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# A Framework for Leading the Transformation to Performance Excellence Part I: CEO Perspectives on Forces, Facilitators, and Strategic Leadership Systems

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*This is the first in a series of two articles that describe the results of a qualitative, multiple case study that used grounded theory methods based on in-depth interviews with 14 CEOs who led successful organization transformations resulting in recognition as a Malcolm Baldrige National Quality Award recipient. A framework for leading the transformation to performance excellence (LTPE) from the top is described. The LTPE framework consists of 35 concepts organized into five categories: forces and facilitators of change, leadership approaches, leadership behaviors, individual leader characteristics, and organizational culture. This article (part one of two) explores two of the five categories in depth: forces and facilitators of change and leadership approaches or system. The elements of each individual component are described along with supporting data, relationships to other components are explained, and linkages to theory are identified. While the leadership approaches form a strategic leadership system, several additional leadership theories are identified and discussed including transformational and transactional leadership, servant leadership, and spiritual leadership.*

*Key words: Baldrige Award, Criteria for Performance Excellence, drivers of change, grounded theory, leadership system, leading transformation, organizational learning, performance excellence, servant leadership, spiritual leadership, stakeholder value, strategic leadership, strategy deployment, sustainability, transformational leadership, upper echelon*

## INTRODUCTION

Since the quality crisis of the 1980s, organizations have faced unprecedented change in the areas of global competition, competition for talent, economic turbulence, and uncertainty, along with social and environmental challenges, forcing them to continuously rethink their strategies and redesign their methods for achieving sustainable success (Bartunek, Balogun, and Do 2011). Today, leaders are faced with investors (including donors and taxpayers) who are making risk assessments and investment decisions based on the sustainability of organizational performance (economic, social, and environment); customers who are making purchase decisions based not only on product and service quality but also organizational environmental and social performance; and potential employees who are choosing where to spend their working life based on all three. While the challenges are great, organizations and the methods they use to create value were designed by humans (consciously or unconsciously) and can be redesigned to create value for multiple stakeholders. The Malcolm Baldrige National

Quality Award Criteria for Performance Excellence (CPE) is a multistakeholder model that integrates the dimensions of economic, social, and environmental sustainability into the criteria requirements for strategy, operations, products, and services, and ultimately the enterprise scorecard (NIST 2011). However, achieving high levels of performance excellence is not easy. Over the last 20-plus years, fewer than 10 percent of the more than 1,000 applications for the Baldrige Award resulted in an award.

## PROBLEM AND PURPOSE

It is estimated that somewhere between 70 and 80 percent of the attempts at organizational transformation fail (Miller 2002). This begs the first question: What can one learn from those who have led successful organization transformations and achieved performance excellence? Not only is achieving performance excellence difficult, but maintaining high levels of performance and moving to even higher levels is challenging for the already high-performing organizations. In the summer of 2006 a “summit” meeting of executives from Baldrige Award recipients, academic researchers from a variety of universities, and the Monfort Institute was held to discuss the challenges that leaders of high-performing organizations face in maintaining high performance and achieving even higher levels of performance in a constantly changing world. For a full description of the process and results, see Latham (2008). While Baldrige recipient leaders, over time, figured out how to lead a successful transformation resulting in recognition as a Baldrige Award recipient, many thought they had not explicitly identified and defined the complete set of knowledge, skills, and abilities required to teach others how to lead the transformation, sustain the gains in performance, and ultimately lead the organization to even higher levels of performance. Consequently, the second question becomes: How do high-performing organizations develop a “pipeline” of leaders to sustain the gains and lead the organization to even higher levels of performance?

While there are thousands of studies on leadership in general, many of them summarized in Bass (1990), and a wide variety of leadership theories such as Burns and Bass’ Transformational Leadership, Fiedler’s Leadership Contingency Model, and Path-Goal Theory, to name just a few, the field has made little progress in converging on a reasonable number of theories that explain the majority of leadership phenomena (Hunt and Dodge 2000; Hunt 1999). While over time theories often go through a “winnowing down” process, the number of leadership theories has actually increased over the last 50-plus years (Glynn and Raffaelli 2010). Consequently, there is little consensus among practitioners and academics on what constitutes effective leadership (Gordon and Yukl 2004). In addition, most leadership research over the past 60 years has focused on lower-level supervisors and managers (Glynn and Raffaelli 2010; Gordon and Yukl 2004). There are a few exceptions, such as Donald Hambrick and others who have produced studies on upper-echelon theory that have helped people to understand how senior leaders influence organization performance (Hambrick and Mason 1984; Hambrick 2007). Unfortunately, large group interventions have not been the focus of academic researchers, and practitioners are often not aware of what few insights have been produced (Bartunek, Balogun, and Do 2011). In addition, the majority of leadership studies have been quantitative, with fewer than 15 percent using qualitative methods that can provide richer understandings and insights (Glynn and Raffaelli 2010). Many of these studies have been focused on finding “universally relevant predictors of effective leadership” and outcomes vs. understanding effective leadership processes in specific contexts (Gordon and Yukl 2004).

While there have been several research contributions addressing the Baldrige model and the importance of leadership (Flynn and Saladin 2001; Wilson and Collier 2000), and the role of transformational leadership on quality improvement (Laohavichien, Fredendall, and Cantrell 2009), little is known about the roles and styles of leadership

related to quality improvement (Jabnoun and Al-Ghasyah 2005; Luria 2008). Most of what is known about *how* to lead organization transformation from the top using the Baldrige Criteria for Performance Excellence (CPE) as a primary “tool” is limited to anecdotal experiences from some of those who have accomplished successful transformations, such as Spong and Collard (2009) and Ryan (2007). While there is experience and applied knowledge about leadership systems based on the CPE, the contextual factors, key elements, how it fits into the larger system, and so forth (Latham and Vinyard 2011), the relationships between the CPE criteria categories, including leadership (Prybutok and Cutshall 2004), and much is known about organization systems and systems thinking in general (Ackoff 2006; Senge 2006), little empirical evidence exists on the systematic combination of leadership and systems (Ackoff 1998). In addition, little is known about the interaction of the leader’s behaviors and individual characteristics with the leadership system and culture. More qualitative case studies focused on senior leaders are needed to better understand the practice of organizational transformation and the associated processes and practices of leadership (Gordon and Yukl 2004; Beck et al. 2010).

While many quasi-deductive qualitative studies begin with a detailed theoretical framework (Kreiner, Hollensbe, and Sheep 2009), in this case, it was not possible to identify the applicable theories and concepts in advance. Leading the transformation to performance excellence from the top is complex and, based on extensive experience, it appears to include numerous concepts from a large number of theories. The potential theories applicable to leading the transformation to performance excellence span numerous dimensions of management, from leadership, strategy, organizational learning, and organizational development to quality management, operations management, and performance measurement, to name just a few. The number of potentially applicable theories and concepts are simply too numerous and diverse to choose from in

order to form a theoretical framework in advance. Consequently, in this particular case it was not practical, appropriate, or desirable to develop a theoretical framework prior to data collection and analysis. In fact, the purpose of this study was to develop a framework that includes the forces and facilitators of change, leadership behaviors, leadership approaches and activities, individual leader characteristics, and cultural aspects required to lead a successful transformation to performance excellence guided by the Malcolm Baldrige National Quality Award Criteria for Performance Excellence.

The purpose of this multiple case study was to explore the experiences of strategic (upper echelon) leaders who successfully transformed their organizations in order to develop a richer understanding of the processes, practices, and behaviors required to lead large-scale transformations. The overall research design was a qualitative multiple case study that used grounded theory methods based on in-depth interviews with the senior most leader (CEO) of 14 Baldrige recipient organizations. According to Corbin and Strauss (1990, 5) “a grounded theory should explain as well as describe.” The purpose of this study was to take an initial step in developing a more comprehensive understanding, description, and explanation of the key concepts associated with leading the transformation to performance excellence from the top. The result of this exploration and analysis is a five-part framework for leading the transformation to performance excellence including the forces and facilitators of change, leadership approaches, leadership behaviors, individual leader characteristics, and organizational culture.

## METHODOLOGY

This multiple case study design (approach) followed the guidelines described by Eisenhardt (1989), augmented with advice from Eisenhardt and Graebner (2007) and Mintzberg (2005). The specific data collection and analysis methods used were inductive, grounded-theory, qualitative methods that allowed for a detailed exploration of the thinking, activities,

and behaviors involved in leading an organization transformation to performance excellence (Corbin and Strauss 1990). The initial focus of this study was to identify and explore the processes and behaviors used by CEOs to lead the transformation and determine how these processes and behaviors influenced the transformation. This initial, tentative focus evolved and was expanded as the study unfolded to include characteristics of the individual leader, organization culture, and forces and facilitators of change. Ultimately, five main research questions were addressed:

1. What are the key internal and external forces and facilitators for change and how do they influence the transformation to performance excellence?
2. What are the key upper-echelon leadership approaches (processes and activities) and how do they influence the transformation to performance excellence?
3. What are the key upper-echelon leadership behaviors and how do they influence the transformation to performance excellence?
4. What are the key upper-echelon individual leader characteristics how do they influence the transformation to performance excellence?
5. What are the key organizational culture characteristics and how do they influence the transformation to performance excellence?

Cases were chosen from the 49 organizations that received the Baldrige Award in the 10 years prior to the data collection. The Baldrige recipients all demonstrated sustained improvement trends that compared favorably with relevant comparisons in all key areas of a comprehensive enterprise scorecard. In addition, the maturity, deployment, alignment, and integration of their key processes (leadership, strategy, customer focus, people, operations, and information and analysis) were verified by a team of external examiners during a Baldrige Award site visit. The sample consisted of 14 cases chosen using a theoretical (purposive) sampling

strategy, as suggested by Eisenhardt (1989). First, the participants represented a variety of organization types including large manufacturing businesses, large service businesses, small businesses, healthcare organizations, and education organizations (both higher education and K-12). Second, the sizes of the organizations varied widely from between 50 and 100 employees to more than 10,000 employees (see Appendix Table A1). Third, cases were chosen from those Baldrige recipients that were active in the Baldrige Award Recipient's Consortium (BAR). The inclusion of multiple cases allowed each case to be examined individually and the concepts and codes that emerged from each case to be compared and confirmed (or not) by subsequent cases, thus permitting "replication logic" to increase external validity (Yin 1994).

The data collection instrument consisted of a flexible interview guide. The interview guide included the overall purpose of the study and the interview, as well as the interview questions. The CEOs were asked several large, open-ended questions all at one time at the beginning of the interview such as: a) Why did you start the journey? b) How did you lead the journey? c) What challenges did you face? d) What worked and what did not work? e) What did you learn along the way? The participants responded by telling their "story" of leading the transformation and the researcher asked follow-on questions during the dialogue to clarify key points and fill in any gaps needed to address the research questions. The discussions were audio recorded and transcribed verbatim, resulting in hundreds of pages of single-spaced text for analysis. The researcher then manually compared the transcripts with the recordings and revised the transcripts to ensure accuracy. Analysis began after the first interview and continued throughout the data collection process, as Corbin and Strauss (1990) suggest.

The transcript from each case was analyzed individually (within case analysis) using an inductive approach supported by NVivo8, a qualitative data analysis software package (Richards 2005) and visual data displays, as described by Miles and

Huberman (1994). As each case was analyzed and reanalyzed in what Eisenhardt (1989) describes as a “highly iterative process,” the coding structure emerged and more than 200 nodes/codes (concepts) were explored, modified, eliminated, and so forth during the analysis using a constant comparison approach along with open and axial coding (Corbin and Strauss 1990). Initially, the unit of analysis was each individual case. As the coding structure emerged, the unit of analysis became the concepts themselves (Corbin and Strauss 1990). Each concept earned its way into the framework by repeated occurrence within and across multiple cases. The number of occurrences for each concept by case is presented in the appendix. Cross-case analysis was used to compare and contrast within case findings and to identify additional patterns and common themes across the cases, explore relationships among the concepts, and confirm key themes, as well as identify anomalies among the cases (Yin 1994). Theoretical memos were used along with a research journal during this process to capture and keep track of the many concept descriptions and relationship explanations (Corbin and Strauss 1990). Eventually the individual concepts (codes) were organized into a framework consisting of five categories. The preliminary concepts, explanations, and relationships were then reviewed, revised, and verified by experienced practitioners and participants.

To help increase validity and reduce bias, preliminary findings, concepts, and relationships were reviewed by practitioners at BAR Consortium forums in New Orleans, LA and Cambridge, MA. Forum participants, leaders, and subject matter experts (SMEs) from Baldrige recipient organizations, provided feedback on the preliminary findings. The feedback was then incorporated in subsequent “rounds” of analysis. In addition, several participant CEOs reviewed the preliminary findings and provided their evaluation comments and additional insights, which were also integrated in subsequent iterations.

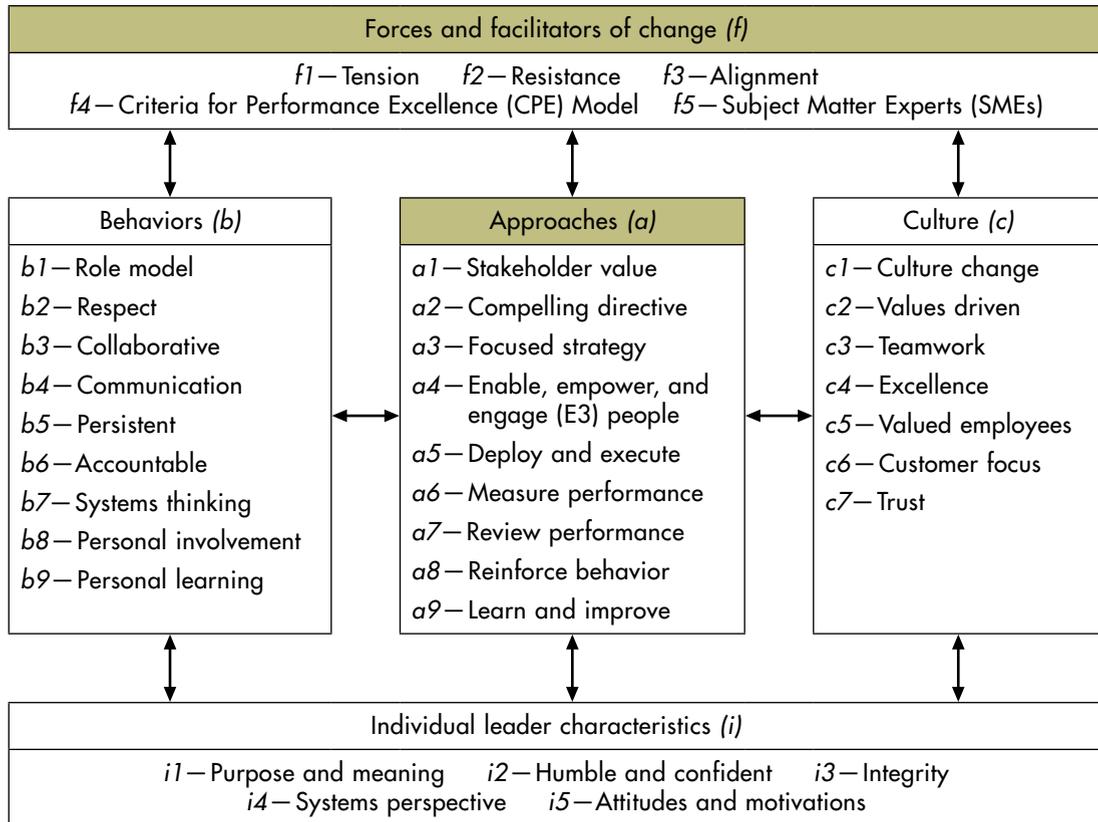
Once the framework was fully developed and grounded in the data and BAR discussions, the

concepts and conclusions were compared to concepts and theories in the extant literature as Eisenhardt (1989) suggests. Given the inductive nature of the grounded theory approach, the literature review prior to data collection and analysis was limited. Not only was the development of a theoretical framework in advance impractical as previously discussed, beginning with a strong theoretical framework when conducting this type of study creates additional bias and validity threats. Instead, the theories and concepts in the literature were “enfolded” during the analysis phase after the concepts were identified from the data. This helped ensure the concepts were truly “grounded” in the data and were not a result of the researcher consciously or unconsciously “stacking” the data based on a predetermined paradigm. In addition, Eisenhardt (1989) warns that while having fewer than four cases makes theory development difficult, more than 10 cases makes it difficult to deal with the amount and complexity of the data. Indeed, the combination of 14 cases with the scope of the project, to understand organization transformation from the CEO’s perspective, resulted in a lengthy process that involved numerous iterations prior to reaching a rather large number of complex and detailed conclusions. The analysis eventually produced a framework for leading the transformation to performance excellence (LTPE) that includes 35 interrelated concepts organized into five categories.

## LTPE FRAMEWORK

The framework for LTPE consists of 35 concepts organized into five categories: forces and facilitators of change (*f*); leadership approaches (*a*); leadership behaviors (*b*); individual leader characteristics (*i*); and organizational culture characteristics (*c*) (see Figure 1). There are numerous multidirectional connections between the categories and the concepts within each category. As Gordon and Yukl (2004) point out, “Causality is not unidirectional in leadership processes, and leader behavior can be a dependent variable as well as an independent

**Figure 1** Framework for leading the transformation to performance excellence (LTPE).



variable.” This article highlights the key relationships both among the concepts within each category as well as between concepts in other categories.

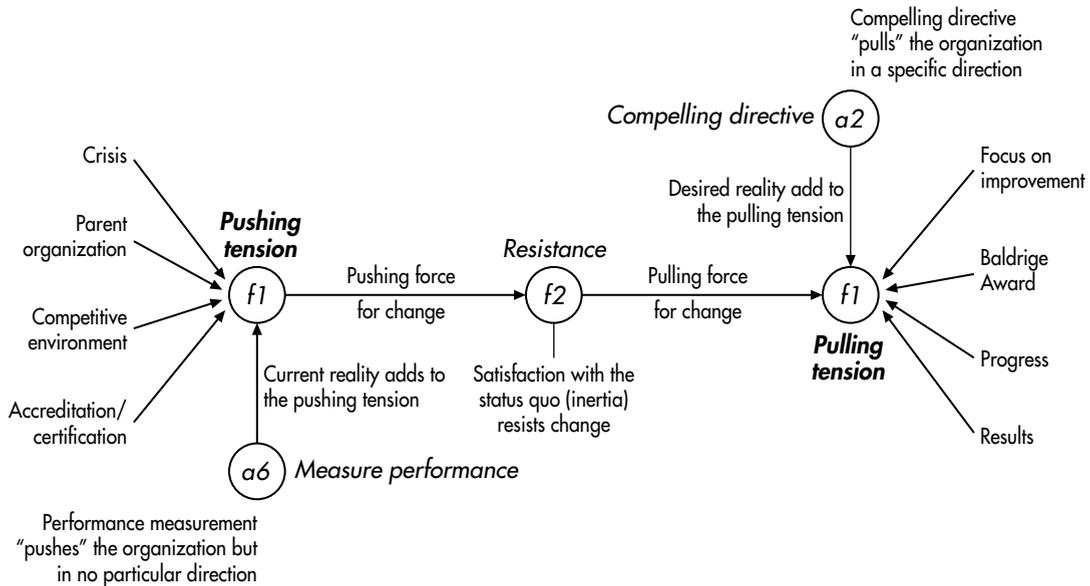
The five categories can be organized into two groups. The first group consists of the forces and facilitators of change combined with the leadership approaches or system (see boxes with dark highlighted headers in Figure 1). This first group could be called the “science” of leading transformation and is the focus of this article (Part I). The second group consists of the leadership behaviors, the individual leader characteristics, and organizational culture. This group could be called the “art” of leading transformation and is the focus of Part II. For each LTPE concept the article: a) describes the particular concept; b) discusses supporting data including representative quotes and frequency counts by case (see Appendix Tables A2-A4); c) explains linkages to

other components in the framework; and d) identifies linkages to selected theories and concepts in the literature.

## FORCES AND FACILITATORS OF CHANGE

The framework includes five forces and facilitators of change including: tension (*f1*); resistance (*f2*); alignment (*f3*); criteria for performance excellence (CPE) model (*f4*); and subject matter experts (SMEs) internal and external (*f5*). The number of times each concept was coded by case is depicted in the appendix (see Table A2). These five individual components work together to *push* and *pull* the organization and help facilitate the transformation process. The first concept creates the tension necessary to overcome organization inertia.

**Figure 2** Tension and resistance.



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## Tension ( $f1$ )

A variety of external and internal drivers combined to create tension in the organizations to overcome the inertia of status quo (see Appendix Table A3). While the specific drivers for each case varied in both intensity and type, all of the cases experienced pressure from several drivers for change. More than half of the cases experienced a *crisis* at some point in the journey. As one CEO described the situation, “the company was in a lot of trouble, they never had made any money, had a lot of discrimination claims against the company for sexual harassment and age discrimination, their customers didn’t like them, and they had negative net worth so it was in a tough situation.” Crises are common, and are often the result of complacency, as was the case with the quality and subsequent competitive crisis with Japan in the 1980s (Prahalad and Hamel 1990; Deming 1986). All too often organizations that were “superstars” at one time find themselves in a crisis (Drucker 1994).

More than half of the cases experienced pressure from a parent organization or oversight body such as the board of directors, the larger company or

organization, schools boards, and legislatures. The pressures came in a variety of forms including: a) CPE assessments as part of a larger companywide program; b) financial pressures from the parent organization as investor; and c) accountability pressure from school boards and legislatures. In some cases, such as the education sector, the pressures often come from a variety of stakeholders, including regulatory bodies, the legislature, parents, and so forth (Ruben 2007). Half of the cases experienced pressure from the competitive environment. The pressures from the competitive environment came in three forms: a) a rapidly changing environment; b) comparison to competitors; and c) the need to develop a competitive advantage. One CEO related his experience at an executive education course. “In each case study I saw our company versus the competition and I came back with the view that we were not going to make it. I came back as a maniac really saying we were going to have to dramatically change.” In addition, some experienced pressure from customers including customer surrogates (proxies) such as accreditation and certification agencies. The pushing or driving forces for change are often external “environmental forces such as

market, rival, technology change” (Ford and Evans 2001). These drivers of change combined to provide a *pushing* force on the organization (see Figure 2).

Slightly less than half of the cases indicated that simple dissatisfaction with status quo itself was a driver, or *pulling* force, for change. “I don’t want to just be a status quo CEO, I have never been status quo at anything, I wanted to do something” and “I am constantly looking for better ways to do things.” Nine of the cases identified a variety of intrinsic motivators that drove their improvement efforts. “I think a very important criterion in the pursuit of the Baldrige award, but more importantly the pursuit of continuous improvement, is sustainability in an institution and particularly sustainability in upper leadership of that institution.” Most of the cases indicated that their focus on improvement using the CPE (*f4*) was a driver for change. One CEO said, “I would always tell our leadership, you know it isn’t about winning an award because I had asked them who won the Super Bowl last year, who won the Super Bowl the year before—you know you can’t remember.” However, most of the cases indicated that the *award recognition* was a motivator. As one CEO put it, “When people asked, ‘Is it the award or is it getting better?’ I’d use the NHL example that because there is a Stanley Cup do people practice harder and try harder to win, and my thesis is yes they do.” Self-assessments based on the Baldrige Award CPE are typically linked to both internal and external drivers of change (Ford, Evans, and Matthews 2004). While Van Der Wiele et al. (2000) propose that there are many reasons for self-assessment that are consistent with the findings in this study, they note that in their study, the award was not a significant reason for conducting Baldrige-based self-assessments. However, consistent with the findings in this study, Wilkes and Dale (1998) did find that some organizations in their study were motivated by the award. For some of the cases the award was the motivator in the beginning, but after several assessment cycles, the motivation evolved into a focus on improvement. For example, when

talking about the first couple of award applications, one CEO said, “You know I can’t honestly say it was about getting better.” If the motivation doesn’t evolve into one focused on improvement, it can become a problem later on in the journey. However, as another CEO stated, “I think that obviously anybody who does it just for the award is going to be disappointed because you know that’s soon going to be forgotten.” Almost all of the cases indicated that *progress*, an increase in maturity (Baldrige score), and improved *results* were reinforcing drivers for continued change. As one CEO put it, “I would say roughly halfway through I became a believer.” For some, there seems to be a relationship between signing up the award process as a driver for change, and the desire to make progress each year. As the organization improves, the believability of the approach and eventual success increases, reinforcing the current strategy (Beckhard and Harris 1987).

In addition to the many drivers of change, the leaders also used two leadership approaches to create tension for change. The CEOs used comprehensive scorecard results (*a6*) to generate dissatisfaction with the status quo or current reality and a compelling vision of the future (*a2*) to articulate the desired reality. The difference between the current and desired realities created additional tension (Beckhard and Harris 1987). While the organizations experienced growing tension (*f1*) for change, they also experienced resistance (*f2*) at multiple levels in the organization.

## Resistance (*f2*)

The reactions to the drivers for change or tension (*f1*) were often defensive in nature and typically followed a sequence of emotions similar to the Elisabeth Kubler-Ross grieving cycle: denial, anger, bargaining, depression, and acceptance (Kubler-Ross 1997). Even several of the CEOs described this emotional cycle when they received their first (and sometimes subsequent) feedback report. It was only after they worked through this cycle and arrived at

acceptance that learning took place and improvements and progress were made. As one CEO noted, “My basic belief in people is that I would rather work with you and do everything I can to help you get through denial and get on the right track.” Resistance was mitigated by the collaborative (*b3*) nature of the approaches to change used by the leaders, a notion supported by Beckhard and Harris (1987). According to Ford and Evans (2006), the collaborative dialogue approach (*b3*) helped reduce the defensive routines by exposing and dealing with policies, practices, and actions that protect individuals from embarrassment or threat without reducing the pressure to change. However, Grover and Walker (2003) warn about the downside of too much dialogue and thinking and too little action or, in their words, “analysis paralysis.”

According to many researchers such as Bartunek, Balogun, and Do (2011) and Ford and Evans (2001), defensive routines are common and can adversely impact the organization’s ability to implement the changes necessary to achieve high performance. The ability to empathize with those who have to implement the many changes required for large-scale transformation and help them make that transition are key skills of the strategic leaders in general (Jarzabkowski 2008), transformational leaders (Vera and Crossan 2004), and servant leaders (Hays 2008). However, when transformational leadership didn’t work, the CEOs did resort to using a transactional leadership approach (Bass et al. 2003). As one CEO described it, “We are going to try it one year, if it doesn’t work we will go back to what’s not working now.” Unfortunately, some organizations have to “hit bottom” before they recognize the need for change (Fry and Cohen 2009). This was the case with a few of the participants that experienced a crisis. Fortunately, resistance is reduced as trust (*c7*) and communication (*b4*) increase (Bartunek, Balogun, and Do 2011). In addition, the resistance to change is also mitigated by the alignment (*f3*) of the various organization strategies, activities, measures, and incentives.

## Alignment (*f3*)

Alignment refers to the consistency and congruence of individual effort and activities with the overall direction, mission, vision, and values of the organization. This is achieved through consistency and congruence of leader behaviors, strategies, policies, processes, communications, culture, and incentives. When asked what they do would differently, several of the CEOs said, “I would align the organization sooner because that is where the real power was.” The alignment of individual, group, and organization values, goals, and so forth is a key aspect of transformational leadership (Bass 1990; Colbert et al. 2008), and according to spiritual leadership fosters “higher levels of employee well-being, social responsibility, and performance excellence” (Fry and Cohen 2009). Alignment has long been associated with competitive performance but it is easier said than done, as Beer and Eisenstat (2000) point out. In addition, as Ford and Evans (2000) note, the alignment of human resources, process, measures, and resources is a key part of strategy deployment and, according to Kaplan and Norton (1996), is enabled by a comprehensive scorecard (*a6*). The CPE (*f4*) provide a framework for the alignment and integration of key managerial processes and measures.

## CPE (*f4*)

The “journeys” to excellence were large-scale transformations based on the organizations’ strategic management cycles. The CPE were an influential part of that process providing both organizational diagnosis and intervention as well as improvement of the strategic management process itself, notions consistent with Ford and Evans (2000; 2001). While in all cases the CPE were a facilitator of change, the level of influence varied widely among the 14 cases, and in two cases the influence was much less than the other 12. In two cases the CPE were adopted late in the journey to excellence, and in both cases the CPE influenced the journey primarily

as a framework to integrate the existing managerial systems and improve the explicit description of the processes and results. Unfortunately, the overall transformation took approximately twice as long for the two cases that found the CPE late. In addition, research suggests that the CPE provide many benefits, such as helping to set the agenda for improvement, linkage of quality management efforts with business objectives, identifying of opportunities for improvement, and so forth (Van Der Wiele et al. 2000). As Ford, Evans, and Matthews (2004) note, the feedback based on an externally developed assessment model such as the CPE is often perceived as more credible. However, all of the organizations had help using the CPE (f5).

### SMEs (f5)

The CPE can be complex and difficult to apply. Consequently, the organizations in this study found internal and external SMEs to be useful facilitators of change. Internal SMEs helped the organization design and conduct meetings, conduct training, lead internal assessments including performance measurement systems, all of which are also identified by Ford and Evans (2001). All 14 CEOs used external consultants at some point during the transformation. The consultant roles and responsibilities varied widely from trainers of narrow topics and issues to specialists that help with technical issues such as measurement to executive coaches that helped the senior leaders guide the overall journey. Several of the CEOs noted that they could have figured everything out themselves given enough time and effort. However, the external consultants saved valuable executive time and helped “speed up” the transformation process. The use of external consultants, in particular current and former Baldrige examiners, is a common practice and is identified by Ford and Evans (2001) and Ford, Evans, and Matthews (2004). While there was not a case in this study where the leaders abdicated their leadership responsibilities, Beer and Eisenstat (2000) caution that the use of consultants can result in “management

avoidance” and “initiatives going astray.” They go on to note that consultants “cannot replace engaged leadership” (b8). Supporting this same notion, Ford and Evans (2006, 597) found that while many organizations have a chief quality officer (CQO) reports directly to the CEO, “relying on the CQO or lower-level individuals to facilitate the follow-up process often impedes effective follow-up.” The organizations in this study were driven to change by a variety of internal and external forces. All experienced resistance to change even when there was a crisis. These drivers and resistance forces were influenced by three key facilitators of change: organization alignment, a structured non-prescriptive model (CPE), and subject matter experts. These three facilitators of change were influential in the development and deployment of the nine systematic approaches to leading transformation.

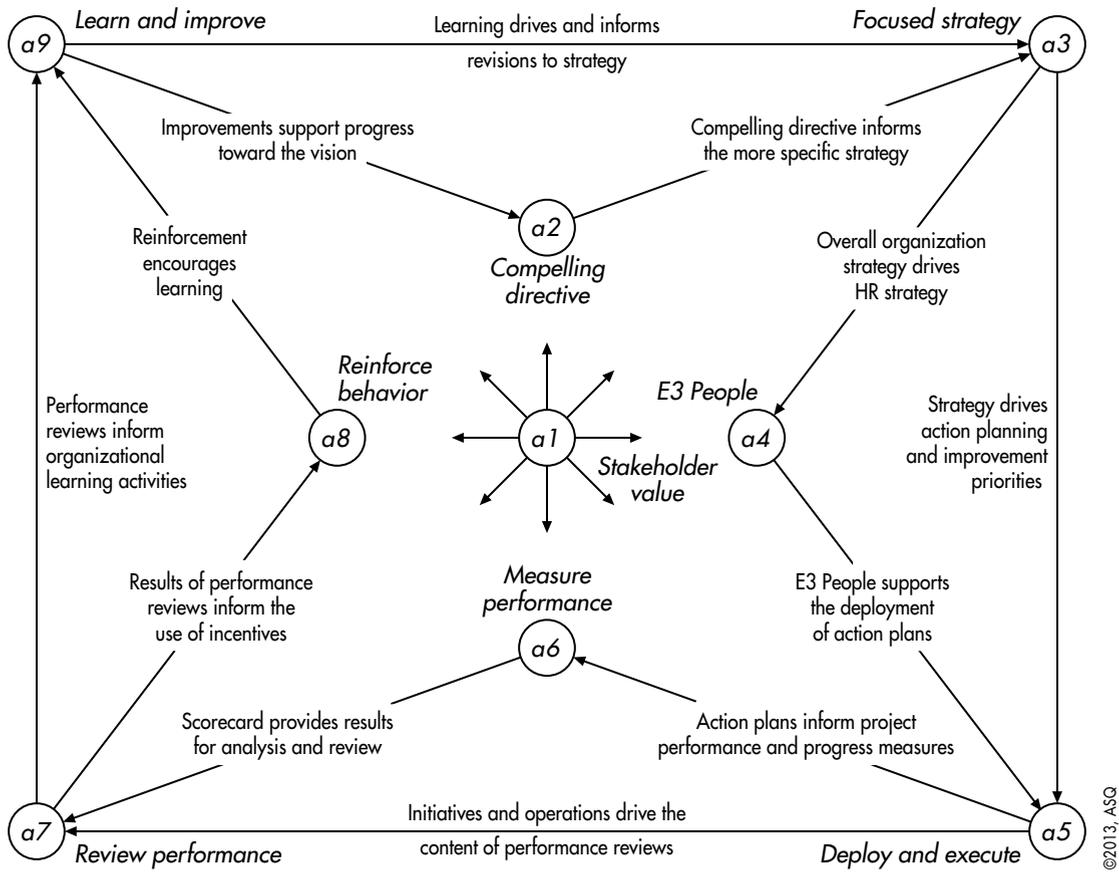
## LEADERSHIP APPROACHES

The LTPE framework includes nine systematic approaches (processes) used by the CEOs to lead the transformation. These nine approaches form the basis of an interconnected strategic leadership system (see Figure 3). For the number of codes by case for each of the nine approach concepts, see the Appendix (see Table A-4). While the nine leadership approaches are presented in sequence, actual use of these approaches was not linear. The strategic leadership system is instead a flexible framework where one can enter, move around, and exit following a wide variety of sequences.

### Stakeholders (a1)

Understanding stakeholder needs and building relationships enables the creation of value for multiple stakeholders by systematically identifying and communicating stakeholder needs to the other eight leadership approaches (a2-a9). Stakeholder groups identified in the analysis included: investors, customers, workforce, suppliers and partners, the community, and the environment. By far, the

Figure 3 “System” of leadership approaches.



most discussed groups were the customers and the workforce. Understanding the stakeholders’ needs enabled the development of strategies, decisions, and processes focused on creating value for multiple stakeholders (Post, Preston, and Sachs 2002; Sully de Luque et al. 2008). In addition, this component enhances the relationship with stakeholders through collaboration (b3) and communication (b4). For the participants in this study, this was not a “zero sum game,” but rather the leaders took a systems thinking (b7) approach to understanding the relationships among the various stakeholder groups. As one CEO described it, as employee engagement and satisfaction increased, “people turnover went down, our ability to make money increased, so we could give people bonuses and other things, our client satisfaction went way up, so job security went way up. And guess what? We get to renew these contracts.

When you renew the contracts, the people’s jobs are more guaranteed, so everything moved up.” There is a growing body of evidence that indicates creating value for multiple stakeholders is associated with higher organization performance, reputation, and financial performance, thus increasing the probability of long-term success (Parmar et al. 2010; Dahlgaard, Dahlgaard, and Edgeman 1998).

Stakeholder theory is not a new concept and has evolved since the first serious discussions in the 1970s and Freeman and Reed’s 1983 paper. Ireland and Hitt (1992) noted 20 years ago that the number of stakeholders and the pressure from each group is increasing, and according to Grant (2007) it continues to increase even more today. Several contemporary leadership theories include a focus on stakeholders. Bass (1990) links the creation of value for multiple stakeholders with transformational

leadership. In addition, the relationship between employees and the community is addressed by both servant leadership (Melchar and Bosco 2010) and spiritual leadership (Fry and Kriger 2009). Servant leadership assumes that if the employee stakeholder is taken care of they will take care of the other stakeholders (van Dierendonck 2011). For the participants in this study, the CPE (*f4*) ensured they addressed all stakeholders even if they were following a servant leadership approach. More recently, Freeman (2005, 429) points out the necessary connection with incentives (*a8*), “stakeholder firms will only be sustainable when leaders’ incentives encourage responsiveness to stakeholders and when stakeholder legitimacy can overcome society’s skeptical ideological legacy towards stakeholder management.” A systems perspective (*i4*) and thinking (*b7*) allowed the leaders in this study to understand the connection between stakeholder success and the bottom line, which was tied to their personal success and thus avoid the dilemma of a “zero sum game” (Parmar et al. 2010; Hillman and Keim 2001).

## Compelling Directive (*a2*)

The compelling directive describes the “desired reality” and consists of four key subcomponents including vision, mission, values, and meaningful work or purpose. A compelling directive was common to almost all the cases. In the one case where a compelling directive was not identified, the organization did have these components, but for some reason the CEO did not emphasize their use during the discussion on how he led the transformation. The compelling directives came in a variety of forms, from explicit statements to rich *thick* descriptions of the desired organization. The need for a clear and compelling vision to guide and motivate change is not new and has been identified by numerous researchers including Kotter (1995), Kouzes and Posner (2002), and Levin (2000), to name just a few. Ireland and Hitt (1992) identify the key roles and purposes of the mission statement. In fact, Ireland and Hitt (2005) propose this is a key role of the senior

leaders and they place the responsibility for the vision ultimately on the CEO. As one CEO noted, “I think that people need a powerful purpose and the leader has to be able to communicate that power. There is a purpose in what you’re doing and you’ve got to give people a reason for being. That’s number one.” A clear direction or vision of where the organization is going is a key aspect of transformational leadership as well as servant leadership (Smith, Montagno, and Kuzmeno 2004; Melchar and Bosco 2010) and spiritual leadership (Fry and Cohen 2009). The compelling directive is further operationalized by the focused strategy and associated goals (*a3*).

## Focused Strategy (*a3*)

The strategy translates the compelling directive into specific and prioritized goals and objectives that provide clear guidance to all organization members and key stakeholders. The process of strategy development is typically a senior leader responsibility and, in this case, the participants had difficulty separating their leadership system from the strategic management system. As one CEO noted, “I have done some presentations over the last year and when somebody asks me to talk about strategic planning, I say well, I will be glad to but I am also going to have to talk about leadership when I do that because you just can’t separate them.” Focusing on the “vital few” means one inevitably has to say “no” to a lot of good ideas. The need to focus on organization priorities and eliminate “pet projects” was identified by several participants as a key to the successful implementation of strategy. As one CEO said when asked about focus, “. . . then we had the sonic boom because now we have key people in all the processes working on what senior leadership and the company decided to do and those projects got done, and got done well, got integrated, got the results.” Once the focused strategy was developed, they communicated it throughout the organization (*b4*). “Then you need to tell your people and the constituents what you’re going to do, what are the boundaries and what are the goals and what are the plans,” a notion supported by Rowe (2001).

Strategy development is a common concept in many leadership theories. The development of shared goals is related to transformational leadership (Colbert et al. 2008; Mackenzie and Barnes 2007; Smith, Montagno, and Kuzmeno 2004) and clear goals, and direction is a key part of servant leadership (Smith, Montagno, and Kuzmeno 2004). In addition, challenging goals are part of Fry and Cohen's (2009) causal model of spiritual leadership. It was interesting that the CEOs in this study were unable to separate strategy and leading transformation. Ford and Evans (2000) propose that the integration of quality planning with business planning, beginning in the 1995 CPE, was an important and appropriate transition. However, Ford and Evans (2001) propose that it is important to differentiate between strategic change based on implementing the strategy and organizational changes resulting from self-assessment (process change). While the strategies of the 14 cases in this study reflect both types of change, the CEOs described them as being inextricably linked, a notion also supported by Van der Weile et al. (2000). The externally focused strategic change is directly enabled and made possible by the organizational or process changes resulting from self-assessment (*a9*). Focus, defined by clear priorities, is about making hard choices; about what to do, and maybe more importantly, what not to do (Beer and Eisenstat 2000). They go on to point out that you can't communicate clear guidance without clear priorities and, consequently, the workforce won't be able to help with the transformation (*a4* and *a5*). However, strategy is just wishful thinking without an enabled, empowered, and engaged workforce (*a4*).

### E3 People (*a4*)

The enable, empower, and engage (E3) people concepts include acquiring, placing, and developing talent (enabling), as well as empowering and engaging them to achieve the organization's strategy and mission. In addition, the majority of the participants described their approach to workforce satisfaction using a whole person approach vs. employees as

simply "cogs" in an organization, a notion supported by Handy (1994). All but one identified acquiring and placing the right talent in the right positions as key to a successful transformation. As one participant proposed, "screen, screen, screen, and then when you have screened everybody, voilà! You can have the NBA basketball championship. Do that and get very good at that and everything else kind of solves itself." As is evident in the previous concepts, this concept is a combination of strategic management and leadership (transformation, servant, and spiritual), and all three are supported by previous research. Developing human capital is a key role of strategic leaders, and the development of human resources plans that support the strategy is a key aspect of strategic management (Crook et al. 2011; Ireland and Hitt 2005; Ford and Evans 2000). This is not surprising given that research shows there is a clear connection between the selection, development, and engagement of employees and firm performance, including profit (Hatch and Dyer 2004; Harter, Schmidt, and Hayes 2002). A focus on developing and empowering the whole person is consistent with several contemporary leadership theories. The practice of focusing on the needs and development of the people is a fundamental aspect of transformational leadership (Avolio, Bass, and Jung 1999; Dvir et al. 2002; Mackenzie and Barnes 2007; Smith, Montagno, and Kuzmeno 2004). Providing opportunities for people to learn and grow and sharing power (empowerment) are key aspects of servant leadership (Smith, Montagno, and Kuzmeno 2004; Melchar and Bosco 2010; van Dierendonck 2011). In addition, altruistic love, hope, and faith are key components of a causal model of spiritual leadership (Fry and Cohen 2009). Several researchers have noted that the development and involvement of people is a key enabler of TQM and the associated process improvement methods (Fotopoulos, Psomas, and Vouzas 2010; Gutiérrez, Torres, and Molina 2010), and Sebastianelli and Tamimi (2003) identified it as one of the top five barriers to implementing TQM. It seems clear that the acquisition and development of human capital is essential to achieve and maintain high performance (Crook et al. 2011).

## Deploy and Execute (a5)

The concept of deploy and execute consists of two major elements: changing the business (goal deployment) and running the business (execution). The organizations spent more time on goal deployment (a5) than they did on goal development (a4). As one CEO noted, “So we are going to spend 20 percent of the time on strategy and 80 percent of the time on deployment. And if we say we are going to do something we are going to do it; we are going to do it world-class speed, and we are going to get it done, and we are going to get the results.” Most of the participant organizations developed an enterprise process model to help senior leaders understand the overall system of operations and assist in the deployment of goals. These enterprise process models were, as one participant put it, “a logical assembly of processes that you need to do to run your business.” To fully understand the operations as a system requires understanding the relationships among the various components, which requires the organization measure the key components.

While not explicitly part of transformational or servant leadership theories, translating and embedding the strategy in the daily processes and operations is a part of strategic leadership (Ireland and Hitt 2005). Ford and Evans (2000) propose that action plans are derived from strategy, and a systematic approach must exist for implementing (deploying) the action plans. Jarzabkowski (2008) calls this process “procedural strategizing,” which helps ensure persistent implementation of the new processes and practices. Senior leaders then support the deployment of improvement initiatives by providing resources and communicating (b4) their commitment to improvement (Foster, Howard, and Shannon 2002; Smith 2003). The assignment and alignment of adequate resources to support the initiatives, a strategic leadership responsibility, is critical to believability and subsequent action by the workforce (Beckhard and Harris 1987). In addition, productivity and the associated performance results are an explicit part of the causal model of spiritual

leadership (Fry and Cohen 2009). Once again, all of this is easier said than done, as Beer and Eisenstat (2000) point out. Tracking the progress of strategic initiatives and the impact on performance, as well as managing the day-to-day operations, requires a comprehensive enterprise scorecard (a6).

## Measure Performance (a6)

Measuring performance is composed of: a) comprehensive enterprise scorecard; b) feedback from stakeholders; c) results of the Baldrige-based assessments; and d) in several cases a scorecard specific to leadership. These enterprise scorecards were comprehensive sets of measures addressing the needs of key stakeholders including customers, products, service, operations, workforce, suppliers, and partner performance, as well as social responsibility and the environment. The analysis of the comprehensive measures enabled the leaders to understand the system and develop strategies to improve the larger system including partners on both ends of the value chain. In one case, the CEO said, “We took our concept of partnership excellence and began to sit down with our B2B customers and we would agree to strategy priorities, we would agree to goals, we would develop scorecards, and we would keep scorecards for the partnership.” In addition, several CEOs identified a leader scorecard as a mechanism for holding senior executives accountable for both actions and results. “We had a saying, ‘Your priorities are where your feet are,’ and that leadership scorecard measured all the aspects of leadership and literally gave you a grade.”

The CEO’s emphasis on a fact-based approach to leadership and management supported by a comprehensive scorecard is not surprising given that these are key aspects of the CPE (Ford and Evans 2000). While Kaplan and Norton (1992) go beyond the narrow perspective of financials, they do not go as far as the CPE, Parmar et al. (2010), and the participants in this study in expanding the scorecard to address multiple stakeholders. As organizations continue to face increasing pressure from a growing

number and type of stakeholders, the pressure to measure performance in these areas will also increase (Grant 2007). Transformational leadership concepts impact not only the performance of the individual leader's unit but also the performance of the organization as a whole (Mackenzie and Barnes 2007). In contrast, while servant leadership does propose that increasing awareness of the internal and external environments and performance improves a leader's performance (Greenleaf 1977), it does not explicitly address performance results of the organization. However, spiritual leadership does explicitly include organizational performance results in the causal model of spiritual leadership (Fry and Cohen 2009). The comprehensive scorecard enables fact-based enterprise performance reviews (a7).

## Review Performance (a7)

Organization performance reviews were a key part of the follow through to ensure the successful implementation of strategy. As one CEO put it, "You have to follow through; you can't just be a visionary. I used to think people would naturally follow me; I was wrong. I used to think I could just communicate and they will all jump in there and make it happen—that didn't happen." The performance review systems included both the near-term organization performance as well as longer-term progress toward the strategic goals. Systems thinking (b7) influenced the discussion of the performance results, helping the leadership team identify root causes and leverage points in the system. In addition, accountability (b6) was also a key behavior helping ensure progress. As one CEO noted, "We would report out on how we were actually performing in relationship to that plan that we had submitted the prior fall. So there was really accountability in place from a corporate perspective and ... of course, we tracked the results every month and so on." Reviewing performance is a widely accepted practice in most organizations. However, as Ford and Evans (2000) propose, the organization must have an approach

for monitoring organization performance related to the strategy. Many of the CEOs used a "stop light" visual display method to help increase the efficiency of the reviews. As one CEO said, "We had our strategic initiatives that we could track using green, red, yellow to see that we know right away if we're on track." In addition to transformational leadership, a transactional leadership style was an integral part of performance reviews, which included both management-by-exception and problem correction (Avolio, Bass, and Jung 1999), as well as systematic monitoring to prevent problems (Drucker 1994). Ford and Evans (2001) note that the findings from organization assessments can also be used to provide process-based performance information during organization performance reviews. In fact, Van Der Wiele et al. (2000) point out that because organization assessments are so time consuming, they should be linked and integrated with the existing planning and review process. The findings and conclusions from the performance reviews are a direct input into the processes and practices to reinforce behavior (a8).

## Reinforcing Behavior (a8)

The CEOs used a variety of processes and practices focused on: a) recognition and rewards; b) promotions; and c) in some cases removal or reassignment to reinforce the desired behavior. As one CEO put it, "You've got to make sure that the systems and tools are being used." The participants used a wide variety of methods and practices to recognize and reward the desired behaviors. In one case the CEO identified several practices including: "senior leader roundings, thank-you notes sent to employees' homes, standards of performance, behavior-based interviewing, peer interviewing, knowledgeable boards, employee communication sessions, team and empowerment ideas for excellence, reward and recognition. I mean each one of these things is a major initiative in of itself." To a lesser extent, four of the CEOs identified promotions (criteria, selection process, and so on) as a key to reinforcing the desired behavior. They proposed that

if they promote someone who is not “onboard” and supporting the transformation, everyone will know they are not serious. Six of the 14 CEOs had to force an employee, who was not making the changes necessary, to leave. As one participant noted, “So there was a very high expectation model ... we said we don’t do it that way here, here is what you need to do and after the third time [not following the prescribed approach], we just said, look you don’t need to be a leader here.” This could be what makes the difference between Baldrige organization success implementing strategy and the majority of organizations that develop strategy but fail to follow through and implement.

Research shows there is a clear link between rewarding excellent service and high-quality service to customers (Chuang and Liao 2010) and the importance of alignment (*f3*) of recognition and rewards with the desired behaviors in this case consistent with the mission, vision, values, and strategies of the organization (Martins and Terblanche 2003). The causal model of spiritual leadership includes aspects of membership such as the employees feeling that the organization appreciates their work (Fry and Cohen 2009). While the leadership style of CEOs in this study was heavily transformational, they did use some transactional methods in the form of contingent rewards (Avolio, Bass, and Jung 1999; Dvir et al. 2002). As Ling et al. (2008) point out, the discussion of transactional rewards has often been missing from research on transformational leadership, which they go on to note is interesting given how “performance-based incentives” are critical tools of any leader, a notion also supported by Mackenzie and Barnes (2007). In fact, Laohavichien, Fredendall, and Cantrell (2009) found that high-performing organizations had “significantly higher levels of both contingent reward and contingent punishment behaviors than unsuccessful firms.” In addition, Sebastianelli and Tamimi (2003) identified the lack of a connection between quality goals and executive compensation as “the most significant barrier to TQM.” Ling et al. (2008) go on to propose that the main difference between the two styles when

it comes to incentives may be the time horizon, with transformational leaders focusing on a longer time horizon than transactional leaders, a notion that is consistent with the focus of the CEOs in this study. Finally, it is not uncommon for people to apply for, and be chosen to join, organizations based on their “fit” (Berson, Oreg, and Dvir 2008). And at the same time, it is not uncommon for people to leave an organization if they cannot adapt to the new values and strategies of the organization (Berson, Oreg, and Dvir 2008). A key aspect of reinforcing behavior is the reinforcement of organizational and individual learning (*a9*), which are essential to transformation.

## Learn and Improve (*a9*)

All of the CEOs used four major learning and improvement methods: a) strategic management cycle; b) Baldrige CPE assessment cycle; c) one or more continuous improvement processes (for example, PDSA, Six Sigma, lean); and d) benchmarking. While there was evidence of both single- and double-loop learning, the majority of learning from these four methods was double-loop learning where governing variables were examined and practices, processes, and systems redesigned (Argyris and Schon 1996). The core learning and improvement process was the strategic management cycle itself. This cycle typically consisted of developing strategy, implementing strategy, reviewing progress, and making adjustments based on what was learned. According to Bunderson and Sutcliffe (2003), learning at the top influences strategic change, adaptation, and ultimately firm performance, and “great groups” at the top learn from a wide variety of sources and groups (Ireland and Hitt 2005). The other three learning processes supported the strategic management cycle with the strategy providing the focus and purpose for the CPE assessments, process improvement efforts, and benchmarking.

Comprehensive organization assessments have become a common tool for identifying organization strengths, opportunities for improvement, and maturity levels of key systems (Duncan, Ginter, and

Swayne 1998; Van Der Weile et al. 2000). As one CEO described it, “Every year we would do the assessment and then the feedback from this would go into our goal deployment planning process.” Organizational learning is a central aspect of the CPE and thus is a key element of self-assessments based on the CPE, which is a learning process itself (Benavent 2006; Ford and Evans 2001; Van Der Weile et al. 2000; Ruben et al. 2007). However, according to Ford and Evans 2006, one of the challenges organizations face is understanding the feedback from assessments, identifying leverage points, and taking coordinated action. In addition to the overall organization assessments, all of the participants in the study had at least one formal method for improving processes throughout the organization and in several cases, multiple approaches such as Lean Six Sigma. The internal process improvement efforts, as well as assessments and strategic management, were supported by an external benchmarking process. Learning from the external environment, markets, competitors, and so forth is a central task of strategic thinking and strategy development (Goldman 2007). While they all used some form of benchmarking to learn and improve, the methods varied from a formal structured benchmarking process to informal learning from others through organization visits, conferences, and so forth. As noted by the participants in this study, benchmarking can take on many forms, from professional affiliations with professional and trade associations (Ford, Evans, and Matthews 2004) to formal benchmarking processes (Camp 1995).

Transformational leaders provide intellectual stimulation that encourages the questioning of the status quo and the underlying assumptions (Avolio, Bass, and Jung 1999; Mackenzie and Barnes 2007). In addition, intellectual stimulation in support of learning is linked to a collaborative style (b3) (Vera and Crossan 2004). According to van Dierendonck (2011), servant leadership helps develop learning organizations where individuals feel safe to take risks and make mistakes, a condition necessary for learning. Ultimately, leadership

approaches and behaviors combined with the CPE enhance the group’s ability for double-loop learning (Benavent 2006, Ford and Evans 2001). In addition to leadership characteristics and the learning methods, there is the need for a supporting environment and culture (c5) characterized by high levels of trust (c7) (Ghoshal and Bartlett 1994), and teamwork (c3) and flexibility (Martins and Terblanche 2003). Learning is a continuous strategic process that constantly tests the theories of the firm to ensure success today, tomorrow, and into the future (Drucker 1994). These nine leadership approaches combine to create an interrelated strategic leadership system useful for transforming the organization from the top.

## CONCLUSION

This article discussed the forces, facilitators, and systems of change or the technical components that leaders use to lead transformation from the top. The nine systematic approaches form a strategic leadership system that influences and uses the forces and facilitators of change. Tension (f1) is created by the difference in the desired reality (a2) and the current reality (a6). Alignment is, in part, influenced by the alignment and integration of the systematic approaches, which is influenced by the use of the CPE (f4) and SMEs (f5), both of which help accelerate the journey to excellence. As some have pointed out, there isn’t anything in the CPE they couldn’t figure out by themselves from the multitude of existing organizational theories and “self-help” books available; however, the CPE and the SMEs helped determine what was important and how to do it much faster. One is reminded of an old saying, “time is money.” In addition, the nine leadership approaches can be used to help design a custom strategic leadership system that can be communicated and taught to leaders at all levels. For a more detailed discussion on leadership and management system design see Latham (2012). However, this is only half the story. While systems and forces for change are essential, they are *inert* without leaders

to bring them “alive.” In Part II of this article, the rest of the story will be unveiled and the LTPE concepts of leadership behaviors, individual leader characteristics, and organizational culture described, discussed, and explained. In addition, implications for theory and practice as well as limitations and recommendations for future research are discussed in detail in Part II (Latham 2013) in the next issue of *Quality Management Journal*.

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**BIOGRAPHY**

**John Latham** is director of the Monfort Institute and a Monfort executive professor of management at the Monfort College of Business (2004 Baldrige Award recipient), University of Northern Colorado. Latham has more than 35 years of experience working in and with a variety of commercial, nonprofit, and government organizations from Asia to Europe. He has had a wide variety of work experiences, from consulting on organization and management system design and change to vice president of corporate quality and business excellence for a \$1.3 billion manufacturing company with operations in 40 countries. He served nine years on the Malcolm Baldrige National Quality Award board of examiners and as a judge for the Colorado Performance Excellence, VA Carey, and Army Communities of Excellence awards. He earned a doctorate from Walden University in 1997 and an MBA from

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**APPENDIX**

**Table A1** Cases by industry sector and number of employees.

Industry Sector	# of Employees	# of Cases
Manufacturing	1,000–4,999	2
	5,000–10,000	1
Service	500–999	1
	5,000–10,000	1
	>10,000	1
Small business	50–499	2
Healthcare	1,000–4,999	1
	5,000–10,000	1
	>10,000	1
Education	50–499	1
	500–999	1
	1,000–5,000	1
Total		14

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**Table A2** NVivo codes by case: Forces and facilitators of change (f).

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	Total	Cases
f1	16	11	19	32	9	15	11	11	14	7	45	23	17	17	247	14
f2	4	2	5	13	1	2	2	0	6	2	10	6	4	4	61	13
f3	0	0	0	22	8	6	3	2	1	0	3	0	5	0	50	8
f4	1	1	5	5	3	12	5	1	2	7	7	1	6	11	67	14
f5	14	7	4	15	9	2	9	10	5	5	13	10	7	10	120	14

Cells in the table are the number of times that the particular code (f1 to f5) was coded in the verbatim transcript for the particular case (1 to 14).

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**Table A3** NVivo codes by case: Sources of tension *f1* (selected level 2 nodes).

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	Total	Cases
Crisis	2	3	0	2	0	0	1	1	0	0	0	2	1	1	13	8
Parent Org.	4	0	3	11	0	0	1	0	3	2	0	0	1	1	26	8
Comp. Env.	0	1	3	9	3	1	0	0	0	0	5	3	0	0	25	7
Customers	0	0	0	1	2	0	2	0	0	0	8	3	2	0	18	6
Accreditation	0	0	0	0	2	0	0	1	3	0	0	1	0	0	7	4
Focus on Imp.	4	0	5	3	0	4	4	1	2	0	5	4	1	1	34	11
Award	5	1	5	3	1	7	5	5	2	1	8	5	0	0	48	12
Progress	3	1	2	3	2	1	3	2	4	0	2	4	1	4	32	13
Results	6	7	4	10	2	1	4	3	5	3	2	3	4	7	61	14
# by Case	6	5	6	8	6	5	7	6	6	3	6	8	6	5		

Cells in the table are the number of times that the particular sub-code for the top-level code *f1* Tension was coded in the verbatim transcript for the particular case (1 to 14).

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**Table A4** NVivo codes by case: Leadership approaches (*a*).

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	Total	Cases
<i>a1</i>	19	12	1	53	11	4	4	2	20	6	13	4	24	4	177	14
<i>a2</i>	14	23	10	34	8	9	0	18	20	7	17	9	24	30	223	13
<i>a3</i>	18	27	29	69	23	16	7	5	14	6	37	16	20	33	320	14
<i>a4</i>	8	28	12	45	11	11	8	8	20	9	25	14	33	24	256	14
<i>a5</i>	3	13	7	28	18	9	9	5	4	3	5	17	9	5	135	14
<i>a6</i>	22	11	25	56	30	15	18	25	20	12	49	25	50	16	374	14
<i>a7</i>	1	20	10	38	15	5	3	0	3	2	7	9	17	14	144	13
<i>a8</i>	9	9	1	19	4	3	3	1	3	2	10	3	16	1	84	14
<i>a9</i>	12	26	27	77	28	17	17	29	30	16	43	30	36	29	417	14

Cells in the table are the number of times that the particular code (*a1*-*a9*) was coded in the verbatim transcript for the particular case (1 to 14).

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