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The essential leadership and management skills of mid-level managers in non-profit organizations

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THE ESSENTIAL LEADERSHIP AND MANAGEMENT SKILLS OF MID-LEVEL

MANAGERS IN NON-PROFIT ORGANIZATIONS

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by

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DEDICATION

To my husband, Jim.

You always make me laugh, even when it is darkest.

And that has made all the difference.

You are the most perfect partner.

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I could not have done any of this without my brother Brian, who in addition to providing love, support and encouragement, actually made the logistics possible. Thank you for taking care of the girls!

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VITA

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ABSTRACT

The role of the middle manager in organizations is evolving. As organizations shift from strictly hierarchical structures to ones that are increasingly horizontal and interconnected through team-based collaborations, middle managers are being asked to assume more leadership responsibilities in addition to their traditional management duties. While there is agreement that both leadership and management skills are required for organizations to be successful, there is limited information on the specific skills that are required to both manage and lead from the middle.

Mid-level managers who successfully develop both skill sets are well positioned for future leadership positions. Preparing middle managers for senior level responsibility is of particular importance to non-profit organizations which are currently facing a significant deficit in the leadership pipeline. To fully develop their human capital, senior level executives in non-profit organizations need to have a good understanding of the management and leadership skills they desire in their middle managers.

The purpose of this study was to explore, with senior level executives in non-profit organizations, the management and leadership skills they value in their middle managers. The study was designed using the Delphi Method approach of identification, shared evaluation and re-evaluation, and finally consensus among the executives, to determine the most desired and essential management and leadership skills. At the conclusion of the process, 11 senior level executives identified 11 management and leadership skills they believe are essential for effective mid-level management. 4 management skills were considered to be critical: (a) focused on the mission,

(b) organized, (c) communication, and (d) accountability. 7 leadership skills were
identified as essential: (a) authenticity, (b) promotes healthy organizational culture,
(c) values human capital, (d) takes responsibility, (e) creates alignment, (f) provides
senior level support, and (g) relationship building.

Recognizing that organizations are stronger and healthier when both skill sets are
present, the findings in this study may be used to identify current strengths and
weaknesses within the management structure of a non-profit organizations so that
training and hiring adjustments can be made, and to create training programs to better
prepare mid-level managers for future executive positions in order to build a strong
leadership pipeline.

Chapter 1: Introduction

While the demise of the hierarchical organization has been predicted for years, the reality is that they are still here. They look significantly different than in the past, incorporating more horizontal interactions, increasingly using team-based collaboration and encouraging cross-divisional and outside partnerships (Leavitt, 2005). It is in this restructured hierarchical, but increasingly interconnected, environment that middle managers are being asked to assume more leadership responsibilities. Understanding the skills required to meet this new objective, however, can be confusing and middle managers are struggling to find the right balance between management and leadership.

This balancing act is further complicated by the vast differences in opinion on what skills define leaders and managers. Unfortunately, the terms management and leadership are often used interchangeably in the work environment, resulting in confusion about the roles of managers and leaders (Kotterman, 2006; McCartney & Campbell, 2006; Toor & Ofori, 2008). In an effort to address this issue, there is a vast body of literature that seeks to differentiate between managers and leaders and their respective skills (Bennis & Nanus, 1985; Czarniawska-Joerges & Wolff, 1991; Hickman, 1990; Kotter, 1990, 2001; Kotterman, 2006; Kumle & Kelly, 2000; Maccoby, 2000; Toor & Ofori, 2008; Zaleznik, 1977; Zimmerman, 2001). Most researchers, however, believe that while managers and leaders differ substantially in many areas, an effective organization requires some combination of management and leadership skills (Gardner, 1990; Hickman, 1990; Kotter, 1988, 1990; Kotterman, 2006; Toor & Ofori, 2008). In fact, Kotter (1990) argues that an organization that relies too heavily on management skills encourages bureaucracy and stifles innovation, whereas organizations with strong

leadership skills and not many management skills can become distracted, *cult-like*, and continually focused on change with little rationale.

Newer leadership models such as shared leadership and collaborative leadership suggest that individuals throughout the organization should assume leadership roles when they have the unique expertise and knowledge to address the situation at hand (Pearce, 2004; Pearce, Conger, & Locke 2008; Raelin, 2003, 2006). These models require that managers throughout the organization exhibit leadership when the opportunity presents itself. This approach implies that organizations should understand the differences between the two skill sets and be able to develop these competencies in their employees:

> Virtually every employee has the opportunity to show leadership at some point.
> When given the opportunity to lead, it is essential to lead well. Understanding the differences between leadership and management can ensure that employees know when and how to apply each set of characteristics for given processes.
> (Kotterman, 2006, p. 17)

Background

Over the past couple of decades middle managers have seen their role in organizations change dramatically. Significant organizational changes such as increased use of communication technology, downsizing, flattening of hierarchies, new matrix management structures and implementation of cross functional teams have had a major impact on the function of middle managers. Consequently, the importance of a position that once played a vital role in the organization is now questioned. Few organizational positions have been so maligned; middle managers are often described to be *waste and overhead*, *unimaginative*, *gatekeepers and controllers*, and *risk adverse* (Haneberg, 2005;

McDermott, 1995; Yukl & Lepsinger, 2005). Over time, not only has the number of middle managers declined, but various authors question whether the importance of the position has actually been devalued (Stoker, 2006).

All of this change has drawn speculation that the future for middle managers may be limited (Stoker, 2006). Many authors however, are more optimistic and see a new role emerging; one of center- or middle-leaders (Dopson & Stewart, 1990; Floyd & Wooldridge, 1996; McDermott, 1995). For example, a study by Yang, Zhang and Tsui (2010) has found that the leadership behaviors of middle managers have a much more profound effect on those in lower level positions than do senior level managers. Other studies make a strong case that middle managers are better positioned, with more suitable skills, to lead change initiatives (Dopson & Stewart, 1990; Huy, 2001; Kanter, 1986; Sethi, 1999). As a result, senior level executives are increasing looking to their middle managers to assume a greater leadership role in the organization (Huy, 2001).

This expectation of more leadership from middle managers is not being driven by senior level executives alone; subordinates are looking to their managers for more of these skills as well. Rank and file employees expect their managers to lead by providing a vision for the future, better communication and inclusion decision making, coaching and skill development, and more empowerment (McDermott, 1995). Middle level managers are getting the message that they need to be leaders, but the concept of leading, as opposed to the skill of managing, is often hard to grasp (Carroll & Levy, 2008). As they strive to meet these new leadership demands, their tasks become less process-oriented and more people-focused. Unfortunately, middle managers often times have not yet developed more people-oriented leadership styles (Stoker, 2006). Understanding the

different skill sets that are required for effective management and leadership is essential if middle managers are to be successful in their new role as center-leaders.

Middle managers in non-profit organizations may find the transition to a more center-leadership role more difficult than their for-profit counterparts. In general, non-profit organizations have faced unique challenges in incorporating management and leadership skills into their organizations. Up until 50 years ago, non-profit organizations considered *management* to be a bad thing; management was too closely aligned with for-profit business, something they definitely were not (Drucker, 1990). Time and an increasingly dynamic environment, however, has caused a shift in thinking and non-profit institutions now know that developing strong management talent is essential, especially since many of the traditional measurements of progress and success such as profits do not exist.

Bringing leadership skills into non-profits has been a similar experience. Until a couple of decades ago, leaders in non-profits exhibited leadership skills at their own peril. Boards, usually comprised of strong leaders, seemed hesitant to hire a strong leader to head the organization, saddling them with low-level sounding titles such as executive director (Shakely, 2004). Non-profit organizations of today recognize the need for both strong leadership and management (Hesselbein, 2004). They also realize that leadership models that encourage less hierarchical structure and more involvement by everyone in the organization will be vital to their success in the years to come: "Non-profits of the future will need leaders at all levels of the organization and they will need staff members who can quickly respond to the changing environment" (Green, 2004, pp. 31-32).

Balancing leadership and management skills within a non-profit organization has proven to be a challenge. According to Stid and Bradech (2009) non-profit organizations tend to be over-led and undermanaged, particularly at founder-led institutions. This is due in great part to the financial pressures on non-profits that divert energy to those functions that generate immediate results, such as fundraising that depend on a visionary, charismatic leader to connect with donors. In addition, there is limited reward for exhibiting good managerial skills; the emotional connection that donors have with the organization are dependent on the mission, not on whether the organization is well run. A focus on management has been hindered by what Drucker (1995) sees as a belief "that good intentions and a pure heart are all that are needed. They do not yet see themselves as accountable for performance and results" (p. 276).

Developing both leadership and management skills within a non-profit will be essential to achieving and maintaining success. As stated by Ahmed (2005), "leadership, no doubt, is a very powerful resource. At the same time though, competent leadership cannot alone address adequately and effectively" all of the challenges that confront non-profits; organizations also need to develop effective managers (p. 925). Stid and Bradech (2009) warn that "the tension between leadership and management considerations will persist and so it is important to be continually on the alert for symptoms that might indicate a need to adjust or renew efforts to strengthen management" (p. 40). Understanding the difference between leadership and management will help in monitoring this balance and in determining what skill sets need to be improved.

One of the more significant challenges facing non-profits is the current recession. They have been negatively affected as revenue streams have decreased and demand for

services has increased. Staff layoffs and program activity reductions have taken their toll, and a recent report that surveyed non-profit leaders about managing in tough times recommends that organizations focus on identifying those people who are critical to achieving both short-term and long-term success (Foster & Perreault, 2009). This finding suggests that non-profit organizations must have a balance between management and leadership skills throughout the organization to survive in this environment. According to Nanus and Dobbs (1999), " nonprofit organizations need both good leadership and good management if they are to succeed. Either one alone is necessary but not sufficient. Every year thousands of worthy non-profit organizations fail for lack of one or the other" (p. 10). Clearly it is important for non-profit organizations to incorporate strategies that help them to develop both their managers and leaders.

Statement of the Problem

In a study conducted by the Bridgespan Group in 2006, it was predicted that by the year 2016 non-profit organizations with revenues greater than $250,000 will need to "attract and develop some 640,000 new senior managers – the equivalent of 2.4 times the number currently employed" (Tierney, 2006, p. 2). This translates into adding approximately 80,000 new senior managers per year. A more recent study conducted in 2009 concluded that the predicted leadership deficit still remains large, and that in spite of the current economic conditions it will be even more difficult to fill the top position in future years than it has been in the past (Simms & Trager, 2009).

This projected leadership shortfall is the result of multiple factors, one of which is the lack of internal development of leadership and management talent (Tierney, 2006). Just like their for-profit counterparts, the ability of non-profits to consistently meet their

goals is dependent on the quality of their people more than any other factor. Non-profit

organizations are struggling to attract and retain talented senior managers, and do not

have in place the structure or resources to develop talent from within (Simms & Trager,

2009; Tierney, 2006). Myers (2004) has suggested that this problem is further

complicated by the perception that homegrown leaders and managers in non-profits are

well versed in the use of *soft skills* but lacking in the *hard skills* needed to run an

organization. Tierney (2006) projects that the challenge to staff non-profits with

individuals that have the required leadership and management skills will become

increasingly difficult over the next few decades. He goes on to suggest that in order to

address this shortfall non-profit organizations must put into place plans to nurture and

develop management talent, which must include investing in building leadership and

management capacity.

In an effort to prepare for the leadership and management deficit forecasted, non-

profit organizations need to be developing their mid-level managers today. With the

pressures of today's economy, non-profits are finding themselves with limited resources

and need to insure that every employee is a high-level contributor (Foster & Perreault,

2009). Leadership ability and skilled management are considered to be the primary

determining factors in achieving organizational success (Tierney, 2006). Therefore, in

this environment, non-profit organizations need mid-level managers that can both lead

and manage (Green, 2004). Employees who have good management skills will have to

develop their leadership qualities, and those who exhibit leadership will have to expand

their managerial capabilities (Toor & Ofori, 2008). While there is agreement that both

leadership and management skills are required in organizations, there is no information on what specific skills are necessary in mid-level managers in a non-profit organization.

Purpose of the Study

To fully develop their human capital, non-profit organizations need to expand both leadership and management skills in their mid-level managers. Therefore, the purpose of the study is to solicit the opinions of senior level executives in non-profits to identify the specific critical managerial and leadership skills that are important to those executives for effective mid-level management. Using the Delphi Method of research, a list of desired management and leadership skills were created. This list of skills should enable non-profit organizations to (a) identify gaps in employee competencies between those skills that have been identified as important and the actual skills possessed, (b) effectively develop training programs to build and enhance needed skills, and (c) improve their hiring and promotion practices to ensure that they have the right balance of skills that will maximize organizational performance.

Research Questions

The research questions for this study were designed to determine the essential managerial and leadership skills that are required in mid-level managers so that they can maximally contribute to a successful non-profit organization.

1. How do senior level executives in non-profit organizations define management and leadership?

2. According to senior level executives in non-profit organizations, what management skills are desired in mid-level managers?

3. According to senior level executives in non-profit organizations, what leadership skills are desired in mid-level managers?

4. To what extent, if any, do senior level executives in non-profit organizations view management skills or leadership skills as more valuable in their middle managers?

Significance of the Study

The significance of this study is threefold; (a) to contribute to the body of literature related to the on-going debate on the similarities and differences between management and leadership, (b) to identify the unique skill sets of managers and leaders that may have future value in developing training programs, and (c) to specifically identify those essential management and leadership skills that will prepare middle managers in nonprofit organizations as their role transitions to include more leadership behaviors and for future senior level positions. While there is much agreement on the need to balance these two skill sets within an organization, there is a deficit of information on the actual skills associated with management and leadership. According to Toor and Ofori (2008), "research endeavors should be made to distinguish leadership from management. This would provide useful inputs into leadership development initiatives where there should be a clear determination of whether the outcome should be the creation of leaders or managers" (p. 69). This study will contribute to this body of work.

Limitations of the Study

There are several limitations of this study, most related to the Delphi Method process that was used. The first limitation is the potential for the introduction of bias by the investigator in the selection of the experts, the first round analysis of the interview

responses and in the design of the Likert questionnaire. While a second coder was used to assure consistency in the analysis and coding of the interview responses, the process did not take into consideration the interchangeability of terms used to describe closely related leadership and management skills such as relationship and listening skills.

A second limitation is related to the ongoing commitment that is required of the selected panelists. The Delphi process typically experiences a decrease in the response rate towards the later rounds and this loss of participants can jeopardize the rigor of the study (Hasson, Keeney, & McKenna, 2000). This study followed this pattern with a drop in participants over time. Out of the initial eleven panelists that participated in the interview portion, 10 and 9 respectively participated in the second and third rounds.

The need to reach consensus constitutes another potential limitation. Hasson et al. (2000) argues that the process could be perceived as forcing consensus among the participants. It is has been suggested that proponents of the method view the movement of a panel member towards consensus as a response to more relevant information provided by other panelists; critics would respond that a member is inclined to shift position because of the assumption that the majority must be right (Keeney, Hasson, & McKenna, 2006). Hasson et al. (2000) caution that reaching consensus does not translate into finding the *correct* answers, but reflects what one group of experts finds relevant.

The population chosen for this study posed another limitation. Non-profits may face unique challenges in preparing their middle managers to assume more responsibilities and the information gained from this study may not applicable to middle managers in different sectors.

Finally, because the participants were purposefully selected, they may not represent the views of the larger population (Brancheau, Janz, & Wetherbe, 1996).

Definition of Key Terms

The following are definitions of terms used in this proposal.

Delphi Method: A research approach that uses topic experts to work concurrently on an issue through solicitation of opinion on a specific topic using iterative rounds of questionnaires and feedback of the summarized data (Linstone &Turoff, 1975).

InterQuartile Range (IQR): A statistical measurement that indicates how much spread exists between the middle 50% of resulting scores. For the purposes of this study, the IQR will be used to determine the level of agreement among the participants.

Middle Manager (Mid-level Manager): For the purposes of this study, middle manager is defined as the layer of management one level below the senior management team and one level above front-line supervisor.

Non-profit Organization: An organization not conducted or maintained for profit, whose net earnings are devoted exclusively to charitable, educational, or recreational purposes.

Topic Experts: For the purposes of this study, topic experts are defined as senior level executives in non-profit organizations.

Organization of the Study

This dissertation study includes five chapters. Chapter 1 provides background information, statement of problem, purpose of the study, research questions, significance of the study, limitations of the study, definition of key terms, and organization of the study.

Chapter 2 provides a review of the relevant literature related to the leadership or management discussion including: (a) the debate regarding the comparison between leadership and management, (b) the definitions that are used to distinguish leaders from managers, (c) the arguments that are made to support the interrelated nature of leadership and management, and (d) the importance of finding the right balance of these two skills. In addition, a review of the relevant literature related to the changing role of middle managers serves to clarify why developing both skill sets is important for this group. Finally, a review of the literature on the specific leadership and management challenges facing non-profit organizations highlights the need for training programs to develop management and leadership skills from within.

Chapter 3 describes the research approach and design of this study including an overview of the Delphi Method, the mixed method approach used to gather and analyze the data. A review of the population studied is provided, and the specifics on data collection and recording are outlined. The analytical techniques used in the study are covered in detail.

Chapter 4 reports on the quantitative results of the study. The quantitative data are analyzed and reported using figures and tables to answer the proposed research questions.

Chapter 5 presents an analysis of the quantitative data using narrative descriptions and participant quotes to enhance understanding and provide context to the findings. Key findings and interesting anomalies are discussed, and recommendations for future research are provided.

Summary

This chapter serves as an introduction for the remainder of the dissertation. It has provided background information on the debate between leadership and management, the changing role of middle managers and the challenges non-profit organizations face in balancing leading and managing. Also included is a statement of the problem, the purpose of the study, the research questions, the significance of the study, the limitations of the study, a definition of key terms, and the organization of the study.

Chapter 2: Review of Relevant Literature

This discussion of the relevant literature is grounded in the theoretical framework, best expressed by John P. Kotter (1988, 1990, 1999, 2001, 2007), regarding the similarities and differences between management and leadership. This chapter presents a review of the literature in three areas. The first area will cover the debate regarding the comparison between leadership and management, the definitions that are used to distinguish leaders from managers, the arguments that are made to support the interrelated nature of leadership and management, and the importance of finding the right balance of these two skills. In the second area, the changing roles of the middle manager will be discussed, including background on how middle management has changed over the past several decades, the new leadership responsibilities that middle managers are now adopting, the challenges of balancing leadership and management as a center leader, and the particular role middle managers play in change leadership. Finally, the specific leadership and management challenges faced by non-profit organizations will be reviewed.

Managers and Leaders - The Debate Continues

Leadership is a phenomenon that has been observed from the beginning of time. By contrast, the concept of management evolved over the past 100 years, driven by the introduction to society of large complex organizations (Kotter, 1990; Kotterman, 2006). According to Czarniawska-Joerges and Wolff (1991), leadership lost its appeal in the 1960s when younger members of society were questioning authority, becoming increasingly suspicious about the *dark side* of leaders, and developing concern over the potential for the abuse of power. Kiechel (1988) reported that a study conducted by

AT&T in the 1950s, and repeated in the 1970s, showed a shift indicating that leaders did not inspire baby boomers. The concept of management and the emergence of managers such as *The Effective Executive* as discussed by Peter Drucker in 1967 was viewed as the natural alternative to the dangers of charismatic leaders (Czarniawska-Joerges & Wolff, 1991).

In 1977, Zaleznik challenged the traditional view of management with a paper that introduced the theory that there is a significant difference between managers and leaders. He argued that when the business world created managers, it also encouraged a shift to groups over individual leaders. While managerial leadership can ensure that an organization is run efficiently, with stability and a balance of power, it also has the potential to stifle innovation and creativity. Zaleznik (1977) went on to outline the fundamental differences between managers and leaders, explaining that they were, in effect, two very different kinds of individuals. The source of this difference is in their underlying concepts of order and chaos. Managers want to impose control, provide stability and to solve problems, whereas leaders are much more comfortable in an environment that lacks structure, where they can create action instead of react to situations.

These two fundamentally different approaches have a significant impact on one's willingness to take risks. In Zaleznik's (1977) opinion, managers are typically risk adverse in response to their survival instinct, and therefore strive to create environments that are stable. As a result, they are willing to tolerate mundane work. Leaders, on the other hand, abhor the tedious and thrive on tackling the unknown. They therefore require an environment that is stimulating, creative, and encourages the imagination. According

to Zaleznik, "we need competent managers but long for great leaders" (p. 68). The

response from the business community to Zaleznik's paper was strong and opinionated,

with most business leaders disagreeing with his sharp distinctions between managers and

leaders (Kane et al., 1977). Kane et al. (1977) cite J. Fred Bucy, then President of Texas

Instruments:

> I disagree completely with the premise that distinguishes the manager from the
>
> leader and says, in effect, that an individual cannot fulfill both roles. This is
>
> nonsense. A combination of strong leadership and excellent managerial
>
> capability is required for success. (p. 148)

Thus began a debate that has now endured for over 30 years: What is the

difference between management and leadership? To begin with, there is a lot of

confusion around the use of the terms management and leadership, as well as the terms

manager and leader (Bennis & Nanus, 1985; Kotter, 1990, 2001; Kotterman, 2006; Toor

& Ofori, 2008; Zaleznik, 1977). The terms are often used interchangeably, especially in

business (Toor & Ofori, 2008). Unfortunately, the transposable use of the terms can lead

to operational complications and uncertainty by leaders and managers regarding their

respective roles. According to Kotter (1990), the source of this confusion may stem from

different levels of understanding of the two concepts. Management, which has been

extensively researched and reported on, is well understood. Leadership research, on the

other hand, has resulted in multiple conflicting theories of leadership, and the concept as

a whole is poorly understood. This can best be illustrated by an often quoted statement

by Bass (1981): "There are almost as many different definitions of leadership as there are

persons who have attempted to define the concept" (p. 7). The business world is not the

only sphere in which this quandary has relevance. Confusion over the use of the terms also has an impact on research. Kotterman (2006) suggests that without a better understanding and definition between the two concepts, research accuracy and precision may be compromised.

Continuing research into the distinctions between management and leadership will be crucial for organizations in developing their human capital (Kotter, 2001; Kotterman, 2006; Toor & Ofori, 2008). Kotter (2001) argues that some individuals have leadership ability and some have strong management skills, but to prepare top executives, they need to develop both. It takes an understanding of the fundamental differences, however, to train potential senior executives on the respective attributes of each. Without this understanding, organizations may have a difficult time in identifying, developing and preparing their top talent for the right jobs (Toor & Ofori, 2008). According to Kotterman (2006), "if you can't define leadership or management, you can't measure, test, make assessments, or consistently hire or promote for them" (p. 13).

Another concern is that programs to develop both managers and leaders could be encumbered by a lack of understanding about the differences between the two approaches (Rees & Porter, 2008; Toor & Ofori, 2008; Zaleznik, 1977). Rees and Porter (2008) argue that there is currently a strong market appeal to leadership, and many management education programs are trying to rebrand themselves as leadership programs to capitalize on the current fascination with leaders. They identify four potential risks as a consequence of this rebranding. First, there may be a diminished emphasis on the key management skills required by those in senior positions. Additionally, there is danger in focusing on generic leadership skills and minimizing the situational aspects of leadership.

In concert with the focus on generic leadership skills, the differences between task leadership and process leadership may be minimized. Finally, the pathways to leadership or managerial positions may be confusing and not clearly identified.

While there is general agreement that differences do exist, there is a sharp disagreement on the degree of overlap (Yukl, 1989). In a study of three large organizations, Borgelt and Falk (2007) found that there was significant confusion regarding the differences between management and leadership, particularly in understanding when a specific approach should be used and how the two approaches should coexist. Kotterman (2006) suggests that there is recognition that the functions of management and leadership are conceptually different, but that there is lack of acceptance on exactly what the functional differences are and when it is appropriate to adopt a different role: "Understanding the differences between leadership and management can ensure that employees know when and how to apply each set of characteristics for given processes" (p. 17).

Defining the Concepts

Establishing the specific differences between management and leadership has proven to be difficult. According to Rees and Porter (2008), "the distinction between leadership and management is difficult to define exactly, if only because there is no commonly agreed definition of the term leadership. There is also considerable overlap between the terms leadership and management" (p. 242). This, however, has not prevented researchers and business writers from trying to define the two (Hickman, 1990; Kotter, 1988, 1990, 2001; Kotterman, 2006; Kumle & Kelly, 2000; Maccoby, 2000; Toor & Ofori, 2008; Zaleznik, 1977).

One of the easier ways that authors have described the differences between management and leadership is through the use of metaphors (See Table 1). By using a metaphor, authors are able to employ a figure of speech as a way to compare and contrast the two concepts and make a distinction that is easily understandable to the reader.

Table 1

Metaphors Used to Describe the Differences Between Leadership and Management

Quote	Author
Leadership is a philosophy that manifests itself in a way of life, whereas management is an identifiable process	Gokenbach, 2003, p. 8
Management is efficiency in climbing the ladder of success; leadership determines whether the ladder is leaning against the right wall	Covey, 2004, p. 101
Managers make the trains run on time, but it is leaders who decide the destination as well as what freight and passengers the trains carry	Perloff, as cited in Toor & Ofori, 2008, p. 65
Managers are people who do things right and leaders are people who do the right thing	Bennis & Nanus, 1985, p. 20

Another method used by authors is description of the different approaches taken by leaders and managers. For example, Kotter (1990) compares management to leadership in terms of how each approaches the following key processes: (a) creating an agenda, (b) developing a human network for achieving the agenda, (c) execution, and (d) outcomes (See Table 2). As his comparison shows, Kotter believes that the main focus of management is to produce consistency and order, whereas leadership produces movement.

Table 2

Comparing Management and Leadership

	Management	Leadership
Creating an Agenda	Planning and Budgeting – establishing detailed steps and timetables for achieving needed results, and then allocating the resources necessary to make that happen	Establishing Direction – developing a vision of the future, often the distant future, and strategies for producing the changes needed to achieve that vision
Developing a human network for achieving the agenda	Organizing and Staffing – establishing some structure for accomplishing plan requirements, staffing the structure with individuals, delegating responsibility and authority for carrying out the plan, providing policies and procedures to help guide people, and creating methods or systems to monitor implementation	Aligning People – communicating the direction by words and deeds to all those whose cooperation may be needed so as to influence the creation of team and coalitions that understand the vision and strategies and accept their validity
Execution	Controlling and Problem Solving – monitoring results vs. plan in some detail, identifying deviations, and then planning and organizing to solve these problems	Motivating and Inspiring – energizing people to overcome major political, bureaucratic, and resource barriers to change by satisfying very basic, but often unfulfilled, human needs
Outcomes	Produces a degree of predictability and order, and has the potential of consistently producing key results expected by various stakeholders (e.g., for customers, always being on time; for stockholders, being on budget)	Produces change, often to a dramatic degree, and has the potential of producing extremely useful change (e.g., new products that customers want, new approaches to labor relations that help make a firm more competitive)

Note. From *A Force for Change: How Leadership Differs From Management* (p. 6), by John P. Kotter (Exhibit 1.1, p. 6). Copyright © 1990 by John P. Kotter, Inc. Reprinted by permission of Free Press, a Division of Simon & Schuster, Inc. All rights reserved.

Hickman (1990) follows a similar path, describing a management-oriented versus leadership-oriented continuum. At one end of the range are managers who tend to be analytical, structured, controlled, deliberate, and orderly, and at the other end are leaders who are more experimental, visionary, flexible, uncontrolled, and creative. Hickman goes on to discuss the different managerial versus leadership attitudes that are adopted in the following five key areas: (a) competitive strategy and advantage, (b) organizational culture and capability, (c) external and internal change, (d) individual effectiveness and style, and (e) bottom-line performance and results.

In exploring the first key area, the *competitive strategy and advantage continuum*, Hickman (1990) uses specific words that emphasize the two extremes to illustrate the attitudinal differences between managers and leaders over eight different dimensions (see Figure 1):

Management-oriented		Leadership-oriented
Strategy	⟷	Culture
Danger	⟷	Opportunity
Version	⟷	Vision
Isolate	⟷	Correlate
Solutions	⟷	Problems
Markets	⟷	Customers
Rivals	⟷	Partners
Incremental	⟷	Sweeping
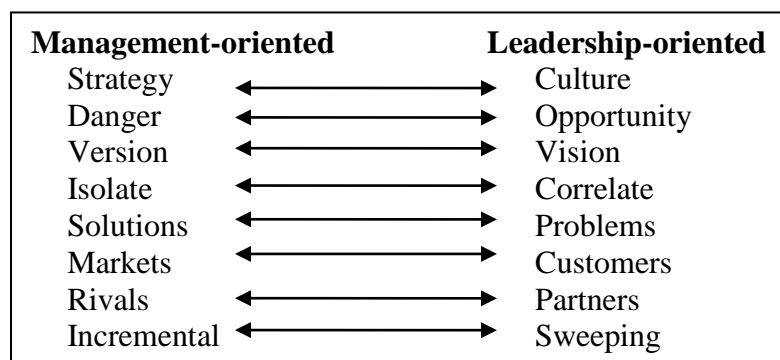
Figure 1. Manager-leader continuum for competitive strategy/advantage. *From Mind of a Manager, Soul of a Leader* (p. 8), by C. R. Hickman, 1990, United States of America: John Wiley & Sons. Copyright (1990) by John Wiley & Sons. Reprinted with permission.

Looking at the first dimension listed, Hickman (1990) suggests that while managers are more focused on the strategic imperatives in the strategy-culture paradigm, leaders place their attention on the cultural values in the strategy. Comparing the

differences on the danger-opportunity dimension, managers will remain alert to the danger or failure prevention part of the strategy, while leaders will be very in tune with the opportunities that the strategy provides. This comparison of the different attitudinal approaches continues for the other six dimensions in this continuum and in the other four continuums as well. Hickman argues that very few individuals have styles that place them at either extreme end of the continuum, and that most "possess some combination of management and leadership orientations with an overall preference for one or the other" (p. 8)

As the examples demonstrate, most authors see management and leadership as two very different and distinct concepts (Bass, 1985; Bennis & Nanus, 1985; Buckingham, 2005; Hickman, 1990; Kotter, 1990, 2001; Kotterman, 2006; Kumle & Kelly, 2000; Maccoby, 2000; Rees & Porter, 2008; Yukl, 1989; Zaleznik, 1977). Kotter (1990) acknowledges that the two skill sets are similar in that "they both involve deciding what needs to be done, creating networks of people and relationships that can accomplish an agenda, and then trying to ensure that those people actually get the job done" (p. 5). He goes on to say that their differences, however, are related to something very fundamental: their primary functions. The primary function of managers is to ensure that results are achieved through order and efficiency, whereas a leader's primary function is to create significant useful change. In a later publication, Kotter (2001) sums up the difference very succinctly when he describes management as coping with complexity and leadership as coping with change.

Leadership and Management: Distinct or Interrelated?

One of the downsides of drawing clear distinctions between the functions of management and leadership is that many of the descriptions portray management as somehow bad and leadership as good (Hay & Hodgkinson, 2006; Hickman, 1990; Kotterman, 2006; Kumle & Kelly, 2000; Zaleznik, 1977). Kumle and Kelly (2000) discuss leadership and management as opposite ways to approach employee supervision. They characterize leadership by describing actions such as creating a trust-based environment, with open and honest communication, and placing people first with no hidden agendas. They contrast that with management, which they describe as controlling through the use of fear, limiting communications to a need to know basis, and working through small groups instead of gaining input from everyone. In discussing the symbolic functions of each, Czarniawska-Joerges and Wolff (1991) describe a leader as someone who controls fate and brings about change, and a manager as one who controls entropy by keeping order and acting as the enemy of creativity and change. Maccoby (2000) uses the example of the comic strip Dilbert® to illustrate the perception of management as bad and frustrating. This perception persists, according to Capowski (1994), because most everyone has experienced a bad manager in his or her career, but very few have had the opportunity to work for a great leader.

Even when the distinction does not specifically portray management as bad, very often the descriptions suggest that managers are not as important as leaders. Hay and Hodgkinson (2006) suggest that there is a predisposition to see leadership as superior to management. Often it appears that the goal is to make leaders out of managers, but not vice versa, because "…managers are earthbound and ordinary. Leaders reach for the

stars" (Leavitt, 2005, p. 138). Rees and Porter (2008) describe the difference between managers and leaders as a function of how they have achieved their position, with leaders relying on popular support while managers are appointed. In contrasting the approaches of leaders and managers, Yukl (1989) describes the distinction as leaders using their influence to gain commitment from others, while managers merely perform their responsibilities and exercise authority. When discussing change, Maccoby (2000) highlights the role of the leader as the change agent, while the role of the manager is described as administrative. In discussions on transformational and transactional leadership, where the transactional approach is considered closer to a managerial approach, Bass (1985) states: "to be transactional is the easy way out; to be transformational is the more difficult path to pursue" (p. 26).

Summarizing the idea that a clear distinction between the two concepts can lead to the perception that management is not as important as leadership, Mangham and Pye (1991) assert:

> It results in nothing more than a vague feeling that managing is something rather mundane, looking after the nuts and bolts of the enterprise and leading is something special and precious undertaken by the really important people in the enterprise. (p. 13)

Hickman (1990) goes so far as to suggest that some managers, wary of the perceptions associated with management, try to avoid the characterization of manager and may attempt to undermine leaders by denigrating their leadership image. On the other hand, leaders also play a role in accentuating the difference by exhibiting a patronizing behavior towards what they consider the necessary evil that is management. Hickman

goes on to point out that this natural tension between managers and leaders can create an adversarial environment, where managers work to inhibit the creativity of leaders and leaders discount the value of managers.

Many of these same researchers, however, see management and leadership as complimentary with interrelated skills (Capowski, 1994; Gokenbach, 2003; Hay & Hodgkinson, 2006; Kotter, 1990, 2001; Mangham & Pye, 1991; Rees & Porter, 2008; Robbins, 2002; Yukl, 1989). Kotter (1990) asserts that the two functions share similarities; specifically, that both focus on making decisions about what needs to be accomplished, and rely on relationships with individuals and networks to ensure that the work gets done. The difference is that leaders and managers approach these challenges differently. These different approaches, however, are complementary systems of action and both are needed to achieve success. Gokenbach (2003) has a similar attitude and suggests that it is management that provides the structure that allows successful leadership to emerge. For example, because leadership is primarily focused on facilitating change, it requires the use of certain fundamentals to affect transformation such as change theory and process analysis, both of which are managerial skills.

As mentioned earlier, metaphors are used to help illustrate the relationship between managers and leaders. Several authors have used human dimensions to depict the complimentary yet interrelated nature of the two roles. Both Hickman (1990) and Capowski (1994) consider managers to be the *mind* of the organization, whereas leaders are the *soul*. Robbins (2002) follows a similar construct by referring to managers as the *brains* and leaders as the *heart*. All three authors use this type of metaphor to explain the necessity of having both the more pragmatic characteristics of the manager balanced with

the idealistic nature of the leader. As discussed earlier, Hickman (1990) describes the relationship between leadership and management on a continuum, and states that the words *leader* and *manager* are really metaphors that signify the extreme ends of this scale. He suggests that the two skills are interrelated by the fact that most individuals reside somewhere in between the two ends and exhibit some combination of both. Borgelt and Falk (2007) also see a leadership/management continuum, and propose four different configurations that represent slightly different functions: (a) leadership in a leadership configuration (LLC), (b) management in a leadership configuration (MLC), (c) leading in a management configuration (LMC), and (d) managing in a management configuration (MMC). They suggest that this continuum demonstrates how leadership and management can coexist and work together for the benefit of the organization.

Other authors see a much stronger correlation between the two roles, even suggesting that leadership is an aspect of management (Hay & Hodgkinson, 2006; Mangham & Pye, 1991). Hay and Hodgkinson (2006) assert that it may be beneficial to think of leadership as a facet of management rather than a separate activity. According to their research, managers are often called upon to both lead and manage simultaneously, resulting in extensive overlap between the two activities. They suggest that singling out leaders as a separate group can create problems and that it may be more useful to consider leadership as integral to management. Mangham and Pye (1991) take a similar approach and argue that leading should not be considered an independent and unique activity from managing, but that it is, in essence, an element of managing. On the other hand, Kotter (1990) disagrees with this approach: he sees leadership and management as "complete action systems; neither is simply one aspect of the other" (p. 5).

Still other authors seek to find a blending of the two skills, and often use such terms as managerial leadership, leader/manager or manager/leader (Gardner, 1990; Leavitt, 2005; Maccoby, 2000; Yukl, 1989). Gardner (1990) states that he is bothered by this need to distinguish between leaders and managers and that it may not be appropriate in every circumstance: "Every time I encounter utterly first class managers they turn out to have quite a lot of the leader in them" (p. 4). He believes that there are leaders and leader/managers, and that they differ from traditional managers in several respects, including their long term views and how they reach and influence people. Maccoby (2000) believes that there are really two kinds of leaders; strategic (focused on the long term vision) and operational (focused on implementing the vision). Hay and Hodgkinson (2006) suggest that by reintegrating leadership and management, a more realistic perspective of leadership can be gained that better reflects organizational realities.

A Balanced Approach

Although there is much disagreement about the degree of distinction between management and leadership, most scholars agree that it takes both sets of skills for an organization to be successful (Capowski, 1994; Hickman, 1990; Kotter, 1990, 2001; Kotterman, 2006; Maccoby, 2000; Mintzberg, 2009; Robbins, 2002; Toor & Ofori, 2008; Zimmerman, 2001). Finding the right balance between the two functions, however, is important. According to Kotter (1990), there are significant risks when either leadership or management become dominant within an organization at the expense of the other.

An early study by Kotter (1990) strongly suggested that the most prevalent organizational dynamic is to be over-managed and under-led. In a subsequent article, he went on to claim that most U.S. companies follow this pattern (Kotter, 2001). Under this

scenario, organizations become rigid, lacking in innovation, and unable to adequately

respond to changes in their markets, emerging competitive pressures, and technological

advances. Over time, they become bureaucratic and repressive, and the goal of

maintaining order and control is paramount. Kotterman (2006) claims that in over-

managed organizations, training managers in leadership skills is worthless because

managers lack the necessary organizational support to be successful; when they try to

lead they are not permitted to do so because what they are expected to do is manage. As

a result, many organizations may be preventing good leaders from emerging (Capowski,

1994).

In contrast, organizations that are over-led and under-managed exhibit their own

unique problems. Over-led institutions tend to place too much emphasis on the leader,

often becoming cult-like and focused on constant change (Kotter, 1990). According to

Kotter, respondents tended to view the strong leader/weak manager dynamic in a

negative light, indicating that they believed that those individuals often cause more

disruption and problems than they resolve. It appears that strong leadership with weak

management may be more detrimental to an organization than the opposite (Kotter,

2001). Mintzberg (2009) goes so far as to contradict Kotter's (1990) earlier assessment

that U.S. businesses are over-managed. He proposes that the financial crisis in the late

2000s was a direct result of leadership being too disconnected from the function of

management: "U.S. businesses now have too many leaders who are detached from the

messy process of managing. So they don't know what's going on. We're over-led and

under-managed" (Mintzberg, 2009, p. 68). His position is that although the trend is to

separate leaders from managers, it does not work in practice. He goes on to suggest that

this dysfunctional approach is driven by the current prominence now given to leadership, which encourages leaders to be more focused on impressing outsiders rather than focusing on what is going on within the organization. Kiechel (1988) argues that leaders have significantly less impact on organizations than they are given credit for, and suggests that as management becomes increasingly more participative, leaders will become less necessary.

Based on study results, Kotter (1990) concludes that both leadership and management skills are required for an organization to reach and maintain success. He suggests that the ideal situation is having both strong leadership and strong management, and using both skill sets to balance each other (Kotter, 2001). Robbins (2002) agrees that it takes both to run a successful organization, with leadership outlining the direction and management creating the systems that support growth. As argued by Capowski (1994), assigning labels to managers and leaders is not beneficial because "an effective executive needs a combination of both qualities" (p. 13). It appears, however, that a limited number of individuals are proficient at both skills. Research by Kotter (1990) showed that over 95% of the people surveyed in his study indicated that their organizations had too few individuals that were strong in both leadership and management.

One approach to addressing this problem is to promote leadership at all levels of the organization (Capowski, 1994; Mintzberg, 2009; Toor & Ofori, 2008). Toor and Ofori (2008) propose that managers must improve their leadership skills. To accomplish this, organizations need to incorporate approaches that help to develop their managers into individuals who can lead. Capowski (1994) agrees that better leadership and management is required, and that more leadership is needed at every level of the

organization: "Managers these days have to be leaders; there's no getting around it" (p.17). Mintzberg (2009) sums up this approach: "Instead of distinguishing leaders from managers, we should encourage all managers to be leaders. And we should define leadership as management practiced well" (p. 68). Not everyone agrees, however, that this is the right approach. Hickman (1990) disagrees with the premise that all managers should become more leader-oriented. His position is that individuals demonstrate a propensity towards either management or leadership, and that both types of individuals should be valued. He believes that by emphasizing the unique strengths of each, the weaknesses of both can be minimized.

Zimmerman (2001) posits that managers distinguish themselves from other managers when they make the decision to either lead, manage, or use a combination of the best elements from each skill set to achieve exceptional results. Unfortunately, how best to establish this balance of skills is still unclear. According to Kotterman (2006), although it is agreed that organizations require both leadership and management to succeed, the roles of each are not clearly understood and the optimum balance between the two skill sets has yet to be established. Toor and Ofori (2008) suggest that studies should be undertaken to determine how effective leaders find the right equilibrium between management and leadership, and how they use that balance to influence others.

The Changing Role of Middle Managers

This balance between management and leadership skills is particularly relevant for middle managers due to their position in the organization, situated midway between the senior management team and the front line supervisors (McGurk, 2009a). For many years, the role of a middle manager within the hierarchical structure was to promote

coordination and provide stability to the organization. Increasingly rapid changes in the competitive environment, escalating customer pressure and the advent of information technology, however, have resulted in less hierarchical and more responsive organizations.   This in turn has triggered a shift in the responsibilities of middle managers (Caldwell, 2003; Floyd & Wooldridge, 1996). In this new organizational environment, middle managers must be proficient at coping with uncertainty and ambiguity, while exhibiting more flexibility and adaptability in their interactions with both their managers and subordinates (Dopson & Stewart, 1990; Klagge, 1998; McDermott, 1995; Zemke, 1994). The use of command and control approaches to influence others is no longer effective and must be replaced with more leadership-style skills such as coaching and empowering to encourage involvement and gain commitment (Antonioni, 2000; Caldwell, 2003; Haneberg, 2005; McDermott, 1995). In organizations today, leadership is no longer a skill only required for those at the top of the organization (Johnson, 2009; McGurk, 2009b; Sethi, 1999).

Why Middle Management Has Changed

Starting in the late 1980's, there was a fundamental shift in the economic environment and the growth rate of the economy started to decline. At the same time, organizations were being pressured to respond more rapidly to external factors, causing the rate of change to increase significantly (Floyd & Wooldridge, 1994, 1996). These changes precipitated an evaluation of how organizations were run. Kotter (1990) explains that aspects of the internal and external environment influence the balance of management and leadership. For example, increased management is required as organizations increase in size and complexity. On the other hand, as factors in the

marketplace become more ambiguous and fast moving, the demand for leadership intensifies. During this period of significant external upheaval, top management teams began to evaluate the need for layers of management between decision makers and stakeholders.

Once considered a vital part of the organization, middle managers found themselves the object of scorn and ridicule. Derided as risk adverse and unimaginative, and categorized as waste, overhead, and gatekeepers, the value of middle managers was questioned (Haneberg, 2005; McDermott, 1995; Sethi, 1999; Stoker, 2006; Yukl & Lepsinger, 2005). Eventually the general consensus emerged that middle management mostly served to slow things down (Floyd & Wooldridge, 1994). At a time of increased pressure to meet the rapidly changing demands of the external environment, it became clear that organizations could no longer afford to have individuals that functioned as gatekeepers and paper pushers (Johnson, 2009). Failing to recognize the multiple operational responsibilities and range of contributions made by middle managers, senior level executives eliminated entire layers of management (Floyd & Wooldridge, 1994, 1996).

As organizations flattened their hierarchies through downsizing and restructuring, the number of mid-level managers declined. This prompted speculation that the future for middle managers was disappearing (Dopson & Stewart, 1990; Gratton, 2011; Johnson, 2009; Stoker, 2006). This belief was further exacerbated by the introduction of information management technologies that could perform many of the reporting and monitoring functions previously done by middle managers (Dopson & Stewart, 1990; Gratton, 2011; Johnson, 2009). Lower level and younger workers also responded

negatively to the traditional command and control model of the middle manager. In particular, young technology-savvy employees resist a reporting structure that uses a person to monitor their activities when technology or team management could be used instead (Gratton, 2011). Yet, the hierarchical structure in organizations still persists and there remains a need for a layer of management between senior management and front line supervisors (Floyd & Wooldridge, 1996; Leavitt, 2005). As a result, the role of the middle manager is in the process of being redefined. According to Zemke (1994), middle managers are not going to disappear, but "the old compact between the organization and middle management has irrevocably changed" (p. 42).

Increasing Leadership Responsibility

As the traditional role of the middle manager fades away, a new role is emerging; one as a middle- or center-leader (Dopson & Stewart, 1990; McDermott, 1995). Those at the top of organizations recognized that even as they downsize and flatten the hierarchical structure, they still need to effectively use their human capital to best meet the demands of a new global economy (Kuratko, Ireland, Covin, & Hornsby, 2005). As a result, they are increasingly looking to their middle managers to assume more leadership responsibilities and behaviors. For example, to meet the increasingly dynamic and demanding external environment, senior level managers expect their mid-level managers to be comfortable with ambiguity and uncertainty and more flexible in their approach (Dopson & Stewart, 1990; Zemke, 1994).

This demand for more leadership by middle managers is being driven by both those at the top of the organization as well as the bottom (McDermott, 1995). Whereas senior level managers are looking for middle managers to take on more leadership

responsibilities, lower level employees expect an enhanced level of engagement from their managers. As reported by McDermott, issues such as improved communication about the future, more empowerment in their jobs, and coaching are all expectations that lower level supervisors and managers now have of their direct bosses. Expanding the leadership behaviors by middle managers appears to make a significant difference in how lower level employees perform. In a study by Yang et al. (2010), it was shown that transformational leadership by the senior team has very limited direct impact on the performance of employees lower in the hierarchy, whereas the leadership skills of middle managers has a direct effect.

One of the major factors driving middle managers to assume more leadership behaviors and responsibilities has been the increased adoption of teams within organizations (Larson & LaFasto, 1989). Teams, frequently consisting of mid-level managers from throughout the organization, often utilize a shared leadership approach, distributing the leadership responsibilities among the different team members (Pearce et al., 2008). The defining characteristic of shared leadership is the full engagement of all team members as active leaders of the team. This approach shifts control from a single leader to multiple leaders, taking advantage of various strengths within the group. It also requires team members to utilize more leadership oriented skills such as motivational behaviors, enhanced communications and team building (Klagge, 1997).

Identifying, understanding and incorporating more leadership oriented skills are the challenges that face most mid-level managers in their new role as center leaders. In response to this paradigm shift, many authors have tried to identify the leadership skills that are required. They highlight skills such as coaching, strategic thinking, team-

building, providing a vision and improving communication as leadership competencies that middle managers need to incorporate into their interactions with subordinates (Floyd & Wooldridge, 1994; Gratton, 2011; Haneberg, 2005; Sethi, 1999; Viitanen & Konu, 2009).

While many authors have provided insight into the myriad of leadership skills mid-level managers should incorporate into their new role, both middle managers and senior level managers still seem to be confused. According to Carroll and Levy (2008), both groups understand that middle manager roles are changing and that they need to incorporate more leadership tasks and behaviors into their interactions, however, the concept of leadership is not always straightforward and easy to comprehend. The authors conducted a study that examined how a leader-identity emerges in relationship to an established manager-identity. They discovered through interviews with senior leaders and upper level managers involved in leadership training programs that most participants could provide very specific definitions of management but their definitions for leadership were extremely vague. In fact, most definitions of leadership were created by comparing and contrasting the tasks and behaviors with management. The authors concluded that while the managers in their study were enthusiastic about becoming leaders, they were unable to grasp the concept of leadership in isolation from management.

This confusion also extends to how those at different levels of the hierarchy perceive the responsibilities, tasks and behaviors of middle managers. In a study conducted by Stoker (2006), it was found that employees, middle managers and general managers each differed in their perceptions of the competencies exhibited by middle managers currently, and on the skills that will be required in the future. In identifying the

top three current competencies, general managers and middle managers listed the same three skills (albeit in slightly different ranking), but employees only listed one common competency, indicating that employees do not yet perceive the same behaviors in their managers. In looking forward, general managers only preserved one current skill on their top three list and added two new ones for the future, signifying that they expect a further shift in competencies. When specifically evaluating the leadership styles of middle managers, middle managers ranked themselves significantly higher in the use of coaching and consultative leadership than did either general managers or employees. Finally Klagge (1998), in a case study designed to identify the self-perceived development needs of middle managers, found considerable turmoil in an organization after significant reorganization and downsizing. In particular, a survey of both senior level and middle level managers showed that the most prevalent area of confusion was over the responsibilities of middle managers.

Balancing the Leadership and Management Roles

One possible contributing factor to this confusion regarding the responsibilities of middle managers is the tendency to interchange the terms management and leadership as discussed earlier. As described by McCartney and Campbell (2005), "the semantics problem really becomes an issue when one is searching for a term to describe an individual possessing a combination of management and leadership skills that may reside at various levels in an organization" (p. 199). Unfortunately, according to Yukl and Lepsinger (2005), the controversy over leadership versus management persists because scholars have used such constricted definitions of each that it has become difficult to comprehend how the two skills can be effectively integrated. In response, several authors

have attempted to create new or hybrid terms to capture the unique attributes of middle managers that combine both management and leadership skills. Terms such as middle- or center-leader attempt to highlight how managers can effectively lead from a mid-level position (Dopson & Stewart, 1990; McDermott, 1995; McGurk, 2009a). Others have suggested manager/leader, leader/manager, and managerial leader in an effort to identify those managers that have the ability to combine both skills (Gardner, 1990; Leavitt, 2005; Maccoby, 2000; Yukl, 1989). No matter the label, the search for a better term signals the need for a new role definition that clearly communicates the emerging hybrid nature of the middle manager as a leader (Buchen, 2005).

One area where middle managers are experiencing difficulty is in completely identifying with the leadership role. Viitanen and Konu (2009) conducted a study of leadership styles used by middle managers in healthcare. One of their observations was that the turbulent demands of the healthcare environment require middle managers to become proficient in change management and fostering cross organizational relationships. Yet it was rare, especially in light of the expectations that middle managers identified with the leadership styles that support these types of activities. One change that may help middle managers embrace more of a leadership identity is to create job descriptions that clearly recognize the leadership approaches now required. Buchen (2005) points out that while most middle manager job descriptions provide alignment between their managerial goals and roles, the new expectations of leadership require mid-level managers to exceed the stated parameters of that job description, creating confusion about their responsibilities.

The ability to balance both leadership and management skills is especially important for middle managers (Balogun & Johnson, 2004; Huy, 2002; McGurk, 2009a). As stated by McGurk (2009a), "more than front line managers or senior managers, middle managers require a fine balance of management and leadership skills" (p. 465). Antonioni (2000) asserts that for middle managers to be successful, their skill in managing should be balanced equally with skills in leading and coaching. In fact, it is exactly this ability to balance the sometimes conflicting skills of management and leadership that ultimately differentiates those managers that achieve success from other managers that get sidelined (McCartney & Campbell, 2006). In an effort to explain why some high potential individuals achieve success while others are derailed, McCartney and Campbell suggest that an appropriate mix of both management and leadership skills leads to individual success. They propose a model that illustrates how promising employees can have various combinations of management and leadership skills, and suggest that the optimal mix of skills may shift as an individual assumes increased responsibilities within the organization (See Figure 2).

	Successful Combination of Skills	Successful Combination of Skills
H Candidate for Development	Successful Combination of Skills	Successful Combination of Skills
M Likely Derailed	Candidate for Development	Successful Combination of Skills
L Likely not Selected	Likely Derailed	Candidate for Development

Managerial Skills

L   M   H

Leadership Skills
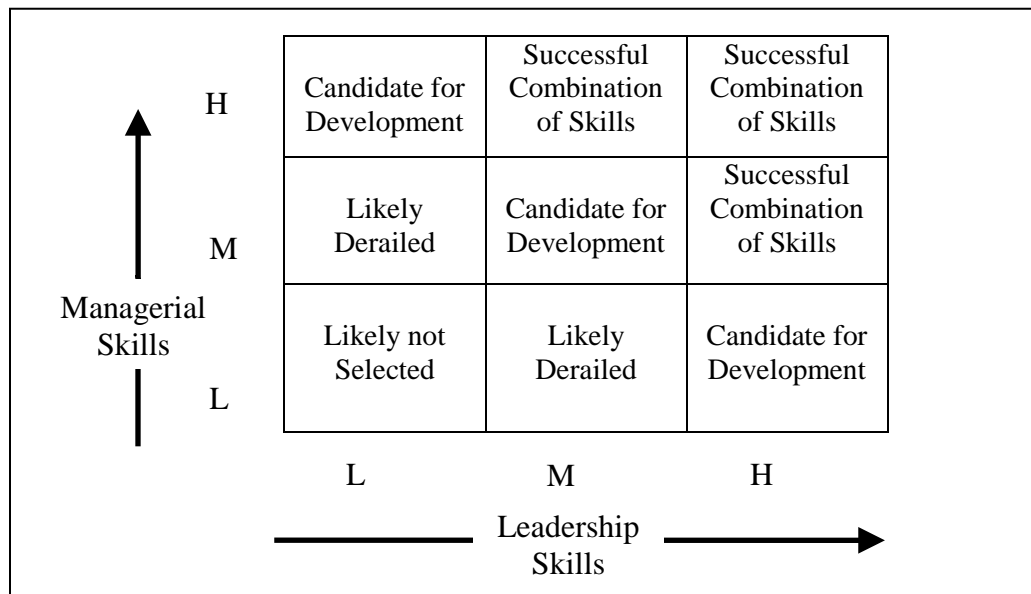
Figure 2. A model of individual success and failure. From "Leadership, Management, and Derailment by W. W. McCartney and C. R. Campbell, 2006, *Leadership & Organizational Development Journal, 27*(3), p. 192. Copyright 2006 by Emerald Insight. Reprinted with permission.

Those individuals who are considered to have a successful combination of skills demonstrate at least high proficiency in one skill and medium in the other, whereas employees with either low/high or medium/medium skill levels are candidates for development. The model also illustrates how the lack of either a sufficient degree of leadership or management skills can prevent selection for additional responsibilities or ultimately derail a promising employee from achieving further success (McCartney & Campbell, 2006).

Middle Managers as Change Leaders

One area where middle managers demonstrate a particularly relevant balancing of leadership and management skills is in leading change (Dopson & Stewart, 1990; Huy, 2002; Kanter, 1986; McGurk, 2009a; Sethi, 1999). In fact, when it comes to facilitating

radical change, middle managers are at least as important to the process as senior managers (Huy, 2002).

Embracing responsibility as a change leader is one way that middle managers are redefining and update their role. As early as the mid-1980s, Kanter (1986) called for mid-level managers to become change masters, increasingly proficient in combining ideas with actions, in an effort to restructure the role of the middle manager. McDermott (1995) concurs by saying, "as [middle managers] work to restructure and revitalize their roles, they will begin to lead change instead of just reacting to it" (p. 40). Middle managers will have to incorporate more innovative approaches to leading along with change management competencies as a way to stay relevant as the turbulence in the environment increases (Viitanen & Konu, 2009).

As organizations become more complex and the external environment becomes more dynamic, the role of middle managers in both managing and leading change becomes more vital (Caldwell, 2003). It is precisely their middle position within the organization that provides the ability to both translate change initiatives initiated at the top into specific actions to be implemented and at the same time use their understanding of customer and employee needs to promote new ideas up to senior management. As described by Floyd and Wooldridge (1994), middle managers often function similar to the accordion center in a divided bus; able to overcome the rigidity of the vehicle while assuring that the front and back head in the same direction.

Floyd and Wooldridge (1994, 1996) propose a model that illustrates the key role middle management plays in influencing the quality of strategic planning, a crucial component in successful change initiatives. Their model outlines four roles that middle

managers play in strategic planning, defined by both upward and downward influence, and integrative and divergent thinking (see Figure 3).

		Behavioral Activity	
		Upward Influence	Downward Influence
Cognitive Influences	Divergent	Championing Strategic Alternatives	Facilitating Adaptability
	Integrative	Synthesizing Information	Implementing Deliberate Strategy

Figure 3. A Typology of Middle Management Roles in Strategy. From Dinosaurs or Dynamos, by S. W. Floyd and B. Woolridge, 1994, *Academy of Management Executive* 8(4), p. 50). Copyright 1994 by Academy of Management. Reprinted with permission.

As part of their role in influencing senior executives, middle managers often act as frontline entrepreneurs by championing strategic alternatives (Floyd & Wooldridge, 1994). By identifying and evaluating new opportunities and providing the resources to test the ideas prior to making any formal recommendations, middle managers must lead in fostering cooperation and support early in the process as the project does not yet have formal backing. Through this process, middle managers are often able to present to senior executives a tested and credible proposal. This concept of middle managers as entrepreneurs has gained traction in recent years. Kuratko et al., (2005) suggest that middle managers act as internal entrepreneurs by endorsing, refining and shepherding opportunities in the organization. Middle managers are uniquely positioned to evaluate

and promote ideas that emerge from lower levels in the organization, and to shape those opportunities into a form that makes sense for the organization.

Another way that middle managers shape strategy development is by *synthesizing information* that is presented to the top level. In deciding what information should be presented, and in how that information is framed, middle managers exert a high level of influence on the way information is perceived by the senior level executives. This ability to synthesize and present information is often critical "in encouraging overly cautious top management teams to take needed risks" (Floyd & Wooldridge, 1994, p. 50).

In addition to their influence on senior management, middle managers have a significant impact on how well change and strategic initiatives are adopted by their subordinates. In their most commonly understood role, middle managers *implement deliberate strategy*, those initiatives outlined by senior level executives. Beyond straightforward implementation, however, middle managers constantly adjust the strategic direction based on new emerging information and as conditions evolve. Many of these emergent events are not anticipated by the senior level team, and it is important that middle managers take the lead in intervening and making changes when necessary to insure that the goal is achieved (Floyd & Wooldridge, 1994). This is particularly important in geographically dispersed organizations. According to Balogun and Johnson (2004), even though senior management may have established a new strategic direction, it is middle managers that must do the *sensemaking* in the absence of senior management, and are therefore the real active directors of change.

Finally, middle managers play a very important role in *facilitating adaptability* among employees during times of change. According to Huy (2002), radical change

precipitates extremely powerful emotions as individuals try to understand what the change means to them. Middle managers, because they work more closely with the organization's employees, are more in tune with their subordinates emotional needs and responses. This closer relationship and more in-depth understanding helps middle managers maintain continuity by providing emotional support during times of great uncertainty.

In an effort to better understand how middle managers are involved in facilitating change, Caldwell (2003) conducted a study to clarify the skill sets of both change leadership and change management. He found that when dealing with change initiatives, the role of middle managers shifts away from the traditional management approach of *command and control* and embraces more leadership attributes such as encouraging *involvement and commitment*. The addition of these leadership skills are important in bringing together teams and working through the traditional organizational boundaries to ensure that everyone takes more responsibility for encouraging innovation and promoting change initiatives.

The importance of middle managers in initiating and facilitating change will only increase as organizations move away from a rigid hierarchical framework and include more horizontal structures (Caldwell, 2003; Floyd & Wooldridge, 1994). The unique position of middle managers, at the nexus of strategy and operations, provides the necessary insight that enhances their capacity to make sound judgments and increases their ability to lead and facilitate change (Floyd & Wooldridge, 1994, 1996).

Training and Succession Planning

Based on the information presented thus far, it has become clear that middle managers must continually develop both their leadership and management skills to be effective. As discussed earlier, a lack of proficiency in either skill is cause for career derailment (McCartney & Campbell, 2006). While middle managers are more comfortable with their traditional management roles, most recognize that developing their leadership skills is beneficial to both the organization and to their careers. In fact, Johnson (2009) suggests that by developing the leadership skills in middle management, it can help to maximize the success of all employees.

Most leadership development activities today are directed at middle managers. Conger and Fulmer (2003) make the case that leadership development should be combined with succession planning in an effort to build a more robust leadership pipeline. While the majority of succession planning is concerned with training a selected few for the top positions, combining both activities allows the organization to focus attention on the necessary top level skills while at the same time developing an educational system that can benefit all middle managers. In taking this approach, organizations can realize the benefits of having their middle level managers incorporate more leadership skills into their management activities today as well as preparing them for future opportunities.

Leadership and Management in Non-Profit Organizations

While non-profit and for-profit organizations share many characteristics, there are some distinctive leadership and management challenges that non-profits face (Drucker, 1990; Myers, 2004; Nanus & Dobbs, 1999). Among the biggest challenges is the number

and diversity of stakeholders in non-profit organizations, both internal (staff and volunteers) and external (donors, board members, constituents) (Drucker, 1990; Myers, 2004; Nanus & Dobbs, 1999). Each of these stakeholders may have slightly different goals for the organization. In addition, financial constraints can create difficulties ranging from the limited use of traditional motivators (compensation, rewards, and so forth) to forcing difficult decisions on the extent of the services offered (Taliento & Silverman, 2005). These issues pose significant challenges to the managers and leaders in non-profits. Unfortunately, there is very little information to help non-profits deal with their unique issues; most everything is directed towards their for-profit counterparts (Drucker, 1990; Nanus & Dobbs, 1999).

To effectively deal with these challenges, non-profit organizations need to have both good management and leadership skills (Nanus & Dobbs, 1999). According to Stid and Bradech (2009) however, non-profit organizations tend to be out of balance; primarily over-led and undermanaged. In a study, they surveyed senior managers at 30 non-profit institutions and asked them to rate their organizations on a variety of parameters. They found that leadership skills were consistently ranked much higher than management skills by respondents when evaluating their own organizations. They suggest that this tendency to leadership is driven by a chronic shortage of resources that force the organization to focus on activities that require visionary leadership to generate immediate results, such a fundraising and motivating the staff. In addition, having good managerial skills is seldom rewarded; donors are inspired by the mission of the organization, not the fact that it is well run (Stid & Bradech, 2009). In a study conducted by Taliento and Silverman (2005), they interviewed non-profit senior executives known

as *cross-over leaders*, individuals who had previously held leadership positions in the for-profit sector. A key finding was that in non-profits, the dependence on the leader is much greater than in for-profits. One of their interview participants stated: "In the non-profit sector there's much more reliance on the leader, and less developed team and talent underneath. I see under-capacity all over the non-profit sector" (p. 8). Yet, in a study by Ahmed (2005) that reviewed advertised job announcements for CEO positions in non-profits, *leadership* and *overall management* skills were equally listed as essential duties; only fundraising was listed higher.

Non-profit organizations recognize that they need to improve on their management skills and learn how to use management as a tool, which will allow them to better focus on their mission (Drucker, 1990). According to Ahmed (2005), competent leadership alone is not sufficient for addressing the challenges non-profits face; they need good and effective managers as well. Stid and Bradech (2009) argue that this is especially true for non-profits that are founder led. Usually in this scenario, the leader makes most, if not all, of the decisions but often has limited management experience. This can create an environment that feels like constant start-up mode, with the organization relying on the leader's charisma to solve many of the problems that could have been easily avoided by good management. Stid and Bradach go on to suggest that one of the benefits of stronger management is the distribution of decision making. Finally, they conclude that "the challenge is to not only develop effective management capabilities, but to do so without diminishing the mission-based leadership strengths of the organization" (p. 37).

Improving on leadership skills in non-profit organizations is also essential. According to Nanus and Dobbs (1999), "without great improvements in leadership it is

unlikely that nonprofit organizations will be able to meet the challenges they face" (pp. 49-50). Neck, Ashcraft, and VanSandt (1998) assert that current views of non-profit leadership in the literature and in practice place a focus on the importance of executive leadership, and that many non-profit organizations actually practice a top-down leadership approach. This has resulted in a failure to promote leadership capabilities throughout the organization. According to Hesselbein (2004) the great challenge facing non-profits today is how best to develop leaders for the future. She believes that non-profits "need not 'a' leader or 'the' leader, but many leaders dispersing the responsibilities of leadership across every organization" (p. 6). Green (2004) concurs, and suggests that to succeed in the future, non-profits will need leaders at every level of the organization, ready to take action in response to a rapidly shifting environment.

It is clear that one of the major challenges facing non-profit organizations is the need to develop both leadership and management skills throughout their organizations. Unfortunately, according to Myers (2004), this is complicated by the perception that homegrown leaders and managers from within the non-profit sector are not as valuable as those hired from the for-profit sector. An additional complication is lack of funding for training and the belief that a choice must be made between investing in the mission and investing in personnel. In writing about assessments for leadership development in non-profits, Arsenault (2004) discusses the investment mindset of the for-profit sector that encourages and pays for training due to the belief that it will contribute the bottom line; conversely, in non-profits, training is usually left to the individual.

This lack of investment in personnel development will only exacerbate the lack of talented individuals in the leadership pipeline. In writing a commentary in response to

the article *Finding Leaders for America's Nonprofits*, Nicoll (2009), President and CEO of YMCA declared: "Until we as an organization – and the sector as a whole – become much more intentional about the development of internal talent, we are doomed to an ever growing leadership deficit" (p. 1). In a report written by American Express NGEN Fellows ("Changing the status quo", 2011), they claim that organizations that intentionally focus on incorporating leadership development into their culture were among the most successful. From this they concluded that it is essentially a false choice that non-profits must choose between activities that promote the mission and those that develop their employees: "The non-profit sector must realize that investments in human capital will pay significant dividends in achieving mission" (p. 9).

One of the most effective ways to build a leadership pipeline is to make succession planning a routine part of the organization. Unfortunately, non-profit organizations tend to approach succession planning ad hoc, focusing on the issue only when there is an opening ("Building leadership capacity", 2011; "Changing the status quo", 2011). According to Kramer and Stid (2010), this lack of planning for the inevitable transitions that happen in organizations has been identified as one of the greatest overall weaknesses in non-profits. Non-profit organizations need to focus on building bench strength among their middle managers so that they are better prepared to move into executive leadership roles. In particular, when employees are given the opportunity to develop their skills internally they are able to utilize their new abilities in a way that best meets the needs of the organization (Simms & Trager, 2009).

In conclusion, the best way to prepare non-profits for the predicted leadership deficit is to develop the skills of their mid-level managers. According to Cornelius,

Corvington, & Ruesga (2008), "the field needs a balance of management and leadership programming targeted specifically to future executives" (p. 29). Understanding the essential management and leadership skills for mid-level managers may make it easier to create development plans for employees so that non-profit organizations can build their capacity from within.

Summary

A review of the literature regarding the relationship between leadership and management reveals that, after more than 30 years, the debate on the similarities and differences still continues. The resulting confusion has significant implications for organizations in developing their human capital. Programs designed to teach and enhance both leadership and management skills will be hindered by the lack of agreement and understanding regarding the nature of each. While there are many definitions that attempt to delineate the differences, making a strong distinction between the two skills sets can create additional problems, particularly when one skill set is elevated above the other.

Many researchers agree that while leadership and management are distinct from each other, they are nevertheless related to one another. There are disagreements on the degree to which there is overlap between the two. Some researchers view the two skills as complimentary and interrelated, while others see a much stronger correlation, suggesting that leadership is an aspect of management. Still others suggest that there is a blending of the two skills resulting in a managerial leader. The one area where most researchers do agree is on the necessity for a balanced approach in applying both skills. There are significant implications when organizations are either over-led or over-

managed. While there is agreement on this need for balance, there is no clear information on how best to establish this balance since the roles of each are still not clearly understood.

Middle managers, because of their unique position within the hierarchical structure, are expected to exhibit both management and leadership skills. Changes in the external environment over the past couple of decades has necessitated that organizations become less rigid and more flexible and responsive. This in turn has precipitated a need for middle managers to incorporate more leadership attributes into their interactions with both their senior executives and their subordinates. In their new role as a center-leader, there is a lot of confusion as to what leadership actually is and how best to integrate leadership with their traditional management role. What is becoming increasingly clear is that proficiency in both skills is required for success. One area where middle managers are particularly effective at leading is in facilitating change. Due to their unique position within the organization, they often lead change initiatives by utilizing both upward and downward influence.

Non-profits face unique challenges in developing both leadership and management skills in their organizations. There is a perception that the skills of homegrown leaders and managers are not as valuable as those developed by their counterparts in for-profit organizations. Combined with a lack of funding for leadership and management development, non-profits often look outside of their organizations for good leaders and managers. To be able to build this capacity from within the organization, non-profits need to understand the essential management and leadership skills required of their mid-level managers.

Chapter 3: Methodology

This chapter presents an outline of the research methodology that was used in this study, including the research design, the process for selecting participants, methods for collecting data and the procedures for analyzing data.

Restatement of the Problem

In a study conducted by the Bridgespan Group, it was predicted that by the year 2016 non-profit organizations with revenues greater than $250,000 will need to "attract and develop some 640,000 new senior managers – the equivalent of 2.4 times the number currently employed" (Tierney, 2006, p. 2). This translates into adding approximately 80,000 new senior managers per year. A more recent study conducted in 2009 concluded that the predicted leadership deficit still remains large, and that in spite of the current economic conditions it will be even more difficult to fill the top position in future years than it has been in the past (Simms & Trager, 2009).

This projected leadership shortfall is the result of multiple factors, one of which is the lack of internal development of leadership and management talent (Tierney, 2006). Just like their for-profit counterparts, the ability of non-profits to consistently meet their goals is dependent on the quality of their people more than any other factor. Non-profit organizations are struggling to attract and retain talented senior managers, and do not have in place the structure or resources to develop talent from within (Simms & Trager, 2009; Tierney, 2006). Myers (2004) has suggested that this problem is further complicated by the perception that homegrown leaders and managers in non-profits are more versed in soft skills but lacking in the hard skills needed to run an organization. Tierney (2006) projects that the challenge to staff non-profits with individuals that have

the required leadership and management skills will become increasingly difficult over the next few decades. He goes on to suggest that in order to address this shortfall non-profit organizations must put into place plans to nurture and develop management talent, which must include investing in building leadership and management capacity.

In an effort to prepare for the leadership and management deficit forecasted, non-profit organizations need to be developing their mid-level managers today. With the pressures of today's economy, non-profits are finding themselves resource limited and need to insure that every employee is a high-level contributor (Foster & Perreault, 2009). Leadership ability and skilled management are considered to be the primary determining factors in achieving organizational success (Tierney, 2006). Therefore, in this environment, non-profit organizations need mid-level managers that can both lead and manage (Green, 2004). Employees that have good management skills will have to develop their leadership qualities, and those that exhibit leadership will have to expand their managerial capabilities (Toor & Ofori, 2008). While there is agreement that both leadership and management skills are required in organizations, there is no information on what specific skills are necessary in mid-level managers in a non-profit organization.

Restatement of Purpose of the Study

To fully develop human resources, non-profit organizations need to expand both leadership and management skills in their mid-level managers. Therefore, the purpose of the study was to solicit the opinions of senior level executives in non-profits to identify the specific managerial and leadership skills that are important in mid-level management. Using the Delphi Method of research, a list of desired management and leadership skills was created. This list of skills should enable non-profit organizations to (a) identify gaps

in employee competencies between those skills that have been identified as important and the actual skills possessed, (b) effectively develop training programs to build and enhance needed skills, and (c) improve their hiring and promotion practices to ensure that they have the right balance of skills that will maximize organizational performance.

Research Questions

The research questions for this study are designed to determine the essential managerial and leadership skills that are required in mid-level managers so that they can maximally contribute to a successful non-profit organization.

1. How do senior level executives in non-profit organizations define management and leadership?

2. According to senior level executives in non-profit organizations, what management skills are desired in mid-level managers?

3. According to senior level executives in non-profit organizations, what leadership skills are desired in mid-level managers?

4. To what extent, if any, do senior level executives in non-profit organizations view management skills or leadership skills as more valuable in their middle managers?

The Research Design

The research design for this study was a mixed methods approach, using a sequential exploratory strategy that began with qualitative data collection and analysis and then was followed by several rounds of quantitative data collection and analysis (Creswell, 2009). According to Creswell, this research method is designed to explore new ideas through the qualitative phase and then use the quantitative phase to help interpret the findings from the first phase. The mixed method approach used in this study

was the Delphi Method, a process that includes an initial interview to explore the research questions, followed by several iterative rounds of surveys to refine the responses and gain consensus within the group of participants.

The Delphi Method has been chosen because it is a flexible research approach that allows for the exploration of new concepts and ideas, yet provides a structured process for the collection and distillation of knowledge provided by experts (Skulmoski, Hartman, & Krahn, 2007). According to Linstone and Turoff (1975), researchers who chose to use the Delphi Method "usually recognize a need to structure a group communication process in order to obtain an useful result for their objective" (p. 5). The Delphi Method employed in this study was used to explore the beliefs of experienced senior managers in non-profit organizations regarding the leadership and management skills they consider essential for mid-level managers in a non-profit organization.

Overview of Delphi Method

The Delphi Method was developed by Dalkey of the RAND Corporation in the 1950s to use subject matter experts to help with forecasting and decision-making (Skulmoski et al., 2007). The Delphi process made it easier to collect information from these experts by using a survey method that did not require that everyone gather in a face to face group. The Delphi Method is commonly used to improve understanding of a specific issue, and is considered to be particularly useful when there is incomplete knowledge regarding a problem or phenomenon (Adler & Ziglio, 1996; Delbecq, Van de Ven, & Gustafson, 1975). In describing the communication process employed in the Delphi Method, Linstone and Turoff (1975) emphasize the method's effectiveness in providing a procedure for a group of individuals to focus on, and exchange information,

in working through a complex problem. According to McKenna (1994), "the main advantage of Delphi is the achievement of concurrence in a given area where none previously existed" (p. 1222) .

The Delphi Method is extremely flexible in that it can be modified to meet the specific circumstances of the study and the research questions (Skulmoski et al., 2007). While this research method is a structured process, it can be customized to use qualitative, quantitative or mixed method approaches. In all cases however, the process provides "a method for the systematic solicitation and collection of judgments on a particular topic through a set of carefully designed sequential questionnaires interspersed with the summarized information and feedback of opinions derived from earlier responses" (Delbecq et al., 1975, p. 10). Kennedy (2004) asserts that it is this progression of iterative rounds of data collection combined with analysis of the information in between each round that is instrumental in increasing the knowledge of all the participants.

According to Rowe and Wright (1999), there are four key characteristic of the Delphi process. The first is the ability to allow the participants to remain anonymous. Since the group of experts does not meet face to face, there is more freedom for each participant to express and change their opinions without the inhibition that often results from group pressure. The information provided will reflect their honest assessment of the problem. Second, the iterative process provides the experts with the opportunity to hear from the other participants and refine their views based on the accumulating knowledge created by the group. Third, the controlled feedback aspect of the process provides a method for each expert to learn about the other experts' perspectives and the opportunity

to clarify or change their own views. Lastly, the successive rounds of surveys allow for the statistical aggregation of the group's responses and more measurable data for analysis and interpretation.

Appropriateness of Using the Delphi Method

Although the original intent of the Delphi approach was to forecast future trends, it has expanded over the years as a method for exploring a wide variety of issues. As stated by Linstone and Turoff (1975) "the purposes of the Delphis are as varied as the users" (p. 75). Over the past several decades, the Delphi Method has been adapted for use in three major areas; as a technique to drive collaborative decision-making, a forum to encourage debate on policy generation and a process to determine specifics on an identified topic (Franklin & Hart, 2007; Linstone & Turoff, 1975).

The Delphi Method was selected as the research approach for this study based on its ability to tap into expert knowledge to identify specific management and leadership skills and help improve the overall understanding of this complex topic. In this study, senior executives in non-profit organizations were consulted on their opinions regarding the essential leadership and management skills required in mid-level managers. The process allowed the investigator to gather initial opinions without a group meeting, compile the feedback anonymously, introduce the aggregated perspectives back to the group, provide the experts with several opportunities to refine their opinions and use statistical methods to analyze and interpret the data.

In reviewing the literature, the Delphi Method has been used in research projects similar to this study. In particular, the following three studies stand out for identifying competencies or skills in the areas of leadership, management, middle managers and/or

non-profits. Hurd and Buschbom (2010) used a Delphi approach to ascertain the

necessary competencies required of non-profit CEOs. Caldwell (2003) employed this

same method to distinguish the specific attributes affiliated with leading change and/or

managing change. Finally, Choi, Yoon, and Jeung, C. (2012) utilized a Delphi approach

in an effort to identify and compare the leadership competencies required of executives

and middle-level managers in Korea.

The Procedural Steps

In a review of the literature on the Delphi Method, Hasson, Keeney, & McKenna

(2000) found that there are no universal guidelines on how best to conduct research using

a Delphi technique. In general, the process starts with the researcher requesting input

individually from a panel of experts. This gathering of information can be accomplished

in a variety of ways, ranging from asking about pre-selected items determined from the

literature to requesting opinions to open-ended questions. This is considered round one

of the process. Once the collection of responses is compiled then a questionnaire is

created based strictly on the results from the first round interaction. The questionnaire is

then sent back to the panel for review and ranking, commencing round two. After the

questionnaires are returned, the researcher reviews the responses and compiles the

rankings, providing statistical summaries for each item, usually comprised of the median

and upper and lower quartiles (Rowe & Wright, 1999). Round three begins when a

second questionnaire is sent back to the panel for reconsideration based on the collective

opinion of the group. This iterative process of using successive questionnaires,

interspersed with data analysis and refinement, continues until consensus or stability is

reached. These iterative rounds provide the panel experts the opportunity to change their

opinions in light of the feedback from the group and to add additional items that may have been overlooked or originally considered unimportant (Hasson et al., 2000; Keeney et al., 2006). While there is no specific guideline on the number of rounds required to complete the process, typically two or three iterations are usually sufficient for most research (Delbecq et al., 1975).

The Selection of Experts

The purposeful selection of respondents to participate in the study should be based on their interest on the problem to be researched and must include individuals that have expertise, knowledge or experience pertinent to the topic that can be shared (Delbecq et al., 1975). As the process relies on the opinions of experts, the purposeful sampling of the participants produces a panel that is not representative of the general population (Skulmoski et al., 2007). Keeney et al. (2006) caution that the composition of the panel will therefore be comprised of those individuals that are most interested in the subject, introducing a potential bias that can affect results. Kennedy (2004) suggest that the best way to balance this potential bias is "to describe the panelists fully so that judgments may be made about their credibility" (p. 505).

As with many aspects of the Delphi Method, there are no universally agreed upon standards for the best approach in selecting participants or on the minimum or maximum number of panelists to use (Keeney et al., 2006). The definition of expert in the literature is vague, and Keeney, Hasson, & McKenna (2001) discuss that different authors have proposed definitions that range anywhere from *informed individual* to *specialist in the field* to *someone who has knowledge about a specific subject*. They go on to warn that "simply because individuals have knowledge of a particular topic does not necessarily

mean that they are experts" (p. 196). Adler and Ziglio (1996) suggests that participants should meet certain requirements which include (a) knowledge and experience with the research topic, (b) a willingness and ability to take part in the process, (c) recognition and acceptance of the amount of time needed to participate, and (d) good communication skills. When deciding on the size of the panel, Keeney et al. (2006) report that most researchers use "common sense and practical logistics" to determine the number of participants (p. 208). It has been suggested that when looking to reach consensus, a small, well-informed group may produce better results than a large uninformed group of participants (Delbecq et al., 1975; Linstone & Turoff, 1975). In working with an expert panel that is homogenous, Skulmoski et al. (2007) suggest that a smaller sample size of 10 to 15 individuals should be enough to yield sufficient results, and Loo (2002) proposes that "…as few as five to ten" can be considered appropriate (p. 765).

Unlike other research techniques, the Delphi Method requires an ongoing commitment from the panel of experts through several rounds, including a willingness to be questioned on the same topic multiple times (Hasson et al. 2000). A successful outcome of the research is dependent on the panelists staying involved until the process is complete and therefore one of the major risks is a decreasing response rate in the later rounds (McKenna, 1989). In trying to increase the panelists' participation in the later rounds of the process, Hasson et al. (2000) found that conducting a face-to-face interview in the initial round had a significant effect. They conclude that the personal connection made with the interviewer was the reason the approach had such promising results. They go on to suggest that another way to maintain participation throughout the process is to be very clear with the targeted experts during the selection process about the way the

research method works, what will be required of them, how much of their time will be required and how the information will be used. Taking these steps can improve on the response rates throughout the process.

Population, Sample, and Sampling Techniques

      Participant selection criteria. This study used purposeful sampling to identify a sample of at least 30 senior executives (Executive Director, CEO, President, or equivalent) that lead a non-profit organization, or a local chapter of a national non-profit. Since the members of the group are homogeneous (all senior executives in large non-profit organizations), the targeted final panel size was 10 to 15 participants. Criteria for participation in the study were:

1. The executive must have been in a senior leadership position at the organization for at least 1 year
2. There exists at least one managerial level between the executive and the front line supervisors in the organization in which they are currently employed
3. Their current organization has more than 25 employees and/or volunteers.

      Recruitment of participants. The identification and solicitation of non-profit executives to participate as experts in this study began with a review of the largest revenue generating non-profit organizations in Orange County California as determined by the Orange County Business Journal. The Business Journal's 2012 *Book of Lists* included 59 non-profits based on their revenue for a 12 month period, ending in June 2011 ("Orange County Business Journal Book of Lists," 2012, pp. 60-62). The annual *Book of Lists* includes the name of the organization, website information, 12 month revenue and expense information, number of paid staff and volunteers, and the names of

the top local officials. Focusing on the larger non-profit organizations that have a significant number of both paid (at least 25) and volunteer staff ensured that there was a layer of middle management between the senior level leadership and the front line supervisors.

Using the published information from the *Book of Lists*, several organizations were eliminated from consideration because they either did not meet the selection criteria of number of employees or volunteers, or the executive had been in the leadership position for less than one year. The top official from each of the remaining 47 organizations was invited to participate via email with a letter attachment (see Appendices A and B). This communication outlined the purpose of this study, the steps involved in participating in the study and the estimated time commitment. The communication invited each recipient to participate voluntarily and if interested to reply to the original email and include answers to three demographics questions. If this initial effort had resulted in less than the targeted 10-15 senior executives needed to participant in the study, then the investigator had planned to ask those individuals who did respond to suggest other senior executives. Known as reputational sampling, this is a widely used purposive sampling technique in qualitative research (Gray, Williamson, Karp, & Dalphin, 2007). The number of initial respondents, however, was 11 which eliminated the need to take this additional step.

Human Subjects Considerations

This mixed methods study used both interview and survey research involving an adult population that is not a protected group. All participants in this study were senior

leaders in non-profit organizations. Their identities remained confidential throughout the entire data gathering process and within the written findings.

The participants were not asked specific information about their institutions, nor about their specific work at those institutions. As the interview questions were focused on gathering opinions about the skills of middle-level managers in general, there was minimal risk to the participants. Any disclosure of responses outside of this research will not place participants at risk of criminal/civil liability or damage their financial standing, employability or reputation. As such, this study met the requirements for exemption under section 45 CFR 46.101(b)(2) of the federal regulations of the United States Department of Health and Human Services that govern the protection of human subjects (United States Department of Health and Human Services, 2009). An application for a claim of exemption through the Pepperdine University Institutional Review Board was submitted and exempt status was granted.

In addition, all participants were presented with an informed consent form that was emailed prior to the interview that outlined the following information: (a) the purpose of the study, (b) the anticipated benefits of the study, (c) a statement outlining that participation is voluntary and participants may withdraw at any time during the process, (d) an overview regarding the confidential nature of the study and the protection of the data collected, (e) a request for permission to record the interview and, (f) information on who to contact regarding their rights (see Appendix C).

The confidentiality of all the participants has been maintained by the investigator. Since the Delphi Method research approach is designed specifically to gain unvarnished expert opinion through the anonymity of the participants, and that the desired result is a

consensus agreement on specific items, participant responses are known only to the investigator and all findings and results have been reported in the aggregate form. All paper notes and printed interview transcripts have been kept in a locked file cabinet in the investigator's home office and all electronic data, including digital interview recordings, transcripts and survey forms have been maintained in password protected electronic files. All identifying information on interview transcripts and survey responses have been for the sole use of the investigator and not available to anyone else. All data under the investigator's jurisdiction will be destroyed three years after this study.

Data Collection Plan

This study used a Delphi research method utilizing topic experts (senior executives) in non-profit organizations to determine the management and leadership skills they believed were important in their mid-level managers. Initial solicitation size was 47 senior executives at non-profit organizations, with a target goal of 10 to 15 participants. Targeted solicitation letters (see Appendices A and B) were sent to these pre-identified leaders asking them to participate in the study. Each potential participant was informed of the time requirement to participate in the entire procedure to eliminate those that may not be willing to stay involved until the process is completed.

The Delphi method of inquiry consisted of gathering a wide diversity of opinions, employing an iterative process to ascertain the most important issues identified, and analyzing the data between each iterative round to provide insight for guiding the subsequent steps. The individual phases of the process used in this study are highlighted in Figure 4 and discussed in detail.

Round One: Qualitative		**Round Two:** Quantitative		**Round Three:** Quantitative		**Round One:** Quantitative
Purpose: Generate wide variety of ideas and opinions	⟩	**Purpose:** Reach understanding on group views	⟩	**Purpose:** Explore areas of disagreement	⟩	**Purpose:** Continued exploration of areas of disagreement
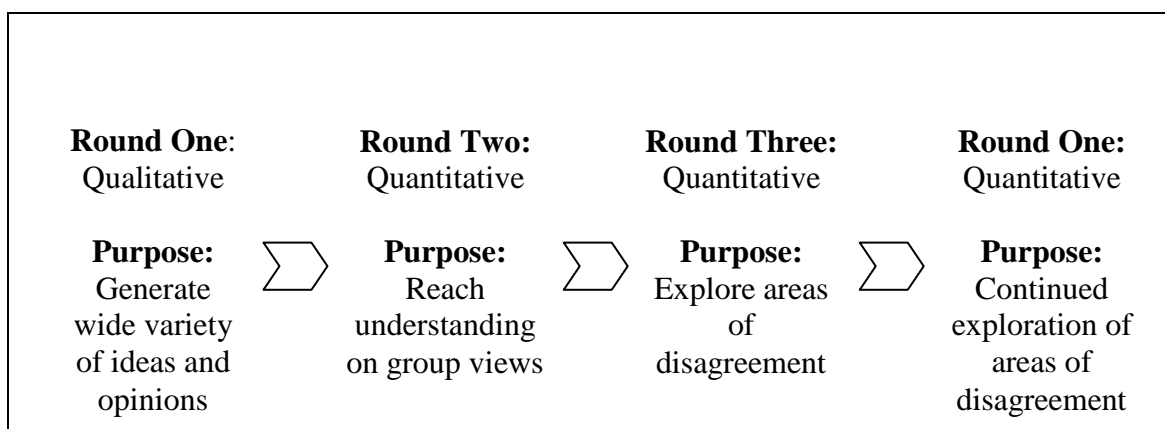
Figure 4. Phases of the Delphi process.

Round one. The first round of the process was designed to generate a wide variety of ideas and opinions to maximize the number suggestions and increase the chance that the most important issues were identified. Open-ended questions, as opposed to a list of items generated from the literature, were used to " increase the richness of the data collected" (Powell, 2003, p. 378). This study used face-to-face recorded interviews to encourage a more personal interaction in an effort to increase commitment and reduce possible attrition over the course of the study (McKenna, 1989). In addition, Rayens and Hahn (2000) suggest that using face-to-face interviews is particularly appropriate when interviewing those in leadership positions due to the limitations on their time.

Interviews were conducted with each senior executive to solicit their opinions on the critical management and leadership skills they believe should be exhibited by their mid-level managers. This semi-structured interview process used various interview questions intended to generate responses to the four open-ended research questions (see Appendix D). The participants were encouraged to freely express their opinions and to generate multiple responses, covering all areas they felt were important. Follow-up

questions and prompts such as *Can you elaborate?* and *Could you give me an example?* were asked to gain clarification and expansion on ideas where appropriate (Rubin & Rubin, 1995, see Appendix E). The goal was to identify a wide range of leadership and management skills to be discussed in subsequent rounds. A wide variety of individual opinions was expected (McKenna, 1994).

      Round two. The opened-ended nature of the interviews generated a large amount of raw data that needed to be analyzed and summarized so as not to overwhelm the participants in round two and possibly discourage participants from continuing in the study (Keeney et al., 2006). Using the information gathered from the first round interviews, concepts that are similar were combined to reduce the number of skills to a reasonable size (See section on *Analytical Techniques*).

      As described by Linstone and Turoff (1975), the goal of round two in a Delphi study is to "reach an understanding of how the group views the issue" (p. 6). The list of skills identified in round one was summarized in a 7-point Likert scale questionnaire (ranging from *no importance* to *critical importance*). The second round commenced when this questionnaire was sent to each participant and they were asked to determine the level of importance of each of the skills identified through the interview process. The panelists also had the opportunity to add additional skills they deemed important, but were not currently represented in the survey.

      The data received from the returned questionnaires were collected and analyzed to produce statistical summaries for each skill (See section on *Analytical Techniques*). This statistical review allowed the panelists to compare their responses to those of the group (Hasson et al., 2000).

Round three. The purpose of round three and any subsequent rounds is to explore areas where there are disagreements (Linstone & Turoff, 1975). The survey questionnaire used in this round only included the items where there was agreement that the item had a level of importance (ranked at 5 or greater) but where consensus was not achieved in the first questionnaire (See section on *Consensus and Stability*). In addition, the questionnaire used in round-three included a new skill that was added to the previous survey. The corresponding median value was included with each item on the questionnaire so that each member could compare their position to those of the group (Brooks, 1979).

The third round commenced when a new questionnaire (including the median values for each item) was sent and the panelists ranked the skills once again after reviewing the group response. The data from the third round questionnaire were analyzed for consensus in the same manner as in round two, and for stability in the responses between the second and third round questionnaires. If consensus or stability had not been reached on all items, a fourth round would have been initiated. The responses to the third round questionnaire however, showed that consensus and stability had been achieved and the study was terminated at this point.

Consensus and stability. According to Keeney et al. (2006) the primary reason for choosing the Delphi Method "…is to gain consensus or a judgment among a group of perceived experts on a topic" (pp. 209-210). They concede however, that experts will have differing opinions and reaching 100% agreement can be difficult. Therefore, one of the key issues that need to be decided prior to commencing any study is what will constitute consensus. This is particularly important since the criterion established for

consensus will be used to determine which specific items under discussion will be included or excluded in each subsequent questionnaire (Rayens & Hahn, 2000).

Just like other aspects of conducting research using the Delphi Method, there is very little guidance in the literature on how to set the standard for consensus, and the determination of consensus fluctuates among the different studies (Keeney et al., 2006; Rayens & Hahn, 2000). Keeney et al. (2006) suggest using a percentage value that represents the level of agreement among the different participants for each item, and that this chosen consensus value should be related to the importance of the research topic. For example, studies that are focused on setting standards in critical areas (such as life and death issues) may require 100% consensus, while other, less crucial matters may call consensus at a 51% majority of respondents. Many studies that use this percentage agreement approach have chosen to define consensus using values somewhere between a bare majority and full agreement (see Table 3).

Table 3

Percentage Agreement to Reach Consensus in Delphi Studies

Authors	Year	Percentage Agreement to Reach Consensus
Culley & Effken	2010	70%
Snyder-Halpern	2001	70%
Hansen, Bjerrum, Gahrn-Hansen, & Jarbol	2010	75%
Keeney, Hasson, & McKenna	2006	75%
Plummer & Armitage	2007	75%
Green, Jones, Hughes, & Willimas	1999	80%

Another frequently used approach to determine consensus is to consider the interquartile range (IQR) deviation for each survey question. As described by Rayens and Hahn (2000) "the interquartile range is the absolute value of the difference between the 75th and 25th percentiles, with smaller values indicating higher degrees of consensus"

(p. 311). As can be seen in Table 4, the maximum interquartile range deviation used to

establish consensus with studies that use a 7 point Likert scale however, varies from

study to study.

Table 4

IQR Values Used to Determine Consensus in Delphi Studies

Authors	Year	Scale	Maximum IQR Used To Establish Consensus
Culley & Effken	2010	7	≤ 1.0
McIntyre, Novak, & Cusick	2010	7	≤ 1.0
Plinske	2008	7	≤ 1.4
Milsom & Dietz	2009	7	≤ 1.5
Na	2006	7	≤ 1.5
Brody	2010	7	≤ 2.0

There is also the possibility that consensus will not be achieved. As opposed to

using a percentage agreement approach, Crisp, Pelletier, Duffield, Adams, and Nagy

(1997) proposed that the degree of stability of the responses through the sequential

rounds of questionnaires would be a more dependable gauge of consensus. Scheibe,

Skutsch, and Schofer (1975) suggest that a 15% change in the mode on an individual item

from round to round represents a state of equilibrium, and therefore "…any two

distributions that show marginal changes of less than 15% may be said to have reached

stability" (p. 278). Any items that "show more than a 15% change should be included in

later rounds…since they have not come to the equilibrium position" (p. 278).

For the purposes of this study, three different consensus/stability parameters were

used. First, a percentage agreement approach was used with the data received from the

first questionnaire to identify those leadership and management skills that have some

level of importance. In this evaluation, at least 75% of the participants had to rank a skill

at greater than or equal to 5 on the Likert scale for it to be included on the subsequent

questionnaire. Second, the interquartile range was used to determine consensus between the responses to the first and second questionnaire. Based on the information from other studies using a 7-point Likert scale, an IQR of 1.5 was used. Finally, in the case that consensus was not reached on all items, stability was determined to have been achieved when there was less than a 15% change in the IQR between rounds.

According to Brooks (1979), typically there is little to no change after four rounds of responses from the participants, and most studies can be concluded at this point in the process. In the unlikely event that consensus or stability had not been reached by the fourth round, the study was to be terminated.

Validity and Reliability

The design of this study was to use a mixed methods approach to collect and analyze the data provided by the selected participants. The first phase of the Delphi process used a qualitative approach to explore the research questions and the subsequent phases used a quantitative approach to analyze the data and reach consensus. The issue of validity in qualitative studies is often debated (Creswell, 2007), and this concern carries over into Delphi studies as well (Hasson et al., 2000; Powell, 2003; Williams & Webb, 1994). One approach suggested for qualitative research in general is to consider credibility instead of validity per se (Creswell, 2007). Thomas (2006), in discussing validity in qualitative studies, proposes increasing credibility by using what he calls *stakeholder checks*, a process that allows the participants "…to comment on or assess the research findings, interpretations and conclusions" (p. 244). The design of the Delphi process provides an opportunity for the stakeholders (in this case the topic experts) to comment and offer feedback at each stage of the research. This

iterative process of collecting data and checking back with the participants for accuracy

of the results provided an increased level of credibility. At the conclusion of the study,

there was a level of agreement among the experts which supports the validity of the

findings. Mitroff and Turoff (1975) address this specific issue in Delphi studies by

stating: "the validity of the resulting judgment of the entire group is typically measured in

terms of the explicit 'degree of consensus' among the experts" (p. 22).

One of the criticisms of the Delphi method is that there is no evidence for

reliability and that another panel could reach decidedly different conclusions (Hasson et

al., 2000; Reid, 1988; Williams & Webb, 1994). One of the purposes in using a Delphi

approach however, is not to create new knowledge, but to "…capture the areas of

collective knowledge held by professionals which is not often verbalized and explored"

(Franklin & Hart, 2007, p. 238). The goal of this study was to have non-profit executives

(experts) articulate and agree upon the essential leadership and management skills they

believe are important in their mid-level managers. Therefore, the purpose in using the

Delphi method in this situation was to gather expert opinion, not to establish indisputable

facts (Powell, 2003).

Analytical Techniques

This mixed methods study utilized an iterative approach to data collection.

Starting with the qualitative phase of the study, the management and leadership skills had

to be identified from the interviews before the quantitative surveys could be created.

During the quantitative phase the participants ranked the identified skills over two rounds

of questionnaires. Data from each round were analyzed using specific inclusion and

exclusion criteria to determine whether or not the identified skill would be included in the

subsequent survey. See a summary of the process in Figure 5 and a detailed description

following.

Round One - Interviews

Face to face interviews

Coding and analysis of qualitative data

Identification of management and leadership skills

Create 1st questionnaire

⬇

Round Two - 1st Questionnaire

Round two questionnaire sent and returned

Analysis of data using descriptive statistics

Selection of skills rated important (ranked $\geq$ 5 by 75% of participants)

Identification of skills where consensus has not been reached (> 1.5 IRQ)

Create next questionnaire: post median scores for each item, add new

   items

⬇

Round Three - 2nd Questionnaire

Round three questionnaire sent and returned

Analysis of data using descriptive statistics

Identification of skills where consensus has not been reached (> 1.5 IQR)

Comparison of 1st and 2nd questionnaire IQR values for stability ($< 15\%$)

 Create next questionnaire with items where neither consensus nor

stability is achieved (not necessary in this study)

Study Terminated

Figure 5. Summary of Delphi process.

Qualitative Analysis

   Round one. In this first round, the investigator conducted semi-structured

interviews using various open-ended interview questions related to the research questions

(see Appendix D). The face-to-face interviews in round one were digitally recorded and

the raw data transcribed. The transcripts were thoroughly read to gain familiarity with

the concepts discussed, coded based on similar responses and patterns of information, and

then separated into themes under leadership or management skills. This process, known

as inductive coding, allowed the findings to emerge from the vast amount of raw data

provided by the interviewees as they discussed the topic introduced by the researcher

(Thomas, 2006). MAXQDA, qualitative data analysis software, was used to facilitate

this process. Text was identified as belonging to one of the two established theme

categories, using actual participant wording with only minor editing. Additional revision

and refinement was used to combine similar terms that related to the same skill to create a

single universal leadership or management characteristic.

   It is at this point in the process that the opportunity to introduce researcher bias

into the data set is greatest (Brooks, 1979). As this type of data analysis is subjective,

care must be taken to ensure that the coding and the identification with specific themes is

consistent and to some degree reproducible. One method for increasing the reliability of

this process is to use additional coders (Creswell, 2007; Thomas, 2006). This study used

a second coder to read a section of raw transcript and to assign text to the previously

identified themes. A targeted agreement level of 80% between the two coding results

was established as an indication that the text and themes were properly associated (Miles

& Huberman, 1994). The result comparing coding between the investigator and the

second coder showed 35 matching observations out of 48 possible observations, for a 73% agreement level (see Appendix F). This result was short of the targeted 80% agreement level. However, due to the blind nature of the second coding procedure and the interchangeability of terms used to describe closely related leadership and management skills (e.g. people skills, relationship skills), the investigator decided to move on to the next phase of the study.

Quantitative Analysis

Round two. The quantitative phase of the study began with round two. Data from the first round interviews were used to create a 7-point Likert scale questionnaire listing the leadership and management skills that were identified through the coding process in round one (see Appendix G). The purpose of this first questionnaire was to gain understanding of how the expert panel viewed the various skills identified. The participants used this questionnaire to provide ranking information, ranging from *no importance* to *critical importance*, on the identified skills. The questionnaire also included a space soliciting input on any additional skills that the participants felt should be included and were not. In analyzing the data from this questionnaire, descriptive statistical summaries were created that included central tendency data (mean, median, and mode) and level of dispersion data (standard deviation and inter-quartile range).

To analyze the data from the round-two questionnaire, a percentage agreement approach was used to determine concurrence on those skills the participants believed have at least some level of importance. As the goal of this study is to identify those leadership and management skills that are essential in middle level managers, only those skills ranked as a 5 or greater on the Likert scale by at least 75% of the participants were

included on the subsequent questionnaire used in round three. All other items that did not meet this inclusion criterion were eliminated at this point from the study.

Each item on the round-two questionnaire was subjected to inclusion and exclusion criteria to determine whether or not that item should be represented on the subsequent questionnaire. First, only those skills that met the inclusion criteria discussed above were included. Second, since the purpose of round three in the process is to explore discrepancies, any skills that met the inclusion criteria and had already achieved consensus ($\leq$ 1.5 IQR) were considered as completed findings and excluded. Third, any new suggested skills provided on the first questionnaire were included. Finally, the median ranking score from the first questionnaire was listed so that the participants could see the group response.

Round three. The third round of the process is designed to examine areas of disagreement and began when the third round questionnaire was sent to the participants. The questionnaire again used the same 7-point Likert scale, ranging from *no importance* to *critical importance*, and was a refined list of those items that had already been ranked with some level of importance, but had not yet achieved consensus (see Appendix H). In this round, the participants had the opportunity to re-evaluate their response in light of the group response by considering the median score achieved for each item on the last survey. They also had the opportunity to rank any new skills that were included by participants on the first questionnaire.

The returned questionnaires were analyzed using the same descriptive statistics as before. Consensus for each skill was determined using the IQR criteria of less than or equal to 1.5. For those items where consensus was not reached, the IQR values from the

round two-survey and the round-three survey were compared to see if there was less than a 15% change which would indicate that stability had been achieved. Where stability had been achieved, those items were considered completed findings. If there had been items where there was no consensus or stability, they would have been included on a subsequent questionnaire.

Round four. The distribution of a questionnaire in a fourth round was not necessary as either consensus or stability was reached on all items and the quantitative phase of the study ended.

Summary

This chapter has provided a restatement of the problem and the purpose of the study and presented an outline of the research methodology that was used in this study. This outline included (a) an overview of the Delphi Method of research, (b) the procedural steps involved, (c) the process for the selection of experts, (d) the population, sample and sampling technique that was employed, (e) methods for collecting data and (f) the procedures for analyzing data.

Chapter 4: Findings

This chapter presents the findings of the study, including demographic information from the study participants, a summary of the data collected in each phase of the study and an analysis of the data collected

Participant Overview

Of the 47 executives invited to participate in this study 11 responded positively to the request, for an overall response rate of 23.4%. As part of the email response process, and verified during the interview process, the investigator asked each participant to respond to three demographic questions: (a) how many years have you been in senior management (b) how many years have you been in your current position, and (c) how many managers report directly to you?

The first question regarding the number of years in senior management is an indicator of the level of experience the experts bring to this study. While the participants varied in the number of years in a senior management role (ranging from 5 to 40 years), the majority have held executive positions for more than 20 years as illustrated in Figure 6. The average number of years was 23.1 and the median was 25. This group represents a combined total of 254 years of senior management experience.
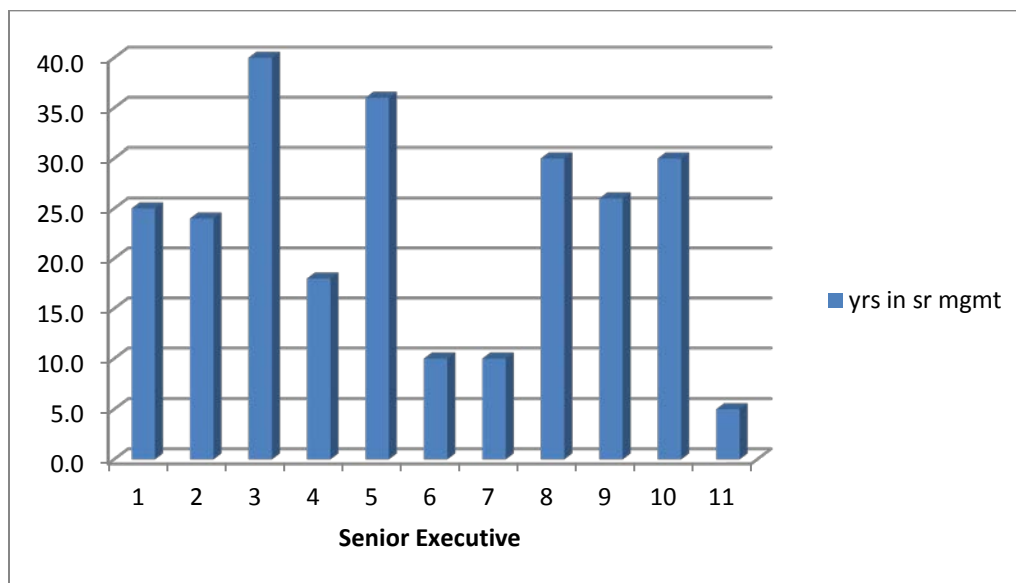
Figure 6. Number of years in senior management.

The second question, gauging the number years each participant has been in their current position, illustrates their experience with a specific non-profit organization. As can be seen from Figure 7, the number of years each participant has been in their current executive position varied greatly, ranging from 1 year to 33 years, with the mean at 10.3 and the median at 6.0.

Finally, each participant provided the number of managers that report to them directly, which provides some insight into their current experience with mid-level managers. The number of direct reports ranged from two to 14 as shown in Figure 8, with a mean of 5.5 and a median of 4.0.
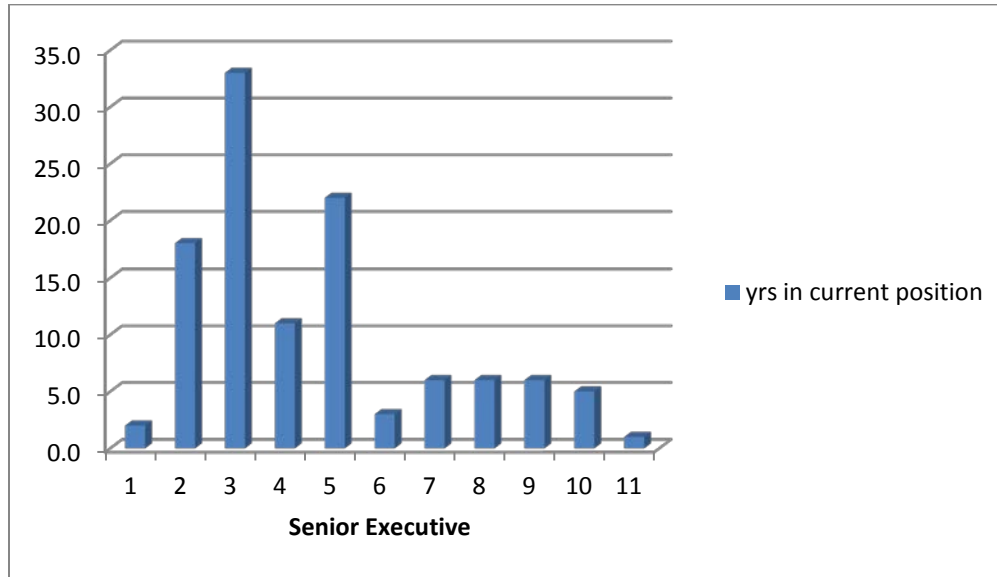
Figure 7. Number of years in current position.
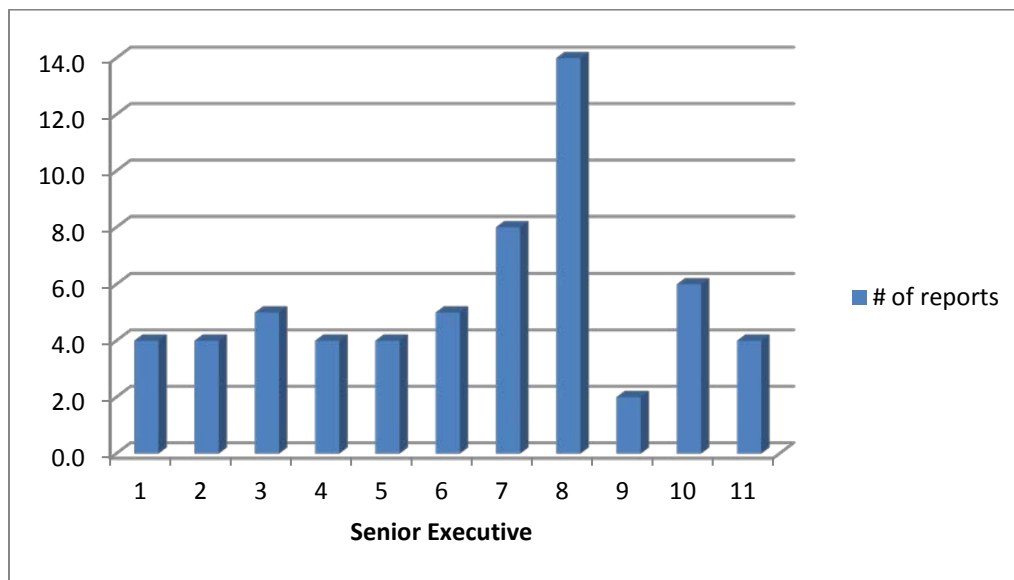
Figure 8. Number of direct reports.

Round One – The Interview Process

Conducting the interviews. The first round of the Delphi approach is to conduct interviews with each participant. After receiving a positive response to the invitation to participate in the study, each participant was contacted by phone to set up a face to face

interview. The first interview was conducted on June 15, 2012 and the last on July 12, 2012, taking approximately 4 weeks to complete all 11 interviews.

Two days prior to each interview an email reminder was sent to the participant with a copy of the informed consent form (see Appendix C) and the interview questions attached (see Appendix I). The interview questions were provided in advance because the investigator felt that a more thorough discussion about leadership and management could be achieved by giving the interviewee an opportunity to think about the topic prior to the meeting. It was noticed that most of the participants had made notes to bring to the interview.

Each interview began with the investigator introducing herself and thanking the executive for agreeing to participate in the study. Two hard copies of the informed consent form, pre-signed by the investigator, were presented to the interviewee for signature; one copy to be kept by the interviewee and the other for the investigator's files. During the review of the informed consent form with the interviewee, the investigator requested permission to record the interview in order to ensure accuracy and to produce a permanent written transcript. Permission to record the interview was given by all 11 participants. The investigator used two digital audio recorders in case one failed. Before proceeding with the interview questions, the investigator took a few moments to explain the purpose of the study, provide a brief overview of the Delphi process and an estimate of the time frame for each survey round. The investigator felt that it was critical to have a discussion of the different phases of the study in order to emphasize the importance of each participant staying engaged throughout the entire process. Once this was completed, the interview began.

The interview followed the prepared questions, starting with a discussion on the concepts of leadership and management and then moving into more detailed questions on the specific management and leadership skills that these executives value in their middle managers. Follow up questions such as: *Can you elaborate?* or *Do you have an example you can share?* were used to gain greater clarity to the responses. Some participants were very brief and to the point, while others elaborated on the topic. This is reflected in the length of the interviews which ranged from 8:46 minutes to 32:31 minutes; the mean length of the interviews was 19:50 minutes. The total combined length of all interviews was 3 hours and 38 minutes.

A hand-written thank you card was sent to each interviewee the day after the interview was completed. In addition to thanking the participant for their time and contribution to the study, the closing sentence outlined when they could expect to receive the first online questionnaire. This information was included in an effort to keep the participants engaged for the subsequent rounds of the study and to minimize attrition.

Results from Round One

There were 18 Management Skills and 19 Leadership Skills identified as a result of the coding process. Each identified skill and/or its corresponding definition reflects actual words or phrases used by the participants in the interview process.

Management Skills include:

1. Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents

2. Accountability – knows how to hold oneself and other accountable, understands shared accountability

3. Problem solving – quick thinker, has the ability to prioritize issues and proactively seek solutions

4. Organized – ability to manage time and resources effectively

5. Flexible – able to adjust to changing situations

6. Rational – calm under pressure, able to juggle multiple challenges

7. Confident decision making – comfortable in making difficult decisions in a timely manner

8. Self-aware – recognizes own strengths and weaknesses and knows how to hire and build teams in order to balance own shortcomings

9. Execution – proficient at managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task

10. People skills – is consistent in approach, can manage conflict and promote collaboration

11. Comfortable with data – ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)

12. Good listener – makes people feel like they are being heard, can empathize with differing viewpoints and positions

13. Self-reliant – motivated to achieve, can work autonomously within specified guidelines

14. Mentoring – can identify talent and works to develop skills in others

15. Focused on the mission – understands that it is about organization success, not individual success

16. Social media – understands the importance and impact of social media and can apply principles to promote organizational awareness

17. Relationship management – facilitates a positive interaction when working with other entities both within and outside of the organization

18. Ability to identify trends – is constantly looking for shifts in the internal and external environment that may impact the organization

Leadership skills include:

1. Vision – understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future

2. Risk-taker – is comfortable taking risks

3. Authentic – high level of integrity and strong moral compass

4. Life-long learner – continually looks for opportunities to learn and evolve

5. Independent thinker – innovative, creative, looks for opportunities outside of the box

6. Values human capital – knows how to use, manage and develop human resources through coaching and mentoring

7. Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity

8. Persuasive – can cultivate enthusiasm for ideas and generate buy-in for decisions

9. Acts as a catalyst – creates, promotes and embraces change

10. Maintains perspective – stays balanced with a good sense of humor

11. Charismatic – has energy and enthusiasm that attracts others and makes others want to follow

12. Inspirational – is able to inspire and motivate others, and bring out the best in them

13. Active listener – willing to hear other opinions and incorporate that information into their decision making

14. Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions

15. Collaborative – know how to gain input from diverse groups, collate different ideas and reach an effective conclusion

16. Decisive – can make tough choices quickly, avoids wavering and prolonged uncertainty

17. Relationship building – has good understanding and knowledge of people , relates well to others and can build strong teams and alliances

18. Creates alignment – ensures that people and resources are aligned and moving in the right direction

19. Respectful of followers – sensitive to the fact that not everyone can see the vision the way they do

Round Two – The First Survey

The second round of the Delphi process began with the creation of a survey instrument that included the 18 management skills and the 19 leadership skills that had been identified through the coding process. A questionnaire was created using Survey Monkey, an online survey service (Survey Monkey, 2012). A 7-point Likert scale was associated with each statement, with the number 1 indicating that the skill had no importance and 7 indicating that the skill was of critical importance (see Appendix G).

Response rates. When the survey instrument was complete and a hyperlink assigned by Survey Monkey, an email was sent to each of the 11 interviewees on July 17, 2012. The email communication thanked them for their continued participation, instructed them on how to access the online survey instrument through the link provided, and included the estimated time that it would take to complete the survey (see Appendix J). The executives were asked to complete the survey within seven days, by July, 24, 2012.

The responses to the online survey were anonymous, so the investigator was unable to determine who had and who had not completed the survey. On July 20, 2012, 4 days prior to the deadline, the investigator sent a follow up email (see Appendix K) to all 11 participants, thanking those that had already responded (telling them that they could discard the email) and gently reminding those that had yet to respond of the upcoming deadline. The email also provided the link to the online survey.

On the deadline date it was noted that only seven of the 11 participants had completed the online survey. Recognizing that the survey was being distributed during the summer months, a third email was sent on July 24, 2012 extending the deadline date

by an additional seven days (see Appendix L) to July 31, 2012. Fourteen days after the initial email inviting the participants to complete the survey, 10 of the 11 participants had responded for a response rate of 91%. Access to the first round questionnaire on Survey Monkey was terminated at this time.

Round Two Analysis

After the first survey was closed, the data were gathered and several statistical parameters measured, including central tendency data (mean, median and mode) and level of dispersion data (standard deviation and inter-quartile range). Due to the design of the study only the median importance rating scores and the interquartile range values were required, and the other statistical data had no bearing on the research. A complete summary of the statistical data is included in Appendix M.

As the goal of this study is to identify those leadership and management skills that are essential in middle level managers, data analysis on the first questionnaire started with an examination of the median scores in an effort to determine those skills the participants believed had at least some level of importance. A percentage agreement approach was used to measure concurrence on the level of importance and only those skills that ranked as a 5 or greater by at least 75% of the participants were included for further analysis. As indicated in Table 5, 16 of 18 management skills and 15 of 19 leadership skills met this inclusion criterion. Conversely, Table 6 lists the two management skills and the four leadership skills that did not meet the criteria and were eliminated from the study at this point.

Table 5

Skills Rated Important, Ranked ≥ 5 by More Than 75% of Participants

	% Agreement
Management Skills	100%
Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents	
Accountability – knows how to hold oneself and others accountable, understands shared accountability	100%
Flexible – able to adjust to changing situations	100%
Rational – calm under pressure, able to juggle multiple challenges	100%
Confident decision making – comfortable in making difficult decisions in a timely manner	100%
Execution – proficient and managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task	100%
People skills – is consistent in approach, can manage conflict and promote collaboration	100%
Comfortable with data – ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)	100%
Good listener – makes people feel like they are being heard, can empathize with differing viewpoints and positions	100%
Self-reliant – motivated to achieve, can work autonomously within specified guidelines	100%
Relationship Management – facilitates a positive interaction when working with other entities both within and outside of the organization	100%
Problem solving – quick thinker, has the ability to prioritize issues and proactively seek solutions	90%
Organized – ability to manage time and resources effectively	90%
Self-aware – recognizes own strengths and weaknesses and knows how to hire and build teams in order to balance own shortcomings	90%
Mentoring – can identify talent and works to develop skills in others	80%
Focused on the mission – understands that it is about organization success, not individual success	80%

(*table continues*)

	% Agreement
Leadership Skills	
Values human capital – knows how to use, manage and develop human resources through coaching and mentoring	100%
Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity	100%
Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions	100%
Decisive – can make tough choices quickly, avoids wavering and prolonged uncertainty	100%
Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	100%
Authentic – high level of integrity and strong moral compass	90%
Life-long learner – continually looks for opportunities to learn and evolve	90%
Inspirational – is able to inspire and motivate others, and bring out the best in them	90%
Collaborative – knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion	90%
Vision – understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future	80%
Independent thinker – innovative, creative, looks for opportunities outside of the box	80%
Persuasive – can cultivate enthusiasm for ideas and generate buy-in for decisions	80%
Acts as a catalyst – creates, promotes and embraces change	80%
Maintains perspective – stays balanced with a good sense of humor	80%
Creates alignment – ensures that people and resources are aligned and moving in the right directions	80%

Table 6

Skills Rated Not Important, Ranked ≥ 5 by Fewer Than 75% of Participants

	% Agreement
Management Skills	
Ability to identify trends – is constantly looking for shifts in the internal and external environment that may impact the organization	70%
Social Media – understands the importance and impact of social media and can apply principles to promote organizational awareness	50%
Leadership Skills	
Risk-taker – is comfortable taking risks	70%
Active listener – willing to hear other opinions and incorporate that information into their decision making	70%
Respectful of followers – sensitive to the fact that not everyone can see the vision the way they do	70%
Charismatic – has energy and enthusiasm that attracts others and makes others want to follow	60%

The second step in the analysis process was to identify where the participants had achieved consensus in their ranking on specific skills. The interquartile range results were examined and consensus was determined to have been achieved when the interquartile range values were less than or equal to 1.5 (≤ 1.5 IRQ). Those skills where consensus had been achieved were considered to be completed findings and excluded from further surveys. As can be seen in Table 7, consensus was achieved on 12 of the remaining 16 management skills and eight of the remaining 15 leadership skills. There

were four management and seven leadership skills where consensus was not achieved and

they were included in the second survey (see Table 8).

Table 7

Items in First Survey in Which Consensus Was Achieved

	Median	IQR
Management Skills		
Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents	7	1
Accountability – knows how to hold oneself and others accountable, understands shared accountability	7	1
Problem solving – quick thinker, has the ability to prioritize issues and proactively seek solutions	6.5	1
Rational – calm under pressure, able to juggle multiple challenges	6.5	1
Confident decision making – comfortable in making difficult decisions in a timely manner	6.5	1
People skills – is consistent in approach, can manage conflict and promote collaboration	6.5	1
Comfortable with data – ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)	6	0
Self-aware – recognizes own strengths and weaknesses and knows how to hire and build teams in order to balance own shortcomings	6	.75
Good listener – makes people feel like they are being heard, can empathize with differing viewpoints and positions	6	.75
Flexible – able to adjust to changing situations	6	1
Self-reliant – motivated to achieve, can work autonomously within specified guidelines	6	1
Mentoring – can identify talent and works to develop skills in others	6	1.5

(*table continues*)

	Median	IQR
Leadership Skills		
Authentic – high level of integrity and strong moral compass	7	.75
Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity	7	.75
Values human capital – knows how to use, manage and develop human resources through coaching and mentoring	7	1
Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions	7	1
Independent thinker – innovative, creative, looks for opportunities outside of the box	6	0
Life-long learner – continually looks for opportunities to learn and evolve	6	.75
Vision – understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future	6	1
Decisive – can make tough choices quickly, avoids wavering and prolonged uncertainty	6	1

Additional items. The first questionnaire also provided the participants with an opportunity to contribute their suggestions for additional skills that they felt were important and had not been identified through the interview and coding process. The open-ended survey question identified one new leadership skill: Provides senior level support – supports the CEO/President and keeps that person informed of any changes in the organization.

Table 8

Items in First Survey Where Consensus Was Not Achieved

	Median	IQR
Management Skills		
Focused on the mission – understands that it is about organization success, not individual success	7	1.75
Organized – ability to manage time and resources effectively	6.5	1.75
Execution – proficient and managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task	6	1.75
Relationship Management – facilitates a positive interaction when working with other entities both within and outside of the organization	6	1.75
Leadership Skills		
Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	7	2
Persuasive – can cultivate enthusiasm for ideas and generate buy-in for decisions	6.5	1.75
Acts as a catalyst – creates, promotes and embraces change	6.5	2
Creates alignment – ensures that people and resources are aligned and moving in the right directions	6.5	2
Collaborative – knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion	6	1.75
Inspirational – is able to inspire and motivate others, and bring out the best in them	5.5	2
Maintains perspective – stays balanced with a good sense of humor	5	2

Round Three – The Second Survey

The third round of the study began with the creation of a second survey that included the four management skills and seven leadership skills that had not achieved consensus in the first survey and the one additional leadership skill that had been added by one of the participants. This questionnaire included a 7-point Likert scale with each item, where 1 indicated a skill that had no importance and 7 indicated a skill that was of critical importance. In addition, the median score for each skill was provided along with the skill description so that the participants could see the panel's response from the first questionnaire (see Appendix H).

Response rates. Since the survey respondents were anonymous, the investigator was unable to identify the one participant that did not contribute to the first questionnaire. Therefore, the second questionnaire was emailed to all of the original 11 participants on July 31, 2012 (see Appendix N). The email informed the participants that of the 37 skills included in the first questionnaire, six skills were eliminated due to low scores (considered not essential) and 20 skills achieved consensus on the degree of importance. The remaining 11 items that did not reach consensus were included on the second questionnaire, as well as one new item suggested by one of the panelists. The questionnaire was accessible through the link in the body of the email. They were asked to consider the median scores with each skill and to reassess their rating on each item. The participants were requested to complete the questionnaire within 14 days, by August 8, 2012.

On August 6, 2012, eight days prior to the deadline, the investigator sent a follow up email (see Appendix O) to all 11 participants, thanking those that had already

responded and gently reminding those that had not yet responded of the deadline. The email also provided the link to the online survey. Fourteen days after the initial email inviting the participants to complete the second survey, nine of the 11 participants had responded, a response rate of 82%. Access to the second round questionnaire on Survey Monkey was terminated at this time.

Round Three Analysis

After the second survey was closed, the data was gathered and the median importance rating and the interquartile range was calculated for each item. The first analysis required the investigator to identify where the participants had achieved consensus in their ranking on specific skills. The interquartile range results were examined and consensus was determined to have been achieved when the interquartile range values were less than or equal to 1.5 (≤ 1.5 IRQ). Once again, those skills that had achieved consensus were considered to be completed findings and were excluded from any further surveys. As indicated in Table 9, consensus was achieved on four out of four management skills and seven out of eight leadership skills.

There was one leadership skill where consensus was not reached (see Table 10), so the data was analyzed for stability. The IQR values from the first questionnaire and the second questionnaire were compared to see if there was less than a 15% change which would indicate that stability had been achieved. As Table 11 indicates, there was no change in the value or percentage of the IQR score between the two questionnaires and it was determined that stability had been achieved. As a result, the findings were considered complete and it was concluded that there was no need for a third questionnaire. At this point, the study was terminated.

Table 9

Items in Second Survey in Which Consensus Was Achieved

	Median	IQR
Management Skills		
Focused on the mission – understands that it is about organization success, not individual success	7	0
Organized – ability to manage time and resources effectively	7	0
Relationship Management – facilitates a positive interaction when working with other entities both within and outside of the organization	6	0
Execution – proficient and managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task	6	1
Leadership Skills		
Creates alignment – ensures that people and resources are aligned and moving in the right directions	7	1
Provides senior level support – supports the CEO/President and keeps that person informed of any changes in the organization	7	1
Persuasive – can cultivate enthusiasm for ideas and generate buy-in for decisions	6	1
Acts as a catalyst – creates, promotes and embraces change	6	1
Collaborative – knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion	6	1
Inspirational – is able to inspire and motivate others, and bring out the best in them	6	1
Maintains perspective – stays balanced with a good sense of humor	6	1

Table 10

Item in Second Survey Where Consensus Was Not Achieved

	Median	IQR
Leadership Skills		
Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	7	2

Table 11

Item Included in Second Survey in Which Stability Occurred

	IQR Score		Change in IQR Score	
	First Questionnaire	Second Questionnaire	Value	% Change
Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	2	2	0	0%

Final Results

The final results from this study were achieved at the conclusion of round three, after the initial interview process and two survey rounds. The final list of 16 management skills and 16 leadership skills is presented in Table 12, which is organized by using the median score and the IQR results. The data is sorted first with a focus on the consensus median score which signifies the panelists' assessment of the importance of that particular skill; the higher the value, the greater the importance. The data is then further sorted using the IQR values which indicates the degree to which the panelists' agreed on the level of importance of that skill; the lower the IQR value, the greater the level of agreement.

Table 12

Final List of Important Management and Leadership Skills

	Median	IQR
Management Skills		
Focused on the mission – understands that it is about organization success, not individual success	7	0
Organized – ability to manage time and resources effectively	7	0
Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents	7	1
Accountability – knows how to hold oneself and others accountable, understands shared accountability	7	1
Problem solving – quick thinker, has the ability to prioritize issues and proactively seek solutions	6.5	1
Rational – calm under pressure, able to juggle multiple challenges	6.5	1
Confident decision making – comfortable in making difficult decisions in a timely manner	6.5	1
People skills – is consistent in approach, can manage conflict and promote collaboration	6.5	1
Comfortable with data – ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)	6	0
Relationship Management – facilitates a positive interaction when working with other entities both within and outside of the organization	6	0
Self-aware – recognizes own strengths and weaknesses and knows how to hire and build teams in order to balance own shortcomings	6	.75
Good listener – makes people feel like they are being heard, can empathize with differing viewpoints and positions	6	.75
Flexible – able to adjust to changing situations	6	1
Self-reliant – motivated to achieve, can work autonomously within specified guidelines	6	1

(*table continues*)

	Median	IQR
Execution – proficient and managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task	6	1
Mentoring – can identify talent and works to develop skills in others	6	1.5

<div align="center">Leadership Skills</div>

	Median	IQR
Authentic – high level of integrity and strong moral compass	7	.75
Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity	7	.75
Values human capital – knows how to use, manage and develop human resources through coaching and mentoring	7	1
Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions	7	1
Creates alignment – ensures that people and resources are aligned and moving in the right directions	7	1
Provides senior level support – supports the CEO/President and keeps that person informed of any changes in the organization	7	1
Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	7	2
Independent thinker – innovative, creative, looks for opportunities outside of the box	6	0
Life-long learner – continually looks for opportunities to learn and evolve	6	.75
Vision – understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future	6	1
Decisive – can make tough choices quickly, avoids wavering and prolonged uncertainty	6	1
Persuasive – can cultivate enthusiasm for ideas and generate buy-in for decisions	6	1
Acts as a catalyst – creates, promotes and embraces change	6	1
Collaborative – knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion	6	1
Inspirational – is able to inspire and motivate others, and bring out the best in them	6	1
Maintains perspective – stays balanced with a good sense of humor	6	1

Summary

Through three rounds of a Delphi Methods process, a panel of senior level non-profit executives identified a total of 16 management and 16 leadership skills that they believe are important for their middle-level managers to possess. Of the 18 management skills originally identified through the interview process, two of those skills were eliminated based on their low scores in the first survey. Consensus was achieved on the remaining 16 management skills.

The panelists also identified 19 leadership skills during the first round of interviews, but four of these skills were eliminated due to their low scores in the first survey. One additional skill was added to the first survey and was included on the second questionnaire. Consensus was reached on 15 of these skills by the end of the second survey, with one skill not achieving consensus but reaching stability between the first and second surveys, for a total of 16 leadership skills.

The research parameters for this study selected for skills that were viewed as having some level of importance as defined by a score of at least greater than or equal to 5 on the Likert scale. In addition, the research shows that the panelists were able to identify four management skills and seven leadership skills they considered to be essential in their mid-level managers as illustrated by a median score of 7 on the Likert scale.

Of the four management skills with a median score of 7, two of those skills showed little to no disagreement among the panelists (IQR = 0): (a) Focused on the mission – understands that it is about organization success, not individual success; and (b) Organized – ability to manage time and resources effectively. The executives found

two other management skills to be essential, but there was some level of disagreement among the panel (IQR = 1): (c) Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents; and (d) Accountability – knows how to hold oneself and others accountable, understands shared accountability.

Seven leadership skills emerged that were similarly identified to be essential based on a median score of 7. The panelists however, did not show the same high level of agreement on any of these skills as they had for two of the management skills where the IQR was equal to zero. The greatest level of agreement (IQR = .75) was associated with two skills; (a) Authenticity – high level of integrity and strong moral compass; and (b) Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity. The following four skills showed an increased level of disagreement (IQR = 1): (c) Values human capital – knows how to use, manage and develop human resources through coaching and mentoring; (d) Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions; (e) Creates alignment – ensures that people and resources are aligned and moving in the right directions; and (f) Provides senior level support – supports the CEO/President and keeps that person informed of any changes in the organization. Finally, one skill also rated a median score of 7, but showed the greatest level of disagreement (IQR = 2): Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances. At the conclusion of this study, the panel of non-profit senior executives identified a total of 11 essential management and

leadership skills (median score of 7) that they believe are critical for their mid-level managers to possess:

Essential Management Skills:

1. Focused on the mission – understands that it is about organization success, not individual success,

2. Organized – ability to manage time and resources effectively.

3. Communication – ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents,

4. Accountability – knows how to hold oneself and others accountable, understands shared accountability.

Essential Leadership Skills:

5. Authenticity – high level of integrity and strong moral compass

6. Promotes healthy organizational culture – leads by example, fosters trust, encourages tolerance and values diversity.

7. Values human capital – knows how to use, manage and develop human resources through coaching and mentoring,

8. Takes responsibility – looks to take on more responsibility, proactively identifies issues and creates solutions,

9. Creates alignment – ensures that people and resources are aligned and moving in the right directions,

10. Provides senior level support – supports the CEO/President and keeps that person informed of any changes in the organization

11. Relationship building – has good understanding and knowledge of people, relates well to others and can build strong teams and alliances.

Chapter 5 will discuss these findings in detail with a specific focus on the skills identified as most essential, findings of interest, implications of the findings and recommendations for future research.

Chapter 5: Discussion, Conclusions, Recommendations

Overview

The purpose of this study was to explore with experienced senior level executives in non-profit organizations the management and leadership skills that they value in their mid-level managers. The study was designed so that a process of identification, shared evaluation and re-evaluation, and finally consensus among the participants, would identify the most essential management and leadership skills desired in mid-level managers. As a result of this study, four management skills and seven leadership skills were recognized as critically important (essential) for mid-level managers in non-profit organizations. This chapter will discuss the views held by these senior level executives on the distinction between management and leadership, review the results regarding the eleven identified essential skills, examine findings of interest, outline implications of the findings, provide recommendations for future research, and present general conclusions.

The following four research questions were addressed in this study:

1. How do senior level executives in non-profit organizations define management and leadership?

2. According to senior level executives in non-profit organizations, what management skills are desired in mid-level managers?

3. According to senior level executives in non-profit organizations, what leadership skills are desired in mid-level managers?

4. To what extent, if any, do senior level executives in non-profit organizations view management skills or leadership skills as more valuable in their middle managers?

Defining Management and Leadership

The first three interview questions were designed to prompt reflection on how

each of these senior level executives defined management and leadership, and how the

two skill sets differed and complemented each other.[1] Each interviewee was able to

clearly articulate broad differences in the way they viewed each skill set; primarily

leadership as determining what should be done and management tasked with how it

should get done. As one participant put it: "management is getting things to happen and

leadership is deciding what should happen" (Executive 4, June 26, 2012). Several

highlighted that leadership was focused on determining *what and why* while management

was responsible for the *hands-on execution*.

Another area where a few of these executives differentiated between management

and leadership was in how they defined the different relationship with followers. As one

executive explained: "To me, there's a very a distinct difference. And it really does

come from the types of skills you use to influence somebody, or to try and reach a

common goal" (Executive 7, June 28, 2012). Several described the inspirational element

that leaders use to persuade or influence, whereas managers who are responsible for the

completion of tasks must hold their workers accountable. One participant bluntly stated:

"leadership is more inspirational. They have followers. Management, somebody's in

charge and you have subordinates" (Executive 10, July 9, 2012). Another, when

discussing how leaders differ from managers in the way they get results from their

followers, said: "I think the biggest thing is really just about inspiring people to be the

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[1] All direct quotes were obtained through personal communications during face-to-face interviews

best at what they can do. And not necessarily being responsible for their personal outcomes [where you have to] hold them accountable" (Executive 7, June 28, 2012).

When specifically discussing management, the overall view was that the primary function of a manager is task execution. In fact, the most commonly used phrase by the participants when discussing management was *day-to-day operations* as illustrated by this statement: "When you talk about management I'm thinking this is the hands-on, day-to-day operations" (Executive 5, June 27, 2012). Consistent with much of the literature, management was seen as primarily task oriented, focused on providing planning, coordination, organization and structure. One participant described it this way: "Management is kind of a binary objective set of skills. It's a methodology of working with people, setting out their scope of work, holding them accountable to it. It's real nuts and bolts stuff" (Executive 8, June 29, 2012).

In contrast, when discussing leadership, the term *vision* was used by over 90% of the participants. Some of these executives saw leaders as being able to sense what might be happening in the future: "I think that leadership is more perception. I think you have to have far greater perception about what is going to happen" (Executive 3, June 22, 2012). Others discussed vision as a type of perspective on how to meet anticipated challenges and then setting the direction for the organization: "It's being able to look forward and know what the current trends that are happening mean for our organization and how we have to continue to evolve and think about what I'm doing now, and how that impacts the future" (Executive 7, June 28, 2012). Most expressed the view that having a vision in a non-profit organization was fundamental to meeting the changing needs of the communities they serve.

Another area where these executives made a distinction between leadership and management was in how they react to change. Consistent with what has been discussed in the literature, the participants felt that leaders are more comfortable with change than are managers. According to one executive: "Some leaders embrace chaos and change and some managers might enjoy stability and predictability" (Executive 9, July 6, 2012). This difference in attitude regarding change was a source of concern for many of the executives who expressed the need for their organizations to be more prepared to deal with the changing needs of the communities they serve. One executive expressed concern this way:

Nothing about non-profits is going to be sustainable without having folks that are adaptable and flexible, and good change agents, because the community needs change. So, you can't just say, oh we're a nonprofit and this is what we do, and we'll always do it this way. (Executive 11, July 12, 2012)

Just as reported in the literature, one area where there was some disagreement among the participants was whether leadership and management are two distinct skill sets or more closely related. According to one executive, "Sometimes people are put into the position of needing to be both a leader and a manager. And I think sometimes they're such two different skill sets that they're not often found in the same person" (Executive 6, June 27, 2012). On the other hand, another executive expressed the view that "leadership is more of a style of management" (Executive 8, June 29, 2012). One participant voiced his belief that most times "good managers are good leaders" (Executive 9, July 6, 2012), and another who said "I think that you can have a leader

who's a good manager. But I don't think you can always have a manager who's a good leader" (Executive 7, June 28, 2012).

Finally, there was recognition that it is the nature of many non-profits that they are resource limited and the hierarchical structure is often very flat. This poses some unique challenges when making a distinction between management and leadership, particularly at the middle manager level. As one executive summed it up:

> The reality in a lot of non-profits is that it's a very flat organization. That being said it probably leans to more of a conceptualization of management and leadership being fused rather than clearly differentiated because there's not a hierarchy where work is directed to a large degree. If it's an effective organization it's a shared responsibility both to get things done and to lead the organization. (Executive 9, July 6, 2012)

The discussion regarding the definitions of management and leadership paralleled the debate in the literature. While some found the two skills to be very distinct from one another, there were several participants that believed that the two skills were very closely related. It was noted that in many cases, the descriptions of leadership were provided in terms of contrast with management, which follows findings in the literature (Carroll & Levy, 2008). Regardless of the individual opinions on differences and similarities between management and leadership, there was understanding that both sets of skills were important to maintain a healthy and vibrant organization: "We should have respect for the importance of an organization that has both leaders and managers, because we all have to work together and we're stronger if we have both on the team" (Executive 10, July 9, 2012).

Essential Management Skills in Mid-Level Managers

Three interview questions were used to encourage a discussion around the management skills these executives value in their mid-level managers today and those they anticipate will be required to meet the demands of the future. In total there were 18 different skills that were identified through the coding process. After two rounds of the ranking and selection process, four skills were rated with a median score of 7, identifying them as the most essential.

Focused on the mission. The descriptive phrase included in the survey with this skill reads *understands that it is about organization success, not individual success*. This skill rated a median score of 7 with an IQR score of 0, indicating strong agreement that this is an essential management skill for mid-level managers. During the interview process, many of the executives referred to the fact that individuals that work in non-profit organizations have a strong dedication to the cause they support and the community they serve. Yet there was a recognition that just like any other organization, they too can suffer from many of the same bureaucratic and isolationist tendencies among groups or departments. The concern expressed was that management activities by individual mid-level managers can become too focused on their own individual team accomplishments and often lose sight of the organizational goals in the process: "I think we need our middle managers to not just think about the silo that they're in, like manage my team, but also building and strengthening all of these networks, because it is all connected" (Executive 11, July 12, 2012). The desire to have managers that know how to work across departmental boundaries to ensure organizational success was mentioned in several interviews, even including how middle managers should think about the

constituents they serve: "All our middle managers need to be not thinking about turf and not thinking about people they interact with as their customers, but rather our customers, so increasingly it is a 'we' rather than 'mine'" (Executive 9, July 6, 2012). Finally, the ability to see beyond individual responsibilities can lead to a better understanding of the organization's mission. One executive stated:

> What I'm really looking for is somebody who knows that it's about their organization success and not necessarily their individual success. Even though you can have both, the priority is finding the win/win for the organization, because [that's how] you begin to develop that big-picture skillset that you need. (Executive 7, June 28, 2012)

Organized. The descriptive phrase that accompanied this skill on the survey is *ability to manage time and resources effectively*. Out of the four essential management skills selected, this is the second of two that was ranked with a median score of 7 and an IQR value of 0, again signaling strong agreement on the importance of this skill. During the interviews, the terms *organized* and *organizational abilities* were almost universally mentioned when discussing management skills. This is consistent with Kotter's observation that almost all descriptions of modern management include the same 4 or 5 key processes, of which *organizing* is one (Kotter, 1988, p. 21). Interestingly, this skill was mentioned with no accompanying qualifying statements or elaboration, as if no additional explanation was necessary. As part of the discussion on organizational skills, the importance of time management was cited most often, with one executive remarking, "time management is hard for managers" (Executive 3, June 22, 2012). It was also mentioned that managers with good organizational skills were necessary for non-profit

success, especially because of the limitation of resources. As the executive quoted above

added: "The challenge is going to be able to do more with less" (Executive 3, June 22,

2012).

Communication. On the survey, the descriptive phrase that accompanied this

skill is *ability to take information and organize it for other people to understand and use*

both up and down the organization and with diverse constituents. While the median

ranking score was a 7, the IRQ value was 1, which indicates that there was some

disagreement among the panelists as to the level of importance. Even though there was

this slight disagreement, effective communication was cited many times as a key

management skill. At the most basic level, it was noted that good managers are able to

take disparate pieces of information and provide the structure so that the information

makes sense to others. As one executive observed, "They're able to take information and

organize it for other people to use and understand" (Executive 2, June 20, 2012).   It was

also noted that good communication skills by mid-level managers involved more than

just integrating and clarifying, but included the ability to find the right approach when

communicating with subordinates, peers and bosses. Most importantly when

communicating with those higher up in the organization, mid-level managers must be

discriminating in what information needs to passed on and with what urgency. As one

executive pointed out, "Communication skills are paramount. This means

communicating with their people, communicating with their peers, and communicating

with me at the right volume with the right selection of things" (Executive 4, June 26,

2012). This ability to synthesize information for review by top management is cited in

the literature as an important middle management skill. Floyd and Wooldridge (1994)

specifically discuss the critical role that middle managers play in exerting influence on senior management by the way the information is presented.

Accountability. The descriptive phrase that was used with this skill reads *knows how to hold oneself and others accountable, understands shared accountability.* This management skill is the second of the four essential skills that ranked a 7 on level of importance and where the IQR value of 1 indicated that there was some disagreement. As has been discussed in the literature, accountability is inherent in any hierarchical structure, and is practiced at every level of the organization (Floyd & Wooldridge, 1996). In the early part of the interview process, when these executives were discussing how they viewed the differences between management and leadership, holding oneself and others accountable to meet objectives was one of the key skills they identified for managers. One executive said, "I value people that embrace the process and that are not afraid to be accountable and to hold people accountable" (Executive 8, June 29, 2012). Several of these executives however, expressed concern that their mid-level managers are often uncomfortable with holding their subordinates accountable. A couple of participants mentioned that due to the nature of their work (taking care of those in need) often non-profits are staffed with mid-level managers that may find it difficult to approach their employees when they are dissatisfied. As one executive explained, middle managers really need to be "…honest about things, not avoidant; like we don't talk about the fact that a person's been underperforming chronically for a year" (Executive 11, July 12, 2012).

Three of the identified management skills above have a basis in the literature and do not present particularly surprising findings. The fourth management skill *Focused on*

the Mission appears to be unique to the non-profit sector, and clearly illustrates the importance that these leaders place on the ability of their managers to keep the organization dedicated to the communities they serve.

Essential Leadership Skills in Mid-Level Managers

The same three interview questions used to solicit opinions on management skills were used to promote a discussion on leadership skills desired in mid-level managers. At the conclusion of the coding process, there were 19 leadership skills identified. After two rounds of the ranking and selection process, seven leadership skills were rated with a median score of 7, identifying them as the most essential. Unlike the final values for management skills where there was a fairly high level of agreement (two skills with IQR of 0 and two with IQR of 1), the leadership skills selected showed a greater diversity in level of agreement. No leadership skill achieved an IQR score of 0; two leadership skills rated the lowest IQR score of 0.75, four rated an IQR of 1, and one rated an IQR of 2. This range of IQR values indicates that there was fair amount of disagreement among the panelists when it came to identifying the most important leadership skills for their middle level managers. This is consistent with observations in the literature that show that among senior level executives there is still a lot of confusion about the role of leadership in middle management (Carroll & Levy, 2008; Stoker, 2006).

Authentic. The descriptive phrase used to describe this skill reads *high level of integrity and strong moral compass.* This is one of two leadership skills that had the highest level of agreement among the panelists, with an IQR of 0.75. The words integrity and moral compass were mentioned by several of the executives as extremely important for success in non-profit organizations. In response to the first question about the

leadership skills he values in his managers, one executive emphatically stated: "The first one that comes to mind is integrity. Integrity, reliability, the whole thing about always telling the truth" (Executive 8, June 29, 2012). Another elaborated by saying, "Certainly because of the nature of the not for profit world, having a strong moral compass is really important. Understanding the difference between right and wrong; transparency more and more requires that in terms of financial statements, etc." (Executive 1, June 15, 2012). Another described the need for integrity and authenticity when leading others, an internal standard of self-leadership that inspires others: "It is much more about leading yourself…maximizing your own potential and your own abilities, and using those skills to help get others on board and really influence others" (Executive 7, June 28, 2012).

Promotes healthy organizational culture. The descriptive phrase that accompanied this skill is *leads by example, fosters trust, encourages tolerance and values diversity*. This is the second leadership skill that had the highest level of agreement among the panelists with an IQR value of 0.75. The importance of establishing a healthy culture within a non-profit was perceived to be a key leadership skill and directly related to the conveying the organization's mission. One executive expressed that middle level managers need to lead by "understanding the importance of [the organization's] image and corporate culture, conveying if you will the non-profit's mission, and identifying and modeling it" to their employees (Executive 5, June 27, 2012). Another participant discussed the role of trust in a healthy organization, and observed that "part of leadership is getting the people underneath you to trust you and to follow your lead" (Executive 4, June 26, 2012). One area of discussion that surfaced in multiple interviews was the increasing diversity in the work/volunteer forces, and the need for non-profits to insure

that their organizations are tolerant of the "different voices, that can be so enriching" (Executive 2, June 20, 2012). As this executive elaborated, "tolerance has to be at the top of the list because other cultures are coming into play which changes the points of view…and adds to the complexity by layering in another set of values" (Executive 2, June 20, 2012).

Values human capital. Described as *knows how to use, manage and develop human resources through coaching and mentoring,* this leadership skill achieved a median score of 7 with an IQR value of 1, indicating that there was disagreement among the panelists as to the importance of this skill. One executive expressed his view that non-profits have traditionally focused on the funding aspects of their organization, and may not have placed enough emphasis on the human capital dimension. As he explained,

> How do you train staff and volunteers to be successful?   I think understanding how you can leverage social capital, people, as opposed to money. We've all been pretty good at leveraging money. We've not really been good at leveraging people, and I think that is a skill I'm starting to weigh in terms of how we see people coming up through the organization. (Executive 1, June 15, 2012)

This observation is supported by studies reported in the literature that show that non-profits often feel pressure to choose between activities that focus on funding and those that support personnel development (Arsenault, 2004; Taliento & Silverman, 2005). When discussing personnel development specifically, there were multiple references to the importance of coaching and mentoring during the interviews, but without much elaboration as what exactly is involved.

One of the more interesting discussions revolved around the challenges of dealing with increasing diversity in the workforce in non-profits. One executive focused on the need to be more creative in leveraging the talents of a diverse work/volunteer force while meeting the needs of a diverse constituency:

> We're going to need to really look towards innovation and how do you deal with multicultural, multi-ethnic and incredible age diversity in addition to all the group dynamics that go along with that. Audiences are just more diverse and more sophisticated than we've ever had to deal with before. (Executive 1, June 15, 2012)

Takes responsibility. The descriptive phrase for this skill is *looks to take on more responsibility, proactively identifies issues and creates solutions.* This leadership skill rated an IQR value of 1, again indicating some disagreement among the panelists as to importance of this skill. Several of the executives expressed their view that leadership requires taking on more responsibility. As one participant explained, "you've got to be able to adjust, to want to take on more, and that may come in the form of additional responsibility or just be willing to do what you're doing better" (Executive 2, June 20, 2012). A few others expressed the desire for their mid-level managers to focus less on identifying and reacting to situations and more on providing a path forward in response. As one executive succinctly said, "I need managers to really be able to focus on the bigger vision, know what the problem is, but also how to lead their team through it and get beyond it. To really lead, not just react" (Executive 11, July 12, 2012). Another executive however, viewed taking responsibility as a personal leadership trait; one that reflects self-knowledge and awareness: "I really think that taking personal responsibility

is one of the top leadership things, and just leading from that space of knowing that you

don't know everything is important" (Executive 7, June 28, 2012).

Creates alignment. This leadership skill was described on the survey as *ensures*

that people and resources are aligned and moving in the right directions. Ranked with a

median score of 7 and an IQR of 1, there is some disagreement among the panelists as to

the importance of this skill. Kotter (1988) describes aligning people as a fundamental

leadership skill, not to be confused with organizing and staffing, a management skill.

One executive discussed alignment in the context of contrasting leadership and

management skills: "Managers are focused on a process or tasks or the accomplishment

of stuff. And leadership is the determination of what stuff needs to be done and seeking

alignment internally in order to be able to get that done" (Executive 9, July 6, 2012).

While others didn't specifically use the phrase alignment, there was discussion that

leadership needed to be focused on more than just the operational aspects, and should

have a larger vision in mind when looking at the utilization of resources, including

personnel.

Provides senior level support. The descriptive phrase that accompanied this skill

on the survey is *supports the CEO/President and keeps that person informed of any*

changes in the organization. This skill was the one item that was not identified through

the initial interview and coding processes, but was added by one of the participants at the

end of the first survey round. The first time that the entire panel ranked this skill was on

the second survey at which time it achieved a median score of 7 and reached consensus

with an IQR value of 1. It is unclear why this was considered a leadership skill rather

than a management skill, and will be discussed in a later section.

Relationship building. Described as *has a good understanding and knowledge of people, relates well to others and can build strong teams and alliances,* this is the final leadership skill that rated a median score of 7. Of the seven essential leadership skills identified, this skill showed the greatest level of disagreement among the panelists with an IQR score of 2. The ability to build relationships both within and outside of the organization was discussed as a very important leadership skill for managers in non-profits. As one executive explained,

> I think being able to really interact with people well is so critical because our middle managers have to be able to interact not only with the people we serve, and interact with top level management, but they also have to work within the community at large. It's hard to do all of that at one time. (Executive 3, June 22, 2012)

Other executives discussed the correlation between building relationships and teamwork. As one executive described, "You have to have a good understanding and knowledge of people to pick a good team, one that is going to be cohesive, work together, get the job done, and meet the vision you have laid out for the agency". She went on to say "I admire a manager who has a cohesive staff, a team that works well together and seems to enjoy working together" (Executive 5, June 27, 2012).

With the exception of *Provides Senior Level Support*, these leadership skills are all skills that are typically discussed as part of being a leader. What is surprising, however, is that other quintessential leadership skills that figure prominently in the literature, such as providing a vision or acting as a catalyst for change, did not make the top tier of essential skills. This will be discussed in a later section.

Senior Executive Views Regarding Middle Manager Skills

The purpose of the final research question was to determine if senior level executives saw more value in the management or leadership skills of their mid-level managers, and which of the two skills they would expect to be more valuable in the future.

The responses to the first interview question, which focused on the executives' current experience, found that five of the 11 participants felt that management skills are more valuable, two stated that leadership skills are more valuable, and four said that both are equally valuable. A few of the executives that found management skills to be of more value appeared to associate this need for management skills with the resource limitations that non-profits face. One executive made this very clear by stating, "I think management [skills] in middle managers right now, personally speaking, is more valuable because times are so hard" (Executive 2, June 20, 2012). Another elaborated:

> When you're so flat, as we are…I value their management skills; fewer problems that I have to address on a day to day basis. If they can take care of things within their own sphere of responsibility and authority, that's what I appreciate most. (Executive 5, June 27, 2012)

Only two panelists stated that they value leadership skills more than management skills. As one executive remarked, "managers help us be efficient…and enable us to be a good organization, but if we're going to be a great organization we need to have managers…join in a leadership role" (Executive 9, July 6, 2012).

Finally, four participants said that they value both skills equally. One executive sees a stepping stone relationship between the two skill sets, and remarked, "I think you

have to be the good manager before you can be the good leader. But to be really

successful you really have to have both. You just have to get them in order" (Executive

8, June 29, 2012). Another tried to clarify why both skill sets were so important:

> It's like oxygen and water, you have to have them both. If you have leadership
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> skills but can't manage, the department's going to fall apart. If you have
>
> management skills but you can't lead, I don't want to have to be the leader for
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> you. So that's not going to work and eventually we will end up parting ways.
>
> (Executive 4, June 26, 2012)

Interestingly, when these executives were asked about which skill set will be

more valuable as they look to the future, there was a significant shift to more leadership

skills. In fact, only one panelist stated that management skills will be more important and

only three said both skills will be equally important. Seven of the 11 however, stated that

leadership skills will be more valuable. This is consistent with some of the findings in

the literature that showed senior level executives would like to see more leadership skills

in the mid-level managers (Carroll & Levy, 2008; Kuratko et al., 2005; McDermott,

1995). As one executive noted, "If you're leading and bringing people along based on

their individual strengths…helping them take responsibility for their own workload, then

I find you have to manage less and the amount of energy is less" (Executive 7, June 28,

2012).

One scenario where a desired increase in leadership skills was specifically

mentioned by multiple leaders is in times of change. One executive who is currently in

the middle of a merger stated, "I need a manager to be able to lead his or her team to

implement a tremendous amount of change and that takes leadership skills. You can't be

in the middle of what we are [experiencing] and just manage, because this is about

leadership" (Executive 11, July 12, 2012). Another commented that "change has to occur

quickly or it dies on the vine". As a result, he went on to say that his hiring criteria is

shifting and he is no longer looking for individuals that can grow into management, but is

now hiring "people that can take it to the next level because each hire needs to improve

our capacity as opposed to replace our capacity" (Executive 9, July 6, 2012). The

recognition that middle managers can have a significant impact on implementing change

within the organization is strongly supported in the literature (Caldwell, 2003;

McDermott, 1995; Viitanen & Konu, 2009).

On the other hand, one executive who expressed her desire to have middle

managers that exhibited both sets of skills was fairly pessimistic about middle managers

actually taking on a stronger leadership role:

> Ideally it would be both. But I think that's difficult. I think that people have to be
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> willing to continue learning. And I think that a lot of times middle managers do
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> not want to continue to learn. They get very comfortable in one job, doing one
>
> thing continuously. (Executive 3, June 22, 2012)

Finally, one executive recognized that middle managers, regardless of career ambitions,

should be able to assume a leadership role when necessary: "Even if you're going to stay

in middle management for your whole life, every now and then you're going to have to

move over to that leadership mode" (Executive 1, June 15, 2012).

It is clear from the responses to these two questions regarding the value of

management and leaderships skills now and in the future that these senior level

executives believe that their mid-level managers will need to incorporate more leadership

skills moving forward. This attitude is reflected in the split between the number of management skills (four) and the number of leadership skills (seven) identified as essential and was further highlighted in the discussion above where the panelists showed a significant shift when identifying the skills that will be more valuable in the future. As one executive noted "in an organization that is flatter and less hierarchical, one would expect to see a need to have more managers lead not by directing but by personally assuming more characteristics of a leader" (Executive 6, July 6, 2012).

Findings of Interest

In addition to the 11 essential skills identified and discussed above, there were several other findings from this study that are of interest. These include skills that were eliminated at the conclusion of the first survey (considered not important), areas of discrepancy (discrepancies between what was discussed in the interviews and the resulting survey responses), and skills that appear to be similar but defined differently as a management or leadership skill.

Skills Not Considered Important

Of particular interest in this study are the management and leadership skills that were eliminated with the first survey round. The goal of this study is to identify those leadership and management skills that senior level executives consider to be essential for their mid-level managers. The 7-point Likert scale used in the surveys asked the panelists to rank each skill using a range that at the lowest end indicated that the skill had *no importance* and the highest end indicated the skill had *critical importance*. The percentage agreement criteria established for the first round survey required that the median value for a skill rank a 5 or greater by at least 75% of the participants to be

considered important. There were two management skills and four leadership skills that did not meet the selection criteria and were therefore eliminated from the study. A discussion of four of these eliminated skills follows.

Ability to identify trends. The description that accompanied this management skill in the survey reads *is constantly looking for shifts in the internal and external environment that may impact the organization*. Only 70% of the executives polled gave this skill a ranking of 5 or greater. While this management skill did not meet the selection criteria with the first survey responses, the one additional leadership skill added by a participant when submitting the first survey had a very similar description. Although the new added skill was defined as *Provides Senior Level Support*, the accompanying description is *supports the CEO/President and keeps that person informed of any changes in the organization*. This skill went on to rank as one of the 11 essential skills. While this skill is narrower in focus (specifically tied to keeping the senior executive informed of internal changes) it certainly shares the overall purpose of recognizing shifts and trends that might have an impact on the organization. During the interview process, the issue of trend identification was discussed in response to questions on management skills. One executive explained that managers need to "have a mind for trends out there. If there is something that they're seeing, they need to bring that to my attention." She went on to explain that this is important because "how else do we learn what we need to learn to stay relevant, and meet the changing needs in the community?" (Executive 11, July 12, 2012). While the panel agreed that sensitivity to trends that may impact the organization is a valuable skill in middle managers, they did not necessarily

see it as a key management skill. It is unclear why a narrower interpretation was ranked as an essential leadership skill.

Risk taker. This leadership skill was described in the first survey as *is comfortable taking risks.* In the literature, taking risks is almost universally viewed as a quintessential leadership skill. Yet, with the first survey round, this skill only achieved a 70% agreement among the panelists and therefore did not clear the threshold of 75% to be included in the study. This finding is very surprising, and may be an indication that these senior level executives are still either unclear or uncomfortable with their middle managers assuming more true leadership skills. In describing change leaders and change managers, Caldwell (2003) distinguishes between the two with change leaders creating the vision (taking the risk) and change managers translating that vision into agendas and action items. It may be that in thinking about times of change (when taking risks is required) the senior level executives in this panel were more comfortable with their middle level managers focused on implementation skills rather than on taking chances.

Respectful of followers. This leadership skill was described as *sensitive to the fact that not everyone can see the vision the way they do.* This skill only achieved 70% agreement and was therefore eliminated from the study. Yet, the ability to cultivate followers is a key leadership skill. Chaleff (2003), who wrote one of the definitive books on followership, makes a very strong distinction between *follower* and *subordinate* and the relationship each has with a leader: Whereas a subordinate reports to someone of a higher rank, a "follower shares a common purpose with the leader" (p. 15). One executive on the panel highlighted this concept with this comment, "I think that leadership is more attuned to [encouraging] a following, whereas managers often times

expect that those below them have to follow" (Executive 10, July 9, 2012). Respect for followers is essential to generating a common purpose.

Effective management and leadership both require the recruitment of others to meet the organization's goals. Leadership however, creates a situation where the leader is often times working on ideas that are significantly ahead of where the rest of the team currently resides. As one executive noted,

> I appreciate leaders that are sensitive to the fact that everybody can't be dreaming. I really respect those that come up with new ideas, but they also have to be sensitive and flexible with their followers. They have to recognize that everybody can't go at the same pace. (Executive 10, July 9, 2012)

Understanding and respecting the role of followers is an essential part of leadership, and the elimination of this leadership skill was a surprising development.

Charismatic. The description that accompanied this leadership skill in the survey is *has energy and enthusiasm that attracts others and makes others want to follow*. This skill only achieved a 60% agreement level, falling far short of the 75% required to be included in the study. This is another surprising finding since there is entire body of literature devoted to the theory of charismatic leadership (Conger, 1999; House, 1976). Many founder-led non-profit organizations got their start because the leader was charismatic and able to attract others to the cause. One executive described how a charismatic manager influences her organization:

> I have a middle manager who I would say is actually a great leader. She is a magnet. People are instantly attracted to her. She walks into a room and she has the energy that can attract anyone. Our board loves her. Donors love her. Her

staff likes to be around her. She has energy, enthusiasm for what we do, and she

makes people believe it. And that is the leadership skill we should all have.

(Executive 6, June 27, 2012)

In summary, the skills that were eliminated at the onset of the study (particularly

the three leadership skills) provide an interesting insight into how these senior level

executives view the role of their middle managers. During the interview process the

panelists expressed frustration over the tendency of middle managers to focus too much

on the maintaining the status quo. The exclusion however, of such key leadership skills

such as taking risks, respecting followers and a certain level of charisma, indicate that

these executives may not be yet comfortable with their middle managers assuming a

stronger leadership role.

Areas of Inconsistency

There are several areas where the importance of particular skill was discussed in-

depth by one or two individuals, or more broadly identified as important by the majority

of the panelists during the interviews, but received lower than expected scores during the

survey rounds. These areas of inconsistency, including two management skills and two

leadership skills, are discussed below.

People skills. Defined as *is consistent in approach, can manage conflict and

promote collaboration,* having good people skills was mentioned by all 11 interviewees

as an important management skill for mid-level managers. This point was emphasized by

one executive who said that good people skills is "the hardest but most important thing

because 85% of management is people. The rest of it is things and process" (Executive 3,

June 22, 1012). Another discussed how important it was for her middle managers to have

good people skills in the current economic environment "…because people right now in general are anxious, concerned about their futures, uncertain about so many things that we can't control" (Executive 2, June 20, 1012). Huy (2002) talks about the important role that middle managers play in helping to maintain continuity in an organization during time of uncertainty through their ability to provide emotional support. Yet, this skill was not one of the essential management skills identified through the survey process, netting a 6.5 median score with an IRQ value of 1.

     Execution. This management skill was defined as *proficient at managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task.* Once again, the terms execution or day-to-day operations was mentioned by the majority of the panelists as a fundamental management skill. One executive was particularly succinct when asked with the first interview question to define her concept of management: "Management is just managing day-to-day operations" (Executive 3, June 22, 2012). Another elaborated, but basically covered the same ground: "When you talk about management, I'm thinking this is the hands-on, day-to-day operations. Seeing that the job is getting done at the level where it is actually being implemented to the people we are serving" (Executive 5, June 27, 2012). A third added "…management is planning, organizing, staffing, coordinating, those kinds of real simple, simple skills" (Executive 1, June 15, 2012).   Throughout the interview process, management was most often described as the ability to get things done, but execution only achieved a median score of 6 with an IQR of 1 in the survey results.

     Vision. The description that accompanied this skill is *understands where the organization or department is today, and by recognizing shifts in the environment, where*

it needs to be in the future. During the interview process, 10 out of the 11 executives specifically mentioned the term *vision* when discussing leadership skills, and all 11 touched on the topic in various ways. In many cases, it was the very first descriptive term used when asked to define leadership. As one executive remarked, "I always see leadership as someone who is the visionary of the organization" (Executive 6, June 27, 2012). Another mentioned, "I think leadership requires somebody that can, in fact, see forward and actually lead people in that direction. They are able to get a glimpse, if not a greater perspective, on what the future's going to be" (Executive 3, June 22, 2012). A third added, "I think leadership skills require you to be something of a visionary in terms of seeing the future" (Executive 7, June 27, 2012). Yet, the survey results concluded with vision ranking a median score of 6 with an IQR of 1. It is unclear why a skill so universally described during the interviews as a key leadership skill did not achieve a higher median ranking, and indeed, was not considered an essential skill with a median ranking of 7.

Acts as a catalyst. Defined as *creates, promotes and embraces change,* this leadership skill ranked at the same level as vision with a median score of 6 and an IQR of 1. According to Kotter (1990), the primary function of leadership is to produce useful change. During the interview process when describing leadership skills, several of the executives used the words *catalyst* and *change agent* multiple times. One executive explained, "To be a leader, I think you have to be a catalyst on some level. I think that you have to be somebody who is able to create change" (Executive 7, June 28, 2012). Another elaborated that middle managers need "to be change agents, and not just preserve the status quo". She went on to add, "Nothing about non-profits is going to be

sustainable without having folks that are good change agents" (Executive 11, July 12, 2012). This executive connects the importance of middle managers acting as change agents with organizational sustainability, yet this skill did not achieve a median ranking of 7 to make it one of the identified essential skills.

Kotter (1990, 2001) discusses how the primary function of management is to cope with complexity whereas the primary function of leadership is to produce movement and change. When looking at the two management skills discussed in this section (*People Skills* and *Execution*), both of these skills are integral in dealing with complexity, and it was surprising that both of them did not rank as an essential skill. The same can be said for the two leadership skills (*Vision* and *Acts as a Catalyst*) that did not make the top tier. It is hard to imagine more important skills in producing movement than vision and acting as a catalyst, yet both of these skills fell short of identification as an essential leadership skill.

Similar Concepts, Defined Differently

One of the difficulties in discussing management and leadership is that the same skill can often be described in different ways. For example, the skill of *listening* was discussed as both a management and leadership skill, but it was explained in different terms during the interview process depending on the whether the question was focused on management or leadership. There are several instances in this study where the same or similar skill was highlighted as both a leadership and management skill, yet the description of the skill varied depending on the interview question.

Listening. In a management capacity, this skill was termed *Good Listener* and described as *makes people feel like they are being heard, can empathize with differing*

viewpoints and positions". One executive explained that good managers listen to their direct reports and are able "…to be empathetic with the position that the other person has been in. You don't have to agree with what they did, but be empathetic to the fact that they were in that position in the first place" (Executive 6, June 27, 2012). As a leadership skill, listening was termed *Active Listener* and described as *willing to hear other opinions and incorporate that information into their decision making*. The term *active listening* was mentioned by several interviewees. One executive, when reflecting on desired leadership skills in her middle managers, said "It's always about active listening skills, active engagement. How do you ask the right questions to empower folks to come up with solutions, buy into solutions, so that we're not barking demands?" (Executive 11, July 12, 2012). Another added, "I think a good leader is someone who steps back in a non-judgmental way and tries to assess all [the feedback] before they come up with their thoughts about a direction" (Executive 2, June 20, 2012). In the final analysis, the management skill of *Good Listener* was ranked with a median score of 6 and an IQR value of 0.75, and the leadership skill of *Active Listener* was eliminated from the study at the first round. It is somewhat surprising that a key leadership skill such as active listening did not clear the initial threshold.

Decision making. When discussing management, this skill was termed *Confident Decision Making* and described as *comfortable in making difficult decisions in a timely manner.* Several of the executives during the interview process discussed their frustration with the difficulty middle managers often have in making decisions. Explained one executive, "I've had some people reporting to me who are not real confident about moves that they're going to make and they want to get some sort of

reassurance before they make a decision" (Executive 4, June 26, 2012). Another said, "When I need them to make those decisions when managing their staff, a lot of times it comes back to me" (Executive 6, June 27, 2012). When discussing decision-making as a leadership skill, it was termed *Decisive* and described as *can make tough choices quickly, avoids wavering and prolonged uncertainty.* One executive elaborated on the need for those in a leadership position to "make those tough decisions sooner rather than later so that the [organization] is not wallowing in some uncertainty for a while" (Executive 2, June 20, 2012). In the final rankings, *Confident Decision Making* had a median score of 6.5 with an IQR value of 1, and *Decisive* had a median score of 6 and an IQR value of 1. Although decision making was discussed in slightly different ways when discussing management and leadership, the desired outcome is essentially the same; to make decisions on tough issues quickly.

Relationships. When discussed in a management context, this skill was termed *Relationship Management* and described as *facilitates a positive interaction when working with other entities both within and outside of the organization.* One executive mentioned the importance for mid-level managers to "have a clear understanding of the contract they're managing, and be able to manage all of the relationships, both internal ones and external ones, connected [with that contract]" (Executive 11, July 12, 2012). Another discussed managing relationships as the ability to "shift gears from feeling like their job is to do stuff, to feeling that their job is to facilitate and enable other people doing stuff" (Executive 4, June 26, 2012). As a leadership skill, the term used was *Relationship Building* and defined as *has a good understanding and knowledge of people, relates well to others and can build strong teams and alliances.* As one of the 11

essential skills identified in this study, relationship building was discussed previously in some detail. The observation was that effective leadership requires a good understanding of people, which supports the ability to interact with multiple constituencies and to build strong teams. As one executive mentioned, "…relationships are so key in our business. How [our middle managers] do their work is just as important as what they do, and how they work with others is just as important" (Executive 9, July 6, 2012). As a management skill, *Relationship Management* had a median ranking score of 6 with an IQR of 0, while *Relationship Building* had a median ranking score of 7 with an IQR of 2. While the importance of relationships were discussed in slightly different ways when discussing management and leadership, both highlighted the common theme of working well with others, both inside and outside the organization.

   Mentoring. In a management capacity, this skill was termed *Mentoring* and described as *can identify talent and works to develop skills in others.* One executive explained when discussing desired management skills in his middle managers, that "everything from recruiting to growing the people underneath them, all that stuff becomes more important [as we grow]" (Executive 4, June 26, 2012). Another noted the importance of this skill with both employees and volunteers:

   Teaching and developing people, both on the staff side and on the volunteer side are absolutely paramount. We have 12,000 registered volunteers…and only 60 fulltime employees. So the leverage is pretty incredible, and you can only be successful using that leverage if you know how to organize, manage and teach people how to be successful in carrying out the mission of our organization. (Executive 1, June 15, 2012)

When discussed as a leadership skill the term used was *Values Human Capital* and was described as *knows how to use, manage and develop human resources through coaching and mentoring*. This skill is included in the 11 essential skills identified in this study, and was discussed in more detail in a previous section. As a leadership skill the discussion was more focused on interacting with the entire workforce, particularly the challenges in dealing with an increasingly diverse and educated population. As one executive put it, "understanding how to use, manage and develop social capital is really, really important. The dynamics of the volunteer pool has changed, and volunteers are more sophisticated now than they used to be in [demanding information]" (Executive 1, June 15, 2012). As a management skill, *Mentoring* ranked a median score of 6 with an IQR of 1.5, and as a leadership skill, *Values Human Capital* ranked a median score of 7 with an IQR of 1. Although both of these skills include a mentoring element, the differences between them highlight that the focus of management is often times on the personnel training and development element, whereas the focus of leadership is on dealing with the changing dynamics of the larger workforce pool.

Investigator Observations

During the course of the interview process, several of the executives elaborated on topics not directly related to the research questions, but were especially insightful regarding future challenges for non-profit organizations and for middle managers. Three of these topics are presented below.

Diversity in the workforce. According to several of the panelists, one challenge that is facing non-profit organizations is an increasing diversity in the workforce. As one executive explained: "This is certainly the first time in our lifetime, as Americans, that

we have had such diversity in terms of both cultural and age in the workplace at the same time". He went on to suggest that in order to meet this challenge, "there's going to have to be some new innovative ideas" in workforce management (Executive 1, June 15, 2012). A few of the participants expressed their belief that to be successful in the future, organizations will have to adjust how they interact with their volunteers and employees, and be open to using different incentives in order to motivate. According to one executive, "to those of us who are boomers, the idea of incentivizing your best and most productive people by giving them more time off is counterintuitive" (Executive 1, June 15, 2012). Another, when discussing the deficit in the non-profit leadership pipeline in general, felt that the overwhelming time demands on non-profit executives discourages younger, talented employees from seeking more leadership responsibilities. He suggested that "there may be more people interested in stepping up to bat if it's a manageable job consistent with the expectations of the next generation" (Executive 9, July 6, 2012). Finally, as one executive noted, more flexibility and sensitivity will be required of everyone within the organization; "We have to be even more sensitive to the different voices that are coming at us in the workplace, and [recognize] that is just a reflection of the our [changing] world" (Executive 2, June 20, 2012). The management skill of relationship management and the leadership skill of relationship building both have elements that help to address this challenge.

   Empirical data. A couple of the executives commented on the need for non-profit leaders to be better versed in the use of empirical data. For many years, the mission of the organization was the key driver in raising funds. Individuals and corporations would make contributions because of the good work that the non-profit

organization supported. As on executive explained: "There's certainly more competition for philanthropic support. We're going to have to get better at really having empirical research. Most of us have survived for a long, long time on anecdotal stuff, but that doesn't cut it anymore" (Executive 1, June 15, 2012). He went on to described how in the past, all he had to do was mention the name of his organization, and people would write checks. Then it evolved to where he would talk about how many children he was serving, and people would just write a check. But in the last decade or so, the general feeling has been "…the fact that you serve 30,000 kids in Orange County says that you are popular. It doesn't say anything about if you are effective. Anecdotal information makes you feel good, but it [no longer] impresses donors" (Executive 1, June 15, 2012). This observation suggests that the management skill of *Comfortable with data* (which was ranked with a median score of 6 and an IQR value of 0), will be an increasingly important skill in the future.

Frustration with middle managers. Across all of the executives interviewed there was a persistent, but with varying degrees of intensity, frustration with their middle managers. They described their middle managers as risk adverse, resistant to change, avoiding responsibility and bureaucratic; in other words, saddled with many of the same descriptions found in the literature. As one executive explained, "my mangers are very risk adverse. They don't want to take chances; everything has to be done in between the lines" (Executive 10, July 9, 2012). Another added, "I'm finding that a lot of my managers don't love change. They perceive themselves as managing; managing people, running the program, and [they risk] getting put into a silo. I wish my managers had more leadership skills" (Executive 11, July 12, 2012). Yet another stated, "they think

it's a lot easier to just say here's the black, here's the white and not deal in the gray at all

because they don't want to be responsible" (Executive 2, June 20, 2012). Ultimately, one

executive summed up his frustration with middle managers by describing how their

resistance and inflexibility diminishes sensitivity and adds to the bureaucracy in the

organization: "I've spent a lifetime with nonprofits. And you know we're out there

trying to help people, yet we're some of the worst sometimes at not being sensitive to

people. I think bureaucracy is the most insensitive place in the world" (Executive 9, July

9, 2012). This general frustration with middle managers suggests that these executives

would like to see more leadership skills in use, yet many of the leadership skills identified

in this study, were not ranked as essential skills (i.e. risk taker, acting as a catalyst, vision,

etc.).

Implications of Findings

Over the past several years, the tightening economic environment has exerted

much pressure on non-profit organizations. A decrease in funding combined with an

increase in demand is forcing many non-profit organizations to take a hard look at how

they conduct business. As the number of non-profits increase, there will be increasing

competition for limited funds and potential donors will no longer focus only on the

mission of the organization. There will be greater scrutiny on the overall effectiveness of

the organization, which will be strongly influenced by both organizational excellence and

the demonstrated ability to adapt to the changing needs of stakeholders.

The findings in this study indicate that the participating senior level executives

have a good understanding of the managerial skills that will be required in their mid-level

managers to meet the organizational challenges of the future. The identified managerial

skills were easily defined and in most cases mirrored management skills cited in the literature. There was a fairly high level of agreement among the executives in the selection of the important management skills as indicated by the average interquartile range value of 0.75 across all 16 skills.

The real challenge in looking toward the future, however, will be to develop and enhance the leadership skills of middle managers. In discussing the desired leadership skills these executives would like to see in their mid-level managers, they did not seem to be as clear on the skills that they wanted, and often struggled to articulate leadership skills except when in relationship to management skills. In the selection of their desired leadership skills, quintessential leadership skills often discussed in the literature such as taking risks and active listening, did not clear the selection criteria to be included in the remainder of the study. Other key leadership skills, such as vision and acting as a catalyst for change, did not rank among the most essential skills. Even the level of agreement on the selected skills shows a greater range of variability, as demonstrated by an average interquartile range value of 0.95 across all 16 identified leadership skills.

At the same time that these executives expressed their view that leadership skills in their middle managers will be more valuable to the organization in the future, they voiced disappointment in their managers' current level of leadership ability. As discussed previously, all of these executives expressed various levels of frustration with their mid-level managers and specifically mentioned the inability of middle managers to embrace change and take risks, and their lack of vision. Yet these are exactly the same leadership skills that through the survey process they failed to rank as most important.

The confusion that might result from senior level executives having clarity on the management issues they desire, but a level of uncertainty regarding the leadership skills they would like to see adopted, could have an impact on the ability of the organizations they lead to meet the demands non-profits will face in the future. According to several of the executives quoted earlier, working with limited resources tends to favor an emphasis on management skills. The increasing competition for donation funds could further tighten budgets, encouraging even greater reliance on the management skills of middle managers and hampering the adoption of more leadership skills. While at the same time, continued economic pressure will require organizations to rapidly make adjustments to meet the changing needs of their stakeholders. This will require strong leadership skills throughout the organization to catalyze and facilitate this type of change. If there is continued uncertainty surrounding key leadership skills, especially the several key skills in this study that failed to be identified as important, middle managers will be unprepared and unable to drive the necessary changes to ensure the continued success of the organization.

Longer term implications will be felt in the non-profit leadership pipeline that is already suffering from a deficit of senior leaders. Middle managers need to be adopting more leadership skills into their current roles now in order to develop and hone these skills to be able to lead from the top. If, however, their current senior executive team is either unclear or uncomfortable with middle managers utilizing the full range of leadership skills, these mid-level managers will be unprepared to assume additional responsibility and will ultimately lack the experience necessary to become senior level executives.

Recommendations for Utilization of Findings

The leadership pipeline deficit as described by Tierney (2006) suggests that middle managers in non-profit organizations need to expand their leadership and management skill sets in order strengthen the organization and to prepare for future executive level positions. This study provides an overview of some of the key skills in each area that senior level executives would like to see embraced by their mid-level managers.

The findings outlined in this study may be used to create training programs designed to assist mid-level managers in learning, adopting and practicing key leadership and management skills. While middle managers are most likely proficient in many of the 16 management skills identified in this study, the four essential skills highlighted may allow for more in-depth training in an effort to strengthen the skill base. Based on the responses from the senior level executives in this study, many of the 16 identified leadership skills are not widely adopted. Training in these important skills will be critical in preparing these mid-level managers to assume more responsibilities as their organizations grow, and to be ready to move into executive leadership roles.

The skills identified in this study may also be used to identify current strengths and weaknesses within the management structure in an organization, and thereby influence the selection and hiring of additional personnel to provide balance and stability. Recognizing that an organization is stronger and healthier when both skills sets are present, using the information from this study may help in seeking out individuals that possess skills currently lacking in the organization.

Areas for Further Research

The results of this study suggest several areas for additional research to gain a better understanding of the views on management and leadership concepts in non-profit organizations.

This study focused on a small group of non-profit executives located in a specific county in California. Expanding a similar study to include a broader selection of executives from non-profits around the country might provide some insight into regional differences or concerns. In addition, increasing the number of viewpoints may help to eliminate any anomalies that may have resulted from the small study size.

As a companion to this study, it might be interesting to interview mid-level managers in non-profit organizations to gauge their understanding of management and leadership concepts, and to identify the skills they believe are most valuable. Understanding how middle managers view the challenges of incorporating both management and leadership skills could provide useful insight to senior level executives.

Several local chapters of national non-profit organizations were included in this study. It might be worthwhile to explore whether or not organizational culture influences how management and leadership concepts are viewed within a specific national organization. It would be interesting to see if there are differences between individual local chapters, between local chapters and the national organization, and between different national organizations.

Finally, the leadership deficit in the non-profit sector has resulted in many for-profit executives accepting leadership positions in non-profit organizations. Additional studies that compare how previous for-profit executives and their career non-profit

executive counterparts view management and leadership skills may provide some insight into the influence these cross-over executives may have in developing the skills of non-profit middle managers.

Conclusions

Changes in the economic environment suggest that the number of non-profit organizations will continue to increase as more services are transferred to the public sector. As a result of this shift, the demand for mid-level managers with a good balance of both leadership and management skills to effectively manage these organizations will intensify. As mentioned previously, Tierney (2006) projects that the challenge to staff non-profits with individuals that have the required leadership and management skills will become increasingly difficult over the next few decades, and that to address this potential shortfall, more investment must be made by non-profit organizations to build leadership and management capacity.

This study attempted to identify the essential management and leadership skills that current senior level executives in non-profit organizations would like to see in their mid-level managers. Recognizing and understanding which skills are considered to be most valuable is the first assessment step necessary to enable planning for future investment in training and coaching.

In the area of important management skills, the findings in this study tracked closely with many of the skills that have been identified in the literature. This supports various previously conducted studies that indicate that management skills in general are fairly well understood and easy to describe and quantify. In contrast, many of the leadership skills traditionally identified in the literature were not selected as essential

skills in this study. This may suggest that these executives are not yet comfortable with their mid-level managers assuming the full range leadership approaches. The overall consensus however, is that developing leadership skills in mid-level managers is an increasingly important aspect of organizational health and contributes to the ability of the non-profit organization to meet the changing needs of the people they serve.

Organizations are best served when there is a good balance of management and leadership skills. Focusing attention on the development of leadership skills in mid-level managers will assure that this balance is felt throughout the organization. As non-profit organizations become flatter, and attempt to accomplish more with fewer resources, middle managers that can both manage complexity and lead change will become increasingly important to achieving and maintaining success.

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APPENDIX A

Email Solicitation

Dear XXXXX,

I am a doctoral candidate in the Organizational Leadership program at Pepperdine University currently working on my dissertation. The reason for this email is that I am looking for senior level executives in non-profit organizations that would be interested in participating in my study to identify the important leadership and management skills in mid-level managers.

If you are interested in learning more, please read the attached single page document. If you would like to participate, hit the reply function on your email, complete the information below and then send this email back to me by Monday, June 11th.

I appreciate your consideration and hope to hear back from you.

Best Regards,
Vicki Clements, Doctoral Candidate

Thank you for your interest in participating in this study. The requested contact information below will be used to schedule an interview. The three demographic questions will be used as collective background data for the study. Your individual responses will be confidential and will not be linked to you or your institution in any written materials.

Name:
Organization:
Preferred Email:
Preferred Phone #:

1. How many years have you served in a senior management position?

2. How many years have you been in your current position?

3. How many managers report directly to you?

APPENDIX B

Invitation Letter to Participate

As you may know, there has been a lot of discussion over the past several years regarding a predicted leadership deficit in non-profit organizations. While there are multiple factors contributing to this leadership shortfall, one of the reasons given in a 2006 study is the lack of internal development of leadership and management talent. Building a leadership pipeline requires that mid-level managers cultivate their leadership and management skills so that they are better prepared to move into executive leadership roles.

I would like to invite you to participate in a study I am conducting for the completion of my doctoral dissertation at Pepperdine University. The purpose of the study is to solicit the opinions of senior level executives in non-profit organizations to identify specific managerial and leadership skills that they believe are important for effective mid-level management.

You are eligible to participate in this study if:

1. You have been in a senior leadership position at your organization for at least one year
2. There exists at least one managerial level between you and the front line supervisors in the organization
3. Your organization has more than 25 employees and/or volunteers

This study will be conducted using a Delphi research process, which includes an in-person interview and two or three rounds of follow-up data collection via on-line questionnaires. I estimate that the interview will take approximately 30-45 minutes, and the questionnaires 15 minutes each. The anticipated time frame for this study is to begin interviews in June, 2012 and complete the final round of data collection in August, 2012. All senior level executives who participate will receive a copy of the completed study if interested.

I am hopeful that the skills identified in this study can be used by non-profits to further develop their mid-level managers and build a strong leadership pipeline within the organization. If you are interested in participating in this study, please complete the request for contact information in the body of the original email and send back by using the reply function.

Your participation is completely voluntary and you may withdraw from the study at any time. Your participation in this study will remain confidential, and your name and the name of your organization will not be disclosed in the written findings. I hope this study is of interest to you and thank you in advance for your participation.

Sincerely,

Vicki Clements
Doctoral Student, Pepperdine University

APPENDIX C

Informed Consent Form

The following information is provided to help you decide whether you wish to participate in this study.

The purpose of this study is to solicit the opinions from senior level executives in non-profit organizations regarding specific managerial and leadership skills that they believe are important for effective mid-level management. This study is conducted in partial fulfillment of the requirements for the degree of Doctor of Education in Organizational Leadership at Pepperdine University. The skills identified in this study will have value in creating internal development programs to enhance the performance of mid-level managers and to prepare them for senior level positions.

In order for me to use what I learn from you in my research and publications, I am required to ask for your permission to be interviewed. You should be aware that your participation in this study is strictly voluntary. You are free to decide not to participate or to withdraw at any time without affecting your relationship with me, Pepperdine University, or any other entity. You will receive no monetary compensation to participate in this study.

The foreseeable risks or potential discomfort to you as a result of participating in this study are minimal. The records of this study will be kept private and stored securely such that only the principal investigator will have access to these records. Your participation will be confidential, and at no time will you or your organization be identified in the written findings. Upon your request, I will provide a copy of any published papers or professional presentations that take place as a result of this study.

With your permission, I will be recording this interview. You are under no obligation to answer every question, and please feel free to ask me to stop or resume taping this discussion at any point in our conversation. The digital recording from this interview will be sent to a transcription service who will transcribe the interview. This information will be kept strictly confidential and will be available only to the principal investigator. The transcription service will delete all files once they are transcribed and sent back to me. May I record this interview?

Please feel free to ask any questions about this study before we begin, during the course of the study or after this interview has been completed by contacting Vicki Clements, Principal Investigator, at ███████████████████████████████, or Dr. Kent Rhodes, dissertation chairperson, at ████████████████████████████. For information regarding your rights, please contact Jean Kang, Manager, GPS IRB and Dissertation Support at Pepperdine University at ████████████████████████.

_____   _____
Principal Investigator's Signature   Date

_____   _____
Participant's Signature   Date

APPENDIX D

Research and Interview Questions

Research Questions	Interview Questions
RQ1: How do senior level executives in non-profit organizations define management and leadership?	1) Can you briefly define your concepts of management and leadership? 2) In your opinion, how do leadership skills and management skills differ? 3) In your opinion, how do leadership skills and management skills work together?
RQ2: According to senior level executives in non-profit organizations, what management skills are desired in mid-level managers?	1) When thinking about your middle managers today, what specific management skills do you value? 2) When thinking about the future of your organization, what management skills become more important for your middle managers to possess? 3) Ultimately, what management skills would you consider to be ideal in your middle managers?
RQ3: According to senior level executives in non-profit organizations, what leadership skills are desired in mid-level managers?	1) When thinking about your middle managers today, what specific leadership skills do you value? 2) When thinking about the future of your organization, what leadership skills become more important for your middle managers to possess? 3) Ultimately, what leadership skills would you consider to be ideal in your middle managers?
RQ4: To what extent, if any, do senior level executives in non-profit organizations view management skills or leadership skills as more valuable in their middle managers?	1) In your experience, do you see management or leadership skills as more valuable in your middle managers? 2) As you look towards the future, do you see a need for your middle managers to develop more leadership skills, more management skills or both?

APPENDIX E

Interview Follow up Questions

Follow up questions: The researcher at her discretion may ask as many of these non-leading follow-up questions as necessary to gain better understanding:

1. Why do you consider that to be a management skill as opposed to a leadership skill?

2. Why do you consider that to be a leadership skill as opposed to a management skill?

3. Can you give me an example?

4. Can you elaborate?

5. Can you clarify?

6. Can you tell me more?

7. Can you explain that further?

8. What can you tell me about…?

APPENDIX F

Results From Double Coding

Double coding results	Researcher	2nd coder		
Management Skills	page #	page #	same	total
Communication: Ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents	3,9,11	3, 9, 11	3	3
Accountability: Knows how to hold oneself and others accountable, understands shared accountability	9,11	9	1	2
Problem Solving: Quick thinker, ability to prioritize and proactively seek solutions	5,11	5, 11	2	2
Organized: Ability to manage time and resources effectively	2,4	2, 4	2	2
Flexible: Able to adjust to changing situations	5	5	1	1
Rational: Calm under pressure, able to juggle multiple challenges				
Confident decision making: Comfortable in making difficult decisions in a timely manner	1,4,5,6	4, 5, 6	3	4
Self Aware: Recognizes own strengths and weaknesses and knows how to hire and build teams to balance own shortcomings				
Execution: Proficient at managing the day-to-day operations (planning, organizing, staffing, etc), ensures that everyone stays on task	2,4,9	4, 9	2	3
People Skills: is consistent in approach, can manage conflict and promote collaboration	1	9, 11	0	3
Comfortable with data: Ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)	3		0	1
Good Listener: makes people feel like they are being heard, can empathize with differing viewpoints and positions	6	6	1	1
Self reliant: Motivated to achieve, can work autonomously within specified guidelines	1,9	1	1	2
Mentoring: can identify talent and works to develop skills in others	1,6	1, 6	2	2

Focused on the mission: Understands that it is about organization success not individual success	8,9	8	1	2
Social Media: understands the importance and impact of social media and can apply principles to promote organizational awareness				
Relationship Management: Facilitates a positive interaction when working with other entities both within and outside of the organization	1,6,9	1, 6, 9	3	3
Ability to identify trends: is constantly looking for shifts in the internal or external environment that may impact the organization	8	8	1	1
Leadership Skills				
Vision: understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future				
Risk-taker: is comfortable taking risks				
Authentic: high level of integrity and strong moral compass				
Life-long learner: continually looks for opportunities to learn and evolve	2		0	1
Independent thinker: Innovative, creative, looks for opportunities outside of the box	9,10	9, 10	2	2
Values human capital: knows how to use, manage and develop human resources through coaching and mentoring	1,4	4, 10	1	3
Promotes healthy organizational culture: leads by example, fosters trust, encourages tolerance and values diversity				
Persuasive: can cultivate enthusiasm for ideas and generate buy-in for decisions				
Acts as a Catalyst: Creates, promotes and embraces change	11	11	1	1
Maintains perspective: Stays balanced with a good sense of humor				
Charismatic: Has energy and enthusiasm that attracts others and makes others want to follow				

Inspirational: Is able to inspire and motivate others, brings out the best in them	4	4	1	1
Active Listener: Willing to hear other opinions and incorporate that information into their decision making				
Takes responsibility: Looks to take on more responsibility, proactively identifies problems and creates solutions	9	9	1	1
Collaborative: Knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion	8	8	1	1
Decisive: Can make tough choices quickly, avoids wavering and prolonged uncertainty	6	6	1	1
Relationship building: Has good understanding and knowledge of people, relates well to others and can build strong teams and alliances	2,8,11	2, 8, 9, 11	3	4
Creates alignment: ensures that people and resources are aligned and moving in the right direction				
Respectful of followers: sensitive to the fact that not everyone can see the vision the way they do	10	10	1	1
			35	48

APPENDIX G

First Questionnaire

The Essential Leadership and Management Skills of Mid-Level Managers in

Management Skills

Please rate the importance of each of the following management skills in terms of their importance for middle level managers, where 1 indicates no importance and 7 indicates critical importance

*1. Communication - ability to take information and organize it for other people to understand and use, both up and down the organization and with diverse constituents

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*2. Accountability - knows how to hold oneself and others accountable, understands shared accountability

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*3. Problem solving - quick thinker, has the ability to prioritize issues and proactively seek solutions

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*4. Organized - ability to manage time and resources effectively

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*5. Flexible - able to adjust to changing situations

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*6. Rational - calm under pressure, able to juggle multiple challenges

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*7. Confident decision making - comfortable in making difficult decisions in a timely manner

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

*8. Self aware - recognizes own strengths and weaknesses and knows how to hire and build teams in order to balance own shortcomings

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

The Essential Leadership and Management Skills of Mid-Level Managers in

*9. Execution - proficient at managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*10. People skills - is consistent in approach, can manage conflict and promote collaboration

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*11. Comfortable with data - ability to use data to inform decisions (e.g. building a budget, identifying shifts in demographics, measuring outcomes, etc.)

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*12. Good listener - makes people feel like they are being heard, can empathize with differing viewpoints and positions

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*13. Self reliant - motivated to achieve, can work autonomously within specified guidelines

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*14. Mentoring - can identify talent and works to develop skills in others

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*15. Focused on the mission - understands that it is about organization success, not individual success

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*16. Social media - understands the importance and impact of social media and can apply principles to promote organizational awareness

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

*17. Relationship management - facilitates a positive interaction when working with other entities both within and outside of the organization

no importance   critical importance

◯   ◯   ◯   ◯   ◯   ◯   ◯

The Essential Leadership and Management Skills of Mid-Level Managers in

*18. Ability to identify trends - is constantly looking for shifts in the internal and external environment that may impact the organization

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

Leadership Skills

Please rate the importance of each of the following leadership skills in terms of their importance for middle level managers, where 1 indicates no importance and 7 indicates critical importance.

*19. Vision - understands where the organization or department is today, and by recognizing shifts in the environment, where it needs to be in the future

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*20. Risk-taker - is comfortable taking risks

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*21. Authentic - high level of integrity and strong moral compass

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*22. Life-long learner - continually looks for opportunities to learn and evolve

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*23. Independent thinker - innovative, creative, looks for opportunities outside of the box

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*24. Values human capital - knows how to use, manage and develop human resources through coaching and mentoring

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*25. Promotes healthy organizational culture - leads by example, fosters trust, encourages tolerance and values diversity

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

*26. Persuasive - can cultivate enthusiasm for ideas and generate buy-in for decisions

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

The Essential Leadership and Management Skills of Mid-Level Managers in

＊27. Acts as a catalyst - creates, promotes and embraces change

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊28. Maintains perspective - stays balanced with a good sense of humor

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊29. Charismatic - has energy and enthusiasm that attracts others and makes others want to follow

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊30. Inspirational - is able to inspire and motivate others, and bring out the best in them

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊31. Active listener - willing to hear other opinions and incorporate that information into their decision making

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊32. Takes responsibility - looks to take on more responsibility, proactively identifies issues and creates solutions

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊33. Collaborative - knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊34. Decisive - can make tough choices quickly, avoids wavering and prolonged uncertainty

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊35. Relationship building - has good understanding and knowledge of people, relates well to others and can build strong teams and alliances

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

＊36. Creates alignment - ensures that people and resources are aligned and moving in the right direction

no importance ○ ○ ○ ○ ○ ○ ○ critical importance

The Essential Leadership and Management Skills of Mid-Level Managers in

* **37. Respectful of followers - sensitive to the fact that not everyone can see the vision the way they do**

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

Other

38. Are there any other management or leadership skills that you believe are critically important for middle managers to possess that were not included in this survey? If so, please list them below, including as much detail as possible.

APPENDIX H

Second Questionnaire

The Essential Leadership and Management Skills of Mid-Level Managers in

Management Skills

Please rate the importance of each of the following management skills in terms of their importance for middle level managers, where 1 indicates no importance and 7 indicates critical importance

1. Organized - ability to manage time and resources effectively.
MEDIAN SCORE: 6.5

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

2. Execution - proficient at managing the day-to-day operations (planning, organizing, staffing, etc.), ensures that everyone stays on task.
MEDIAN SCORE: 6.0

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

3. Focused on the mission - understands that it is about organization success, not individual success
MEDIAN SCORE: 7.0

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

4. Relationship management - facilitates a positive interaction when working with other entities both within and outside of the organization
MEDIAN SCORE: 6.0

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

Leadership Skills

Please rate the importance of each of the following leadership skills in terms of their importance for middle level managers, where 1 indicates no importance and 7 indicates critical importance.

5. Persuasive - can cultivate enthusiasm for ideas and generate buy-in for decisions
MEDIAN SCORE: 6.5

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

6. Acts as a catalyst - creates, promotes and embraces change
MEDIAN SCORE: 6.5

no importance   critical importance
○   ○   ○   ○   ○   ○   ○

The Essential Leadership and Management Skills of Mid-Level Managers in

**7. Maintains perspective - stays balanced with a good sense of humor**
MEDIAN SCORE: 5.0

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

8. Inspirational - is able to inspire and motivate others, and bring out the best in them
MEDIAN SCORE: 5.5

no importance   critical importance

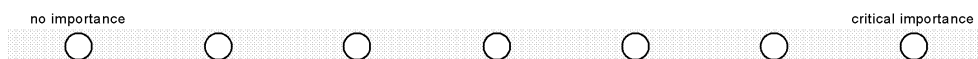○   ○   ○   ○   ○   ○   ○

9. Collaborative - knows how to gain input from diverse groups, collate different ideas and reach an effective conclusion
MEDIAN SCORE; 6.0

no importance   critical importance

○   ○   ○   ○   ○   ○   ○
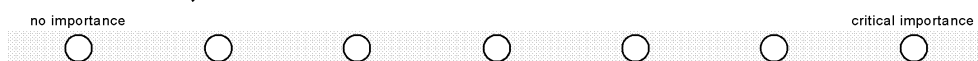
10. Relationship building - has good understanding and knowledge of people, relates well to others and can build strong teams and alliances
MEDIAN SCORE: 7

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

11. Creates alignment - ensures that people and resources are aligned and moving in the right direction
MEDIAN SCORE: 6.5

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

12. Provides senior-level support: Supports the CEO/President and keeps that person informed of any changes in the organization
NEW QUESTION

no importance   critical importance

○   ○   ○   ○   ○   ○   ○

APPENDIX I

Interview Questions

1. Can you briefly define your concepts of management and leadership?

2. In your opinion, how do leadership skills and management skills differ?

3. In your opinion, how do leadership skills and management skills work together?

4. When thinking about your middle managers today, what specific management skills do you value?

5. When thinking about the future of your organization, what management skills become more important for your middle managers to possess?

6. Ultimately, what management skills would you consider to be ideal in your middle managers?

7. When thinking about your middle managers today, what specific leadership skills do you value?

8. When thinking about the future of your organization, what leadership skills become more important for your middle managers to possess?

9. Ultimately, what leadership skills would you consider to be ideal in your middle managers?

10. In your experience, do you see management or leadership skills as more valuable in your middle managers?

11. As you look towards the future, do you see a need for your middle managers to develop more leadership skills, more management skills or both?

APPENDIX J

Email to Participants with Link to First Online Survey

Subject: Dissertation Study – Survey Response Required by 7/24/12

Dear

Thank you for agreeing to be a participant in my dissertation study to identify the critical managerial and leadership skills practiced by effective mid-level managers in a non-profit organization.

Below is the link to a survey in which you will find a list of those leadership and management skills that you and ten other senior level non-profit executives have identified as important for effective middle management. It should take approximately 10 minutes to complete. **Please submit your responses by Tuesday, July 24, 2012 in order for your input to be included in the study.**

https://www.surveymonkey.com/s/XFRZSZZ

Your participation in this study is voluntary. You are fee to decide not to participate or to withdraw at any time without affecting your relationship with me, Pepperdine University, or any other entity.

Again, thank you for your participation.

Vicki Clements
Doctoral Candidate, Pepperdine University

APPENDIX K

Reminder Email to Participants with Link to First Online Survey

Subject: Dissertation Study Survey Reminder

Dear

Once again, thank you for agreeing to be a participant in my dissertation study to identify the critical managerial and leadership skills practiced by effective mid-level managers in a non-profit organization.

On Tuesday, July 17th, I sent you an email with a link to the survey that includes a list of the management and leadership skills that the panel has identified as important for effective middle management. If you have completed the survey, thank you for your participation and please disregard this email.

If you have not yet completed the survey, please accept this as a gentle reminder that the survey results need to be **submitted by Tuesday, July 24th** in order for your input to be included in the study. The link to the survey is included below, and it should take approximately 10 minutes to complete.

<div align="center">https://www.surveymonkey.com/s/XFRZSZZ</div>

Your participation in this study is voluntary. You are free to decide not to participate or to withdraw at any time without affecting your relationship with me, Pepperdine University, or any other entity.

Again, thank you for your participation.

Vicki Clements
Doctoral Candidate, Pepperdine University

APPENDIX L

Extended Deadline for Survey

Dear Participant,

Last week I sent an email to all participants with a link to the first survey that is part of my dissertation research. As the survey responses are anonymous, I cannot determine who has or who has not responded. To those of you that have completed the survey, thank you and please discard this email.

As of today only 7 out of 11 participants have responded so I have extended the deadline until Tuesday, July 31st. The survey portion of the research, ranking the skills you believe are most important, forms the basis of the study and is critical to the findings. The survey should take no more than 10 minutes to complete.

https://www.surveymonkey.com/s/XFRZSZZ

As always, your participation in this study is voluntary, but very much appreciated.

Of course, you are free to decide not to participate or to withdraw at any time without affecting your relationship with me, Pepperdine University, or any other entity. If you have decided to withdraw, please reply to this email and I will remove your name from my list and from any future survey rounds.

Thank you,

Vicki Clements
Doctoral Candidate, Pepperdine University

APPENDIX M

Complete Statistical Data

Survey 1									
Manageme nt Skills									
	Commu nication	**Account ability**	**Problem Solving**	**Organi zed**	**Flexible**	**Rational**	**Confident dec making**	**Self Aware**	**Execution**
# ≥ 5	10	10	9	9	10	10	10	9	10
% Agreement (75%)	1	1	0.9	0.9	1	1	1	0.9	1
Mean	6.82	6.91	6.45	6.36	6.55	6.40	6.82	6.27	6.27
median	7		6.5	6.5	6	6.5	6.5	6	6
mode	7	7	7	7	6	7	6	6	5
SD	0.71	0.52	1.03	1.10	0.79	0.70	0.53	0.94	0.88
1 Quartile	6	6	6	5.25	6	6	6	6	5
3 Quartile	7	7	7	7	7	7	7	6.75	6.75
Quartile Range	1	1	1	1.75	1	1	1	0.75	1.75
	People Skills	**Data**	**Good Listener**	**Self Reliant**	**Mentori ng**	**Mission**	**Social media**	**Relatio n ship**	**Trends**
# ≥ 5	10	10	10	10	8	8	5	10	7
% Agreement (75%)	1	1	1	1	0.8	0.8	0.5	1	0.7
Mean	6.64	6.27	6.45	6.64	5.91	6.27	4.55	6.45	5.18
median	6.5	6	6	6	6	7	4.5	6	5.5
mode	7	6	6	6	6	7	6	7	6
SD	0.82	0.57	0.74	0.67	1.34	1.29	1.78	0.88	1.56
1 Quartile	6	6	6	6	5.25	5.25	3.25	5.25	4.25
3 Quartile	7	6	6.75	7	6.75	7	6	7	6
Quartile Range	1	0	0.75	1	1.5	1.75	2.75	1.75	1.75

Survey 1 Leadership Skills	Vision	Risk	Authentic	Learner	Thinker	Human cap	Org culture	Persuasive	Catalyst
# $\geq$ 5	8	7	9	9	8	10	10	8	8
% Agreement (75%)	0.8	0.7	0.9	0.9	0.8	1	1	0.8	0.8
Mean	6.09	5.27	6.64	6.27	5.82	6.73	6.82	6.18	5.91
median	6	5	7	6	6	7	7	6.5	6.5
mode	6	5	7	6	6	7	7	7	7
SD	1.37	1.20	1.07	1.15	1.43	0.84	085	1.25	1.70
1 Quartile	6	4.25	6.25	6	6	6	6.25	5.25	5
3 Quartile	7	6	7	6.75	6	7	7	7	7
Quartile Range	1	1.75	0.75	0.75	0	1	0.75	1.75	2
	Charismatic	Inspirational	Active Listener	Take Resp	Collaborative	Decisive	Relations	Alignment	Respectful
# $\geq$ 5	6	9	7	10	9	10	10	8	7
% Agreement (75%)	0.6	0.9	0.7	1	0.9	1	1	0.8	0.7
Mean	5.18	6.00	5.82	6.82	6.09	6.64	6.55	6.09	5.91
median	5.5	5.5	6	7	6	6	7	6.5	6.5
mode	7	5	7	7	5	6	7	7	7
SD	1.97	1.34	1.34	0.71	1.03	0.67	1.03	1.29	1.40
1 Quartile	3.25	5	4.25	6	5	6	5	5	4.25
3 Quartile	7	7	7	7	6.75	7	7	7	7
Quartile Range	3.75	2	2.75	1	1.75	1	2	2	2.75

Survey 2 Management Skills	organized	execution	mission	relationships
% Agreement (75%)				
Mean	6.78	6.33	6.56	6.11
median	7	6	7	6
mode	7	6	7	6
SD	0.44	0.71	1.01	0.60
1 Quartile	7	6	7	6
3 Quartile	7	7	7	6
Quartile Range	0	1	0	0
Quartile Range S1	1.75	1.75	1.75	1.75

Survey 2 Leadership Skills								
	Persua sive	**cata lyst**	**Perspec tive**	**Inspria tional**	**collabo rative**	**relationship building**	**alignment**	**Sr Supp ort**	
% Agreement (75%)									
Mean	5.22	5.44	5.67	5.56	5.78	6.22	6.56	6.56	
median	6	6	6	6	6	7	7	7	
mode	6	6	6	5	6	7	7	7	
SD	1.39	1.33	0.87	1.24	0.97	0.97	0.53	0.73	
1 Quartile	5	5	5	5	5	5	6	6	
3 Quartile	6	6	6	6	6	7	7	7	
Quartile Range	1	1	1	1	1	2	1	1	
Quartile Range S1	1.75	2	2	2	1.75	2	2		
stability < 15%						yes			

APPENDIX N

Email to Participants with Link to Second Online Survey

Dear   ,

Once again, I want to thank you for your participation in my doctoral study in identifying the critical management and leadership skills required for effective middle management in non-profit organizations.

The responses to the first survey have been analyzed. Of the 37 skills included in the survey, 6 were eliminated due to low scores (rated not essential) and 20 achieved consensus on the degree of importance. The remaining 11 items did not reach consensus, and are included on the follow-up survey linked below. In addition, during the first round, one new item was suggested by a participant; that item has been included on this second survey.

Please consider the median scores for the items listed on this second-round survey and reassess your importance rating for each item. As before, a score of 1 indicates no importance, and a score of 7 indicates critical importance. **In order for your input to be included in the study, I will need to have the survey completed by August 14, 2012.**

https://www.surveymonkey.com/s/9DRNXMK

If at the conclusion of this survey the results show consensus on the remaining 12 items, the study will be considered complete. If consensus is not reached, there will be one final survey and then the study will be terminated at that time. When the study is complete, I will send you a copy of the final results.

If you have any questions or concerns about the study, please do not hesitate to contact me by phone ▮▮▮▮▮▮▮▮▮ or by email at ▮▮▮▮▮▮▮▮▮▮▮▮▮

Thank you for your willingness to participate in this study; it is very much appreciated.

Best regards,

Vicki Clements
Doctoral Candidate, Pepperdine University

APPENDIX O

Reminder Email to Participants with Link to Second Online Survey

Subject: Dissertation 2nd Survey Reminder

Thank you again for participating in my dissertation study to identify the critical managerial and leadership skills practiced by effective mid-level managers in a non-profit.
If you have already completed the second survey, thank you.
If not, please accept this as a gentle reminder that in order for your input to be included in the study, the survey needs to be **completed by Tuesday, August 14th**. There are only 12 questions in this round, and it should take **less than 5 minutes** to complete.

https://www.surveymonkey.com/s/9DRNXMK

Your participation is very much appreciated.
Vicki Clements
Doctoral Candidate, Pepperdine University