

The Role of Collaborative Leadership in Arizona's Subsidized  
Child Care Stakeholder Network

by

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## ABSTRACT

This research project provides a unique perspective of the role of the concept of collaborative leadership between the Arizona Subsidized Child Care Program and its key stakeholder network. The process involved was to frame the research and its findings using the Team Multifactor Leadership Questionnaire's (TMLQ's) Assessment Scales. The research project sought to explore whether collaborative leadership in the policy-making process between the Arizona Subsidized Child Care Program and its key stakeholders actually does exist and, if so, to what extent.

The research questions for the dissertation are, as follows:

(1) What leadership styles does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?; and (2) Are the leadership relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative?

The study employed a mixed-method approach (both quantitative and qualitative research methods) by means of an online survey, interviews, and document analysis.

Based on this study's findings, the program exhibits collaborative leadership concepts with its stakeholder network.

In addition, a positive correlation between the use of collaborative leadership concepts and participant perceptions of satisfaction, extra effort, and effectiveness was documented.

## DEDICATION

In memory of my parents  
Carter Eugene Scites I and Phyllis Jane Scites

To my wife Lilia Scites,  
in gratitude for her love and support

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## CHAPTER 1

### Introduction

#### Background of the Study

The use of collaborative leadership concepts is rising greatly in the public realm due to a variety of reasons including the increased complexity of public problems. Additional research is needed in this area to help guide both academic inquiry and public sector practices. This study is timely. Society is becoming increasingly collaborative in nature, and corresponding leadership approaches are being developed and researched in response (Stagich, 2001). The collaboration literature shows that collaboration within organizations and across organizational boundaries (public or otherwise) has grown dramatically over recent years (Morse, 2007).

This research project offers to provide a unique perspective on the study of the role of collaborative leadership theory related to the Arizona Subsidized Child Care Program's leadership relationship with its key stakeholder network. The process involved will be to frame the research and its findings using the Team Multifactor Leadership Questionnaire's (TMLQ's) Assessment Scales (Avolio & Bass, 1996).

Based on review of the literature, there does not appear to be existing research related to Arizona's Subsidized Child Care Program and its stakeholder network using this approach. The results of the project provide practical guidance to those in the program and stakeholder network seeking to improve collaborative policy-making processes and will also expand the existing related body of literature and theory.

The Arizona Subsidized Child Care Program (housed in the Arizona Department of Economic Security) has been in place for many years. Over that timeframe, an extensive network of stakeholders (advocacy groups, provider groups, families served, and others) developed that plays an important role in informing and influencing child care policy and funding decisions. Similar networks interested in subsidized child care decisions exist in other states, as well. Arizona's Subsidized Child Care program is led by a Program Manager and other top level staff. The stakeholder groups are not under the authority of the Child Care Program Manager. Rather, the relationships between the Child Care Program and its various stakeholders are collaborative, in nature. As such, the Program's top level staff will be considered to be 'collaborative leaders' in relation to the stakeholder groups for the purposes of this research study.

This research project examines the collaborative leadership relationship that Arizona's Subsidized Child Care Program and its key stakeholder network maintain related to policy-making and funding decisions. The study is both valuable and timely. While the role the existing leadership relationship has been significant over the years, it is likely to become even more important in light of shrinking resources and an increased need to leverage limited funding.

The dissertation has two main themes: First, it examines the collaborative role that key Arizona Child Care stakeholder organizations (as defined in the most recent Arizona Child Care Development Funding Plan) use to inform and influence Child Care policy and funding decisions using a case study approach. Second, it assesses the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor Leadership Questionnaire (Avolio & Bass, 1996).

#### Statement of the Problem

The role of leadership in collaboration is focused on the realization of a successful outcome of the collaborative effort. The leadership actions taken are meant to ensure that the collaborative efforts are initiated effectively, that relevant

stakeholders are included in the process, that the collaborative activity is conducted and resourced efficiently, and that momentum to continue the effort is maintained (Chrislip & Larson, 1994).

The importance of the stakeholders is further indicated in the literature. "Without the involvement of all these interconnected groups and organizations, little can be done to effectively address complex public problems" (Denhardt & Denhardt, 2003; p. 150).

Involvement of stakeholders in public policy issues offers potential benefits. One of the key benefits is that involvement of the relevant stakeholders allows for the resolution of complex public issues and problems. By the inclusion of all those individuals and groups salient to the issue at hand, all the knowledge, resources and perspectives are brought together synergistically towards resolution of the issue. Another benefit is that involving stakeholders will increase the likelihood that they will buy-in to the final result outcome (such as a new public policy) if their concerns were accounted for throughout the process (Linden, 2002).

Also, inclusion of stakeholders in the policy-making process provides the ability to develop innovative public policy



especially considering the unique, varied, and often times complex issues and problems that surface in the public realm (Roberts & Bradley, 1991; Polsby, 1984).

Currently, however, there is little available research to draw upon describing the leadership relationship style between the Arizona Subsidized Child Care Program and its key stakeholders. When examined very superficially, it does appear that collaborative leadership processes in regard to policy-making do exist to some extent. This dissertation seeks to explore whether collaborative leadership in the policy-making process between the Arizona Subsidized Child Care Program and its key stakeholders actually does exist and, if so, to what extent.

Fortunately, there is no shortage of available information on the general research areas of collaborative leadership theory, stakeholder theory, and public policy-making theory. The void in the literature exists in synthesizing these research areas with the unique aspects of the Arizona Subsidized Child Care Program and its key stakeholders. This dissertation attempts to fill that void by examining the relationship between the Arizona Subsidized Child Care Program and its key stakeholders by conducting a

research study using a survey, interviews, and document analysis.

#### Purpose of the Study

The purpose of the study will be to address the research problem (discussed in the earlier sub-section entitled 'statement of the problem') and the study's specific research questions (discussed in the later section entitled 'research questions').

The dissertation has two main themes: First, it examines the collaborative role key Arizona Child Care stakeholders (as defined in the most recent Arizona Child Care Development Funding Plan) use to inform and influence policy and funding decisions using a case study approach (using interviews and document analysis). Second, it will assess the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor Leadership Questionnaire. The process involved will be to frame the research and its findings using the TMLQ's Assessment Scales (Avolio & Bass, 1996).

#### Significance of the Study

The study's primary contribution will be to address the 'statement of the problem' presented earlier by providing answers to the study's research questions. This will address the

existing gap in the literature related to whether collaboration exists between the Arizona Subsidized Child Care Program and its key stakeholders and, if so, to what extent.

Beyond this contribution, there are other potential benefits, as well. First, an exploration of the current situation in Arizona would be valuable for the Subsidized Child Care Program and key stakeholders. It will provide valuable information to assist them improve (if necessary) and further leverage their current leadership relationship. This is particularly important in light of the severe economic barriers that they both currently face. Second, inclusion of key stakeholders and their interests in policy-making likely will increase their buy-in to the difficult policy choices that will be necessary in the future as a result of those economic barriers. Third, the study's results and its findings may serve as a baseline for improvement for the Arizona Subsidized Child Care Program.

Fourth, while it can be difficult to generalize the results of a case study, the process (TMLQ survey, interviews, and document analysis) used in this study to collect and analyze data may serve as a valuable model or at least a general direction for other states wishing to analyze their Subsidized Child Care

Programs' leadership relationship with their respective key stakeholder networks.

## Definition of Terms

### Collaboration

According to Wood and Gray, "collaboration occurs when a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms, and structures to act or decide on issues related to that domain" (Wood & Gray, 1991: 146). This expanded definition of collaboration widened the area of relevance of collaborative leadership beyond the organization to that of a "problem domain." A problem domain could include public, private, local, state, national, international, and other areas of concern.

### Leadership

There are a multitude of definitions of leadership in the literature. However, Stagich (2001; p. 218) provides perhaps one of the most insightful in synthesizing the concepts of leadership and collaboration.

Leadership is "the ability to influence people to a course of action through a collaborative or facilitative approach to organization or motivation often enabling them to achieve their highest potential and maximum performance."

By adapting Stagich's definition of leadership, I provide my own definition of leadership, as follows: "the ability to influence, and willingness to be influenced by, other people to strive together toward: (1) development and achievement of a shared goal, and (2) realization of their individual goals and aspirations."

### Collaborative Leadership

I define collaborative leadership as: "the act(s) of influencing (and being influenced by), through mutual trust and shared goals, people striving together toward: (1) development and achievement of a shared goal, and (2) realization of their individual goals and aspirations."

One of the most important assumptions I have made is that my definition of the term 'collaborative leadership' should be very general in nature so that it will be applicable to all areas of application and research. Defined in that way, it will be necessary to include a modifier with the term to denote the specific context of the term and its usage. For example, the term 'Collaborative Leadership' between the Arizona Subsidized Child Care Program and its key stakeholders would be used to define Collaborative Leadership in that particular context only.

## Stakeholders

Luke (1998; page 170) provides a comprehensive definition of stakeholders based on the work of Bryson and Crosby (1992). According to Luke (in the context of the Catalytic Leadership theory), stakeholders are: "individuals, groups, and organizations with interests in the issue area" who are "affected by the causes or consequences of the particular issue." A similar treatment of stakeholders is offered by Chrislip & Larson (1994; p. 65) in the context of Collaborative Leadership theory where stakeholders are defined as those who are "affected by or affects a particular problem or issue." The focus of both catalytic leadership and collaborative leadership in the public realm is "on leadership as a process of pulling stakeholders together to solve public problems..." (Morse & Buss, 2008; p. 82).

Bryson (1995; p. 27) went a significant step further and defines stakeholders as: "any person, group, or organization that can place a claim on an organization's attention, resources, or outputs or is affected by that output." Bryson clearly believes stakeholders and their interests are paramount related to public policy and policy-making as he states "the key to success for

public and non-profit organizations (and for communities) is the satisfaction of key stakeholders.”

### Public Policy-making

Shafritz (2004; p. 244) offers the following definition of ‘public policy-making’: “the totality of the decisional processes by which a government decides whether to deal with a particular problem.” For the purposes of this study, I would like to make a small change to create a working definition to read: all ‘decisional processes’ used by the government (sometimes in conjunction with the public) to select and resolve a public issue or problem.

### Theoretical Framework

The primary theoretical frame used in the dissertation is collaborative leadership theory. In addition, several other closely related theoretical areas are explored in the literature review and throughout the dissertation including leadership theory, stakeholder theory, policy-making theory, and public administration theory. While each of the theoretical frameworks represents a distinct body of scholarship and research, this dissertation will synthesis them together in order to address the research problem and answer the research questions.

## Research Questions

The dissertation has 2 research questions. The questions are descriptive in nature and the objective is to assess whether the leadership relationship between the Arizona Subsidized Child Care Program with its key stakeholders is collaborative in nature and, if so, to what extent.

The research questions for the dissertation are, as follows:

(1) What leadership styles does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?; and (2) Are the leadership relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative?

## Limitations

There are several factors that impact this research study that are beyond the control of the researcher. These factors include: (1) the study is a case study limited in scope to the Arizona Subsidized Child Care Program. As such, it is difficult to generalize its results to other situations; (2) there may be an impact on stakeholder's perception (possibly negative) of the program due to the prominence in the media of recent actions (i.e., waiting list, increase in co-pays, and decrease in provider



rates) to reduce the program's budget; (3) there is a possibility that the political party affiliation and other demographics of key stakeholders may have an impact on their assessments of the program; and (4) there may be a tendency ('halo effect') for the key stakeholders to view the program in high regard as a result of their ongoing relationship.

One objective of the dissertation is to address these limitations to the greatest extent possible in order to mitigate their impact on the study's results, findings, and conclusions.

#### Delimitations

Several delimiters were applied to this dissertation to limit its scope and purpose. First, the study was limited to the realm of the Arizona Subsidized Child Care Program and its management staff and key stakeholders. Second, as a consequence of the first delimiter, only those stakeholders and staff based in Arizona were included. An objective of limiting the study to the realm of the Arizona Program was to isolate the leadership relationships between the key stakeholders and the program to a manageable level.

Third, the timeframe of the study was limited to January 21, 2009 to December 31, 2009. Because the Arizona Subsidized Child Care Program is housed in the State of Arizona's

Department of Economic Security whose director is appointed by the Governor of Arizona, the timeframe for the study coincides with the first year of Arizona's latest Governor, Jan Brewer. During this period, the representatives in the Arizona House, Senate, and Governor's Office have remained relatively stable.

Fourth, all key stakeholders considered are assumed to be supporters of the Arizona Subsidized Child Care Program. Stakeholders as initially defined by Nutt and Backoff (1992; p. 198); and adapted by Bryson (1995; p. 284-285) to be supporters are: (1) those stakeholders who generally back the organization and its policies and that the organization needs to be successful.

#### Assumptions

The dissertation made several assumptions. First, a relatively stable political environment was assumed during the time period under study. Second, a nationwide recession during the period led to severe economic hardships for the Arizona Subsidized Child Care Program and its key stakeholders. Third, as a result of budget cuts to the Arizona Subsidized Child Care Program, three budget reduction measures were imposed on the program: (1) a full waiting list for Low Income Working (LIW) families; (2) an increase in the co-payments for LIW and

Transitional Child Care (TCC) families; and (3) a 5% reduction in provider rates for all child care categories (LIW, TCC, Child Protective Services (CPS), and Temporary Assistance for Needy Families (TANF).

Fourth, generalizing the study's results will be limited because of the unique situational factors (e.g., recession, budget cuts) involved. Fifth, the respondents to the questionnaire and the interviewees are sufficiently knowledgeable about the Arizona Subsidized Child Care Program to provide accurate responses. Finally, the TMLQ instrument and survey questions, which are described more fully in Chapter III – Methodology, are accurate tools for measuring leadership styles.

#### Organization of the Study

The dissertation consists of 5 chapters. Chapter I (*Introduction*) introduces the reader to the various aspects of the dissertation to include: (1) explanation of the research project and its importance; (2) discussion of the research problem and associated research questions; (3) explanation of all major expressions, terms and phrases; and (4) overview of the various theories cited and proposed throughout the dissertation (Lunenburg and Irby, 2008).

Chapter II (*Literature Review*) provides a synthesis of the existing literature to include: (1) the reasons why this research study is significant, important, and timely; (2) the relevant theories and literature in each research area; (3) additional discussion and further development of the study's research questions; and (4) identification of pertinent gaps in the literature. The overall objective is to provide the theoretical and practical scholarship related to the role of leadership in collaborative stakeholder public policy-making.

The following are the various research areas (both theoretical and case study) that will be explored: (1) public policy-making theory; (2) stakeholder theory; (3) leadership theory in general; (4) collaborative leadership theory; and (5) public administration theory. A complete listing of sources from each area is provided in the Reference section of the dissertation.

#### Public Policy-making and Stakeholders

This section will describe in detail the process of public policy-making and examine the role of stakeholders in the process by citing various theories in both the stakeholder and policy-making literatures. Originally, the concept of stakeholder was very limited to the notion that only people or organizations

that were necessary for the survival of the corporation would be considered as stakeholders. This notion has greatly expanded in recent years to include individuals or organizations that are impacted by or can impact a policy problem or issue in the public arena.

### Leadership (General)

This section will review existing leadership literature and trace its evolution over time. This will aid the reader in more fully understanding the potential role of leadership as it relates to collaborative policy-making settings.

### Collaborative Leadership and Public Administration Theory

This section will examine the concept of 'collaborative leadership' as it pertains to the research and application areas of Public Administration. The term 'collaborative leadership' shows up frequently in both academic and popular literature. However, as will be shown, there is no consensus on the definition of the term 'collaborative leadership' and more importantly there is not a commonly accepted theoretical approach to collaborative leadership. A principal objective of this section is to review and synthesize the existing collaborative leadership literature. I will then present my own definition of collaborative leadership.

Chapter III (*Methodology*) This chapter describes the study's research questions, which consist of: (1) What leadership styles does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative? and; (2) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature?

It also: (1) assesses the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor Leadership Questionnaire; and; (2) examines the key Arizona Subsidized Child Care Program's stakeholder organizations to assess their role in informing and influencing policy and funding decisions using a case study approach (employing interviews and document analysis). The process involved will be to frame the research and its finding using the TMLQ's Assessment Scales (Avolio & Bass, 1996).

Chaper IV (*Findings*) reports the findings of the research's interviews, participant surveys, and document analysis. Narrative, various charts, and tables will be incorporated in this chapter to present the findings.

One objective of the research project will be to let results of the survey, document analysis and interviews drive the findings rather than to first develop a preconceived notion of the findings and then use the research to support that notion. While much of the existing literature expresses support for the use of collaborative leadership processes for public policy-making, this research project is designed to reach its own, independent assessment.

Chapter V (*Conclusions and Implications*) provides a summary overview of the earlier chapters. The dissertation will explore ways in which the role of leadership in collaborative policy-making efforts can be improved and suggest additional areas of research and study. While I basically believe that leadership in collaborative efforts has an important role to play, there may be some situations where the research findings point to more appropriate approaches. I will keep an open mind and let the results of the research guide me on developing any statements of implications or suggestions for future research efforts.

## CHAPTER 2

### Literature Review

#### Introduction

The purpose of the literature review is to examine collaborative leadership theory, leadership theory, stakeholder theory, policy-making theory, and mixed-methods research literature.

#### Collaborative Leadership Theory

This section of the literature review: (1) summarizes the history of collaborative leadership literature including identification of the applicable definitions, concepts, assumptions, and theories; (2) analyzes and critiques the collaborative leadership literature to include identification of any gaps in the literature; (3) contributes to the body of collaborative leadership literature by providing a new definition of the term; and (4) synthesizes the concept of collaborative leadership with public administration and leadership literature. The term 'collaborative leadership' shows up frequently in both academic and popular literature. However, as will be shown, there is not consensus on the definition of the term 'collaborative leadership' and more importantly there is not a commonly



accepted theoretical approach to collaborative leadership. A principal objective of this section is to review and synthesize the existing collaborative leadership literature. I will then present my own definition of collaborative leadership as a guide for future research, application, and development of new theoretical frameworks.

This extensive review of the concept of collaborative leadership is timely. Society is becoming increasingly collaborative in nature, and corresponding leadership approaches are being developed and researched in response (Stagich, 2001). The collaboration literature shows that collaboration within organizations and across organizational boundaries (public or otherwise) has grown dramatically over recent years (Morse, 2007).

Numerous examples in both the academic and general literature provide descriptions, applications, and research related to collaboration and collaborative leadership in public administration. For example, in a recent supplement to the *Public Administration Review (PAR)*, there was consensus among the authors that collaboration in public administration is vitally important (O'Leary, Gerard, and Bingham; 2006). However,

these efforts have not provided optimum results because a generally accepted definition of the concept of collaborative leadership has not yet emerged. Once a widely accepted definition of collaborative leadership is available, future research will better focus and guide development of new theoretical approaches.

There is no single, agreed upon approach in the literature to how leadership will be used to facilitate the collaborative process. Therefore, thorough review of the relevant literatures (leadership and collaborative leadership) is necessary to find and develop an understanding of what collaborative leadership is, how it is different from other forms of leadership, and how best to use it in the public realm.

While there are many perspectives on the role of leadership in collaboration, I think it is important to provide working definitions of collaboration, leadership, and collaborative leadership as a starting point in the discussion.

Linden (2002; p. 7) defines collaboration as a situation where: “people from different organizations (or units within one organization) produce something together through joint effort, resources, and decision making and share ownership of the final

product or service.” Northouse (2004; p. 3) defines leadership as: “a process whereby an individual influences a group of individuals to achieve a common good.” Using these definitions as a basis, collaborative leadership, in general terms, can be viewed as a “process where an individual (or individuals) from multiple organizations (or units within a single organization)” “influences” others in the achievement of a shared goal “through joint effort, resources, and decision making.”

An illustration of how this works is the handling of emergency weather situations such as hurricanes on the southern coast of the U.S. Depending on the forecasts of the strength of the storm and the projection of where the storm will strike, various individuals (such as the governor from each impacted state, Red Cross officials, and law enforcement agency representatives) will come together to attempt to influence others (such as relief agencies, evacuation teams, and citizens) to collaborate in an effort to plan and react to the impacts of the hurricane. Another example would be a situation where individuals in different organizational units (such as the finance and human resource departments) in a governmental agency come together to address a common problem such as

discrimination in the work place. In both of these types of situations, there is typically not a specific person who is “in charge” of the process by virtue of positional authority. Rather, the importance of the shared goal and its complexity require that the collaborative leader(s) use influence over others to make things happen instead of using positional power or issuance of directives. None of the individual participants (people or organizations) have sufficient knowledge or resources to resolve the problem independently. As such, a collaborative effort is necessary.

Before moving forward with the discussion of the concept of collaborative leadership, I want to mention that much of the research related to collaborative leadership identifies various leadership attributes, skills, and behaviors typically found in successful collaborative leadership situations. Because of the numerous approaches to collaborative leadership presented and the large number of attributes, skills, and behaviors unique to each approach, itemizing these aspects for each collaborative leadership approach would be beyond the scope of the study and not very beneficial. However, I do think it would be helpful to provide a list (Morse, 2008; p. 29) of collaborative leadership

attributes, skills, and behaviors that appear to be present in most approaches to collaborative leadership beyond those that are typically seen throughout organizational and hierarchical leadership theories and approaches. This will serve two functions: (1) focus the discussion of attributes, skills, and behaviors to those relevant to the context of collaborative leadership; and (2) give potential collaborative leaders direction on areas where they may be able to enhance their collaborative leadership knowledge and skill base through additional training.

Rather than provide an extended discussion of these attributes, skills, and behaviors at this point, I list them now as a reference for later discussion as I proceed with the review of the collaborative leadership literature. As the review unfolds, most of these collaborative leadership aspects will be identified and described in the context of the relevant collaborative leadership approach being discussed.

Table 1

*Collaborative Leadership Competencies (Morse, 2008)*

<b>Attributes</b>	<b>Skills</b>	<b>Behaviors</b>
Collaborative mindset	Self-management	Stakeholder identification
Passion toward outcomes	Strategic thinking	Stakeholder assessment
Systems thinking	Facilitation skills	Strategic issue framing
Openness and risk-taking		Convening working groups
Sense of mutuality and connectedness		Facilitating mutual learning processes
Humility		Inducing commitment
		Facilitating trusting relationships among partners

One of the first uses of the term 'collaborative leadership' in the literature was by Frederic E. Finch (1977). Finch describes collaborative leadership as: "a situation in which the workgroup provides its own leadership behaviors (task, relationships, and decision making) and functions according to individual and group capacities and task requirements" (Finch, 1977, p 297).

Finch's collaborative leadership research was primarily focused on the workplace setting. In his model, collaborative leadership is practiced at two levels: (1) within the work unit by the unit's members; and (2) outside the work unit by the formal organizational leader (manager).

Finch cited several objectives for the use of collaborative leadership in the work setting. First, it would allow for personal growth for employees (both supervisors and subordinates). Employees would be involved in many work activities and learning experiences beyond their day to day job functions. Second, employees would realize greater job satisfaction by being involved not just in the daily work, but also involved in the development of the work objectives and decision making of the organization (generally limited to the realm of their work unit). Third, productivity would increase as a result of creating a situation where employees are able to realize their full potential as both employees and human beings. Lastly, and perhaps most importantly, as 'task, technology, and organizational' complexities have grown over time, a need has arisen for an individual (or individuals) to manage the interdependencies (that have become necessary to address complex issues and

problems) between diverse individuals and teams throughout the organization.

A principal tenet of this approach is that the existing manager of the work unit will act to maintain a boundary between the work group and the rest of the organization. Basically, the manager will provide “dual representation” – the manager will act on the organization’s behalf in relation to the work unit and will act on the work unit’s behalf in relation to the organization. In essence, this limits the bounds of the work group’s collaborative efforts to within the work group itself. A problem with this approach to collaborative leadership is that it basically avoids the idea of collaboration between the work unit itself and outside entities. Interactions between the work unit and other entities are managed by the organizationally defined hierarchal leader. In his view, the formal organizational leader serves to maintain a boundary between the work unit and other entities (entities both within the organization and beyond it).

While this focus does not detract from the quality of Finch’s research and his findings (considering the fact it was based on the relevant leadership literature at that point in time), there are aspects of his model that limit its current day



applicability in the area of public administration. First, because it was based solely on the workplace setting (workgroup as the unit of analysis), his model's applicability to other settings, particularly public administration, is limited. Second, the model's reliance on having a formal leader serve as a boundary between the work unit and outside entities means that the model does not fully embrace the concept of collaborative leadership in which the work group provides its own leadership. Finally, the workgroup's ability to make decisions is generally limited to questions of the how the required tasks will be performed rather than what the required tasks will be. The organizational goals are provided to the workgroup to implement rather than being developed and agreed upon by both the workgroup and management working collaboratively as equals.

The early collaborative leadership literature represented a departure from previous perspectives on leadership, which focused on leadership based on the formal organizational role that an individual held. In essence, collaborative leadership occurred when a collection of individuals (e.g., workgroups, teams, or units) exhibits its own leadership in regards to the task at hand, relationships, and decision-making. Association of

collaborative leadership with public issues such as community, social capacity, and public problem solving (areas of current collaborative leadership literature, which will be fully explained in the remainder of this section) did not emerge until later.

Wood and Gray (1991) offered a definition of collaboration that helped facilitate the evolution of the definition of collaborative leadership into the areas beyond that of the workplace. According to Wood and Gray, "collaboration occurs when a group of autonomous stakeholders of a problem domain engage in an interactive process, using shared rules, norms, and structures to act or decide on issues related to that domain" (Wood & Gray, 1991: 146). This expanded definition of collaboration widened the area of relevance of collaborative leadership beyond the organization to that of a "problem domain." A problem domain could include public, private, local, state, national, international, and other areas of concern.

Illustrating use of this expanded approach to collaboration, Chrislip and Larson (1994) suggested an approach to what the role of leadership in collaboration is: - "to engage others by designing constructive processes for working together, convene

appropriate stakeholders, and facilitate and sustain their interaction” (Chrislip & Larson, 1994; p. 127).

One major assumption of this approach is that anyone can participate in the collaborative leadership process. Citizens from all walks of life who are willing to work to develop a shared vision, address common problems, and reach agreement related to public and community issues can benefit, and benefit from, participation in the collaboration process. Unlike earlier approaches to collaborative leadership, in this approach, the problem or issue domain is not limited to a single work unit or organization; rather it is inclusive of any area of public interest.

One unfortunate aspect of Chrislip & Larson’s approach is that they are not as clear-cut about how they define what collaborative leadership is, as compared with other authors who have addressed the topic. In spite of this, their work is widely cited in the literature and an analysis of their work does give insight into what is meant by collaborative leadership and the benefits it potentially provides.

The role of leadership in their approach is focused on the realization of a successful outcome of the collaborative effort. The leadership actions taken are meant to ensure that the

collaborative efforts are initiated effectively, that relevant stakeholders are included in the process, that the collaborative activity is conducted and resourced efficiently, and that momentum to continue the effort is maintained.

There are four guiding principles that comprise their approach:

- Inspire commitment and action – The leader organizes, inspires, encourages, and facilitates the group to develop a shared vision and to resolve relevant problems and issues. The leader acts as a catalyst (a 'spark') to get the process moving (similar to catalytic leadership which will be discussed later (Luke, 1998)).
- Lead as peer problem solver – The leader serves and works as a peer to help develop the group's shared vision and to resolve its problems and issues that arise throughout the collaborative process.
- Build broad-based involvement – The leader encourages and supports inclusion of all relevant and diverse stakeholders in the process. This diversity (diversity of perceptions, knowledge, resources, and backgrounds)

allows for development of solutions to complex problems that could not occur by the individuals going it alone.

- Sustain hope and participation – The leader values the individual’s contribution and helps maintain confidence and commitment to the process. It is at this stage that, while it may be easy to quit or give up the collaborative process and resort to go it alone strategies, that the collaborative leader works to keep the process on track and to keep the stakeholders involved in the effort.

Another more succinct definition of collaborative leadership is offered by Kochanowski (1999), as follows: “Collaborative leadership is a group decision-making process, characterized by phases which feature reconciling visions, increasing trust, empowering leadership with broad representation, and successfully implementing outcomes” (Kochanowski, 1999; p. 171).

This definition is based on analyzing case study research of successful collaborative efforts in the context of organization, leadership, and collaboration theory. This perspective brings together individuals into a collaborative, broad-based decision-making and implementation process, which calls for blending of

stakeholder visions and capabilities. This process has five distinct phases that are required to lead to successful outcomes, as follows:

- Isolation – Where individual effort is exhibited without collaboration. Whether talking about individual people or single independent organizations, this is essentially the go it alone strategy. The promised benefits of collaboration can't be realized in this phase because, by definition, a collaborative effort has not yet been formed. This phase is characterized by competition and lack of diverse perspectives in problem solving and visioning. At this point, there is no synergy – there is no 'whole' that can be viewed as 'greater than the sum of the parts.' In fact, since competition is involved, the outcome (resolution of the problem or issue) may actually be worse since the individuals acting alone may be working at cross purposes (rather than shared purposes).
- Inspiration – In this phase a shared vision unites and inspires individuals to collaborate. Relevant stakeholders enter into the process with the understanding that by participating in the collaborative effort that the shared

vision will have a greater chance to be realized when compared with the go it alone approach. At this point, stakeholder relations and involvement (or emergence) of the collaborative leader has not yet occurred.

- Perspiration – This is where the majority of the work and heavy lifting is done in the collaborative effort. Ideas regarding how to formulate what the shared vision will look like, stakeholders developing mutual trust and appreciation for one another and their ideas and perspectives, and the development of an action plan on how best to accomplish the shared vision occur in this phase. At this point, the stakeholders’ potential to assist in the leadership of the collaborative effort begins to emerge and to evolve. Workgroups and teams of various sorts will convene to begin the work of the collaboration.
- Expectation – In this phase, stakeholders will see positive results by observing the component parts of the collaboration come together. This success will energize the process and the stakeholder’s perception of it, which will lead to further commitment to the process. It is in this phase where the shared goal(s) is finalized and agreed

upon and action steps (rather than action plans) are advanced.

- Collaboration – This phase is reached once the initiation and the implementation of the collaboration development process is complete. At this phase the collaboration effort will bear fruit and the successful realization of the shared visions and goals will be realized.

Stagich (2001) offers a definition of collaborative leadership that further illustrates the impact of expanding collaborative leadership research beyond that of the organization and into the more generalized concept of a broad-based problem domain. According to Stagich (2001: p. 218), collaborative leadership is: "The transformative leadership, which occurs through the facilitation or participation in collaborative learning groups. The collaborative ability to lead a group or organization through the active participation in sharing knowledge and experience and the high order social learning, thinking, and communicating process."

In this approach, leadership plays an essential role in the collaborative process. It will be the collaborative leader's critical objective to facilitate the collaborative process so that a



high level of synergy will occur in the problem domain. The outcome of the collaborative effort, as a result, will align with the shared goals and objectives of the participants more fully than it would if the participants acted alone without a collaborative approach. As such, each participant will be enabled to reach his/her greatest possible achievement and potential.

Central to Stagich's approach is the idea that it is possible for anyone to be a collaborative leader. As individuals come together to achieve a common goal, they will bring with them their own unique experiences and perspectives that will be shared with the rest of the participants. In effect, the participants will form a 'learning group.' The process will increase each individual's knowledge and awareness and, as a result, transform both the individual and the overall leadership situation to one more readily able to address the issue or problem at hand.

Because the approach allows for the assimilation of each individual's knowledge and experiences, it opens the door for the participants to address a wide range of problems and issues in business, politics, government, education, varying cultures, and nationalities. This represents a significant departure when

compared with approaches to leadership (collaborative or otherwise) that only allow for participants to work within their job description or organizational expertise which often may result in competitive rather than collaborative outcomes.

Consider a recent example of leadership at the U.S. Federal level related to the TARP (Troubled Asset Relief Program). While initially the problem was addressed by both the U.S. Congress and the U.S. President with one of its goals to assist homeowners in foreclosure, the final decision on how to spend the funds for the program was done behind closed doors and was limited to buying securities in U.S. Banks (rather than assisting homeowners – a major stakeholder in the process). As such, few if any homeowners initially benefited from the TARP initiative. One can only imagine how different the outcome would have been had collaborative leadership been used where many stakeholders (e.g., banks, homeowners, investors, house advocates, or recently foreclosed upon individuals) been empowered in the decision making process. It is likely, however, that the process would have been different in that it would have included all the stakeholders in the development and implementation of shared goals and visions.

An important component to Stagich's approach is the concept of synergy, in which, the learning process described provides the tools (e.g., shared knowledge, viewpoint, or perspective) for the participants to be able to collaboratively address problems and issues better than they could individually.

In regards to the previous example, who better to advise decision makers regarding the potential consequences of not using TARP for troubled homeowners than an actual homeowner who was either in foreclosure or had recently experienced foreclosure? This would much more closely align the leadership process and its resources (e.g., participants or shared knowledge) with the actual problem at hand.

In another approach to collaborative leadership, Rubin defines collaborative leadership as: "the skillful and mission-oriented management of relevant relationships. It is the juncture of organizing and management" (Rubin, 2002; p. 18).

In this approach, collaborative leadership is the development and/or the continual efforts to maintain a collaborative effort. While many approaches to collaborative leadership see competition as incompatible to collaborative leadership, Rubin (2002) views the separation as a 'false

dichotomy'. Much like the idea of a 'spark plug' (which I will discuss in more detail related to catalytic leadership) being needed to realize the full benefits of an automobile (as compared with walking), collaborative leadership allows stakeholders to realize their fullest potential. Essentially, by using collaborative leadership we are being competitive. Similar to the situation of the automobile, if stakeholders provide the right leadership (spark plug) to their collaborative effort they all can realize their shared goals (e.g., a ride in the car). If they act alone (especially on a complex public issue), it is likely that no one will realize their shared goals (and will probably, in the car example, have to walk a long way on foot without air conditioning or a radio). Rather than everyone losing by acting independently, in collaborative leadership everyone can win (in regard to the shared goal and vision).

There are two leadership approaches that Morse (2007) has identified as forms of collaborative leadership. The first is called "Shared Transformative Capacity" (Bryson and Einsweiler; 1991, p. 3) and the second is called Catalytic Leadership (Luke, 1998).

The Shared Transformative Capacity approach argues that we live in a world where power related to public problems and issues must be shared because the required knowledge, resources, and authority are dispersed and there is no single entity that can claim to be “in charge”. In this view, there is not an established structure to resolve complex problems like there is in hierarchal organization to address less complex organizational issues. As such, the approach specifies that shared power is necessary and is defined to be “shared capabilities exercised in interaction between or among actors to further achievement of their separate and joint aims” (Bryson & Crosby, 1992; p. 13).

Under this model of leadership, leadership is defined as a process to “inspire and motivate followers through persuasion, example, and empowerment, not command and control” (Bryson & Crosby, 1992; p. 21). Since the leader won’t necessarily have positional authority over participants, the leader relies on other leadership abilities (attributes, skills, and behaviors) to manage the joint (collaborative) effort. In addition, who will serve as leader(s) and who will serve as follower(s) will change on an

issue by issue basis dependent on the unique circumstances of every situation.

Bryson and Crosby (1992) identify several key tasks that effectively define their approach to collaborative leadership. A list of 5 of these tasks along with a brief description of each is provided below:

1. Understanding the social, political, and economic “givens” - while collaborative leaders and stakeholders need to gain the knowledge of the various aspects of the issue or problem situation currently, they need to avoid being trapped by the existing situation’s perceived limitations (e.g., this has been tried before so we know it won’t work; or, this has never been tried before so it must not be possible). As a result of the collaborative process, the leader needs to ensure that new knowledge, resources, and opportunities (by inclusion of the various diverse stakeholders) can be drawn upon to overcome many of the situation’s perceived limitations.
2. Understanding the people involved, especially oneself - this task requires that the leader embrace the diversity of the individuals involved in the process. Because the

collaborative process is crossing organizational boundaries, there will a wide variety of backgrounds and perspectives represented. It will be the participant's and the leader's responsibility to gain a knowledge and appreciation of what each individual brings to the table. Imagine a collaborative effort that has a shared goal of providing safe crosswalks for a local community with the relevant stakeholders being the city transportation staff (e.g., finance staff or traffic engineers), city school principals, and parents. Working together and sharing their unique perspectives would likely result in achievement of their shared goal of safe streets. Working independently would likely be frustrating – city staff would know how to build the crosswalks and how to pay for them but they would not have the best knowledge of where to place them. In this situation, parents and school principals would have some relevant knowledge regarding which streets were typically crossed by children and at what time during the day.

3. Building Teams - in this task the leader will use various techniques and approaches to ensure that each individual

involved is utilized to his/her fullest potential. Facilitation of the collaborative process in particular is where the leader will be actively involved in moving the team towards goal attainment. Other essential strategies include: development of an effective communication process; unification of diverse individuals' towards achievement of the shared goal; clearly define how each individual will be involved in the process by clarifying their role in the process and by establishing rules of how the team will conduct itself, establishing trust, garnering required resources, and many others.

4. Nurturing effective and humane organizations, interorganizational networks, and communities - in this task, the leader aligns the organization's structure with the shared mission and goals, ensures that the organization is operated ethically and is adaptable to a changing environment, and that a climate of community, interconnectedness, and common purpose be established and maintained. In some ways, this might be where the greatest benefit of the collaborative leadership approach is realized. Beyond the current public issue or problem,



these structures and organizations may continue into the future and be available to address other complex public issues as they arise.

5. Creating and communicating meaning - in this task the leader will give life to the goal and mission by finding ways to explain and work with the team to develop a shared goal and vision for the future. By incorporating the diverse team in development of the share goal and vision, the likelihood of a buy-in to support the goal and vision from the team is greatly enhanced.

In *Catalytic Leadership* (Luke, 1998), leadership of a collaborative effort “is that of a catalyst – thinking about problems in a systematic or interconnected way, fostering dialogue and concerted action toward solving problems, and sustaining momentum over time” (Luke, 1998; p. 21). A catalytic leader arranges for various diverse stakeholder groups to come together and address public issues and problems. In this model of collaborative leadership, as in others previously mentioned, anyone can be a catalytic leader.

To give a simple illustration of how this might work, I will use the metaphor of a ‘spark plug’. Luke believes that a

catalytic leader serves as a 'spark' to the collaborative process. Similar to an automobile that has great potential as a means of transportation, a collaborative process in the public realm has a great deal of potential to achieve a desired outcome. In the case of the automobile, the desired outcome is to get somewhere such as work, school, or a friend's house. In the case of public issues, the outcome might be to resolve flooding, address homelessness, or provide subsidized health care. However, to realize that potential, both the automobile and the collaborative process need to be 'started' and 'restarted', as needed. Without a spark plug, the automobile will not start. None of the other features of the automobile will start the car (e.g., the motor, electronics, or transmission). I believe that Luke is making a similar argument in the catalytic leader approach. Basically, without a catalyst to initiate and maintain the collaborative process, the shared goals of the stakeholders will not be addressed because the process will not 'start'. To realize the fullest potential of the collaborative process (similar to the powerful automobile engine), a catalytic spark must be present (similar to the spark plug) to get things moving in the desired direction.

Luke describes a process that will start the 'engine' of the collaborative effort. The process consists of 4 catalytic tasks. First, the leader will elevate the public issue or problem and advocate for its resolution. During this step the leader will 'spark' the situation by issuing a 'wake-up' call that the issue is urgent and should be prioritized at the top of the public agenda (Denhardt & Denhardt, 2003).

Second, the leader identifies and engages the various diverse knowledgeholders and stakeholders for the particular public issue. The leader makes arrangements for the participants to meet in order to share their unique knowledge, perspective, and background and to gain an appreciation of what each member brings to the table. At this stage, other stakeholders involved may emerge as catalysts to 'spark' the process even further.

Third, the catalytic leader will "sustain action and manage interconnection". Once the participants have been identified and engaged in the process, the leader will work with them to draft a plan of action. The details of the plan will be dynamic in that they may change over time as the circumstances change. The primary driving element of this task is the shared purpose of the

collaboration which will be developed and negotiated by the participants.

Finally, the leader(s) will continue to be the 'spark' to keep the collaborative process moving. While there may be several impediments to keeping the process on track (such as loss of trust among the various stakeholders or other priorities may vie for attention on the public agenda), the catalytic leader keeps the pressure on by refocusing attention on the shared goal of the collaboration and by solidifying the organizational arrangement of the collaboration through networks and agreements, and when appropriate, new organizations.

The last approach to collaborative leadership to be covered in this study is offered by Dubrow (2008). This very recent definition (provided below) of collaborative leadership is important to literature for at least two reasons: (1) The definition represents another approach to the concept of collaborative leadership and thus contributes to the relevant literature; and (2) The process in which the definition was derived (via. a collaborative leadership exercise) has led me to an important conclusion about what collaborative leadership is.

Dubrow's approach consists of two possible definitions of collaborative leadership: When there is a single individual who assumes the role of leader in the collaborative situation, the definition is: "someone who demonstrates an approach that is inclusive, supportive, cooperative, and trustworthy. The individual constantly works toward the group's shared goals and for the collective good" (Dubrow, 2008; p. 9). When no single individual assumes the leadership role, the definition is: "all members share leadership, power, workload, credit, and responsibility, with equality and without hierarchy. Roles are dynamic, changing based on individual expertise and the needs of the group" (Dubrow, 2008: p. 9).

These definitions of collaborative leadership have a great deal of overlap with the examples presented earlier. They were developed at the University of Minnesota as part of a collaborative process to develop and enhance collaborative leadership opportunities throughout the University of Minnesota setting. Because the definition and its intended application are limited to one setting, my focus here is not so much on the definitions, but on the process used to craft the definitions and what lessons can be learned from that process.

The approach used to derive the definition of collaborative leadership by Dubrow is particularly interesting. The approach utilized surveys, interviews, focus groups, and review of the relevant literature to reach conclusions about what the participants thought collaborative leadership is and what it should be for their collaborative situation. Using this information, a common understanding was developed about what collaborative leadership is in the form of the two definitions provided above.

I believe that this represents a very powerful illustration of what collaborative leadership is and how it can be approached most successfully. While the literature regarding theory and application of collaborative leadership is vitally important for guiding collaborative leadership situations, the ultimate meaning and definition of collaborative leadership is based on the particular collaborative (public issue or problem) situation.

Further, the collaborative process is most effective when individuals share in the leadership and facilitation of the process (Linden, 2002; Morse, 2007). As such, I believe the meaning and definition of collaborative leadership is the unique meaning and definition that the collaborative leaders and stakeholders

develop, implement, and refine in each and every different situation.

Previous portions of this section have examined how various authors define what collaborative leadership is and how it works. I will now present some thoughts on how collaborative leadership fits into the most current perspectives regarding public administration.

First, I need to make a distinction in the types of collaborative leadership that are described in the literature. Some of the earlier uses of the term described situations where organizational efficiency was the objective, such as the work by Finch (1977). These approaches have been useful in that they began the discussion of the concept of collaboration leadership. I categorize those approaches as "Old Collaborative Leadership."

Recent uses of the term collaborative leadership have expanded the problem and issue domain into public areas. Collaborative leadership usefulness in public settings and public administration increased greatly as the concept evolved to involve domain areas of public purposes (Chrislip & Larson, 1994; Stagich, 2001; Luke, 1998; and Linden, 2002). I categorize those approaches as "New Collaborative Leadership."

An instructive exercise (Table 3 at the end of this chapter) was to overlay the concepts of collaborative leadership (both New and Old) presented earlier with the concepts of three fundamental perspectives of Public Administration: (1) Old Public Administration; (2) New Public Management; and (3) New Public Service. An excellent source of information detailing various aspects of these three fundamental perspectives is provided in the book: *The New Public Service: Serving Not Steering* (Denhardt & Denhardt, 2003).

Based on this exercise, it appears that the concepts of 'Old Collaborative Leadership' most easily fit under the Old Public Administration and lightly cross into the New Public Management. The 'New Collaborative Leadership' lightly crosses into the New Public Management and easily fits under the perspective of the New Public Service. This is true especially regarding certain aspects. For example, while the Old Public Administration and New Public Management assume that control and authority lies within the organization (as in the Old collaborative leadership), in the New Public Service the organizational structure is collaborative in nature and leadership



is shared and extends beyond organizational boundaries (as in New collaborative leadership).

In addition, the New Collaborative Leadership has other similarities to the New Public Service, such as: (1) democratic values; (2) issues are examined from multiple perspectives; (3) shared goals and values; (4) addresses societal needs; (5) deals with complex problems that traditional leadership approaches (such as old collaborative leadership) cannot resolve; and (6) involves stakeholders including citizens and the community. As in the new collaborative leadership, the New Public Service views leadership as “a function that extends throughout groups, organizations, and societies” (Denhardt & Denhardt; 2003, p. 145).

#### New Definition of Collaborative Leadership

The following section will examine the assumptions and approach I used to develop a new definition of the term ‘collaborative leadership’.

One of the most important assumptions I have made is that my definition of the term ‘collaborative leadership’ should be very general in nature so that it will be applicable to all areas of application and research. Defined in that way, it will be

necessary to include a modifier with the term to denote the specific context of the term and its usage. For example, the term 'Collaborative Leadership' in Public Administration would be used to define collaborative leadership in the research and application areas of public administration. As such, the definition of 'collaborative leadership' itself must avoid words or phrases that may limit its scope to particular applications or research areas. For example, I have tried not to build into the definition of collaborative leadership any word or phrase that was focused solely to the academic or research area of public administration. To do so would limit its usefulness to other areas of inquiry. Instead, the specific area of application will be denoted through use of a modifier to the term collaborative leadership.

More specifically, I propose that when using the term in relation to the various academic and research areas, it be used with a descriptive modifier. For example, when referring to the concept in the realm of public administration, the term would be 'collaborative leadership' 'in public administration (research or application)'. In essence, the definition will describe the general theoretical and/or application approach of collaborative

leadership and the modifier will focus the approach to the academic or application area under discussion.

There are a multitude of definitions of leadership in the literature. However, Stagich (2001; p. 218) provides perhaps one of the most insightful in synthesizing the concepts of leadership and collaboration.

Leadership is “the ability to influence people to a course of action through a collaborative or facilitative approach to organization or motivation often enabling them to achieve their highest potential and maximum performance.”

By adapting Stagich’s definition of leadership, I pose my own definition of leadership, as follows: “the ability to influence, and willingness to be influenced by, other people to strive together toward: (1) development and achievement of a shared goal, and (2) realization of their individual goals and aspirations.”

I believe that relevant stakeholders will become involved for a variety of reasons. One principal reason is that stakeholders will voluntarily work together to develop and implement shared goals and visions through an interactive process based on a two-way trust between the stakeholders.

The stakeholders expect that their collaborative efforts will allow them to accomplish their shared goals – goals which could not have been achieved had the stakeholders acted independently (Roberts & Bradley, 1991; Kouzes & Posner, 1995; Chrislip & Larson, 1994). This expectation will motivate the stakeholders to participate in the collaborative process.

As such, I define collaborative leadership as: “the act(s) of influencing (and being influenced by), through mutual trust and shared goals, people striving together toward: (1) development and achievement of a shared goal, and (2) realization of their individual goals and aspirations.”

### Leadership Theories

This section provides an overview of the Leadership literature. This overview will help the reader more fully understand the concept of ‘collaborative leadership’ by putting it into context with the existing body of literature related to leadership theory and research.

The sub-sections to follow will review existing leadership literature and trace its evolution over time.

## “Great Man” – Trait Theory

A major tenant of Trait Theory (1920's – 1930's) is that there are particular people who are born with unique traits and characteristics that make them especially well suited to be leaders (Antonakis, Cianciolo, and Sternberg, 2004; Northouse, 2004). Under this approach, the pool of potential leaders would be limited to those individuals who were born with specific leadership qualities and traits. On the flip side, trait theory would likely reject the idea that is commonly stated that: “You can grow up to be whatever you want” or “someday you can grow up to be President (U.S.).”

It was believed that using traits as a predictor of leadership success had many practical implications. For instance, by evaluating individuals by their traits an organization could determine who would be most suitable to assume organizational leadership responsibilities. Selecting the candidate with the optimum physical (e.g., youthful), social (e.g., education from top ranked universities), personal (e.g., adaptable and flexible), and task focused (e.g., self motivated) the logic went, would result in the best leadership achievement for the organization.

Trait Theory and research was greatly curtailed, however, when various limitations of the approach were revealed (Antonakis, Cianciolo, and Sternbert, 2004; Hersey, Blanchard, and Johnson, 1996). For example, while many traits were isolated that may be conducive to effective leadership; there were no traits in the research identified that would serve to act as a predictor of successful leadership (Antonakis, Cianciolo, and Sternberg, 2004). In addition, Trait theory did not account for the situational aspect of the need for leadership. While some traits may be relevant and useful in some situations, they may not be as well suited for other situations (Northouse, 2004).

Because relevant traits were difficult to identify and were not applicable to all leadership situations, leadership theory research took a turn towards measures of leadership that would more readily identifiable – leadership behaviors (Behavioral Leadership Theory – discussed in the next section).

Collaborative leadership theory, on the other hand, takes a very different approach. As we have seen in earlier sections, rather than being limited by one's natural born abilities, collaborative leadership assumes that anyone can assume a role of leadership to achieve a common goal and is not limited by

qualities and characteristics that are innate or inborn. Instead of needing to wait for the “Great Man” to lead us, people striving for a common goal can collectively take the leadership role and accomplish and succeed in their objectives.

### Behavioral Leadership Theory

As research related to trait leadership lessened, research in the area of behavioral leadership theory filled the void (Antonakis, Cianciolo, and Sternberg, 2004). Recognizing the limitations of using traits of individuals as a predictor of leadership success, behavioral leadership theorists took the approach that it would be better to determine which specific leadership behaviors were indicative of leadership success. In that way, individuals could be trained to be successful leaders.

One aspect of this approach could potentially be viewed as a positive step in the evolution towards collaborative leadership theory. By moving away from trait leadership theory, which viewed only certain people with certain traits as viable leaders, behavioral leadership theory allowed for the possibility that the necessary skills could be learned in some individual cases. Since collaborative leadership theory generally assumes that multiple individuals can collectively assume the leadership role to achieve

the common goal, the possibility that some can improve their leadership potential beyond their natural born traits seems to be a marginal improvement.

However, with that said, when looking at behavioral leadership theory more closely there are significant theoretical and practical clashes with collaborative leadership theory. For example, Douglas McGregor presented one of the most significant behavior leadership theories – The Theory X and Theory Y theory. Under McGregor’s theory, individuals were classified as either Theory X or Theory Y employees (Hersey, Blanchard, Johnson; 1996). Theory Y employees were considered industrious, hard working, willing to work with others, and self motivating. Implicit in the attributes of a Theory Y employee, I believe, is a level of trust between the organization and the Theory Y employees (and among the individual Theory Y employees themselves).

There may be some overlap in how the Theory Y employees were viewed and how individuals are viewed in collaborative leadership theory. Under both perspectives there is an overarching assumption that the employees are driven and motivated to work together to achieve both personal and



common goals. In addition, each individual has the willingness and potential to contribute to problem solving creatively and constructively.

However, the two theoretical perspectives (collaborative leadership and Theory X/Theory Y) diverge significantly when Theory X employees are considered in relation to individuals under collaborative leadership theory. Theory X employees are considered to be unmotivated, in need of control and punishment to work towards organizational goals, lazy, not self motivated or cooperative. Rather than being seen as potential participants (perhaps 'equals') in the leadership process (as in collaborative leadership theory), Theory X employees are viewed as subordinates who are not capable of participating in the leadership process and must be led by others.

While behavioral theories were an improvement compared with trait theories, there was not a conclusive link between leadership behaviors and with successful leadership. In addition, one of the principle objectives of the behavioral school of thought, which was to establish a universal set of behaviors that would assure successful leadership, was not achieved (Northouse, 2004).

Further, it became evident to researchers that the leadership situation played a large role in the success or failure of the specific leadership behaviors beyond that of the specific behaviors themselves. What might work in one situation may be much less effective in another situation. Due to these issues, research related to behavioral theories lessened in the 1960's to be surpassed by research in a new school of leadership theory – Contingency Theory.

#### Contingency Leadership Theory

Many of the issues with prior leadership research (e.g., trait theory, behavioral theory) were addressed in contingency theory (Antonakis, Cianciolo, and Sternberg; 2004). The most significant contingency theory was put forward by Fred Fiedler. Fiedler's Contingency Model generally asserts that the quality and effectiveness of leadership is dependent up the quality of the environment or situation that the leader is experiencing. In trait and behavioral leadership theory, the characteristics and actions of the leader were viewed as the primary force in the quality of leadership and its outcome. However, contingency theory adds a further dimension – that of the leadership context or situation.

Let's look at a simple example of how this might work. Trait leadership theory may indicate that an individual who is physically fit would experience leadership success. Behavioral leadership theory may indicate that the individual who is proactive would be successful. However, contingency theory suggests that the leadership situation plays a large role. For instance, in the case of an instructor leading an online class via the Internet, a trait such as physical stature may have little or no impact on leadership success because of the lack of direct contact with the class; whereas, the same trait may have a significant impact on the instructor's effectiveness in an in-person setting.

Fiedler's contingency theory suggests that three factors contribute to leadership effectiveness: (1) the quality of the relationship between the leader and followers - "leader-member relations", (2) the composition of the task involved - "task structure", and (3) the level of formal authority the leader has in the organization - "position power" (Hersey, Blanchard, & Johnson; 1996; Chemers, 1997).

A critical implication of this view is that the leader be adaptable in their behavior in relationship to the situation in

order to be successful. As such, the idea that specific universal traits and/or behaviors by themselves are sufficient to lead to successful leadership is no longer valid. Rather than rely on specific traits or behaviors, leaders must be able to correctly assess the leadership situation and adjust their leadership style to meet that situation and in some cases work to improve the situation in order to lead successfully (Northouse; 2004).

In relation to collaborative leadership, Fiedler's contingency model has at least one problem. I believe that the contingency model implies that there is a formal leader and formal followers. While the model allows for leaders to be very adaptable to the followers' needs and other situational factors, it doesn't seem to suggest that all participants will work collaboratively or collectively throughout the leadership process.

#### Transformational Leadership Theory

Transformational leadership theory represents a major departure from earlier theories of leadership. Earlier theories have been categorized as transactional in nature (Antonakis, 2004; Bass, 1990; Burns, 1978). In transactional leadership, leader and followers engage in transactions where leaders exchange something of value (such as wages or benefits) for an

agreed upon quantity and quality of work in return. Once the transaction is complete (e.g., the end of a work day), the transaction is complete. The leader is obligated to provide the agreed upon benefits to the follower. Both leader and follower have satisfied the conditions of the leader/follower relationship (transaction).

Transformational leadership by contrast significantly expands the concept of the leader/follower relationship. Under transformational leadership, the leader and follower develop a connection beyond that of a quid pro quo transaction. The leader seeks to understand and address the unique needs and motivations of followers (Bass, 1990). In doing so, the leader is ultimately seeking to achieve optimal performance (Northouse, 2004).

Under transformational theory, it is believed that it is possible to gain achievement beyond the results that could be obtained through a transaction leader/follower relationship (Bass, 1990). A simple example may help illustrate how this might work. In a public organization a leader (manager or supervisor) would prepare a job description and performance standards for an employee. As long as the employee followed

the job description and met the performance standards, the leader would provide all the perks (e.g., pay, insurance, per diem) promised in the employment contract. This relationship lays out a clear transactional arrangement between the employee and the supervisor.

Let's take the example further. In the case of a transformational leader/follower relationship in a public organization, the supervisor may seek to gain achievement beyond that provided in the employee's job description. Because the employment contract may be limited to such things as pay and benefits as employee motivators, the supervisor in a transformational leadership situation looks for additional ways to motivate the employee. Some motivators that leaders have used include such things as: treating employees as unique human beings and trying to understand their feelings and emotions, helping the employee achieve their maximum potential, and reaching out to employees to provide their own unique creativity and vision in solving organizational problems.

Beyond the achievement of the organization objectives, the transformational leadership approach seeks to 'transform' the followers by addressing their unique personal needs and

motivations (Bass, 1980; Northouse, 2004). As such change occurs; the followers would be transformed from individuals into team members (Antonakis, 2004).

Transformative leadership calls for the leader to seek followers' motives, strive to meet their high order needs, and to involve the whole person in the process. This approach considers the leader and the followers to be peers. Similarly, collaborative leadership strives to treat stakeholders as peers, involve the whole person, and allows the stakeholders to reach a higher level of "motivation and morality" (Chrislip & Larson; Heifetz, 1994).

### Stakeholder Theory

The purposes of this section of the literature review are to: (1) describe various processes of public policy-making and examine the role of stakeholders in these processes; (2) examine how stakeholders participate and what their effect is in regards to public policy content; (3) examine the impacts stakeholders have on the policy process, both negative and positive; and (4) discuss ways that the process could be altered to ensure appropriate representation and sound policy-making.

Objectives of this section are, as follows: (1) review and synthesis of the existing policy-making and stakeholder literatures; (2) summarize the history of policy-making and stakeholder literatures; (3) identify the applicable definitions, concepts, assumptions, and theories; and (4) analyze and critique the policy-making and stakeholder literatures to include identification of any gaps in the literature.

Early stakeholder literature dates back to 1963 and was based on work at the Stanford Research Institute (Friedman & Miles, 2006). This early literature and subsequent works during the 1970's through the 2000's was focused primarily on the term stakeholders used in the context of corporations and business entities rather than the realm of public policy-making. However, in recent years the concept of stakeholder has been explored in relation to public policy-making, as well. This section will review the stakeholder literature from 1963 to the present as it relates to both the corporate and public policy areas.

Before proceeding with the literature review though, a generalized working definition of the concept of 'stakeholder' will be provided as a starting point in the discussion. According to the *Merriam Webster Online Dictionary*, a 'stake' is "an interest



or share in an undertaking or enterprise”, while a ‘holder’ is “a person that holds.” Based on these definitions of the component parts of the term stakeholder, a two-part working definition of stakeholder would be, as follows: (1) “one that has a stake in an enterprise”; and (2) “one who is involved in or affected by a course of action.” (<http://www.merriam-webster.com/dictionary>).

To illustrate how this definition of ‘stakeholder’ might work, I provide two examples. The first example (illustrating the first part of the definition) would be that of a person who owns stock in a corporation. Looked at from this limited perspective, the stakeholder’s (e.g., stockholder’s) interest in the corporation is solely based on the financial benefits derived (e.g., stock appreciation, dividend payouts) from ownership of the corporation’s stock. Once the stock is sold or becomes valueless, the stakeholder’s interest in the corporation ends. A second example (illustrating the second part of the definition), is that of a homeowner who would be impacted by a change in local transportation policy adding light rail tracks along the homeowner’s residential street. Some of the potential impacts could be positive (e.g., improved availability to urban mass

transportation) and some could be negative (such as increased noise-levels).

The first part of the working definition is very limited in its scope – to be considered a stakeholder, the individual must have a specific interest in a particular enterprise. While the second part of the working definition is much broader in scope – anyone impacted by a particular course of action is considered a stakeholder (whether or not they have an interest in the enterprise). Both the 'limited' and the 'broader' parts of the working definition are reflected to some degree throughout the stakeholder literature in the corporate and policy-making settings. The remainder of this section will examine stakeholder literature in detail as a prelude to the next section which explores the literature related to the process of policy-making and how stakeholders are treated in relation to that process.

One of the earliest approaches to the concept of stakeholders cited in the literature is attributed to the Stanford Research Institute-SRI (Friedman & Miles, 2006). Their approach is very similar to the first part of the working definition presented above. SRI defined stakeholders as: "groups without whose support the organization would cease to exist" (SRI

internal memo, 1963). Taking the earlier example of stockholders in the organization further, without the willingness of individuals or enterprises to purchase the corporation's stock, the corporation could not continue operations. In addition to stockholders, there are other groups that the corporation relies upon for its existence. These might include employees, suppliers, customers, and others. It is important to note that the relationship between the stakeholders and the corporation under this approach is one of organizational survive-ability. In contrast, the second part of the working definition of stakeholders provided earlier is broader. A stakeholder impacts and/or is impacted by an entity's actions. Rather than being limited to issues of survive-ability, the second part of the working definition allows for individuals and groups to be considered stakeholders if they have any relevant effect upon, or are impacted by, the actions of the enterprise under consideration.

While the SRI approach defining stakeholders as "groups without whose support the organization would cease to exist" is widely recognized as an important introduction to the concept of stakeholders, it has limitations in relation to both corporate and

public policy-making areas of interest. First, it is completely focused on the importance of the viability of an organization (Friedman & Miles, 2006) rather than any other competing and/or potentially more worthwhile objectives (such as stakeholder goals, objectives, and well-being). For example, there was a great deal of deliberation about bailing-out the big three American automobile makers as part of the Obama stimulus package. In this case, the objective went beyond simply saving the big three auto makers. Rather, the relevant stakeholders' well-being (e.g., employees, suppliers, customers) was often cited as important justification for the bail-out.

Second, the SRI definition is overly rigid (Friedman & Miles, 2006) in that it is limited to only those individuals or groups who are necessary for the organization's survival. In the case of child care subsidies under the Federal Child Care and Development Fund (CCDF) administered by the individual states, relevant stakeholders such as families and child care providers, would likely not be considered to be stakeholders under the SRI definition. The CCDF program at the Federal level would certainly survive if small numbers of families' interests related to child care were not adequately considered in the policy-making

process. However, each family could potentially be impacted by the actions and policies of the CCDF program and as such would be considered stakeholders under the second part of the working definition.

The stakeholder literature took a significant course change in 1984 when R.E. Freeman proposed an expanded definition of stakeholder in his book *Strategic Management: A Stakeholder Approach* (Freeman, 1984). The definition of stakeholder Freeman suggested is: "any group or individual who can affect or is affected by the achievement of the organization's objectives." (Freeman, 1984; p. 46; reprinted in Friedman & Miles, 2006; page 4). This is a much broader definition of stakeholder than the SRI definition discussed earlier. As such, it expanded the organization's strategic options and competitive advantage by including stakeholders beyond those necessary strictly for the organization's survival.

Some of the important aspects of Freeman's approach include:

- Stakeholders can both affect and be affected by the organization's actions. This aspect expands the area of interest beyond the well-being of the organization by

including consideration of the interests and well-being of the various stakeholders. In doing so, the concept of stakeholder may have enhanced practicability to areas of public policy-making that typically focus on achieving outcomes that are in the public's interests – rather than what is in a particular organization's (e.g., corporation, government) best interests.

- Stakeholders under this definition can be individuals as well as groups. This is important in part because many issues (in corporate or public policy for instance) have an impact on, or require participation by, various individuals and groups (e.g., child welfare policy, immigration reform) and are not limited to a single organization and its interest as in the SRI definition of stakeholder.
- Stakeholders (in many cases) can withdraw their support of the organization and not necessarily cause the organization to cease to operate as in the SRI definition. For example, if an automobile dealership sells the products of five different automobile manufacturers (each a stakeholder) and one of the manufacturers (e.g., Yugo) is discontinued, the dealership will not need to necessarily go

out of business. The dealership may be able to survive since it has four other product lines and, if necessary, could substitute another product to replace the Yugos. Thus a single stakeholder's (or group of stakeholders) support (patronage) does not necessarily control the ultimate fate of the organization.

Another example (related to public policy) might be a state Governor who opposes President Obama's stimulus aid to the states. While there have been some Governors who have indicated that they object to the plan for various reasons, their opposition is unlikely to impact the Federal organization(s) or their mechanisms' put in place to implement the plan. In situations where a Governor may refuse all or part of the funding, the dollars will likely find their way into the public realm by other means (e.g., the state legislature overriding the governor and accepting the money, the money being sent to another state) or it might simply be retained at the Federal level. In spite of the Governor's actions, the Federal organization(s) would certainly survive.

Friedman and Miles (2006) provide a chronology between 1963 and 2003 of how 75 various authors have defined the

concept of stakeholder (primarily in the context of business organizations). The list will not be reproduced in this study due to space constraints. The list however, is an excellent reference to trace how stakeholder literature has evolved over time as it relates to business in particular.

The concept of stakeholder has become an important consideration in the public realm beyond its importance to the context of business organizations. The remainder of this section will explore how various authors have incorporated the concept of stakeholder in contemporary approaches to public administration theories and concepts. This discussion will provide a foundation for subsequent analysis of how stakeholders are handled under various public policy-making theories as outlined in the next section of the literature review. Luke (1998; page 170) provides a comprehensive definition of stakeholders based on the work of Bryson and Crosby (1992).

According to Luke (in the context of the Catalytic Leadership theory), stakeholders are: "individuals, groups, and organizations with interests in the issue area" who are "affected by the causes or consequences of the particular issue." A similar treatment of stakeholders is offered by Chrislip & Larson (1994;



p. 65) in the context of Collaborative Leadership theory where stakeholders are defined as those who are “affected by or affects a particular problem or issue.” The focus of both catalytic leadership and collaborative leadership in the public realm is “on leadership as a process of pulling stakeholders together to solve public problems...” (Morse & Buss, 2008; p. 82).

Let’s examine the implications of these definitions in greater detail. These definitions provide a much broader approach to the concept of stakeholder than was provided in stakeholder research related to business organizations. With their emphasis on an “issue area” rather than a business organization, the definitions are directly applicable to public issues and public policy-making.

A simple example related to environmental pollution may be helpful to illustrate the point. Looked at very narrowly, stakeholders (e.g., stockholders) to a business may be concerned about an organization’s potential involvement in pollution (e.g., illegal dumping) from the perspective of how it would impact the value of their equity holdings (e.g., impact of lawsuits, boycotts). However, under Luke’s and Chrislip and Larson’s definitions, those considered to be stakeholders would

be greatly expanded to include anyone impacted by (or could impact the organization as a result of) the deteriorating quality of the environment including near-by residents, business owners, environmentalists, environmental biologists, concerned citizens and potentially many other individuals and groups. Bryson (1995; p. 27) went a significant step further and defines stakeholders as: "any person, group, or organization that can place a claim on an organization's attention, resources, or outputs or is affected by that output." Bryson clearly believes stakeholders and their interests are paramount related to public policy and policy-making as he states "the key to success for public and non-profit organizations (and for communities) is the satisfaction of key stakeholders."

Bryson's approach represents a much broader approach to the concept of stakeholder than that of the second part of the working definition mentioned earlier and Freeman's definition. Stakeholders, beyond simply being individuals and groups that either impact or are impacted by an organization's actions, are also inclusive of those that 'can place a claim on an organization's attention, resources, or output.."

Let's look at an example to illustrate how this might work concerning individuals who have immigrated to the U.S. without proper documentation. While many politicians have attempted to deny these individuals services ('resources') of the government (such as the ability to claim in-state tuition), they would still be considered stakeholders even if all services were denied and the immigrants were deported. The deported immigrants would still be considered stakeholders under this definition because various 'outputs' and 'attentions' such as border security, deportation appeal processes, and other immigration policies would still be in place even if the immigrants were making no efforts to return to the country and thus were not directly 'impacting' or being 'impacted' by immigration policy. I should concede that some may disagree here because the term 'claim' infers that stakeholder has a 'right' to something. While the deported undocumented immigrant in the example may not have a 'right' to claim 'attention' or 'resources' related to immigration laws, my assertion is that they would be considered stakeholders regardless because the laws are actually in place and thus I believe that fact conveys, for all intents and purposes, a legitimate privilege or consideration under the law.

The importance of the stakeholders is also indicated in the literature related to the New Public Service perspective on Public Administration. In their book, *The New Public Service: Serving Not Steering* Denhardt & Denhardt (2003) discuss Luke's approach (Luke, 1998) and go on to describe that stakeholder identification is an important activity of the process of thoughtful and strategic management of public problems and issues. "Without the involvement of all these interconnected groups and organizations, little can be done to effectively address complex public problems" (Denhardt & Denhardt, 2003; p. 150).

There are several tools available to assist with identifying the relevant stakeholders (as recommended by Denhardt & Denhardt) in particular business and public situations. While an exhaustive analysis of the various available tools is beyond the scope of this study, a few will be identified and briefly described. The first tool is stakeholder analysis – "a method of specifying who and what is affected" (Lewis, 1991; p. 121). In a form of stakeholder analysis (in the context of Catalytic Leadership theory) there are four discrete steps: (1) a listing of relevant stakeholders is developed; (2) those with relevant knowledge related to the issue at hand are identified; (3) a subset of all

stakeholders forms a 'core working group'; (4) the 'core work group' meets to identify goals and objectives in regard to the issue at hand (Luke, 1998; Popovich, 1998; Morse & Buss, 2008).

One important use for a stakeholder analysis is as a resource to help inform and develop an organization's overall mission statement (Bryson, 1995). Once all the stakeholders have been identified and their interests enumerated, the organization's mission can be revised to ensure that the organization's actions are aligned with stakeholder objectives in mind and in meeting an organization's 'key success factors' (Bryson, 1995; p. 291).

Another tool, called the 'oval mapping process', has been cited in the literature as a way to formulate a comprehensive illustration of the interrelationship between the organization's stakeholders and their interests. The benefit of developing these maps lies in that they display the myriad of interrelated links and associations within the organization and identify the stakeholder concerns and the organization's 'cause-effect' connections.

While the mechanics of this tool will not be detailed here, the maps may be an effective means to "highlight potential

strategic issues” and in identifying any “areas of potential collaboration with different stakeholders” (Bryson, 1995; p. 272).

Nutt and Backoff (1992), as described by Bryson (1995) provide guidance on how policy-makers could potentially categorize an organization’s stakeholders as a tool to enhance the policy implementation process. While the categories were meant to be used with policy implementation in mind, I think they also could serve to help policy-makers determine how to incorporate stakeholders and their interests during the policy-making process, as well.

The categories of stakeholders as initially defined by Nutt and Backoff (1992; p. 198; and adapted by Bryson (1995; p. 284-285) are: (1) ‘supporters’ – those stakeholders who back the policy issue that the organization needs to be successful; (2) ‘antagonistic’ – those stakeholders who do not back the policy issue but are nevertheless critical to the organization’s success; (3) ‘problematic’ – those stakeholders who are against the policy issue but not considered critical to the organization’s success; and (4) ‘low-priority’ – those stakeholders who back the policy issue but are not critical to the success of the organization.

Another stakeholder related tool is the use of 'symbols' to promote and encourage stakeholder involvement in the policy-making process. (Elder & Cobb, 1983; as discussed in Browne, 1998). With the complexity of many public issues and the competition for stakeholders' time and attention (among other things), many stakeholders aren't willing or able to participate to the degree possible in the public policy-making process.

However, the linkage of symbols to particular policy issues (e.g., 'Smokey the Bear' to the issue of forest fires), tends to engage many stakeholders in the process. While in some circumstances, the symbols and their messages may be manipulative, increased stakeholder engagement is generally a worthwhile goal.

Bingham, Nabatchi, and O'Leary's approach suggest a variety of tools and resources exist that can be further developed to facilitate stakeholder and citizen involvement in the inner workings of the government. One such tool is 'collaborative policy-making' in which various individuals and groups come together to design and draft policies to address shared areas of interest.

Involvement of stakeholders in public policy issues offers both potential benefits and threats. One of the key benefits is that involvement of the relevant stakeholders allows for the resolution of complex public issues and problems. By the inclusion of all those individuals and groups salient to the issue at hand, all the knowledge, resources and perspectives are brought together synergistically towards resolution of the issue. Another benefit is that involving stakeholders will increase the likelihood that they will buy-in to the final result outcome (such as a new public policy) if their concerns were accounted for throughout the process (Linden, 2002).

Further, Roberts & Bradley demonstrate through a field study of over 60 participants that stakeholders, when working collaboratively together, are able to develop innovative, incremental public-policy. "Public policy innovation has been defined as the process of introducing new ideas into public sector practice" (Roberts & Bradley, 1991; p. 213; Polsby, 1984). The ability to develop innovative public policy is an important benefit that stakeholders can provide especially considering the unique, varied, and often times complex issues and problems that surface in the public realm.



Beyond the benefits, however, involvement of stakeholders in public policy issues also has the potential to create threats (Linden, 2002). Some of these threats include: (1) an additional cost (whether perceived or actual) in time and/or money to incorporate the interests of the stakeholders in the process; (2) some stakeholders may have unstated objectives ('personal agendas') that are not consistent with the best interests of the other stakeholders; (3) by integrating so many different individuals and organizations into the process there is an increased likelihood of both personal and political infighting and conflicts (Linden, 2002); (4) there may be a tendency for policy-makers and public officials to limit stakeholders to only those who are the most prominent and powerful; and (5) since some relevant stakeholders may not be aware of the issue at hand, they may not be included or know to try to interject themselves into the process (Mills, 1991).

A criticism of the concept of stakeholders in regards to public policy-making is a major theme of a form of policy analysis called 'Participatory Policy Analysis - PPA' (DeLeon, 1997). Briefly, the primary concept of PPA is that random individuals who may be impacted by the policy issue at hand

may offer a more unbiased and fruitful contribution to the policy process than more recognized stakeholders. The premise behind this view is that more conventional and entrenched stakeholders in regard to the policy issue may tend to not support issues such as equity and evenhandedness in the policy-making process.

Another concern expressed by Popovich (1998; p. 60) "all" stakeholders "are more likely to become barriers to change if they are left out of the change process." For instance, in the case of the stakeholder categories 'supporters' and 'low-priority' (Nutt & Backoff, 1992) who support the policy issue at hand, failure to include them may push them into either the 'antagonistic' or the 'problematic' stakeholder categories where they will no longer support the policy issue. Similarly, failure to include 'problematic' stakeholders may move them to try to interject themselves into more involvement (e.g., posing as a barrier to the policy issue) with the organizations actions and policy-making processes.

#### Policy-making Theory

What is the public policy development process (a term which I will use interchangeably with the term 'public policy-making') and what is the role of stakeholders in the process?

The short answer to this question is that there are many different theories and approaches in the literature that address this question each with its own unique perspective and insight.

As such, a thorough review of the literature is necessary to explore the various theories and approaches related to the policy development process and how each addresses the issue of stakeholder involvement.

But first, it is important to briefly describe the concepts of the 'public' and 'public policy' and to derive an operational definition of the term 'public policy-making' as a starting point. Shafritz (2004) describes the 'public' as all individuals that comprise a particular relevant jurisdiction. For the purposes of this study, I will assume a very broad usage of the term to potentially include all individuals residing in the United States (U.S.) and, depending on the public policy in question, as individuals residing outside of the U.S., as well. This treatment of the concept of the 'public' recognizes that the impact and relevance of public policy (particularly U.S. public policy) extends beyond the U.S. border and its citizens and is often global in nature.

'Public policy' in this context can be thought of as policy that:

1. is activated through legitimate legal processes in the interests of the public. This would include policy enacted by the U.S. President, Congress, and the courts. An example would be rules, laws and guidelines related to the reduction of emission into the environment. Not only does policy in this area impact environmental concerns in the U.S. it also can potentially impact concerns in other parts of the world (e.g., acid rain in Canada, global warming in the north and south poles);
2. is comprised of decisions and actions taken by the government to put into place the views and ideology of elected officials. (Shafritz, 2004) This aspect generally refers to this as enactment of the 'governing doctrine' of our elected officials. As such, rather than being a direct democracy, the U.S. form of government calls for elected officials to represent the interests and concerns of its citizens.

Shafritz (2004; p. 244) offers the following definition of 'public policy-making': "the totality of the decisional processes by which a government decides whether to deal with a particular problem." For the purposes of this study, I would like to make a small change to create a working definition to read: all 'decisional processes' used by the government (sometimes in conjunction with the public) to select and resolve a public issue or problem. An example of public policy-making under this definition is recent efforts towards immigration reform at the Federal level. Various actors both in and out of the government attempted to move the issue onto the public agenda and enact comprehensive immigration reform policies. While they were not successful in doing so as of this writing, efforts continue by some elected officials and certain members of the public (e.g., stakeholders) to bring the topic (along with their proposed policy direction) back onto the public agenda.

While this operational definition is useful in getting the discussion started, it is necessary to explore in detail some of the key theoretical approaches to the concept of public policy-making and how, under each approach, stakeholders are involved in the process.

One view of the policy-making process that is discussed in the literature is commonly referred to as the 'policy cycle' approach. This approach is comprised of five distinct stages (Palumbo, 1988; p. 19). Rather than discuss this model in great detail, it is provided as a source of terminology and as a reference to guide later discussion of alternative policy-making approaches. However, the following is a brief overview of the five stage policy-making process:

The policy cycle's five stages are:

- 'Agenda setting' – a particular issue is brought to the public policy-makers' attention as a potential area in which a revision to existing policy or a new policy is needed.
- 'Formulation' – where the salient issue is clarified and analyzed to determine if it will be moved forward and developed into an actual public policy.
- 'Implementation' – the policy is finalized and is formally put into place and its provisions are enacted.

- 'Evaluation' – the results and outcomes of the policy are reviewed to determine if the policy objectives are being met.
- 'Termination' – in some cases, the policy may be eliminated or reversed if it is later determined that (for whatever reason) it is no longer viable.

The approach suggests that there is a linear pathway that policy decisions take from initially being placed on the public agenda through evaluation (and sometimes termination). However, there is flexibility in the approach to allow policy-makers to bring a policy back to the formulation and implementation stages if it is shown not to meet expectations in the evaluation phase.

To illustrate how this approach works, let's look at an Arizona example. Due to Arizona's Fiscal Year 2009 budget shortfall, policy-makers in the Arizona Legislature considered and later recommended severe cuts to most State of Arizona Departments and their programs ('agenda setting phase'). One such cut drafted was to the Arizona Child Care program of approximately \$25M ('policy formulation phase'). With only

limited time to implement ('implementation phase') and realize savings by making the cuts, the Child Care program was forced to take drastic actions: (1) reduce income eligible participants (low income working – LIW) from those making 165% of the Federal Poverty Level (FPL) to those making 110% of the FPL (roughly 15,000 children); (2) reduce all provider rates by 5% (LIW, TANF eligible, Child Protective Serve eligible – CPS, and Transitional Child Care eligible – TCC); (3) increase daily co-payments for LIW and TCC participants; and (4) impose a waiting list for all new LIW and TCC participants.

However, the policy received significant criticism from stakeholders, providers, the Governor, legislators, the media, and others ('evaluation phase') because of the negative impact it would have on working families, children, and providers (and in some cases political careers). In addition, the availability of \$25M from the Federal 2009 stimulus package for child care in Arizona plus a similar amount from the Arizona First Things First program for child care provided an option to the state that was not guaranteed to be available during the 'agenda setting', 'formulation', and 'implementation' stages. As such, the Governor and the legislators agreed to reverse ('termination



phase') most of the child care cuts (about \$18M) and restructure the remaining cuts with less draconian options ('evaluation phase').

While the 'policy process' approach is useful and informative, its linear, step-by-step method is not a true reflection of the complexity and 'messiness' that occurs in real-life policy situations. "The stages depicted" "are not analogous to stages in child development or economic development (for example) where the person or country must pass through one stage before being able to go to the next" – "some stages may be skipped altogether" (Palumbo, 1988; p. 22).

One of the earliest approaches to the policy-making process is often referred to as the 'rational decision-making approach' (Lasswell, 1963). This approach consists of a seven step process that prescribes a systematic way to select and resolve public problems (Lasswell, 1963; p. 15-16; Shafritz, 2004; p. 244). The steps involved are, as follows:

- 'intelligence' – information relevant to the issue at hand is sought by participants and collected to be used throughout the decision-making process.

- 'recommending or promoting' – activities and efforts are directed toward impacting the course and final result of the decision-making process.
- 'prescribing' – establishment of parameters (such as rules, regulations, laws) related to the policy area in question.
- 'invoking' – involves moving from generalized expectations to more detailed and grounded actions (e.g., 'provisional' usage of the prescription – policy change) in regard to the policy area.
- 'application' – the prescribed course(s) of action (e.g., policy change) are finalized and made permanent.
- 'appraisal' – the application of the prescribed actions (e.g., policy change) is evaluated to determine if the actual objective(s) of the process is being realized and to what degree.

- 'terminating' – the way the 'rights' of those that are impacted by the resultant policy change are handled.

Rather than describe the steps of Lasswell's approach in detail, I will summarize an analysis of the rational decision-making process in general as provided by Lindblom (1959). In Lindblom's view, the rational decision-making process is an all-encompassing theory that allows for consideration of all relevant information, values and stakeholder interests. As such, it suggests that it is possible to develop and subsequently compare and rank all possible policy options. Further, conceptually the interests of all relevant stakeholders would be accounted for and play a major role in the policy-making process. Unfortunately, this approach, Lindblom concludes, is not based on reality and is unworkable in practice for complex issues (such as public issues and policies) because (among other things) policy-makers do not have the time, resources, or intellectual capacity successfully to do so.

In spite of this criticism, the rational decision-making process has been a compelling approach in research and academics because it is theoretically based and allows for a close

examination of perhaps an idealized approach to solving public problems. While in practice it may not be feasible due to time and resource considerations, the approach provides a systematic exercise for researchers and students to explore public policy issues.

Fortunately, rather than simply criticizing the rational decision-making approach, Lindblom proposed another approach to decision-making, the 'incremental decision-making theory' (policy-making). The incremental decision-making approach defines policy-making as: "a process of successive approximation to some desired objectives in which what is desired itself continues to change under consideration" (Lindblom, 1959; p. 86). Rather than addressing all aspects of a particular public policy issue (a theoretical approach) from beginning to end, as was called for in rational decision-making, incremental decision-making looks at the reality of the current existing policy situation and suggests ongoing changes and improvements to the existing policies. As such, the desired objectives, values, and potential policy outcomes are far more limited in number and thus the process is grounded in the reality of the situation (e.g., limited resources) rather than theory.

The incremental decision-making process offers stakeholders a potentially fruitful avenue for involvement in the policy process because: (1) the process is incremental and not all encompassing – it doesn't require complete knowledge and experience with all aspects of the issue area, just an understanding of the incremental change under consideration (e.g., understanding of the complexities of the minimum wage vs. the more focused question - should the minimum wage be increased from \$7.25 to \$7.50); (2) the policy changes are smaller and focused in scope (thus more easily reversible) allowing stakeholders to evaluate and perhaps reverse or revise policy choices that don't work as intended; (3) the stakeholders can focus more on the desired direction of the policy change rather than the steps necessary to get there since most activation processes will already be in place; (4) the approach does not assume that the policy change will necessarily resolve the policy issue entirely – there will be a need for stakeholders to provide continual input and assessment of the policy; and (5) the approach is based in reality and closely resembles the way complex policies are typically handled (Lindblom, 1959).

Criticisms of the incremental approach include:

- (1) the interests and concerns of the most powerful stakeholders would tend to outweigh those of the less privileged and less connected stakeholders – For example, issues such as poverty and immigration reform may be neglected because the significant stakeholders may lack the overall status (e.g., economic and political) to force their issue on to the public agenda;
- (2) some complex public issues may not be approached in a sufficiently comprehensive manner and instead be addressed as quick and often temporary fixes (Anderson, 1975; Etzioni, 1967).

Perhaps, a recent Arizona policy example may help illustrate some of the differences between the competing approaches to policy-making (e.g., the rational decision-making process and the incremental decision-making process). There has been much in the news (both local and national) about the Arizona Child Care Program's budgetary shortfall in FY 2009. The issue called for quick action on the part of policy-makers to avoid the removal of hundreds of children from receiving child care subsidies. Initially, decision-makers decided to implement

several cost savings measures (basically seeing the problem as either a 'do it' or 'don't do it' situation). The basic premises of the situation (e.g., is subsidized child care a desirable value; are there other values more desirable; what theories are available) were not questioned nor explored (as would have been done in a traditional rational decision-making process). Rather, it was an emerging problem that required a rapid, reality-based decision (an incremental decision). Upon implementation of the initial decision, however, the various stakeholder groups expressed strong feelings suggesting that the funds be restored (bolstered by the availability of Federal Stimulus dollars). The original policy of making the budget cuts (an incremental policy choice), as a result of compelling stakeholder input, underwent significant adjustment and most of the funds were restored.

Etzioni (1967) offers an alternative to the theory-based rational decision-making and the reality-based incremental decision-making approaches (Anderson, 1975) called 'mixed scanning'. Mixed scanning is modeled based on aspects from both rational decision-making and incremental decision-making.

Issue areas are examined both to a degree comprehensively as called for in rational decision-making and to

a degree incrementally. As such, mixed scanning is “neither as utopian in its assumptions as the first model nor as conservative as the second” (Etzioni, 1967; p. 385). The degree to which each of the decision-making approaches is utilized is dependent upon the actual situation.

For example, in a very complex issue situation such as U.S. health care reform, 90% of the decision-making process may be rationally-based with the other 10% incrementally-based. In a far less complex issue situation the relationship may be reversed with only 10% of the process rationally-based while the other 90% is incrementally-based (note: percentages are provided only to illustrate the point and would be dependent on the actual situation).

Anderson (1975) points out that perhaps one of the most significant aspects of the mixed scanning approach is that it opens the door to the possibility that the choice of the decision-making process is situational and that depending on the specific issue situation, one decision-making (policy-making) approach may be best suited while another decision-making approach would be more applicable in another issue situation. As such, it is useful to examine other policy-making processes in the



literature that may represent viable options in some issue situations.

Some (Lowi, 1963; Shafritz, 2004) suggest that different policy-making processes should be developed and utilized to be used in conjunction with three corresponding types of public policy. The three types of public policy that Lowi (1963; pp. 690-691) identifies are:

- 'distribution' – frequently referred to as 'pork barrel', these are policies that collect private resources from a broad group and convert these resources into public benefits to be allocated to certain individuals or groups for a specific purpose. For example, a wide array of individuals nationwide ultimately paid for the Phoenix light rail system – most of which will not benefit directly from the services it provides.
- 'regulation' – these are policies that focus on groups and sectors that tend to increase the group or sector's expenses while providing overall benefit and protections for typically a larger group. For example, environmental regulations increase the operating costs of certain businesses.

- 'redistribution' – these are policies that shift resources from certain 'social classes' ('haves') to other 'social classes' ('have-nots'). Lowi cites tax and welfare policies as examples of real-world applications of redistributive policies.

Unique to each of these distinct policy areas are governing arrangements and norms, power bases, and stakeholders (Lowi, 1963). As such, policy-making processes that accommodate and integrate these unique characteristics of each policy area are likely to be more successful than processes that do not (Shafritz, 2004).

For instance, consider policy-maker actions in two policy situations in relation to the involvement of relevant stakeholders. Corporate stakeholders to a regulatory policy situation to address pollution off the West coast of the U.S. may have significant capacity (such as technical knowledge, financial resources, and legal know-how etc.) to involve themselves successfully in the policy process. However, stakeholders in a redistribution policy situation such as clients and their children participating in various social welfare programs may lack such resources. Policy-makers I suggest will be more successful if

they are flexible and adjust their policy-making processes to address these types of concerns.

Another approach to policy-making frequently cited in the literature is called Public Choice theory commonly credit to James M. Buchanan and Gordon Tullock (1962; Buchanan, 2003(a&b)). Public Choice Theory differs significantly from the other theories we have discussed as it applies basic economic principles to public decision-making. Under public choice theory there really is no 'collective' public interest. Rather, each individual decides what are his own best interests and it is assumed that this approach will result in serving the best interests of the public in general. This is basically a "look out for number one" approach.

According to Schneider & Ingram (1997; p. 38), "most Public Choice theorists do not view government positively and prescribe only a limited role for it in society..." The Public Choice approach offers several critiques of public policy that are important to note (Schneider & Ingram, 1997; p. 45):

- The private markets can provide many 'goods and services' more cost effectively than does government;

- Government structures are not aligned most effectively;
- Much of government growth is not fueled by actual public needs and wants;
- “Government provides services that foster dependency.”

I believe that Public Choice theory has significant problems. While under the U.S. Declaration of Independence all people have the right to “life, liberty and the pursuit of happiness”, which does not give groups or individuals the right to infringe on the rights of others, as could potentially be the case under Public Choice theory. Let’s look at an example to illustrate the point. Small businesses are a primary driver of our economy and should be encouraged and supported by public policy. However, in situations where a small business owner fails to address community concerns there may be reason to undertake policy actions beyond that provided in the open-market economy. For example, an auto dealership may find it profitable to install huge lighted signs very close to a major intersection. However, the signs may represent a public safety hazard to the driving public. Thus, local government and/or

interested stakeholders may need to develop public policy to regulate or curb the use of such signs.

Another approach cited in the literature related to policy-making is the Policy Networks approach. One important aspect of this approach is its premise that informal collective actions and arrangements (networks) can and frequently do exert greater influence over public policy-making than do formal institutional and hierarchical arrangements (Dowding, 2009).

O'Toole (1997; p. 45) defines a network in this context as: "structures of interdependence involving multiple organizations or parts thereof, where one unit is not merely the formal subordinate of the others in some larger hierarchical arrangement." O'Toole goes on to suggest that networks offer stakeholders and public professionals the mechanism(s) to address complex public problems.

Policy networks have been classified using two subset network types: (1) policy communities – significant policymakers and stakeholders engaged in a wide range of public interests and concerns such as poverty, homelessness, and public safety. These would include professionals specific to the policy area in question (Schneider & Ingram, 1997); and (2) issue networks –

a broader array of interested stakeholders who seek to influence public policy development in various policy areas such as poverty, homeless, and public safety (Rhodes, 1997).

Some of the advantages of the policy network approach include that it: (1) fosters a collaborative and 'consultative' style of public problem resolution; (2) greatly curtails discord amongst the various policymakers, stakeholders, and interested parties; and (3) adds stability to the public policymaking process encouraging continuity over time (Hill, 2005).

However, there have been criticisms in the literature regarding the policy network approach. Some of these criticisms are that policy networks: (1) don't effectively describe the dynamic nature of policy and/or the basic public decision-making environment (Dowding, 2009); and (2) may allow for entrenched policy communities to promote their own policy agendas and circumvent the goals and interests of the public.

Another approach to policy-making is called the Political model (Palumbo, 1998). Under this model, policy-making is accomplished amongst the various participants involved through give and take and through mutual agreement and arrangements (Cyert & March, 1963). The influence of each participant will be

partially determined by their respective level of power (whether politically-based, financially-based, knowledge-based, etc.) and to a large degree will govern the level of influence each participant has on the finalized policy.

For example, a legislator with extensive knowledge in the area of foreign affairs may be able to wield significant influence over a first-term legislator without foreign policy credentials in getting the 'freshman' to vote the way he wants on a particular piece of foreign relations legislation. By the same token, a legislator with a diminishing power base (such as a incumbent senator recently convicted of a crime but not yet impeached) would be able to muster much less influence on policy decisions (e.g., ethics in government legislation).

Another theory contributing to the policy-making process literature is called Systems Theory (Palumbo, 1988; Birkland, 2005). Thomas A. Birkland (2005; p. 201) defines Systems Theory as: "a model of policy-making in which public policy process is seen as the product of a system that processes inputs, such as issues, pressures, and information, thereby producing outputs, such as laws, regulations, or other statements of policy."

David Easton (1965) is a preeminent contributor to the Systems approach and illustrates how a system (such as the policy-making process) functions to transform inputs (such as stakeholder interests and concerns) into outputs (such as policies that address the stakeholder interests and concerns). He does so by depicting the process as a flow of inputs (e.g., stakeholder concerns) into what he refers to as a 'black box' (actions that are fueled by the various inputs), which converts the inputs into outputs (e.g., new policies). One primary function of the 'black box' related to the policy-making process is to serve as a 'gatekeeper' that acts to govern what inputs actually flow into the 'black box'. As, such, only a relatively small number of input streams (e.g., public issues and concerns) actually enter into the policy-making process (in other words, these issues become part of the public policy setting agenda) (Palumbo, 1988).

Another approach in the public policy-making literature is referred to as the Garbage Can model (Cohen, March, & Olsen, 1972; Palumbo, 1988; and Hill 2005). While the rational policy-making approach is an all encompassing approach to policy-making that includes all available resources and considers all



relevant information and policy alternatives, the garbage can approach is its reverse. In the garbage can approach: (1) policy-makers don't have clear-cut objectives; (2) the policy-making structures and approaches are not clearly defined; (3) the success of policies is generally hit-or-miss; and (4) competitive forces, dispute, and tension exist between participants. The result of this is the real possibility that in some situations that "an administrator may act in a given decision situation without analyzing it first, and then look for" "support for actions already taken" and that "serves the interests of the" "subgovernment" "in which they operate" (Palumbo, 1988; p. 87).

Probably soon to be a classic example of this is George W. Bush's policy-making process related to the second Gulf War in Iraq. The initial policy decision (to go to war with Iraq) was based on the premise that Iraq had weapons of mass destruction. As that premise was proved to be false, another justification of the policy position was developed supposing that Iraq had links to Al Qaeda. Again as that policy justification was proved false, a new policy emerged to foster democracy in Iraq. Rather than bite the bullet and admit that mistakes may have

been made, the Bush Administration continued to put their own interests and need for saving face ahead of any other consideration.

Another approach to policy-making to be discussed is Kingdon's model of agenda-setting (Kingdon, 1995). Similar to the Garbage Can approach, Kingdon uses a metaphor (of 'primeval soup') to describe how he believes the policy-making process works and offers his agenda setting model as a way to further understand that process. The term 'primeval soup' is how some in the field of biology describe "the early stages of biological evolution" where "change" occurred "because genetic combinations occurred in the shapeless, soup-like environment, then only some proved successful..." (Hill, 2005; p. 153). Like the Garbage Can approach, Kingdon's model represents a polar opposite of the rational policy-making approach discussed earlier.

Rather than being a structured and organized approach to setting public policy, Kingdon views the public policy-making process as muddled, hit and miss, and jumbled. The details of his model show how Kingdon believes the policy-making process works in the real world. The process consists of three unique

streams that, when brought together, under certain circumstances, result in a final policy output (Kingdon, 1995; Hill, 2005; p. 153-155). The streams are: (1) 'streams of problems'; (2) 'streams of policies'; and (3) 'streams of politics'.

I will provide an example to illustrate how these streams could work to address a particular public policy issue related to the foreclosure crisis in the U.S. In this case, the 'problem stream' is clearly the large number of homes that are actually in foreclosure or in danger of entering foreclosure. The 'political stream' though is likely multi-faceted. Liberals would likely push for assistance for homeowners to avoid foreclosure while others may push for more draconian approaches such as allowing distressed homeowners to lose their homes and provide relief to lending institutions instead. The 'policies stream' would represent actual policies proposed such as the Troubled Assets Relief Program (TARP) to aid lending institutions or the Homeowner Affordability and Stability Plan to aid homeowners. As these 'streams' begin to flow together, policy-makers will draft and implement policies based on what they perceive to be the most viable approach(es) based on the resources and information at hand (e.g., the 'streams').

Kingdon also refers to two additional considerations in his model: (1) policy entrepreneurs; and (2) windows of opportunity (Hill, 2005; Heymann, 2008). Both of these concepts can be elaborated upon using the housing example. A 'policy entrepreneur' is a participant in the policy process who has an interest that they want to promote to the public agenda such as home ownership for low income people. It is typically very difficult in most circumstances to elevate an issue to the public agenda without extensive influence and resources (e.g., financial, political). However, the recent housing crisis provides a 'window of opportunity' for the low income housing policy entrepreneurs to bring their issues into the discussions related to the foreclosure crisis. Of course, this type of opportunity rarely comes about so the ability to plan for or predict such occurrences is very limited.

#### Democratic Network Governance

The final policy-making approach to be discussed is called (democratic) network governance. There have been numerous approaches and definitions of the concept in the literature in recent years. A listing of nine such definitions with citations acknowledging their respective scholars were identified by

Torfin, Sorensen, and Christensen (2003). An examination of each of these definitions is beyond the scope of this paper, however they are cited here as a reference source.

This paper will however, briefly discuss a more recent approach (i.e., definition) of the term as provided by Sorensen and Torfin: "A relatively stable, horizontal articulation of interdependent, but operationally autonomous actors who interact through negotiations that take place within a relatively institutionalized community which is self-regulating within limits set by external agencies and contributes to the production of public purpose." (2007; p. 5)

This approach is particularly relevant in that the subject agency (Arizona's Subsidized Child Care Administration) and its stakeholder network to be examined in study appear to fit nicely within its parameters. Bob Denhardt describes this new approach to policy-making in a chapter entitled *Democratic Network Governance* (in his soon to be published *Theories* book) as: "how governance networks might be structured and operated in keeping with democratic ideals" as they work to address society's various policy issues, interests, and complexities.

Governance networks are comprised of government and a wide variety of interested stakeholder groups. As such, public policy concerns can be addressed more comprehensively than would be possible if only government were involved.

While not identical, the concepts of Democratic Network Governance and Collaborative Leadership in the public sector have many similarities. For example, both assume that for the network initiative (or collaborative effort) to work optimally, leadership is shared among network members. In addition, each approach values the diversity of participants and what resources they bring to the table.

To emphasize the importance of collaboration's role in Democratic Network Governance, Denhardt cites Thomas and Perry (2006) in relation to key collaborative-related requirements for governance networks:

1. Governance dimension – development of norms to share leadership and decision-making
2. Administrative dimension – establishment of individual functions and obligations for participation and dialogue

3. Autonomy dimension – adaptability to retain prior alliances while at the same time able to incorporate the needs and interests of the network’s goals
4. Mutuality dimension – emphasis on the realization of mutual benefits of all parties to maintain the vitality of the network
5. Trust and reciprocity – Assumes trust is shared and that there is a sense of shared responsibility to contribute to the network and its objectives

#### Mixed-methods Research

Improved, state-of-the-art research methods and instrument designs are necessary to inform both academic and public sector researchers. The purpose of this section of the literature review is to give a brief over view of the topic of mixed research methods. Mixed research methods have been defined as “the combined use of both quantitative and qualitative methodologies with the same study in order to address a single research question” (Jupp, 2006; p. 179). I believe that an understanding of the potential benefits in using mixed research methods is important for researchers in Public Administration because of the variety and complexity of research problems

encountered in the public realm. In my view, limiting one's toolset to only qualitative or quantitative methods in regards to research is problematic and will not meet the needs of researchers in areas of public interest in many cases.

While interest in using mixed research methods has been ongoing for many years, increased emphasis in their actual use has occurred from 1990 onward (Alasuutari, Bickman, & Brannen, 2008). Increasingly, researchers view the dichotomy between quantitative research and qualitative research as a 'false dichotomy'. Being able to employ a blending of the two types, as needed, allows researchers to expand the depth and quality of their research (Jupp, 2006). To illustrate the point that mixed research methods has increased significantly, Alasuutari, Bickman, and Brannen conducted research that reports a 300% increase in the use of mixed research methods between 1994 and 2003 (Alasuutari, Bickman, & Brannen, 2008).

While usage of mixed research methods has increased dramatically, there have also been some criticisms, as well. For example, Alasuutari, Bickman, and Brannen make reference to one of the strongest arguments against mixed research methods



provided by Smith and Heshusius (1986) that questioned the compatibility between qualitative and quantitative research methods due to their respective disparate fundamental assumptions. As such, they believe that combining the two methodologies into a mixed research method approach is not feasible. However, in recent years this argument has lost ground and use of mixed research methods is increasing (Sale, Lohfeld, & Brazil; 2002).

In regard to public policy-making research, mixed research methods offer great hope of providing researchers with the necessary tools to better address research into complex public issues (Doyle, Brady, Byrne; 2009). According to Jennifer C. Greene: "a mixed methods approach offers greater possibilities"..."for responding to"..."the interests of legitimate stakeholders" (Greene, 2005; p. 209). Because public policy issues are often very complex, with a variety of diverse stakeholders, the variety of research tools must be equally varied and diverse (Caracelli, 2006). Quantitative or qualitative research methods alone may not be sufficient to address many complex issues and, as such, may not allow researchers to accomplish their objectives. Or in different words, "mixed

methods inquiry honors complexity alongside diversity and difference, and thereby resists simplification of inherently contextual and complex human phenomena.” (Greene, 2006; p. 97)

One question to answer is how the positive impact of using mixed research methods can be optimized? In general terms, seamlessly integrating the situation’s pertinent quantitative and qualitative tools has been cited as one important consideration (Yin, 2006). Rather than simply executing the qualitative tool(s) and the quantitative tool(s) independently, for the researcher to gain optimum benefit, both the qualitative and the quantitative tool(s) must be melded together to the highest degree possible. Pat Bazeley (2006) suggests that a method of ensuring this integration is to employ computer-based software. Bazeley does a fine job of providing details regarding various software solutions so they will not be repeated here. Generally speaking though, Bazeley indicates that the objective of his recommended approach is to use various software packages to ensure that: 1. “text and numeric data are combined in an analysis”; 2. “data are converted from one form to another during analysis”; and 3. “combination and conversion occur together iteratively or in

generating blended data for further analyses” (Bazeley, 2006; p. 64).

There are numerous cited benefits and weaknesses regarding the use of mixed research. Perhaps one of the most comprehensive listings in the literature was included in the Johnson & Onwuegbuzie article entitled: “Mixed Methods Research: A Research Paradigm Whose Time Has Come.” The following table reproduces that listing as a reference.

Table 2

*Strengths and Weaknesses of Mixed Methods Research*  
(Reproduced based on Johnson & Onwuegbuzie, 2004; p. 21)

STRENGTHS	WEAKNESSES
“Words, pictures, and narrative can be used to add meaning to numbers.”	“Can be difficult for a single researcher to carry out both qualitative and quantitative research, especially if two or more approaches are expected to be used concurrently; it may require a research team.”
“Numbers can be used to add precision to words, pictures, and narrative.”	“Researcher has to learn about multiple methods and approaches and understand how to mix them appropriately.”
“Can provide quantitative and qualitative research strengths” (listed separately in citation).	“Methodological purists contend that one should always work within either a qualitative or a quantitative paradigm.”
“Researcher can generate and test a grounded theory.”	“More expensive.”

"Can answer a broader and more complete range of research questions because the researcher is not confined to a single method or approach."	"More time consuming."
"A researcher can use the strength of an additional method to overcome the weaknesses in another method by using both in a research study."	"Some of the details of mixed research remain to be worked out fully by research methodologists (e.g. problems of paradigm mixing, how to qualitatively analyze quantitative data, and how to interpret conflicting results."
"Can provide stronger evidence for a conclusion through convergence and corroboration of findings."	
"Can add insights and understanding that might be missed when only a single method is used."	
"Can be used to increase the generalizability of the results."	
"Qualitative and quantitative research used together produce more complete knowledge necessary to inform theory and practice."	

## Summary

The literature review examined collaborative leadership theory, leadership theory, stakeholder theory, policy-making theory, and mixed-methods research literature. The literature review described in detail the process of public policy-making and examined the role of stakeholders in the process by citing

various theories in both the stakeholder and policy-making literatures.

The involvement of stakeholders offers numerous benefits to the policy-making process including the ability to: (1) address complex public problems; (2) increase stakeholder buy-in to public policy; and (3) develop innovative public policies. There are however, potential issues that should be considered and addressed during the policy-making process related to stakeholder inclusion: (1) increased time and resource requirements; (2) personal agendas; (3) conflict among stakeholders; (4) limited stakeholder knowledge of how to become part of the process; (5) powerful stakeholders may push out less powerful stakeholders.

There were several ways identified in the literature review to ensure appropriate representation and sound policy-making, including use of: (1) stakeholder analysis; (2) oval mapping; (3) categorization of stakeholder groups and development of appropriate strategies for each; (4) symbols; and (5) collaborative policy-making. Since each policy issue situation is different, the best approach to use in regards to stakeholder participation will vary. As a result, an understanding of the

concepts of stakeholder and policy-making are crucial if public policies are to be developed that are in the best interests of the public.

The next chapter of the dissertation (*Methodology*) describes the study's research questions, which consist of: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature; and (2) What leadership styles does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

The next chapter discusses the research plan to: (1) examine the key Arizona Subsidized Child Care Program's stakeholder organizations to assess their role in informing and influencing policy and funding decisions using a case study approach (employing interviews and document analysis); and (2) assess the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor Leadership Questionnaire. The process involved will be to frame the research and its finding using the TMLQ's Assessment Scales (Avolio & Bass, 1996).

Table 3

Comparative Aspects	Public Administration Paradigms vs. Concepts of Collaborative Leadership				
	Old Public Administration	New Public Management	Concept of 'Old" Collaborative Leadership (adapted from Finch, 1977; p. 292-302)	New Public Service	Concept of 'New" Collaborative Leadership (various)
<b>Primary theoretical and epistemological foundations</b>	Political theory, social and political commentary augmented by naive social science	Economic theory, more sophisticated dialogue based on positivist social science	Industrial democracy, improving work life, management of boundaries	Democratic theory, varied approaches to knowledge including positive, interpretive, and critical	Transformation leadership, servant leadership, leadership as a process, learning organizations, facilitative leadership
<b>Prevailing rationality and associated models of human behavior</b>	Synoptic rationality, "administrative man"	Technical and economic rationality, "economic man", or the self-interested decision maker	Rationality - self-interest, organizational efficiency	Strategic or formal rationality, multiple tests of rationality (political, economic, and organizational)	Rationality varies depending on situational context; since collaborative efforts can span multiple boundaries (organizational, nationality, culture, etc...) the form of rationality can vary widely
<b>Conception of the public interest</b>	Public interest is politically defined and expressed in law	Public interest represents the aggregation of individual interest	Societal interests are served through "human growth, satisfaction, and improved organizational effectiveness"	Public interest is the result of a dialogue about shared values	Public interest is determined through the collaborative process by identification of relevant public issues and agreement on shared goals
<b>To whom are public servants responsive</b>	Clients and constituents	Customers	Organization's management; the work unit; clients/customers	Citizens	Those impacted by the realization of the shared goals; impacted could range from 1 individual to all people (i.e. a worldwide collaborative to reduce nuclear weapons could impact everyone)
<b>Role of government</b>	Rowing (designing and implementing policies focusing on a single, politically defined objective)	Steering (acting as a catalyst to unleash market forces)	- Improve quality of life of employees to improve society - In government - administer programs efficiently; in business provide products and services efficiently	Serving (negotiating and brokering interests among citizens and community groups, creating shared values)	Governance through collaboration, participation in collaborative efforts, shared goals
<b>Mechanisms for achieving policy objectives</b>	Administering programs through existing government agencies	Creating mechanisms and incentive structures to achieve policy objectives through private and nonprofit agencies	Operate according to organizational procedures by means of a self-led, workgroup process of "planning, organization, direction, and control of work."	Building coalitions of public, nonprofit, and private agencies to meet mutually agreed upon needs	Convene collaborative efforts to develop and achieve shared goals
<b>Approach to accountability</b>	Hierarchical-Administrators are responsible to democratically elected political leaders	Market-driven - The accumulation of self-interests will result in outcomes desired by broad groups of citizens (or customers)	Work unit is responsible for its own performance of predefined tasks and functions; manager is responsible to organizational leadership and to work unit	Multi-faceted-Public servants must attend to law, community values, political norms, professional standards, and citizen interests	Market and community based.
<b>Administrative discretion</b>	Limited discretion allowed administrative officials	Wide latitude to meet entrepreneurial goals	Work unit has discretion on how predefined tasks will be accomplished; manager has discretion on developing and maintaining the collaborative process	Discretion needed but constrained and accountable	Discretion is available within the bounds of the problem domain; determined by stakeholder perceptions of appropriateness; as needed to meet the shared goals
<b>Assumed organizational structure</b>	Bureaucratic organizations marked by top-down authority within agencies and control of regulation of clients	Decentralized public organization with primary control remaining within the agency	- Typically a centralized organization that allows manager to manage work unit boundaries (except it would be decentralized in situations where the organization is 'fully collaborative' in nature) - Central leadership defines the organization's objectives; manager acts as go between for central leadership and work unit; work unit has discretion in how the work is completed	Collaborative structures with leadership shared internally and externally	'interorganizational networks and partnerships' (Morse, 2007), work across organizational boundaries, shared leadership, collaborative efforts of like-minded stakeholders
<b>Assumed motivational basis of public servants and administrations</b>	Pay and benefits, civil-service protections	Entrepreneurial spirit, ideological desire to reduce size of government	"Human growth and satisfaction"	Public service, desire to contribute to society	Improve society through attainment of shared goals and resolution of complex public issues and problems

\* Table adapted from *The New Public Service: Serving, not Steering*. (Denhardt & Denhardt, 2003; p. 28-29)

## CHAPTER 3

### Methodology

#### Introduction

This dissertation explores the extent to which Arizona's Subsidized Child Care Program and its key stakeholders work together using collaborative leadership concepts to resolve the critical issues and problems they share. It examines the relationship between the Arizona Subsidized Child Care Program and its key stakeholders by conducting a research study using a survey, interviews, and document analysis.

This chapter describes the methodology used to address the study's research questions: (1) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?; and (2) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature?

The analysis uses a mixed-method approach (both quantitative and qualitative research methods) by (1) examining the role key Arizona Subsidized Child Care Program's stakeholder organizations play in informing and influencing policy and



funding decisions using a qualitative research approach (by means of interviews and document analysis); and (2) assessing the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor Leadership Questionnaire (a quantitative approach). The process involved is to frame the research and its findings using the TMLQ’s assessment scales (Avolio & Bass, 1996).

The TMLQ is used to assess what Avolio, Sivasubramaniam, & Murry (1996) refer to as ‘collective leadership.’ The concepts of collaborative leadership, collective leadership, and transformation leadership are closely related as illustrated in a mapping between Morse’s (2008; p. 150) listing of collaborative leadership competencies and Avolio & Bass’s (1996) full range of leadership model. These related concepts will be used to assess the degree to which the Arizona Subsidized Child Care Program and its stakeholders employ collaborative leadership approaches.

Based on review of the literature, there does not appear to be existing research related to Arizona’s Subsidized Child Care Program and its stakeholder network using this approach. The

results of the study provide practical guidance to those in the program and stakeholder network seeking to improve collaborative policy-making processes and will also expand the existing related body of literature and theory.

The timeframe of the study was limited to January 21, 2009 to December 31, 2009. Because the Arizona Subsidized Child Care Program is housed in the State of Arizona's Department of Economic Security whose director is appointed by the Governor of Arizona, the timeframe for the study coincides with the first year of Arizona's latest Governor, Jan Brewer. During this period, the representatives in the Arizona House, Senate, and Governor's Office have remained relatively stable. This chapter consists of several sections: (1) Theoretical framework; (2) Selection of participants; (3) Instrumentation; (4) Data collection; and (5) Data Analysis.

#### Theoretical Framework

The primary theoretical frame used is collaborative leadership theory. Stagich (2001) offers a definition of collaborative leadership that illustrates the impact of expanding collaborative leadership research beyond that of what occurs within a single organization into the more generalized concept of

a broad-based problem domain where multiple interrelated organizations (or individuals are involved). According to Stagich (2001: 218), collaborative leadership is: "The transformative leadership, which occurs through the facilitation or participation in collaborative learning groups. The collaborative ability to lead a group or organization through the active participation in sharing knowledge and experience and the high order social learning, thinking, and communicating process."

In this approach, leadership plays an essential role in the collaborative process. It will be the collaborative leader's critical objective to facilitate the collaborative process so that a high level of synergy will occur in the problem domain. The outcome of the collaborative effort, as a result, will align with the shared goals and objectives of the participants more fully than it would if the participants acted alone without a collaborative approach. As such, each participant will be enabled to reach his/her greatest possible achievement and potential.

Central to Stagich's approach is that idea that it is possible for anyone to be a collaborative leader. As organizations and/or individuals come together to achieve a common goal, they will bring with them their own unique experiences and perspectives

that will be shared with the rest of the participants. In effect, the participants will form a 'learning group.' The process will increase each individual's knowledge and awareness and, as a result, transform both the individual and the overall leadership situation to one more readily able to address the issue or problem at hand.

Also comprising the study's theoretical frame is a theoretical approach closely related to collaborative leadership theory called transformational leadership theory. A linkage between the two theoretical approaches is illustrated in the previous citation from Stagich (2001: 218), which stated that collaborative leadership is: "The transformative leadership, which occurs through the facilitation or participation in collaborative learning groups."

Transformational leadership theory represents a major departure from earlier theories of leadership. Earlier theories have been categorized as transactional in nature (Antonakis, 2004; Bass, 1990; Burns, 1978). In transactional leadership, leader and followers engage in transactions where leaders exchange something of value (such as wages or benefits) for an agreed upon quantity and quality of work in return. Once the

transaction is complete (e.g., the end of a work day), the transaction is complete. The leader is obligated to provide the agreed upon benefits to the follower. Both leader and follower have satisfied the conditions of the leader/follower relationship (transaction).

Transformational leadership by contrast significantly expands the concept of the leader/follower relationship. Under transformational leadership, the leader and follower develop a connection beyond that of a quid pro quo transaction. The leader seeks to understand and address the unique needs and motivations of followers (Bass, 1990). In doing so, the leader is ultimately seeking to achieve optimal performance (Northouse, 2004). Under transformational theory, it is believed that it is possible to gain achievement beyond the results that would be able to obtain through a transaction leader/follower relationship (Bass, 1990).

Transformative leadership calls for the leader to seek follower's motives, strive to meet their high order needs, and to involve the whole person in the process. This approach considers the leader and the followers to be peers. Similarly, collaborative leadership strives to treat stakeholders as peers,

involve the whole person, and allows the stakeholders to reach a higher level of “motivation and morality” (Chrislip & Larson; Heifetz, 1994).

Collaborative leadership theory and transformational leadership theory have many similar characteristics. One way of comparing these two theories is presented in this study for the first time. The comparison maps the various unique collaborative leadership competencies (attributes, skills, and behaviors) identified by Morse (2008; p. 150) with corresponding competencies presented in the Full Range of Leadership model identified by Avolio and Bass (1995; p. 96-98). The full range of leadership model is comprised of several types of leadership (i.e., transformational, transactional, management by exception-active, passive/avoidant behavior, management by exception-passive, and laissez-faire). As Table 1 illustrates, all the collaborative leadership competencies identified by Morse (2008) can be mapped to similar corresponding competencies in the full range of leadership model. Interestingly, all the collaborative leadership competencies mapped to full range of leadership model competencies fall under the transformational leadership type of

leadership rather than the other types of leadership (e.g., transactional leadership).

The fact that the collaborative leadership and transformational leadership competencies can be mapped in this way does not mean that the two theoretical approaches are identical. However, what it may suggest is that a tool that measures transformational leadership may have some utility in measuring collaborative leadership. This study will use the Team Multifactor Leadership Questionnaire (TMLQ), which measures the full range of leadership (Avolio & Bass, 1996) (which includes transformational, transactional, management by exception-active, passive/avoidant behavior, management by exception-passive, and laissez-faire leadership) to determine if the relationship between the Arizona Subsidized Child Care Program and its stakeholders represents an example of collaborative leadership concepts in action.

The results of the TMLQ questionnaire will be used to determine the degree to which various collaborative leadership styles are evident (using various questions related to transformational leadership). Further, the results will determine the degree to which other forms of leadership are in use (using

various questions related to transactional, management by exception-active, passive/avoidant behavior, management by exception-passive, and laissez-faire leadership).

#### Selection of Participants

The Arizona Subsidized Child Care Program (currently housed in the Arizona Department of Economic Security) has been in place for many years. While the Department of Economic Security initially began to offer subsidized child care during the 1970s, it wasn't until 1997 that the Arizona Subsidized Child Care Program was established in Arizona State statute A.R.S 46-801 through 46-810 (Arizona Department of Economic Security, 2001) as defined by Senate Bill 1357. Since that time, an extensive network of stakeholders (advocacy groups, provider groups, families served, and others) developed that plays an important role in informing and influencing child care policy and funding decisions.

The study was limited to the realm of the Arizona Subsidized Child Care Program and its key stakeholders. An objective of focusing the study to the realm of the Arizona Program was to isolate the leadership relationships between the key stakeholders and the program to a manageable level. This



allowed for a 'purposive sampling' of participants consistent with standard research practices (Lunenburg & Irby, 2008).

According to the Arizona's Subsidized Child Care Program's organization chart, the program is led by a Program Manager. There are 3 levels of executive management above the Program Manager (the Division Assistant Director, the Deputy Director of Programs, and the Director). Direct reports (top level staff) to the Program Manager include six district program managers, an automation systems manager, a policy and training manager, a budget manager, a program development manager, a provider contracts manager, a federal plan coordinator, an operations manager, and a payments processing supervisor. The program is comprised of approximately 200 employees. Most of these employees are eligibility caseworkers, their supervisors, and associated administrative staff who report to the district program managers. The remaining employees are various administrative staff who report to the Program Manager or to the top level direct reports.

The stakeholder groups are not under the authority of the Child Care Program Manager. Rather, the relationships between the Child Care Program and its various stakeholders are

collaborative, in nature. As such, the Program's top level staff will be considered to be 'collaborative leaders' in relation to the stakeholder groups for the purposes of this research study.

There are several tools available to assist with identifying the relevant stakeholders as recommended by Denhardt & Denhardt (2003) in particular business and public situations. One such tool is stakeholder analysis – “a method of specifying who and what is affected” (Lewis, 1991; p. 121). In a form of stakeholder analysis (in the context of Catalytic Leadership theory) there are four discrete steps: (1) a listing of relevant stakeholders is developed; (2) those with relevant knowledge related to the issue at hand are identified; (3) a subset of all stakeholders forms a 'core working group'; (4) the 'core work group' meets to identify goals and objectives in regard to the issue at hand (Luke, 1998; Popovich, 1998; Morse & Buss, 2008).

Fortunately, the Program has already identified many of its key stakeholders in its bi-annual report entitled *Child Care and Development Fund Plan for Arizona – FFY 2010-2011*. The following is a listing of the Program's key stakeholders:

DES Child Care Advisory Committee  
Governor's Division of School Readiness  
Tri-Agency Committee  
DES Early Childhood Taskforce  
Early Childhood Provider Network  
Arizona Early Childhood Development and Health Board  
DES Community Network Teams  
Valley of the Sun United Way  
Helios Education Foundation  
Arizona Department of Education  
Arizona Child Care Association  
Governor's Office for Children, Youth, and Families  
Arizona State University  
Arizona Literacy and Learning Center  
Maricopa Community Colleges  
Arizona Department of Health Services  
Arizona Head Start Association  
Arizona Association for the Education of Young Children  
Other interested groups and organizations

One important use for a stakeholder analysis is as a resource to help inform and develop an organization's overall mission statement (Bryson, 1995). Once all the stakeholders have been identified and their interests enumerated, the organization's mission can be revised to ensure that the organization's action are aligned with stakeholder objectives in mind and in meeting an organization's 'key success factors' (Bryson, 1995; p. 291).

The Program Manager and key management staff (direct reports) are considered, for the purpose of this study, to be

collaborative leaders. The participants selected for participation in the TMLQ web-based survey will consist of the Program Manager, the Program Manager's direct reports, peers, subordinates, and relevant stakeholders. The interviews will be conducted with the Program Manager and direct reports. The documents (e.g., meeting minutes, annual reports) chosen for analysis will be selected with the assistance of the Program Manager and the direct reports based on the perceived value of the documents in affirming or disaffirming that the leadership relationship between the Program and its key stakeholders is collaborative in nature.

The approach in selecting participants for the TMLQ survey will allow for a wide variety of demographic characteristics will be represented. Two examples include: (1) the six District Managers and their staff and stakeholders represent each of Arizona's six districts. Participants are likely to be comprised of individuals who represent population centers of various sizes from small, rural areas to larger, urban centers; and (2) information regarding participants' gender and ethnicity will also be available. Thusly, demographic information of each of the

participants will be available for analysis and comparison purposes.

The researcher will provide very specific instructions to the Program Manager and the direct reports regarding how they are to select those (superiors, subordinates, peers, and stakeholders) they believe are most knowledgeable and best able to assess the program's leadership styles to avoid bias. The TMLQ Manual (Avolio & Bass, 1996) provides very useful guidance in this regard which the researcher will follow.

Typically, it is difficult to generalize from single case studies (Yin, 2009). Because this study represents a case study approach limited to one case, the researcher will thoroughly document the study's processes to ensure that other researchers wishing to replicate them in other cases will have sufficient information to do so (thus increasing its reliability). This would allow for generation of a body of similar case studies over time that could be analyzed using meta-analysis techniques to begin to generalize any emerging findings of interest.

#### Instrumentation

This study uses a mixed methods methodology by inclusion of a quantitative tool (online survey) and two

qualitative tools (interviews and document analysis). The confidentiality of participants will be maintained throughout the study and the results and conclusions will omit names and other information that might infringe on participants' privacy. Each potential participant will receive a letter of introduction (either paper letter or email) and be required to sign an informed consent form in order to participate. In addition, each participant will be given the opportunity to request a summary of the study's research once completed.

#### Quantitative Instrument – Team Multifactor Leadership Questionnaire (TMLQ)

The first research question is, as follows: What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

To address this question, a web-based version of the Team Multifactor Leadership Questionnaire (TMLQ) will be used (Avolio & Bass, 1996). The Arizona Subsidized Child Care Program's leadership styles, through its various managers, will be assessed using the TMLQ. The Program Manager, direct reports, and researcher will develop a listing of individuals who will be invited

via email to assess the program's leadership styles using the TMLQ. The number of potential participants won't be known until the managers provide their lists of possible respondents.

The survey and the resultant data will be housed at Mind Garden, Inc. (the publisher of the TMLQ Survey). A record of respondents will be maintained and the researcher will have the capability to send follow-up invitations, if needed. Once the data set is complete, an electronic data file with raw data in csv format will be sent to the researcher for analysis.

The TMLQ is based on the Full Leadership Model (Avolio & Bass, 1996) that uses assessment scales that measure transformational leadership, transactional leadership, management-by-exception: active, passive/avoidant behavior, management-by-exception: passive, laissez-faire, and outcomes of leadership. While there are currently many versions of the MLQ, each with its own specific characteristics, the most appropriate for research similar to this study is the TMLQ (Avolio & Bass, 1996). The TMLQ consists of 48 questions that measure leadership style based on the full leadership model, 2 questions related to the team's effectiveness and abilities, and 3 demographic questions.

The original MLQ has been in use over 20 years and has been tested and used as a research tool in many settings. The TMLQ is newer and has been in use for over 10 years. Because the TMLQ also includes questions related to team effectiveness and abilities, the researcher can gauge not only what types of leadership style are being exhibited but also the level of success of the exhibited styles. The questions use a 5-point Likert scale ranging from 0-4: '0-Not at all'; '1-Once in a while'; '2-Sometimes'; '3-Fairly often'; and '4-Frequently, if not always' (Avolio & Bass, 1996; p. 53). The survey itself includes questions related to participant demographics (gender & ethnicity) plus the researcher for this study will collect other limited demographic information such as whether the participant resides in an urban vs. rural setting.

#### Qualitative Instruments

The second research question is, as follows: Are the leadership relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative?

According to Wood and Gray, "collaboration occurs when a group of autonomous stakeholders of a problem domain engage



in an interactive process, using shared rules, norms, and structures to act or decide on issues related to that domain” (Wood & Gray, 1991: 146). This expanded definition of collaboration widened the area of relevance of collaborative leadership beyond the organization to that of a “problem domain.” A problem domain could include public, private, local, state, national, international, and other areas of concern.

This study will examine the second research question through: (1) individual interviews with the Program Manager and key management staff (direct reports); and (2) document analysis of a variety of existing documents (such as meeting minutes, annual reports, and web sites).

### Interviews

The purpose of the interviews will be to gain an in-depth understanding of the nature and level of the collaborative relationship between the program and its key stakeholders. Interviews have been cited as an ‘essential’ tool for case study research (Yin, 2009). A series of face-to-face and phone interviews will be conducted with the 15 top level program management staff. The interviews are expected to be approximately 15 to 30 minutes in length, ask open-ended

questions, and (with the permission of the interviewees) will be recorded for later transcription. The list of questions is focused around the nature of collaborative relationship between the program and the key stakeholders. The questions represent a sampling of questions provided in the TMLQ and have been adapted (i.e., rephrased to allow for open-ended responses) for the purposes of this study.

While the data collected from the interviews will be valuable, it is recommended that interview data (Yin, 2009) be corroborated by other sources of information. As such, the researcher will also conduct a document analysis (described below) to gain further insight into the collaborative relationship between the program and its key stakeholders and to corroborate data obtained from the interviews. Both the transcribed interviews and the document analysis will use a system of coding to categorize and group the responses in relation to the TMLQ assessment scales based on the full leadership model.

#### Data Collection

A series of steps will be necessary to collect the data using each of the employed methodologies (i.e., on-line TMLQ survey,

interviews, and document analysis). In order to condense the time involved to collect the information, the researcher will collect data for each of the methodologies concurrently. The researcher has prepared a detailed schedule of data collection activities in advance to keep the process moving and focused. Several of the data collection activities are common to each of the methodologies and will be grouped together on the schedule to avoid duplication of effort. It is anticipated that collection of data stage of the study will be completed within a 30-day period (i.e., January 15, 2010 through February 15, 2010).

An invitation to participate in the study and an informed consent form (via. U.S. mail, interoffice mail, or email) will be sent to each prospective participant. The prospective list of participants will be created with the assistance of the Arizona Subsidized Child Care Program's Program Manager and the 14 key management staff (direct reports). The list will be stored in a Microsoft (MS) Excel file with data fields to include the prospective participants' names, addresses, and email addresses. The MS Excel file will be used to perform a mail merge to send the study's invitation to participate to each prospective participant. The informed consent form will be

included with the invitation. Strict confidentiality will be maintained throughout the process. Upon completion of the study, all information related to individual participants will be deleted and/or destroyed. All electronic data will be stored to the researcher's personal computer and backed-up periodically to insure against loss of data.

Each participant will be provided a brief explanation of the study to include the research questions and relevant definitions. This will enable the participants to understand the process to participate most effectively. An opportunity will be provided to each participant to request a summary of the study's findings upon completion of the study.

#### TMLQ Survey

A web-based link to the TMLQ survey will be sent to each participant who agrees to participate in the study. The survey is very user-friendly and requires minimal researcher intervention. The survey will be housed on the Mind Garden, Inc. web server and participant responses will be collected and stored in an electronic database. Once the survey is complete, a request will be made to Mind Garden, Inc. to transmit the survey data to the researcher in .csv (comma separated value) format. This format

is suitable for later analysis using various software packages including MS Excel and SPSS. According to Mind Garden, Inc., most researchers employing the TMLQ use MS Excel to assist them with their analysis.

The MS Excel file mentioned above will also track: (1) participants who have returned the informed consent form; (2) participants who have responded to the survey; and (3) prospective participants who have not yet responded to the survey. Two follow-up requests will be sent to prospective participants who have not responded to the survey within 7 and 14 days, respectively.

### Interviews

The interviews will consist of face-to-face interviews and/or phone interviews. The interviews will last between 15-30 minutes and will be, with the consent of the participants, taped for later transcription. A detailed script including introductory comments, interview questions, and concluding remarks has been developed to guide the researcher throughout each interview. Upon transcription of the recorded interviews, the researcher will analyze and code the interviews (verbatim) using the full range leadership model (Avolio & Bass, 1996).

## Document Analysis

The documents for analysis will be selected with the assistance of the Program Manager and the direct reports. The objective is to select documents that illustrate the various leadership styles used by the Program and its stakeholders. While the list of documents is not yet finalized, they will likely minimally consist of the Bi-Annual CCDF State Plan, various meeting minutes, Program and stakeholder documents and webpages, and other relevant documents. The researcher will analyze and code the interviews using the full range leadership model (Avolio & Bass, 1996).

The researcher will compile the documents which will likely be in several formats. Some will be paper-based (e.g., meeting minutes) while some will be electronic (e.g., webpages). Regardless of the format, the researcher will securely maintain the original documentation for later, pertinent analysis and will adhere to strict confidentiality considerations.

## Data Analysis

This study addresses the research questions: (1) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these

styles truly collaborative?; and (2) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature?

The data collected will consist of the results of the TMLQ survey stored in an electronic file in csv format (research question #1), transcribed interviews based on select questions from the TMLQ (slightly revised to an open-end format) and various Program and stakeholder documents (research question #2).

The results from the TMLQ survey (csv file format file) will be ready for importation into statistical data analysis software (i.e., Microsoft Excel and/or SPSS). On the other hand, the data from the interviews and document analysis must first be coded using the full range leadership model (basis for the MLQ the TMLQ surveys). Once that coding has occurred, the interview and document analysis data will be ready for import into the statistical analysis software tools. To ensure accurate and consistent coding of the interviews and documents, another person with direct knowledge of the program will be given relevant training to code a sampling of the documents and interviews as a quality check.

The interviews and documents will be coded by developing 'propositional statements' based on the TMLQ and full range leadership model (Saldana, 2009) as a rule base for categorization. As such, the study's categorizations will be based on existing theory (Layder, 1998; Saldana, 2009) rather than used to directly develop new theory. The approach is commonly called 'protocol coding' and is "coding of qualitative data according to a pre-established, recommended, standardized, or prescribed system" (Saldana, 2009; p. 130). Any data that is not directly leadership-related (e.g., miscellaneous comments by interviewees) that do not fit any of the theoretical categories will be coded as 'n/a' to represent irrelevant data (i.e., not applicable) (Saldana, 2009).

A series of statistical tests will be applied to each of the three data sets (i.e., surveys, interview transcripts, and document analysis). These tests will include mean, standard deviation, and ANOVA. In addition, various demographic factors such as gender, location (small city vs. large city), and ethnicity will be reported in tabular form.



## Summary

This chapter presented the methodology employed in this research study to address the research questions. The next chapter, Chapter 4, presents the results that research methodology.

Table 4

Collaborative Leadership Competencies vs. Full Range of Leadership Model

Collaborative Leadership Competencies (Morse, 2008; p. 85)	Full Range of Leadership Model (Avolio & Bass, 1995; p. 96-98)
<p>[Attributes]</p> <p>'Collaborative mindset'</p>	<p>'Go beyond self-interest for the good of the group'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Seek differing perspectives when solving problems'</p> <p>'Spend time teaching and coaching'</p>
<p>'Passion toward outcomes'</p>	<p>'Specify the importance of having a strong sense of purpose'</p> <p>'Consider the moral and ethical consequences of decisions'</p>

	<p>'Talk enthusiastically about what needs to be accomplished'</p> <p>'Articulate a compelling vision about the future'</p> <p>'Express confidence that goals will be achieved'</p>
'Systems Thinking'	<p>'Go beyond self-interest for the good of the group'</p> <p>'Re-examine critical assumptions to question whether they are appropriate'</p> <p>'Seek differing perspectives when solving problems'</p> <p>'Get others to look at problems from any different angles'</p> <p>'Suggest new ways of looking at how to complete assignments'</p> <p>'Consider each individual as</p>

	having different needs, abilities, and aspirations from others'
'Openness and risk taking'	'Go beyond self-interest for the good of the group' 'Display a sense of power and confidence' 'Talk about my most important values and beliefs' 'Articulate a compelling vision of the future' 'Express confidence that goals will be achieved' 'Seek different perspectives when solving problems' 'Suggest new ways of looking at how to complete assignments'
'Sense of mutuality and connectedness'	'Instill pride in others for being associated with me'

	<p>'Go beyond self-interest for the good of the group'</p> <p>'Act in ways that build others' respect for me'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Spend time teaching and coaching'</p> <p>'Treat others as individuals rather than just as a member of the group'</p> <p>'Consider each individual as having different needs, abilities, and aspirations from other'</p> <p>'Help others develop their strengths'</p>
'Humility'	'Go beyond self-interest for the good of the group'

	<p>'Act in ways that build others' respect for me'</p> <p>'Treat others as individuals rather than just as a member of a group'</p>
<p>[Skills]</p> <p>'Self-management'</p>	<p>'Act in ways that build others' respect for me'</p> <p>'Display a sense of power and confidence'</p> <p>'Talk about my most important values and beliefs'</p> <p>'Specify the importance of having a strong sense of purpose'</p>
<p>'Strategic thinking'</p>	<p>'Consider the moral and ethical consequences of decisions'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Articulate a compelling vision'</p>

	<p>of the future'</p> <p>'Re-examine critical assumptions to question whether they are appropriate'</p> <p>'Seek differing perspectives when solving problems'</p> <p>'Get others to look at problems from many different angles'</p>
'Facilitation skills'	<p>'Specify the importance of having a strong sense of purpose'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Talk enthusiastically about what needs to be accomplished'</p> <p>'Articulate a compelling vision of the future'</p> <p>'Re-examine critical</p>

	<p>assumptions to questions whether they are appropriate'</p> <p>'Seek different perspectives when solving problems'</p> <p>'Get others to look at problems from many different angles'</p> <p>'Suggest new ways of looking at how to complete assignments'</p> <p>'Spend time teaching and coaching'</p> <p>'Help others to develop their strengths'</p>
<p>[Behaviors]</p> <p>'Stakeholder identification'</p>	<p>'Seek differing perspectives when solving problems'</p> <p>'Get others to look at problems from many different angles'</p> <p>'Treat others as individuals rather than just as a member of the group'</p>



	<p>'Consider each individual as having different needs, abilities, and aspirations from others'</p> <p>'Help others to develop their strengths'</p>
'Stakeholder assessment'	<p>'Spend time teaching and coaching'</p> <p>'Treat others as individuals rather than just as a member of the group'</p> <p>'Consider each individual as having different needs, abilities, and aspirations from others'</p> <p>'Help others to develop their strengths'</p>
'Strategic issue framing'	<p>'Consider the moral and ethical consequences of decisions'</p> <p>'Emphasize the importance of</p>

	<p>having a collective sense of mission'</p> <p>'Talk optimistically about the future'</p> <p>'Talk enthusiastically about what needs to be accomplished'</p> <p>'Articulate a compelling vision of the future'</p> <p>'Re-examine critical assumptions to question whether they are appropriate'</p> <p>'Seek differing perspectives when solving problems'</p> <p>'Get others to look at problems from many different angles'</p> <p>'Suggest new ways of looking at how to complete assignments'</p>
'Convening working groups'	'Instill pride in others for being

	<p>associated with me'</p> <p>'Specify the importance of having a strong sense of purpose'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Articulate a compelling vision of the future'</p> <p>'Seek differing perspectives when solving problems'</p> <p>'Get others to look at problems from many different angles'</p> <p>'Help others to develop their strengths'</p>
<p>'Facilitating mutual learning processes'</p>	<p>'Re-examine critical assumptions to questions whether they are appropriate'</p> <p>'Seek differing perspectives when solving problems'</p>

	<p>'Get others to look at problems from many different angles'</p> <p>'Suggest new ways of looking at how to complete assignments'</p> <p>'Spend time teaching and coaching'</p> <p>'Help others to develop their strengths'</p>
'Inducing commitment'	<p>'Instill pride in others for being associated with me'</p> <p>'Go beyond self-interest for the good of the group'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Talk optimistically about the future'</p> <p>'Talk enthusiastically about what needs to be</p>

	<p>accomplished'</p> <p>'Articulate a compelling vision of the future'</p> <p>'Express confidence that goals will be achieved'</p>
<p>'Facilitating trusting relationships among partners'</p>	<p>'Instill pride in others for being associated with me'</p> <p>'Go beyond self-interest for the good of the group'</p> <p>'Act in ways that build others' respect for me'</p> <p>'Talk about my most important values and beliefs'</p> <p>'Consider the moral and ethical consequences of decisions'</p> <p>'Emphasize the importance of having a collective sense of mission'</p> <p>'Talk optimistically about the future'</p>

	<p>'Articulate a compelling vision of the future'</p> <p>'Express confidence that goals will be achieved'</p> <p>'Treat others as individuals rather than just as a member of the group'</p> <p>'Consider each individual as having different needs, abilities, and aspirations from others'</p>
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## CHAPTER 4

### Results

#### Introduction

The purpose of this dissertation is to explore the extent to which Arizona's Subsidized Child Care Program and its key stakeholders work together using collaborative leadership concepts to resolve the critical issues and problems they share. This chapter examines the relationship between the Arizona Subsidized Child Care Program and its key stakeholders by reviewing the results of a research study, which consists of an online-survey, interviews, and relevant document analysis. This chapter presents the findings of the research study and addresses the study's research questions, which consist of: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program collaborative in nature; and (2) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

This was done using a mixed-method approach (both quantitative and qualitative research methods) by; (1) assessing the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument

- the TMLQ – Team Multifactor Leadership Questionnaire (a quantitative approach); and (2) examining the role key Arizona Subsidized Child Care Program’s stakeholder organizations play in informing and influencing policy and funding decisions using a qualitative research approach (by means of interviews and document analysis). The process involved was to frame the research and its finding using the TMLQ’s assessment scales. (Avolio & Bass, 1996).

The participants selected for participation in the TMLQ web-based survey were the Program Manager, the Program Manager’s direct reports, peers, subordinates, and relevant stakeholders. The interviews were conducted with the Program Manger and direct reports. The documents (e.g., meeting minutes, annual reports) chosen for analysis were selected with the assistance of the Program Manger and the direct reports based on their perceived value in affirming or disaffirming that the leadership relationship between the Program and its key stakeholders is collaborative in nature.

The results from the TMLQ survey (csv file format file) were directly imported into statistical data analysis software (i.e., Microsoft Excel 2007). The data from the survey were automatically coded using the full range leadership model (basis



for the TMLQ survey). Each survey question was related to a single leadership factor of the 9 leadership factors of the model. The interviews and document analysis were manually coded by the researcher using the full range leadership model. Once that coding was completed, the interview and document analysis data were ready for further assessment.

### Descriptive Statistics

This section presents the descriptive statistics for each of the methods used in the study (i.e., TMLQ online survey, interviews, and document analysis).

#### TMLQ Survey

This study used the Team Multifactor Leadership Questionnaire (TMLQ), which measures the 9-factor, full range of leadership model (Avolio & Bass, 1996) to determine if the leadership styles in use by the Arizona Subsidized Child Care Program and its stakeholders represent an example of collaborative leadership concepts.

The results of the TMLQ questionnaire were used to determine the degree to which collaborative leadership is evident (as indicated by scores on TMLQ survey questions related to transformational leadership and contingent reward, as will be discussed later). Further, the results allow for the determination

of the degree to which other forms of leadership are in use (using TMLQ survey questions related to transactional, management by exception-active, passive/avoidant behavior, management by exception-passive, and laissez-faire leadership).

The online TMLQ survey was sent to 86 individuals comprised of senior program staff, key stakeholders, and peers. A total of 44 individuals responded to the survey (51% response rate). Of the total, 13 were males (29.5%) and 31 were females (70.5%). The respondent’s ethnicity categories, number of respondents, and percentage of respondents are displayed in Table 5 below:

Table 5

*Ethnicity Demographics*

<b>Ethnicity Categories</b>	<b>Number of Respondents</b>	<b>Percentage Of Respondents</b>
African American	2	4.5%
Alaskan Native	0	0.0%
Asian or Pacific Islander	1	2.3%
Caucasian	31	70.5%
Hispanic	7	15.9%
Native American	1	2.3%
Other	2	4.5%
<b>Total</b>	<b>44</b>	<b>100.0%</b>

The results of statistical tests employed to test the research question follow. The data were preliminarily analyzed

against relevant statistical assumptions to ensure that appropriate statistical tests were employed (Lunenburg & Irby, 2008).

The TMLQ consists of 48 questions that measure leadership style based on the full leadership model, 2 questions related to the team's effectiveness and abilities, and three demographic questions. The survey questions use a 5-point Likert scale ranging from 0-4: '0-Not at all'; '1-Once in a while'; '2-Sometimes'; '3-Fairly often'; and '4-Frequently, if not always.' (Avolio & Bass, 1996; p. 53) The survey includes questions related to participant demographics (gender & ethnicity) plus the researcher for this study collected other limited demographic information such as whether the participant resides in a large-city vs. a small-city.

Tables 6 through 12 present the results of the TMLQ survey. The first table provides the average, minimum, maximum, and standard deviation scores for each of the 9 factors of the full leadership model and for the extra effort factor. Each of the scaled items used the same scoring legend ranging from '0' ('not at all') to '4' (frequently or always). Of the 9 leadership factors, 6 have average scores above 2.70 indicating that the respondents on average believed that the

leadership factor was exhibited between 'sometimes' to 'fairly often'. These 6 factors comprise the concepts of transformational leadership plus contingent reward. The standard deviation for each factor is either very close to or below 1, meaning that the individual survey responses are closely dispersed around the various factors' means.

As presented in Table 6, the average score for extra effort was above 2.70, indicating that respondents believed on average that the leadership relationship encourages participants to go that 'extra mile' in contributing to the team's efforts. The standard deviation for extra effort is below 1, meaning that the individual survey responses are closely dispersed around the factor's mean.

Table 6

*TMLQ Survey Results – Leadership Scales and Extra Effort*

<b>Scale Items</b>	<b>Average Frequency Score</b>	<b>Minimum Frequency Score</b>	<b>Maximum Frequency Score</b>	<b>Standard Deviation</b>
Idealized Attributes	3.11	0	4	0.92
Idealized Behaviors	2.70	0	4	1.08
Inspirational Motivation	2.73	0	4	0.99
Intellectual Stimulation	2.81	0	4	0.96
Individualized Consideration	2.85	0	4	0.94
Contingent Reward	2.83	0	4	1.01
MBE - Active	1.70	0	4	1.12
MBE - Passive	1.14	0	4	0.94
Laissez-faire	1.05	0	4	0.99
Extra Effort	2.73	0	4	0.96
<b>Frequency Legend</b>				
	<b>Description</b>			
'0'	Not at all			
'1'	Once in a while			
'2'	Sometimes			
'3'	Fairly often			
'4'	Frequently or always			

Table 7 shows that the average score for effectiveness was 3.75, indicating that respondents believed on average that the leadership relationship is effective in meeting the team’s objectives and goals. The standard deviation for effectiveness is less than 1, meaning that the individual survey responses are closely dispersed around the factor’s mean.

Table 7

*TMLQ Survey Results – Effectiveness*

<b>Scale Items</b>	<b>Average Frequency Score</b>	<b>Minimum Frequency Score</b>	<b>Maximum Frequency Score</b>	<b>Standard Deviation</b>
Effectiveness	3.75	2	5	0.78
<b>Effectiveness Legend</b>				
	<b>Description</b>			
'1'	Not Effective			
'2'	Only Slightly Effective			
'3'	Effective			
'4'	Very Effective			
'5'	Extremely Effective			

Table 8 presents that the average score for satisfaction was 4.05, indicating that respondents believed on average that the respondents were fairly satisfied with the leadership relationship between the program and its key stakeholders. The standard deviation for effectiveness is very close to 1, meaning that the individual survey responses are closely dispersed around the factor’s mean.

Table 8

*TMLQ Survey Results – Satisfaction*

<b>Scale Items</b>	<b>Average Frequency Score</b>	<b>Minimum Frequency Score</b>	<b>Maximum Frequency Score</b>	<b>Standard Deviation</b>
Satisfaction	4.05	1	5	1.01
<b>Satisfaction Legend</b>				
	<b>Description</b>			
'1'	Very Dissatisfied			
'2'	Somewhat Dissatisfied			
'3'	Neither Satisfied or Dissatisfied			
'4'	Fairly Satisfied			
'5'	Very Satisfied			

Table 9 looks at the factor average scores in greater detail by adding gender, ethnicity, and city size (i.e., large cities had populations above 100,000; smaller cities had populations of less or equal to 100,000).

Table 9

*TMLQ Survey Results – Detailed Demographics*

	Values	Idealized	Idealized	Inspirational	Intellectual	Individualized	Contingent	MBE -	MBE -	Laissez-	Extra	Effective-	
Demographics	Count	Attributes	Behaviors	Motivation	Stimulation	Consideration	Reward	Active	Passive	faire	Effort	ness	Satisfaction
Female	31	3.10	2.76	2.79	2.78	2.88	2.86	1.65	1.21	1.14	2.84	3.74	4.00
Large City	26	3.12	2.86	2.92	2.88	2.98	2.91	1.67	1.12	1.12	2.94	3.85	4.15
African American	1	3.00	3.40	3.20	3.40	3.20	2.80	1.80	1.80	1.00	3.00	4.00	5.00
Asian or Pacific Islander	1	3.00	2.60	2.80	2.80	3.40	3.00	1.60	1.00	0.80	3.00	4.00	4.00
Caucasian	16	3.18	2.90	2.85	2.86	2.88	2.83	1.61	1.15	1.18	2.83	3.75	4.00
Hispanic	6	3.00	2.77	3.07	2.70	2.97	3.10	1.67	1.07	1.10	3.17	4.00	4.33
Native American	1	2.60	2.20	2.60	2.80	3.00	2.00	2.40	1.20	1.80	2.00	4.00	4.00
Other	1	3.80	3.20	3.20	4.00	4.00	4.00	1.80	0.20	0.20	4.00	4.00	5.00
Small City	5	2.96	2.24	2.12	2.24	2.36	2.60	1.52	1.68	1.20	2.33	3.20	3.20
African American	1	1.80	1.80	1.20	1.80	1.60	2.00	1.20	1.80	1.40	0.67	3.00	2.00
Caucasian	3	3.27	2.47	2.20	2.13	2.47	2.67	1.87	1.87	1.40	2.44	3.33	3.67
Hispanic	1	3.20	2.00	2.80	3.00	2.80	3.00	0.80	1.00	0.40	3.67	3.00	3.00
Male	13	3.14	2.57	2.58	2.89	2.78	2.75	1.85	0.98	0.86	2.49	3.77	4.15
Large City	13	3.14	2.57	2.58	2.89	2.78	2.75	1.85	0.98	0.86	2.49	3.77	4.15
Caucasian	12	3.17	2.55	2.62	2.95	2.77	2.77	1.88	1.02	0.88	2.47	3.83	4.17
Other	1	2.80	2.80	2.20	2.20	3.00	2.60	1.40	0.60	0.60	2.67	3.00	4.00
<b>Grand Total</b>	<b>44</b>	<b>3.11</b>	<b>2.70</b>	<b>2.73</b>	<b>2.81</b>	<b>2.85</b>	<b>2.83</b>	<b>1.70</b>	<b>1.14</b>	<b>1.05</b>	<b>2.73</b>	<b>3.75</b>	<b>4.05</b>

Frequency Legend	Description	Effectiveness Legend	Description	Satisfaction Legend	Description
'0'	Not at all	'1'	Not Effective	'1'	Very Dissatisfied
'1'	Once in a while	'2'	Only Slightly Effective	'2'	Somewhat Dissatisfied
'2'	Sometimes	'3'	Effective	'3'	Neither Satisfied or Dissatisfied
'3'	Fairly often	'4'	Very Effective	'4'	Fairly Satisfied
'4'	Frequently or always	'5'	Extremely Effective	'5'	Very Satisfied

Table 10 displays the correlation coefficient for each of the 9 factors in the full range leadership model, extra effort, effectiveness, and satisfaction. Positive correlation coefficients indicate that the 2 factors are positively correlated with each other. The larger the positive coefficient (greater than 0 and less than or equal to 1), the greater the degree of positive correlation. Negative correlation coefficients indicate that the 2 factors are negatively correlated with each other. The smaller the negative coefficient (less than 0 and greater than equal to -1), the greater the degree of negative correlation.

If the correlation coefficient for the two factors is exactly 1 or exactly -1, the factors are perfectly correlated or inversely correlated, respectively. If the correlation factor is 0, the 2 factors are not correlated.

The first 6 factors (representing transformational leadership plus contingent reward) are very positively correlated with one another. While correlated with one another, each of the 6 factors (as well as the other 3 factors of the 9 factor model) has been demonstrated to measure a unique leadership factor through rigorous confirmatory factor analysis (Avolio and Bass, 1996). The values range from .61 to .80. These 6 factors are also positively correlated with extra effort



(ranging between .61 and .83), effectiveness (ranging between .48 and .67), and satisfaction (ranging between .76 and .54).

The first 6 factors are negatively correlated with MBE-Passive (ranging between -.17 and -.51) and Laissez-faire (ranging between -.29 and -.60). The only factor that has both positive and negative coefficients (when compared with the first 6 factors) is MBE-Active (ranging between .14 and -.04). As the MBE-Active values are very close to 0, the correlation between the MBE-Active and the first 6 factors is fairly low.

Finally, only the factors MBE-Active, MBE-Passive, and Laissez-faire have very low and negative values (ranging from between .01 and -.51) in relation to extra effort, effectiveness, and satisfaction.

Table 10

*Leadership Factors/Correlation*

<i>Leadership Factors/Correlation</i>	1	2	3	4	5	6	7	8	9	10	11	12
1 - Idealized Attributes	1.00											
2 - Idealized Behaviors	0.75	1.00										
3 - Inspirational Motivation	0.79	0.68	1.00									
4 - Intellectual Stimulation	0.64	0.61	0.62	1.00								
5 - Individualized Consideration	0.78	0.68	0.80	0.75	1.00							
6 - Contingent Reward	0.78	0.66	0.78	0.73	0.80	1.00						
7 - MBE - Active	0.10	-0.04	-0.01	0.14	0.13	0.03	1.00					
8 - MBE - Passive	-0.33	-0.17	-0.40	-0.41	-0.51	-0.34	0.19	1.00				
9 - Laissez-faire	-0.48	-0.29	-0.44	-0.53	-0.60	-0.47	0.16	0.70	1.00			
10 - Extra Effort	0.76	0.61	0.83	0.69	0.80	0.81	0.01	-0.46	-0.55	1.00		
11 - Effectiveness	0.67	0.48	0.66	0.58	0.66	0.62	-0.04	-0.51	-0.46	0.56	1.00	
12 - Satisfaction	0.69	0.64	0.76	0.54	0.71	0.72	-0.11	-0.47	-0.41	0.65	0.72	1.00

An ANOVA was run (see Table 11) to examine the relationship between the first 6 leadership factors (transformational leadership

factors plus contingent reward). Since the p-value is greater than the level of significance (i.e., .086668 is greater than .05), the model consisting of the 6 leadership factors represents a good fit to the survey data. In addition to the p-value, the comparison of the F-value of 1.94928 with the F-critical value of 2.24901 (i.e., the F-value is less than the F-critical value) supports the fit of the 6 factor model to the survey data. For the purposes of this study, the 6 factors are considered to be representative of the concept of collaborative leadership (as will be discussed later).

Table 11

*ANOVA Analysis of Transformational Leadership and Contingent Reward*

ANOVA

SUMMARY

<i>Groups</i>	<i>Count</i>	<i>Sum</i>	<i>Average</i>	<i>Variance</i>
Idealized Attributes	44	136.8	3.11	0.43805
Idealized Behaviors	44	119	2.70	0.46044
Inspirational Motivation	44	120	2.73	0.51366
Intellectual Stimulation	44	123.8	2.81	0.50307
Individualized Consideration	44	125.4	2.85	0.47279
Contingent Reward	44	124.4	2.83	0.44017

ANOVA

<i>Source of Variation</i>	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F</i>	<i>P-value</i>	<i>F crit</i>
Between Groups	4.59409	5.00000	0.91882	1.94928	0.08668	2.24901
Within Groups	121.61182	258.00000	0.47136			
Total	126.20591	263.00000				

\* Note - This ANOVA was based on using the Transformational Leadership Factors plus the Contingent Reward Leadership Factor

While Table 10 presented the scaled (values between 1 and -1) for the correlation coefficients, Table 12 presents the non-scaled covariance values. Although the values are different, the relationships between the various leadership factors continue to hold true.

Table 12

*Leadership Factors/Covariance*

<i>Leadership Factor/Covariance</i>	1	2	3	4	5	6	7	8	9	10	11	12
1 - Idealized Attributes	0.43											
2 - Idealized Behaviors	0.33	0.45										
3 - Inspirational Motivation	0.37	0.32	0.50									
4 - Intellectual Stimulation	0.29	0.29	0.31	0.49								
5 - Individualized Consideration	0.35	0.31	0.38	0.36	0.46							
6 - Contingent Reward	0.33	0.29	0.36	0.34	0.36	0.43						
7 - MBE - Active	0.04	-0.02	-0.01	0.06	0.05	0.01	0.36					
8 - MBE - Passive	-0.14	-0.07	-0.18	-0.18	-0.22	-0.14	0.07	0.42				
9 - Laissez-faire	-0.20	-0.13	-0.20	-0.24	-0.27	-0.20	0.06	0.30	0.42			
10 - Extra Effort	0.40	0.33	0.48	0.39	0.44	0.43	0.01	-0.24	-0.29	0.66		
11 - Effectiveness	0.34	0.25	0.36	0.31	0.35	0.32	-0.02	-0.26	-0.23	0.35	0.60	
12 - Satisfaction	0.45	0.43	0.54	0.38	0.48	0.47	-0.06	-0.31	-0.27	0.53	0.56	1.00

An interesting finding from the survey results is the high average score for the 'contingent reward' leadership factor. Under Bass' model of Transformative Leadership, the expectation would be for a lower average score for 'contingent reward' as an indicator of transformational leadership. However, analysis of the findings showed a strong correlation between the five factors of Bass' model indicating transformational leadership and the 'contingent reward' leadership factor. One theoretical explanation for this result may lie in the concept of Collaborative Leadership. In Chapter 3, an illustration was

provided on how the concepts of Transformative Leadership and Collaborative Leadership had many similarities. O'Leary and Bingham also attribute a strong relationship between Collaborative Leadership and 'contingent reward' in their belief that cooperation "to achieve common goals and working across boundaries" "is based on the value of reciprocity" (2006; p. 7). As such, rather than being strictly described by Bass' five factor model of Transformative Leadership, perhaps the concept of Collaborative Leadership is more appropriately described by a 6 factor model. Therefore, the model that is suggested consists of the 6 leadership factors of: (1) intellectual stimulation; (2) contingent reward; (3) idealized behaviors; (4) idealized attributes; (5) individualized consideration; and (6) inspirational motivation. As such, it is suggested that the TMLQ survey instrument may have utility in measuring both the concept of Transformative Leadership and the concept of Collaborative Leadership.

Traditional notions of transactional leadership (i.e., related to contingent reward) are described by Burns (1978; p. 3) as instances where leaders: "approach associates with an eye to exchanging one thing for another..." "Such transactions comprise the bulk of the relationships among leaders and associates..." This expected result was confirmed in each of the research study's methods (i.e.,

interviews, on-line survey, and document analysis). Transactions of this nature, which are valuable to a limited degree, are referred to as 'first-order exchanges'. These 'first-order exchanges' among the various actors involved are greatly enhanced in their effectiveness in situations where they are 'augmented' by the transformational leadership approach(es) (Bass & Avolio, 1995).

For reference, Bass and Avolio cite examples in the literature that establish the external validity of the view that employing transformational leadership typically results in improved performance in a wide variety of domestic and international settings and cultures. "Consistent evidence has shown the superiority of transformational over transactional leadership in being linked to positive aspects of performance" (Bass & Avolio, 2004; p. 34). However, they go on to say that transformational leadership augments and works with transactional leadership to enhance performance. While it is beyond the scope of this dissertation to report all their findings, it is clear that there is a strong correlation between transformational leadership and positive performance.

The findings of this study indicating high levels of contingent reward plus high levels of transformational leadership are not unexpected. In other words, "it is not surprising to find that

transactional contingent reward leadership correlates with transformational leadership” (Bass & Avolio, 2004; p. 62).

Avolio and Bass cite prior research studies confirming construct reliability of the TMLQ Survey based on the full range leadership model (1996). In comparing it to 8 other possible models, Avolio and Bass determine that the full range model provides the best fit for data obtained from the TMLQ Survey. Their confirmatory factor analysis (CFA) analysis was based on standard statistical procedures using chi-squared ( $\chi^2$ ), root-mean squared (RMSEA), comparative fit index (CFI),  $\chi^2/df$  ratio, and the normed fit index (NFI2). Confirmatory factor analysis “tests a pre-specified factor structure and the goodness of fit of the resulting solution” (Bass & Avolio, 2004).

To further explain the high scores for contingent rewards in Child Care Program and Key Stakeholder relationship may require an enhanced understanding of the concept of contingent rewards when used as a factor in regard to a team (in the context of a stakeholder network) as the unit of analysis rather than an individual (in the context of a organizational hierarchy) as the unit of analysis. Rather than being a simple carrot-stick approach as used in transactional leadership through an organizational hierarchy, contingent rewards in a stakeholder network may be much more reflective of a symbiotic

relationship between the various stakeholders. In fact, during the study's interviews one interview subject actually referred to the relationship as symbiotic and others made similar comments without using the term symbiotic. This type of exchange relationship is also described as being an important factor related to the concept of collaborative leadership (Linden, 2002)

In other words, each participant of the team relies on information and resources provided by the other team members and, as such, are willing to reciprocate with their own information and resources. This type of exchange is voluntary rather than mandatory in the context of a stakeholder network. However, each participant participates because the exchange(s) benefits each participant's interests. This phenomenon between the team members was very evident in the results of the document analysis, particularly the review of the various meeting minutes. For example, participants frequently exchanged information and access to resources during these meetings.

Interestingly, there was one interview participant who made an indirect reference to a leadership approach referred to by Bass & Avolio (1995) as 'contingent negative reinforcement or punishment'. This type of leadership behavior involves giving corrective feedback to, in the case of this study, other participants in the stakeholder network

when they do not meet expectations. The interviewee indicated this form of leadership is rarely exhibited. The reason for the reluctance to do so, as surmised by the interviewee, was that the stakeholders were under no other stakeholder's control and could not be 'ordered' to do anything.

In summary, the results of the survey illustrate a strong, positive correlation between: (1) the effectiveness of the team; (2) the extra effort of the team; and (3) the participant satisfaction of the team; with the use of transformational leadership and contingent rewards employed by the team. In addition, the results of the survey illustrate a strong negative correlation between: (1) the effectiveness of the team; (2) the extra effort of the team; and (3) the participant satisfaction of the team; with the use of other forms of leadership (e.g., Management by Exception and Laissez-Faire) employed by the team.

## Interviews

The purpose of the interviews was to gain an in-depth understanding of the nature and level of the collaborative relationship between the program and its key stakeholders. Interviews have been cited as an 'essential' tool for case study research. (Yin, 2009) The list of questions was focused around the nature of collaborative



relationship between the program and the key stakeholders. The questions represent a sampling of questions provided in the TMLQ and have been adapted (i.e., rephrased to allow for open-ended responses) for the purposes of this study.

There are 15 program staff positions that report directly to the Program Manager. At the time the dissertation proposal was drafted during the summer of 2009, all 15 positions were filled. However, due to State budget shortfalls, staff furloughs were implemented that prompted many senior staff to consider early retirement and/or moves to other employment opportunities. As such, by March 2010 the number of filled direct positions dropped from 15 to 8. In light of a statewide hiring freeze, most of these positions will remain vacant until the budgetary outlook improves.

Of the 8 remaining direct report staff, 4 agreed to participate in the interviews (50% participation rate). Three of the participants were male (75%) and 1 was female (25%). All of the interview participants were based in an urban setting and are Caucasian. The small number of participants, lack of any rural-based participants, and the lack of ethnic representation unfortunately does not meet the expected level of representation for the interview portion of the study.

The interview participants were not as representative as expected in the original study design in regard to the demographics of city size, ethnicity, and gender. This is evident when the demographics of the interview subjects are compared with the results of the TMLQ survey presented earlier. Those results show clear differences in average factor scores based on each of the demographic areas.

As such, the scoring of the interviews is likely skewed as the interview participants were mostly male, Caucasian, and large-city based. Unfortunately, this situation was unavoidable as the research methodology called for voluntary participation. While follow-up requests were made to encourage participation, attempts to have the program require staff participation was not considered as an appropriate approach for ethical reasons. Also, forced participation would have likely skewed the scoring, as well. The researcher believes that the issues related to limited number of participants in the interviews could have been avoided by using direct observation of the meetings and/or shadowing of the participants.

However, the information gained from the interviews is valuable nonetheless. Originally the interviews were to be used to corroborate the findings from the document analysis and online TMLQ survey

comprehensively. Instead, the researcher decided to use the interview findings to more specifically address a closely related issue that emerged during the analysis of the online TMLQ survey. This issue (as discussed in detail in the online TMLQ survey section) involves the high average TMLQ survey scores for the questions related to 'contingent rewards'. The revised purpose of the interviews was to corroborate those results and to gain a more in-depth perspective on why they occurred.

The interview questions (4 of the 5 are presented) follows: For each item below, please describe how the specific leadership attribute or behavior: (1) is generally employed in the relationship between the child care stakeholder groups and the Arizona Subsidized Child Care Program; and (2) how it impacts the overall effectiveness of the team (stakeholder groups and the program).

Item #1: "specify for each other what are expected levels of performance."

Item #2: "provide each other with assistance in exchange for each member's effort."

Item #3: "clearly communicate what each member needs to do to complete assignments."

Item #4: "recognize member and/or team accomplishments."

The interviews were conducted between March 22<sup>nd</sup> and March 26<sup>th</sup>, 2010. Three of the interviews were face-to-face and 1 interview was via. teleconference call. The interviews were taped using a conventional cassette recorder with a built-in microphone. The quality of the recordings was sufficient to transcribe the interviews accurately. Interestingly, one of the most audible recordings was from the teleconference call. This is likely because the tape recorder was placed directly next to the telephone's speaker. Each interview lasted between 20 and 30 minutes. A verbatim transcript was made of each interview for analysis.

Kvale (2007; p. 93) refers to transcripts as "impoverished decontextualized renderings of interview conversations." With that cautionary note under advisement, the researcher of this study strived to follow Kvale's (2007; p. 95) "basic rule in transcription:" to "state explicitly in the report how the transcriptions were made." The following paragraphs recontextualize to the degree possible the text of the interviews by explaining how they were made and the processes and settings involved.

Initially, the researcher considered working with a professional transcription service to transcribe the interviews. However, this option was cost prohibitive. Instead, the researcher developed and implemented a process to personally transcribe the interviews by: (1) installing Microsoft Office Word 2007 on a personal computer; (2) playing small sections of the interviews and hitting the 'pause' button on the tape recorder; (3) typing the audible portions of the text; (4) rewinding the tape to replay any portions of the tape that were difficult to hear the first time; (5) analyzing the computer display to ensure that the text entered on the computer display matched the portion of the recited interview; and (6) releasing the 'pause' button to go on to the next portion of the interview. These steps were repeated for each of the 4 interviews until the complete interviews were accurately transcribed into electronic form. The researcher replayed each interview from beginning to end as a final quality check of the transcription.

The next step was to print out a hard copy of each transcript and to categorize the text of the transcripts (categories were handwritten on the printed transcript) using the 9 factor leadership model. Any indication that a particular factor was evident (a confirming statement) received a positive score of '1' and any instance that a particular factor

was not evident (nonconfirming statement) received a score of '-1".

In addition to the 9 factors, interviewee comments regarding team effectiveness were also recorded.

Analysis of the transcripts allowed for the identification of several common themes as it relates to the concept of 'contingent rewards' employed in the Program's relationship with its key stakeholders.

First, respondents identified much more stringent protocols and expectations among and between the Child Care Program and other DES Program (internal relationships) as compared with expectations and protocols between the Program and its key stakeholders (external relationships). The internal hierarchies and leadership structures within DES and the Program were cited as the primary reason for this. For example, in the internal relationships, staff can be required to perform certain actions. In the external relationships, no one has the authority to require anyone to act in a certain way. Participation is largely voluntary and performance of requested acts was based in large part on anticipated reciprocity of others in the relationship. For instance, 'I will provide this information now in the hope that in future others will assist me with information or resources in the future'.

Second, as mentioned earlier, while the concept of 'contingent reward' is not considered to be a major factor in Bass' model of Transformative

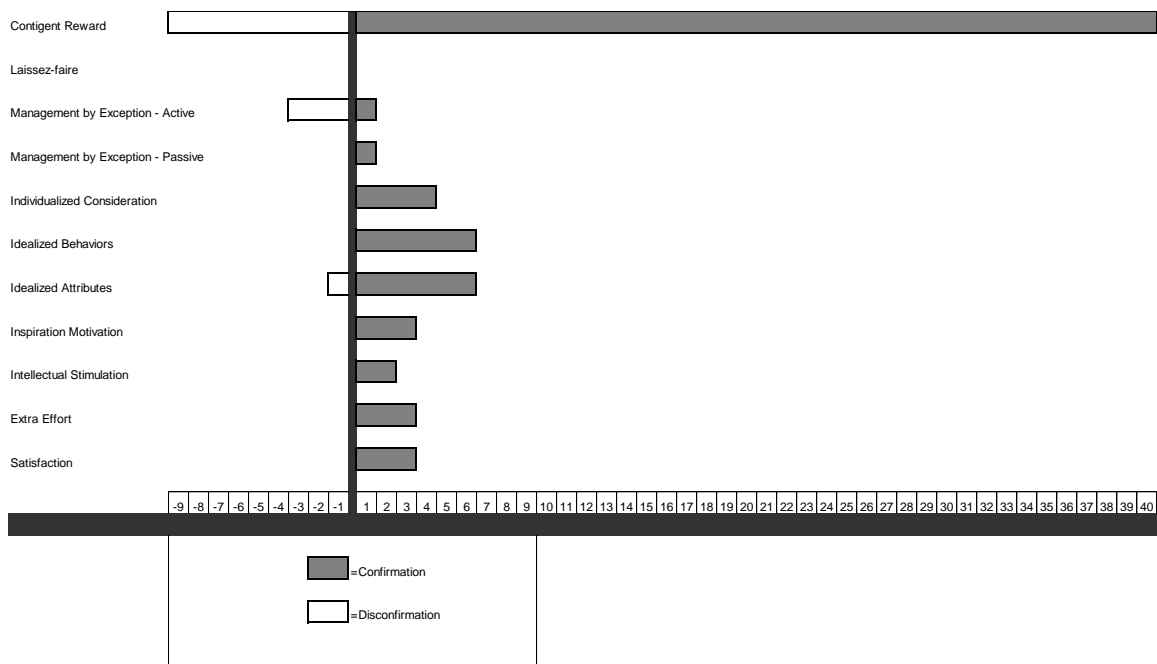
Leadership, it is an important feature of the concept of Collaborative Leadership. O'Leary and Bingham attribute a strong relationship between Collaborative Leadership and 'contingent reward' in their belief that cooperation "to achieve common goals and working across boundaries" "is based on the value of reciprocity" (2006; p. 7).

An interesting finding during analysis of the interviews was the prevalence of interviewee statements regarding leadership factors (traits, behaviors, and attitudes) that were not related to 'contingent rewards' – the topic area that the interview questions were focused on. Two possible explanations for this occurrence are: (1) the interviewees were informed of the research questions prior to the interviews – this may have served to guide the interviewees in responding to the questions more comprehensively; and (2) it may have been difficult for interviewees to isolate 'contingent reward' aspects from the other aspects of leadership traits, behaviors, and attributes. In Figure 1 below, the negative portion of the figure's x-axis indicates a count of non-confirmatory statements regarding that particular leadership factor. The positive portion of the x-axis indicates confirmatory statements regarding the particular leadership factor. For completeness, the other factors of leadership have been included in the figure.

One notable finding presented in Figure 1 is, similar to the survey and document analysis findings, that Transformational (five factors) and contingent reward greatly outweigh the other leadership factors.

Figure 1

*Interview Scoring for Leadership Factors*



In regard to the validity of the interview questions, the questions used were 5 sample questions taken from the TMLQ instrument. As discussed earlier, the reliability and validity of the TMLQ survey has been rigorously tested, thus the validity of the interview questions is confirmed to measure the particular leadership factors in questions.



## Document Analysis

The documents for analysis were selected with the assistance of the Program Manager and the direct reports. The objective was to select documents that provide evidence confirming or disconfirming whether the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program are collaborative in nature. The documents consist of the Bi-Annual CCDF State Plan, various meeting minutes, Program and stakeholder documents and webpages, and other relevant documents. The researcher analyzed and coded the documents using the full range leadership model. (Avolio & Bass, 1996)

The following is a listing of the documents that were analyzed for the document analysis portion of the research study:

- Child Care Development Fund (CCDF) Bi-annual Report
- Eligibility Policy Committee Meeting Minutes
- Provider Policy Committee Meeting Minutes
- Child Care Advisory Board Meeting Minutes
- Family Child Care Provider Policy Committee Meeting Minutes
- Stakeholder mission and/or goal statements

While each of the documents reviewed provided valuable information, the most useful document was the CCDF Bi-annual

Report. It clearly identified each of the Program's key stakeholders, each key stakeholder's relationship to the Program, and insight into what each key stakeholder sees as its particular role and mission regarding that relationship.

All the documents were originally provided to the researcher in electronic form. Having an electronic version was very helpful in that it allowed for word searches and other automated techniques. In addition, the researcher printed out a hardcopy of each document and placed it in a 3" binder for reference, notation, and scoring. In total, there were approximately 250 pages. Fortunately, only a small portion of the pages were related to leadership traits, behaviors, and attributes. Many pages were related to program and stakeholder specific information (e.g., budget, personnel, and equipment) that was not applicable to the current study. This kept the analysis to a manageable level.

There were issues that limited the usefulness of the documents, however. Relying on documents prepared by the program staff may have unintentionally resulted in the application of a 'positive' filter to the contents of the documents. Because the documents may be shared broadly and, in some cases publicly, there may be a tendency for the document preparers to refrain from reporting negative (i.e.,

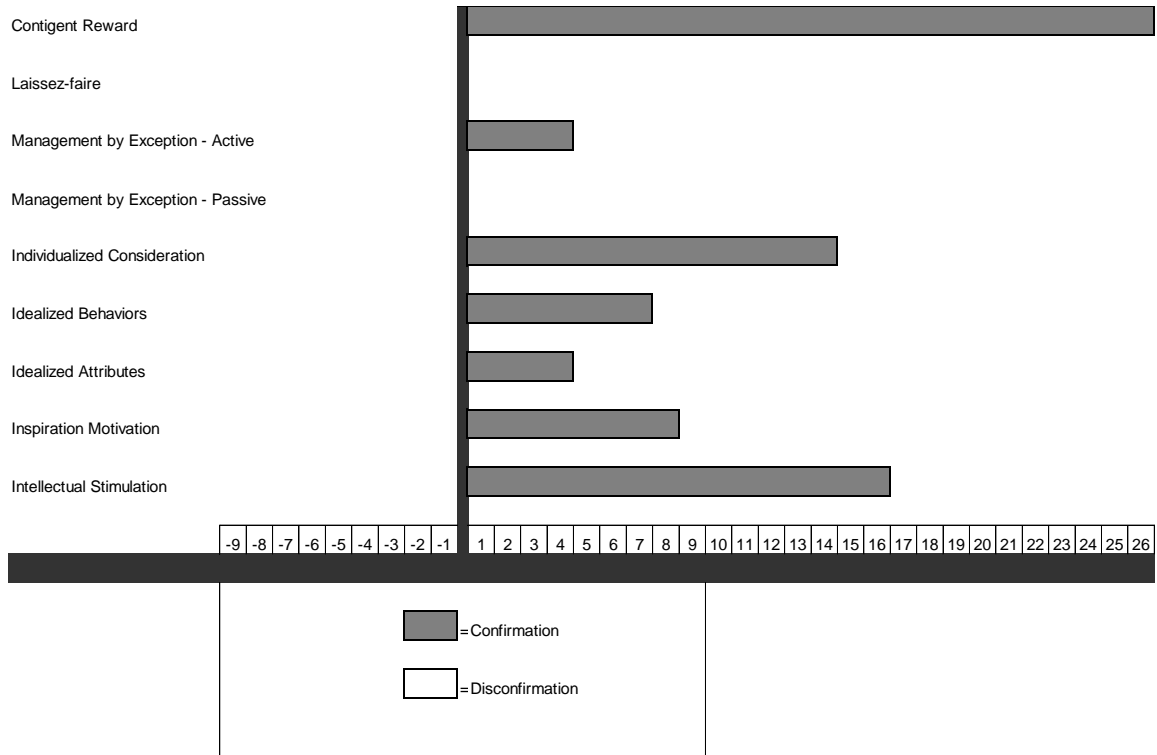
non-confirmatory) information. This situation was unavoidable in the current study because the documents were prepared in the past, before the research plan was developed. This issue could potentially be resolved in future research studies by having the research team attend and directly observe meetings and/or shadow relevant program staff and key stakeholders rather than rely on historical documents.

The prevalence of instances related to particular leadership factors (traits, behaviors, and attitudes) is illustrated in the figure below. The negative portion of the figure's x-axis indicates a count of non-confirmatory statements regarding that particular leadership factor. The positive portion of the x-axis indicates confirmatory statements regarding the particular leadership factor. One notable finding is that, similar to the survey and interview findings, that Transformational (5 factors) and Contingent Reward greatly outweigh the other leadership factors.

The researcher extracted the relevant portions of the text from the CCDF Bi-annual Report to create a total of 16 documents of 'purpose' for the various key stakeholders. Figure 2 summarizes that information:

Figure 2

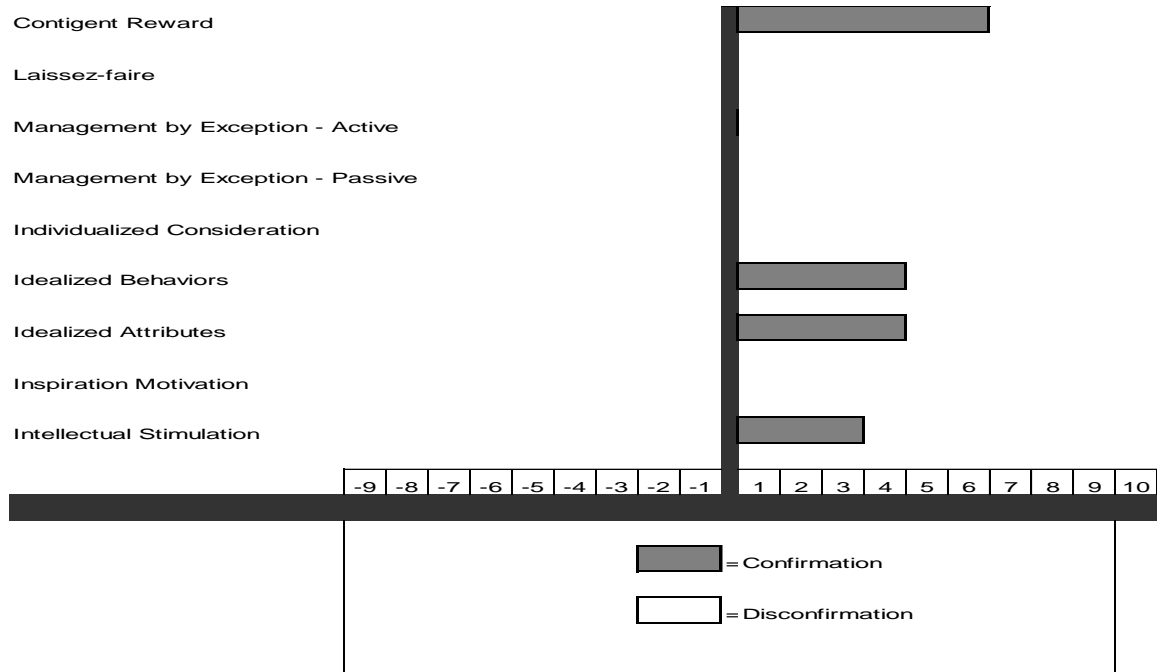
*Stakeholder Statement of Purpose Scoring*



The Eligibility Policy Committee met 2 times during FY 2009 (January 27 and March 11). According to the Child Care Program, the purpose of this “committee is to gain input from field staff to aid decision making, however, the committee itself is not a decision-making body.” The researcher reviewed documents related to those meetings consisting of: (1) the committee’s protocols related to member roles and responsibilities and communication guidelines; (2) meeting agendas; and (3) meeting summaries. The results of the analysis of these documents are displayed in Figure 3:

Figure 3

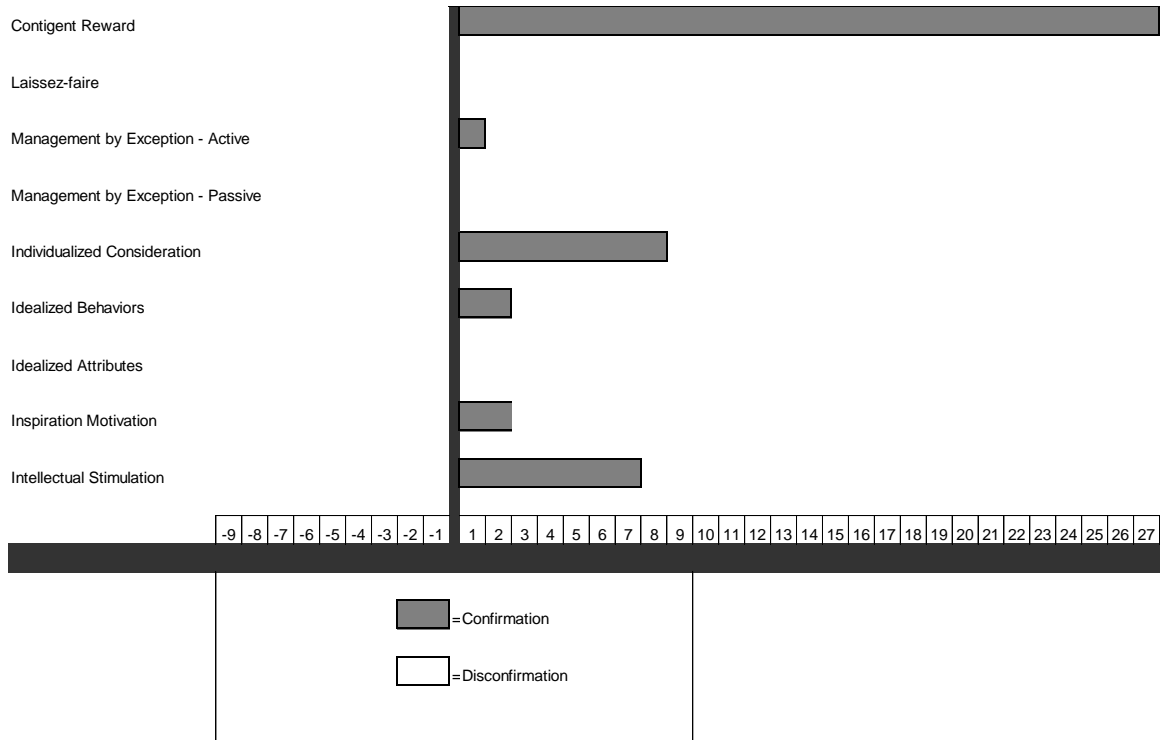
*Eligibility Policy Committee Scoring*



The Child Care Advisory Board met 4 times during 2009. There was an average of 22 participants per meeting. The purpose of the Child Care Advisory Committee is to make recommendations to the Program to improve program policies and practices. Figure 4 displays the results of the analysis of the meeting minutes of the 4 meetings:

Figure 4

*Child Care Advisory Committee Meeting Scoring*



The Family Child Care Provider Policy Committee is a group of Program managers and staff who meet regularly to discuss topics, such as: provider issues, rules, laws, regulations, district updates, program budget, and staff changes. During 2009, the committee held 9 meetings with an average of 13 participants per meeting. The meeting minutes provided the researcher valuable background information about the program and will be retained for completeness. However, since key stakeholders and/or peers did not participate in

the meetings, the meeting minutes were not germane to the research project and thus were not scored using the 9 factor leadership model.

There is one potential weakness to the document analysis portion of the study that may limit its usefulness and accurate assessment particularly regarding the meeting minutes. Some of the items (i.e., questions from the TMLQ used to score the minutes) may have been more precisely and thoroughly recorded in the minutes as compared to others. For example, items related to contingent reward were frequently listed sequentially as they were discussed during the meeting (e.g., the exchange of information and sharing of access to resources) among the participants. Each new item discussed was given a score of 1. However, discussions related to more generalized topics such as visioning (related to Idealized Behavior) were rarely broken-down in such a detailed way.

As such, the percentages between the various leadership factors may be skewed. A more thorough and precise method (but far more time-consuming) would have been to tape record and transcribe each meeting for scoring. Due to time constraints and the retrospective approach to the study, this was not feasible. However, while the data may be somewhat skewed, it does indicate that most activities during

the meetings were related to leadership factors of transformational leadership and contingent reward.

There are other potential issues with relying on the pre-prepared documents used in the document analysis that limit their usefulness for this study. First, each document was prepared with a specific purpose in mind (e.g., to record meeting high points or to track assignments). These purposes were not focused on identifying and recording exhibited collaborative leadership factors. As such, the documents may not give a complete picture of the leadership relationship between the program and stakeholders.

Second, the results of the document analysis did not provide any instances disconfirming collaborative leadership factors as was reported in the interview analysis. This is likely the result of reluctance on the part of the preparer of the document to document anything negative in regard to the meetings or stakeholder relationship. For example, knowing that the documents will be widely distributed and in some cases made available publicly would naturally act as a deterrent to reporting such results.

A potential solution to these issues in regard to meeting notes and other documents may be for researchers to actually attend and record the meetings and/or to shadow various participants in the



program-stakeholder relationship. This would allow for analysis much more focused on identifying the leadership factors exhibited.

Observing the day-to-day practices of participants should present a much wider range of both confirmatory and disconfirmatory activities and behaviors.

### Practical and Theoretical Implications

This section of the chapter assesses practical and theoretical implications of this study by: (1) comparing the current study's findings with prior case studies of collaborative leadership to assess any similarities and/or differences; and (2) providing additional discussion of the contingent reward issue mentioned previously.

### Prior Collaborative Leadership Case Studies

According to Morse (2008; p. 82), "Collaborative leadership is exercised across all sectors and public leadership in this respect is not confined to government organizations." As such, it is important to put the current study's findings into the broad context of the practice of collaborative leadership across many settings (e.g., government, neighborhood planning, education, and crime prevention).

The Arizona Child Care Stakeholder Network, has both similarities and differences when compared with prior studies in regard to its composition and its effectiveness in implementing the concept of

collaborative leadership. The following paragraphs will explore some of these other studies.

The findings of this study that collaborative leadership is positively correlated with team effectiveness and satisfaction is backed-up by that of prior research in a variety of settings. Kouzes and Posner (1995) initially examined over 500 cases and found that high achievement was most often associated with people working collaboratively rather than independently. In later research, Kouzes and Posner confirmed their initial findings.

Page (2010) explored three Seattle, Washington case studies that employed collaborative leadership: (1) Seattle Education Summit; (2) Neighborhood Planning Process; and (3) Weed and Seed. Each of the Seattle case studies represents a successful implementation of collaborative leadership. However, in the Seattle Education Summit and the Neighborhood Planning Process cases the initial success was short-lived due to: (1) subsequent moves to hierarchal leadership; (2) staff turnover; and (3) fiscal reductions. Interestingly, the Arizona Child Care program has also undergone similar issues (i.e., staff turnover and fiscal reductions). However, this study is reporting effective leadership in spite of these issues. This may suggest that changing leadership structure (to hierarchal from collaborative) may

have a greater impact on the effectiveness of leadership than does staff turnover and fiscal reductions. Additional research should be pursued to examine this area of inquiry.

Carson, Tesluk, and Marrone (2007) conducted a study of 59 consulting teams which further established positive correlation between team members sharing leadership and the level of performance of the team. Their approach to 'shared' (i.e., collaborative) leadership is very similar to the approach supported by this study: "teams with high levels of shared leadership may"... "rotate leadership over time." (2007; p. 1220) One unique factor that differentiated their work from the current study is that the current study relies on team member ratings of the team's performance while Carson, Tesluk, and Marrone's relied on independent evaluation of the team's performance. Future research should incorporate both team member assessments plus independent assessments to ensure that collaborative leadership approaches are evaluated comprehensively for enhanced theoretical understanding and development.

Deci, Koestner, and Ryan (1999) performed a meta-analysis of 128 studies related to the extrinsic rewards on intrinsic motivation. There was strong evidence to support that extrinsic rewards tended to decrease intrinsic motivation of participants. Thus, while extrinsic

rewards tended to work to motivate participants in the short-run, once the extrinsic rewards were no longer provided, participant's intrinsic motivation was negatively impacted in the long-run. To illustrate (in the context of the Arizona Child Care stakeholder network), providing tangible and expected rewards (contingent) to participants may negatively impact their willingness to participate in the collaborative leadership stakeholder network in the long-run. However, on the flip side, Deci, Koestner, and Ryan found that verbal rewards (which were typical in this study) tended to increase intrinsic motivation. Future research comparing various collaborative leadership research settings in regard to the degree of intrinsic vs. extrinsic rewards and its relative impact on short-term vs. long-term participant motivation and involvement would be valuable.

In addition, the potential contribution of collaboration to the public arena is recognized in the recent theoretical research related to Democratic Network Governance, which suggests that public policy concerns can be addressed more comprehensively using collaborative leadership processes rather than simply relying on government action alone. Bob Denhardt describes this new approach to policy-making in a chapter entitled *Democratic Network Governance* (in his soon to be published *Theories* book) as: "how governance networks might be

structured and operated in keeping with democratic ideals” as they work to address society’s various policy issues, interests, and complexities. Governance networks are comprised of government and a wide variety of interested stakeholder groups. The concept of democratic network governance is particularly relevant in that the agency (Arizona’s Subsidized Child Care Administration) examined in this study and its stakeholder network fit nicely within its parameters.

While not identical, the concepts of Democratic Network Governance and Collaborative Leadership in the public sector have many similarities. For example, both assume that for the network initiative (or collaborative effort) to work optimally, leadership is shared among network members. In addition, each approach values the diversity of participants and what resources they bring to the table. Additional research should be conducted to explore ways to optimally incorporate collaborative leadership elements into the practice and theory of Democratic Network Governance.

Finally, this study supports prior research (Rosenthal, 1998) that gender plays a role in the degree to which collaborative leadership is exhibited in a variety of settings. While Rosenthal’s research involved state legislatures and this research examined a state program and its

stakeholders, there does appear to be a preference for collaborative leadership styles dependent upon gender.

### Contingent Reward

Similar to findings across a large variety of settings (Bass, 1990), this study confirmed a correlation between transformational leadership and stakeholder's assessment of satisfaction, effectiveness, and extra effort. In addition, according to Bass (1990, p. 23), "contingent reward may work reasonably well if the leaders can provide rewards that are valued by the followers." The following discussion looks at the concept of contingent reward from a variety of perspectives and suggests corresponding practical and theoretical implications.

"Goodwin, Wofford, and Whittington (2001)... distinguished items, that represented a 'pure exchange' or 'transaction' from those that represented recognition rewards, they found that the former items had a considerably lower relationship with the transformational scale. In effect, the original idea of creating contingent reward items that were pure exchange or quid pro quo oriented produced the results that Bass and Avolio have suggested versus higher level transactions such as recognition, which were more highly associated with transformational leadership (Bass & Avolio, 1995; p. 70)."

Further, Hinkin and Schriesheim (2008) call for development of more theory as it relates to transactional leadership (e.g., contingent rewards). One such area of inquiry is related to findings of this study – the contingent reward factor composed of two dimensions. Research involving over 150 government employees (Goodwin, Wofford & Whittington, 2001) assert that there are two dimensions to contingent reward: (1) explicit psychological contract (EPC) – represents an formal agreement of expected rewards; and (2) implicit psychological rewards (IPC) – represents an informal agreement of expected rewards based on mutual understanding and trust. EPC factors are associated with traditional transactional leadership while IPC factors are associated with traditional transformational leadership. For the purposes of this research study, each of the contingent reward questions (used in the TMLQ, interviews, and document analysis) can be classified, as follows (4 of 5 are presented):

Explicit psychological questions (EPC)

Item #1: “specify for each other what are expected levels of performance.”

Item #2: “provide each other with assistance in exchange for each member's effort.”

Item #3: “clearly communicate what each member needs to do to complete assignments.”

Implicit psychological questions (IPC)

Item #4: “recognize member and/or team accomplishments.”

Based on this study's approach to the concept of collaborative leadership, the component factors comprising collaborative leadership are transformational leadership plus the EPC and IPC items of contingent reward. However, as discussed, the EPC items may not provide enhanced team effectiveness to the same degree as the IPC item.

One important implication of this study highlights an argument that inclusion of contingent rewards is an important component of leadership training and practice. The strong correlation between effectiveness, satisfaction, and extra effort with contingent reward illustrates the benefits of enhanced use of contingent reward. “They are necessary components of effective leadership and management (Nahavandi, 2009; p. 205).” As such, development of new theory and encouragement of effective practices related to contingent reward is necessary.



Another theoretical implication of this study and prior scholarship is the association of the concept of collaborative leadership factors (e.g., contingent reward) with symbiotic relationship theory.

According to Burns in the context of transformational and transactional leadership theory, "... a symbiotic relationship binds leader and follower together... (1978; p. 452)."

There are 5 categories of symbiotic relationship which are: (1) Mutualism – a situation where both parties benefit; (2) Commensalism – a situation where one party benefits but the other is not impacted; (3) Parasitism – a situation where one party benefits but the other party is injured; (4) Competition - a situation where neither party benefits; and (5) Neutralism – a situation where both parties are not impacted. ([http://wiki.answers.com/Q/What is a symbiotic Relationship](http://wiki.answers.com/Q/What_is_a_symbiotic_Relationship), as of June, 28 2009)

The original application of symbiotic relations pertained to the various entities (species) in nature such as plants and animals.

Rosnay expands that application to include relations between humans, organizations, and the environment (Rosnay, 2000).

The type of symbiotic relationship (5 types mentioned earlier) indicates how each related entity impacts one another. In some situations, one entity may benefit while the other entity also benefits.

This type of symbiotic relationship is called 'mutualistic' because both of the entities benefit through the relationship. An example of this might be the 'human' and 'dog' interaction. Humans provide dogs with food and shelter, while dogs provide companionship and personal security.

To see how this concept is applicable to public policy-making settings (for example) is not overly difficult. When opposing sides spend their energy and time fighting rather than work together to address the public's interests, the results are often poor public policies (in which no one benefits).

By framing the interaction using symbiotic relationships it may be easier to identify interaction issues between the various entities early in the process and prescriptive, corrective action may be the result. For example, if we agree that competitive and combative interactions will not address the public's interests, then we should agree that such interactions should be avoided and be replaced by more mutualistic interactions (i.e. reasoned debate, cooler heads, less political posturing).

A related term is referred to as Symbiosis that was first used in 1876 by Anton deBary. Symbiosis is the situation where entities have combined for their own benefit as in the symbiotic relationship type of

'mutualism.' Or more precisely, it is (1) "a simple, optimal association, between individuals and organizations (Rosnay, 2000; p. 72); or alternatively, it is (2) "taking opposite or different things and fusing them, integrating them, and having them reside together, emphasizing their respective benefits." (Tamura & Tokita, 2004; p. i)

Based on its emphasis on mutual benefits to the entities, I believe that the symbiotic relationship type of mutualism would generally be considered the optimum relationship type of the 5 types. However, with that said, I think it is important to include a cautionary note.

Rosnay defines the role of government (in its relation to the concepts of symbiosis and the related concept of symbionomics) as, "a steering mechanism that can run complex systems" using a "charted course, tools of measurement, instrument panels, and feedback from the environment on which you are acting." (Rosnay, 2000; p. 154).

To be clear, I do not agree with Rosnay's premise related to the role of government but am much more comfortable with the approach by Denhardt and Denhardt (Denhardt & Denhardt, 2003) and related scholarship that proposes that government's role is to serve society and challenges the concept that government's role is to steer society. However, I maintain that the concepts of symbiotic relationships and symbiosis can be useful if it is made clear that societal needs and

benefits are central above any other involved entities. As an example, when examining who benefits from a collaborative public policy-making situation that involves stakeholders, leader stakeholders, and the relevant public issue environment (i.e. a large city annual budgeting process), it is important that society's benefits be considered as the major focus. While the other actor's interests are important (stakeholders and leader stakeholders), as well, it is important that they not be given more weight in policy decisions.

While this study was based on the TMLQ survey which uses the team as the unit of analysis, the MLQ survey which uses the individual as the unit of analysis also shows a strong correlation between the transformational leadership factors and contingent reward. While the MLQ norms based on research of thousands of individuals (nationally and internationally), peers, supervisors, and subordinates is not directly comparable to the TMLQ results of this study, the theoretical implications of each point to a strong correlation between transformational leadership and contingent reward. As such, the supposition of this study that the 5 factors of transformational leadership plus contingent reward comprise a unique, measurable concept, collaborative leadership, is supported.

Further, Kouzes and Posner confirm the importance of reciprocity (i.e., contingent reward) as a fundamental requirement for successful collaborative leadership efforts. This reinforces a principle theoretical argument of this study that transformational leadership plus contingent reward comprise the concept of collaborative leadership. "The leader's job is to make sure that all parties understand each other's interests and how each can gain from collaboration (Kouzes & Posner, 1995; p. 157)."

#### Limitations of the Study

A significant limitation of this study is its limited scope of the Arizona Child Care stakeholder network because it does not address the more interconnected problems it interacts with. Luke (1998) identifies four considerations (below) that need to be addressed with any complex public problem. Additional research in this area would be invaluable in giving greater depth and context to the results of this study. For example, discussion of subsidized child care in Arizona may have overlap with many other problem areas such as child abuse, health, and nutrition. The child care stakeholder network's interactions with these issue areas would have an impact on any solutions or recommendations that are implemented.

The four areas are: (1) 'ripple-effect stakeholders' – an example might be child care providers and city zoning officials; (2) 'socially constructed definitions of problems' – can be very complex, unbounded, problems and issues with significant overlap with other issues; (3) 'mental models of problems' – need to be able to rise above preconceived views of problems and issues to see what the real problem is. The causes of the problems may be unclear and other stakeholders may have different views of what the issues, problems, and solutions look like. Among diverse stakeholders there is "a natural competition for the "right" solution (Luke, 1998; p. 13)." The question of what contingent rewards would work best in these situations should be examined in future research; and (4) 'realistic view of problem solving' – long-term change may be difficult without addressing the interconnected problems and it may be very difficult to measure whether things are working. For example, do we measure how many consumers are helped or should we measure how many become self-sufficient and no longer need assistance?

There needs to be additional research to determine if the contingent rewards required will differ based on different degrees of each of the four considerations. For example, what should the contingent look like for existing stakeholders to consider the needs of

ripple-effect stakeholders and/or to invite them into the stakeholder network?

### Summary

This chapter presented the results of the research study's online survey, interviews, and document analysis. The online survey went according to the study's original methodology allowing for rigorous statistical testing in regard to the research questions. However, the planned approach for the interviews had to be modified to address a limited number of participants who voluntarily agreed to be interviewed. The document analysis was conducted as planned, however several limitations of relying on existing documents became evident as the research progressed.

The following chapter summarizes the dissertation and highlights recommendations for further collaborative leadership research initiatives and offers solutions and options to resolve the issues encountered in this study's research methodology regarding the interviews and document analysis.

## CHAPTER 5

### Summary

#### Introduction

This chapter adds additional insight to the discussions presented in the Literature Review (Chapter 2), Methodology (Chapter 3), and Findings (Chapter 4). It serves as a synthesis of those earlier discussions and provides guidance for both researchers and practitioners desiring to more fully understand collaborative leadership concepts and the potential benefits that they offer. While the study was limited to a single case, the mixed-research methods approach used allows for reliable and verifiable findings. This final chapter provides relevant and timely commentary for practitioners and researchers interested in collaborative leadership concepts and theories and how they have been employed in the Arizona Subsidized Child Care Program's stakeholder network.

The chapter consists of the following sections: (1) Summary of the Study; (2) Discussion of the Findings; (3) Implications for Practice; (4) Recommendations for Further Research; and (5) Conclusions (Lunenburg & Irby, 2008).



## Summary of the Study

A large portion of the literature review was devoted to discussion of the concept of collaborative leadership. That discussion: (1) summarized the history of collaborative leadership literature including identification of the applicable definitions, concepts, assumptions, and theories; (2) analyzed and critiqued the collaborative leadership literature to include identification of any gaps in the literature; (3) contributed to the body of collaborative leadership literature by providing a new definition of the term; and (4) synthesized the concept of collaborative leadership with public administration and leadership literature.

The purpose of this research study was to explore the extent to which Arizona's Subsidized Child Care Program and its key stakeholders work together using collaborative leadership concepts to resolve the critical issues and problems they share. It examines the relationship between the Arizona Subsidized Child Care Program and its key stakeholders using a mixed-method approach (both quantitative and qualitative research methods) by (1) assessing the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the TMLQ – Team Multifactor

Leadership Questionnaire (a quantitative approach); and (2) examining the role key Arizona Subsidized Child Care Program's stakeholder organizations play in informing and influencing policy and funding decisions using a qualitative research approach (by means of interviews and document analysis). The process involved was to frame the research and its findings using the TMLQ's assessment scales (Avolio & Bass, 1996).

The study's research questions consist of: (1) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?; and (2) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature?

The participants selected for participation in the TMLQ web-based survey were the Program Manager, the Program Manager's direct reports, peers, subordinates, and relevant stakeholders. The interviews were conducted with the Program Manger and direct reports. The documents (e.g., meeting minutes and annual reports) chosen for analysis were selected with the assistance of the Program Manger and the direct reports based on their perceived value in affirming or disaffirming that the leadership relationship between the Program and its key

stakeholders is collaborative in nature. Both the transcribed interviews and the document analysis used a system of coding to categorize and group the responses in relation to the TMLQ assessment scales based on the full leadership model (Avolio & Bass, 1996).

The TMLQ consists of 48 questions that measure the Team's leadership style(s) based on the full leadership model, 2 questions related to the team's effectiveness and abilities, and 3 demographic questions. The survey questions use a 5-point Likert scale ranging from 0-4: '0-Not at all'; '1-Once in a while'; '2-Sometimes'; '3-Fairly often'; and '4-Frequently, if not always.' (Avolio & Bass, 1996; p. 53) The survey includes questions related to participant demographics (gender & ethnicity) plus the researcher for this study collected other limited demographic information such as whether the participant is based in a large city vs. a small city setting.

The primary theoretical frame used was collaborative leadership theory. According to Stagich (2001: 218), collaborative leadership is: "The transformative leadership, which occurs through the facilitation or participation in collaborative learning groups. The collaborative ability to lead a group or organization through the active participation in sharing

knowledge and experience and the high order social learning, thinking, and communicating process.” Also comprising the study’s theoretical frame is a theoretical approach closely related to collaborative leadership theory called transformational leadership theory (as measured by the TMLQ).

The results of the TMLQ questionnaire were used to determine the degree to which collaborative leadership is evident (using various questions related to transformational leadership and ‘contingent reward’). Further, the results were used to determine the degree to which other forms of leadership are in use (using various questions related to transactional, management by exception-active, passive/avoidant behavior, management by exception-passive, and laissez-faire leadership).

A series of statistical tests were applied to the survey’s results. These tests included mean, standard deviation, and ANOVA. In addition, various demographic factors such as gender, location (large city vs. small city setting), and ethnicity were reported.

Of the 9 leadership factors, 6 have average scores above 2.70 indicating that the respondents on average believed that the leadership factor was exhibited between ‘sometimes’ to ‘fairly often’. These 6 factors comprise the concepts of

transformational leadership plus contingent reward. For the purposes of this study, these 6 factors represent a measure of collaborative leadership. The standard deviation for each factor is either very close to or below 1, meaning that the individual survey responses are closely dispersed around the various factors' means.

The average score for extra effort factor was above 2.70, indicating that respondents believed on average that the leadership relationship encourages participants to go that 'extra mile' in regard to contributing to the team's efforts. The standard deviation for extra effort is below 1, meaning that the individual survey responses are closely dispersed around the factor's mean.

The average score for effectiveness was 3.75, indicating that respondents believed on average that the leadership relationship is effective in meeting the teams objectives and goals. The standard deviation for effectiveness is less than 1, meaning that the individual survey responses are closely dispersed around the factor's mean.

The average score for satisfaction was 4.05, indicating that respondents believed on average that the respondents were fairly satisfied with the leadership relationship between the

program and its key stakeholders. The standard deviation for effectiveness is very close to 1, meaning that the individual survey responses are closely dispersed around the factor's mean. Bryson (1995; p. 27) clearly believes stakeholders and their interests are paramount related to public policy and policy-making as he states "the key to success for public and non-profit organizations (and for communities) is the satisfaction of key stakeholders."

The results of the survey illustrate a strong, positive correlation between: (1) the effectiveness of the team; (2) the extra effort of the team; and (3) the participant satisfaction of the team; with the use of transformational leadership and contingent rewards employed by the team. In addition, the results of the survey illustrate a strong negative correlation between: (1) the effectiveness of the team; (2) the extra effort of team; and (3) the participant satisfaction of the team; with the use of other forms of leadership (e.g., Management by Exception and Laissez-Faire) employed by the team.

#### Discussion of the Findings

The study's research questions consist of: (1) What leadership style(s) does the Arizona Subsidized Child Care

Program, through its various managers, exhibit and are these styles truly collaborative?; and (2) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature?

The approach the researcher used was to frame the study based on the Full Range of Leadership Model (Avolio & Bass, 1996) as measured by the TMLQ. The TMLQ measures various leadership styles including transformational leadership and 'contingent reward'. The level of collaborative leadership between the program and its stakeholders for this study is measured by the degree to which the TMLQ indicates that transformational leadership and 'contingent reward' exists.

Under transformational leadership, the leader and follower develop a connection beyond that of a quid pro quo transaction. The leader seeks to understand and address the unique needs and motivations of followers (Bass, 1990). In doing so, the leader is ultimately seeking to achieve optimal performance (Northouse, 2004) beyond the achievement of basic organizational objectives. As such change occurs; the followers would be transformed from individuals into team members (Antonakis, 2004).

The results of the study clearly indicate that the program/stakeholder relationship and the program's leadership styles are collaborative to a high degree. Further, the study's data support the idea that collaborative leadership processes increase performance (i.e., increased level of effectiveness and extra effort). Involvement of the relevant stakeholders allows for the resolution of complex public issues and problems by the inclusion of all those individuals and groups salient to the issue at hand. All the knowledge, resources and perspectives are brought together synergistically towards resolution of the issue.

Another benefit of collaborative leadership is that involving stakeholders may increase the likelihood that they will buy-in (i.e., increased level of satisfaction) to the final result outcome (such as a new public policy) if their concerns were accounted for throughout the process (Linden, 2002).

Further, Roberts & Bradley demonstrate that stakeholders, when working collaboratively together, are able to develop innovative, incremental public-policy. "Public policy innovation has been defined as the process of introducing new ideas into public sector practice" (Roberts & Bradley, 1991; p. 213; Polsby, 1984). The ability to develop innovative public policy is an important benefit that stakeholders can provide especially



considering the unique, varied, and often times complex issues and problems that surface in the public realm.

While the results of the study indicate that collaborative leadership concepts are being employed, there are a few extant environmental issues that may have impacted the results in relation to expectations. First, the program has been forced to impose a waiting list, increase co-pays, and enact a 5% provider rate reduction during the timeframe of the study. These significant program changes may have impacted the data collected (i.e. surveys, transcribed interviews, and document analysis). As such, it is possible that the data samples used may differ significantly from prior time periods where these issues were not relevant. Second, the TMLQ is designed based on the types of leadership comprising the full leadership model (e.g., transformational leadership) rather than collaborative leadership theory. However, this was theoretically justified throughout the dissertation due to the linkage between collaborative leadership and transformational leadership plus 'contingent reward'. Third, political party affiliation was not included as a demographic factor for this study. Party affiliation may be an issue as there does appear (based on recent media accounts and legislative funding decisions) to be a perceived positive bias for

the child care program among the Democratic Party when compared with the Republican Party.

#### Implications for Practice

The results of the study provide a benchmark to those in the program and stakeholder network seeking to improve collaborative policy-making processes and also expands the existing related body of literature and theory.

There are opportunities where collaborative leadership concepts can be more fully employed in relation to the Arizona program and its stakeholders and there are several strategies described in the literature that the program and its stakeholders may want to consider to enhance their use of collaborative leadership concepts to address their shared issues (especially in regard to the increased financial pressures they have experience due to the recent economic downturn). For example, virtual meetings (teleconferencing) between the program staff and stakeholders may allow for increased collaboration without a corresponding increase in travel costs.

Or more generally, as stated in Chapter II, the ultimate meaning and definition of collaborative leadership is based on the particular collaborative (public issue or problem) situation. Further, the collaborative process is most effective when

individuals share in the leadership and facilitation of the process (Linden, 2002; Morse, 2007). There may be great benefit to both the Arizona Subsidized Child Care Program and its key stakeholders to engage in an ongoing discussion to further develop collaborative leadership concepts and practices in their relationship.

The involvement of stakeholders offers numerous benefits to the policy-making process including the ability to: (1) address complex public problems; (2) increase stakeholder buy-in to public policy; and (3) develop innovative public policies. There are however, potential issues that should be considered and addressed during the policy-making process related to stakeholder inclusion: (1) increased time and resource requirements; (2) personal agendas; (3) conflict among stakeholders; (4) limited stakeholder knowledge of how to become part of the process; and (5) powerful stakeholders may push out less powerful stakeholders.

There were several ways identified in the literature review to ensure appropriate representation and sound policy-making, including use of: (1) stakeholder analysis; (2) oval mapping; (3) categorization of stakeholder groups and development of appropriate strategies for each; (4) symbols; and (5)

collaborative policy-making. Since each policy issue situation is different, the best approach to use in regard to stakeholder participation will vary. As a result, an understanding of the concepts of stakeholder and policy-making are crucial if public policies are to be developed that are in the best interests of the public.

#### Recommendations for Future Research

This study examined the relationship between the Arizona Subsidized Child Care Program and its key stakeholders by (1) assessing the leadership styles that the Arizona Subsidized Child Care Program employs; and (2) examining the role key Arizona Subsidized Child Care Program's stakeholder organizations play in informing and influencing policy and funding decisions. This relationship is important for both the program and its key stakeholders in realizing their mutual goals and objectives.

While the program and its key stakeholders work collaboratively to address public policy and funding issues, the same can be said of the relationship (in regard to subsidized child care in Arizona) between the elected state representatives (Arizona Legislature and Governor) and the key child care stakeholders. The funding and policy decisions at that level dwarf those between the program and the key stakeholders in

regard to magnitude. As such, re-use of this study's methodology to explore the collaborative relationship and leadership styles between the elected representatives and key stakeholders may represent a fruitful area of potential future research.

Another avenue for future research would be the expansion of the study to other states (perhaps nationwide). This would allow for examination of the relationship and leadership styles exhibited between each state's Subsidized Child Care Programs (or elected representatives) and their key stakeholders. This approach may allow for more generalized research findings and conclusions and thus expand existing theory.

This study further suggests that changing leadership structure (to hierarchal from collaborative) may have a greater impact on the effectiveness of leadership than does staff turnover and fiscal reductions. Additional research should be pursued to examine this area of inquiry.

Future research should also incorporate both team member assessments plus independent assessments to ensure that collaborative leadership approaches are evaluated

comprehensively for enhanced theoretical understanding and development.

In addition, future research comparing various collaborative leadership research settings in regard to the degree of intrinsic vs. extrinsic rewards and its relative impact on short-term vs. long-term participant motivation and involvement would be valuable.

This study also called for additional research to explore ways to optimally incorporate collaborative leadership elements into the practice and theory of Democratic Network Governance.

#### Conclusions

One purpose of this study was to examine the Arizona Subsidized Child Care Program and its relationship with its stakeholders to determine the degree to which the relationship was collaborative in nature and the leadership style(s) that the program employs. The results of the study clearly indicate that the program/stakeholder relationship and the program's leadership styles are collaborative to a high degree. However, there may be opportunities previously discussed where collaborative leadership concepts can be more fully employed. By doing so, the program and stakeholders will be better able to achieve their shared objectives and goals.

Another purpose of the study was to make a contribution to the collaborative leadership literature. This was done in several ways. First, the TMLQ survey (Avolio & Bass, 1996) was used for the first time to test for the degree of collaborative leadership in regard to the relationship between the Arizona program and its key stakeholders. Second, the mixed-method research approach used in this study can now be reused or modified by other researchers to examine other child care programs/stakeholder relationships. Finally, the results of this study can be used as an initial benchmark for future research studies.

The results of the online survey showed high average scores for the 6 leadership factors that comprise collaborative leadership and low average scores for leadership factors that are not collaborative in nature. As such, the first research question was successfully addressed with confirmatory evidence that the leadership styles employed in the child care program and stakeholder relationship were collaborative to a high degree. In addition, the survey results showed a strong positive correlation between the evident collaborative leadership styles and participant perceptions of satisfaction, effectiveness, and extra effort.

The interviews were used to address the study's second research question. The participation level was not as high as planned due to state budgetary issues that have left 7 of the programs key leadership positions vacant. In addition, the participants were not as representative as anticipated, thus potentially skewing the interview results. As such, the researcher modified the focus of the interview questions to address an issue that arose from the online survey results. The researcher wanted to confirm and be able to explain the high levels of contingent reward that were evident in the survey results. The results of the interviews confirmed a high level on contingent reward in the program and stakeholder relationship. While the individual questions were solely related to contingent reward, the interviewees reported numerous instances of the other 6 leadership factors comprising collaborative leadership in their responses.

The purpose of the document analysis was also to address the second research question. The document analysis did confirm that collaborative leadership was evident in the relationship between the program and its stakeholders. However, the researcher believes that the results may be skewed upward as a result of using program prepared



documents rather than through direct observation by the researcher. While the results do indicate that collaborative leadership is evident in the relationship between the program and the stakeholders, the process of using program prepared documents did not report any instances of disconfirmatory evidence. As such, the researcher believes that future research initiatives would benefit from using direct observation by the researcher of the program staff and/or stakeholders as they interact to obtain a wider range of observed leadership behaviors, attitudes, and attributes.

Public organizations of all types are being asked to do more with less for a variety of reasons including shrinking budgets and the need to remain competitive and responsive to consumer and client needs. The Arizona Subsidized Child Care Program is not an exception to these pressures. They have seen dramatic reductions in financial and personnel resources. This study may provide insight on how they have been able to cope with these issues successfully.

Based on this study's findings, the program exhibits collaborative leadership concepts with its stakeholder network. This approach has been documented to be positively correlated with participant perceptions of satisfaction, extra effort, and

effectiveness. As such, the program and stakeholder resources have been leveraged through 'contingent reward' exchanges that benefit all participants. At this time, there is little likelihood that fiscal and/or staffing issues will improve significantly in the near term. Therefore, the programs continued use and development of collaborative leadership practices and concepts will be essential to maintain the goals and objectives of the program and its stakeholder organizations.

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APPENDIX A

CONFIDENTIALITY FORM

**RESEARCH STUDY FOR A DISSERTATION  
WRITTEN BY CARTER EUGENE SCITES  
THE ROLE OF COLLABORATIVE LEADERSHIP IN  
ARIZONA'S SUBSIDIZED CHILD CARE STAKEHOLDER  
NETWORK**

**CONFIDENTIALITY STATEMENT**

As a researcher working on the above research study at Arizona State University, I understand that I must maintain the confidentiality of all information concerning research participants. This information includes, but is not limited to, all identifying information and research data of participants and all information accruing from any direct or indirect contact I may have with said participants. In order to maintain confidentiality, I hereby agree to refrain from discussing or disclosing any information regarding research participants, including information described without identifying information, to any individual who is not part of the above research study or in need of the information for the expressed purposes on the research program.

\_\_\_\_\_  
Signature of Researcher

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Witness

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

APPENDIX B

COVER LETTER-SURVEY

COVER LETTER  
***The Role of Collaborative Leadership in Arizona's  
Subsidized  
Child Care Stakeholder Network  
A Dissertation Written by Carter Eugene Scites***

Date \_\_\_\_\_

Dear \_\_\_\_\_

I am a graduate student under the direction of Professor N. Joseph Cayer, PhD in the College of Public Programs in the School of Public Affairs at Arizona State University.

I am conducting a research study to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. I am inviting your participation, which will involve completion of an online standardized measurement instrument - the Team Multifactor Leadership Questionnaire (TMLQ). The TMLQ consists of 48 questions that measure team leadership style, effectiveness, and abilities. The TMLQ is very user-friendly and takes approximately 15 minutes to complete.

Your participation in this study is voluntary. You can skip questions if you wish. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

While there are no direct benefits for those who participate in the study, the study is valuable in that it will allow for assessment of the leadership styles between the Child Care Program and its stakeholders. Objectives of the study are to contribute to and expand the relevant leadership literature and to give program leadership general information potentially useful for development of future leadership strategies. There are no foreseeable risks or discomforts to your participation.

Your responses will be confidential. A web-based link to the TMLQ survey will be sent to each participant. The survey will be housed on the Mind Garden, Inc. web server (the publisher of the survey) and participant responses will be collected and stored in a secure electronic database. The results of this study may be used in reports, presentations, or publications but your

name will not be used. Results will only be shared in the aggregate form.

If you have any questions concerning the research study, please contact the research team at [carter.scites@asu.edu](mailto:carter.scites@asu.edu) or [joe.cayer@asu.edu](mailto:joe.cayer@asu.edu). If you have any questions about your rights as a subject/participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Completion and submittal of the questionnaire will be considered your consent to participate.

Sincerely,

Carter Eugene Scites

## APPENDIX C

### FINAL SAMPLE OF RECRUITMENT LETTER – SURVEY

Subject: The Role of Collaborative Leadership in the Arizona Subsidized Child Care Stakeholder Network  
From: invite@mindgarden.com  
To: Sample Participant <sample.participant@email.address>

The Role of Collaborative Leadership in the Arizona Subsidized Child Care Stakeholder Network  
A Dissertation Written by Carter Eugene Scites

Date: February, 17, 2010

Dear Sample Participant

I am a graduate student under the direction of Professor N. Joseph Cayer, PhD in the College of Public Programs in the School of Public Affairs at Arizona State University.

I am conducting a research study to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. I am inviting your participation, which will involve completion of an online standardized measurement instrument - the Team Multifactor Leadership Questionnaire (TMLQ). The TMLQ consists of 48 questions that measure team leadership style, effectiveness, and abilities. The TMLQ is very user-friendly and takes approximately 15 minutes to complete.

Your participation in this study is voluntary. You can skip questions if you wish. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

While there are no direct benefits for those who participate in the study, the study is valuable in that it will allow for assessment of the leadership styles between the Child Care Program and its stakeholders. Objectives of the study are to contribute to and expand the relevant leadership literature and to give program leadership general information potentially useful for development of future leadership strategies. There are no foreseeable risks or discomforts to your participation.

Your responses will be confidential. A web-based link to the TMLQ survey will be sent to each participant. The survey will be

housed on the Mind Garden, Inc. web server (the publisher of the survey) and participant responses will be collected and stored in a secure electronic database. The results of this study may be used in reports, presentations, or publications but your name will not be used. Results will only be shared in the aggregate form.

If you have any questions concerning the research study, please contact the research team at [carter.scites@asu.edu](mailto:carter.scites@asu.edu) or [joe.cayer@asu.edu](mailto:joe.cayer@asu.edu). If you have any questions about your rights as a subject/participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Completion and submittal of the questionnaire will be considered your consent to participate.

Sincerely,

Carter Eugene Scites

---

"Dear Sample Participant,

You have been invited by Carter Eugene Scites to rate your team with the Team Multifactor Leadership Questionnaire.

[Please click on this link to access the login page.](#) You can also use [http://www.mindgarden.com/welcome/2/1/SAMPLE\\_](http://www.mindgarden.com/welcome/2/1/SAMPLE_) in most email programs or by copying and pasting the link into your browser address bar.

If you are new to Mind Garden, you will be asked to create a password.

Use the email address to which this message was sent.

Please complete this rating by: **February 26, 2010**

If you have questions about this invitation, please contact Carter Eugene Scites ([carter.scites@asu.edu](mailto:carter.scites@asu.edu)).



If you have a technical problem, [please click on this link to contact Mind Garden](#).

Thank you,  
Mind Garden, Inc.  
[www.mindgarden.com](http://www.mindgarden.com)" (<http://www.mindgarden.com>)

APPENDIX D

FINAL SAMPLE OF RECRUITMENT LETTER – SURVEY FOLLOW-UP

Subject: Child Care Survey - Reminder and Revised Submittal Date

From: invite@mindgarden.com

To: Sample Participant <sample.participant@email.address>

The Role of Collaborative Leadership in the Arizona Subsidized Child Care Stakeholder Network  
A Dissertation Written by Carter Eugene Scites

Date: February, 24, 2010

Dear Sample Participant

Good news. The date for submittals has been extended through February 28, 2010. Your views are important and I hope you will participate in the survey. Please follow the instructions below to access and submit the survey. Completion and submittal of the questionnaire will be considered your consent to participate.

Sincerely,

Carter Eugene Scites

---

"Dear Sample Participant,

You have been invited by Carter Eugene Scites to rate your team with the Team Multifactor Leadership Questionnaire.

[Please click on this link to access the login page.](#) You can also use [http://www.mindgarden.com/welcome/2/1/SAMPLE\\_](http://www.mindgarden.com/welcome/2/1/SAMPLE_) in most email programs or by copying and pasting the link into your browser address bar.

If you are new to Mind Garden, you will be asked to create a password.

Use the email address to which this message was sent.

Please complete this rating by: **February 28, 2010**

If you have questions about this invitation, please contact Carter Eugene Scites ([carter.scites@asu.edu](mailto:carter.scites@asu.edu)).

If you have a technical problem, [please click on this link to contact Mind Garden](#).

Thank you,  
Mind Garden, Inc.  
[www.mindgarden.com](http://www.mindgarden.com)" (<http://www.mindgarden.com>)

## APPENDIX E

### INFORMATION LETTER – INTERVIEWS

INFORMATION LETTER-INTERVIEWS

***THE ROLE OF COLLABORATIVE LEADERSHIP IN  
ARIZONA'S SUBSIDIZED CHILD CARE STAKEHOLDER  
NETWORK***

**RESEARCH STUDY FOR A DISSERTATION  
WRITTEN BY CARTER EUGENE SCITES**

Date \_\_\_\_\_:

Dear \_\_\_\_\_:

I am a graduate student under the direction of Professor N. Joseph Cayer, PhD in the College of Public Affairs at Arizona State University. I am conducting a research study to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. The research questions to be answered: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature; and (2) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

I am inviting your participation, which will involve responding to a list of open-ended questions during an interview of approximately 15 to 30 minutes in length. With your permission, the interview will be recorded for later transcription. The list of questions is focused around the nature of collaborative relationship between the program and the key stakeholders. You have the right not to answer any question, and to stop the interview at any time.

Your participation in this study is voluntary. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

While there are no direct benefits for those who participate in the study, the study is valuable in that it will allow for assessment of the leadership styles between the Child Care Program and its stakeholders. Objectives of the study are to contribute to and expand the relevant leadership literature and to give program leadership general information potentially useful

for development of future leadership strategies. There are no foreseeable risks or discomforts to your participation.

All information obtained in this study is strictly confidential. The results of this research study may be used in reports, presentations, and publications, but the researchers will not identify you. In order to maintain confidentiality of your records, the research team of N. Joseph Cayer, PhD and Carter E. Scites will ensure that the survey responses will be collected and stored in a secure electronic database. Results will only be shared in the aggregate form.

The research team agrees to refrain from discussing or disclosing any information regarding research participants, including information described without identifying information, to any individual who is not part of the above research study or in need of the information for the expressed purposes on the research program.

I would like to audiotape this interview. The interview will not be recorded without your permission. Please let me know if you do not want the interview to be taped; you also can change your mind after the interview starts, just let me know. Electronic data, audio tapes, and transcripts (when applicable) will be destroyed within 3 years of the completion of the research study.

If you have any questions concerning the research study, please contact the research team at: Carter E. Scites (carter.scites@asu.edu, 520-568-0520) or N. Joseph Cayer (joe.cayer@asu.edu, 602.496.0451). If you have any questions about your rights as a subject/participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788. Please let me know if you wish to be part of the study.

APPENDIX F

INFORMED CONSENT



**CONSENT FORM**  
**ARIZONA STATE UNIVERSITY**  
***THE ROLE OF COLLABORATIVE LEADERSHIP IN***  
***ARIZONA'S SUBSIDIZED***  
***CHILD CARE STAKEHOLDER NETWORK***  
**A Dissertation Written by Carter Eugene Scites**

**INTRODUCTION**

The purposes of this form are to provide you (as a prospective research study participant) information that may affect your decision as to whether or not to participate in this research and to record the consent of those who agree to be involved in the study.

**RESEARCHERS**

Professor N. Joseph Cayer, PhD and PhD Candidate Carter Eugene Scites of the Arizona State University School of Public Affairs have invited your participation in a research study.

**STUDY PURPOSE**

The purpose of the research is to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. The research questions to be answered: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature; and (2) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

**DESCRIPTION OF RESEARCH STUDY**

If you decide to participate, then you will join a research study involving the (1) examination of the role key Arizona Subsidized Child Care Program's stakeholder organizations play in informing and influencing policy and funding decisions using interviews and document analysis; and/or (2) assessment of the leadership styles that the Arizona Subsidized Child Care Program employs using a standardized measurement instrument - the Team Multifactor Leadership Questionnaire (TMLQ). The TMLQ consists of 48 questions that measure team leadership style, effectiveness, and abilities.

Interviews will be conducted either face-to-face or via. phone call with the 15 top level program management staff. The

interviews are expected to be approximately 15 to 30 minutes in length, ask open-ended questions, and (with the permission of the interviewees) will be recorded for later transcription. The list of questions is focused around the nature of collaborative relationship between the program and the key stakeholders. The questions represent a sampling of questions provided in the TMLQ and have been adapted (i.e., rephrased to allow for open-ended responses) for the purposes of this study.

If you say YES, then your participation will last for between 15 thru 30 minutes at either: (1) 1789 West Jefferson Phoenix, Arizona; or (2) the site of our choice. You will be asked to complete the TMLQ survey (online survey). The Program Manager and the direct reports (15 top level management staff), will be also asked to: (1) be interviewed (in person or via. phone call); and (2) assist with preparation and compilation of relevant documents (for the document analysis). No more than 250 subjects will be participating in this study.

### **RISKS**

There are no known risks from taking part in this study, but in any research, there is some possibility that you may be subject to risks that have not yet been identified.

### **BENEFITS**

While there are no direct benefits for those who participate in the study, the study is valuable in that it will allow for assessment of the leadership styles between the Child Care Program and its stakeholders. Objectives of the study are to contribute to and expand the relevant leadership literature and to give program leadership general information potentially useful for development of future leadership strategies.

### **CONFIDENTIALITY**

All information obtained in this study is strictly confidential. The results of this research study may be used in reports, presentations, and publications, but the researchers will not identify you. In order to maintain confidentiality of your records, the research team of N. Joseph Cayer, PhD and Carter E. Scites will ensure that the survey responses will be collected and stored in a secure electronic database. Results will only be shared in the aggregate form.

The research team agrees to refrain from discussing or disclosing any information regarding research participants, including information described without identifying information, to any individual who is not part of the above research study or in need of the information for the expressed purposes of the research program. Electronic data, audio tapes, and transcripts (when applicable) will be destroyed within 3 years of the completion of the research study.

### **WITHDRAWAL PRIVILEGE**

Participation in this study is completely voluntary. It is ok for you to say no. Even if you say yes now, you are free to say no later, and withdraw from the study at any time.

Participation is voluntary and nonparticipation or withdrawal from the study will not affect your employment status. In the event you withdraw, any audio tapes (in the case of interview participants) will be immediately destroyed.

### **COSTS AND PAYMENTS**

The researchers want your decision about participating in the study to be absolutely voluntary. As such, there is no payment for your participation in the study.

### **VOLUNTARY CONSENT**

Any questions you have concerning the research study or your participation in the study, before or after your consent, will be answered by Carter E. Scites ([carter.scites@asu.edu](mailto:carter.scites@asu.edu), 520-568-0520) or N. Joseph Cayer ([joe.cayer@asu.edu](mailto:joe.cayer@asu.edu), 602.496.0451).

If you have questions about your rights as a subject/participant in this research, or if you feel you have been placed at risk; you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at 480-965 6788.

This form explains the nature, demands, benefits and any risk of the project. By signing this form you agree knowingly to assume any risks involved. Remember, your participation is voluntary. You may choose not to participate or to withdraw your consent and discontinue participation at any time without penalty or loss of benefit. In signing this consent form, you are not waiving any

legal claims, rights, or remedies. A copy of this consent form will be given (offered) to you.

Your signature below indicates that you consent to participate in the above study.

\_\_\_\_\_  
Subject's Signature                      Printed Name                      Date

\_\_\_\_\_  
Legal Authorized Representative      Printed Name      Date  
(if applicable)

**INVESTIGATOR'S STATEMENT**

"I certify that I have explained to the above individual the nature and purpose, the potential benefits and possible risks associated with participation in this research study, have answered any questions that have been raised, and have witnessed the above signature. These elements of Informed Consent conform to the Assurance given by Arizona State University to the Office for Human Research Protections to protect the rights of human subjects. I have provided (offered) the subject/participant a copy of this signed consent document."

Signature of  
Investigator \_\_\_\_\_  
Date \_\_\_\_\_

## APPENDIX G

### INTERVIEW QUESTIONS

## Interview Questions

The research questions to be answered: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature; and (2) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

The following list of questions is focused around the nature of collaborative relationship between the program and the key stakeholders. The questions are open-ended in nature. The interview will be approximately 15 to 30 minutes in length.

For each item below, please describe how the specific leadership attribute or behavior: (1) is generally employed in the relationship between the child care stakeholder groups and the Arizona Subsidized Child Care Program; and (2) impacts the overall effectiveness of the team (stakeholder groups and the program). (Bass and Avolio, 1996; p. 53-55)

Item #1: "specify for each other what are expected levels of performance."

Item #2: "provide each other with assistance in exchange for each member's effort."

Item #3: "clearly communicate what each member needs to do to complete assignments."

Item #4: [REDACTED]  
[REDACTED] [Editor's note: not presented for copyright reasons]

Item #5: "recognize member and/or team accomplishments."

## **Additional Information**

With your permission, the interview will be recorded for later transcription. You have the right not to answer any question, and to stop the interview at any time. The interview will not be recorded without your permission. Please let me know if you do not want the interview to be taped; you also can change your mind after the interview starts, just let me know. Electronic data, audio tapes, and transcripts (when applicable) will be destroyed within 3 years of the completion of the research study.

Your participation in this study is voluntary. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

If you have any questions concerning the research study, please contact the research team at: Carter E. Scites (carter.scites@asu.edu, 520-568-0520) or N. Joseph Cayer (joe.cayer@asu.edu, 602.496.0451). If you have any questions about your rights as a subject/participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

APPENDIX H

INTERVIEW SCORING SHEET



Category	Attribute, Skill, or Attitude	Negative Scores						Positive Scores																					
		-7	-6	-5	-4	-3	-2	-1	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
Contingent Reward	"specify for each other what are expected levels of performance."																												
Contingent Reward	"provide each other with assistance in exchange for each member's effort."																												
Contingent Reward	"clearly communicate what each member needs to do to complete assignments."																												
Contingent Reward	"recognize member and/or team accomplishments"																												

\*Avolio, Bruce J. & Bass, Bernard M. (1996; p. 53-55).

## APPENDIX I

### RECRUITMENT LETTER - INTERVIEWS

## RECRUITMENT EMAIL

I am a graduate student under the direction of Professor N. Joseph Cayer in the School of Public Affairs at Arizona State University. I am conducting a research study to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. The research questions to be answered: (1) Are the relationships between the key child care stakeholder groups and the Arizona Subsidized Child Care Program actually collaborative in nature; and (2) What leadership style(s) does the Arizona Subsidized Child Care Program, through its various managers, exhibit and are these styles truly collaborative?

I am recruiting individuals to participate in an interview consisting of several open-ended questions. The interview will be approximately 15 to 30 minutes in length. The list of questions is focused around the nature of collaborative relationship between the program and the key stakeholders.

Please let me know if you wish to be part of the study. Please respond to this email by March 8, 2010 at [carter.scites@asu.edu](mailto:carter.scites@asu.edu) to let me know if you would like to participate in the interview. If you agree to participate, I will contact you to schedule the interview.

With your permission, the interview will be recorded for later transcription. You have the right not to answer any question, and to stop the interview at any time. The interview will not be

recorded without your permission. Please let me know if you do not want the interview to be taped; you also can change your mind after the interview starts, just let me know. Electronic data, audio tapes, and transcripts (when applicable) will be destroyed within 3 years of the completion of the research study.

Your participation in this study is voluntary. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

If you have any questions concerning the research study, please contact the research team at: Carter E. Scites (carter.scites@asu.edu, 520-568-0520) or N. Joseph Cayer (joe.cayer@asu.edu, 602.496.0451).

APPENDIX J

RECRUITMENT LETTER – SURVEY

## RECRUITMENT EMAIL

I am a graduate student under the direction of Professor N. Joseph Cayer in the School of Public Affairs at Arizona State University. I am conducting a research study to examine the relationship between the Arizona Subsidized Child Care Program and its key stakeholders. I am inviting your participation, which will involve completion of an online standardized measurement instrument - the Team Multifactor Leadership Questionnaire (TMLQ). The TMLQ consists of 48 questions that measure team leadership style, effectiveness, and abilities. The TMLQ is very user-friendly and takes approximately 15 minutes to complete.

Your participation in this study is voluntary. The survey will be sent to your email address in a few days and will be addressed from Mind Garden, Inc. (the publisher of the survey). Completion and submittal of the questionnaire will be considered your consent to participate. You can skip questions if you wish. If you choose not to participate or to withdraw from the study at any time, there will be no penalty.

Your responses will be confidential. A web-based link to the TMLQ survey will be sent to each participant. The survey will be housed on the Mind Garden, Inc. web server and participant responses will be collected and stored in a secure electronic database. The results of this study may be used in reports,

presentations, or publications but your name will not be used. Results will only be shared in the aggregate form.

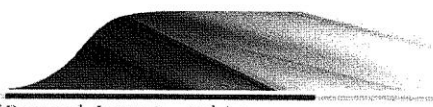
While there are no direct benefits for those who participate in the study, the study is valuable in that it will allow for assessment of the leadership styles between the Child Care Program and its stakeholders. Objectives of the study are to contribute to and expand the relevant leadership literature and to give program leadership general information potentially useful for development of future leadership strategies. There are no foreseeable risks or discomforts to your participation.

If you have any questions concerning the research study, please contact the research team at [carter.scites@asu.edu](mailto:carter.scites@asu.edu) or [joe.cayer@asu.edu](mailto:joe.cayer@asu.edu).

APPENDIX K

EXEMPTION GRANTED





Office of Research Integrity and Assurance

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**To:** N Cayer  
UCENT

**From:** *for* Mark Roosa, Chair *SM*  
Soc Beh IRB *STP*

**Date:** 02/11/2010

**Committee Action:** Exemption Granted

**IRB Action Date:** 02/11/2010

**IRB Protocol #:** 1002004785

**Study Title:** The Role of Collaborative Leadership In Arizona's Subsidized Child Care Stakeholder Network

The above-referenced protocol is considered exempt after review by the Institutional Review Board pursuant to Federal regulations, 45 CFR Part 46.101(b)(2) (4) .

This part of the federal regulations requires that the information be recorded by investigators in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. It is necessary that the information obtained not be such that if disclosed outside the research, it could reasonably place the subjects at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or reputation.

You should retain a copy of this letter for your records.

APPENDIX L

COPYRIGHT PERMISSIONS

To: Rights and Permissions  
M.E. Sharpe, Inc.  
80 Business Park Drive  
Armonk, NY 10504

From: Carter Eugene Scites  
44775 West Juniper Avenue  
Maricopa, Arizona 85139

Re: Permissions to use table

Hello,

I am currently working on my dissertation at Arizona State University. The dissertation is entitled: *The Role of Collaborative Leadership in Arizona's Subsidized Child Care Stakeholder Network*.

I would like to request permission to use and adapt a table (attached) in my dissertation from the book *Innovations in Public Leadership Development* by Ricardo Morse.

I have also provided the section in the dissertation where I discuss the adapted table for your review.

Thank you for your consideration,

Carter Eugene Scites  
genesctes@msn.com

To: Rights and Permissions  
M.E. Sharpe, Inc.  
80 Business Park Drive  
Armonk, NY 10504

From: Carter Eugene Scites  
44775 West Juniper Avenue  
Maricopa, Arizona 85139

Re: Permissions to use table

Hello,

I am currently working on my dissertation at Arizona State University. The dissertation is entitled: *The Role of Collaborative Leadership in Arizona's Subsidized Child Care Stakeholder Network*.

I would like to request permission to use and adapt a table (attached) in my dissertation from the book *The New Public Service: Serving Not Steering* by Robert and Janet Denhardt. The Denhardts are members of my dissertation committee.

I have also provided the section in the dissertation where I discuss the adapted table for your review.

Thank you for your consideration,

Carter Eugene Scites  
genescites@msn.com

# **Multifactor Leadership Questionnaire**

## **Third Edition Manual and Sampler Set**

Bruce J. Avolio and Bernard M. Bass  
University of Nebraska and SUNY Binghamton

Contributions by:  
Dr. Fred Walumbwa  
Weichun Zhu

University of Nebraska—Lincoln

Gallup Leadership Institute  
Published by Mind Garden, Inc.  
info@mindgarden.com  
www.mindgarden.com

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# **Team Multifactor Leadership Questionnaire Sampler Set**

**Manual, Team Answer Sheets, Scoring Key  
by Bruce Avolio and Bernard Bass**

Published by Mind Garden, Inc.

info@mindgarden.com  
www.mindgarden.com

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From: Mindgarden Report (orders@mindgarden.com)  
Sent: Sat 2/13/10 3:00 PM  
To: genescites@msn.com

Dear Carter Eugene Scites,

Welcome to Transform a web-based survey and assessment system by Mind Garden, Inc. ([www.mindgarden.com](http://www.mindgarden.com)). Your order for 150 TMLQ assessment(s) may be found on your Participant page after you log in. You will need to establish your identity (login) in Transform (if you haven't already done so). For this process, your User ID will be your email address; you will set your own password. To begin the login process, click on the following link:

<http://www.mindgarden.com/login/17578/12509>

You may need to copy and paste this URL into your web browser if clicking on the URL does not work. Once you get to your page, you can see your order added to the Licenses page. To enter your participants go to the Campaigns page and simply follow the tabbed instructions to complete the set-up and assessment process.

To return to Transform at any time, simply enter your e-mail address and the password you created to log back in.

<http://www.mindgarden.com/login/17578/12509>

Your email address is: genescites@msn.com

As always, we are available weekdays (US) to answer any questions you may have. Reach us by email by going to the "Contact" link on our website

<http://www.mindgarden.com/contact.htm>, or call us at 650-322-6300 (US Pacific).

Sincerely,  
The Mind Garden Team



**Title:** Mixed Methods Research: A Research Paradigm Whose Time Has Come  
**Author:** R. Burke Johnson, Anthony J. Onwuegbuzie  
**Publication:** EDUCATIONAL RESEARCHER  
**Publisher:** Sage Publications  
**Date:** 10/01/2004  
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User ID
<input type="text"/>
Password
<input type="text"/>
<input type="checkbox"/> Enable Auto Login
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**BACK** **CLOSE WINDOW**



## BIOGRAPHICAL SKETCH

Carter Eugene Scites II was born in Delaware, Ohio on June 5, 1958. Mr. Scites has obtained various academic achievements. Mr. Scites attended K-12 in the Delaware Ohio School System and graduated from Delaware Hayes High School during June 1976. Mr. Scites enrolled at Ohio State University during the fall of 1976 and later graduated with a Bachelors of Arts degree in Economics from Ohio State December 1981. Mr. Scites enrolled at Miami University of Ohio during 1988 and later graduated with a Masters of Business Administration during 1990. Mr. Scites enrolled at Arizona State University during 1994 and later graduated with a Masters of Public Administration during 1997. Finally, Mr. Scites enrolled at Arizona State University during 1998 and graduated with a Ph.D. in Public Administration during 2010. Mr. Scites was granted membership to the public administration academic honor society – Pi Alpha Alpha. Professionally, Mr. Scites has most recently served the State of Arizona government since 1991. Currently, Mr. Scites serves as an Administrative Services Officer with the Arizona Department of Economic Security's (DES) Division of Developmental Disabilities (DDD). Prior to his employment with DDD, Mr. Scites served as DES Child Care Administration's (CCA) budget Manager. Mr. Scites' Ph.D. dissertation entitled *The Role of Collaborative Leadership in Arizona's Subsidized Child Care Stakeholder Network* was inspired by his service with CCA.