appropriate box. The potential participant could also have read the content of the consent form and

chosen to reject the opportunity to participate in the study by checking the appropriate box.

The checking of the box acted as an electronic signature of the participant. Potential participants who agreed to participate in the study were encouraged to print a copy of the consent form for their personal records. The email also included attachments of the cover letter and informed consent form available for the potential participant to save or print for their records.

On the eighth day after the email was sent, a follow-up email/phone call was sent out to potential participants reminding them to complete the survey. The follow-up email also thanked potential participants who agreed to participate and completed the survey, in addition to their contribution in the study. The follow-up email also encouraged those who have not completed the survey to participate and if they had questions to contact the researcher via email or phone.

Five days after the follow-up email or phone call, potential participants were notified again via email or phone call. This was the last attempt to remind potential participants to complete the survey. Once again, proper thanks were given to those who agreed to participate and completed the survey. Potential participants were given a time frame of three weeks (21 days) to participate and complete the LPI online on Survey Monkey.

After the end of the three week timeframe had passed and the opportunity to participate in the survey was no longer available. Upon completion of the study and the dissertation, all potential participants who contacted the researcher and requested a copy of the dissertation research copy would be given a copy of the study as a token of



appreciation for those participated. The study would act as a reflective tool, in addition, to the providing them with academic literature relevant to their field and leadership position.

Table 2

*Steps: Data Collection Process*

<b>Steps</b>	<b>Day</b>	<b>Process</b>
1		Request to use LPI for study from authors, Kouzes and Posner
2		With author's permission, the paper version of LPI-Self was replicated on survey monkey. Demographic questions were also added to the online survey, including the informed consent.
3	1	Informative packets were mailed/hand delivered: step by step instructions, cover letter, and informed consent.
4	5	Emails were sent to potentials participants: cover letter, informed consent, research contact information, Survey Monkey link/URL
5	13	Eight days later, a follow-up email was sent to potential participants. Phone calls were made to potential participants, leaving a reminder message.
6	18	Five days later, follow-up email was sent to potential participants. Phone calls were made to potential participants, leaving a reminder message.
7	21	Three weeks after the initial email, the online survey link was closed. Overall data from the surveys was sent to researcher
8		Data analysis began

**Data Analysis**

According to Creswell (2005), "The p-value is the probability (p) that a result could have been produced by chance if the null hypothesis were true" ( p. 188). In comparison to the significance level (alpha), the p-value guided the determination if the relationship between the independent variables and dependent variables were statistically significant Implication of generalizability using the significance levels and p-value to imply generalizability to other groups may have utility limited to directing others interested in the topic as to a possible hypothesis in future research.

**Research question one.** Each of the completed LPIs was scored based on each of the five leadership practices. Descriptive statistics was used to illustrate the results, which included: mean, standard deviation, range, and percentile. The results of how respondents rated themselves on each of the five leadership practices area was compared to the standards established by Kouzes and Posner. The average scores for each of five leadership practice was compared to the identified norm by Kouzes and Posner. Kouzes and Posner (2002) determined that respondents whose scores are at the 70<sup>th</sup> percentile are considered a high score representative of their leadership practice.

The standards by Kouzes and Posner were used to determine the level that respondents ranked in each of the five leadership practices. Kouzes and Posner's (2002) score indicator for high scores in each of the leadership practices are as follows: 50.7 and above, modeling the way; 49.2 and above, inspiring a shared vision; 49.9 and above, challenging the process; 52.6 and above, enabling others to act and; 51.6 and above, encouraging the heart.

**Research question two.** The average score for each of the five leadership practices was calculated and cross referenced against the demographic information: gender, age group, ethnicity, years of service, education level, frequency of leadership training, and area of representation. The demographic information was broken down into sub-groups. The average score for each of the five leadership practices was compared to each of the sub-groups. An analysis of variance (ANOVA) was performed to test the significance of difference between the variables. A *p*-value and the results of the post hoc test when *p*-value is significant was reported.

### **Assumptions of the Study**

1. Participants will provide an honest response of their leadership practice in each statement.
2. Since the potential participants are all elected into office by popular votes, they believe and are viewed by voters to be effective leaders.

### **Limitations of the Study**

1. The researcher assumed that the participants would have full cooperation and that all responses given in the demographics section and LPI would be truthful to their knowledge.
2. The impact of the researcher's beliefs, ethnicity, and family background is unknown.
3. The knowledge of the participants in the study of leadership and leadership theories is unknown.
4. The knowledge of the participant's level of involvement in leadership conferences and training programs and the affects of the leadership training and development is unknown.
5. The comparison between the participants' set of personal values and the organization's and island's cultural values, was not included in the study therefore were not controlled variables.
6. The participant's family education, class and economic standing were not variables being studied and therefore was not controlled.
7. The participant's religion was not a variable being studied and therefore was not controlled.

8. The participant's previous work-related history was not a variable being studied and therefore was not controlled.
9. The participants answered a self-inventory of the LPI, which is based solely on the participant's perceptions of his or her leadership practices. Other methods to validate the participant's perceptions were not used in this study.

### **Summary**

This chapter reviews the methodology of this research. This study investigated and determined the leadership practices of current elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI). The participants consisted of elected public officials in the executive and legislative branches of government in Guam and the CNMI. They completed an online version of the Leadership Practices Inventory (LPI) in which the results revealed the levels, based on Kouzes and Posner's established standards, of each leadership practice based on Kouzes and Posner's leadership model of exemplary leaders. Furthermore, gender, age, ethnicity, number of years of service, educational level, frequency of leadership training, and area of representation were also studied to determine if there were differences in leadership styles between these characteristics.

## **Chapter Four: Research Results**

This chapter presents the findings and data analysis of this study. This chapter reviews the purpose of this study, including the research questions that inform the study. It further discusses the data collection procedures, characteristics of the respondents, description of the instrument, and the analysis of findings as it relates to the research questions. The end of the chapter concludes with a summary of the findings.

### **Purpose Statement**

As stated in previous chapters, the purpose of this study is to provide a means of measuring the effectiveness of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) in their leadership positions. It provides the first step towards identifying the leadership practices of current public officials to determine their leadership effectiveness using a western model of exemplary leadership behavior, representative of transformational leadership. Kouzes and Posner's leadership instrument, the Leadership Practice Inventory (LPI), was used to identify and measure the leadership practices of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands. The LPI was used to measure the extent to which the leadership practices of elected public officials practice Kouzes and Posner's model of exemplary leaders (modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart). The measurement is based according to the rating scale on each of the leadership practices and Kouzes and Posner's standards.

In addition, this study sought to determine if there are differences in leadership characteristics, as measured by the LPI, based on gender, age, ethnicity, number of years

of service, educational background, frequency of leadership training and development, and area of representation.

### **Research Questions**

The research questions presented throughout the study in which the study sought to answer are the following:

1. What are the percentile levels, according to Kouzes and Posner's established standards, of leadership practices (modeling the way, inspiring a shared vision, challenge the process, enabling others to act, and encouraging the heart) of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI) as measured by Kouzes and Posner's Leadership Practices Inventory (LPI)?
2. What are the similarities and differences in leadership practices of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

### **Data Collection Procedures**

Permission was granted by Kouzes and Posner to use the Leadership Practices Inventory (LPI) as the instrument for this study. After the completion of the Institutional Review Board (IRB) process, the researcher was granted permission to begin data collection for the study. The LPI was replicated onto the online survey tool, Survey Monkey. In the addition to the LPI questions, the online survey also included an informed consent form as well as non-identifying demographic questions. To ensure

confidentiality and secure the copyrights of the LPI, access to the online survey required a password provided by the researcher.

The study identified 89 potential participants consisting of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI). Potential participants were identified through various governmental websites and resources, including the Guam and CNMI yellow pages. An information packet including a cover letter, step-by-step instructions, informed consent, and URL address and password were mailed and hand delivered to potential participants in pre-addressed and sealed mailing packets. The mailing addresses, physical addresses, contact numbers, and email addresses were verified by the researcher prior to data collection process. Information packets were mailed and hand delivered to governmental offices of 89 elected public officials.

After information packets were mailed and delivered to the governmental offices of elected public officials, 89 emails were sent out to potential participants requesting participation in the study. The email included the content of the cover letter, the URL link and password, the researcher's contact information, and an attachment of the informed consent for their personal copy. Potential participants were able to participate in the study using the information presented in the information packets or through the email requesting participation in the study. Of the 89 emails that were sent, 4 were confirmed as undeliverable.

Exactly one week (8<sup>th</sup> day) after the information packets were sent out, reminder emails were sent to all potential participants. The reminder email encouraged those who have not participated in the study and thanked those who have participated in the study

and completed the online survey. Five days after the reminder email, another reminder email was sent to potential participants. The researcher does not have access to information of participants who have completed and who have not completed the survey, therefore, a reminder email must be sent to all potential participants. The data collection process consisted of 3 weeks, beginning from the day the information packets were mailed and hand delivered. The online survey was preprogrammed to close the survey at the end of 3 weeks and restrict further participation.

### **Characteristics of the Respondents**

A total of 89 surveys were collected on Survey Monkey at the end of the 3<sup>rd</sup> week after the online survey was closed and access restricted. Out of 89 surveys, 26 potential participants claimed that they have read and understood the informed consent and agreed to participate in the study and completed the entire survey. 9 potential participants read and understood the informed consent and did not agree to participate in the study in which Survey monkey led them to exit the survey. The surveys of the 9 potential participants that did not agree to participate in the survey were omitted due to noncompliance and incomplete survey responses. After omitting surveys based on compliance and incomplete survey responses, the total number of surveys used in the analysis of data is 26.

**Gender.** Of 26 respondents, 18 (69.2%) of respondents were female and 8 (30.7%) were male.



Table 3

*Frequency Counts for Gender*

Gender	Number ( <i>n</i> )	Percentage (%)
Female	18	69.2
Male	8	30.7

**Ethnicity.** Of 26 respondents, the following numbers correspond to the ethnic group that participants identified with. The largest number, consisting of 20 (76.9%) of participants, were identified under the ethnic group Chamorro, followed by 3 (11.5%) of participants who identified as other (Chamorro/Carolinian, Mixed-Chamorro/Filipino-Chinese/German, Filipino/Chamorro) and 2 (7.6%) as Caucasian, then 1 (3.8%) of participants who identified as Filipino. The ethnic groups Asian, Carolinian, and Hispanic did not have any respondents.

Table 4

*Frequency Counts for Ethnicity*

Ethnicity	Number ( <i>n</i> )	Percentage (%)
Asian	0	0
Carolinian	0	0
Caucasian	2	7.6
Chamorro	20	76.9
Filipino	1	3.8
Hispanic	0	0
Other	3	11.5

**Age group.** Of 26 respondents, the largest number consisting of 11 (42.3%) participants fell under the age group 45 to 54, followed by 5 (19.2%) of participants under the age group 35 to 44 and 5 (19.2%) of participants under the age group 55 to 64. The age group 65 and over had 4 (15.3%) of participants. The smallest number of participants consisting of 1 (3.8%) participant fell under the age group 22 to 34. The age group 21 and under did not have any respondents.

Table 5

*Frequency Counts for Age*

Age Range	Number ( <i>n</i> )	Percentage (%)
21 and under	0	0
22 to 34	1	3.8
(continued)		
Age Range	Number ( <i>n</i> )	Percentage (%)
35 to 44	5	19.2
45 to 54	11	42.3
55 to 64	5	19.2
65 and over	4	15.3

**Years of service.** Of 26 respondents, the largest number consisting of 7 (26.9%) of participants have 21 and over years of service as a public official, followed by 6 (23%) of participants who have 2 years or less years of service as a public official, then 4 (15.3%) of participants who have 6 to 9 years of service as a public official. There 3 (11.5%) participants with 3 to 5 years of service in addition 3 (11.5%) participants with

10 to 12 years and 3 (11.5%) 19 to 21 years of service as a public official. There were no participants in the 13 to 15 and 16 to 18 years of service categories.

Table 6

*Frequency Counts for Years: How many years of service overall do you have as a public official?*

Years	Number ( <i>n</i> )	Percentage (%)
2 or less	6	23.0
3 to 5	3	11.5
6 to 9	4	15.3
10 to 12	3	11.5
13 to 15	0	0
16 to 18	0	0
19 to 21	3	11.5
over 21	7	26.9

**Educational level.** Of 26 respondents, the largest number consisting of 10 (38.4%) of participants held a High School/GED diploma, followed by 7 (26.9%) of participants holding a Bachelors degree, then 3 (11.5%) of participant holding a Masters degree and 3 (11.5%) holding a Doctoral Degree. The remainder of respondents answered as follows: 2 (7.6%) of participants held an Associate’s Degree and 1 (3.8%) of participants held a professional degree.

Table 7

*Frequency Counts for Education: What is the highest level of education you have completed?*

Education	Number ( <i>n</i> )	Percentage (%)
High School Diploma / GED	10	38.4
Associates Degree	2	7.6
Bachelors Degree	7	26.9
Masters Degree	3	11.5
Doctoral Degree	3	11.5
Professional Degree	1	3.8

**Frequency of leadership training.** Of the 26 respondents, the largest number, consisting of 8 (30.7%) of participants, participated in 1 to 5 leadership training and development within 5 years, followed by 7 (26.9%) of participants participated in over 20 leadership training and development, then 6 (23%) of participants participated in no leadership training and development. The remainder of respondents answered as follows: 3 (11.5%) of participants participated in 6 to 10 leadership training and development and 1 (3.8%) of participants participated in 11 to 15 and 1 (3.8%) in 16 to 20 leadership training and development.

Table 8

*Frequency Counts for Leadership*

Years	Number ( <i>n</i> )	Percentage (%)
None	6	23.0
1 to 5	8	30.7
6 to 10	3	11.5
11 to 15	1	3.8
16 to 20	1	3.8
over 20	7	26.9

Table 8 examines the questions: What is the frequency in which you have participated in leadership training and/or development programs (workshops, classes, conferences, seminars, research, etc.) related to your leadership position within the past 5 years?

**Area of representation.** Of 26 respondents, 15 (57.6%) of participants represented the area of Guam, while 11 (42.3%) of participants represented the area of the Commonwealth of the Northern Mariana Islands (CNMI).

Table 9

*Frequency Counts for Area of Representation: Area of representation as a public official*

Gender	Number ( <i>n</i> )	Percentage (%)
CNMI	11	42.3
Guam	15	57.6

## **Description of the Instrument**

Kouzes and Posner developed the Leadership Practices Inventory (Self), 3<sup>rd</sup> edition, used in this study. The LPI consists of 30 behavior statements that measure the leadership practices of participants based on the Kouzes and Posner's leadership model of exemplary leaders: modeling the way, inspiring a shared vision, challenging the process, enabling others to act, and encouraging the heart. Participants were asked to rate the frequency in which they engage in the described behavior represented in each statement. The ratings are based on a likert scale consisting of the following: 1 = *almost never*, 2 = *rarely*, 3 = *seldom*, 4 = *once in a while*, 5 = *occasionally*, 6 = *sometimes*, 7 = *fairly often*, 8 = *usually*, 9 = *very frequently*, and 10 = *almost always*. The rating number of each statement was calculated to determine the total number based on each leadership practice. The total number of each leadership practice can fall into one of three levels based on Kouzes and Posner's standards: 0-29, low level; 30-69, moderate level; and 70-100, high level.

## **Analysis of the Findings**

After the end of the data collection time frame, the raw data collected from the surveys were exported as an excel file into the excel program. The raw data was then categorized in the excel program based on demographic information, in addition to calculating the total scores for each leadership practice. The data was then exported into a statistical software, Number Cruncher Statistical System (NCSS), to complete an analysis of the data and derive the results and findings of the study as related to the research questions.

Research Question One: What are the levels of leadership practices of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI)?

Each of the leadership practices was scored, measuring the level of each leadership practice (low, moderate, high) based on Kouzes and Posner's standards. The statistical software, NCSS, was used to conduct a two-tailed *t*-test to extrapolate the mean, standard deviation, minimum, maximum, range, median, mode, interquartile range and skewness. The analysis of the data and findings were derived from the results given by the NCSS program. A brief explanation of the representations of these values is presented in the following sections.

The arithmetic mean, or mean, signifies the average score of the all respondents combined. The mean is derived by first adding all the values found in the variables, then secondly dividing the total number of the values by the number of variables. The value that occurred as the lowest value is the minimum, which is the lowest score calculated of any respondent. The values that occurred as the highest value is the maximum, which is the highest score calculated of any respondent (McCall, 2002).

The range refers to the difference of the data from the lowest to the highest value. It measures variability. The median "is the numerical center of a set of data, with exactly as many scores above it as below it" (Leedy & Ormrod, 2005, p. 258). The median is determined by arranging the scores from lowest to highest and identifying the middle point. At this point, the mean can be determined, for it represents a "single point at which two sides of the distribution 'balance'" (Leedy & Ormrod, 2005, p. 258). The mode is the score that most frequently occurs.

Interquartile range is used to measure variability using the mean or mean. The distribution is divided into four equal parts called quartiles. The interquartile range is determined by subtracting quartile 3 to quartile 1 (Leedy & Ormrod, 2005). It gives us the range for the middle 50% of the scored in the distribution.

The standard deviation is used to interpret the ratio scales by measuring variability. In this case, it identifies the numerical value that shows the average of deviations from the mean. The standard deviation is determined by using the procedure of calculating the average deviation, but instead squaring the score-mean differences. The next step is to add the squared differences to get a total, and then divide it to the number of scores, which will find the square root of the quotient. The square root is then used to measure the original units.

A fairly symmetrical distribution of scores occurs when the mean, median, and mode are similar. An unsymmetrical distribution of scores indicates that the distributions are skewed. Positively skewed distributions occur when majority of the scores are found at the low end of the distribution, while only a small amount of the scores are found at the high end. Negatively skewed distributions occur when majority of the scores are found at the high end, while only a small amount of the scores are found at the low end (McMillan & Schumacher, 2006).

The values discussed above (mean, standard deviation, minimum, maximum, range, median, and mode) are illustrated in the table below within the five leadership practices categories (model the way, inspired a shared vision, challenge the process, enable others to act, and encourage the heart).



The highest mean score was in the category Enabling Others to Act with a score of 55.9, followed by the categories Encourage the Heart with a score of 55.2, Modeling the Way followed with a score of 54.6, and Challenge the Process had a score of 54.5. The lowest mean score was in the category Inspiring a Shared Vision with a score of 53.9. A mode was not indicated in the category Inspiring a Shared Vision. The values presented in the five leadership practices were negatively skewed, in which majority of the scores were found at the high end of the distribution with only a small amount found in the low end of the distribution.

Kouzes and Posner's norms for the LPI self were used as a base of comparison against the mean, median, and standard deviation of participants, elected public leaders in Guam and the CNMI, in each of the five leadership practices. In regards to the mean score, the mean scores of participants were compared against Kouzes and Posner (2003) LPI-Self norms by calculating Cohen's  $d$  in Effect Size calculations. According to Cohen (1988) effect sizes are define as "small,  $d = .2$ ," "medium,  $d = .5$ ," and "large,  $d = .8$ " (p. 25).

There was a small effect in all the five categories (Modeling the Way, Inspiring a Shared Vision, Challenge the Process, Enabling Others to Act, and Encourage the Heart) where participants had a moderate score compared to the LPI-Self norm reported by Kouzes and Posner. Participants also had moderate scores compared to the LPI-Self norm. In all five leadership practices, elected public officials scores were measured as moderate in their ranking according to Kouzes and Posner's standards.

Table 10

*Descriptive Statistics for Selected Variables*

	Modeling the Way	Inspiring a Shared Vision	Challenge the Process	Enabling Others to Act	Encourage the Heart
Mean	54.6	53.9	54.5	55.9	55.2
Median	55.5	54	55	56.5	57
Mode	59	none	57	55	60
Standard Deviation	4.2	5.5	4.0	3.3	3.3
Range	17	20	16	11	14
Maximum	60	60	60	60	60
Minimum	43	40	44	49	46
Interquartile Range	7.2	7.2	6	4.7	7.5
Skewness	-0.73	-0.96	-0.49	-0.62	-0.63
Cohen's d	-1.29	-1.08	-1.29	-1.60	-1.47
Effect Size*	small	small	small	small	small

*Note.* \*Effect size, Cohen (1988).

Research Question Two: What are the differences in leadership practices of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

For the sake of organizing the analysis portion of research question two, each of the leadership practices of elected public officials will be compared against the demographic information. The breakdown of research question two is as follows:

- Research question two, Part A: What are the differences in the leadership practice, Modeling the Way, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?
- Research question two, Part B: What are the differences in the leadership practice, Inspiring a Shared Vision, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?
- Research question two, Part C: What are the differences in the leadership practice, Challenging the Process, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?
- Research question two, Part D: What are the differences in the leadership practice, Enabling Others to Act, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

- Research question two, Part E: What are the differences in the leadership practice, Encouraging the Heart, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

To determine if there is a difference between the leadership practices of elected public officials based on the demographic questions, the average scores of the leadership practices of the LPI of elected public officials who participated in the survey were first calculated. Next, the average scores were compared against the sub-groups: gender, age, ethnicity, years of service, frequency of leadership training experience, and area of representation. A *p*-value was derived using the Analysis of Variance (ANOVA). The following sections report of the results of the post hoc test when *p*-value was significant.

Research question two, Part A: What are the differences in the leadership practice, Modeling the Way, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

There is no difference in Modeling the Way (see Table 11) based on age, highest level of education, ethnicity, area of representation or overall years as a public official. Female respondents (53.6) had lower mean scores than that of males (56.7). The respondents with 16 to 20 activities of leadership training/development (43) had mean lower scores than all of the other groups: none (53.6), 1 to 5 (54), 6 to 10 (55.6), 11 to 15 (50), over 20 (58).

Table 11

*Analysis of Variance (ANOVA) Table with Selected Variables Modeling the Way*

Variable	<i>p</i> -value	Findings
Age	0.60	There is no difference in Modeling the Way based on age.
Education	0.12	There is no difference in Modeling the Way based on highest level of education.
Ethnicity	0.68	There is no difference in Modeling the Way based on ethnicity.
Gender	0.08*	There is a difference in Modeling the Way based on gender. Females had lower mean scores than that of males.
Leadership	0.003***	There is a difference in Modeling the Way based on frequency of leadership training/development programs. Respondents with 16 to 20 activities of leadership training/development had mean lower scores than all of the other groups.
Representation	0.59	There is no difference in Modeling the Way based on area of representation.
Years	0.58	There is no difference in Modeling the Way based on overall years as a public official.

*Note.* *p*=probability; \*significant at  $\alpha=0.10$  or lower; \*\*significant at  $\alpha=0.05$  or lower; \*\*\*significant at  $\alpha=0.01$  or lower.

Research question two, Part B: What are the differences in the leadership practice, Inspiring a Shared Vision, of elected public officials in Guam and the CNMI, as

measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

There is no difference in Inspired a Shared Vision (see Table 12) based on age, highest level of education, ethnicity, frequency of leadership training/development programs or overall years of service as a public official. Female respondents (52.6) had lower mean scores than that of males (56.8). Respondents representing the Commonwealth of the Northern Mariana Islands (51.8) had lower mean scores than those representing Guam (55.5).

Table 12

*Analysis of Variance (ANOVA) Table with Selected Variables Inspiring a Shared Vision*

Variable	p-value	Findings
Age	0.99	There is no difference in Inspiring a Shared Vision based on age.
Education	0.68	There is no difference in Inspiring a Shared Vision based on highest level of education.
Ethnicity	0.62	There is no difference in Inspiring a Shared Vision based on ethnicity.
Gender	0.07*	There is a difference in Inspiring a Shared Vision based on gender. Females had lower mean scores than that of males.
Leadership	0.22	There is no difference in Inspiring a Shared Vision based on frequency of leadership training/development programs.

(continued)

Variable	<i>p</i> -value	Findings
Representation	0.09*	There is a difference in Inspiring a Shared Vision based on area of representation. Respondents representing the Commonwealth of the Northern Mariana Islands had lower mean scores than those representing Guam.
Years	0.45	There is no difference in Inspiring a Shared Vision based on overall years as a public official.

*Note.* *p*=probability; \*significant at  $\alpha=0.10$  or lower; \*\*significant at  $\alpha=0.05$  or lower; \*\*\*significant at  $\alpha=0.01$  or lower.

Research question two, Part C: What are the differences in the leadership practice, Challenge the Process, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

There is no difference in Challenging the Process (see Table 13) based on age, highest level of education, ethnicity, gender, frequency of leadership training/development programs, area of representation or overall years as a public official.

Table 13

*Analysis of Variance (ANOVA) Table with Selected Variables Challenging the Process*

Variable	<i>p</i> -value	Findings
Age	0.81	There is no difference in Challenging the Process based on age.

(continued)

Variable	<i>p</i> -value	Findings
Education	0.95	There is no difference in Challenging the Process based on highest level of education.
Ethnicity	0.92	There is no difference in Challenging the Process based on ethnicity.
Gender	0.61	There is no difference in Challenging the Process based on gender.
Leadership	0.18	There is no difference in Challenging the Process based on frequency of leadership training/development programs.
Representation	0.26	There is no difference in Challenging the Process based on area of representation.
Years	0.26	There is no difference in Challenging the Process based on overall years as a public official.

*Note.* *p*=probability; \*significant at  $\alpha=0.10$  or lower; \*\*significant at  $\alpha=0.05$  or lower; \*\*\*significant at  $\alpha=0.01$  or lower.

Research question two, Part D: What are the differences in the leadership practice, Enabling Others to Act, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

There is no difference in Enabling Others to Act (see Table 14) based on age, highest level of education, ethnicity, gender, area of representation or overall years as a public official. The respondents with 11 to 15 activities of leadership



training/development (49) had mean lower scores than all of the other groups: 2 or less (55.3), 3 to 5 (55.3), 6 to 9 (58), 10 to 12 (52), 16 to 18 (57.7).

Table 14

*Analysis of Variance (ANOVA) Table with Selected Variables Enabling Others to Act*

Variable	<i>p</i> -value	Findings
Age	0.35	There is no difference in Enabling Others to Act based on age.
Education	0.40	There is no difference in Enabling Others to Act based on highest level of education.
Ethnicity	0.64	There is no difference in Enabling Others to Act based on ethnicity.
Gender	0.11	There is no difference in Enabling Others to Act based on gender.
Leadership	0.08*	There is a difference in Enabling Others to Act based on frequency of leadership training/development programs. Respondents with 11 to 15 activities of leadership training/development had mean lower scores than all of the other groups.
Representation	0.80	There is no difference in Enabling Others to Act based on area of representation.
Years	0.88	There is no difference in Enabling Others to Act based on overall years as a public official.

Note. *p*=probability; \*significant at  $\alpha=0.10$  or lower; \*\*significant at  $\alpha=0.05$  or lower; \*\*\*significant at  $\alpha=0.01$  or lower.

Research question two, Part E: What are the differences in the leadership practice, Encouraging the Heart, of elected public officials in Guam and the CNMI, as measured by the LPI, based on area of gender, age, ethnicity, number of years of service, educational level, frequency (number) of leadership training experience, and area of representation?

There is no difference in Encouraging the Heart (see Table 15) based on age, highest level of education, ethnicity, gender, frequency of leadership training/development programs, area of representation or overall years as a public official.

Table 15

*Analysis of Variance (ANOVA) Table with Selected Variables Encouraging the Heart*

Variable	<i>p</i> -value	Findings
Age	0.13	There is no difference in Encouraging the Heart based on age.
Education	0.84	There is no difference in Encouraging the Heart based on highest level of education.
Ethnicity	0.67	There is no difference in Encouraging the Heart based on ethnicity.
Gender	0.45	There is no difference in Encouraging the Heart based on gender.
Leadership	0.16	There is no difference in Encouraging the Heart based on

(continued)

Variable	<i>p</i> -value	Findings
		frequency of leadership training/development programs.
Representation	0.41	There is no difference in Encouraging the Heart based on area of representation.
Years	0.67	There is no difference in Encouraging the Heart based on overall years as a public official.

*Note.* *p*=probability; \*significant at  $\alpha=0.10$  or lower; \*\*significant at  $\alpha=0.05$  or lower; \*\*\*significant at  $\alpha=0.01$  or lower.

### **Summary of Findings**

The findings and analysis of this research were reported in this chapter. Eighty-nine informative packets and emails were sent to elected public officials in Guam and the CNMI. Of the 89 potential participants, 26 surveys were completed and used in the analysis, while 9 were collected as incomplete and removed from the analysis portion. The purpose statement, research questions, and data collection process were reiterated at the beginnings of the chapters. The research questions were used to organize the findings and analysis portion of the chapter. The characteristics of the participants of this study were broken down into the categories (gender, age, ethnicity, years of service as a public official, education level, frequency of leadership training and development, and area of representation) and reported. The characteristics of participants were then compared against the overall results of each leadership practice to determine if there were any differences.

The results of research question number one revealed that the average scores of participants, elected public officials in Guam and the CNMI, fell under the LPI average

(moderate) range based on Kouzes and Posner's standards. Based on the Cohen  $d$ , there was a small effect in all five leadership practices: Modeling the Way, Inspiring a Shared Vision, Challenge the Process, Enabling Others to Act, and Encourage the Heart.

The data revealed that there were no strong differences (high effects) in the leadership practices. The levels of leadership practices of elected public officials in Guam and CNMI as measured by the LPI are considered "moderate" and did not qualify for a "high" ranking. The average scores of each leadership practice fell under the 50s range, which under the Kouzes and Posner's standards are considered to be "moderate". Participants needed to have an average score above the 70<sup>th</sup> percentile to qualify for "high" ranking.

The results of research question number two were divided into parts, comparing the results of each leadership practices based on demographic information: Part A: Modeling the Way, Part B: Inspiring a Shared Vision, Part C: Challenge the Process, Part D: Enabling Others to Act, and Part E: Encourage the Heart. The findings to research question two sought to determine if there are differences in each of the five leadership practices based on the demographic information.

There were no differences in the leadership practice Modeling the Way based on age, education, ethnicity, years of service, and representation. There was a difference in gender and frequency of training. The difference at 0.08 (90% at  $\alpha=0.10$  or lower) in regards to Modeling the Way and gender is female respondents (69.2%) had mean lower scores (53.6) than male respondents (30.7%) with mean scores (56.7). The difference at 0.003 (99% at  $\alpha=0.01$  or lower) in regards to Modeling the Way and frequency of leadership training/development programs is respondents with 16 to 20 (3.8%) activities

of leadership training/development had mean lower scores (43) than the mean scores range (50-58) of all of the other groups.

There were no differences in the leadership practice Inspiring a Shared Vision based on age, highest level of education, ethnicity, leadership training, and years of service. There was a difference at 0.07 (90% at  $\alpha=0.10$  or lower) in regards to Inspiring a Shared Vision and gender. Females (69.2%) had lower mean scores (52.6) than that of males (30.7%) with mean scores of (56.8). There was a difference at 0.09 (90% at  $\alpha=0.10$  or lower) in regards to Inspiring a Shared Vision and area of representation. Respondents from the Commonwealth of the Northern Mariana Islands (42.3%) had lower mean scores (51.8) than respondents from Guam (57.6%) with mean scores of (55.5).

There was no difference in the leadership practice Challenging the Process based on age, education, ethnicity, gender, years of service, leadership training, and representation. There was no difference in the leadership practice Enabling Others to Act based on age, education, ethnicity, gender, years of service, and representation. There was a difference at 0.08 (90% at  $\alpha=0.10$  or lower) in regards to Enabling Others to Act and frequency of leadership training/development. Respondents with 11 to 15 activities in leadership training/development had lower mean scores (49) than all other groups with a mean score range of (52-58). There was no difference in the leadership practice Encourage the Heart based on age, education, ethnicity, gender, years of service, leadership training, and representation.

Based on the findings, there were differences in the leadership practices Modeling the Way and Enabling Others to Act based on respondents who participated in the frequency range of 11 to 20 training or development activities. These respondents had lower mean

scores than all of the other groups. In the leadership practices, Modeling the Way and Inspiring a Shared Vision, the differences were based on gender and area of representation. Female respondents and respondents from the Commonwealth of the Northern Mariana Islands had lower mean scores than all of the other groups. There were no differences in the leadership practices Challenging the Process and Encouraging the Heart based on age, ethnicity, gender, highest level of education, years of service, leadership training and development, and area of representation.

### **Summary**

This chapter provided a review of the purpose of the study, research questions, and description of the instrument used in the study. The research questions acted as a guide for this study and the findings and analysis portion. The analysis of the data and the findings were reported in both narrative and table format.

## **Chapter Five: Summary of Findings, Conclusions, and Recommendations**

This chapter provides a review of the findings and draws implications from the data analysis. The limitations of the study were also presented, which may have affected the results. This chapter concludes with recommendations for further studies or research related to the field of leadership in the Micronesian region.

### **Summary of Findings and Implications**

The two research questions were answered in this study. This section will discuss the implications of the research finding based on this study. The implications will be presented within the context of each research question. The implications are specifically written in regards to public leadership in Guam and the Commonwealth of the Northern Mariana Islands as well as individuals who may benefit from this study, specifically those who are interested in studies about leadership and public service.

**Research question one.** This study identified 89 potential participants for this study. Out of 89 potential participants, 26 participants agreed to participate in the study and completed the online survey. The data from the 26 completed survey results were utilized for this study. Of the 26 survey results, 18 were female which made up 69.2% of the survey results while 8 were male which made up 30.7% of the survey results. The representation of the participants ethnic groups are as follows: (20) Chamorro representing 76.9% of the survey results, (3) Other representing (Chamorro/Carolinian, Mixed-Chamorro/Filipino-Chinese/German, Filipino/Chamorro) 11.5% of the survey results, (2) Caucasian representing 7.6% of the survey results, (1) Filipino representing 3.8% of the survey results. There were no Asian and Hispanic ethnic groups represented in the survey results.

The distribution of age range presented in the survey results are as follows: There were no respondents in the age groups 21 and under, 1 participant represented the 22-34 range (3.8%), 5 participants represented the 35-44 range (19.2%), 11 represented the 45-54 range (42.3%), 5 represented the 55-64 range (19.2%), and 4 participants fell under the 65 and over age range, representing (15.3%) of the survey results.

The highest level of education held by participants in the survey results are as follows: 10 of participants held a high school diploma or GED representing 38.4% of the survey results; 2 of participants held an Associate's Degree representing 7.6% of the survey results; 7 of participants held a Bachelor's Degree representing 26.9%; 3 of the participants held a Master's Degree representing 11.5% of the survey results; 3 of the participants held a Doctoral Degree representing 11.5% of the survey results, and 1 of participants held a Professional Degree representing 3.8% of the survey results.

Of the survey results, 15 (57.6%) participants were elected public officials on Guam, while 11 (42.3%) participants were elected public officials from the Commonwealth of the Northern Mariana Islands. As for the number of years of service of participants as public officials, the results are as follows: 6 of participants served 2 years or less representing 23% of the survey results, 3 of participants served 3-5 years representing 11.5% of the survey results, 4 of participants served 6-9 years representing 15.3% of the survey results, 3 of participants served 10-12 years representing 11.5% of the survey results, No participants served 13-18 years in the survey results, 3 of participants served 19-21 years representing 11.5% and 7 of participants served over 21 years representing 26.9% of the survey results.



In terms of participants who have participated in leadership training and/or development programs within the past five years, the results are as follows: 6 of participants have not participated in any leadership training representing 23% of the survey results, 8 of participants have participated in 1-5 leadership training representing 30.7% of the survey results, 3 of participants have participated in 6-10 leadership training representing 11.5% of the survey results, 1 of participants have participated in 11-15 leadership training representing 3.8% of the survey results, 1 of participants have participated in 16-20 leadership training representing 3.8% of the survey results, and 7 of participants have participated in over 20 leadership training representing 26.9% of the survey results.

The LPI average scores of participants, elected public officials who participated in the study, based on the five leadership practices showed a small difference from the norms reported by Kouzes and Posner (2003). The LPI average scores, reported as mean scores, which shows the frequently in which participants practiced each of the five leadership practices are as follows: modeling the way (54.6), inspiring a shared vision (53.9), challenge the process (54.5), enabling others to act (55.9), and encouraging the heart (55.2). The LPI average scores of participants in each of the leadership practices fell under the “moderate” level, which meant that the leadership practices of participants did not score in the 70<sup>th</sup> percentile needed to qualify as a “high” score.

Cohen *d* score suggested small effects with (-1.29) in Modeling the Way, (-1.08) in Inspiring a Shared Vision, (-1.29) in Challenge the Process, (-1.60) in Enabling Others to Act, and (-1.47) in Encourage the Heart.

**Research question two.** The study revealed that there were no differences in the leadership practices Challenging the Process and Encouraging the Heart based age, ethnicity, highest level of education, gender, years of service, leadership training and development, and area of representation. However, there is a difference in the leadership practices Modeling the Way and Enabling Others to Act in which respondents who participated in 11-20 leadership training/development activities scored lower in these practices than all of the other groups. In the leadership practice, Modeling the Way and Inspiring a Shared Vision, the difference is in gender in which female respondents scored lower in these leadership practices than male respondents. In the leadership practice, Inspiring a Shared Vision, respondents from the Commonwealth of the Northern Mariana Islands scored lower than respondents from Guam.

Participants in the study, elected public officials in Guam and the CNMI, that made up the majority percentage in this study represented the following characteristics: female (69.2%), Chamorro (76.9%), high school diploma or GED (38.4%), 45-54 age range (42.3%), over 21 years of service (26.9%), participation in 1 to 5 leadership training and development within the past 5 years (30.7%), and almost equal percentage of representation from Guam (57.6%) and CNMI (42.3%).

The majority of elected public officials in Guam and the CNMI are male, yet more females participated in the study. In Modeling the Way and Inspiring a Shared Vision, female respondents scored lower which may indicate a need to further determine the factors that led to these results since there is no significant relationship based on age, education, ethnicity, and years of service. The findings are indicative of the majority

ethnic population in both areas, which is Chamorro. In this case, there is not a significant relationship between ethnicity and leadership practice.

Though there are elected public officials who hold higher levels of education in the form of an associate's degree, bachelors, masters degree, doctoral degree, and professional degree, the majority (38.4%) of respondents' highest level of education is a high school diploma/GED followed by respondents holding a bachelors degree (26.9%). The results show no significant relationship between highest education level and level of leadership practice.

These percentages may suggest that given that majority of the respondents (26.9%) served as a public official for over 21 years, they have made a career as an elected public official. Twenty one years and over of public service negates over 21 years of experience in public service and leadership, yet based on the results there is no significant relationship between leadership practices and years of service.

On the other hand, there was a significant difference with respondents who participated in 11-20 leadership training/development activities within the past five years, wherein the findings indicate that participants from this group had lower scores (Modeling the Way and Enabling Others to Act) than all of the other groups. These results suggest that public officials who had participated in more frequent leadership training/development throughout the five years identified that they did not frequently practice behaviors related to Modeling the Way and Inspiring a Shared Vision.

To be more specific, those who had more experience in leadership training/development (16 to 20) were the least likely to exhibit behaviors related to modeling the way, in other words being the role model based on the expectations that are

communicated. Those who had more experience in leadership training/development (11 to 15) were the least likely to exhibit behaviors related to enabling others to act. In other words, this group was less engaged in behaviors related to empowering others (employees/partnerships/collaborations/constituents) with resources, opportunities for growth and development, and sense of autonomy to contribute to the goals, mission, and vision of the organization.

Public Officials who participated in the survey scored “moderate” on all the five leadership practices. The results showed that the demographic information that showed a significant relationship in regards to the some of the leadership practices were found in gender, frequency of leadership training, and area of representation. These would be the areas of interest to further determine factors related to the strong correlations in these relationships.

### **Research Limitations**

This study was designed to identify the leadership practices of elected public officials in Guam and the CNMI. The researcher took careful consideration of the sensitive nature of surveying this population in addition to the effects that information gathered from this research may have on participants. Though careful considerations were made, there are limitations to this study. The following limitations may have affected the results of this research:

1. All variables were not under complete control, the survey URL and password and the research information may have been handled and viewed by various governmental personnel in which the researcher could not protect the

confidentiality of the above information once it was distributed to potential participants.

2. All surveys were completed anonymously; therefore, there was no way to verify if the participants completing the online survey were, in fact, elected public officials in Guam and the CNMI.
3. All surveys were completed anonymously; therefore, there is a possibility that the participant completed more than one survey, yet it is highly unlikely.
4. Since the LPI instrument was used in an online forum, it may have placed barriers that may have prevented potential participants who do not have access to a computer, internet, or who have limited computer skills and knowledge of using the internet.
5. This study employed the LPI-Self in which participants rate the frequency in which they believe they practice each behavioral statement. Since this instrument is a self report, participants may be responding based on their perceived behaviors instead of responding on the actual behavior they exhibit and the way they behave typically on most days. Participants may also be answering based on the behavior they would like to exhibit or based on how they think they should behave. This limitation may have affected the accuracy of the data used in the study. Using the LPI observer may have provided more information to verify the leadership practices of elected public officials who have completed the survey.
6. Although potential participants were given their privacy right in the informed consent and ensured that their identity and results would be held with strictest

confidentially and anonymity, respondents may still have been skeptical and hesitant to participate in the study, complete the entire survey, or may have provided answers that were not accurate with their typical leadership practices.

7. The LPI-Self was the only instrument used in this study to measure the level of leadership practices. The use of multiple instruments by the participants in this study may have yielded a different set of results.

## **Conclusions**

After complete analysis, it can be concluded that certain issues may have affected the results of the study since it was narrow in focus. Despite the limitations, this study was the first to evaluate the leadership practices of elected public officials in Guam and the Commonwealth of the Northern Mariana Islands using the Leadership Practices Inventory (LPI), and can be viewed as an objective analysis of leadership practices.

This study used Kouzes and Posner's (2007) transformational leadership model as the theoretical framework as it sought to identify and measure the effectiveness of elected public officials in Guam and the CNMI. The findings revealed that respondents scored moderate on all five leadership practices which indicates that in terms of effectiveness as transformational leaders, they were neither least effective (low score) or highly effective (high score). Instead the scores based on each leadership practice identified areas for growth potential in addition to areas for further study.

Kouzes and Posner's (2007) transformational leadership model emphasizes behavioral characteristics of effective leaders in which specific behaviors and skill sets of effective leaders can be nurtured and developed through self reflection, training and development, and evaluative tools. Based on 'moderate' scores of respondents, elected

public officials may use the results and identify opportunities to develop or refine their skill set in each of the leadership practices, most especially in practices with the lowest mean scores: inspiring a shared vision, modeling the way, and challenging the process. Elected public officials may take intentional actions towards improving in these area and get into the habit of using evaluative tools to receive feedback from followers and a means of measuring growth. Kouzes and Posner emphasize that transformational leaders are constantly learning, growing, and adapting to the needs of the leadership role and organization, relationship with followers, and the social, cultural, and political climate.

The findings identified areas which further study is needed. In modeling the way and inspiring a shared vision, female respondents scored lower than males. Respondents from the CNMI scored lower than respondents from Guam in inspiring a shared vision. Respondents who participated in 11-20 activities in training/developing scored lower in modeling the way and enabling others to act, yet there was no difference in education level or years of service. These findings raise questions as to the role of women in public leadership and the type, quality, and outcome of the training activities attended by respondents. A needs assessment must be conducted to identify the specific needs of elected public officials in Guam and the CNMI. The results of the needs assessment will then shape the type of leadership training and development programs and evaluative tools to develop and nurture the skills and knowledge base essential to effective leadership in this region.

The conclusion of this study is the start to gaining insights and a better understanding of public leadership in Guam and the CNMI as it exists today. This research is the beginning to laying down a foundation in the development of a leadership

framework that embodies the leadership practices of elected public officials and expanded in incorporate the political, economic, and socio-cultural implications of leadership in the Guam, CNMI, and the region of Micronesia. The development for a framework in public leadership is essential in the training and development of future public leaders in Guam and the CNMI.

### **Recommendations for Further Study**

This study was completed in hopes that in understanding the current conditions and practices of public leaders today, it can be the beginning of a movement forward towards developing effective public leaders for the future. Based on the results of the study, the following are recommendations for future research in leadership behaviors and the study of public leadership in Guam, CNMI, and the region of Micronesia:

1. The LPI-Self instrument could be administered both in written and online format to yield a higher participation rate, in addition, to the use of the LPI 360 using the LPI observer and the LPI-Self. Using the LPI 360 may yield more accurate leadership practices results in regards to using the feedback from observers to validate the self perceptions of public officials in their leadership practices.
2. The use of other leadership style instruments could be used and administered to the same population, which the use of multiple instruments may yield different results.
3. Use qualitative methods to identify factors related to the significant relationships between the following based on the results of this study: gender and modeling the way, frequency of leadership training and modeling the way,



gender and inspiring a shared vision, area of representation and inspiring a shared vision, and frequency of leadership training and enabling others to act.

4. Qualitative methods in addition to quantitative methods could be used to help researchers better understand the factors that lead to self-reported leader practices, in addition to organizational, political, economical, social, and cultural factors that influence and impact self-reported leadership behaviors. Interviews could be a beneficial qualitative method to capture richly detailed data about factors that shape an individual's leadership journey from its beginnings unto the present practiced leadership behaviors.
5. A study of identifying the perceptions that leaders have about leadership in Guam and the CNMI can help provide data on how these perceptions shape and influence a leader's beliefs and behaviors including the prevalent political culture in public leadership in Guam and the CNMI.
6. This study can be expanded to include public officials who hold leadership positions in public administration sectors of government and the community. This study can also be expanded to include public leaders in the field of education, business, non-profit, community, and all sectors of government to determine if there are differences in leadership practices based on field of leadership.
7. This study can be expanded to include all elected public officials in the Micronesian Region. This expanded study` can be used to determine other cultural and social influences by incorporating the G.L.O.B.E. study survey

tool. Based on this study, differences in leadership practices can be compared against demographic information in addition to cultural and social factors.

8. This study can be expanded to include past elected public officials and possibly self-identified aspiring public officials to determine if there are any differences in addition to being able to identify a pattern of leadership practices within the groups based on their perceived leadership practices. In this case, the study will also look for generational leadership trends.

### **Summary**

This study used elected public officials as the sample population. Participants in the study completed the Leadership Practices Inventory (LPI) by Kouzes and Posner to identify and measure the leadership practices of elected public officials in and the CNMI. In addition to completing the LPI in an online survey format, participants also answered demographic information which was used to determine if there were differences in leadership practices based on demographic information such as age, gender, ethnicity, education, years of service, frequency of leadership training, and area of representation. Two research questions were answered in this study through the analysis of the data derived from the LPI and demographic information identified my elected public official in Guam and the CNMI who agreed to participate in the study.

Respondents scored on a moderate range on all leadership practices (modeling the way, inspiring a shared vision, challenge the process, enabling others to act, and encouraging the heart) and did not qualify for high ranking based on Kouzes and Posner standards. There were significant differences in the leadership practices of modeling the

way, inspiring a shared vision, and enabling others to act based on gender, frequency of leadership training, and area of representation.

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APPENDIX A:

Human Participant Protection Certificate and Approval

## Human Participant Protection Certificate



APPENDIX B:

Permission Letter to Use the LPI

## Permission to use LPI for research

Dear Ms. Mendiola:

Thank you for your request for permission to use the Leadership Practices Inventory (the “Work”) Self and/or Observer Instruments in an online survey setting such as Survey Monkey. This permission will become effective when we receive your payment as set forth in #3 below.

*The Use:* You may place the LPI questions into a password-protected online survey setting and may collect data based on those questions.

1. Permission is granted for this Use, however, no rights are granted to use any content that appears in the Work with credit to another source.
2. Credit to the Work will appear as follows: The Leadership Practices Inventory, 3rd Edition. Copyright 2007 by John Wiley & Sons, Inc. All rights reserved. Reprinted by permission of John Wiley & Sons, Inc.
3. Payment for this Use is \$100, due immediately. Payment may be sent to my attention at One Montgomery Tower – Suite 1200, San Francisco, CA 94104. If payment is not received by March 21, 2012, this permission is revoked.
4. This license is nontransferable. The license shall automatically terminate if you fail to exercise the rights hereunder to use the Work for the specified term, or comply with the terms herein.
5. You agree to supply us with a copy of your research results, and any papers you write based on this research when your project is completed.

Please let me know if you have any questions or concerns.

Debbie Notkin  
Contracts Manager



APPENDIX C:  
Informed Consent Form

## INFORMED CONSENT

I, Florie M. Mendiola, am a doctoral candidate in the Graduate School of Education and Psychology Organizational Leadership Program at Pepperdine University. In fulfillment of the requirements of receiving a doctoral degree in Education, the final requirement is completing a dissertation research study on the subject matter related to the field of study. The subject matter for this study is on leadership and public officials in Guam and the Commonwealth of the Northern Mariana Islands.

As the principle investigator in this dissertation research study, I am conducting a dissertation research study, in which the title of the study is **Public Leadership: A Study of the Leadership Practices of Public Officials in Guam and the Commonwealth of the Northern Mariana Islands**. This dissertation research study is supervised by Dr. June Schmieder-Ramirez, director of the Ed.D in Organizational Leadership Program and faculty member at Pepperdine University.

You have been selected, as an expert in this field, to participate in a short online survey. It is expected that this survey will take about 10-15 minutes to complete. Leaders have a multitude of knowledge and experience and it is in hopes that this dissertation research study will be able to capture the rich information practiced by leaders on a daily basis. This dissertation research study is fully dependent on the voluntary participation of public officials to contribute to the completion of this dissertation research study.

As Participants in this dissertation research study, If you should have any questions or concerns regarding this dissertation research study, please do not hesitate to contact me, principal investigator, at XXX@gmail.com or XXX@pepperdine.edu or (cell number) 254-XXX-XXXX. You may also contact Dr. June Schmieder, supervising faculty for this dissertation research study at XXX@pepperdine.edu or 310-XXX-XXXX for other questions or concerns about this dissertation research study. If you have questions about your rights as a research participant, you may contact Dr. Yuying Tsong, Chairperson of Graduate and Professional Schools IRB Office, Pepperdine University at XXX@pepperdine.edu.

Please be aware of the following:

1. The purpose of this dissertation research study is to examine the leadership behaviors of public officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI).
2. There are no known risks to participants from participating in this dissertation research study.
3. The input you provide will be received anonymously, meaning it is not possible for the researcher/principal investigator, or anyone else, to determine who participated in the dissertation research study. Your identity will not be revealed in any publication that may result from this dissertation research study.
4. Input received will only be used in conjunction with completing a dissertation and will be held by the researcher/principal investigator in the strictest of confidence, and maintained in accordance with applicable state and federal laws.
5. You can stop taking the survey at any time without penalty or loss of benefits to which you are otherwise entitled.
6. Your participation is completely voluntary and you may choose not to participate in this dissertation research study. There will be no compensation of any kind for participating in this dissertation research study.
7. After this dissertation research study is completed, you will not be further contacted in regards to this dissertation research study.

If you would like documentation that certifies your participation in this dissertation research study and wish to sign a consent form granting authorization to acknowledge your contribution to the dissertation research study, please email me at XXX@gmail.com or XXX@pepperdine.edu.

Checking the appropriate box below will serve as an indication that you are a currently serving as a public official in Guam or the Commonwealth of the Northern Mariana Islands (CNMI). By checking the appropriate box, you are also acknowledging that you have read and understood the terms of the informed consent of the dissertation research study and consent to participate in the dissertation research study described above.

Yes I have read and understood the informed consent and AGREE to participate

Yes I have read and understood the informed consent and DO NOT AGREE to participate

I understand that your time is valuable, and I sincerely thank you in advance for your participation in this dissertation research study and the importance of your contribution to the further advancement of research on leadership in Guam and the Commonwealth of the Northern Mariana Islands.

The knowledge gained from this dissertation research study will provide valuable data to the study of Pacific Island Leadership, most especially in the area of the Micronesia region.

Note: This informed consent is for your personal copy. You will choose to participate in the online survey on survey monkey (which you will have access to via email or mail package) that will allow you to agree or disagree to participate. In order to keep your identity confidential, your check in the appropriate box will act as an electronic signature.

With Regards,

Florie Manglona Mendiola, Doctoral Student of Pepperdine University

**Title of Dissertation Study: A Study of the Leadership Practices of Public Officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI)**

APPENDIX D:

Introduction and Research Information Letter to Participants

Dear Participant,

I, Florie M. Mendiola, am a doctoral candidate in the Graduate School of Education and Psychology Organizational Leadership Program at Pepperdine University. In fulfillment of the requirements of receiving a doctoral degree in Education, the final requirement is completing a dissertation research study as a principal investigator on the subject matter related to the field of study. I am deeply passionate about the study of leadership and most especially the integration of leadership as it relates to the Micronesia region.

I was born and raised in Rota, CNMI and completed my secondary and undergraduate studies in Guam. I have been an active member and contributed much of my knowledge and skills to the education of the youth and the development of leaders on all levels in different fields. My purpose for pursuing my doctoral degree is to be able to further enhance my knowledge, skills, and experience in hopes that I can better contribute to the islands that have nurtured my character and development.

As the principle investigator in this dissertation research study, I am conducting a dissertation research study, in which the title of the study is **Public Leadership: A Study of the Leadership Practices of Public Officials in Guam and the Commonwealth of the Northern Mariana Island (CNMI)**. This dissertation research study is supervised by Dr. June Schmieder-Ramirez, director of the Ed.D in Organizational Leadership Program and faculty member at Pepperdine University.

You have been selected, as an expert in this field of public leadership in Guam and the CNMI, to participate in a short online survey. As participants in this dissertation research study, If you should have any questions or concerns regarding this dissertation research study, please do not hesitate to contact me, principal investigator, at XXX@gmail.com or XXX@pepperdine.edu or (cell number) 254-XXX-XXXX. You may also contact Dr. June Schmieder, supervising faculty for this dissertation research study at XXX@pepperdine.edu or 310-XXX-XXXX for other questions or concerns about this dissertation research study. If you have questions about your rights as a

research participant, you may contact Dr. Yuying Tsong, Chairperson of Graduate and Professional Schools IRB Office, Pepperdine University at XXX@pepperdine.edu.

The purpose of this dissertation research study is to identify the leadership practices of Public Officials in Guam and the Commonwealth of the Northern Mariana Islands (CNMI); furthermore, to determine if there are similarities and/or differences in the leadership practices based on gender, ethnicity, years of service as a public official, education level, frequency of leadership training and development, and geographic area of presentation.

Participation in this study is completely voluntary. Although you will not be compensated for your participation in this study, I acknowledge that your time is valuable and appreciate your contributions to this dissertation research study and the research of leadership in the islands of Guam and the CNMI. Since this is a voluntary process, you may elect not to participate.

The potential risk of this dissertation research study is minimal. Discomfort associated with this dissertation research study is no more than that experienced during the normal course of a day. The potential benefits of your participation include opportunities for self reflection as you answer the questions, sharing of your leadership knowledge and skills, and providing valuable data to the study of leadership in the Pacific specifically Guam and the CNMI.

There is minimal to non-existent research conducted on public leadership with public officials in Guam and the CNMI. Your contribution will be creating a foundation for further leadership studies in this area and the beginnings of what will hopefully in the future develop into a leadership framework that embodies the leaders of Guam and the CNMI and used to help train future leaders.

An internet company will be used to conduct the survey. Survey Monkey is an online survey tool that enables people of all experience levels to conduct surveys quickly and easily. With the permission of the creators of the leadership instrument, James Kouzes and Barry Posner, the Leadership Practices Inventory has been replicated on Survey Monkey for this particular dissertation research study only. No personally

identifying information will be requested on the survey and no identifiers will be used that will link you to your answers. All information gathered in this dissertation research study will be held in strict confidence and you will not be identified in any way.

If you choose to participate, you will be required to answer 6 questions on your demographic background and 30 questions that will identify and measure your personal leadership practices. You will answer each question using a Likert scale from 1 (almost never) to 10 (almost always) based on how often you practice the behavior represented in each statement. You will choose the number that best applies to you for each statement. There is no right or wrong answers in the survey. The goal is to get an accurate picture of the leadership practices that public officials in Guam and the CNMI practice more of and less of. This survey will take about 10-15 minutes to complete. Participants will only have 3 weeks to participate in the online survey.

Below is the URL to the secure site where the survey is located. You will also be receiving an email with URL address, which will take you to the online survey as well as the consent form that allows you to choose to participate or not to participate in the study. To ensure confidentiality, a password is required to enter the site to complete the survey. The password is XXXXXXXXXXXX. The password will also be included in the email sent to you.

<https://www.surveymonkey.com/XXXXXXXXXXXX>

Thank you for your consideration and assistance. The completion of this process will not be possible without the time and contributions of participants.

Respectfully,

Florie Manglona Mendiola, Doctoral Student of Pepperdine University



APPENDIX E:

Reminder Email to Participants

Dear Participant,

I, Florie M. Mendiola, principal investigator, am sending you this email as a reminder to participate, as an expert, in my dissertation research study. The title of the dissertation research study is **Public Leadership: A Study of the Leadership Practices of Public Officials in Guam and the Commonwealth of the Northern Mariana Islands**. Participation in this dissertation research study is completely voluntary. I understand your time is valuable, please take the time to visit the website to choose to participate and take the 10-15 minute survey. A letter and email was sent to you last week and your assistance is still desired.

As participants in this dissertation research study, If you should have any questions or concerns regarding this dissertation research study, please do not hesitate to contact me, principal investigator, at XXX@gmail.com or XXX@pepperdine.edu or (cell number) 254-XXX-XXXX. You may also contact Dr. June Schmieder, supervising faculty for this dissertation research study at XXX@pepperdine.edu or 310-XXX-XXXX for other questions or concerns about this research. If you have questions about your rights as a research participant, you may contact Dr. Yuying Tsong, Chairperson of Graduate and Professional Schools IRB Office, Pepperdine University at XXX@pepperdine.edu.

Just to remind you, the purpose of this dissertation research study is to identify the leadership practices of public officials in Guam and the CNMI and determine whether there are similarities and/or differences in leadership practices based on gender, ethnicity, years of service as an elected public officials, education level, frequency of leadership training and development, and geographic area of representation. The knowledge gained from this dissertation research study will provide valuable data to the study of leadership in Guam and the CNMI.

Since the results of the survey do not identify the participant, the researcher is unaware of who has already completed the surveys. If you already completed the survey, thank you again for your time, assistance, and contribution to this dissertation research study. However, if you haven't yet participated, please go to the following link below

that will take you to the survey site. Please type in the password to ensure confidentiality. The time frame to participate in this dissertation research study is three weeks and you have only two more weeks to participate in the survey before access to the survey is closed.

[www.surveymonkey.com/xxxxxxxxxxxxxxx](http://www.surveymonkey.com/xxxxxxxxxxxxxxx)

Password: XXXXXXXXXXXXXXXXXXXXX

Thank you again for your consideration and assistance. Your participation is greatly appreciated and valuable to this dissertation research study.

Respectfully,

Florie Manglona Mendiola, Doctoral Student of Pepperdine University

APPENDIX F:

Leadership Practices Inventory – Self (LPI-Self) Questionnaire

Your Name: \_\_\_\_\_

To what extent do you typically engage in the following behaviors? Choose the response number that best applies to each statement and record it in the box to the right of that statement.

1. I set a personal example of what I expect of others.
2. I talk about future trends that will influence how our work gets done.
3. I seek out challenging opportunities that test my own skills and abilities.
4. I develop cooperative relationships among the people I work with.
5. I praise people for a job well done.
6. I spend time and energy making certain that the people I work with adhere to the principles and standards we have agreed on.
7. I describe a compelling image of what our future could be like.
8. I challenge people to try out new and innovative ways to do their work.
9. I actively listen to diverse points of view.
10. I make it a point to let people know about my confidence in their abilities.
11. I follow through on the promises and commitments that I make.
12. I appeal to others to share an exciting dream of the future.
13. I search outside the formal boundaries of my organization for innovative ways to improve what we do.
14. I treat others with dignity and respect.
15. I make sure that people are creatively rewarded for their contributions to the success of our projects.
16. I ask for feedback on how my actions affect other people's performance.
17. I show others how their long-term interests can be realized by enlisting in a common vision.
18. I ask "What can we learn?" when things don't go as expected.
19. I support the decisions that people make on their own.
20. I publicly recognize people who exemplify commitment to shared values.
21. I build consensus around a common set of values for running our organization.
22. I paint the "big picture" of what we aspire to accomplish.
23. I make certain that we set achievable goals, make concrete plans, and establish measurable milestones for the projects and programs that we work on.
24. I give people a great deal of freedom and choice in deciding how to do their work.
25. I find ways to celebrate accomplishments.
26. I am clear about my philosophy of leadership.
27. I speak with genuine conviction about the higher meaning and purpose of our work.
28. I experiment and take risks, even when there is a chance of failure.
29. I ensure that people grow in their jobs by learning new skills and developing themselves.
30. I give the members of the team lots of appreciation and support for their contributions.