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Leadership, Organizational Turnarounds, and Gil Hodges's 1969 New York Mets

John Rebecchi
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Walden University
2018

Abstract

Leadership, Organizational Turnarounds, and Gil Hodges's 1969 New York Mets

by

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MBA, New York Institute of Technology, 1983

BS, St. John's University, 1976

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Applied Management and Decision Science

Walden University

May 2018

Abstract

The impact of the 2008 global financial crisis, shifting market demands, and prolonged underperformance has forced organizations to devise and implement turnaround strategies or risk business failure. Researchers have pointed to the importance of leadership in the turnaround process, yet there are a limited number of research studies identifying characteristics of successful turnaround leaders. Using the full range leadership model, the purpose of this nonexperimental, ex post facto study was to examine the leadership style of Gil Hodges, manager during the 1969 New York Mets successful turnaround season and explore the organization's culture and climate. Data were collected using the Multifactor Leadership Questionnaire, Denison Organizational Culture Survey, and Organizational Climate Measure. A small response rate of 7 yielded low statistical power which led to treating the findings as exploratory. The findings suggest that Hodges's leadership showed strong transformational and transactional characteristics, and that the players perceived an agile organizational culture and a climate in which leaders stressed high levels of performance. Results from multiple linear regression analysis and Spearman correlations showed a strong positive relationship between transactional leadership and the consistency culture trait, yet no association between leadership and organizational climate. Findings also showed the adaptability culture trait had a strong positive influence on the pressure-to-produce climate dimension and a significant negative correlation with the effort dimension. The findings from this study may affect positive social change by providing insights into successful turnaround leadership styles and organizational strategies to support such efforts.

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Dedication

I dedicate this study to my family for their unwavering support and patience during my long journey. To my wife Patricia and our sons John and James for bringing so much joy to my life. Our family has grown since I started this program and now includes the next generation whose dreams should be audacious and spirits indomitable.

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I would like to acknowledge the players from the 1969 World Series Champion New York Mets, whose praise for Gil Hodges's leadership of the team at the Baseball Assistance Team dinner in 2012 inspired me to make him the subject of this study. I also want to acknowledge the support of my professors, especially Dr. David Banner, Dr. Steven Tippins, and Dr. Howard B. Schechter and to my fellow students, especially Dr. Susan Bishop for her help and support. To my brother, Dr. Mario Rebecchi for always inspiring me and helping me stick with it. I also could not have done this without the support and encouragement of my partners, employees, and friends who always asked about my studies and gently nudged me to the finish line.

Table of Contents

List of Tables	v
List of Figures	viii
Chapter 1: Introduction to the Study.....	1
Background of the Study	2
Problem Statement	4
Purpose of the Study	6
Research Questions	6
Theoretical Foundation	7
Nature of the Study	13
Definitions.....	14
Assumptions.....	15
Scope and Delimitations	16
Limitations	17
Significance of the Study	18
Significance to Theory	18
Significance to Practice.....	19
Significance to Social Change	19
Summary and Transition.....	20
Chapter 2: Literature Review	22
Literature Search Strategy.....	23
Theoretical Foundation	24

Literature Review.....	27
Overview of Leadership Theory	27
Situational Leadership	40
Full Range Leadership Theory.....	44
Organizational Change.....	54
Turnaround and Organizational Change.....	67
Turnaround and Organizational Leadership	70
Organizational Culture Theories.....	72
Organizational Culture Models.....	77
Organizational Climate	85
Summary and Conclusions	89
Chapter 3: Research Method.....	92
Research Design and Rationale	92
Methodology.....	94
Population Description, Sampling, and Sampling Procedure.....	94
Instrumentation and Operationalization of Constructs	97
Data Analysis Plan.....	105
Threats to Validity	109
Ethical Procedures	110
Summary.....	110
Chapter 4: Results	112
Data Collection	112

Study Results	114
Multifactor Leadership Questionnaire Survey Results: RQ 1	115
Denison Organizational Culture Survey Results: RQ 2.....	120
Organizational Climate Measure (OCM) Survey Results: RQ 3.....	125
Leadership Style and Organizational Culture: RQ 4	127
Leadership Styles and Organizational Climate: RQ 5	135
Organizational Cultural Traits and Organizational Climate: RQ 6	140
Summary	148
Chapter 5: Discussion, Conclusions, and Recommendations	151
Interpretations and Findings	153
Limitations of the Study.....	163
Recommendations.....	164
Implications.....	165
Conclusions.....	166
References.....	169
Appendix A: Permission to Use the MLQ-5X Rater Form	200
Appendix B: Permission to Include Sample Items From the MLQ-5X Rater Form in the Published Dissertation	201
Appendix C: Permission to Use the Denison Organizational Culture Survey.....	202
Appendix D: Denison Organizational Culture Survey	203
Appendix E: Permission to Use OCM Questionnaire.....	209

Appendix F: Permission to Use Core Dimensions of the Competing Values	
Framework	211
Appendix G: Permission to use the Denison Circumplex. Culture and Effectiveness Model, and Comparison of DOCS Score against the Denison 2015 Normative Database.....	213
Appendix H: Invitation to Participate Letter	214
Appendix I: Permission to use the Full Range Leadership Theory: Optimal Model.....	216
Appendix J: Permission to use the Ohio State Leadership Quadrants Figure and The Situational Leadership® Model Figure	218
Appendix K: Permission to use Boyd’s Five Stage Turnaround Model.....	219

List of Tables

Table 1. Boyd’s Five Stage Turnaround Model.....	69
Table 2. 1969 New York Mets Players and Coaches.....	95
Table 3. MLQ-5X Rater Form Statements Divided into Leadership Styles and Outcome Scales	99
Table 4. Denison Organizational Culture Questions Divided into Traits and Underlying Dimensions	100
Table 5. OCM Dimensions and Sample Statements Included in this Study.....	104
Table 6. MLQ-5X Rater Form Summary Statistics for Leadership Styles.....	116
Table 7. MLQ-5X Rater Form Summary Statistics Transformational Leadership Subscales.....	117
Table 8. MLQ-5X Rater Form Summary Statistics Transactional Leadership Subscales.....	118
Table 9. MLQ-5X Rater Form Summary Statistics Laissez-faire Leadership Subscales	118
Table 10. Descriptive Statistics from Published Norms for MLQ-5X Rater Form Subscales.....	119
Table 11. DOCS Summary Statistics for Denison Organizational Culture Traits.....	121
Table 12. DOCS Summary Statistics for Involvement Organizational Trait Subscales..	121
Table 13. DOCS Summary Statistics for Consistency Organizational Trait Subscales ..	122
Table 14. DOCS Summary Statistics for the Adaptability Trait Subscales.....	123
Table 15. DOCS Summary Statistics for the Mission Trait Subscales.....	123
Table 16. OCM Summary Statistics for Climate Dimensions	126

Table 17. Variance Inflation Factors for Transformational, Transactional, and Laissez-faire	128
Table 18. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Mission.....	129
Table 19. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Consistency	130
Table 20. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Involvement	131
Table 21. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Adaptability	132
Table 22. Spearman Correlation Matrix Among Transformational, Transactional, Laissez-faire, Mission, Consistency, Involvement, and Adaptability	134
Table 23. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Pressure	136
Table 24. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Performance	137
Table 25. Results for Linear Regression With Transformational, Transactional, and Laissez-faire Predicting Effort	138
Table 26. Spearman Correlation Matrix Among Transformational, Transactional, Laissez-faire, Pressure, Performance, and Effort.....	140
Table 27. Variance Inflation Factors for Mission, Consistency, Involvement, and Adaptability.....	142

Table 28. Results for Linear Regression With Mission, Consistency, Involvement, and Adaptability Predicting Pressure.....	143
Table 29. Results for Linear Regression With Mission, Consistency, Involvement, and Adaptability Predicting Performance.....	144
Table 30. Results for Linear Regression With Mission, Consistency, Involvement, and Adaptability Predicting Effort.....	145
Table 31. Spearman Correlation Matrix Among Mission, Consistency, Involvement, Adaptability, Pressure, Performance, and Effort	147

List of Figures

Figure 1. Core dimensions of the competing values framework	11
Figure 2. The Ohio state leadership quadrants.....	36
Figure 3. Situational leadership® model	42
Figure 4. Full range leadership theory: Optimal model.....	46
Figure 5. The Denison organizational culture model.....	82
Figure 6. The DOCS circumplex	101
Figure 7. Comparison of DOCS scores against Denison Consulting 2015 Normative Database	124
Figure 8. Scatterplot matrix among transformational, transactional, laissez-faire, mission, consistency, involvement, and adaptability	133
Figure 9. Scatterplot matrix among transformational, transactional, laissez-faire, pressure, performance, and effort.....	139
Figure 10. Scatterplot matrix among mission, consistency, involvement, adaptability, pressure, performance, and effort	146

Chapter 1: Introduction to the Study

Modern businesses are often confronted by complex and challenging issues that, without adequate leadership and strategies, threaten their survival. This includes the rapid pace of business and technological change and an increasingly competitive environment for most industries, which has made it difficult for business leaders to reorient their organizations to stay economically viable (Abebe, 2012; O’Kane, 2006; Panicker & Manimala, 2015). In 2017, there were over 23,157 business bankruptcy filings in the United States, which reflects a decline from 24,735 in 2015 and 24,114 in 2016 (U.S. Courts, 2018, 2017, 2016). Although the total number of filings has declined since 2015, the number of Chapter 11 filings has grown to 6,350 in 2017 from 6,174 in 2016 and 6,130 in 2015 (U.S. Courts, 2018, 2017, 2016). These statistics point to a growing number of businesses attempting a turnaround to sustain their existence. Companies that experience extended periods of underperformance or substantial losses require organizational turnaround actions that stabilize the situation and lead to recovery (Panicker & Manimala, 2015).

The skills and abilities of leaders that have brought past success may not be appropriate when attempting to implement a turnaround. Several researchers point to the importance of leadership in accomplishing a successful organizational turnaround, yet many leaders lack the understanding and skills to execute such plans (Abebe, Angriawan, & Ruth, 2012; Abebe, Angriawan, & Yanxin Liu, 2011; Boyd, 2011). In this ex post facto, nonexperimental, quantitative study, I explored the leadership and other organizational dimensions that led to a dramatic turnaround of an underperforming

organization. The subject of the study was Gil Hodges's leadership of the 1969 Major League Baseball champion New York Mets, which went from being one of the worst teams in baseball to win the World Series in a single season.

This study was intended to add to the body of knowledge that can be used by leaders to execute successful organizational turnarounds. In this chapter, I will provide the background, problem statement, purpose, and research questions that I used for the study. This section is followed by the theoretical framework, which is the lens through which I focused the study, and the nature of the study along with assumptions, definitions, scope, limitations, and its significance.

Background of the Study

After 7 years of last place finishes and losing seasons, the 1969 Mets became World Series champions. Despite this dramatic turnaround, I have not found any research studies about the team's leadership or other organizational dimensions that led to the change. In this study, I sought to provide insight into the leadership style, organizational culture, and climate of the 1969 New York Mets baseball team during the successful turnaround led by Gil Hodges.

There are a number of leadership characteristics that can be found in leaders of both business and nonbusiness organizations. Although the subject of this study was a sports team leader, several researchers have pointed to the generalizability of leadership theories to both sports and business, and the application of sports leadership and organizational strategies across various organizational domains (Adcroft & Teckman, 2008; Burnes & O'Donnell, 2011). Despite the exchange of economic metrics for those

measurements that are sports related, successful business and sports leaders often share many common characteristics. Research has shown that successful sports leaders have strong communication skills, are skilled at adapting their leadership style to individual and situational variables, and are focused on training and preparation, player development, and improving organizational performance (Adcroft & Teckman, 2008; Burnes & O'Donnell, 2011). These leadership attributes share many of the leadership and organizational dimensions seen in business leadership studies (Burnes & O'Donnell, 2011).

The conditions and variables that cause organizational decline and the necessity to develop appropriate action plans can place significant demands on organizational leaders. The connection between leadership and effective organizational turnarounds is well documented in the current literature, yet several researchers have acknowledged the lack of studies examining leadership's role in implementing successful turnarounds and the additional benefit such studies would provide to potential turnaround leaders (Lohrke, Bedeian, & Palmer, 2004; O'Kane & Cunningham, 2014a; Panicker & Manimala, 2015). The complexities of a turnaround require a leader to assess existing conditions and make changes to various organizational dimensions such as structure, culture, and climate (Abebe, 2009; Boyd, 2011; Day & Moorman, 2013). The implementation of such changes, which may not be within the experience of existing leaders, will necessitate the acquisition of new skills and an understanding of the experience of others in this situation.

Organizational turnarounds frequently require existing leaders to adapt and change to match the current circumstances. As noted by Abebe (2009), understanding causation and defining new strategies will often require leaders to adopt new skills, adjust leadership style and focus, and execute plans under the pressure of limited time and resources. Turnaround strategies apply not only to financially distressed companies but also to mature companies in decline or those failing to adapt to shifting markets (Day & Moorman, 2013; Yandava, 2012). At the heart of executing a successful turnaround is a leader's ability to take necessary actions to improve performance rapidly.

Stakeholders in a failing organization expect leaders to take decisive action to make the necessary changes to achieve stability and create a new direction. The change process in a turnaround compresses the time frame for completion, yet includes most of the central elements found in organizational change models (Boyd, 2011). These include communicating a compelling vision, setting goals, and implementing new strategies that create preferred new behaviors, actions, and activities that will alter the trajectory of the organization (Boyd, 2011). Such changes have a profound impact on both an organization's culture and its climate, which are often aligned with organizational outcomes (Patterson et al., 2005; Schein, 2010). Understanding successful turnaround leadership style and connecting that with the types of culture and climate that are manifested during this process may aid in guiding future turnaround leaders.

Problem Statement

The 2008 global financial crisis, rapidly changing economic conditions, and unstable markets have caused a decline in many businesses (O'Kane & Cunningham,

2012; Panicker & Manimala, 2015). In the United States, over 76,000 companies filed Chapter 11 protection during the calendar years 2009 to 2017 (U.S. Courts, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017, 2018), which allowed those companies an opportunity to reorganize their debts and engage in a turnaround. During the years following the 2008 financial crisis, the annual number of Chapter 11 filings increased significantly from 5,736 in 2007 to a high of 13,683 in 2009 and fell steadily to 6,093 in 2014 (U.S. Courts, 2008, 2010, 2015). Since 2014, the number of filings per year has increased and in 2017 reached 6,350 (U.S. Courts, 2018). According to many researchers, leadership is the essential driver behind changing the trajectory from decline to recovery (Abebe et al., 2012; O’Kane & Cunningham, 2014a). Turnaround leaders are often faced with limited time and resources to implement necessary changes and align the organization behind the process.

Leadership’s impact on organizational transformation and leadership styles has been extensively researched, yet few studies have focused on its impact during successful organizational turnarounds (Lohrke et al., 2004; O’Kane & Cunningham, 2014a; Yandava, 2012). The general problem is that many failing businesses lack the leadership to execute a rapid turnaround to sustain their existence. The specific problem is that the role of leadership in successful organizational turnarounds and its connection to organizational culture and climate to support such efforts has not been adequately explored.

Purpose of the Study

The purpose of this ex post facto, nonexperimental, quantitative study was to explore and describe the leadership characteristics employed by Gil Hodges during the successful single-season turnaround of the 1969 New York Mets and examine the team's culture and organizational climate. I explored Hodges's leadership through the lens of Bass and Avolio's (1994) full range leadership theory (FRLT), which is a construct of three principal leadership types: transformational, transactional, and laissez-faire (the absence of leadership). In analyzing the organization's culture, I used Schein's theory of organizational culture (1983), and for the organization's climate, I utilized the CVT (CVT; Quinn & Rohrbaugh, 1983) as applied by Patterson et al. (2005).

Ex post facto research designs are used to analyze events that have already occurred and therefore variables cannot be manipulated (Adigwe & Oriola, 2015). In this study, the dependent variable was the 1969 Mets' successful organizational turnaround, and the independent variables were organizational leadership, organizational culture, and organizational climate. The independent variables represent what several researchers have pointed to as critical organizational dimensions in a turnaround (Bibeault, 1998; Boyne, 2006; Harker & Sharma, 2000; Panicker & Manimala, 2015; Schneider, Ehrhart, & Macey, 2013). The results of this study may provide insights into leadership styles and the type of organizational culture and climate used in a successful turnaround, which may support the efforts of future turnaround leaders.

Research Questions

The following research questions guided this study:

RQ1: What leadership style most reflects how Hodges led the New York Mets during their 1969 turnaround season?

RQ2: What type of culture did Hodges instill in the team that led to a successful organizational turnaround?

RQ3: What type of organizational climate existed during Hodges's leadership of the 1969 New York Mets?

RQ4: What is the direction and strength of the correlation between Hodges's leadership style and the type of organizational culture that existed in the 1969 New York Mets during their organizational turnaround?

RQ5: What is the direction and strength of the correlation between Hodges's leadership style and the type of organizational climate that existed in the 1969 New York Mets during their organizational turnaround?

RQ6: What is the direction and strength of the correlation between the type of organizational culture and organizational climate that existed in the 1969 New York Mets during their organizational turnaround?

Theoretical Foundation

Leadership is multifaceted, and for most leaders, it is a collection of styles that are captured in their idiosyncratic profile. A number of theorists have viewed leader effectiveness as contingent upon certain situational variables in relation to leadership style. The contingency theory of leadership, developed by Fiedler (1971), described leadership style as either relationship-oriented or task-oriented behavior and the situational variables included leader authority or power, task structure of the group, and

leader-member relations. Fiedler (1971) posited that the relationship of a leader's style to the situational variables could be used as a predictor of leader effectiveness. Contingency theory models evolved with the situational leadership theory developed by Hersey and Blanchard (1972). The situational leadership theory provides for adaptive leadership orientation (task versus relationship) relative to follower readiness, which was described as the level of alacrity demonstrated by organizational members toward goal achievement (Hersey, Blanchard, & Johnson, 2008). Through the lens of situational leadership theory, effective leadership is a multidimensional construct contingent on follower and organizational characteristics.

The principal leadership theory underlying this study is the FRLT developed by Bass (1985), which was later modified and advanced by Bass and Avolio (1994). FRLT is a construct of three principal leadership types: transformational, transactional, and laissez-faire, and depending on a number of factors, leaders exhibit varying degrees of potency in each leadership type (Avolio & Bass, 2001). According to Bass (1985), an individual's leadership profile is reflected in a dynamic movement along a path marked by different components of each leadership type.

To guide and influence an organization, a leader will adopt aspects of one or more leadership styles to connect with the organization's members and align them with the organization's objectives. According to Bass (1999), a leader will use aspects of both transformational and transactional leadership but will lean toward one over the other. The components of FRLT are drawn along a gradient that runs from laissez-faire, crossing into transactional leadership, and moving on to various aspects of transformational

leadership (Bass & Avolio, 1994). Bass (1985) saw transformational leadership as a multidimensional construct that considers the behaviors and attributes of the leader and the resulting impact on followers. The dimensions of transformational leadership are characterized as the *five I's* defined as *idealized attributes and behaviors, inspirational motivation, intellectual stimulation, and individualized consideration* (Avolio & Bass, 2004; Verlage, Rowold, & Schilling, 2012). The transformational leader seeks to achieve organizational objectives while enhancing work satisfaction for his or her members. To achieve this, transformational leaders combine the various dimensions into creating an inspiring and compelling vision with a challenging yet fulfilling work environment.

Another component of FRLT is transactional leadership, in which leaders attempt to guide follower performance with a reciprocal exchange. Bass (1985, 1999) saw transactional leadership influence follower behavior through the use of contingent rewards and management-by-exception in either active or passive role. *Management-by-exception active* is a corrective approach, which prescribes that leaders keenly monitor performance and take corrective action when deviation from standards or mistakes are detected (Antonakis & House, 2002; Bass & Riggio, 2006). In contrast, *management-by-exception passive* is seen when leaders wait to be informed or discover mistakes or deviations that have already occurred and then take corrective actions (Antonakis, Avolio, & Sivasubramaniam, 2003; Bass & Riggio, 2006). Under the managing-by-exception approach, leaders focus attention on problems after they occur, and often when they become urgent and critical. Although this method allows leaders to focus on more long-term or strategic goals, they may lose sight of underlying or more systemic

problems that could be addressed before they become an operational threat. Either exception approach is more likely to reap short-term follower commitment focused on specific objectives rather than broader organizational goals (Vito, Higgins, & Denney, 2014).

The remaining component of FRLT is laissez-faire or absence of leadership. The laissez-faire leader ignores his or her responsibilities and shows an indifference to follower needs (Bass & Riggio, 2006; Kirkbride, 2006). Leaders exhibiting this style often avoid making decisions, fail to intervene in conflicts or fail to provide direction (Kirkbride, 2006; Oberfield, 2014). An absence of leadership creates a void that informal leaders will attempt to fill, which can lead to conflicting priorities and objectives.

In the context of this study, I used Schein's theory of organizational culture to analyze the 1969 Mets team culture and how it may have influenced the team's performance outcome. Schein (1984) defined culture as

the pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration, and that have worked well enough to be considered valid, and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 3)

Leaders directly influence organizational culture through their actions and behaviors that support their espoused values, goals, and expectations (Schneider et al., 2013). As Schein (2010) pointed out, there are "embedding mechanisms" that leaders use that influence member perception of the importance of various cultural dimensions (p. 236). Leaders

use the embedding mechanisms as a means of conveying what they deem important, which reinforces the dynamics that make up the desired organizational culture.

The 1969 Met's organizational climate was additionally viewed from the perspective of Quinn and Rohrbaugh's (1983) CVF model. Patterson et al. (2005) have used CVF in prior studies of organizational climate because the model contains various dimensions underlying organizational effectiveness, which provides a framework for research. The CVF, as illustrated in Figure 1, contains "core dimensions" that dissect the chart into quadrants (Cameron, Quinn, Degraff, & Thakor, 2014, p. 11).

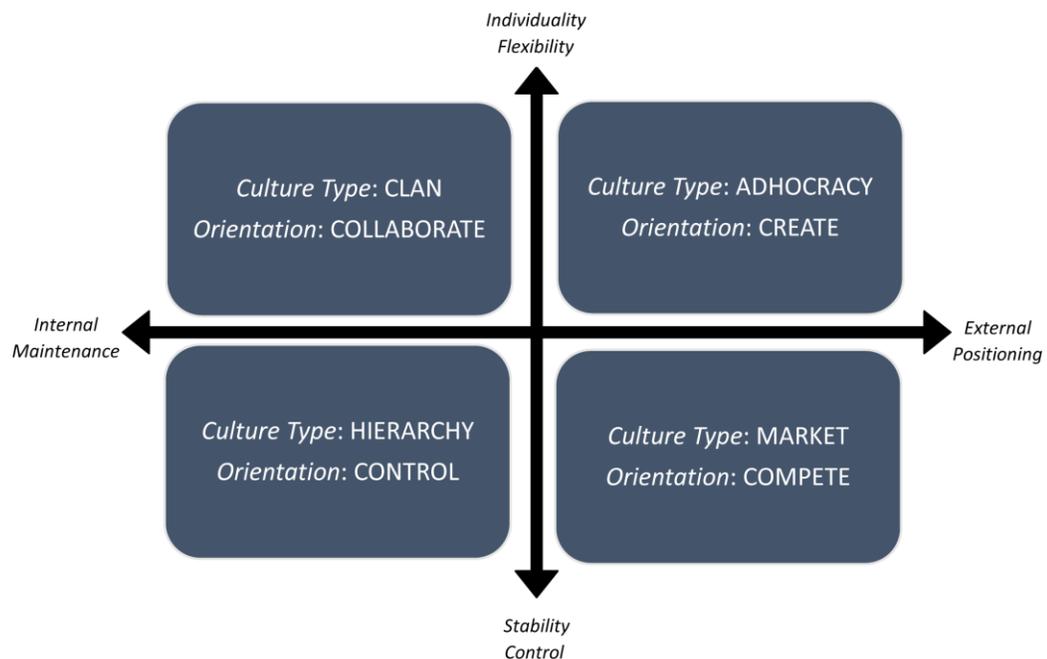


Figure 1. Core dimensions of the competing values framework. Adapted from *Competing Values Leadership* (2nd Ed.), by K. S. Cameron, R. E. Quinn, J. Defraff, and A. V. Thakor, 2014, p. 8. Copyright 2014 by Edward Elgar Publishing. Reprinted with permission (see Appendix F).

The CVF model illustrates the strength and orientation of an organization's climate by understanding member perceptions of various climate dimensions. The vertical axis reflects the organization's orientation toward "individuality and flexibility" on one end and "stability and control" on the opposite end (Cameron et al., 2014, p. 8). The continuum would move from organizational adaptability to rigidity; from innovation to reliability (or conformity); and from versatility to invariability (Büschgens, Bausch, & Balkin, 2013; Cameron et al., 2014). The horizontal axis shows an orientation toward an internal focus on the organization's capabilities, processes, and cohesiveness on one end, and an external focus on competitive organizational positioning and independent and radical thinking on the other (Büschgens, Bausch, & Balkin, 2013; Cameron et al., 2014). According to Patterson et al. (2005), these axes form quadrants that are outcome oriented and reflect the management and leadership approaches necessary to achieve them. The CVF model illustrates how an organization's leadership values drive its activities in a complementary direction and support a climate to achieve its objectives.

To examine the extent and velocity of change, the CVF model has secondary dimensions that crisscross the primary quadrants. The first represents the magnitude of change ranging from transformational (upper right) to small incremental change in the lower left quadrant (Cameron et al., 2014). The second represents the speed of change ranging from fast and short-term focused (lower right) to long-term (upper left) with a focus on durable and stable change (Cameron et al., 2014). These secondary dimensions provide a framework to examine the magnitude and speed an organizational change in support of the organization's overarching objective.

The CVF dimensions provide a way to measure the employee perceptions of the organization's climate. The Organizational Climate Measure (OCM) instrument incorporates these dimensions, which provides insights into whether employee perceptions of the work environment is aligned with the prevailing organizational goals and expected outcomes (Patterson et al., 2005). In this study, I used the OCM to look at the climate that existed in the New York Mets' successful organizational turnaround and to provide insight into how this correlated with the leadership and culture that existed during this process.

In Chapter 2, I provide a more detailed description of FRLT, Schein's theory of organizational culture, and the CVF model of organizational climate. Additionally, Chapter 2 provides an extensive review of the literature related to the application of these theories to the principal leadership and organizational dimensions that are the focus of this study. I also included a broad perspective of organizational leadership, organizational culture, and climate that will include a review of alternative theories and perspectives.

Nature of the Study

In this study, I used an ex post facto, nonexperimental, quantitative survey methodology to explore the leadership characteristics of Gil Hodges during the successful single-season turnaround of the 1969 New York Mets and the team's culture and organizational climate. The ex post facto, Latin for "after the fact," research design is a retrospective analysis of past events in an attempt to understand and infer cause and effect between variables (Cohen, Manion, & Morrison, 2011, p. 303). In the ex post facto design, a researcher looks at events that have already occurred and therefore cannot be

manipulated by the researcher (Adigwe & Oriola, 2015). To develop an understanding of Hodges's leadership style, I used the Multifactor Leadership Questionnaire (MLQ-5X) Rater Form, which was completed by the remaining players and coaches from the 1969 team. This research instrument, developed by Avolio and Bass (2004), has been used in numerous studies to help researchers form a retrospective view of leadership styles experienced by followers (Bullock, 2008; Butz, 2010; Menon, 2014; Overbey, 2013).

Additionally, I used the Denison Organizational Culture Survey (DOCS), developed by Denison and Neale (1996), to explore the team's culture that supported the turnaround. The DOCS instrument was completed by team members participating in the study and was used to analyze the strength and direction of cultural traits that existed during the turnaround season. The OCM scale, developed by Patterson et al. (2005), was used to define the type of organizational climate perceived by team members during the 1969 season and its connection to organizational performance.

Definitions

Laissez-faire: Laissez-faire is the absence of leadership characterized by a leader's indifference to follower needs, avoidance of responsibilities, and failing to provide support and direction (Avolio, Bass, & Jung, 1999; Bass & Riggio, 2006; Kirkbride, 2006)

Leadership: Leadership is the ability to influence and guide the actions of others (Kotter, 1990; Yukl, 2006).

Organizational climate: The organizational climate construct represents the members' collective perception of the work environment and its influence on job

performance and attitude toward work and the organization (Litwin & Stringer, 1968; Rousseau, 1988).

Organizational culture: This construct of culture is defined as the shared values, beliefs, social norms, and shared experiences that guide member behaviors and activities (Schein, 2010; Zehir, Ertosun, Zehir, & Muceldili, 2011).

Organizational domain: This refers to goods and services offered and population served by an organization (Meyer, 1975).

Transactional leadership: This leadership style stresses the use of contingent rewards sufficient to influence follower behavior that will accomplish personal and organizational objectives (Bass, 1985; McCleskey, 2014).

Transformational leadership: This is a leadership style focused on unleashing follower desire to reach the collective organizational potential and achieve objectives by providing a compelling vision of the future (Bass & Avolio, 1990).

Turnaround: A turnaround is a form of organizational change characterized by a rapid recovery from a period of decline or a swift reversal from a period of poor performance in the view of owners or stakeholders (House, Hanges, Javidan, Dorfman, & Gupta, 2004; Yukl, 2006).

Assumptions

I assumed that Gil Hodges's leadership of the 1969 New York Mets was an important factor in the team's turnaround. There is a significant volume of biographical and historical information about Gil Hodges and the 1969 Mets (Amoruso, 1991; Clavin & Peary, 2012; Zachter, 2015), yet there is little reference to the team's dramatic reversal

in any organizational turnaround or leadership studies. I assumed that the remaining players and coaches from the team could adequately recall the events of that season and would be willing to participate in this study. I made this assumption when I met several players from that team, including B. Harrelson and E. Kranepool (personal communications, April 26, 2012), at a Major League Baseball event, during which they stated that they would be willing to participate.

The significance of this turnaround was the Mets' improbable single-season climb from a nearly last place team to the top of Major League Baseball. The 1969 team was described at the time as the *Miracle Mets* because, based on the expectation at the start of the season, it would be a miracle if they could win the World Series (Zachter, 2015). I assumed that Hodges's leadership influenced the team's culture and climate, which affected the organization's performance. News articles and player interviews expressly credited Hodges's leadership as a driving force behind the 1969 championship season (Zachter, 2015).

Scope and Delimitations

The subject of this ex post facto, nonexperimental, quantitative study was the leadership of Gil Hodges during the 1969 New York Mets turnaround season. In 1969, the New York Mets baseball team roster included 35 players and four coaches, in addition to Gil Hodges, the team's manager. As of May 27, 2016, there were 28 players and one coach remaining from the 1969 team. Given the small population, I used probability sampling and contacted a random sample of the remaining players and coaches to participate in the study.

The specific aspects of the research problem addressed in this study were leadership, organizational culture, and climate in the context of a successful organizational turnaround. I limited the study to these dimensions, and I excluded other potential factors or variables that impact an organizational turnaround, including personnel change, the organization's external environment, and strategy development and deployment (Chowdhury, 2002). Additionally, since the study was based on a single case with a small population that does not include the leader, the study's generalizability may be limited.

Limitations

A potential weakness of the study is the age of the participants and the time that has elapsed since the study events have occurred. Although the turnaround occurred 37 years before this study took place, the unique and dramatic nature of the turnaround has received significant interest over the years. Several of the 1969 players, including B. Harrelson and E. Kranepool (personal communications, April 26, 2012), reported that they are often asked about the 1969 season and the circumstances that led to the dramatic turnaround. Another potential weakness or limitation is the possible bias from my position as a senior executive and my involvement in turning around my company. The quantitative method and ex post facto nature of the study should limit the potential for bias to influence study results.

Significance of the Study

Significance to Theory

An organization's reversal from decline to recovery needs more than a quick fix. It requires leadership willing to take a holistic approach to develop and implement strategies for recovery. Several studies, as noted by Frontiera (2010), have pointed to the importance of transformational leadership style in creating a culture and environment that alters performance and leads to recovery. Researchers have also suggested a more situational approach to leadership that blends transactional and transformational leadership, which follows along the stages of stabilizing the organization and transition to recovery (Chowdhury, 2002; Lohrke et al., 2004). According to Panicker and Manimala (2015), successful turnaround leaders are adept at assessing situational factors, such as decline causation and market needs, and assessing the internal and external environments. Based on these traits, such leaders then develop change strategies that focus on stabilizing the organization and advancing toward recovery.

Although researchers have suggested the types of leadership styles that should work during a turnaround, there has been little research done to identify specific leadership styles of successful turnaround leaders (O'Kane & Cunningham, 2014b). This study helps fill that gap through an examination of Hodges's turnaround of the 1969 New York Mets. Researchers have pointed to the generalizability of leadership theories to both sports and business (Adcroft & Teckman, 2008; Burnes & O'Donnell, 2011), and the results of this study can apply to various organizational types and domains. In addition to helping financially distressed organizations, it is also possible that the results could be

used by leaders of mature companies in decline or those failing to adapt to changing market forces.

In this study, I looked at the organizational culture and climate that led to the turnaround. Both are identified as critical organizational dimensions, are impacted by leadership style, and are dynamic forces in changing the organization's trajectory (Abebe, 2009; Armenakis et al., 1996; Boyd, 2011; Day & Moorman, 2013). As part of this study, I also provide insights into the connection between improved organizational performance and leadership style, organizational culture and organizational climate.

Significance to Practice

Leading an organizational turnaround has a unique set of challenges. This often includes having limited time and resources, which necessitates stabilizing the situation, then immediately transitioning to recovery and growth (Robbins & Pearce, 1992; Trahms, Ndofor, & Sirmon, 2013; Yandava, 2012). There is a lack of comprehensive studies to guide leadership actions during a turnaround and a gap in the literature persists (O'Kane & Cunningham, 2014b). In conducting this study, I looked beyond leadership and explored the organizational culture and climate present during the turnaround. Since this is an ex post facto study, the results will help connect leadership type, organizational culture, and climate with a successful turnaround, and will support the possible development of a framework for leaders to follow.

Significance to Social Change

There are significant social and economic consequences of business failure regardless of the size of the organization. These include loss of jobs and related societal

costs, cascading effects on suppliers and support businesses, and a loss of investment capital (Panicker & Manimala, 2015; Wells & Nieuwenhuis, 2012). Not all businesses are destined to survive; however, there are businesses for which a turnaround is possible but which lack the leadership necessary to initiate and execute turnaround strategies. Successful turnarounds provide stability and continuity, minimize job losses, and contribute to the economic health of society (Boyd, 2011; Panicker & Manimala, 2015). The results of this study may provide insights into successful turnaround leadership styles and strategies, as well as the type of organizational culture and climate used to support such actions.

Summary and Transition

In this chapter, I introduced the problem of leading failing organizations, the large number of companies requiring a turnaround, and the lack of research studies on the specific leadership styles of successful turnaround leaders. I also presented the nature, background, and theoretical foundation for the study. The subject of the study was Gil Hodges's leadership of the New York Mets during the 1969 turnaround season. For this ex post facto quantitative study, I used the research questions to look at the style of leadership, organizational culture, and climate. The theoretical foundation for the study was FRLT (Bass, 1985; Bass & Avolio, 1994), Schein's (1984) theory of organizational culture, and CVF (Quinn & Rohrbaugh, 1983) as applied to organizational climate studies by Patterson et al. (2005).

Chapter 2 provides an extensive review of the literature related to the study and its theoretical foundation. In Chapter 3, I expand on the design, rationale, and methods used

in the research. Chapter 4 includes the results of the study and an explanation of the research procedures and data analysis. In Chapter 5, I present a discussion and interpretation of the findings, conclusions, limitations, and recommendations for future research.

Chapter 2: Literature Review

Many leaders of failing or underperforming organizations lack the skills and insight necessary to engage successfully in a turnaround process. Such organizations have often experienced a severe or sustained decline that puts their survival at risk and necessitates immediate leadership action to stabilize the situation and quickly recover (Abebe et al., 2011; Castrogiovanni, Baliga, & Kidwell, 1992). The positive connection between leadership and effective organizational turnarounds is well documented in the current literature (Abebe, 2012; Castrogiovanni et al., 1992; O’Kane & Cunningham, 2012; Panicker & Manimala, 2015). Yet several researchers acknowledged the lack of studies examining leadership’s role in implementing successful turnarounds (Lohrke et al., 2004; O’Kane & Cunningham, 2014a).

The purpose of this ex post facto, nonexperimental, quantitative study is to examine leadership characteristics, organizational culture instilled during a successful organizational turnaround, and climate perceived by the players and coaches during the season. The 1969 New York Mets baseball team became World Champions after a ninth-place finish the prior season. This was a dramatic and immediate turnaround for the organization, and yet there is no research on the leadership style of the team’s manager, Gil Hodges, or changes to the organizational culture that influenced the turnaround.

The central theories to be explored in this chapter include FRLT (Bass, 1985; Avolio & Bass, 1995a); transformational leadership (Bass, 1985); life cycle theory of leadership, also described as situational leadership (Hersey & Blanchard, 1972); Schein’s (1983) theory of organizational culture; the organizational change theories of Lewin

(1947/1997d) and Kotter (1996); and organizational climate theory of Patterson et al. (2005) and Quinn and Rohrbaugh (1983). Working from this theoretical foundation, I examined the successful organizational turnaround of the 1969 New York Mets and the key variables of leadership, culture, and climate. Additionally, included in this chapter are the literature search strategy, review of current research, the research methodology, and a section for its summary and conclusions.

Literature Search Strategy

I identified relevant literature used in this study and primarily sourced it from the Walden University and University of Phoenix online libraries, as well as Google Scholar. The search results yielded peer-reviewed articles, dissertations, news articles, and books. The databases used in conducting the research included ProQuest Central, Business Source Complete, ABI/INFORM Complete, Emerald Insight, Sage Premier, Science Direct, and ERIC. Keywords used in database searches included *leadership; sports leadership; leadership* combined with other search terms including *contingency, theory, transformational, transactional, situational, and turnaround; full range leadership theory; organizational turnaround, organizational culture; organizational change; New York Mets; and Gil Hodges*.

I conducted these searches between August 1, 2015 and January 6, 2018. The search provided thousands of results, of which 574 were considered relevant articles. There are 220 references cited in this study, including peer-reviewed articles, books, and other source materials. Every attempt was made to use peer-reviewed journal articles published within the past 5 years.

Theoretical Foundation

According to many researchers, leadership is a critically important factor in successful organizational change, especially during organizational turnarounds (Abebe, 2012; Castrogiovanni et al., 1992; Frontiera, 2010; Harker & Sharma, 2000; Panicker & Manimala, 2015). Leadership has a number of definitions, yet according to several researchers, there is no single universally accepted version (Paglis, 2010; Stogdill, 1950; Yukl, 2006). Although there may not be a single all-encompassing definition, according to Paglis (2010) there are three recurring themes within the many attempts to define it: “social influence, voluntary followership, and objective/strategy setting” (p. 772). These themes are seen throughout the literature on how leadership has a direct role in the change process and significantly impacts its success or failure (Higgs & Rowland, 2011). To lead is to influence and guide the actions of others. Whether formal or informal, leadership is critical to successful organizational performance.

The decision processes, communications, and priorities of a leader cultivate the organizational environment. Leadership is about influence and requires the ability to communicate effectively, provide a compelling and rational vision for the organization, and form a coalition to support achieving that vision (Kotter, 1996). Leadership translates organizational values into action and creates a code that drives decisions, defines risk tolerance, and helps followers focus on what is important to achieve the desired results. These themes form a basis for many of the attributes that researchers use to develop a construct of leadership within the context of their study (Yukl, 2006). A construct is some postulated attribute that can be indirectly measured to help with understanding test results

and to form conclusions about the subject (Cronbach & Meehl, 1955). Measuring the attributes of specific leaders will help researchers understand the leadership type and approach these leaders exhibit and use this to develop a profile of successful turnaround leaders. To support leaders tasked with turning around an organization, researchers can take these successful leadership characteristics and develop a model for others to follow.

Hodges's leadership influenced the 1969 Mets' culture and climate and changed the organization into a successful team after years of underperformance. To analyze the leadership characteristics exhibited by Gil Hodges during his turnaround of the 1969 Mets, I used FRLT (Avolio & Bass, 1995a) as the theoretical foundation for this study. In sports as well as business, leadership is a driving force behind a culture that excels in both performance and competitiveness, which is seen as the development of a winning attitude (Adcroft & Teckman, 2008). The transition from losing to high performing can be measured with statistics, such as profitability or wins and losses, and with the perceptions of the organization's internal environment as experienced by its members.

Organizational culture is a dynamic and guiding force that supports common actions and activities and impedes those that are not aligned with overarching goals. Researchers have acknowledged a significant connection between leadership and organizational culture (Cameron et al., 2014; Schein, 2010; Schneider et al., 2013). Schein (2010) described the strength of this connection as "two sides of the same coin" (p. 22), such that the organization's culture is formed from the leader's values, ideas, actions, and behaviors that are adopted by its members. The leader's influence on developing the organization's culture may help align the group's actions toward

achieving its stated goal and purpose. For this study, I viewed the culture developed by Gil Hodges during the Mets' 1969 season through the lens of Schein's theory of organizational culture.

In an organizational turnaround, the leader seeks to change the organization to overcome the forces that have caused its decline. The process of organizational change is a series of steps or stages in which new behaviors, actions, and activities are adopted that alter the trajectory of the organization. Although a turnaround is a specific form of organizational change, often requiring immediate action to stabilize the situation, several researchers have noted that the stages employed follow the principal steps outlined in traditional change models (Boyd, 2011; Panicker & Manimala, 2015). As it relates to cultural aspects of change, Schein (2010) formed a model for the managed change of an organization's culture using Lewin's *three stage model* as its theoretical foundation. For the purpose of this study, I used Lewin's (1947/1997d) and Kotter's (1996) theories of organizational change to analyze the organizational change implemented by Gil Hodges in turning around the 1969 Mets.

In addition to examining the organization's leadership and culture, I also looked at the employees' perception of the organizational climate during the 1969 season. This study followed the application of the CVF model (Quinn & Rohrbaugh, 1983) utilized by Patterson et al. (2005) to measure organizational climate. Organization climate has been linked to organizational effectiveness and performance, and it influences employee behavior and actions (Litwin & Stringer, 1968; Schneider et al., 2013). It is important to

understand how team members and coaches perceived the organization's climate to shed light on its impact on performance and team competitiveness.

Literature Review

Overview of Leadership Theory

Throughout history, people have attempted to understand how leaders arise within a society. Leadership is a concept that has existed throughout human civilization and stretched across all borders and cultures (Avolio, 2007; Bass, 1990; Burns, 1978; House, Javidan, Hanges, & Dorfman, 2002a). Humans have even observed leadership across species, including mammals, reptiles, and insects (Bass, 1990; Judge, Piccolo, & Kosalka, 2009). According to Judge, Piccolo, and Kosalka (2009), "it is fair to surmise that whenever there is social activity, a social structure develops, and one (perhaps the) defining characteristic of that structure is the emergence of a leader or leaders" (p. 855). In the animal hierarchy, leaders emerge, as in the case of an alpha male or female in a wolf pack or a queen that reins over an ant colony (Bass, 1990; Judge et al., 2009). The formation of societal constructs is often organized and driven by those that take on the leadership role and are able to influence those willing to follow. Attempting to understand leadership has created a well-worn path for researchers to follow.

Stories or legends of great leaders were included in oral history and eventually recorded into the writings of early civilizations. The earliest and most abiding writings on leadership are drawn from early Greek and Chinese texts (McElhatton & Jackson, 2012). In early Greek literature, Sarachek (1968) noted that Homer's the *Illiad* and the *Odyssey*,

which tell of the relentless wars between the Greeks and Trojans, reflect four distinct qualities of leadership:

1. Agamemnon, the leader of the Achaean Greeks, showed “justice and judgment;”
2. Nestor, the “wise advisor,” was known for the quality of wisdom;
3. Odysseus is shown to be brilliant and wily, reflecting the qualities of being shrewd and cunning; and
4. Achilles, who showed valor and action, which “combines strength, drive, and prowess.” (p.40)

These passages reflect the distinguishing qualities of leaders during a period of war or crisis.

The Greek philosopher Plato (n.d.) in *The Republic*, described the *philosopher-king* as the one who should rule by being educated in the art and science of ruling. Such rulers exhibit the qualities of wisdom, integrity, and “truth seeking” as fundamental to good governance (Lipman-Blumen, 2014, p. 17). Plato advanced the idea of the ruler exercising critical thinking and making fact-based decisions while mitigating elements of emotion. In *Politics*, Aristotle (trans. 1885/2000) described virtue, education, and justice as the foundation of leadership. Such leaders focus on ruling based on a moral and evenhanded framework, which creates a sense of trust and justice within a society.

Included in the writings of early Chinese philosophers and religious texts are descriptions of leaders and leadership. The teachings of Confucius point to leading from a moral foundation in which the leader, having a clear distinction between right and wrong,

motivates followers to act out of “righteousness, obligation, and goodness” (Wong, 2001, p. 313). Taoists look to create balance through developing an understanding of opposites, the *yin* and *yang*, to create harmony (McElhatton & Jackson, 2012). Lipman-Blumen (2014), citing a quotation from the translation of the *Tao te Ching* by Lao-Tzu, the founder of Taoist philosophy, captures the Taoist perspective on leadership as “a leader is best when people barely know he exists, when his work is done, his aim fulfilled, they will say: we did it ourselves” (p. 16). As noted by Lipman-Blumen (2014), leadership was seen as a “subtle art” (p. 16), so that the leader’s influence on guiding followers toward achieving their objective is barely noticed. To have followers unaware of the leader’s influence requires a well-defined and clearly articulated vision, along with a strong framework of shared values and behaviors. This creates a common purpose that pulls followers together so that they become self-driven to reach a common objective.

The Chinese advanced the concept of balancing each quality or activity of leadership as essential to maximizing the effectiveness of leadership. Both Confucianist and Taoist writings describe the concept of a *harmonious leader*, which is seen by McElhatton and Jackson (2012) as one that is not dogmatic, prefers peace over war but is not afraid of a fight, and is fair in the use of power and authority. Although separated by geography, language, and time, the idea of using core leadership qualities in balance is also seen in early Greek writings (Sarachek, 1968). Many of the Greek leadership concepts have similar foundations as the Chinese ideas of authority without authoritarian actions and leading from a moral foundation. The Greek and Chinese concepts of justice

and judgment and other similarities suggest a universality of leadership qualities and ideals, which continue to resonate with more contemporary theories.

The Renaissance political advisor and philosopher Machiavelli's views on leadership were in stark contrast to Chinese philosophies. Machiavelli presented a more amoral and cunning view of leadership (Bass, 1990; Lipman-Blumen, 2014). In *The Prince*, Machiavelli (Trans. 2003) extolls the virtues of fear over love. As Machiavelli observed (as cited in Lipman-Blumen, 2014), "love creates a bond that sadly only obligates men only as long as it serves their own purpose, but fear is hardened by the sureness of punishment and never lets you down" (p. 18). Leaders need to act virtuously when possible but keep their options open to apply the necessary force or cunning to maintain their position (Lipman-Blumen, 2014). Fear is used as a tool to maintain order and keep adversaries from gathering support. However, Machiavelli also warns leaders not to allow excessive fear to mutate into hatred and be subject to plots against them.

The advent of the industrial revolution brought forth new leadership constructs. During this era, is the emergence of the *great man* theories that sought to explain leadership through the stories (biographies) of great men (Bass, 1990; Judge et al., 2009; Lipman-Blumen, 2014). Carlyle (1841) wrote, "the history of the world is but the biography of great men" (p. 266). Carlyle suggested that such great men are "...sent into the world..." (p. 2), and implies they were born with innate qualities that made them stand out from other men. Great man theory assumes that the capacity for leadership is inherent – that great leaders are born and not made (Carlyle, 1841). The great man theories frequently depicted such men as heroic, often achieving mythical or

transformational exploits that vastly altered the societies they led, and from birth seemed destined to lead.

The male gender underlying the great man theory points to the prevalent idea of the time that leadership, especially military leadership, was primarily a male function. The narrow sexist view of the theory, as noted by Bass (1990), ignored the contribution of women leaders, including “Joan of Arc, Elizabeth I, and Catherine the Great” (p. 37). The popularization of heroes and the fame afforded them does not by itself help us define the qualities and behaviors of effective leadership.

There were many attempts to advance the great man theory by arguing that leadership traits were inherited, ignoring the possibility that situational dynamics helped form a leader’s skills. As noted by Ronald (2014), several theorists attempted to advance this position, which perpetuated the idea of royal blood lines and the concept of a ruling class. The inability to adequately define universal qualities and or common threads for inherent traits heightened the debate over whether leaders were born or made (Ronald, 2014; Sternberg, 2003). Although alluring, the concept that an understanding of leadership can be found in the stories of great men did not yield any lasting conclusions.

An outgrowth of great man theory was further research into the possibility of common qualities or leadership traits. Researchers began to consider the possibility that leaders are not born, and that it may be possible to isolate common traits, characteristics, and attributes of leaders that were significantly different from non-leaders (Bass, 1990; Judge et al., 2009; Ronald, 2014). In the first half of the 20th century, many of the studies

failed to demonstrate adequately that any trait or group of traits could consistently explain or predict effective leadership (Bass, 1990; Judge et al., 2009; Yukl, 2006).

Leadership research during the second half of the 20th century focused on defining personality traits that could demonstrate the relevant predictive tendencies of the individual. Complex, large-scale lists of factors were reduced to a few key traits and improved measures, scales and survey instruments provided enhanced data that led many to claim the effectiveness of using personality traits in leadership studies (Digman, 1990; Judge, Bono, Ilies, & Gerhardt, 2002). Personality traits are seen as a cluster of “neurophysiological structures that cause relatively enduring, automatic patterns of thoughts, feelings, and behaviors that tend to manifest in certain ways under certain circumstances” (Jackson, Hill, & Roberts, 2012, p. 745). A “five-factor model,” also known as the *Big Five*, emerged from the research of Norman (1963) and Tupes and Christal (as cited in Judge et al., 2002). The dimensions comprising the five-factor model are *neuroticism*, *extraversion*, *openness to experience*, *agreeableness*, and *conscientiousness* (Judge et al., 2002, p. 767), which formed the basis for many subsequent trait studies. Such research began showing some relationship to job performance, and researchers started applying personality trait analysis to leadership studies. Despite this, there were many studies that demonstrated the correlation between personality traits and predictive measures of leadership success were weak at best (Judge et al., 2009). The mid-twentieth century conclusion that trait theory did not provide an adequate basis for leadership studies led researchers to look in new directions.

The focus of leadership research began to shift to the application of behavioral theories to study the impact of a leader's influence on individual and group behavior. Beginning in the 1930s, social psychology researchers showed acceptance for the use of experimentation and observation as means of advancing the study of groups and understanding the causes of behavior (Danziger, 2000; MacMartin & Winston, 2000). Several researchers have pointed to the *Iowa Studies*, described as the *behavioral school of leadership*, as the start of this new paradigm (Ronald, 2014; House & Aditya, 1997). Researchers of this era utilized social, situational, and environmental factors combined with leadership styles to help understand a leader's influence on followers and the resulting impact on achieving organizational goals.

The Iowa Studies, conducted by Lewin, Lippitt, and White (1939) looked at leadership style and the resulting patterns of group behaviors. The researchers attempted to answer the question, is "democratic group life more pleasant, but authoritarianism more efficient?" (Lewin et al., 1939, p. 271). The study included variables of authoritarian, democratic, and laissez-faire leadership styles employed across four groups and every six weeks a new leader was assigned exhibiting a different style (Danziger, 2000; Lewin et al., 1939). They examined the impact of each leadership style on "social climates" and how they affected group behaviors (Lewin et al., 1939, p. 271). This approach was a departure from the prior research, which focused on the individual leader and instead took a more holistic view by examining how leadership style influenced internal group interactions and resulting outcomes.

The results of the Iowa Studies revealed a significant difference in how certain leadership styles affected group behaviors and motivation. The researchers concluded that a democratic climate showed a positive correlation with “motivation and satisfaction of the group members” (Ronald, 2014, p. 55). In contrast, “the autocratic atmosphere created social pressure and tension” (Ronald, 2014, p. 55), which led to increased hostility and aggressive behaviors. The laissez-faire style resulted in more aggressive behaviors than democratic leadership because of a lack of direction and resulting hostility between group members (Ronald, 2014). Critics of the study suggested it was not generalizable because of the narrow focus on children around the age of 10 as the subject population, and these were not real situations but manipulated for study purposes (Danziger, 2000; Ronald, 2014). Despite some early criticism, the Iowa Studies inspired other researchers to follow and refine an experimental and observational model for future leadership studies (Ronald, 2014; Stogdill, 1950).

Behavioral theories of leadership continued to evolve with the Ohio State and University of Michigan studies. The Ohio State study was structured as a ten-year research program that focused on leadership issues in both military and civilian organizations (Stogdill, 1950; Stogdill & Shartle, 1948). The outcome of the results of this study was to develop improved methods and criteria for the examination and evaluation of leadership, which would support enhanced approaches to leader selection and training (Stogdill & Shartle, 1948).

The researchers also identified and defined two *factors* or *dimensions* of leadership: Consideration and Initiating Structure (Bass, 1990; Ronald, 2014).

Consideration describes leader behaviors that reflect an orientation toward strong leader-follower relationships, supportive actions that help with follower self-efficacy, and development of reciprocal trust and respect (Bass, 1990; Halpin, 1957). The leader engages with followers, supports their desire for advancement, and shows concern for the individual followers' aspirations. Initiating Structure relates to a leader's actions and directions that define his or her relationship with group members (followers), their roles, methods and hierarchy for reporting and communications, and organizational configuration (Halpin, 1957; Piccolo et al., 2012; Ronald, 2014). Such leaders are oriented toward "task and goal attainment" (Piccolo et al., 2012, p. 568), with a focus on finding "ways of getting the job done" (Halpin, 1957, p. 1). This orientation is seen in leaders that are process-oriented and focus attention on chain-of-command and operational efficiency.

Each dimension shows a different focus or orientation, and yet they are not necessarily mutually exclusive. As seen in Figure 2, Hersey, Blanchard, and Johnson (2008) graphically illustrated the two leadership dimensions on separate axes such that they overlap and coexist as a manifestation of leader behavior. According to Hersey et al., the more successful and effective leader exhibits both high task and high consideration behaviors, while the least successful is in the lower left quadrant of low task and low consideration (Ronald, 2014).

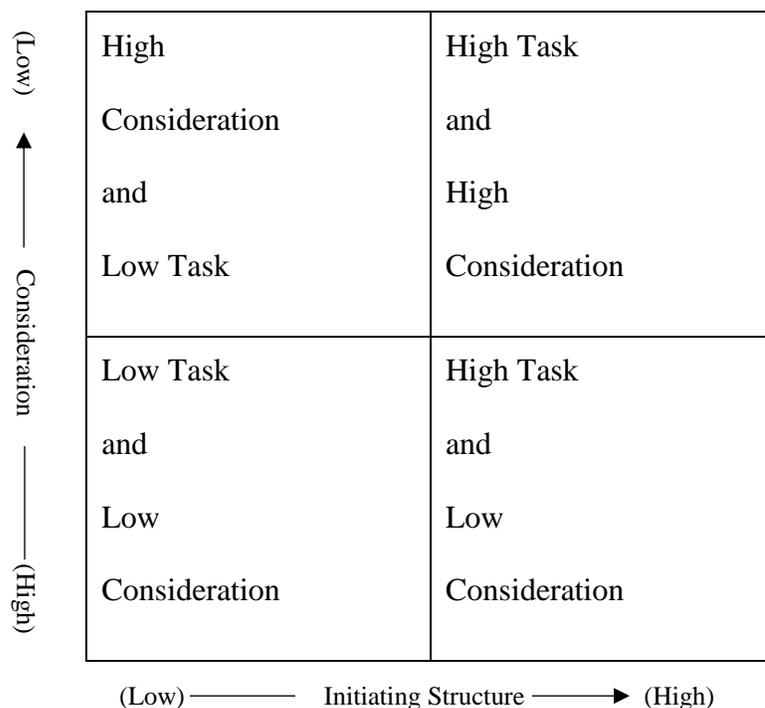


Figure 2. The Ohio state leadership quadrants. Adapted from *Management of Organizational Behavior: Leading Human Resources* (9th Ed.) by P. Hersey, K. H. Blanchard, & D. E. Johnson, 2008, p. 81. Copyright 2008 by Pearson Education. Reprinted with permission (see Appendix J).

The Ohio State studies provided advances in the methodology and analysis of leadership research. These advances included defining the dimensions for a behavioral leadership model and the development of the Leader Behavior Description Questionnaire, which gathers information on leadership dimensions of Initiating Structure and Consideration from the leader and follower perspectives (Hersey et al., 2008; Ronald, 2014). The Ohio State leadership theory was criticized for the limits of a 2-factor model which does not sufficiently take into account situational and contextual factors (Ronald, 2014). Piccolo et al. (2012) also noted that the theory overlooks other leadership behaviors such as effective communication and defining a clear and compelling vision. The limitations of the 2-factor model are related to its narrow focus on specific behaviors

and the absence of a holistic approach that viewed leader behavior in the context of their environment and situational factors.

Findings from other studies using a behavioral research approach provided additional insights into leadership dimensions. Researchers at the University of Michigan conducted studies, also referred to as the *Michigan Studies*, similar to the Ohio State team using a behavioral research approach (Hersey et al., 2008; Ronald, 2014). The study identified two leadership styles described as *employee orientation* and *production orientation* (Hersey et al., 2008; Ronald, 2014). Leaders' behaviors reflecting an employee orientation show an interest in individual needs and development, which is in contrast to a production orientation that focuses on output and views employees as tools needed to achieve organizational goals (Hersey et al., 2008; Ronald, 2014). There are similarities in the dimensions of leadership outlined in both the Ohio and Michigan Studies and together have been subjected to many of the same criticisms.

In addition to behavioral research approaches, humanistic theories, especially Maslow's *hierarchy of needs* and understanding human motivation began to influence leadership research. McGregor recognized the potential of using these new theories and suggests that "under certain conditions, unimagined resources of creative human energy could become available within the organizational setting" (1989, p. 315). McGregor, using Maslow's theories as a basis, postulated theory X and theory Y as a way to describe human motivation at work and how it relates to leadership responses.

Both theory X and theory Y show a correlation between employee motivation and behavior with a corresponding leadership style. Under theory X, employees are generally

considered lazy, not ambitious, resistant to change, and not overly concerned with organizational needs (McGregor, 1989; Ronald, 2014). With this belief, managers and leaders will act in an autocratic manner, apply close supervision, and motivate workers using punishments and rewards (McGregor, 1989; Ronald, 2014). Under theory Y, employees are inherently motivated and desire satisfying and self-fulfilling work (McGregor, 1989; Ronald, 2014). Leaders and managers working under theory Y should create a positive working environment that engages employees and fosters a stimulating atmosphere that unlocks their potential (McGregor, 1989; Ronald, 2014). As Ronald (2014) pointed out, there are those employees that will perform better under the conditions of theory X and those that will not respond positively to a theory Y environment. The main criticism of this theory is the difficult task of generalizing how employees will feel toward their job and how they will react to leadership styles.

Additional behavioral theories include Blake and Mouton's (1982b) 2-dimensional model called the *Managerial Grid* (later modified and called the *Leadership Grid*), which is considered by many to follow in the path of both the Ohio and Michigan Studies (Hersey & Blanchard, 1972; Lipman-Blumen, 2014; Ronald, 2014). The leadership dimensions included in the model are a *concern for people* and *concern for performance*, which are similar to those defined in previous studies (Covey & Ewell, 2015; Lipman-Blumen, 2014; Ronald, 2014). Although similar in meaning, Blake and Mouton (1982b) argued that previous theories saw each dimension as "independent," while they saw them as "interdependent" and are exercised in combination with each other (p. 278). Borrowing from chemistry, Blake and Mouton (1982a) viewed the

combining of the two dimensions as yielding a compound in which the elements lose their individual identities. The resulting compound takes the form of one of five primary leadership styles that a leader will exhibit based on the degree of each dimension included in the compound.

The Managerial Grid was plotted on a Cartesian coordinate system in two dimensions with the Y-axis scale representing a concern for people and the X-axis scale representing a concern for production. The scores entered on the grid are taken from questionnaires developed by Blake and Mouton (1982b) to assess a leader's attitude or feelings (implied by the term *concern for*) toward people or performance that manifest in specific behaviors reflected in one of the primary leadership styles. The leadership styles represented by coordinates of concern for people and concern for production are *impoverished management, authority-obedience management, country club management, organization man management, and team management* (Blake & Mouton, 1985).

The two-dimensional structure of most behavioral leadership theories focused attention on leader orientation toward tasks and goals versus an orientation toward people and their associated needs without taking into account the existing organizational conditions. The Contingency Leadership theory, developed by Fiedler (1964), added a situational dimension to behavioral leadership models. Fiedler used the leadership orientations of "task-oriented" or "relationship-oriented" developed from the Ohio and Michigan studies, and added Blake and Mouton's (1982b) concern for people and concern for production, and a situational dimension to form the contingency model (Altmäe, Türk, & Toomet, 2013; Ronald, 2014; Waters, 2013). The contingency model

has been subjected to criticisms regarding its lack of criteria for leaders that exhibit both task and relationship orientations (Ronald, 2014) and its lack of flexibility to account for moderately favorable situations (Altmäe et al., 2013). Despite the criticisms, the addition of a situational dimension helped overcome weaknesses seen in previous theories.

Situational Leadership

The addition of situation variables to a behavioral approach opened a new direction for leadership research. Initially called the “life cycle theory of leadership,” and later “situational leadership,” Hersey and Blanchard (1972) added the situational dimension of follower maturity to the *relationship orientation* and *task orientation* of leadership previously defined in the Ohio State studies. Maturity, in the context of life cycle theory, is seen by Hersey and Blanchard as “achievement motivation, the willingness and ability to take responsibility, and task-relevant education and experience of an individual or a group” (p. 134). The leader adjusts his or her style to the stage of follower maturity.

The underpinning of the situational leadership model is that follower readiness drives the leadership style to be applied. The term “readiness” was introduced in later versions of the model to replace maturity and is defined as the followers’ “ability and willingness to accomplish a specific task” (Hersey et al., 2008, p. 135). Using the leader orientations of task and relationship derived from the Ohio State studies, Hersey and Blanchard (1972) connect the readiness scale with a series of appropriate leadership styles. These are designated as *S1* “telling”; *S2* “selling”; *S3* “participating” and *S4*

“delegating” (Meirovich & Gu, 2015, p. 57). The leader follows the scale coordinates and enacts a style relative to follower readiness.

Situational leadership, as illustrated in Figure 3, connects leadership styles to various levels of follower readiness. A leader confronted with low readiness applies a telling style with a focus on directing and guiding (S1, R1); a moderate readiness requires a selling style of leadership, which includes explaining the rationale and using persuading techniques (S2, R2); the next level up, in which followers are able but are either insecure or unwilling, requires a participatory style, which is based on problem-solving and offering encouragement and support (S3, R3); and high readiness with ability and willingness requires a delegating approach that involves monitoring and giving support (Meirovich & Gu, 2015; Ronald, 2014).

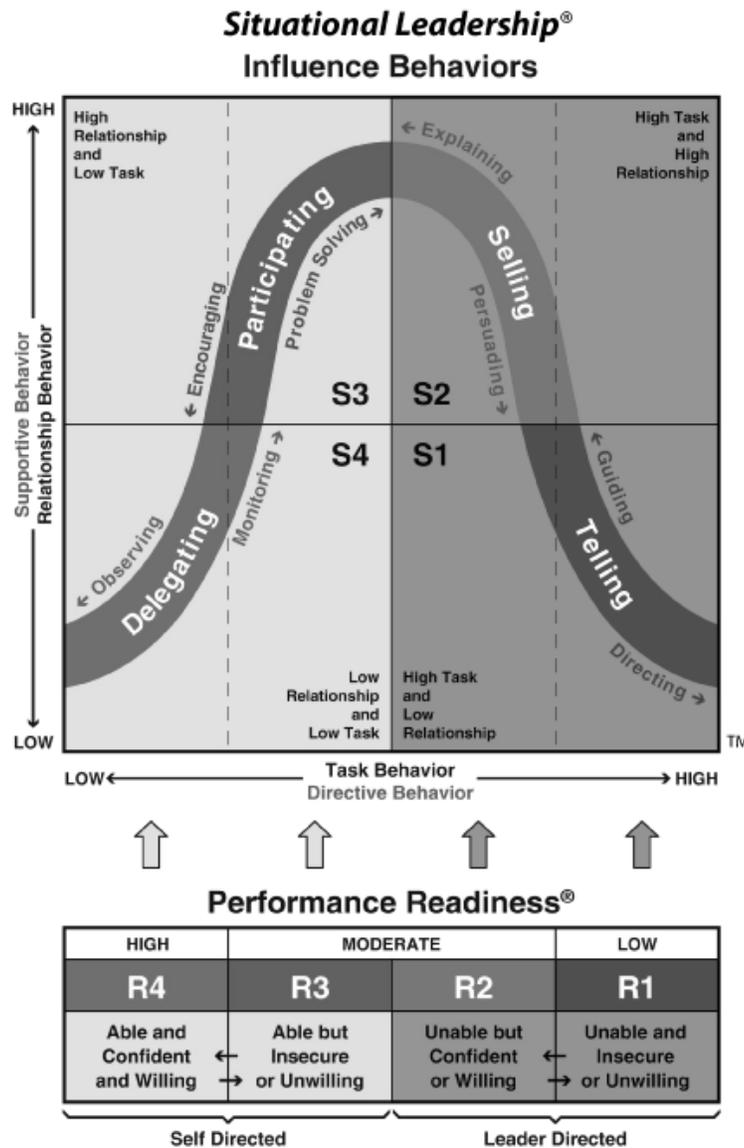


Figure 3. Situational leadership® model. Adapted from *Management of Organizational Behavior: Leading Human Resources* (9th ed.), by P. Hersey, K. H. Blanchard, and D. E. Johnson, 2008, p. 225. Copyright 2015 by the Center for Leadership Studies. Reprinted with permission (see Appendix J).

The task-directive and supportive-relationship leadership orientations as shown in Figure 3 have similarities to transactional and transformational leadership. As noted by McCleskey (2014), transactional and task-directive leadership reflect an exchange

between leader and follower and focus on defining work requirements and outcomes. Similarly, transactional and task-directive leadership is emphasized for less experienced and lower level employees that require greater direction and is less emphasized for highly competent and more motivated employees (Bass, 1985; Blanchard 2010). There are also similarities between transformational and supportive-relationship leadership. Both are people centric and foster individual development and use trust and inspiration to focus followers on broader organizational goals (McCleskey, 2014; Bass, 1985). Both FRLT and situational leadership use a range of complementary leadership styles as necessary to achieve effective leadership outcomes.

Blanchard (2010) developed a variation of the original model by overlaying four styles of leadership that correspond to the developmental level of the person or group being led. Blanchard categorized leadership styles based on the degree of directive or supportive behavior required from the leader that fits with the level of follower development. A directing style (S1) uses high levels of direction, and low levels of supportive leader behavior for followers demonstrating low levels of competence yet are highly committed; a coaching style (S2) reflects both high levels of direction and supportive leader behavior for followers that are still learning and but is unsure of his or her level of competence and commitment; a supportive style (S3) reflects low directive and highly supportive leader behavior for followers that exhibit significant competence and uncertain commitment; and a delegating style (S4) uses low directive and low supportive leader behavior for followers that are highly competent and motivated (Blanchard, 2010; Thompson & Glasø, 2015). Using the situational leadership approach,

the leader adjusts her or her style to correspond to follower readiness and development to maximize individual and organizational performance.

Situational leadership theory is seen as more prescriptive than other leadership theories. According to Thompson and Vecchio (2009), the theory and model are widely used as guidance for training and focusing on the development of relevant skills for followers, and for developing leader-follower relations. McCleskey (2014) noted that despite its popularity in training environments, several studies had found flaws with the model including issues of internal consistency and the theory's reliance on "abstract leadership types that were difficult to identify" (p. 118). Another weakness, as pointed out by Ronald (2014), relates to the effectiveness of the model's leadership styles in dealing with moderate follower readiness, and where based on the model's structure, large numbers of followers end up in the middle levels. The model did advance our understanding of leadership with a three-dimensional approach, but its weaknesses led to additional research and the development of new theories.

Full Range Leadership Theory

Leadership theories had advanced a number of specific styles of leader behaviors, and with the addition of situational variables began to expand our understanding of leader-follower relationships. Burns (1978) viewed leadership as a complex process, a social relationship with elements of power and motives, and as "a structure of action that engages persons, to varying degrees, throughout the levels and among the interstices of society" (p. 3). To enhance our understanding of the structure or process of leadership, Burns identified two basic types of leadership: transformational and transactional. Burns

viewed most leader-follower interactions as transactional in nature, in which an exchange took place. Such exchanges could be economic in nature (e.g., *wages for work*), or financial support exchanged for social or political influence, or similar quid-pro-quo arrangements (Burns, 1978). This view of transactional leadership was characterized by Burns as maintaining social stability and at best led to limited change potential.

In contrast, transformational leaders were seen to have distinct qualities to influence followers to transcend self-interest and support common goals. Burns (1978) noted that transformational leaders focused on uniting followers behind a collective sense of common purpose and group objectives (Burns, 1978). This transformative approach was able to bring about large-scale change, shifts in values, and raise the focus beyond basic survival to higher order human desire for freedom and self-determination (Burns, 1978). To Burns, these transactional and transformational leadership types were in stark contrast to each other and leaders exhibited either one type or the other.

The idea that leadership styles were mutually exclusive did not resonate with all researchers. Bass (1985) did not see the same stark contrasts as Burns between leadership types and considered a theory in which the lines between the types may blur since leaders often exhibit them in “different amounts and intensities” (p. 26). This led to the development of FRLT, which is a construct of three principal leadership types: transformational, transactional, and laissez-faire (the absence of leadership) (Avolio et al., 1999). Leaders will, depending on a number of factors, exhibit varying degrees of potency in each leadership type (Avolio & Bass, 2001). The application of a leadership type did not mean the leader would abandon one for another.

Leadership is multifaceted, and for most leaders, it is a collection of styles that are captured in their idiosyncratic profile. According to Bass (1985), an individual's leadership profile is reflected in a dynamic movement along a path that is marked by different components of each leadership type, as shown in Figure 4. A leader will use aspects of both transformational and transactional leadership but will lean toward one over the other (Bass, 1999). The components of FRLT are drawn along a gradient that runs from laissez-faire, crossing into transactional leadership and onto to various aspects of transformational leadership, which are explored in the sections that follow (Bass & Avolio, 1994).

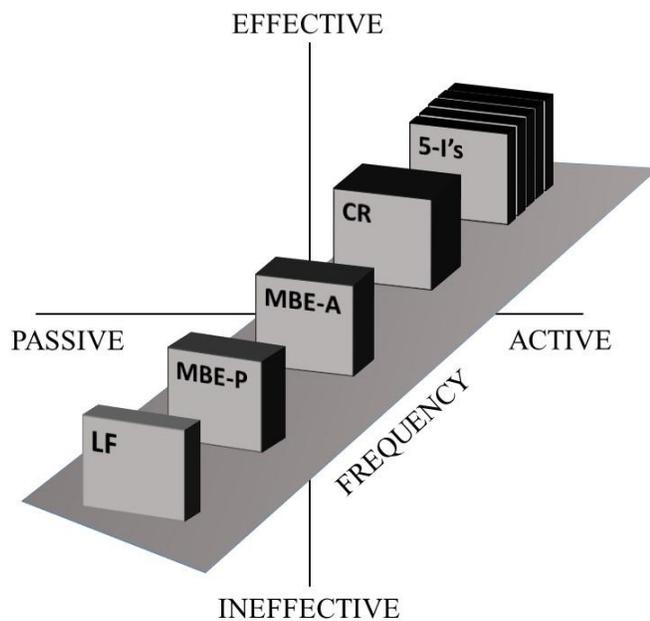


Figure 4. Full range leadership theory: Optimal model. Note: Adapted from Transformational Leadership (2nd ed.), by B. M. Bass and R. E. Riggio, (2006), p. 9. Copyright 2006 by Lawrence Erlbaum Associates, Inc. Reprinted with permission (see Appendix I).

Transformational leadership. The core of transformational leadership is the act of inspiring followers with a compelling vision that influences them to subordinate self-interests and work toward a common goal and purpose. The transformational leader can have a broad impact on overall organizational performance by having members focus on achieving collective objectives that transcend individual needs. The origins of transformational leadership are traced by Bass and Riggio (2006) to Weber's sociological analysis of charisma as one of the bases for power and authority. Charismatic authority emanates from the emotional, and personal connection with followers or disciples (Weber, 1947/2012). Weber saw the charismatic leader as having "exceptional powers and qualities" not ordinarily exhibited, (Weber, 1947/2012, p. 358). The disciples believe and trust in the charismatic leader whose passions and purpose sets him or her apart from others.

House's theory of charismatic leadership also influenced transformational leadership theories (Couto, 2013). According to House (1976), charismatic leaders exhibit certain attributes including "extremely high levels of self-confidence, dominance, and a strong conviction in the moral righteousness of his/her beliefs" (p. 10). These attributes are the foundation for attracting followers and building a strong emotional connection. The influence of these theories can be seen in the charismatic elements of transformational leadership. Bass described these as idealized attributes, idealized behaviors, and inspirational motivation (Avolio & Bass, 2004). Such leaders are seen as adept at understanding and using motivators to influence followers to follow their vision.

Burns (1978) and later Bass (1985) both looked at leader behavior from the perspective of Maslow's hierarchy of needs. Maslow's hierarchy begins with the lower-order needs, starting with the *physiological* needs for human survival, including food, water, shelter, and sleep (Maslow, 1954). The next level is *safety*, which includes security, stability, and protection, and which are often derived from being part of a group (Maslow, 1954). From this point Maslow moves to *psychological* needs, beginning with *love* or a sense of belonging; then to the emergence of *esteem* needs reflecting human want for both a belief in one's ability and a desire for the respect of others. Finally *self-actualization*, a desire to have an objective existence by achieving one's greatest potential (Maslow, 1954). At this level, people seek to actualize their potential and to achieve a high level of happiness in their lives by satisfying the yearning to be what one is meant to be.

Transformational leaders encourage followers to raise their individual and group expectations of achievement. Bass (1985) described the transformational leader "as one who motivates us to do more than we originally expected to do" (p. 20), "and often more than they (followers) thought possible" (Bass & Riggio, 2006, p. 4). They raise awareness in followers about the main organizational or group problems that restrain them from fulfilling their collective potential and rally their support to overcome them to achieve their goals.

Bass (1985) saw transformational leadership as a multidimensional construct that takes into account the behaviors and attributes of the leader and the resulting impact on followers. Transformational leadership was initially divided into three dimensions:

“charismatic-inspirational, intellectually stimulating, and individually considerate” (Bass & Riggio, 2006, p. 20). It was later translated into four dimensions when research showed that charismatic-inspirational should be divided into idealized influence and inspirational motivation (Bass & Riggio, 2006). The dimensions of transformational leadership are now characterized as the *five I's* with Idealized influence split into *idealized attributes and behaviors*, and the rest being *inspirational motivation, intellectual stimulation* and *individualized consideration*, which are detailed below (Avolio & Bass, 2004; Verlage et al., 2012).

The 5I's of transformational leadership. The FRLT model, as illustrated in Figure 4, separates and analyzes each component to elucidate the multidimensional nature of leadership and how each dimension influences follower behavior.

Transformational leaders, for example, exhibit a confluence of behaviors and traits that, depending on the situation and environment, are applied in varying degrees to achieve goals, elevate performance, and unify followers with a common purpose (Antonakis & House, 2002; Bass, 1999). Each component of transformational leadership (the 5Is) and its influence on follower behavior is outlined as follows:

Idealized attributes (IA) are reflected in the leader's ability to raise in followers a desire to be associated with their message. The leader instills a sense of trust and respect, and to have a sense of purpose that is aligned with a collective mission (Antonakis et al., 2003; Avolio et al., 1999). The followers attribute positive characteristics to the leader, such as purposeful, confident, powerful, engaging and charismatic (Antonakis et al.,

2003; Verlage et al., 2012). The leader exhibits attributes that followers see as aspirational and desirable.

Idealized behaviors (IB) are reflected in the leader's actions. Such behavior is consistent with their espoused values, and their actions are aligned with the group's mission (Antonakis & House, 2002; Bass & Riggio, 2006). IBs can draw commitment from group members to support uniform beliefs, ideals, and strategies that are meant to advance collective interests and achieve their objectives (Bass & Riggio, 2006). The leader models the actions and behaviors he or she expects. The goal is to tap into a follower's desire to fit in, conform and be seen as working toward the common objectives.

Inspirational motivation (IM) describes the ways in which leaders arouse followers to push themselves and stretch their limits. They provide a compelling and convincing vision of the future and secure follower commitments by instilling individual and group confidence in their abilities (Antonakis & House, 2002; Avolio & Bass, 2004). The leader uses IM to create a cohesiveness that binds them together to approach work with alacrity and supports the belief that they can achieve their vision by working together.

Intellectual stimulation (IS) describes the efforts by leaders to encourage creativity and innovation and the organizational environment tolerates mistakes made in the process of exploring potential solutions to group issues. Leadership inspires followers to break free from existing paradigms and consider new ideas and ways of approaching

their problems (Bass & Riggio, 2006). This type of environment unleashes intellectual curiosity and stimulates ideation that brings about continuous improvement.

Individualized consideration (IC) is seen as the way leaders support individual development. As noted by Antonakis and House (2002), “this outcome is achieved by coaching and counseling followers, maintaining frequent contact with them and helping them to self-actualize” (p. 10). The organization benefits from enhanced individual capabilities and improving their ability to work together in achieving organizational goals.

Enacting individualized consideration by the leader is often driven by the follower’s level of development, their grasp of and consideration for group or organizational objectives and how they act within the organization’s culture (Avolio & Bass, 1995a). In this context, the leader is to some extent being led by the follower since action and style are in response to follower behavior. The leader’s use of individualized consideration borders on a contingent reward approach by providing praise and support when the follower’s behaviors are aligned with group goals, and withholding support or applying consequences when they are not (Avolio & Bass, 1995a).

Transactional leadership. The transactional leader uses rewards of sufficient value that will motivate followers to apply enough effort to accomplish the required result. Both Bass (1985) and Burns (1978) described this as an exchange that directs organizational members toward completing the transactions necessary to accomplish personal and organizational objectives (McCleskey, 2014). The value for accomplishing a transaction can be a reward, an avoidance of a penalty, or other consequence which the

leader applies to motivate follower actions (Taylor, Psotka, & Legree, 2015; Tyssen, Wald, & Heidenreich, 2014).

Early views of the transactional leader describe a preoccupation with short-term outcomes and followers' lower order needs, which is in contrast with the transformational leader, who focuses on aligning follower values and motives with broader organizational outcomes. Burns (1978) narrowly viewed the transactional exchange between leaders and followers as short lived and creating "no enduring purpose that holds them together" (p. 20). Transactional leadership is now seen as a necessary underpinning of organizational life. Researchers have found that transactions often drive most leader-follower interactions and certain aspects can have a positive influence on overall follower attitudes and actions toward broader group interests (Tyssen et al., 2014; Tremblay & Gibson, 2015).

A transactional leader defines the follower's (subordinate's) role and details the process and requirements for effective task completion, which supports their confidence that such objectives are achievable. According to Bass (1985), the transactional leader examines and understands the various aspects of engaging in an exchange with the follower. Transactional leadership is seen by Bass (1985, 1999) to influence follower behavior through the use of contingent rewards, and management-by-exception in either active or passive role. Material rewards, such as a bonus for performance, are transactional in nature (Bass & Riggio, 2006), while psychological rewards such as praise or social recognition can be viewed as transformational (Antonakis et al., 2003; Bass &

Riggio, 2006). In either case, the purpose of the reward is to produce a positive influence on follower actions toward goal achievement.

Management-by-exception active is a corrective approach. Leaders keenly monitor performance and take corrective action when mistakes or deviation from standards are detected, which will interfere with successful task completion (Antonakis & House, 2002; Bass & Riggio, 2006). Leaders using this approach continually observe and check on subordinate progress to predict if goals will be met and determine when and to what extent intervention is necessary (Vito et al., 2014). *Management-by-exception passive* is seen when leaders wait to be informed or discover that mistakes or deviations have already occurred and then take corrective actions (Antonakis et al., 2003; Bass & Riggio, 2006). These leader-follower interactions are problem-focused and, depending on how the message is delivered, can either be constructive and supportive or penalizing and deflating to the follower.

Laissez-faire leadership. The third component of FRLT is laissez-faire or absence of leadership. The laissez-faire leader disengages, ignores their responsibilities, and shows an indifference to follower needs (Bass & Riggio, 2006; Kirkbride, 2006). Leaders exhibiting this style often avoid making decisions and fail to intervene in conflicts or provide direction (Kirkbride, 2006; Oberfield, 2014). Rowold and Borgmann (2014) referred to it as “the complete absence of leadership behavior” (p. 310). This inactivity can bring about role ambiguity, which can be seen as a cause of workplace stress because followers often desire or need some level of leadership (Skogstad et al., 2014). The absence of leadership creates a void which subordinates will attempt to fill and

may trigger attempts by individuals or groups to exert their influence, which can create a sense of disequilibrium.

While a passive management-by-exception style leader engages when subordinate performance negatively deviates from goal attainment, a laissez-faire style manager fails to react whether performance is good or bad (Hinkin & Schriesheim, 2008). The underperforming subordinate may use the work environment or other excuses for poor results. Because the laissez-faire leader is disengaged, the subordinate has no alternative perspective and is left to believe their assumptions are valid, which perpetuates poor results (Hinkin & Schriesheim, 2008). The opposite reaction can be seen from the perspective of a good performing subordinate. Because a nonresponsive leader fails to acknowledge positive results, job satisfaction and productivity may suffer (Hinkin & Schriesheim, 2008). In any situation, laissez-faire leadership has been shown to have a negative affect on organizational performance.

Organizational Change

There are many reasons for leaders to implement organizational change. The necessity for change is often driven by shifting market demands, technology advancements, or the need to adapt to the current competitive environment. The study of organizational change examines how organizations pass from one identifiable status to another and focus on why and how the process occurs (Kezar, 2001; Quattrone & Hopper, 2001). Despite the need for many organizations to change, research suggests a high rate of failure for change initiatives and some researchers indicate that as much as 70% of all change initiatives fail (Heckmann, Steger, & Dowling, 2016; Jansson, 2013).

The causal factors often cited for unsuccessful change programs include management's failure to organize a change process, misjudging organizational readiness, and failing to enculturate change (Choi & Ruona, 2011; Kotter, 1996). The development of change models provides leaders with a roadmap to follow when planning and implementing change. This section will look at the organizational change models of Lewin and Kotter, examine the stages, steps, and processes in each, and illuminate leadership's role in driving change and engaging the organization in the change process.

Lewin. According to many, Lewin's seminal work on leadership and organizational change provided the foundation for numerous contemporary theories on organizational development and change management (Burnes, 2007; Greiner & Cummings, 2004; Lane, Spector, Osland, & Taylor, 2014; Schein, 1988). In constructing his seminal theory, Lewin relied on his study of Gestalt psychology and the holistic view of how the person and their environment interact to influence behavior in the form of actions or inaction (Sabar, 2013). In understanding Lewin's contribution to planned organizational change, I looked at four interrelated theories: *field theory*, *action research*, *group dynamics*, and *three step model*.

Field theory. The core of field theory is formed around the concept that to understand human behavior, the subject is studied within the context of their environment. According to Lewin (1951/1997c), a researcher cannot parse out discrete elements for analysis. Instead, he or she must take a holistic view and analyze such elements in the context of "field," "life space" or "psychological environment" that includes all factors that are present at a given time that affect individual or group

behavior (p. 161). The researcher needs to look at the “causal relationships” within the field and how it impacts individual and group behavior (Berthaume, Romoser, Collura, & Ni, 2014, p. 817). Taking a holistic view reduces the risk of missing the cause and effect of actions and activities within the context of a group’s or individual’s environment.

The evaluation of actions or inaction is expressed by Lewin in the forces acting on the individual or group. The construct *force* is seen by Lewin (1946/1997b) as “the direction and strength of the tendency to change” (p. 349), acting upon a specific point within the field. A number of forces may be acting upon that specific point at the same time, creating a resultant force that affects behavior. Those forces that have a positive influence, such as need fulfillment or avoidance of negative situations, are described as “driving forces” (Lewin, 1947/1997d, p. 322), which lead to locomotion and change. Forces that impede locomotion and create barriers to change are described by Lewin (1947/1997c) as “restraining forces” (p. 322). If restraining and driving forces of equivalent strength act upon a point of application, the person or group enters a “conflict situation” (Lewin, 1946/1997b, p. 352), which can result in change or maintenance of the status quo. The cumulative effect of these forces dictates how the person or group will behave, act, interact, and the choices they will make.

Group dynamics. The way our behavior and actions are formulated is often deeply influenced by the groups that a person associates with during his or her life. As Lewin (1948/1999) pointed out,

the experiments on success and failure, level of aspiration, intelligence, frustration, and all the others, have shown more and more convincingly that the

goal a person sets for himself is deeply influenced by the social standards of the group to which he belongs or wishes to belong. (p. 07)

Lewin (1948/1999) saw groups as “sociological wholes” (p. 8) and recognized the interdependence, and mutual reliance members have on each other. The individual members are subject to group influence, which can impact their decisions, actions, and behavior.

Group standards and performance levels provide a certain constancy that the individual members work to uphold. Such efforts are toward maintaining group equilibrium, not unlike the forces of inertia at work in Newtonian dynamics. Lewin (1948/1999) was influenced by Newtonian physics, especially the natural forces that create motion or resistance. In the same way, Lewin saw human forces operating to maintain the status quo and resisting attempts to influence the individual to change. As Lewin (1947/1997d) pointed out, “most individuals, therefore, stay pretty close to the standard of the groups they belong to or wish to belong to” (p. 328). They would prefer to maintain the social equilibrium rather than knowingly stray from group norm, and therefore resist change efforts.

The dynamics of resistance operating within the group are not always of equivalent power, mass, and velocity, to borrow a few physics terms, and therefore offer various degrees of resistance. These different levels of resistance are most notably described by Lewin (1947/1997d) in the context of their social value, in which “the greater the social value of a group standard the greater is the resistance of the individual group member to move away from this level” (pp. 328–329). In situations where the

powers of social values were significant, Lewin (1947/1997d) prescribed confronting groups, often face-to-face, rather than attempting to sway the individual. In this case, by confronting the group and reducing or eliminating the forces of resistance, the individual will find it easier to enact the required change.

Action research. Action research was developed as a process to follow in organizing and implementing social change. In an attempt to improve intergroup relationships, Lewin (1946/1997a) saw that although different social groups had a fair amount of goodwill toward improving relations, they did not know what to work on first, how each group will be impacted, and exactly what needs to be done. The action research process starts with problem definition and understanding reasons to change, which is used to align groups behind one approach (Lewin, 1946/1997a). The next step requires change leaders to have a grasp on current situational reality and understand the available resources and time to enact change; and finally, leaders apply an iterative process to evaluate the plan at each step, which offers a basis for recalibrating their actions and devising each subsequent step (Lewin, 1946/1997a). Completing the first step leads to planning and executing each subsequent step and so on. Each time the actions are evaluated through this cycle, it sheds light on the strengths and weaknesses of the plan and provides a rational basis for planning each subsequent step and makes the process more effective and efficient.

Three-step model. A planned organizational change includes removing or reducing the resistance to change, the change itself, and creating an environment in which the change remains intact. Lewin (1947/1997d) captured these concepts of planned

change in three steps: *Unfreezing, Moving, and Freezing* (p. 330). There are other types of organizational changes which are unplanned or emergent, which tend to be messy and not well suited for models related to planned change (Higgs & Rowland, 2005). Planned changes are usually about advancing the group or organization to a new level and are less reactive in nature.

Unfreeze. The forces at work within the individual or group act to maintain a certain equilibrium, social conduct, or group standards that will resist change. The first step requires an unfreezing of the present level to remove or reduce the resistance and allow the current situation to be altered into a more desirable state. Allport, (as cited in Lewin, 1947/1997d), has described the unfreezing as a “catharsis which seems to be necessary before prejudices can be removed. To break open the shell of complacency and self-righteousness, it is sometimes necessary to bring about deliberately an emotional stir-up” (p. 330). This first step, the process of unfreezing, prepares the organization or group for the planned change. When thawed, the resistance to change has been softened and readied for acceptance of the next step. The forces that gripped the group or individuals have lessened so that a new reality can be formed.

Move (change). Now that the situation has been made sufficiently malleable and released from the relative grip of restraining forces, leadership will act to move the group or organization forward to a new more desirable level. Here is where Burnes (2004) points us to the iterative process of action research, during which Lewin intended the change initiator to repeat the “approach of research, action, and more research which enables groups and individuals to move from a less acceptable to a more acceptable set of

behaviors” (p. 986). Implementing the change in this way allows it to be continuously evaluated and recalibrated based on analysis of its progress, action, and related research.

Freezing the change. Once changes are implemented, and the objective of moving to a new level is achieved, Lewin (1947/1997d) observed that unless making the change permanent or permanent for a desired period of time, that group life would migrate back to the previous level. The refreezing, like turning a liquid into a desired solid form, is not a single event but rather it is about maintaining a constant temperature over the course of time. The unfreezing had the impact of creating disequilibrium in the group and altering of behaviors necessary to accomplish the desired change. Without sustaining an adequate resolve to keep the new level, it may, in whole or in part, unfreeze and return to the previous state or reshape into an undesirable form. In the refreezing process, the change initiator must acknowledge the requirement to create forces that will anchor the new change level and mitigate any challenges to move backward to the previous level.

Summary. Field theory, group dynamics, action research, and the three-step model are interrelated and were meant to be used to analyze, formulate, implement, and sustain change. The three step model is often cited as a singular change model, yet Burnes (2004) points out that “Lewin saw the four concepts as forming an integrated approach to analyzing, understanding and bringing about change at the group, organizational and societal levels” (p. 85). To enact the three-step model, leadership uses the tools found in field theory and group dynamics to understand the forces at work both for and against change, and action research to develop and evaluate the plan’s steps to

unfreeze, move, and refreeze the change so that it achieves some level of permanence within the organization. Each is integrated into the process and together, they form the basis for Lewin's change model construct.

Kotter. The foundation of Kotter's organizational change model is that leaders must follow a series of specific steps enact and perpetuate a successful change. In opening the 1995 article *Leading change: Why transformation efforts fail*, Kotter described two general lessons learned about organizational transformations. First, successful change most often goes through a series of stages or "phases that, in total, usually require a considerable length of time" and "skipping steps creates only the illusion of speed and never produces a satisfying result" (Kotter, 1995, p. 59). Second, Kotter notes that even competent leaders "often make at least one big error" (p. 60), and in highlighting these errors, provides insight of what not to do and forms a model of what does work. Although multiple stages are often attempted at the same time, Kotter (1996) warns of not getting out of sequence and emphasizes that each stage is meant to form a strong foundation for the next. If leaders attempt to go out of sequence or try acting on more than one stage at a time, this may cause the change initiative to buckle and possibly fail (Kotter, 1996). A sequential list of all stages was defined by Kotter (p. 21) as follows:

1. Establish a sense of urgency.
2. Form a powerful guiding coalition.
3. Create a vision.
4. Communicate the vision.
5. Empower others to act on the vision.

6. Plan for and creating short-term wins.
7. Consolidate improvements and producing still more changes.
8. Institutionalize new approaches.

Stage 1: A sense of urgency. A sense of urgency creates a call to action such that failing to act is itself a threat to the organization. The now Mayor of Chicago, Rahm Emanuel (as cited in Minas, 2009) was quoted as saying, “You never let a serious crisis go to waste. And what I mean by that it's an opportunity to do things you think you could not do before” (p. 1). The statement echoes what Kotter viewed as seizing a crisis or threat of a crisis as a catalyst for change and helping the organization break free from the status quo. This stage is critically important because of the underlying threat of complacency within the organization. Complacency is “a feeling of contentment or self-satisfaction, especially when coupled with an unawareness of danger or trouble” (Kotter, 2008, p. 19). It is up to leadership to frame the crisis or significant opportunity in a way that disrupts the belief in the adequacy of the status quo and paints a picture that clearly shows the importance to change.

A true sense of urgency is reflected in the behavior of employees through “action which is alert, fast moving, focused externally on the important issues, relentless and continuously purging irrelevant activities to provide time for the important and to prevent burnout” (Kotter, 2008, p. 11). The need for an externally focused effort is to gain a better understanding of the environment in which the organization operates and gain insight into how it is perceived from the outside. This often uncovers misconceptions about how the organization is doing or what is expected that internalized thinking tends

to overlook. Another critical point by Kotter is the purging of irrelevant activities, especially meetings that produce little or no actionable ideas.

Stage 2: Forming a powerful guiding coalition. The scale and scope of organizational change are often beyond the capacity of a single individual. Although the face of many notable change initiatives is a single individual, behind him or her is a team of people (Kotter, 1996). The team in this discussion is the guiding coalition that drives the change initiative. Kotter (1996) pointed out the general attributes of a successful team that works well in driving change. These include the right composition of a diverse group, trust between members, and shared view of the problem at hand (Kotter, 1996). This shared view allows for the team members to better adjust their input and task orientation to driving change and improves communication between team members (Ferdousi, 2012). It highlights the importance of Stage 1 and the requirement for a well-defined urgent issue to focus on. The four key characteristics for forming the guiding coalition were summarized by Kotter (1996) as follows:

- *Position power:* Are there enough key players on board, especially the main line managers, so that those left out cannot easily block progress?
- *Expertise:* Are the various points of view regarding discipline, work experience, nationality, etc. relevant to the task at hand adequately represented so that informed, intelligent decisions will be made?
- *Credibility:* Does the group have enough people with good reputations in the firm so that its pronouncements will be taken seriously by other employees?

- *Leadership*: Does the group include enough leaders to be able to drive the change process? (p. 57)

These characteristics reflect the requirement for thoughtful consideration of forming a multi-dimensional team that can assure the various constituencies within the organization a voice in helping drive change and limit the doubts aimed at the coalition's decisions.

Stage 3: Creating a vision. Vision provides an organization's constituents (internal and external) with a picture of what its future might look like. The organization's vision statement provides direction and clarifies for members "who they are, where they are going, and how they are going to get there" (Cady, Wheeler, DeWolf, & Brodke, 2011, p. 65). The vision galvanizes the leadership and members with a *reason* and a *why* they are taking action. As noted by Kotter (1996), an effective vision has six key attributes: "It is imaginable, desirable, feasible, focused, flexible, and communicable" (p. 72). The vision connects organizational activities to expected outcomes. It helps drive the formation of strategy, plans, and budgets; the elements that will organize and execute steps necessary to realize the vision (Kotter, 1996).

Stage 4: Communicating the vision. Successful vision statements clearly communicate a purpose that aligns members behind a common goal. Kotter claimed the important elements of successfully communicating a vision are simplicity; metaphor, analogy, and example; multiple forums; repetition; leadership by example; explanation of seeming inconsistencies; and give-and-take (Kotter, 1996, p. 90). Clarity and ease of understanding will assist leaders as they attempt to gather commitment toward the realization of the vision.

Stage 5: Empowering others to act on the vision. Empowerment is built on the strong foundation formed from having a clearly defined and well-communicated vision. According to Kotter (1996), empowerment includes the concepts of a delegation of power; interactive empowerment by giving employees a greater sense of participation in achieving the vision; and the necessary training to understand issues, implement change, and solve problems. If the vision is compelling and supported throughout the organization, it will lead members to have the confidence to make decisions and take actions that are aligned with organizational objectives.

Stage 6: Planning for and creating short-term wins. While the change process is taking place, the determination to see it through runs the risk of waning unless reinforced by more than just encouragement from leadership. Kotter (1996) points to having and publicizing short-term wins as a way of sustaining the change effort. Such wins must be “visible” so the organization can see the results for themselves; “unambiguous” so that results easy to understand and cannot be argued; and be “clearly” connected to the change effort (Kotter, 1996, p. 122). It is critical to show that the time and effort invested in change are worth it to those involved and reward them by acknowledging their efforts. Change leaders also need to review and if necessary refine the vision, tactics, and strategy; and continually build momentum toward meeting the organizational objectives.

Stage 7: Consolidating improvements and producing still more changes. In attempting to sustain any substantial change initiative, leaders need to have a long-term focus driven by a clearly defined and compelling vision. The vision of the future must be

convincing so that the organization's members feel that the pain of change is worthwhile (Kotter, 1996). In Stage 7, change leaders consolidate improvements and use this momentum to drive the efforts forward (Pollack & Pollack, 2015). To help assure the permanence of the change, leaders should conduct a detailed assessment of change outcomes and bolster any areas that require improvement (Kotter, 1996). Absent such actions will risk undermining the change and weaken its sustainability.

Stage 8: Anchoring new approaches in the culture. To sustain organizational change requires leaders to engrain it in the culture. Kotter (1996) defined an organization's culture as the “norms of behavior and shared values among a group of people” (p. 148). The process of enculturation is seen as transferring the norms of behavior and values to new organization members and acting in ways consistent with them (Kotter, 1996). Leaders can support the change by including the measuring of expected outcomes as part of a standard periodic review, and other actions that demonstrate the importance placed on making the change permanent.

Organizational leaders must also watch for a retreat to old ways of doing things or watering down the change to make it more palatable to existing employees. The process of enculturating the organizational changes may require changing key personnel that can't accept that improvements have been achieved and hamper the ability of the organization to move forward (Kotter, 1996). Lastly, Kotter (1996) noted the importance of succession planning and assuring promotions and new hires are compatible with the new practices and aligned with the new culture.

Kotter's model is seen in management literature as a leading change model, and several researchers have suggested its popularity is based on its easily understood approach and clearly defined steps (Appelbaum, Habashy, Malo, & Shafiq, 2012; Farkas, 2013; Kuipers et al., 2014). Several researchers have criticized Kotter's insistence on an orderly integration of all steps when there is a lack of empirical data to support a rigid approach (Appelbaum et al., 2012; Kuipers et al., 2014). It is important to note that the steps defined in Kotter's model are for planned organizational change representing a significant departure from existing conditions. Leaders will need to consider the time, resources, and training required to follow such a process and balance this against the expected benefits.

Turnaround and Organizational Change

Organizational turnarounds, like most planned change initiatives, are viewed as a process with a series of essential stages or steps. It is a form of organizational change characterized by a rapid recovery from a period of decline or consistent underperformance, or can be seen as a swift reversal from a period of poor performance in the view of owners or stakeholders (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992). In the case of a turnaround, the organizational change ensues primarily in response to a period of decline or underperformance; or a period of deterioration of resources that threatens its existence (Pandit, 2000; Trahms et al., 2013). In many turnaround situations, change is a matter of survival in which high expectations are placed on leadership to execute a plan that changes the trajectory of the organization.

There are a number of turnaround models that provide the guidance for leaders of distressed companies. These include including Arogyaswamy, Barker, Vincent, and Yasai-Ardekani's (1995) two-stage contingency model with decline ending and recovery strategies, and Robbins and Pearce's (1992) two-stage model of “retrenchment” and “recovery” (p. 290). Such two-stage models have a simple premise of stabilization followed by advancing with a newly defined operational outlook.

The complexities of a turnaround were considered by several researchers to exceed the framework of simple two stage theories. This led to new theories that expanded the number of stages and looked at additional dimensions. Chowdhury (2002) developed a four-stage model that defines stages as “decline (causation analysis), response initiation, transition, and outcome” (p. 253). In this model, Chowdhury focused on the importance of understanding the factors that caused the decline, which is used to develop a comprehensive turnaround plan and strategies. This includes defining objectives, a plan of action, creating performance measures, and establishing a deadline for measuring success or failure. Boyd (2011) provided a five-stage turnaround model as illustrated in Table 1. The model incorporates elements from successful turnaround case studies, Lewin’s three-step model, and Kotter’s eight-stage change model (Boyd, 2011).

Table 1

Boyd's Five Stage Turnaround Model

Stage	Stage title	Description
1	Solidify personal leverage	Perform a situational analysis to determine internal and external causation and obtain formal support from ownership and principal stakeholders for the defined objectives.
2	Set the stage	Explain the plight by defining the threat to the organization, provide clear expectations and objectives, and focus on external challenges or threats to motivate and unify the team.
3	Generate open dialogue	Encourage ideation and reflective activities to consider new ways of approaching issues, and lead by example.
4	Stabilize the situation	Enact headcount and cost reductions, reduce or eliminate bureaucracy, assess the talent pool, determine if adequate skills exist internally or if new hires are required.
5	Spawn success	Enable learning, especially from past failures, and look to the external environment for new learning opportunities. Set interim performance targets, monitor results and provide feedback, and reinforce success.

Note. Adapted from “Lessons from Turnaround Leaders” by D. P. Boyd, 2011, *Strategy & Leadership*, 39(3), p. 42. Copyright Emerald Group Publishing Limited (2011). Reprinted with permission (see Appendix K).

The various change models described earlier in this section share common themes. These include stabilizing the current situation, understanding causation, assessing assets and time available, defining interim and overarching objectives, communicating and engaging with internal and external stakeholders and employees, encouraging organizational learning, and defining a recovery or growth plan (Al-Haddad & Kotnour, 2015; Chowdhury, 2002; Panicker & Manimala, 2015). These elements, including establishing a sense of urgency, creating and communicating the vision, empowering employees, and enculturating change, are found in Lewin’s action research theory and

three-step model, as well Kotter's eight stage model. The turnaround theorists emphasize the importance of understanding causation, having a grasp on current reality, and the necessity to act rapidly, as crucial to success (Harker & Sharma, 2000; Panicker & Manimala, 2015). This focus is understandable given the importance of stabilizing the situation before permanent change can be initiated.

Turnaround and Organizational Leadership

Effective use of turnaround change models is contingent on leadership's ability to execute on the resulting plan. Critical to this is leadership having an understanding of the causes of decline and requires research into whether causes are internal or external to the organization (Arogyaswamy, Barker, Vincent, & Yasai-Ardekani, 1995; Panicker & Manimala, 2015). The primary causes for decline will define whether leadership change is necessary. In some situations, existing leaders might be critical to generating a successful turnaround. If causes were beyond their control, which can be uncovered from an analysis of decline causation, existing leaders could provide the business and market knowledge to support a turnaround strategy (Arogyaswamy et al., 1995). Regardless of whether existing or new leaders are brought into a failing organization, leadership is pivotal to a successful turnaround (Bibeault, 1998; Harker & Sharma, 2000).

The first phase of a turnaround is often a disruption of the status quo. It can be seen as "a severe shock to the system" (Harker & Sharma, 2000, p. 43), and can be characterized, using Lewin's (1947/1997d) terminology as a rapid *unfreezing* of the existing organizational paradigm. Also, Kotter's (1996) *creating a sense of urgency* can be seen as a necessary action for leaders to take as they enact retrenchment activities to

stabilize the situation. It is critical for leaders to take actions that stop the decline and is the reason why in many situations a new leader is brought in before resources are exhausted.

The next phase in most turnaround models has an overarching theme of recovery and business reorientation. Leaders move the organization out of a stabilization mode into a phase that seeks to align its strategies with market needs and long term organizational objectives (Harker & Sharma, 2000; Panicker & Manimala, 2015). Beyond reassurances to employees that the organization has been stabilized, actions and decisions by the leader that demonstrate a stable environment that will help overcome past uncertainties. The recovery phase relies on aspects of leadership that are considered transformational and includes vision creation and communication, empowerment, and inspiring trust and optimism (Verlage et al., 2012).

Successful turnaround leaders are adept at assessing situational factors such as decline causation, market needs, and internal and external environment. According to Panicker and Manimala (2015), such leaders demonstrate an ability to apply those leadership behaviors best suited to move the organization through the stabilizing and recovery phases. It is in a turnaround environment that Harker and Sharma (2000) saw the necessity for leader behavior to navigate along a continuum that requires aspects of situational, transactional and transformational leadership. Yandava (2012) described the turnaround leader as one that stabilizes the organization through transactionally focused leadership and moves forward with a transformational focus that arouses and empowers the team behind a compelling vision and a sense of optimism.

Researchers have seen successful turnaround leadership behavior as multifaceted and more of a collection of styles applied to the leader rather than a single style (Harker & Sharma, 2000; Panicker & Manimala, 2015; Yandava, 2012). In examining the leadership exhibited in this case study, I will use FRLT, which is a construct based on multiple leadership styles. Elements of FRLT are seen throughout the organizational turnaround literature and are most evident as the organization moves from stabilization to recovery and growth (Harker & Sharma, 2000; Panicker & Manimala, 2015; Yandava, 2012). It is through this lens that I will examine Hodges's leadership that resulted in the turnaround of the 1969 New York Mets.

Organizational Culture Theories

Organizational culture is a dynamic and guiding force that supports common actions and activities and impedes those that are not aligned with overarching goals. The construct of culture has its roots in anthropology and is used to analyze the interactions of societal members, how they relate and interact, and the nature and scope of society's influence (House et al., 2004; Schein, 2010; Schneider et al., 2013). Culture, as stated by House, Javidan, Hanges, and Dorfman (2002), does not have a single universally agreed upon definition. Schein (2010) defined the anthropological perspective of culture as "the customs and rituals that societies develop over the course of their history" (p. 13). Kroeber and Kluckhohn (as cited in Deshpande & Webster, 1989) saw the nature of culture as a product, reflecting society's history, ideas, values, symbols, and behaviors. House et al. (2002) added the elements of shared motives, identities, and interpretation of major events through shared experiences to the definition of culture.

Culture is rooted in shared experience, shared values and the customs that influence acceptable group behavior and actions.

The common threads of culture develop into shared connections that bond individuals together. Hofstede, Hofstede, and Minkov (2010) described culture as “the collective programming of the mind that distinguishes the members of one group or category of people from others” (p. 7). Group members learn the various cultural elements through exposure to patterns of thinking that reflect social values, ideas, norms, and behaviors from proximal social groups such as family and local communities, formal educational institutions, and other social organizations (Hofstede, 1980). The enculturation process is woven into the social environment in which culture is transferred both formally and informally between members.

Organizational cultures are components of the broader societal culture that have developed around the organization’s defined purpose, structure, and stated objective. Organizations are viewed as a group with a stated purpose, formal goals and structure, and whose members interact to achieve such goals (Hersey et al., 2008). There are several definitions of organizational culture. Deshpande and Webster (1989) defined organizational culture as “the pattern of shared values and beliefs that help individuals understand organizational functioning and thus provide them with the norms for behavior in the organization” (p. 4). Schneider and Rentsch (as cited in Deshpandé, Farley, & Webster, 1993) described culture as why things happen the way they do; and an organizational culture was seen by Bass and Avolio (1993) as the “glue that holds the organization together as a source of identity and distinctive competence” (p. 114). An

organization's culture reflects the influence of the larger social culture and the idiosyncratic perspectives of founders and leaders that direct group actions and behaviors.

Schein (1984) provided the most prevailing and commonly cited contemporary definition of organizational culture (Belias & Koustelios, 2014; Dauber, Fink, & Yolles, 2012; Zehir et al., 2011). Schein defined culture as

the pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration, and that have worked well enough to be considered valid, and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 3)

Organizational members experience a “collective programming” of group norms, values, and patterns of thinking (Hofstede, Hofstede, & Minkov, 2010, p. 6). This leads to actions, behaviors, and decision-making approaches that are considered acceptable, minimize group anxiety and orient members in the same direction.

Schein's theory of organizational culture. An organization's culture is considered to be a force perceived by members that guide their actions and activities behind a common purpose. Because members are percipient of culture's influence and its nature becomes part of organizational consciousness, Schein focused on defining its core aspects and recognizing their utility. Schein (2010) argued that an organization's culture can be seen in key levels or dimensions as viewed in its *artifacts, espoused beliefs and values*, and *basic underlying assumptions* (p. 24).

Artifacts are both tangible and observable cultural elements that reflect the shared values, goals, experiences and dynamics that form the organization's operating environment. Artifacts are sensory in nature and include such elements as an organization's language, jargon, or expressions; dress code; physical environment; processes and technology; and its products or creations (Schein, 2010). An organization's culture manifests itself in organizational symbols, stories, and legends, how group members interact and their patterns of behavior, operations manuals, and organizational charts (Schein, 1984, 2010). These elements represent the social glue that bonds individual members together.

In the absence of specific direction from an organization's leaders, the espoused values and beliefs are meant to govern and guide decisions and influence activities directed toward achieving organizational objectives. There are also those values that cannot be empirically tested, such as moral guidelines, that instead are integrated into the culture through shared social experience (Schein, 2010). These types of beliefs and values, when applied, create a sense of equilibrium, social harmony, and an atmosphere that members are going in the same direction.

An organization's members are influenced by their culture to adopt its basic underlying assumptions. One way is to use the same information processing techniques, which lead to decisions that are seen as acceptable to the group. The third level of culture is represented by the basic underlying assumptions of those preferred actions that have proven successful over time (Schein, 2010). These become the group's collective "thought world" or "mental map" by which they view and interpret situations, actions,

and activities (Schein, 2010, p. 29). These are so engrained they become part of the subconscious processing of information, which in turn influences action.

Leaders directly influence organizational culture through their actions and behaviors that support their espoused values, goals and expectations (Schneider et al., 2013). As Schein (2010) pointed out, there are “embedding mechanisms” (p. 236), which are used by leaders that influence member perception of the importance of various cultural dimensions. These mechanisms are driving forces manifested in leader behaviors and actions that support cultural messages.

Members of an organization will react to what their leaders pay attention to and how they reward achieving the desired result. Leaders use embedding mechanisms as a means of conveying what they deem important, which reinforces the dynamics that make up the desired organizational culture. As noted by Schein (2010), the primary mechanism is seen in what the leader measures and attempts to control. Consistency and regiment also support this mechanism and spotlight leader expectations (Schneider et al., 2013). A leader’s attention must be unambiguous and focused on a small number of core cultural elements.

When the leader’s actions and behaviors are consistent with the espoused values, beliefs, and other cultural standards, they become engrained in daily routines and activities. Members will pick up on cues from visceral outbursts over noncompliance or positive support when followers embrace the leader’s values or standards of behavior (Schein 2010). The primary embedding mechanisms become mutually reinforcing and help sustain the enculturating process. While these mechanisms offer leaders instruments

to build an organization's structure, it is the actions and behaviors of the leader that fasten them together.

Secondary embedding mechanisms reinforce leadership's messages and are discernable through the organization's structure, routines, and processes. These mechanisms fall under the definition of cultural "artifacts" because they are observable and visible to the organization (Schein, 2010, p. 250). These are what Martin (2002) described as manifestations that provide insight into an organization's culture through its informal and formal practices, themes, and forms such as its stories and rituals. The ultimate adoption of cultural elements and its strength to guide its members is based on whether it leads to organizational success.

Organizational Culture Models

The use of organizational cultural models and classifications can help leaders understand and evaluate the cultural complexities of their organization. Several theoretical models and classifications have been developed to analyze and describe various types of cultures and cultural dimensions (Dauber et al., 2012; Hofstede et al., 2010; Zehir et al., 2011). These models provide insight into member perceptions of cultural elements, such as values and norms, and how strong a connection they have with organizational goals and leader expectations.

With an absence of agreed upon values, priorities, objectives, and focus, group members may have differences and experience tensions or forces that can interfere with achieving organizational goals. To overcome these differences and inherent tensions, a dominant culture emerges that helps define the organizational activities and actions

(Cameron et al., 2014; Szabó & Csepregi, 2015). Leaders play a central role in defining, forming, and engraining an organization's culture. Schein (2010) described this connection as "two sides of the same coin such that leadership is responsible for the formation of the organization's culture and that culture then determines "the criteria for leadership" (p. 22). The culture provides a common conception of purpose, expectations, and direction that helps mitigate internal organizational stress and conflict.

Quinn and Rohrbaugh (1981, 1983) looked at the various dimensions underlying organizational effectiveness to provide a framework for research, analysis, and understanding of how competing values, structure, and goals coalesce toward a dominant position. An outgrowth of this initial work is the CVF, which includes the strategic, value, structural and cultural dimensions of an organization (Denison & Spreitzer, 1991, p. 3). The CVF provides researchers a platform to identify and classify the type of culture that exists within an organization and diagnose whether it needs to change or is aligned with achieving organizational objectives.

In the CVF model, the positioning of opposing values helps to provide meaning and facilitate analysis of an organization's culture. The CVF, as illustrated in Figure 1, contains "core dimensions" that dissect the chart into quadrants, which "represent opposite or competing assumptions" (Cameron et al., 2014, p. 11). The vertical axis reflects the organization's orientation toward "individuality and flexibility" on one end, which indicates a willingness to innovate and adapt (Cameron et al., 2014, p. 8). On the opposite end, the culture is aligned with stability and control and a preference for conformity and consistency. The horizontal axis has on one end an orientation toward a

culture that has an internal focus on the organization's capabilities and member cohesiveness and on the other end an external focus on competitive organizational positioning and independent and radical thinking (Büschgens et al., 2013; Cameron et al., 2014). A company that defines an objective to be a technology market leader would benefit from an external focus and radical thinking, while a company that wants to excel at being the low cost producer of a commodity product would likely have an internal focus and foster effective teamwork.

Intersecting points on the chart would indicate the strength and direction of the organization's culture. According to Cameron, Quinn, Degraff, and Thakor (2014), leaders and their organizations settle into one or more of these quadrants, resulting in the formation of a dominant cultural type. These cultural types are defined as "clan, adhocracy, market and hierarchy" and each is connected to a leader and employee activity orientation described as "collaborate, create, compete and control" (Cameron et al., 2014, p. 11). Each quadrant has a distinct set of elements including values, actions, and behaviors that reflect on certain organizational dynamics.

The hierarchy culture is seen as more formal with specific rules and policies focused on operational efficiency and financial measurements (Belias & Koustelios, 2014; Cameron et al., 2014). This is a traditional structure with a chain-of-command and organizational members are bound by rules and are internally focused. Clan cultures reflect a supportive and collaborative orientation in which teamwork, connectedness, and employee empowerment and development are important (Belias & Koustelios, 2014; Cameron et al., 2014). This type of culture values mentoring, engaging employees and an

informal organizational structure. In the adhocracy, creativity, independence and innovation are encouraged (Cameron et al., 2014). Leaders of this type of organizational culture value being on the leading edge, the first to market with new products or services, and encourages entrepreneurial thinking. The market culture is all about winning, with a highly competitive orientation and customer focus supported by leadership that values speed and is results-oriented (Cameron et al., 2014). Employees are expected to act with alacrity and beat the competition on all fronts.

When using the CVF model, researchers focus on defining the dominant culture and assisting leaders on how to channel or change the culture to achieve effective organizational performance (Schneider et al., 2013). There have been criticisms of this framework that suggest organizations with competing values in opposite quadrants can be “complementary” (Schneider et al., 2013, p. 375) and having multiple strong cultural dimensions can add value to the organization. This raises the question whether cultural pluralism in organizations can be effective or disruptive to performance (Hartnell, Ou, & Kinicki, 2011). Although there have been criticisms of CVF regarding aspects of organizational culture, the theory and model have been applied to studies of organizational climate.

In an attempt to explore the connection between organizational culture and organizational effectiveness, Denison and Mishra (1995) developed a model to analyze the relationship between these two constructs. The cultural construct has at its core a system of values and beliefs that drive organizational activities and influences member behavior (Denison, 1997; Denison & Mishra, 1995). The framework of the model is built

around this cultural core, which was an outgrowth of research by Denison and others into cultural characteristics of high and low performing organizations (Denison et al., 2014). The framework is anchored by four cultural traits identified with high performing organizations: “involvement, consistency, adaptability, and mission” (Denison & Mishra, 1995, p. 204).

Involvement represents employee feelings of autonomy, responsibility and a sense of ownership and commitment to the organization (Denison, 1997; Denison et al., 2014). Employees feel connected and engaged in the internal processes of making the organization successful. Consistency refers to the integration of organizational processes and function behind core values, shared beliefs, and coordinated activities (Denison & Mishra, 1995; Denison et al., 2014). The employees draw on agreement and consensus aligned with a framework of core values and beliefs to achieve organizational objectives. The adaptability trait represents an ability of an organization to interpret changes in the operating environment, such as changing customer needs or competitive pressures, and respond with corresponding changes to assure organizational success (Denison, 1997). Leadership focuses attention on such changes and seeks new and innovative approaches to these challenges and adapts to the new environment. The fourth trait, mission, represents the purpose, strategy, and organizational goals that form a clear sense of direction and meaning (Denison, 1997; Denison et al., 2014). As noted by Denison (1997), mission helps to define the necessary changes to achieve a desired future state. Taken together, the four traits included in the model form a basis for analysis of the competing strength and direction of forces

As in physics, the forces pulling in opposite directions cause tension between the objectives at both ends. These competing forces, as illustrated in Figure 5, align the four principal traits across an external versus internal focus and an orientation toward change versus stability (Denison, 1997). This cross sectioning of the organizational traits creates four pairs along a line of tension created by opposing forces that reflect leadership's directional emphasis behind dimensions underlying each trait.

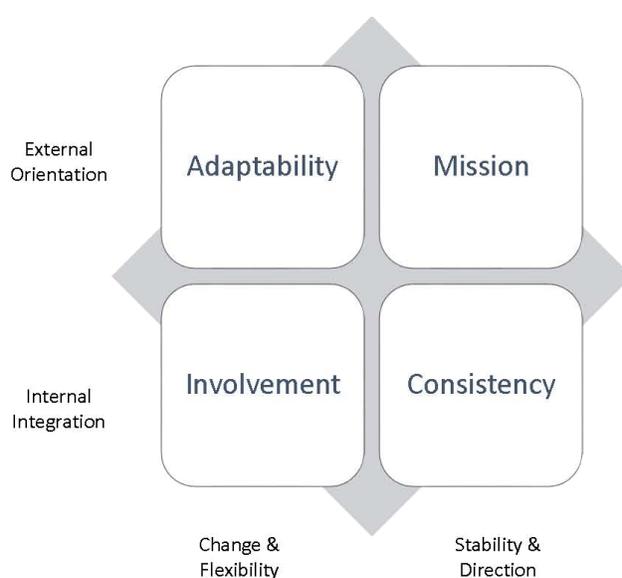


Figure 5. Denison Organizational Culture Model. Adapted from Corporate Culture and Organizational Effectiveness (2nd Ed.), by D. R. Denison, 1997, p. 15. Copyright 1997 by Daniel R. Denison. Reprinted with permission (see Appendix G).

Each trait is examined through a structure of three underlying dimensions, which are related to aspects of leading or managing an organization that impacts organizational culture. According to Denison, Nieminen, and Kotrba (2014), the involvement trait encapsulates *empowerment*, *team orientation*, and *capability development* (p. 151). Empowerment reflects the extent that employees have the authority to self-manage,

which provides a sense of ownership and responsibilities for their actions (Denison et al., 2014). Team orientation shows how members work cooperatively to achieve common goals; and capability development demonstrates the extent that the organization invests in skill development to enhance its competitive positioning (Denison et al., 2014).

Underlying the consistency trait are *core values*, *agreement*, and *the coordination and integration dimensions* (Denison et al., 2014, P. 151). The core values dimension represents a shared set of values that provide a sense of identity and align activities toward achieving organizational goals; and the agreement dimension is the extent that members work through competing perspectives to coalesce on a common approach to goal attainment (Nieminen, Biermeier-Hanson, & Denison, 2013). Coordination and integration reflects the forces behind getting divergent business units or groups within the organization to remove barriers to create a cooperative environment focused on achieving organizational goals (Denison et al., 2014).

The adaptability trait contains the *creating change*, *customer focus*, and *organizational learning* dimensions (Denison et al., 2014, p. 151). Creating change reflects the organization's capacity to innovate or adapt in response to changing market forces; and customer focus is the extent leaders listen and grasp market demands and prioritize customer satisfaction (Denison et al., 2014; Nieminen et al., 2013).

Organizational learning is a represents the organization's capacity to innovate, take risks, and disseminate knowledge that translates into new opportunities (Denison et al., 2006).

The mission trait integrates the *strategic direction and intent*, *goals and objectives*, and *vision* dimensions (Denison et al., 2014). Strategic direction reflects the importance

leadership places on communicating the organizational mission, which creates a sense of purpose for the members and draws a connection between the strategy and daily activities (Denison et al., 2014; Nieminen et al., 2013). The goals and objectives dimension represents the extent to which leaders create actionable steps to achieving the organization's strategy and mission and clearly states the objective in order to drive achievement (Denison et al., 2006; Nieminen et al., 2013). Vision represents the extent to which leadership provides an inspiring statement that guides and directs organization members toward achieving a desired future state (Denison et al., 2006). These 12 dimensions underlying the four traits form the basis for questions included in the DOCS instrument, which will be discussed in Chapter 3.

According to several studies, the highest performing organizations have a dynamic equilibrium across the opposing forces that give balance to the four cultural traits (Boyce, Nieminen, Gillespie, Ryan, & Denison, 2015; Denison & Mishra, 1995; Denison et al., 2014; Nieminen et al., 2013). The Denison organizational culture model offers a platform to analyze an organization's culture and determine which aspects require attention and improvement. Unlike the CVF model, which is used to determine a single dominant cultural type, the Denison model is used to determine if there is a balanced effort placed on working on several fronts at the same time. Such pluralistic cultures are seen as multidextrous and are able to exhibit high levels of all four core traits that can lead to enhanced results.

Organizational Climate

Climate, in the meteorological sense, characterizes the prevailing conditions within a region. The regional climate is defined by a holistic view of its various dimensions such as temperature, precipitation, humidity, and wind, which individually and collectively influence the actions and behaviors of the local population (“Climate,” 2011; Ruddell, Harlan, Grossman-clarke, & Chowell, 2012). Organizations also have climates that are perceived both directly and indirectly by their members. An organization’s climate is made up of various dimensions including structure, decision processing, autonomy, and leadership (Forehand & Gilmer, 1964; Litwin & Stringer, 1968; Patterson et al., 2005). Many researchers have drawn a direct link between organizational leadership, culture, and climate (Kendall, 2014; Vakola, 2013). In this section, I will provide an overview of organizational climate and its connection with organizational culture, leadership and executing a turnaround.

Organizational climate represents the members’ collective perception of their operating environment. Members identify this through their social framework, relationships, interactions with co-workers and leaders, decision processes, organizational structure, and leadership style (Litwin & Stringer, 1968; Rousseau, 1988). Climate perception occurs as members give meaning to what they sense or feel in the atmosphere of the work environment and how it influences their job performance and attitude to work and the organization (Cooil, Aksoy, Keiningham, & Maryott, 2009; Litwin & Stringer, 1968; Rousseau, 1988). Understanding organizational climate is important because research has shown there is a positive correlation to successful organizational operations

and performance (Cooil et al., 2009). As part of this study, I will analyze the 1969 New York Mets' organizational climate and explore the impact Gil Hodges's leadership and the team's culture may have instilled a competitive environment that altered the course of the team's performance.

Organizational climate overview. An organization's climate is found in the members' collective sense of the operational atmosphere, including the social order, informal practices, and interactions with group members and leaders. It is often characterized as the feeling or perception of the work environment experienced by organizational members, while culture is seen as the shared assumptions, values, and beliefs embraced by its members (Schein, 2010; Cooil et al., 2009). An organization can unleash the potential energy of its members by providing opportunities to satisfy salient needs that include affiliation, achievement, a desire to win, individual and team accomplishment, and competitiveness. According to Litwin and Stringer (1968), organizational climate offers a way to understand how an organization and organizational life influences member motivation and behavior. Fulfilling these needs supports the accomplishment of individual and organizational goals and emotional satisfaction by way of friendship, comradery, and pride (Litwin & Stringer, 1968). These positive environmental dynamics can help unleash member potential and enhance organizational performance, while negative dynamics through unsupported goals and dissatisfaction can have the opposite effect.

Dimensions of organizational climate. There have been a number of studies that have attempted to define a set of dimensions that adequately identify the type of climate

operating within an organization. These include Litwin's and Stringer's (1968) 9-dimensions: "structure, responsibility, warmth, support, reward (vs. punishment), conflict, standards, identity, and risk" (p. 64). Campbell and Beaty (as cited in James & Jones, 1974) defined 7 climate dimensions: "task structure, reward/performance relationship, decision centralization, achievement emphasis, training and development emphasis, security versus risk, and openness versus defensiveness" (p. 1101). Schneider and Reichers (1983) looked at organizational climate using an outcome approach within specific domains and noted that the cumulative perceptions of employees would yield a particular result. Using this approach, Schneider, Parkington, and Buxton (1980) analyzed the service climate of banks and focused on specific dimensions related to the organization's service criteria. The study relied on a set of assumptions taken from prior research about organizational climate as a foundation. The assumptions included member perceptions of organizational behavior and the perceptions of their organizational environment are consistent; climates emerge from the naturalistic setting of the organization and influence how members approach achieving their objectives; and organizations can have multiple climates related to specific outcomes or goals (Schneider et al., 1980). Using an expected outcomes approach, the researchers oriented the questions to the strategic objective. Schneider et al. (2013) noted that the questions were more reliable and enriched the data taken from responses provided by the employees.

Competing values framework and organizational climate. Studies that focused on outcomes such as service or safety did not start from a grounded theoretical foundation (Patterson et al., 2005). James and Jones (1974) argued that measurable

dimensions should correspond to a theoretical foundation and not be driven by the instrumentality of dimensions as tools for climate measurement surveys. Patterson et al. (2005) also described the multitude of climate dimensions and questionnaires as failing to have a firm theoretical basis, and a lack of confirmatory studies. To provide a theoretical foundation for organizational climate studies, Patterson et al. used the CVF model, which focused on organizational rather than psychological variables.

The CVF model is dissected by a horizontal axis that moves from an internal focus on one end and external on the other, and the vertical runs from individuality and flexibility on one end to stability and control on the other. According to Patterson et al. (2005), these axes form quadrants that are outcome-oriented and reflect the management and leadership approaches necessary to achieve them. Patterson, et al. overlaid each CVF quadrant with a corresponding organizational climate domain: *Human Relations Model* (internal focus, flexible orientations), *Internal Process Model* (internal focus, control orientation), *Open Systems Model* (external focus and flexible orientation), and *Rational Goal Model* (external focus and control orientation) (p. 385-386). The combination of the CVF model with climate domains can be used to identify management and leadership styles appropriate to produce climates that are in alignment with strategic objectives (Patterson et al., 2005).

Within each of the climate domains, Patterson et al. (2005) identified dimensions that provided a way to measure employee perceptions of the organization's climate. The human relations model domain emphasizes training, empowerment and supportive management. The underlying dimensions include "employee welfare, autonomy,

participation, communication, emphasis on training, integration, supervisory support” (Patterson et al., 2005, p. 385-386). The internal process model focuses on coordination and control in which Patterson et al. identified the “formalization and tradition domains” (p. 386). The open systems model reflects an emphasis on “creativity and adaptation,” and includes the “flexibility, innovation, outward focus, and reflexivity dimensions” (p. 386). The rational goal model domain includes the “clarity of organizational goals, effort, efficiency, quality, pressure to produce, and performance feedback” dimensions, which are associated with productivity, competitiveness, and goal realization (p. 386). The various dimensions underlying the four domains are used in the OCM instrument, which provides insights into employee perceptions of the work environment. In this study, the OCM will be used to measure employee perceptions of the climate that existed in the 1969 New York Mets successful organizational turnaround.

Summary and Conclusions

Leadership is an integral part of an organizational turnaround. The leader’s ability to understand the causes of underperformance and quickly implement changes to reverse the trajectory of the organization is critical to its survival and recovery. Studies have found that turnaround leaders often exhibit several leadership styles during the turnaround process (Slatter, Lovett, & Barlow, 2006). Researchers see a need for case studies of successful turnarounds that highlight the leadership styles and methods employed in changing the organization (O’Kane & Cunningham, 2014a; Panicker & Manimala, 2015).

Successful turnarounds are multidimensional and include aspects of leadership's influence on an organization's culture, climate, and performance (Balthazard, Cooke, & Potter, 2006; Frontiera, 2010). An organization's culture is recognized by its values, accepted behaviors and norms, priorities, and ways of thinking that drive organizational activities and actions. Leaders imprint these into their followers through a set of mechanisms that encourage following their espoused cultural principals. In a turnaround, the leader must evaluate and often alter the existing cultural manifestations to improve organizational performance. In order to guide future turnaround leaders, it will be necessary to understand the change process and be alert to how changes impact cultural dynamics.

Several researchers acknowledged the limited number of case studies that attempt to define the styles of leadership utilized in successful turnarounds (Lohrke et al., 2004; O'Kane & Cunningham, 2014a). While it is important to understand leadership of a turnaround, it is also important to look at the type of change-process attempted and how this approach impacted the organization's culture and climate. In taking a multidimensional view of a successful turnaround, I applied a quantitative approach to researching the forces at work during the 1969 Mets' championship season. This case study looked at Gil Hodges's leadership and his influence on the organization's culture and climate, which provided the footing for the team's transformation from perennial losing season to world champions.

In Chapter 3, I detailed the research design and methodology for this study. This includes defining the target population, sampling strategy, the research instruments to be

included, reliability and validity for each, and how each is appropriate for the study.

Additionally, I covered the data collection and data analysis procedures, threats to validity, and ethical procedures.

Chapter 3: Research Method

The purpose of this ex post facto, nonexperimental, quantitative study was to examine and analyze the leadership characteristics of Gill Hodges, the manager of the New York Mets baseball team, and explore his influence on organizational culture and climate during the successful organizational turnaround of 1969. Under Gil Hodges's leadership, the team went from ninth place the prior season to becoming World Champions in 1969. Despite this dramatic and immediate turnaround of the organization, there is no research on his leadership style or the changes he made to the organizational culture and climate that influenced the turnaround. In this chapter, I detail the research methods that I applied, the instruments and procedures used, and the data analysis plan.

Research Design and Rationale

The following research questions drove the design and rationale of this study:

RQ1: What leadership style most reflects how Hodges led the New York Mets during their 1969 turnaround season?

RQ2: What type of culture did Hodges instill in the team that led to a successful organizational turnaround?

RQ3: What type of organizational climate existed during Hodges's leadership of the 1969 New York Mets?

RQ4: What is the direction and strength of the correlation between Hodges's leadership style and the type of organizational culture that existed in the 1969 New York Mets during their organizational turnaround?

RQ5: What is the direction and strength of the correlation between Hodges's leadership style and the type of organizational climate that existed in the 1969 New York Mets during their organizational turnaround?

RQ6: What is the direction and strength of the correlation between the type of organizational culture and organizational climate that existed in the 1969 New York Mets during their organizational turnaround?

This research study had a quantitative, nonexperimental, *ex post facto* design. A quantitative approach is appropriate when the research involves constructs that are objectively measurable and quantifiable (Howell, 2010). The variables of interest in this study were perceived leadership styles (transformational, transactional, and laissez-faire), perceived culture (constructive, passive-defensive, and aggressive-defensive), and perceived domains of organizational climate (effort, pressure to produce, and performance feedback). Because the variables of interest were numerically measurable using valid and reliable instruments, a quantitative approach was appropriate for this study.

A nonexperimental *ex post facto* design takes a retrospective view of a phenomenon to identify causes, relationships, and effect on outcomes that have already occurred (Cohen et al., 2011; JHA, 2014). The literal translation of *ex post facto* is "after the fact," and as it relates to research design, the term indicates that events have already taken place and are therefore not subject to manipulation or control by the researcher (Cohen et al., 2011, p. 303). The research design adopted for this study supported the

examination of the style of leadership and type of organizational culture and climate that existed during the turnaround of the 1969 New York Mets.

Methodology

Population Description, Sampling, and Sampling Procedure

The population under investigation in this study included former players and coaches who were part of the 1969 New York Mets baseball team. In 1969, the New York Mets baseball team roster included 35 players and four coaches in addition to Gil Hodges, the team's manager. As of May 27, 2016, there remained 28 players and one coach from the 1969 team. A complete list of all players and coaches from the 1969 team is included in Table 2.

Table 2

1969 New York Mets Players and Coaches

Role	Name	Date of Birth	Age as of 05/28/2016
Players	Agee	8/9/1942	Deceased
	Boswell	2/23/1946	70
	Cardwell	12/7/1935	Deceased
	Charles	4/29/1933	83
	Clendenon	7/15/1935	Deceased
	Collins	8/4/1946	Deceased
	DiLauro	5/3/1943	73
	Dyer	8/15/1945	70
	Frisella	3/4/1946	Deceased
	Garrett	12/3/1947	68
	Gaspar	4/3/1946	70
	Gentry	10/6/1946	69
	Gosger	11/6/1942	73
	Grote	10/6/1942	73
	Harrelson	6/6/1944	71
	Heise	5/12/1947	69
	Hudson	7/22/1948	67
	Jackson	12/25/1935	80
	Johnson	4/25/1943	73
	Jones	8/4/1942	73
	Koonce	11/18/1940	Deceased
	Koosman	12/23/1942	73
	Kranepool	11/8/1944	71
	Martin	12/13/1936	79
	McAndrew	1/11/1944	72
	McGraw	8/30/1944	Deceased
	Otis	4/26/1947	69
	Pfeil	11/13/1943	73
	Rohr	3/5/1946	70
	Ryan	1/31/1947	69
	Seaver	11/17/1944	71
Shamsky	10/14/1942	73	
Swoboda	6/30/1944	71	
Taylor	12/13/1937	78	
Weis	4/2/1938	78	
Coaches	Berra	5/12/1925	Deceased
	Pignatano	8/4/1929	86
	Walker	5/16/1926	Deceased
	Yost	10/13/1926	Deceased
Manager	Hodges	4/4/1924	Deceased

Note. Adapted from 1969 New York Mets Roster. (n.d.). Retrieved from <http://www.baseball-reference.com/teams/NYM/1969-roster.shtml>

The remaining 28 players and one coach represent 74% of the original roster. Given the small population, I used probability sampling and contacted a random sample of the remaining players and coaches to participate in the study. The New York Mets organization and Bud Harrelson, a former player from the 1969 team, agreed to cooperate in providing mailing addresses and email addresses if available.

I conducted a power analysis to determine the maximum possible statistical power that can be obtained in this study given the available population of 28 individuals using G*Power which is a computer program specifically designed for such calculations (Howell, 2010). Power represents the probability that actual effects have a chance of producing statistical significance in the data analysis (Tabachnick & Fidell, 2013). I conducted the analysis for multiple linear regression with three predictors and assumed a large effect size and a significance level of .05. The result of the power analysis indicated a maximum achievable power in this study was .67, which is less than the desired power of .80 (Tabachnick & Fidell, 2013).

Because it was unclear whether all potential participants have email addresses, I prepared to have both email-based and direct mail approaches. If web addresses were available, I would send an email to those participants inviting them to take part in the research study. The email would include a consent form and links to either participate or decline participation. If participants selected *Agree*, they were automatically forwarded to a web link on SurveyMonkey.com for access to the research instruments. If they selected *Decline*, they were directed to a webpage thanking them for their consideration. All paper

surveys were mailed to possible participants with a consent form and a self-addressed, postage-paid envelope to return the completed survey.

Instrumentation and Operationalization of Constructs

Leadership. To analyze Gil Hodges's leadership during the 1969 season, I used the MLQ-5X Rater Form developed by Avolio and Bass (2004). This research instrument has been used in numerous studies to form a retrospective view of leadership styles experienced by followers (Bullock, 2008; Butz, 2010; Menon, 2014; Overbey, 2013). The MLQ-5X Rater Form is comprised of 45 statements designed to assess a leader's behaviors and effectiveness as perceived by followers and is scored on a scale of leadership styles (Bass, 1999). Examples of the descriptive statements used by the form's authors include:

- Talks optimistically about the future;
- Instills pride in me for being associated with him/her;
- Makes clear what one can expect to receive when performance goals are achieved;
- Expresses confidence that goals will be achieved. (Avolio & Bass, 1995b).

Study participants chose from a list of responses to describe their perception of the leader based on each statement provided in the questionnaire. The MLQ-5X Rater Form responses were configured using a 5-point Likert scale ranging from 0 (*not at all*) to 4 (*frequently if not always*; Avolio & Bass, 2004).

As I described in Chapters 1 and 2, the MLQ-5X Rater Form is structured around a framework built using FRLT, which is a construct of three principal leadership types:

transformational, transactional, and laissez-faire (Avolio et al., 1999). Leaders will, depending on a number of factors, exhibit varying degrees of potency in each leadership type (Avolio & Bass, 2001). An individual's leadership profile is reflected in a dynamic movement along a scale that is marked by different components of each leadership type, as shown in Figure 4 (Bass, 1985). The MLQ-5X Rater Form is designed to measure various factors that help define the collection of styles that capture a leader's idiosyncratic profile (Bass, 1999).

The descriptive statements that make up the MLQ-5X Rater Form are divided into the three core leadership styles and subscales for each, as well as three leadership outcome scales. This structure, as illustrated in Table 3, attempts to both define the leader's styles and the leader's impact on organizational members by measuring member perceptions of effectiveness, satisfaction with the leader, and possible extra effort related to leadership (Avolio & Bass, 2004). These scales were used to determine perceived leadership styles that formed a leader profile and were correlated with perceived impact of leadership by organizational members. Permission to use the MLQ 5-X Rater Form is contained in Appendix A.

Table 3

MLQ-5X Rater Form Statements Divided into Leadership Styles and Outcome Scales

Leadership Style	Subscale	Statements
Transformational <i>The 5 Is</i>	Idealized Influence (Attributed)	10, 18, 21, 25
	Idealized Influence (Behavior)	6, 14, 23, 34
	Inspirational Motivation	9, 13, 26, 36
	Intellectual Stimulation	2, 8, 30, 32
	Intellectual Consideration	15, 19, 29, 31
Transactional	Contingent Reward	1, 11, 16, 35
	Management by Exception (Active)	4, 22, 24, 27
Laissez-faire	Management by Exception (Passive)	3, 12, 17, 20
	Passive Avoidant	5, 7, 28, 33
Outcome Scales	Extra effort	39, 42, 44
	Effectiveness	37, 40, 43, 45
	Satisfaction	38, 41

Published reliability and validity. The MLQ has been widely recognized to be a validated and reliable instrument for use in leadership research studies focused on FRLT (Antonakis et al., 2003; Avolio & Bass, 2004; Bass, 1999; Muenjohn & Armstrong, 2008). Researchers criticized early versions of the MLQ for inadequate discriminant validity among the factors comprising the survey, which lead to a series of refinements and retesting and the eventual creation of the MLQ Form 5x (Avolio & Bass, 2004). In a study by Antonakis et al. (2003), the researchers used a pooled sample size of 3,368 homogeneous responses from both male and female raters and 18 independently gathered samples (N = 6525 raters) in homogenous contexts, and applied confirmatory factor analyses and other statistical analysis to test construct validity and reliability. The results showed the MLQ Form 5x is a valid and reliable instrument for examining all leadership dimensions of FRLT (Antonakis et al., 2003). Muenjohn and Armstrong (2008) provided similar findings, showing a Cronbach alpha of .86 and reliability values higher than .70,

which indicate a strong basis for using the instrument to measure the nine leadership factors in the FRLT model.

Organizational culture. I used the DOCS instrument to examine the culture that existed during the 1969 Mets' turnaround season led by Gil Hodges. The version I used in this study has 48 questions that require responses based on a 5-point Likert scale ranging from 1 (*strongly disagree*) to 5 (*strongly agree*), as well as a *not applicable* option. The questions that make up the DOCS each fall into one of the four core organizational culture traits and subscales, as shown in Table 4.

Table 4

Denison Organizational Culture Questions Divided into Traits and Underlying Dimensions

Trait	Underlying Dimensions	Related Questions
Involvement	Empowerment	1, 2, 3, 4
	Team Orientation	5, 6, 7, 8
	Capability Development	9, 10, 11, 12
Consistency	Core Values	13, 14, 15, 16
	Agreement	17, 18, 19, 20
	Coordination and integration	21, 22, 23, 24
Adaptability	Creating Change	25, 26, 27, 28
	Customer Focus	29, 30, 31, 32
	Organizational Learning	33, 34, 35, 36
Mission	Strategic direction and intent	37, 38, 39, 40
	Goals and objectives	41, 42, 43, 44
	Vision	45, 46, 47, 48

The various cultural traits and underlying dimensions are illustrated in the Denison Organizational Culture Circumplex, as shown in Figure 6. This graphic representation uses a circular diagram that is cut into sections related to four organizational traits and further split into three underlying dimensions for a total of 12

segments. The model is further split in sections correlating to external focus versus internal focus (north and south) or how they correlate to flexible versus stable environmental orientations (east and west).

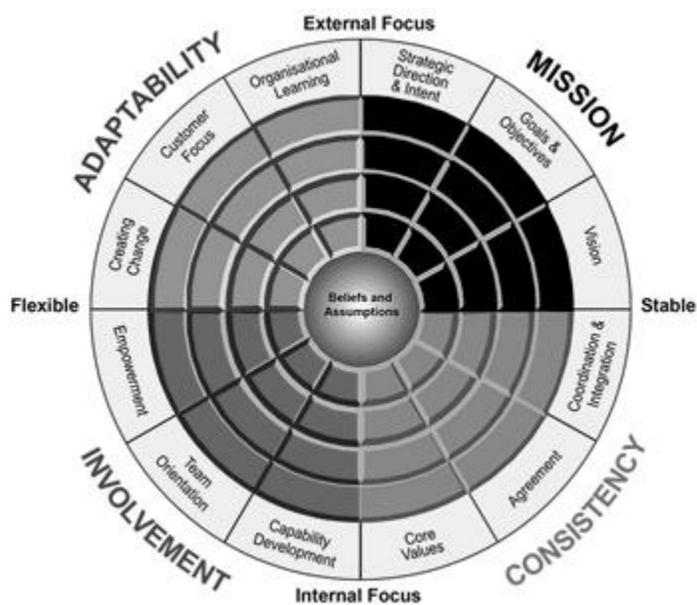


Figure 6. The Denison organizational culture model circumplex. Adapted from *Denison Organizational Culture Survey: Facilitator Guide*, by D.R. Denison and W. S. Neale, 1996, p. 2-1. Copyright 1996 by Daniel R. Denison and William S. Neale. All rights reserved. Reprinted with permission (see Appendix G).

Researchers use the DOCS instrument to measure employee perceptions of the strength of forces behind each underlying dimension. The DOC results in measurable indices that identify the traits driving an organization's culture (Denison & Neale, 1996). These driving forces are a reflection of leadership's attention and focus applied to each of the four traits. In this study, I used a 48-item version of the survey, included in Appendix D, which I divided equally into the 12 underlying dimensions resulting in three indices for each trait. I edited the instructions for the survey to clarify how the questions related

to the participants' experience and in the context of the New York Mets baseball team. Dan Arbour of Denison Consulting approved these changes; his permission statement is available in the permission for use and publication email included in Appendix C. Mr. Arbour deemed these changes to have no effect on the reliability or validity of the instrument (personal communication, June, 2017). I calculated the average scores for each dimension, and determined a composite score for each trait. This forms a basis to analyze the state of equilibrium between employee perceptions of leadership's focus on each of the traits, which helped to identify which traits were driving the culture.

Published reliability and validity. The DOCS instrument has been shown to be a psychometrically valid instrument and is widely used in research and practice to analyze organizational culture and its influence on organizational performance across a wide range of industries and organizational types (Denison & Mishra, 1995; Denison, Janovics, Young, & Hee, 2006; Schneider, Ehrhart, & Macey, 2013). Denison et al. (2006) provided the most recent validity study, which included over 35,000 participants across 160 companies. The researchers demonstrated that the DOCS instrument showed coefficient alphas for the Denison scales that indicated an acceptable level of internal consistency and supported the validity of the organizational culture survey.

Organizational climate. The OCM was used to determine the perceived type of organizational climate that existed during the New York Mets' turnaround season based on responses from remaining team members and coaches. The OCM instrument, designed by Patterson et al. (2005), consists of 17 distinct scales, each associated with one of the four quadrants defined in Quinn and Rohrbaugh's (1983) CVF model, which is

described in Chapter 1 and illustrated in Figure 1. Patterson et al. categorized these quadrants as four climate domains: *human relations model*, *internal processes model*, *open systems model*, and *rational goal model*.

The instrument, as noted by Patterson et al. (2005), can be cumbersome to administer and analyze, and the researchers suggested using a refined version that focuses on the research questions. To narrow the scope, I looked for a domain that has attributes associated with the speed and focus on competitive performance necessary to execute a turnaround. The Rational Goal Model (external focus and control orientation) domain is associated with rapid change and a competitive orientation, which are characteristics found in successful organizational turnarounds (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992). This domain emphasizes “the pursuit and attainment of well-defined objectives, where norms and values are associated with productivity, efficiency, goal fulfillment, and performance feedback” (Patterson et al., 2005, p. 386). In this study, I included those dimensions and related questions from within this quadrant that were relevant to the research questions. Each of these dimensions includes five statements in total and study participants will respond to each using a four-point Likert scale: from 1 (*Definitely false*) to 4 (*Definitely true*; Patterson et al., 2005, p. 405). A list of dimensions and sample statements from the instrument are included in Table 5.

Table 5

OCM Dimensions and Sample Statements Included in this Study

Climate Domain	Underlying Dimension	Sample Statement
Rational Goal Model	Effort	People here always want to perform to the best of their ability
	Pressure to Produce	People here are under pressure to produce targets
	Performance Feedback	People's performance is measured on a regular basis

Published reliability and validity. To validate the OCM instrument, Patterson et al. (2005) conducted research in 55 United Kingdom based manufacturing companies with an average of 256 employees that resulted in 12,051 questionnaires distributed. An additional 1,800 questionnaires were sent to employees of another six organizations (pp. 387-388). From this participant pool, the researchers received a 57% response rate, or 6,869 completed questionnaires (p. 388).

According to Patterson et al. (2005), the original instrument included “19 proposed dimensions of climate” with approximately 10 items in each (p. 387). The instrument was later refined to the 17 dimensions found in the current version, which yielded a Cronbach's alpha value of .73 or greater, except for one dimension which is not included in this study (Patterson et al., 2005). The three dimensions used in this study had Cronbach's alpha values of .79 for effort and pressure to produce, and .78 for performance feedback (Patterson et al., p. 391). The OCM instrument was used to capture the perceptions of individual organizational members to determine the relevant climate dimensions to define the type of climate that existed during a successful organizational turnaround.

Data Analysis Plan

I ran the data analysis using the IBM Statistical Package for the Social Sciences (SPSS) version 23.0 for windows. Before running the analysis, I reviewed the data for missing responses and the presence of outliers. The study participants with large numbers of missing responses (i.e., greater than 50% of the survey items) were excluded from the analysis. The presence of outliers was checked by computing standardized values for each of the study variables.

Descriptive statistics were computed and reported for each of the study variables. Means and standard deviations were computed for each of the variables and frequencies and percentages were computed for categorical variables. In addition, a Cronbach's alpha inter-item reliability analysis was conducted for each of the subscales pertaining to leadership, organizational culture, and organizational climate. Cronbach's alpha coefficients were evaluated using the guideline suggested by Nunnally (as cited in Peterson, 1994) where coefficients of .7 or greater indicate acceptable reliability.

In order to address Research Questions 1-3, descriptive statistics were examined for the subscales pertaining to perceived leadership styles (transformational, transactional, and laissez-faire), perceived culture (constructive, passive-defensive, and aggressive-defensive), and perceived domains of organizational climate (effort, pressure to produce, and performance feedback). Specifically, the means of the subscale scores within leadership, culture, and organizational climate were compared to determine the most prevalent leadership style (RQ1), cultural traits (RQ2), and type of organizational

climate (RQ3). The results should provide insight into these key variables that impacted the New York Mets' 1969 successful turnaround season.

Four multiple linear regressions and nonparametric Spearman correlations were conducted to address Research Question 4. A multiple linear regression analysis is justified when the goal of the research is to assess the strength and direction of the relationships between two or more independent variables and a dependent variable measured on a continuous scale (Pagano, 2009). For this analysis, the independent variables were the subscale scores pertaining to perceived leadership styles (transformational, transactional, and laissez-faire). The dependent variables in this analysis were the subscale scores pertaining to perceived culture (involvement, consistency, adaptability, and mission). A separate regression was conducted for each dependent variable. When conducting the analysis, all the independent variables were entered into the model at the same step in accordance with the standard method of variable entry. The significance of the overall regression model was determined using the *F*-test at a significance (alpha) level of .05. If the overall regression model was found to be significant, the individual regression coefficients were to be examined to assess the strength and direction of the relationships between variables.

Before interpreting the results of the regression, the assumptions of multiple linear regression were tested. Specifically, multiple linear regression requires the model residuals to follow a normal distribution. A normal P-P plot was visually inspected to test this assumption. Additionally, the data must be homoscedastic, meaning that the data are distributed equally around the regression line. A scatterplot was visually inspected to test

this assumption. Finally, there must not be multicollinearity in the data, meaning that the independent variables must not be too highly correlated. This was tested using Variance Inflation Factors (VIFs). Stevens (2009) suggested that VIF values greater than 10 indicate a multicollinearity problem.

In order to supplement the multiple linear regression analyses for Research Question 4, nonparametric Spearman correlations were computed. It is appropriate to use a Spearman correlation when research involves determining the relationship between variables that are measured on at least an ordinal scale (Howell, 2010). Specifically, Spearman correlation coefficients were computed to examine the relationships between each leadership style (transformational, transactional, and laissez-faire) and each subscale pertaining to perceived culture (involvement, consistency, adaptability, and mission). Each Spearman correlation coefficient was evaluated at a significance level of .05.

Three multiple linear regressions and nonparametric Spearman correlations were conducted to address Research Question 5. The independent variables in this analysis were the subscale scores pertaining to perceived leadership styles (transformational, transactional, and laissez-faire). The dependent variables in this analysis were the subscale scores pertaining to organizational climate (effort, pressure to produce, and performance feedback). A separate regression was conducted for each dependent variable. Just as with the previous analysis, standard multiple regression was conducted. The overall regression model was evaluated using the *F*-test at a significance level of .05. If the overall regression model was significant, the individual regression coefficients were to be examined to assess the strength and direction of the relationships between

variables. Before interpreting the results of the regression, the assumptions of multiple linear regression were tested in the same manner as in the previous analysis.

In order to supplement the multiple linear regression analyses for Research Question 5, nonparametric Spearman correlations were computed. Specifically, Spearman correlation coefficients were computed to examine the relationships between each leadership style (transformational, transactional, and laissez-faire) and each subscale pertaining to organizational climate (effort, pressure to produce, and performance feedback). Each Spearman correlation coefficient was evaluated at a significance level of .05.

Four multiple linear regressions and nonparametric Spearman correlations were conducted to address Research Question 6. The independent variables in this analysis were the subscale scores pertaining to perceived culture (involvement, consistency, adaptability, and mission). The dependent variables in this analysis were the subscale scores pertaining to organizational climate (effort, pressure to produce, and performance feedback). A separate regression was conducted for each dependent variable. Just as with the previous analysis, standard multiple regression was conducted. The overall regression model was evaluated using the *F*-test at a significance level of .05. If the overall regression model was significant, the individual regression coefficients were to be examined to assess the strength and direction of the relationships between variables. Before interpreting the results of the regression, the assumptions of multiple linear regression were tested in the same manner as in the previous analysis.

In order to supplement the multiple linear regression analyses for Research Question 6, nonparametric Spearman correlations were computed. Specifically, Spearman correlation coefficients were computed to examine the relationships between each subscale pertaining to perceived culture (involvement, consistency, adaptability, and mission) and each subscale pertaining to organizational climate (effort, pressure to produce, and performance feedback). Each Spearman correlation coefficient was evaluated at a significance level of .05.

Threats to Validity

External Validity relates to questions of utility and generalizability of the research findings (Cohen et al., 2011; Singleton & Straits, 2005). The use in this study of a single case with a small population does call into question the generalizability of the results. To mitigate this, I used probability sampling and contacted 27 potential participants from the entire population of 29 former players and coaches, and I used different research instruments to analyze three independent variables representing different dimensions of an organizational turnaround. Additionally, as several researchers have pointed out, leadership theories apply to both sports and business organizations, which should make the research findings generalizable to various organizational types and domains (Adcroft & Teckman, 2008; Burnes & O'Donnell, 2011).

The issue of internal validity relates to the potential for extraneous variables to influence participants such that the researcher cannot make correct inferences from the study (Leedy & Ormrod, 2005; Singleton & Straits, 2005). I used an ex post facto nonexperimental design, which mitigated the possibility of my influencing or

manipulating independent variables. The case to be studied happened in 1969 and has the potential for history and maturation to affect participant perceptions of the events. To minimize this, I used probability sampling and contacted a random sample of the remaining players and coaches to participate in the study and analyzed multiple organizational dimensions related to leadership and a successful organizational turnaround.

Ethical Procedures

I followed the research procedures provided by Walden University, and I did not proceed with any data collection, nor approach any potential research participant with any requests for information or provide any questions in advance of IRB approval. Once approved, I provided all participants with a consent form. Participation in the study was voluntary and no compensation was paid.

All data collected was only used for the purposes of this research study. All data and participant responses in digital form were kept on a password-protected computer and codes were used in place of names so the participants cannot be identified. All paper surveys and cross reference materials were stored in a bank safety deposit box. A Walden University contact was provided on the consent form to answer any participant questions regarding the research or his/her rights.

Summary

In this chapter, I provided details on the research methodology, design, research instruments, and data analysis plan. Additionally, I addressed issues of validity, ethical considerations, research population and sampling, and data use and protections. In

Chapter 4, I will present the study findings, which is followed in Chapter 5 by the interpretation of the findings, conclusions, and recommendations for future research.

Chapter 4: Results

The purpose of this ex post facto, nonexperimental, quantitative study was to examine and analyze the leadership characteristics of Gil Hodges, the manager of the New York Mets baseball team, and explore his influence on the team's organizational culture and climate during the successful organizational turnaround of 1969. Under Gil Hodges's leadership, the team went from ninth place the prior season to becoming World Champions in 1969. Despite the dramatic turnaround he led, there is no research on his leadership style or the organizational culture and climate that influenced the turnaround.

I used six research questions to drive the design and rationale of the study. I used the first three to focus on identifying Hodges's leadership style, the team's organizational culture, organizational climate types, and characteristics. I applied Questions 4 and 5 to explore the possible correlations between Hodges's leadership and the team's organizational culture and climate. I used Question 6 to explore the correlation between the team's organizational culture and climate. In this chapter, I provide an overview of the data collection process, including the sample size and response rate, the statistical analyses, and results.

Data Collection

As defined in my dissertation proposal and approved IRB application, I sent out surveys to former players from the 1969 New York Mets. The three different survey instruments used in the study were the MLQ Rater Form (5x-Short), DOCS (Appendix D), and the OCM. In addition, each potential participant was sent an invitation to participate (Appendix F), and consent form. The mailing was facilitated by my

community research partner. The data collection period lasted 60 days, starting with an initial mailing on August 7, 2017, and a second mailing on September 7, 2017 to those that did not previously respond. All responses were counted by October 6, 2017. I received 14 responses from a sample of 27 potential participants from a population of 29 former players and coaches. This included seven participants and seven respondents who declined participation. I alphanumerically coded the survey forms to protect the anonymity and confidentiality of participants. All completed surveys and copies of the original survey forms are stored in a bank safe deposit box, along with a backup copy of the data analysis.

One of the seven MLQ-5X Rater Form surveys had no answers to Questions 27, 29, 30, 35, and 40. This is acceptable because the instructions for the MLQ-5X Rater Form state, “if an item is irrelevant or if you are unsure or do not know the answer, leave the answer blank,” and according to the MLQ Scoring Key, all of the other 40 answers can be included in the data analysis (Avolio & Bass, 2004, p. 116). The seven completed responses represented 25.9% of the sample and 24.1% of the population, and 22.2% of the sample and 20.7% of the population for MLQ-5X Rater Form questions with six responses.

The small number of actual responses provided low statistical power, which weakens the confidence I can place in the statistical analysis to detect significant relationships. The results from this study are therefore treated as exploratory and should be considered in the context of the limitations of this study as described in Chapter 5.

Exploratory results are viewed as hypotheses to be tested through future research and are not considered conclusive (Cohen, Cohen, West, & Aiken, 2003).

Study Results

This section provides the survey instrument results, descriptive statistics, and both parametric and nonparametric statistical analysis for subscales and dimensions contained in each of the surveys. Data collected from the surveys were entered into Microsoft Excel 2010 for scoring and were uploaded to SPSS v.23 and Intellectus Statistics programs to facilitate statistical analysis. In addition to reviewing the responses for missing data, I tested for the presence of outliers. An outlier is defined as any value that falls outside the range of +/- 3.29 standard deviations from the mean (Tabachnick & Fidell, 2013).

Analysis of the data indicated there were no outliers present for any of the variables. Cronbach's alpha reliability coefficients were not reported because of the small number of responses from participants, and many of the items had zero variance, which made it difficult to obtain valid calculations of interitem reliability for the subscales. Descriptive statistics, including the mean (*M*), standard deviation (*SD*), and standard error of the mean (*SEM*) were conducted for all data sets. Skewness and kurtosis were calculated for all variables.

To answer Research Questions 4, 5, and 6, multiple linear regression analyses and nonparametric Spearman correlations were conducted. There are several theories and methods to determine adequate sample size for multiple regression analysis. While most indicate more is better, the calculation for a minimum sample size ranges from 10 for each of the predictor variables in a study (Howell, 2010), to as few as two (Austin &

Steyerberg, 2015). Although there was a relatively low number of responses, I conducted the multiple regression and Spearman correlation analyses and used the results in an exploratory manner, as explained in Chapter 5 as part of my interpretation of the results.

Multifactor Leadership Questionnaire Survey Results: RQ 1

The MLQ Rater Form (5x-Short) survey was used in this study to measure the players' perception of Hodges's leadership style during the 1969 season. The survey includes 45 statements divided into the three core leadership styles and subscales for each, as well as three leadership outcome scales, which are outlined in Table 3. Questions associated with leadership outcome were excluded from this study.

Participants judged how each statement in the survey reflected their experience under Hodges's leadership by using a response scale ranging from 0 (*not at all*) to 4 (*frequently if not always*). According to Avolio and Bass (2004), the higher the average for each question within the subscale the more that leader represents transformational, transactional, or laissez-faire leadership styles. Underlying each style are subscales for the components underlying style. Depending on the situation and environment, a leader will apply varying degrees of effort behind these components. The responses to certain MLQ statements captured participant perceptions related to these components, which provides a basis for analysis.

Leadership is multifaceted, and underlying each style are components that provide insight into a leader's behavior and actions. Transformational leadership scores are the average of the subscale scores for idealized influence (attributed), idealized influence (behavioral), inspirational motivation, intellectual stimulation, and individual

consideration. Transactional scores are the average of the subscale scores for contingent reward and management by exception (active), and laissez-faire scores are the average of the subscale scores for management by exception (passive) and passive avoidant.

Descriptive statistics for the MLQ survey data were calculated for transformational, transactional, and laissez-faire leadership styles, as shown in Table 6, and all related subscales. The observations for transformational had an average of 3.64 ($SD = 0.16$, $SEM = 0.07$, Min = 3.40, Max = 3.85); transactional had an average of 3.40 ($SD = 0.42$, $SEM = 0.17$, Min = 2.62, Max = 3.88); and laissez-faire had an average of 0.50 ($SD = 0.86$, $SEM = 0.33$, Min = 0.00, Max = 2.38). Skewness and kurtosis were also calculated, and the results are included in Table 6. When the skewness is greater than or equal to 2 or less than or equal to -2, then the variable is considered to be asymmetrical about its mean. When the kurtosis is greater than or equal to 3, then the variable's distribution is markedly different than a normal distribution in its tendency to produce outliers (Westfall & Henning, 2013).

Table 6

MLQ-5X Rater Form Summary Statistics for Leadership Styles

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Transformational	3.64	0.16	6	0.07	-0.24	-0.95
Transactional	3.40	0.42	6	0.17	-0.98	0.11
Laissez-faire	0.50	0.86	7	0.33	1.74	1.47

Descriptive statistics for the transformational leadership subscales are summarized in Table 7. The observations for individualized influence (attributed) had an average of 3.93 ($SD = 0.12$, $SEM = 0.46$, Min = 3.75, Max = 4.0). The observations for

individualized influence (behavior) had an average of 3.86 ($SD = 0.13$, $SEM = 0.05$, $Min = 3.75$, $Max = 4.00$). The observations for inspirational motivation had an average of 3.82 ($SD = 0.28$, $SEM = 0.11$, $Min = 3.25$, $Max = 4.0$). The observations for intellectual stimulation had an average of 3.08 ($SD = 0.47$, $SEM = 0.19$, $Min = 2.25$, $Max = 3.5$). The observations for intellectual consideration had an average of 3.46 ($SD = 0.37$, $SEM = 0.15$, $Min = 3.00$, $Max = 3.75$). Skewness and kurtosis were also calculated and included in Table 7.

Table 7

MLQ-5X Rater Form Summary Statistics Transformational Leadership Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Individualized influence (Attributed)	3.93	0.12	7	0.46	-1.23	-0.84
Individualized influence (Behavior)	3.86	0.13	7	0.05	0.374	-2.80
Inspirational motivation	3.82	0.28	7	0.11	-1.78	3.23
Intellectual stimulation	3.08	0.47	6	0.19	-1.28	1.85
Intellectual consideration	3.46	.37	6	0.15	-0.71	-2.05

Descriptive statistics for the transactional leadership subscales are summarized in Table 8. The observations for contingent reward had an average of 3.71 ($SD = 0.29$, $SEM = 0.12$, $Min = 3.25$, $Max = 4.0$). The observations for management by exception (active) had an average of 3.08 ($SD = 0.93$, $SEM = 0.38$, $Min = 1.50$, $Max = 4.0$). Skewness and kurtosis were also calculated and included in Table 8.

Table 8

MLQ-5X Rater Form Summary Statistics Transactional Leadership Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Contingent reward	3.71	0.29	6	0.12	-0.67	-0.45
Management by exception (Active)	3.08	0.93	6	0.38	-0.92	0.94

Descriptive statistics for the laissez-faire leadership subscales are summarized in Table 9. The observations for management by exception (passive) had an average of 0.61 ($SD = 0.99$, $SEM = 0.37$, $Min = 0.0$, $Max = 2.75$). The observations for passive avoidant had an average of 0.39 ($SD = 0.76$, $SEM = 0.29$, $Min = 0.0$, $Max = 2.0$). Skewness and kurtosis were also calculated and included in Table 9.

Table 9

MLQ-5X Rater Form Summary Statistics Laissez-faire Leadership Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Management by exception (Passive)	0.61	0.99	7	0.37	2.21	5.13
Passive avoidant	0.39	0.76	7	0.29	2.06	4.03

Results summary. The MLQ survey results reflect the players' perception of Hodges's leadership style during the 1969 season. The results from this study showed the highest average score for transformational characteristics was 3.93 for idealized influence-attributed ($SD = 0.12$); 3.86 for idealized influence - behavior ($SD = 0.12$); and 3.82 for Inspirational Motivation ($SD = 0.12$). Comparing these scores with the published norms included in Table 10, showed significantly higher than average scores in this study and also showed a tighter spread around the mean. According to Avolio (2011), the most

effective components of transformational leadership are idealized influence and inspirational leadership and the response scores favored these components.

The scores for the transactional leadership subscales showed an average score of 3.71 for contingent reward ($SD = 0.29$); and 3.08 for management by exception (active) ($SD = 0.93$). Comparing these scores with the published norms included in Table 10, showed significantly higher than average scores in this study also, and a tighter spread around the mean for contingent reward. The standard deviation result for management by exception (active) for this study is in alignment with the published norms. The scales for laissez-faire leadership subscales had an average score of 0.61 ($SD = 0.99$) for management by exception (passive); and 0.39 ($SD = 0.76$) for passive avoidant. Comparing these scores to the published norms included in Table 10 showed significantly lower than average scores in this study and wider spread around the mean.

Table 10

Descriptive Statistics From Published Norms for MLQ-5X Rater Form Subscales (Avolio & Bass, 2004).

Variable	<i>M</i>	<i>SD</i>	Range
Individualized influence (Attributed)	2.93	0.82	4.00
Individualized influence (Behavior)	2.73	0.86	4.00
Inspirational motivation	2.97	0.79	4.00
Intellectual stimulation	2.76	0.75	4.00
Intellectual consideration	2.78	0.88	4.00
Contingent reward	2.84	0.78	4.00
Management by exception (Active)	1.67	0.92	4.00
Management by exception (Passive)	1.02	0.79	4.00
Passive avoidant	0.66	0.72	4.00

The composite score for all subscales resulted in transformational leadership having the highest average score of 3.64 ($SD = 0.16$) reflecting a narrow spread around

the average score. The composite score for transactional leadership showed an average score of 3.40 ($SD = 0.42$) and a tight spread around the mean. The laissez-faire leadership average score was 0.50 and a wide spread around the mean. The implications concerning these results will be discussed in Chapter 5.

Denison Organizational Culture Survey Results: RQ 2

The DOCS instrument was used to determine the type of organizational culture during the Mets' 1969 season. The DOCS instrument measures employee perceptions of the strength of forces behind 12 dimensions underlying four cultural traits- involvement, consistency, adaptability, and mission. A 48 item version of DOCS was used for this study, which has three underlying dimensions for each of the four traits. Participants responded to the items based on a five-point Likert scale, ranging from 1 (*strongly disagree*) to 5 (*strongly agree*), including a *not applicable* option. The average scores for each dimension are calculated, and a composite score for each trait was determined. This created a basis to analyze employee perceptions of leadership's focus and direction and identified which traits drove the culture.

Descriptive statistics for the DOCS data were calculated for involvement, consistency, adaptability, and mission organizational traits, as shown in Table 11, and related subscales. The observations for Involvement had an average of 4.64 ($SD = 0.12$, $SEM = 0.04$, Min = 4.42, Max = 4.75). The observations for consistency had an average of 4.61 ($SD = 0.31$, $SEM = 0.12$, Min = 4.08, Max = 5.00). The observations for adaptability had an average of 3.77 ($SD = 0.49$, $SEM = 0.19$, Min = 2.92, Max = 4.25). The observations for mission had an average of 4.42 ($SD = 0.28$, $SEM = 0.11$, Min =

4.00, Max = 4.75). Skewness and kurtosis were also calculated and included in Table 11.

Summaries of the DOCS data analysis for the underlying dimension for each trait are included in Tables 12, 13, 14 and 15.

Table 11

DOCS Summary Statistics for Denison Organizational Culture Traits

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Involvement	4.64	0.12	7	0.04	-1.10	0.22
Consistency	4.61	0.31	7	0.12	-0.57	-0.65
Adaptability	3.77	0.49	7	0.19	-0.68	-0.83
Mission	4.42	0.28	6	0.11	-0.46	-1.12

Descriptive statistics for the involvement organizational trait subscales are summarized in Table 12. The observations for empowerment had an average of 4.57 (*SD* = 0.31, *SEM* = 0.12, Min = 4.00, Max = 5.00). The observations for team orientation (TO) had an average of 4.89 (*SD* = 0.20, *SEM* = 0.07, Min = 4.50, Max = 5.00). The observations for capability development (CD), had an average of 4.46 (*SD* = 0.22, *SEM* = 0.09, Min = 4.25, Max = 4.75). Skewness and kurtosis were also calculated and included in Table 12.

Table 12

DOCS Summary Statistics for Involvement Organizational Trait Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Empowerment	4.57	0.31	7	0.12	-0.57	-0.13
TO	4.89	0.20	7	0.07	-1.36	0.23
CD	4.46	0.22	7	0.09	0.27	-1.51

Descriptive statistics for the consistency organizational trait subscales are summarized in Table 13. The observations for CV had an average of 4.86 ($SD = 0.28$, $SEM = 0.11$, $Min = 4.25$, $Max = 5.00$). The observations for Agreement had an average of 4.57 ($SD = 0.37$, $SEM = 0.14$, $Min = 4.00$, $Max = 5.00$). The observations for CI had an average of 4.39 ($SD = 0.43$, $SEM = 0.16$, $Min = 3.75$, $Max = 5.00$). Skewness and kurtosis were also calculated and included in Table 13.

Table 13

DOCS Summary Statistics for Consistency Organizational Trait Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
CV	4.86	0.28	7	0.11	-1.66	1.16
Agreement	4.57	0.37	7	0.14	-0.20	-1.15
CI	4.39	0.43	7	0.16	-0.13	-1.02

Descriptive statistics for the Adaptability organizational trait subscales are summarized in Table 14. The observations for creating change (CC) had an average of 3.71 ($SD = 0.47$, $SEM = 0.18$, $Min = 3.00$, $Max = 4.25$). The observations for customer focus (CF) had an average of 3.29 ($SD = 0.89$, $SEM = 0.34$, $Min = 1.50$, $Max = 4.00$). The observations for organization learning (OL) had an average of 4.32 ($SD = 0.31$, $SEM = 0.12$, $Min = 4.00$, $Max = 4.75$). Skewness and kurtosis were also calculated and included in Table 14.

Table 14

DOCS Summary Statistics for the Adaptability Trait Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
CC	3.71	0.47	7	0.18	-0.28	-1.06
CF	3.29	0.89	7	0.34	-1.21	0.27
OL	4.32	0.31	7	0.12	0.53	-1.21

Descriptive statistics for the mission organizational trait subscales are summarized in Table 15. The observations for strategic direction and intent (SDI) had an average of 4.38 ($SD = 0.44$, $SEM = 0.18$, $Min = 3.75$, $Max = 4.75$). The observations for goals & objectives (GO) had an average of 4.50 ($SD = 0.41$, $SEM = 0.15$, $Min = 4.00$, $Max = 5.00$). The observations for vision had an average of 4.29 ($SD = 0.51$, $SEM = 0.19$, $Min = 3.50$, $Max = 5.00$). Skewness and kurtosis were also calculated and included in Table 15.

Table 15

DOCS Summary Statistics for the Mission Trait Subscales

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
SDI	4.38	0.44	6	0.18	-0.36	-1.52
GO	4.50	0.41	7	0.15	0.25	-1.58
Vision	4.29	0.51	7	0.19	-0.08	-0.96

Results summary. The survey results showed the involvement trait ($M = 4.64$; $SD = 0.12$), was the highest of the four traits, as well as a tight spread around the mean. The next highest was for the consistency trait ($M = 4.61$; $SD = 0.31$), with data tightly spread around the mean, followed by the mission ($M = 4.42$; $SD = 0.28$) indicating a small variance among the responses. The adaptability trait had the lowest average score and the

highest standard deviation ($M = 3.77$; $SD = 0.49$). The weakest trait, adaptability suffers from a low score for the customer focus dimension with an average of 3.29, followed by 3.71 for creating change, and 4.32 for organizational learning.

The DOCS subscale scores from this study were provided to Denison Consulting for comparison to their 2015 normative database of results from over 1000 companies. The results of this comparison are illustrated in Figure 7 and show a score as a percentage benchmarked against the average of the other organizations in the Denison Consulting database. For example, the percentile for the vision subscale based on the data collected shows the 1969 Mets team scored higher than 99 percent of all the other organization in the database for this organizational culture dimension.

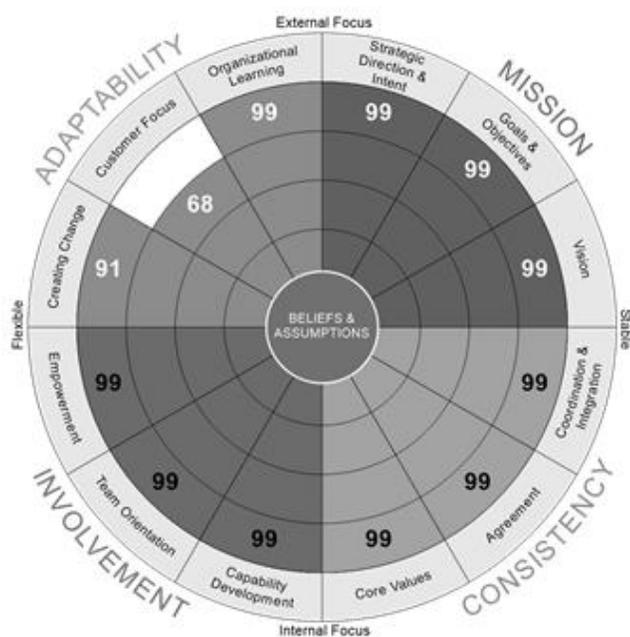


Figure 7. Comparison of DOCS scores against Denison Consulting 2015 normative database expressed as percentiles. Adapted from *Organizational Culture Report Comparing Survey Results to Denison Consulting 2015 Normative Database* [PowerPoint slides], by D.R. Denison and W. S. Neale, 2017. Copyright 2017 by Daniel R. Denison, Ph.D. All rights reserved. Reprinted with permission (See Appendix G).

When compared to the normative database, the results show the scores for this study are consistently in the 99th percentile for all subscales except for creating change and customer focus. The Denison model, as noted in Chapter 2 and illustrated in Figure 5, divides the traits by forces in opposing directions to external focus versus internal focus (north and south) or to flexible versus stable environmental orientations (east and west). The two strongest traits, involvement and consistency, are associated with an internal focus and at the same time shows a culture trying to balance between flexibility and stability. The next strongest pair consists of consistency and mission traits that reflects a stable focus and a culture balancing between an external and internal focus. The strength of these forces behind these three traits is supported by the high scores and the high comparative percentiles. The implications with respect to these results are discussed in Chapter 5.

Organizational Climate Measure (OCM) Survey Results: RQ 3

The OCM was used to determine the type of organizational climate that existed during the New York Mets' 1969 season. The version used for this study included 15 statements related to three organizational climate dimensions: pressure to produce, performance feedback, and effort. These statements are part of the rational goal domain contained in the CVF used by Patterson, et al. (2005) and are associated with rapid change and a competitive orientation, which are characteristics found in successful organizational turnarounds (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992). Each of these dimensions includes five statements in total and study participants responded to each statement using a four-point Likert scale ranging from 1 (*Definitely*

false) to 4 (*Definitely true*). I reverse scored seven of the 15 items as required by the OCM scoring guide.

Descriptive statistics for the OCM survey data were calculated for pressure to produce, performance feedback, and effort are summarized in Table 16. The observations for pressure to produce had an average of 3.26 ($SD = 0.63$, $SEM = 0.24$, $Min = 2.40$, $Max = 4.00$). The observations for performance feedback had an average of 3.86 ($SD = 0.25$, $SEM = 0.09$, $Min = 3.40$, $Max = 4.00$). The observations for effort had an average of 3.91 ($SD = 0.11$, $SEM = 0.04$, $Min = 3.80$, $Max = 4.00$). Skewness and kurtosis were also calculated and are included in Table 16.

Table 16

OCM Summary Statistics for Climate Dimensions

Variable	<i>M</i>	<i>SD</i>	<i>n</i>	<i>SEM</i>	Skewness	Kurtosis
Pressure to produce	3.26	0.63	7	0.24	-0.08	-1.34
Performance feedback	3.86	0.25	7	0.09	-1.12	-0.53
Effort	3.91	0.11	7	0.04	-0.29	-1.92

Results summary. The effort dimension ($M = 3.91$; $SD = 0.11$), was the highest average score of the three climate dimensions included in the study, as well as having a tight spread around the mean. The next highest was performance feedback ($M = 3.86$; $SD = 0.25$), followed by the pressure to produce dimension ($M = 3.26$; $SD = 0.63$). In an organizational climate study of 42 companies using the OCM to understand the connection between climate dimensions and subsequent productivity, Patterson, Warr, and West (2004) showed average scores from non-management employees of 2.89 for

pressure to produce, 2.44 for performance feedback and 2.72 for effort. The findings from the current study showed higher averages for all dimensions, and most significantly for performance feedback and effort. The implications of these results will be discussed in Chapter 5.

Leadership Style and Organizational Culture: RQ 4

In answering Research Question 4, I sought to understand the possible correlations between Hodges's leadership and the team's organizational culture. To assess the strength and direction of the relationships between the leadership types and cultural traits, I conducted multiple linear regressions and nonparametric Spearman correlations. In this and all subsequent linear regression analyses, the 'Enter' variable selection method was chosen for the linear regression model, which includes all of the selected predictors. For this analysis, the independent variables are the subscale scores pertaining to perceived leadership styles (transformational, transactional, and laissez-faire) and the dependent variables in this analysis are the subscale scores pertaining to cultural traits (involvement, consistency, adaptability, and mission). The significance of the overall regression model will be determined using the *F*-test at a significance (alpha) level of .05. If the overall regression model is significant, the individual regression coefficients will be examined to assess the strength and direction of the relationships between variables. Before conducting the linear regression, the assumptions of normality of residuals, homoscedasticity (equal variance) of residuals, the absence of multicollinearity, and the lack of outliers were examined. Normality was assessed with a Shapiro-Wilk test and a Q-Q scatterplot, homoscedasticity was assessed with a residuals

scatterplot, Variance Inflation Factors (VIF) were calculated to check for multicollinearity, and outliers were evaluated using a Studentized residuals plot.

Leadership style and mission trait. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire significantly predicted mission. The results of the Shapiro-Wilk test were not significant, $W = 0.86$, $p = .206$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Variance inflation factors. Variance Inflation Factors (VIFs) were calculated to detect the presence of multicollinearity between predictors. High VIFs indicate increased effects of multicollinearity in the model. Variance Inflation Factors greater than five are cause for concern, whereas VIFs of 10 should be considered the maximum upper limit (Menard, 2009). As shown in Table 17, all predictors in the regression model have VIFs less than five, and these results apply to subsequent correlations between Hodges's leadership and the team's organizational culture.

Table 17

Variance Inflation Factors for Transformational, Transactional, and Laissez-faire

Variable	VIF
Transformational	1.98
Transactional	1.14
Laissez-faire	2.14

Results. The results of the linear regression model were not significant, $F(3,2) = 0.69$, $p = .635$, $R^2 = 0.51$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in mission. Since the overall model was not significant, the individual predictors were not examined further. Table 18 summarizes the results of the regression model.

Table 18

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Mission

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	-0.22	4.26	[-18.55, 18.10]	0.00	-0.05	.963
Transformational	0.96	1.22	[-4.29, 6.20]	0.55	0.78	.515
Transactional	0.35	0.35	[-1.15, 1.85]	0.53	1.01	.419
Laissez-faire	-0.06	0.22	[-1.01, 0.89]	-0.20	-0.27	.812

Note. Results: $F(3,2) = 0.69$, $p = .635$, $R^2 = 0.51$

Unstandardized regression equation: Mission = $-0.22 + 0.96 \cdot \text{Transformational} + 0.35 \cdot \text{Transactional} - 0.06 \cdot \text{Laissez-faire}$

Leadership style and consistency trait. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire significantly predicted consistency. The results of the Shapiro-Wilk test were not significant, $W = 0.86$, $p = .182$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were significant, $F(3,2) = 71.20, p = .014, R^2 = 0.99$, indicating that approximately 99% of the variance in consistency is explainable by transformational, transactional, and laissez-faire. Transformational did not significantly predict Consistency, $B = 0.05, t(2) = 0.27, p = .815$. Based on this sample, a one-unit increase in Transformational does not have a significant effect on Consistency. Transactional significantly predicted Consistency, $B = 0.74, t(2) = 13.83, p = .005$. This indicates that on average, a one-unit increase of Transactional will increase the value of Consistency by 0.74 units. Laissez-faire did not significantly predict Consistency, $B = 0.01, t(2) = 0.33, p = .770$. Based on this sample, a one-unit increase in Laissez-faire does not have a significant effect on Consistency.

Table 19 summarizes the results of the regression model.

Table 19

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Consistency

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	1.96	0.65	[-0.83, 4.76]	0.00	3.02	.094
Transformational	0.05	0.19	[-0.75, 0.85]	0.03	0.27	.815
Transactional	0.74	0.05	[0.51, 0.97]	1.00	13.83	.005
Laissez-faire	0.01	0.03	[-0.13, 0.16]	0.03	0.33	.770

Note. Results: $F(3,2) = 71.20, p = .014, R^2 = 0.99$

Unstandardized regression equation: Consistency = 1.96 + 0.05*Transformational + 0.74*Transactional + 0.01*Laissez-faire

Leadership style and involvement trait. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire significantly predicted involvement. The results of the Shapiro-Wilk test were not

significant, $W = 0.86$, $p = .199$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(3,2) = 0.53$, $p = .704$, $R^2 = 0.44$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in the involvement trait. Since the overall model was not significant, the individual predictors were not examined further.

Table 20 summarizes the results of the regression model.

Table 20

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Involvement

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	4.36	1.02	[-0.03, 8.75]	0.00	4.27	.051
Transformational	0.19	0.29	[-1.07, 1.44]	0.47	0.64	.588
Transactional	-0.10	0.08	[-0.46, 0.26]	-0.68	-1.20	.352
Laissez-faire	-0.03	0.05	[-0.26, 0.20]	-0.46	-0.60	.610

Note. Results: $F(3,2) = 0.53$, $p = .704$, $R^2 = 0.44$

Unstandardized regression equation: Involvement = 4.36 + 0.19*Transformational - 0.10*Transactional - 0.03*Laissez-faire

Leadership style and adaptability trait. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire significantly predicted the adaptability trait. The results of the Shapiro-Wilk test were not significant, $W = 0.87$, $p = .245$, indicating the assumption of normality was met, which

was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(3,2) = 1.13$, $p = .500$, $R^2 = 0.63$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in the Adaptability trait. Since the overall model was not significant, the individual predictors were not examined further. Table 21 summarizes the results of the regression model.

Table 21

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Adaptability

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	-2.87	4.59	[-22.61, 16.88]	0.00	-0.62	.596
Transformational	1.68	1.31	[-3.97, 7.34]	0.78	1.28	.329
Transactional	0.19	0.38	[-1.42, 1.81]	0.24	0.52	.658
Laissez-faire	-0.01	0.24	[-1.04, 1.02]	-0.02	-0.03	.980

Note. Results: $F(3,2) = 1.13$, $p = .500$, $R^2 = 0.63$

Unstandardized regression equation: Adaptability = $-2.87 + 1.68*\text{Transformational} + 0.19*\text{Transactional} - 0.01*\text{Laissez-faire}$

Spearman correlation analysis: Leadership styles and organizational culture

traits. A Spearman correlation analysis was conducted among transformational, transactional, laissez-faire, mission, consistency, involvement, and adaptability. Cohen's standard was used to evaluate the strength of the relationships, where coefficients between .10 and .29 represent a small effect size, coefficients between .30 and .49

represent a moderate effect size, and coefficients above .50 indicate a large effect size (Cohen, 1988). A Spearman correlation requires that the relationship between each pair of variables does not change direction (Conover & Iman, 1981). This assumption is violated if the points on the scatterplot between any pair of variables appear to shift from a positive to negative or negative to a positive relationship, which would appear as a bell-shaped or u-shaped curve in the scatterplot. Figure 8 presents the scatterplot matrix of the correlations. No bell-shaped or u-shaped patterns were observed.

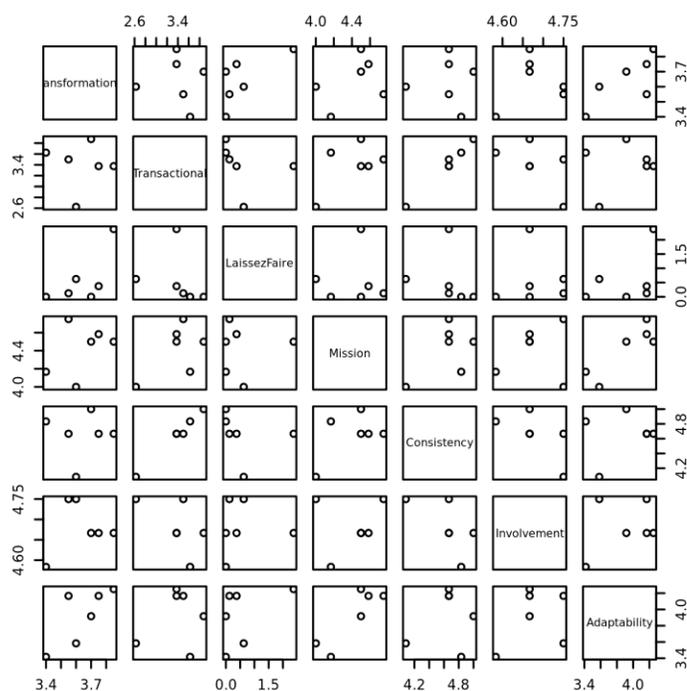


Figure 8. Scatterplot matrix among transformational, transactional, laissez-faire, mission, consistency, involvement, and adaptability.

Results. There was a significant positive correlation between transactional and consistency ($r_s = 0.95, p = .003$). The correlation coefficient between transactional and

consistency was 0.95 indicating a large effect size. This indicates that as transactional increases, consistency tends to increase. Table 22 presents the results of the correlations.

Table 22

Spearman Correlation Matrix among Transformational, Transactional, Laissez-faire, Mission, Consistency, Involvement, and Adaptability

Variable	1	2	3	4	5	6	7
1. Transformational	-						
2. Transactional	-0.35	-					
3. Laissez-faire	0.64	-0.88	-				
4. Mission	0.20	0.22	-0.07	-			
5. Consistency	-0.15	0.95	-0.80	0.12	-		
6. Involvement	0.00	-0.50	0.41	0.19	-0.69	-	
7. Adaptability	0.75	-0.25	0.59	0.68	-0.22	0.23	-

Note. The critical values are 0.81, 0.92, and 0.97 for significance levels .05, .01, and .001 respectively.

Results summary. Multiple linear regression analysis and Spearman correlation analysis were conducted to assess the strength and direction of the correlation between Hodges's leadership style and the type of organizational culture that existed during the New York Mets 1969 turnaround season. The results of the multiple linear regression analysis showed that the transactional component of Hodges's leadership had a significant effect on the consistency organizational culture trait, and no other significant effects were found. Transactional significantly predicted consistency ($B = 0.74$, $t(2) = 13.83$, $p = .005$), which indicates that on average, a one-unit increase of transactional will increase the value of consistency by 0.74 units. The Spearman Correlation analysis also showed a significant positive correlation between transactional leadership and consistency ($r_s = 0.95$, $p = .003$), indicating that as transactional leadership increases, the

consistency trait tends to increase. The implications with respect to these results will be discussed in Chapter 5.

Leadership Styles and Organizational Climate: RQ 5

In answering Research Question 5, I sought to understand the possible correlations between Hodges's leadership and the team's organizational climate. To assess the strength and direction of the relationships between the leadership types and climate dimensions, I conducted multiple linear regressions and nonparametric Spearman correlations. For these analyses, the independent variables are the subscale scores pertaining to perceived leadership styles (transformational, transactional, and laissez-faire) and the dependent variables in this analysis are the subscale scores pertaining to climate dimensions (pressure to produce, performance feedback, and effort). The significance of the overall regression model will be determined using the *F*-test at a significance (alpha) level of .05. If the overall regression model is significant, the individual regression coefficients will be examined to assess the strength and direction of the relationships between variables.

Prior to conducting the linear regression, the assumptions of normality of residuals, homoscedasticity (equal variance) of residuals, the absence of multicollinearity, and the lack of outliers were examined. Normality was assessed with a Shapiro-Wilk test and a Q-Q scatterplot, homoscedasticity was assessed by a residuals scatterplot. Variance Inflation Factors (VIF) were calculated to check for multicollinearity, and outliers were evaluated using a Studentized residuals plot.

Leadership style and pressure to produce. A linear regression analysis was

conducted to assess whether transformational, transactional, and laissez-faire significantly predicted the pressure to produce dimension. The results of the Shapiro-Wilk test were not significant, $W = 0.99$, $p = .991$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(3,2) = 1.99$, $p = .352$, $R^2 = 0.75$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in pressure. Since the overall model was not significant, the individual predictors were not examined further. Table 23 summarizes the results of the regression model.

Table 23

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Pressure

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	-6.89	6.03	[-32.83, 19.05]	0.00	-1.14	.372
Transformational	2.21	1.73	[-5.22, 9.63]	0.64	1.28	.330
Transactional	0.65	0.49	[-1.48, 2.77]	0.49	1.31	.320
Laissez-faire	0.09	0.31	[-1.26, 1.45]	0.16	0.30	.792

Note. Results: $F(3,2) = 1.99$, $p = .352$, $R^2 = 0.75$

Unstandardized regression equation: Pressure = -6.89 + 2.21*Transformational + 0.65*Transactional + 0.09*Laissez-faire

Leadership style and performance feedback. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire

significantly predicted the performance feedback dimension. The results of the Shapiro-Wilk test were not significant, $W = 0.98$, $p = .968$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(3,2) = 3.99$, $p = .207$, $R^2 = 0.86$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in performance. Since the overall model was not significant, the individual predictors were not examined further. Table 24 summarizes the results of the regression model.

Table 24

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Performance

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	2.67	1.35	[-3.13, 8.48]	0.00	1.98	.186
Transformational	-0.01	0.39	[-1.67, 1.65]	-0.01	-0.02	.982
Transactional	0.37	0.11	[-0.10, 0.85]	0.96	3.38	.078
Laissez-faire	0.04	0.07	[-0.26, 0.35]	0.25	0.63	.591

Note. Results: $F(3,2) = 3.99$, $p = .207$, $R^2 = 0.86$

Unstandardized regression equation: Performance = 2.67 - 0.01*Transformational + 0.37*Transactional + 0.04*Laissez-faire

Leadership style and effort. A linear regression analysis was conducted to assess whether transformational, transactional, and laissez-faire significantly predicted the effort dimension. The results of the Shapiro-Wilk test were not significant, $W = 0.96$, $p = .841$,

indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(3,2) = 0.28$, $p = .836$, $R^2 = 0.30$, indicating transformational, transactional, and laissez-faire did not explain a significant proportion of variation in effort. Since the overall model was not significant, the individual predictors were not examined further. Table 25 summarizes the results of the regression model.

Table 25

Results for Linear Regression with Transformational, Transactional, and Laissez-faire Predicting Effort

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	4.91	2.00	[-3.70, 13.52]	0.00	2.45	.134
Transformational	-0.24	0.57	[-2.71, 2.22]	-0.35	-0.42	.716
Transactional	-0.03	0.16	[-0.74, 0.67]	-0.13	-0.21	.851
Laissez-faire	-0.03	0.10	[-0.48, 0.42]	-0.25	-0.29	.802

Note. Results: $F(3,2) = 0.28$, $p = .836$, $R^2 = 0.30$

Unstandardized regression equation: Effort = 4.91 - 0.24*Transformational - 0.03*Transactional - 0.03*Laissez-faire

Leadership styles and organizational climate spearman correlation analysis.

A Spearman correlation analysis was conducted among transformational, transactional, laissez-faire, pressure to produce, performance feedback, and effort. Cohen's standard was used to evaluate the strength of the relationships, where coefficients between .10 and

.29 represent a small effect size, coefficients between .30 and .49 represent a moderate effect size, and coefficients above .50 indicate a large effect size (Cohen, 1988). A Spearman correlation requires that the relationship between each pair of variables does not change direction (Conover & Iman, 1981). This assumption is violated if the points on the scatterplot between any pair of variables appear to shift from a positive to negative or negative to positive relationship, which would appear as a bell-shaped or u-shaped curve in the scatterplot. Figure 9 presents the scatterplot matrix of the correlations. No bell-shaped or u-shaped patterns were observed.

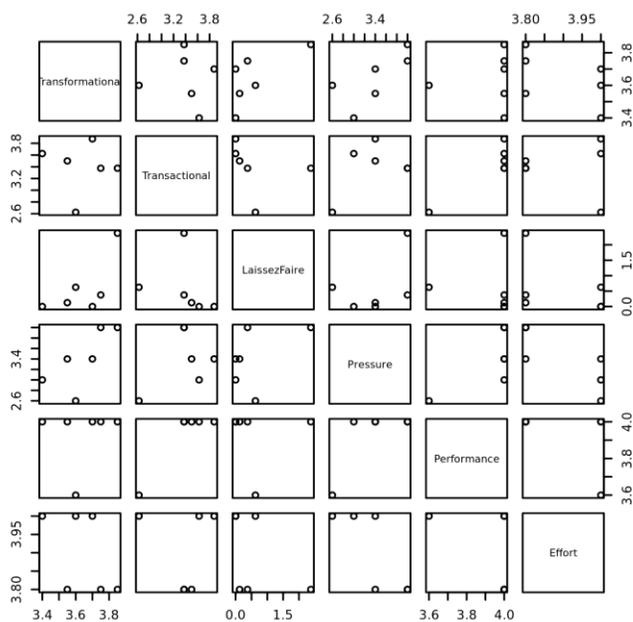


Figure 9. Scatterplot matrix among transformational, transactional, laissez-faire, pressure to produce, performance feedback, and effort.

Results. There was a significant negative correlation between transactional and laissez-faire ($r_s = -0.88, p = .020$). The correlation coefficient between transactional and

laissez-faire was -0.88 indicating a large effect size. This indicates that as transactional increases, laissez-faire tends to decrease. Table 26 presents the results of the correlations.

Table 26

Spearman Correlation Matrix among Transformational, Transactional, Laissez-faire, Pressure, Performance, and Effort

Variable	1	2	3	4	5	6
1. Transformational	-					
2. Transactional	-0.35	-				
3. Laissez-faire	0.64	-0.88	-			
4. Pressure to Produce	0.77	0.00	0.31	-		
5. Performance Feedback	0.13	0.66	-0.40	0.67	-	
6. Effort	-0.49	0.30	-0.50	-0.80	-0.45	-

Note. The critical values are 0.81, 0.92, and 0.97 for significance levels .05, .01, and .001 respectively.

Results summary. Multiple linear regression analysis and Spearman correlation analysis were conducted to assess the strength and direction of the correlation between Hodges's leadership style and the organizational climate that existed during the New York Mets 1969 turnaround season. The results of the multiple linear regression analysis and the Spearman correlation analysis did not show a significant correlation between Hodges's leadership and the components of organizational climate. The implications of these results will be discussed in Chapter 5.

Organizational Cultural Traits and Organizational Climate: RQ 6

In answering Research Question 6, I sought to understand the possible correlations between the team's organizational culture and the team's organizational climate. To assess the strength and direction of the relationships between the

organizational culture traits and climate dimensions, I conducted multiple linear regressions and nonparametric Spearman correlations. For this analysis, the independent variables are the subscale scores pertaining to perceived organizational culture traits (mission, consistency, involvement, and adaptability) and the dependent variables in this analysis are the subscale scores pertaining to climate dimensions (pressure to produce, performance feedback, and effort). The significance of the overall regression model will be determined using the F -test at a significance (alpha) level of .05. If the overall regression model is significant, the individual regression coefficients will be examined to assess the strength and direction of the relationships between variables.

Prior to conducting the linear regression, the assumptions of normality of residuals, homoscedasticity (equal variance) of residuals, the absence of multicollinearity, and the lack of outliers were examined. Normality was assessed with a Shapiro-Wilk test and a Q-Q scatterplot, and homoscedasticity was assessed with a residuals scatterplot. Variance Inflation Factors (VIF) were calculated to check for multicollinearity, and outliers were evaluated using a Studentized residuals plot.

Organizational culture and pressure to produce. A linear regression analysis was conducted to assess whether mission, consistency, involvement, and adaptability significantly predicted pressure. The results of the Shapiro-Wilk test were not significant, $W = 0.96$, $p = .789$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation

numbers yielded an absolute value of less than three.

Variance inflation factors. Variance Inflation Factors (VIFs) were calculated to detect the presence of multicollinearity between predictors and the results are included in Table 27. High VIFs indicate increased effects of multicollinearity in the model.

Variance Inflation Factors greater than 5 are cause for concern, whereas VIFs of 10 should be considered the maximum upper limit (Menard, 2009). In this case, the VIF for the mission trait is above 10 (VIF = 13.64). According to O'Brien (2007), the most common approach is to remove the variable with the high value. In this case, the analysis was continued in an exploratory manner as the low sample size could have contributed to the high VIF value. The following predictors had VIFs greater than 10: Mission.

Table 27

Variance Inflation Factors for Mission, Consistency, Involvement, and Adaptability

Variable	VIF
Mission	13.64
Consistency	7.84
Involvement	4.35
Adaptability	6.84

Results. The results of the linear regression model were not significant, $F(4,1) = 27.67$, $p = .142$, $R^2 = 0.99$, indicating mission, consistency, involvement, and adaptability did not explain a significant proportion of variation in pressure. Since the overall model was not significant, the individual predictors were not examined further. Table 28 summarizes the results of the regression model.

Table 28

Results for Linear Regression with Mission, Consistency, Involvement, and Adaptability Predicting Pressure

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	25.51	8.61	[-83.92, 134.94]	0.00	2.96	.207
Mission	0.06	0.69	[-8.72, 8.84]	0.03	0.08	.947
Consistency	-0.35	0.47	[-6.35, 5.66]	-0.20	-0.74	.595
Involvement	-5.88	1.73	[-27.92, 16.15]	-0.67	-3.39	.183
Adaptability	1.73	0.39	[-3.28, 6.75]	1.09	4.39	.143

Note. Results: $F(4,1) = 27.67$, $p = .142$, $R^2 = 0.99$

Unstandardized regression equation: Pressure = 25.51 + 0.06*Mission - 0.35*Consistency - 5.88*Involvement + 1.73*Adaptability

Organizational culture and performance. A linear regression analysis was conducted to assess whether mission, consistency, involvement, and adaptability significantly predicted performance. The results of the Shapiro-Wilk test were not significant, $W = 0.96$, $p = .789$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(4,1) = 19.64$, $p = .167$, $R^2 = 0.99$, indicating mission, consistency, involvement, and adaptability did not explain a significant proportion of variation in performance. Since the overall model was not significant, the individual predictors were not examined further. Table 29 summarizes the results of the regression model.

Table 29

Results for Linear Regression with Mission, Consistency, Involvement, and Adaptability Predicting Performance

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	8.95	3.02	[-29.44, 47.35]	0.00	2.96	.207
Mission	0.53	0.24	[-2.55, 3.61]	0.90	2.17	.274
Consistency	0.04	0.17	[-2.07, 2.15]	0.07	0.23	.856
Involvement	-1.56	0.61	[-9.29, 6.18]	-0.60	-2.56	.237
Adaptability	-0.06	0.14	[-1.82, 1.70]	-0.13	-0.44	.736

Note. Results: $F(4,1) = 19.64$, $p = .167$, $R^2 = 0.99$

Unstandardized regression equation: Performance = 8.95 + 0.53*Mission + 0.04*Consistency - 1.56*Involvement - 0.06*Adaptability

Organizational culture and effort. A linear regression analysis was conducted to assess whether mission, consistency, involvement, and adaptability significantly predicted effort. The results of the Shapiro-Wilk test were not significant, $W = 0.96$, $p = .789$, indicating the assumption of normality was met, which was confirmed with a visual assessment of Q-Q scatterplot. A scatterplot of the predicted values and model residuals demonstrated the assumption of homoscedasticity was met. To identify outliers, Studentized residuals were calculated, and all of the observation numbers yielded an absolute value of less than three.

Results. The results of the linear regression model were not significant, $F(4,1) = 13.74$, $p = .199$, $R^2 = 0.98$, indicating mission, consistency, involvement, and adaptability did not explain a significant proportion of variation in effort. Since the overall model was not significant, the individual predictors were not examined further. Table 30 summarizes the results of the regression model.

Table 30

Results for Linear Regression with Mission, Consistency, Involvement, and Adaptability Predicting Effort

Variable	<i>B</i>	<i>SE</i>	95% CI	β	<i>t</i>	<i>p</i>
(Intercept)	-2.47	2.42	[-33.19, 28.24]	0.00	-1.02	.493
Mission	-0.54	0.19	[-3.01, 1.92]	-1.38	-2.79	.219
Consistency	0.45	0.13	[-1.24, 2.14]	1.27	3.39	.183
Involvement	1.49	0.49	[-4.70, 7.67]	0.85	3.05	.202
Adaptability	-0.07	0.11	[-1.48, 1.34]	-0.22	-0.64	.637

Note. Results: $F(4,1) = 13.74$, $p = .199$, $R^2 = 0.98$

Unstandardized regression equation: Effort = $-2.47 - 0.54 * \text{Mission} + 0.45 * \text{Consistency} + 1.49 * \text{Involvement} - 0.07 * \text{Adaptability}$

Organizational cultural traits and organizational climate spearman

correlation analysis. A Spearman correlation analysis was conducted among mission, consistency, involvement, adaptability, pressure, performance, and effort. Cohen's standard was used to evaluate the strength of the relationships, where coefficients between .10 and .29 represent a small effect size, coefficients between .30 and .49 represent a moderate effect size, and coefficients above .50 indicate a large effect size (Cohen, 1988). A Spearman correlation requires that the relationship between each pair of variables does not change direction (Conover & Iman, 1981). This assumption is violated if the points on the scatterplot between any pair of variables appear to shift from a positive to negative or negative to a positive relationship, which would appear as a bell-shaped or u-shaped curve in the scatterplot. Figure 10 presents the scatterplot matrix of the correlations. No bell-shaped or u-shaped patterns were observed.

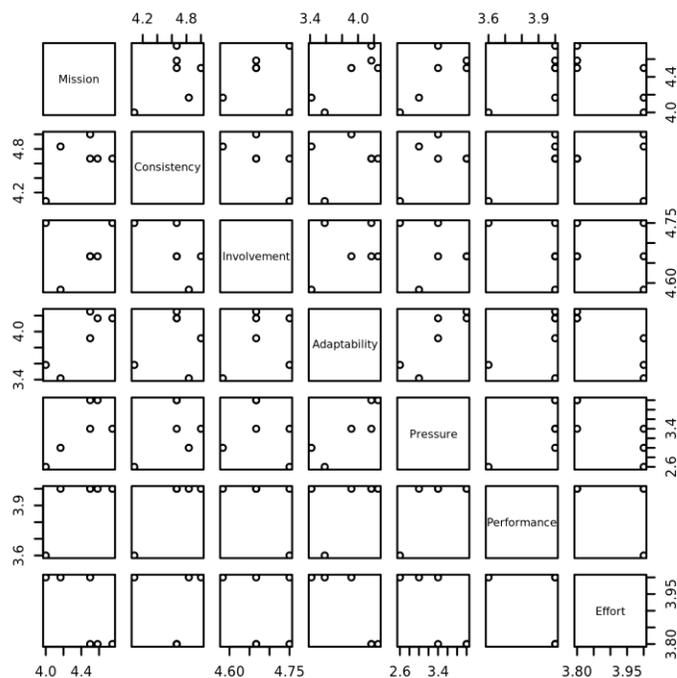


Figure 10. Scatterplot matrix among mission, consistency, involvement, adaptability, pressure, performance, and effort.

Results. There was a significant positive correlation between adaptability and pressure ($r_s = 0.87, p = .026$). The correlation coefficient between adaptability and pressure was 0.87 indicating a large effect size. This indicates that as adaptability increases, pressure tends to increase. There was a significant negative correlation between adaptability and effort ($r_s = -0.89, p = .017$). The correlation coefficient between Adaptability and Effort was -0.89 indicating a large effect size. This indicates that as Adaptability increases, Effort tends to decrease. Table 31 presents the results of the correlations.

Table 31

Spearman Correlation Matrix among Mission, Consistency, Involvement, Adaptability, Pressure, Performance, and Effort

Variable	1	2	3	4	5	6	7
1. Mission	-						
2. Consistency	0.12	-					
3. Involvement	0.19	-0.69	-				
4. Adaptability	0.68	-0.22	0.23	-			
5. Pressure	0.69	0.13	-0.21	0.87	-		
6. Performance	0.66	0.70	-0.57	0.40	0.67	-	
7. Effort	-0.79	0.31	-0.21	-0.89	-0.80	-0.45	-

Note. The critical values are 0.81, 0.92, and 0.97 for significance levels .05, .01, and .001 respectively.

Results summary. Multiple linear regression analysis and Spearman correlation analysis were conducted to assess the strength and direction of the correlation between the New York Mets team organizational culture and organizational climate that existed during the 1969 turnaround season. The results of the multiple linear regression analysis did not show any significant effect between organizational culture and organizational climate components of the team. The Spearman Correlation analysis did show a significant positive correlation between adaptability and pressure ($r_s = 0.87$, $p = .026$), which indicates that as adaptability increases, pressure tends to increase. Additionally, the Spearman Correlation also showed a significant negative correlation between adaptability and effort ($r_s = -0.89$, $p = .017$), which suggests that as adaptability increases, effort tends to decrease. The implications with respect to these results will be discussed in Chapter 5.

Summary

In this chapter, I presented the data collection process and the results of the data analysis for each of the research questions using descriptive statistics, multiple linear regression, and Spearman Correlation analysis. Three instruments were used to measure team member perception of the leadership of Gil Hodges, the organizational culture, and climate during the New York Mets 1969 turnaround season. The MLQ-5X Rater Form was used to identify leadership style, the DOCS instrument was used to identify organizational culture traits, and the OCM survey was used for measure certain organizational climate dimensions.

A descriptive statistical analysis of the MLQ-5X Rater Form results was used to answer RQ1, which was to discover the leadership style that most reflects how Hodges led the New York Mets during their 1969 turnaround season. The results showed that transformational leadership style had the highest average score of 3.64 ($SD = 0.16$), followed by an average score of 3.40 ($SD = 0.42$) for transactional leadership. The lowest average score was 0.50 and an ($SD = 0.86$) for laissez-faire leadership style.

A descriptive statistical analysis of the DOCS instrument results was used to answer RQ2, which was to ascertain the type of organizational culture Hodges instilled in the team that led to the successful organizational turnaround. The results showed that the involvement organizational culture trait as having the highest average score of 4.64 ($SD = 0.12$), followed very closely by the consistency trait with an average score of 4.61 (SD of 0.31) and the mission trait with an average score of 4.42 (SD of 0.28). Trailing the

other three is the results for the adaptability trait with an average score of 3.77 ($SD = 0.49$).

A descriptive statistical analysis of the OCM survey results was used to answer RQ3, which was to ascertain the type of organizational climate that existed during Hodges leadership of the 1969 New York Mets. The results of the analysis show the effort dimension of organizational climate had the highest average score of 3.91 ($SD = 0.11$), followed closely by performance, with an average score of 3.86 ($SD = 0.25$). The pressure to produce dimension had the lowest average score of 3.26 ($SD = 0.63$).

Multiple linear regression analysis and Spearman correlation analysis were used to answer RQ4, which was to ascertain the strength and direction of the correlation between Hodges's leadership style and the type of organizational culture that existed during the New York Mets 1969 turnaround season. The results of both sets of analysis showed that the transactional component of Hodges's leadership had a positive effect on the Consistency organizational culture trait.

Multiple linear regression analysis and Spearman correlation analysis were used to answer RQ5, which was to ascertain the strength and direction of the correlation between Hodges's leadership style and the team's organizational climate. The results of both sets of analysis showed no significant correlation between Hodges's leadership and organizational climate.

Multiple linear regression analysis and Spearman correlation analysis were used to answer RQ6, which was to ascertain the strength and direction of the correlation between the 1969 New York Mets organizational culture and the team's organizational

climate. While the multiple linear regression analysis did not show any significant correlation between components of team's organizational culture and climate, the Spearman Correlation analysis did show a significant positive correlation between the adaptability cultural trait and the pressure component of organizational culture, and a significant negative correlation between adaptability and the effort component of organizational culture.

A summary of the study, an analysis of the results, the limitations of the study, and a presentation of the findings are contained in Chapter 5. The implications of the results and a comparison of these findings to other related studies are also discussed. I conclude with the social change implications of the study and suggested recommendations for future research.

Chapter 5: Discussion, Conclusions, and Recommendations

The intent of this ex post facto, nonexperimental, quantitative study was to explore and describe the leadership characteristics employed by Gil Hodges during the successful single-season turnaround of the 1969 New York Mets and examine the team's culture and organizational climate. To develop an understanding of Hodges's leadership style, I used the MLQ 5X- Rater Form, and I viewed the results through the lens of Bass and Avolio's (1994) FRLT. In analyzing the organization's culture, I used the DOCS instrument and examined the results using Schein's (1983) theory of organizational culture, and for the team's organizational climate, I employed the OCM questionnaire and evaluated the results using the CVF (Quinn & Rohrbaugh, 1983) as applied by Patterson et al. (2005). Descriptive statistics were used to analyze the data collected from each of the surveys and explore Hodges's leadership and the team's organizational culture and climate. The data were also used as a basis for multiple linear regression analyses to ascertain the strength and direction of the correlation between Hodges's leadership and the team's organizational culture and climate, and the correlation between the team's organizational culture and climate.

The findings related to RQ1 showed that Hodges exhibited a strong tendency toward transformational leadership characteristics followed by transactional leadership while any laissez-faire characteristics were far less significant was. In the context of the full range leadership model, these results place Hodges's leadership style in an "optimal leadership profile" reflecting elements of transformational and transactional leadership (Avolio, 2011, p. 66). In response to RQ2, an analysis of the data collected from the

DOCS instrument reflects a team culture perceived by the players as generally balanced across all four traits of the Denison organizational culture model, with the involvement trait having the highest average score and adaptability the lowest scores. As noted by Denison et al. (2014), effective organizations show an ability to create a dynamic equilibrium between forces underlying each of the four traits, because each is shown to influence various aspects of organizational effectiveness and performance. The OCM survey results used to answer RQ3 showed that players perceived a high emphasis on all three climate dimensions measured for this study, and such results demonstrate a climate associated with rapid change and a competitive orientation associated with successful turnarounds (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992). The results showed the 1969 New York Mets team climate emphasized effort and hard work with a competitive focus.

In response to RQ4, I examined the possible correlation between Hodges's leadership and the team's organizational culture using the components leadership style and the four cultural traits contained in this study. To answer RQ5, the same analyses were performed to determine the correlation between Hodges's leadership style and the three organizational climate dimensions used in this study to determine the possible correlation between Hodges's leadership and the team's organizational climate. Additionally, to answer RQ6, I used the same analytical techniques to determine the correlation between the team's organizational culture traits and climate dimensions.

Although the sample size for this study was already small, with 27 potential participants, the use of regression analysis offered an opportunity to analyze the

relationship between multiple variables across the organization's leadership, culture, and climate dimensions. The relatively low number of responses does not provide me with a high level of confidence in the regression analysis results, which led me to use the data in an exploratory manner. The results from an exploratory analysis should not be taken as definitive conclusions; rather they generate hypotheses that can be tested through future research (Cohen et al., 2011). In describing the results and in my interpretation of findings, I will present the data analysis as exploratory and emphasize the need for future research.

The results of both the multiple linear regression and the Spearman correlation related to RQ4 showed that the transactional component of Hodges's leadership had a significant positive effect on the consistency organizational culture trait. The results related to RQ5 did not demonstrate any significant predictive relationship between Hodges's leadership and the dimensions of the team's organizational climate. There were mixed results related to RQ6. The multiple linear regression analyses did not show any significant predictive relationship between the variables. The Spearman correlation did show a significant positive correlation between the adaptability trait and the pressure to produce climate dimension, as well as a significant negative correlation between adaptability and the effort dimension.

Interpretations and Findings

Leadership is an important component of realizing a successful organizational turnaround. The positive connection between leadership and effective organizational turnarounds is well documented in the current literature (Abebe, 2012; Castrogiovanni et

al., 1992; O’Kane & Cunningham, 2012; Panicker & Manimala, 2015). In addition, researchers have seen successful turnaround leadership behavior as multifaceted and more of a collection of styles applied to the leader rather than a single style (Harker & Sharma, 2000; Panicker & Manimala, 2015; Yandava, 2012). To examine the leadership exhibited in this case study, I used FRLT, which is a construct based on multiple leadership styles.

The findings showed transformational and transactional leadership as the predominant styles exhibited by Hodges and are consistent with studies of successful turnaround leadership (Panicker & Manimala, 2015). Elements of FRLT, predominantly transformational and transactional leadership, are seen throughout the organizational turnaround literature and are most evident as an organization moves from stabilization to recovery and growth (Harker & Sharma, 2000; Panicker & Manimala, 2015; Yandava, 2012). The transformational leader has distinct qualities that can influence followers to transcend self-interest and support common goals, whereas a transactional style has been shown to be preferable when organizational members are pushed to outperform competitors and are both associated with positive outcomes (Bhat, Verma, Rangnekar, & Barua, 2012). The results showed the individualized influence elements of transformational leadership were ranked highest by the players, reflecting Hodges’s attention to developing trust, respect, and strategies to achieve team objectives while instilling confidence in the players’ individual abilities. The players also recognized the contingent reward element of transactional leadership as a significant aspect of Hodges’s

style. This style of leadership is focused on engaging with team members and creating a system of rewarding performance.

Hodges's leadership focus identified by the players can also be translated through the prism of situational leadership. The application of task-directive orientation has similar characteristics to transactional leadership, while the supportive-relationship orientation is congruent to transformational leadership. In the context of situational leadership, a focus on both transformational leadership's individualized influence and transactional leadership's contingent reward seem to indicate a use of both orientations, suggesting Hodges applied coaching and supportive situational leadership styles.

The effectiveness of Hodges's leadership is demonstrated by the change in the trajectory of the 1969 New York Mets from a history of losing seasons to the team's first World Series championship. B. Harrelson and E. Kranepool described the way Hodges used statistics from the prior year's losing season to demonstrate how close to winning they were, and how through a combined effort they could turn around the team's performance (personal communications, April 26, 2012). Setting ambitious goals, being prepared, and providing support and insight are characteristics exhibited by successful coaches (Burnes & O'Donnell, 2011). An effective leader is able to diagnose the situational variables and apply optimum amounts of directive and supportive leadership behavior to influence higher levels of performance (Blanchard, 2010). As noted by Harker and Sharma (2000), leading a turnaround requires varying degrees and aspects of situational, transactional, and transformational leadership. Viewing the results through

the lens of situational leadership, Hodges was able to adapt his leadership style to align with the readiness and development of the players and the team as a whole.

The MLQ survey results suggest Hodges was a multidimensional leader who applied different styles as necessary to drive performance and achieve a winning objective. The Full Range Leadership Theory: Optimal Model, as shown in Figure 4, illustrates that to be effective, a leader exhibits a combination of strong transformational characteristics, followed by transactional, and minimal evidence of a laissez-faire leadership style. The study results show that Hodges's leadership exhibited an optimal profile and his effectiveness is demonstrated by leading a dramatic organizational turnaround of the 1969 New York Mets.

The culture of an organization is a dynamic and guiding force perceived by its members, which influences common actions and activities. Such a force aligns member behaviors and activities behind a common purpose, and its nature becomes part of organizational consciousness. According to Schein (2010), the culture of an organization can be seen in key levels or dimensions as viewed in its artifacts, espoused beliefs and values, and basic underlying assumptions. Artifacts are cultural elements that can be observed, including the acceptable style of clothing, rituals, and behavior, while espoused beliefs and values embody shared organizational ideals, goals, ideologies, and aspirations (Schein, 2010). The basic underlying assumptions provide a cultural dimension that brings meaning to actions and activities, and member acceptance of a shared approach to problem solving and decision making (Schein, 2010). The elements that form these

cultural dimensions can be tangible or observable or abstract and contained in the subconscious of employees and underlie everyday activities.

In this study, I used the DOCS instrument to determine the type of organizational culture perceived by the players, which existed during the Mets' 1969 season. The DOCS instrument measures employee perceptions of the strength of forces behind 12 dimensions underlying four cultural traits- involvement, consistency, adaptability, and mission. Each of the traits has at its core elements of the cultural dimensions described by Schein (2010). The underlying forces, as noted by Denison and Mishra (1995), were recognized by Schein (1990) as a way of focusing the organization to confront dual problems of external adaptation and internal integration, and the problems of adaptability and change, while remaining stable and predictable. An organization that is able to create a dynamic equilibrium between these cultural forces has the dexterity to act on several problems and issues at the same time.

The survey results showed players did not perceive an emphasis behind a single dominant trait. The scores showed a culture that balanced forces creating a dynamic equilibrium between traits. Although most of the composite scores were closely aligned, the involvement trait had the highest score, which implies an emphasis on fostering a sense of ownership, working in a team environment, commitment, and working to make the organization successful (Denison, 1997; Denison et al., 2014). The consistency trait had the next highest score and represents the strength of player alignment with the team's core values, organizational practices and accepted behaviors (Denison, 1997; Denison et al., 2014). The mission trait, an expression of the players having a clear sense of

direction, vision, and purpose had the third highest score. The adaptability trait had the lowest score and is seen as a measure of how the organization reacts to change, competitive pressures, and innovation (Denison, 1997; Denison & Neale, 1996). These findings denote an agile organizational culture that by balancing forces created a portfolio of traits that can work on multiple problems at the same time.

According to Denison (1997), successful organizations are able to concurrently exhibit all four traits. In a turnaround, organizations often work on multiple problems at the same time in order to generate a rapid recovery or swift reversal from a period of poor performance (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992). A sports team can become “accustomed to mediocrity” leading to a “losing habit,” requiring turnaround leadership to create a new winning culture (Frontiera, 2010, p. 76). Studies have shown that effective organizational cultures can influence organizational performance and turnarounds (Mihail, Links, & Sarvanidis, 2013; Zheng, Yang, & McLean, 2010). In turnarounds, organizations often overlap priorities to both stabilize the situation while also working on improving performance (Robbins & Pearce, 1992; Chowdhury, 2002). The ability of the organization to work on multiple fronts at the same time has been seen as critical to successful organizational turnarounds.

Organizational climate embodies the members’ collective perception of their operating environment. Members identify this through their social framework, relationships, interactions with co-workers and leaders, decision processes, organizational structure, and leadership style (Litwin & Stringer, 1968; Rousseau, 1988). To determine the type of organizational climate that existed during the New York Mets’ 1969 season, I

used the OCM survey that included 15 statements related to three organizational climate dimensions: pressure to produce, performance feedback, and effort. These climate dimensions are part of the rational goal domain contained in the CVF and are associated with rapid change and a competitive orientation, which are characteristics found in successful organizational turnarounds (Armenakis et al., 1996; Pandit, 2000; Robbins & Pearce, 1992).

The effort dimension showed the highest average score, indicating that players perceived a significant emphasis was placed on hard work and pushing themselves to achieve the team's goals (Patterson et al., 2005). The next highest is performance feedback, in which players perceived their performance was continually measured and feedback was regularly provided; and the pressure to produce dimension reflects the players' perception that management set high expectations for achievement and stressed hard work and goal realization (Patterson et al., 2005). The scores from this study were also compared to scores from an organizational climate study of 42 companies using the OCM to understand climate as a predictive indicator to subsequent productivity improvements (Patterson et al., 2004). The results from the current study showed higher average scores for all three dimensions, and most significantly for Performance Feedback and Effort. The findings from this study show that all three climate dimensions were emphasized and indicate that leadership stressed hard work and high levels of performance, which are associated with an emphasis on goal achievement.

To determine the strength and direction of the correlation between Hodges's leadership and the team's organizational culture subscales, multiple linear regression

analysis, and Spearman correlation analysis were used. The results of both sets of analysis showed that the transactional component of Hodges's leadership had a significant positive effect on the consistency organizational culture trait. Transactional leadership style uses rewards to produce a positive influence on follower actions toward goal achievement (Bass & Riggio, 2006). Such leaders also continually monitor performance and work with members to take corrective action in pursuit of organizational goals (Vito et al., 2014). The consistency trait emphasizes the effectiveness of aligning team values and accepted organizational norms with player actions and behaviors (Denison, 1997).

Transactional leadership, especially its contingent reward aspects of this style of leadership has been shown to have a positive correlation with organizational cultures, particularly innovation and goal orientations (Xenikou, 2017; Sarros, Gray, & Densten, 2002). The goal orientation aspect of organizational culture "emphasizes concepts such as rationality, performance indicators, accomplishment, accountability, and contingent reward" (van Muijen et al., 1999, p. 556). Elements of goal orientation are congruent with the consistency trait, which focuses on aligning actions and activities with accepted behaviors and practices, and with core values. The results of the current study are consistent with prior research that shows a positive correlation between transactional leadership and elements of organizational culture. However, several studies have also shown a positive correlation between transformational leadership and organizational culture, which was not evinced in the current study (Sarros et al., 2002; Xenikou, 2017). It is important to consider the results from this study in the context of its limitations,

especially the small number of responses. The positive correlation between Hodges's transactional leadership style and the consistency organizational culture trait, and the lack of a positive correlation between transformational leadership components, and organizational culture are exploratory findings and future studies of similar organizations with a larger population could be used to test these results.

To determine the strength and direction of the correlation between Hodges's leadership and the team's organizational climate subscales, multiple linear regression analysis, and Spearman correlation analysis were used. Neither set of analyses showed a significant correlation between Hodges's leadership and the components of organizational climate. This is contrary to other studies that have shown a positive correlation between transformational leadership dimensions and organizational climate (Shanker & Sayeed, 2012; Wang & Rode, 2010).

At its core, transformational leadership is the act of inspiring followers with a compelling vision, instilling a sense of trust and confidence, and unifying collective effort to achieve a common goal or purpose. These same characteristics have been shown to create an organizational climate that reinforces member behaviors and activities that are aligned with goal achievement (Shanker & Sayeed, 2012). Organizational climate is found in the members' collective sense of the operating environment, including the social order, leadership style and how the climate influences their job performance and attitude. Although team members perceived Hodges's leadership as having a strong transformational style, the results did not demonstrate a positive connection with the

team's organizational climate. It is important to consider these results in the context of the limitations of this study.

To determine the strength and direction of the correlation between the team's organizational culture subscales and organizational climate subscales, multiple linear regression analysis, and Spearman correlation analysis were used. The Spearman correlation showed a significant positive correlation between the adaptability trait and the pressure to produce climate dimension, as well as a significant negative correlation between adaptability and the effort dimension. The adaptability trait reflects the ability of the organizational members to understand their competitive environment and customer demands and make changes that result in new capabilities that enhance their ability to achieve organizational goals (Denison et al., 2014). The two climate dimensions pressure to produce and effort, are aspects of the Rational Goal Model domain which is associated with rapid change and a competitive orientation (Patterson et al., 2005).

Research findings from prior studies suggest the existence of inter-relationships between culture and climate (Wallace, Hunt, & Richards, 1999), and a recent study confirmed that elements of organizational culture, including some aspects of adaptability, influence organizational climate, (Iljins, Skvarciany, & Gaile-Sarkane, 2015). The current study does show a relationship between the adaptability trait and elements of organizational climate. However, these results show both a positive and negative relationships with elements of the same climate domain. Both the adaptability cultural trait and the Rational Goal Model climate domain focus on organizational change and understanding the competitive environment. These constructs appear complementary, and

the forces underlying each is aligned. The limitations of the current study, as outlined in the next section, may be impacting the conflicting results within the Spearman correlation analysis. These are exploratory results and future research studies with a scale that overcomes such limitations may clarify these findings.

Limitations of the Study

Several factors can be seen as a limitation to this study. The first is the small population and the resulting limited number of survey responses yielding a small data set for analysis. In this study, the population was limited to 29 former players and coaches from the 1969 New York Mets baseball team and the data set was derived from the seven responses received. It is possible that the small data set made it difficult to find significant relationships from the multiple regression analysis and Spearman correlation analysis. The a priori data analysis model designed for this study was utilized, but the low response rate limited the confidence in the regression analysis results and as such the findings are labeled as exploratory. Using the model from this study, future studies of similar organizations with a larger population should be considered.

The study was limited to a single organization during a specific year. The 1969 New York Mets represented a unique case, given the nature of the turnaround. Yet the age of the participants and the time that has elapsed since the study events occurred could present a potential weakness. The small sample size, the use of a single case, and the participant ages can limit the generalizability of the results.

Recommendations

The purpose of this study was to explore the leadership style, organizational culture, and climate that existed during a successful organizational turnaround. I noted several weaknesses that future researchers can consider and overcome by studying these same organizational and leadership dimensions in other successful sports and business turnarounds. Given the small population in the current study and the fact that the subject is the experience of a single organization, the study of multiple organizations with the experience of successful turnarounds should be explored. Expanded research of these dimensions should provide a larger data set for examination with a breadth of more diverse experiences.

Sports team leaders, as noted by Burnes and O'Donnell (2011), share many of the leadership and organizational dimensions seen in business leadership studies, yet there is scant research comparing leadership dimensions between sports and business turnaround leaders. Future studies comparing such experiences could add to the knowledge on the generalizability of these dimensions across different types of organizations. Researchers should also consider using a qualitative research study design and conducting interviews with the current population, which could provide additional insights into the perceived leadership of Hodges and organizational culture and climate of the team. Additional studies could fill the gap in the literature that connects leadership type, organizational culture, and climate with a successful turnaround and support the possible development of a framework for turnaround leaders to follow.

Implications

Business failures can have significant social and economic consequences, including job losses and related societal costs, cascading effects on suppliers and support businesses, investment capital losses, and limiting of future economic development (Panicker & Manimala, 2015; Wu, 2010). While there are external factors for business failure, including declining markets, competitive pressures, and lack of adequate financial resources, there are also internal nonfinancial factors that contribute to business failure. According to Purves, Niblock, and Sloan (2016), the absence of skilled leadership and management, effective team development, and a climate and culture that is aligned with organizational goals were significant causes of business failures. Although not all businesses can be saved, there are those that with guidance from research into past turnaround success, could support the leader's ability to achieve a successful turnaround. The current study provides insights into leadership style, organizational culture, and climate that led to a successful turnaround. These insights can help turnaround leaders understand their impact on the organization and help to develop an effective organizational culture and climate to execute a turnaround strategy. Successful turnarounds can avoid the societal impact caused when businesses are forced to close.

Leaders tasked with an organizational turnaround may consider a review of their leadership style and the organization's culture and climate against the findings of this study. The current study exposed Hodges as a multidimensional leader who applied different styles as necessary to drive performance and successfully turnaround the New York Mets team in a single season. The findings show that the players perceived Hodges

as having an FRLT optimal profile, which is a combination of strong transformational and transactional leadership dimensions, while minimizing any aspects of laissez-faire leadership (Avolio & Bass, 2004). The MLQ instrument used in this study can be used by existing leaders to assess his or her perceived leadership qualities by members of the organization or for new leaders using the MLQ “Self-Rating” form (Avolio & Bass, 2004). The data taken from these tools can form a basis of comparison to the results of this study and other research studies on effective leadership (Bhat et al., 2012). The results of the assessment could form a basis for a potential turnaround leadership development plan as necessary. The DOCS and OCM instruments can also be used to evaluate the existing culture and climate traits of organizations requiring a turnaround and by comparing the results to those from this study and the data from prior studies to determine if changes are required.

Conclusions

Failing businesses often lack the leadership to accomplish a rapid turnaround to sustain their existence. There are significant social and economic consequences of business failures including job losses and related social costs, and impairment of future economic development. In this study, I examined the leadership, organizational culture, and climate of a successful organizational turnaround, which had not been adequately explored.

My focus in this study was on the leadership of Gil Hodges and the organizational culture and climate of the 1969 New York Mets during the team’s dramatic single-season turnaround to become World Series Champions. The research findings showed that the

team's players perceived that Hodges's leadership exhibited an FRLT: Optimal Model profile, which reflects a combination of strong transformational and transactional characteristics and minimal evidence of a laissez-faire leadership style to drive performance and achieve a winning objective.

The team's culture was examined using data from the DOCS. The findings showed that the players perceived a team culture with a dynamic equilibrium of forces with a balance between the adaptability, involvement, consistency and mission traits. According to Denison (1997), successful organizations can concurrently exhibit all four traits. The organizational climate was evaluated using results from the OCM instrument, which measured the pressure to produce, performance feedback, and effort climate dimensions. The findings from this study show that all three climate dimensions were emphasized, which indicates leadership stressed hard work and high levels of performance in pursuit of changing the trajectory to become a winning organization.

The research findings showed Hodges's transactional leadership style had a significant positive effect on the consistency organizational culture trait. However, there was no correlation demonstrated between leadership and organizational climate. The findings also showed a significant positive relationship between the adaptability organizational culture trait and the pressure to produce climate dimension, as well as a significant negative correlation between adaptability and the effort dimension.

The study showed that no single dominate leadership style or organizational culture trait resulted in the success of the 1969 New York Mets. Based on the findings, successful turnaround leadership requires a multidimensional approach emphasizing

transformational and transactional styles of leadership, and the organizational cultural should exhibit a balance between all four traits and underlying forces. The findings in this study showed that the organizational climate that exhibited by the team that led to its success had an emphasis on hard work and high levels of performance that supported a rapid change to a winning team.

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Multifactor Leadership Questionnaire™

Instrument (Leader and Rater Form)

and Scoring Guide
(Form 5X-Short)

by Bruce Avolio and Bernard Bass

Published by Mind Garden, Inc.

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Appendix C: Permission to Use the Denison Organizational Culture Survey

[Redacted]

Fri 6/23/2017 11:58 AM

To: John A. Rebecchi [Redacted]

John, please take this email as authorization to use the survey for an agreed education fee of \$850. This will provide the survey sent by you your invitees and all reports from the assessment.

You will be able to make the your suggested invitation changes as part of our normal part up process.

Regards
Dan

[Redacted]

RE: Dissertation Study about the 1969 NY Mets

[Redacted]

Mon 10/20/2017 9:36 AM

To: John A. Rebecchi [Redacted]

Hi John,

That will be just fine. Let me know if you need anything else from me.

Thanks!

[Redacted]
Client Success Team
Denison Consulting

From: John A. Rebecchi [Redacted]
Sent: Friday, October 27, 2017 11:10 AM
To: [Redacted]
Subject: Re: Dissertation Study about the 1969 NY Mets

Hi [Redacted]

Can I include the questionnaire as an appendix to my dissertation? I want to respect the copyrighted materials so I need to have permission to include the entire document or at least some sample questions.

Thanks

John

Appendix D: Denison Organizational Culture Survey



Organizational Culture Survey

Instructions

Please read the following set of instructions before starting the survey.

This survey pertains to your experience as a player or coach with the 1969 New York Mets. To help you understand the statements that follow, please associate words such as "organization" or "business" with the 1969 New York Mets team. The terms "business environment" and "industry" refer to Major League Baseball or competing teams and "customer" refers to fans. Use the scale to indicate the extent to which you agree or disagree with each of the statements. Use Neutral when you neither agree nor disagree with the statement. In cases where an item is not applicable, select N/A.

Thank you for participating.



Example

① Strongly Disagree	② Disagree	③ Neutral	④ Agree	⑤ Strongly Agree	⑥ N/A
Decisions are usually made at the level where the best information is available.					① ② ③ ● ⑤ ⑥

In this organization...

1	Decisions are usually made at the level where the best information is available.	① ② ③ ④ ⑤ ⑥
2	Information is widely shared so that everyone can get the information he or she needs when it's needed.	① ② ③ ④ ⑤ ⑥
3	Everyone believes that he or she can have a positive impact.	① ② ③ ④ ⑤ ⑥
4	Business planning is ongoing and involves everyone in the process to some degree.	① ② ③ ④ ⑤ ⑥
5	Cooperation across different parts of the organization is actively encouraged.	① ② ③ ④ ⑤ ⑥
6	People work like they are part of a team.	① ② ③ ④ ⑤ ⑥
7	Teamwork is used to get work done, rather than hierarchy.	① ② ③ ④ ⑤ ⑥
8	Work is organized so that each person can see the relationship between his or her job and the goals of the organization.	① ② ③ ④ ⑤ ⑥



Example

①	②	③	④	⑤	⑥					
Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A					
Authority is delegated so that people can act on their own.					①	②	③	●	⑤	⑥

In this organization...

9	Authority is delegated so that people can act on their own.	①	②	③	④	⑤	⑥
10	The "bench strength" (capability of people) is constantly improving.	①	②	③	④	⑤	⑥
11	There is continuous investment in the skills of employees.	①	②	③	④	⑤	⑥
12	The capabilities of people are viewed as an important source of competitive advantage.	①	②	③	④	⑤	⑥
13	The leaders and managers "practice what they preach."	①	②	③	④	⑤	⑥
14	There is a clear and consistent set of values that governs the way we do business.	①	②	③	④	⑤	⑥
15	Ignoring core values will get you in trouble.	①	②	③	④	⑤	⑥
16	There is an ethical code that guides our behavior and tells us right from wrong.	①	②	③	④	⑤	⑥



Example

①	②	③	④	⑤	⑥
Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A
When disagreements occur, we work hard to achieve "win-win" solutions.					① ② ③ ● ⑤ ⑥

In this organization...

17	When disagreements occur, we work hard to achieve "win-win" solutions.	① ② ③ ④ ⑤ ⑥
18	There is a "strong" culture.	① ② ③ ④ ⑤ ⑥
19	It is easy to reach consensus, even on difficult issues.	① ② ③ ④ ⑤ ⑥
20	There is a clear agreement about the right way and the wrong way to do things.	① ② ③ ④ ⑤ ⑥
21	Our approach to doing business is very consistent and predictable.	① ② ③ ④ ⑤ ⑥
22	People from different parts of the organization share a common perspective.	① ② ③ ④ ⑤ ⑥
23	It is easy to coordinate projects across different parts of the organization.	① ② ③ ④ ⑤ ⑥
24	There is good alignment of goals across levels.	① ② ③ ④ ⑤ ⑥

Example

①	②	③	④	⑤	⑥
Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A
The way things are done is very flexible and easy to change.					① ② ③ ● ⑤ ⑥

In this organization...

25	The way things are done is very flexible and easy to change.	① ② ③ ④ ⑤ ⑥
26	We respond well to competitors and other changes in the business environment.	① ② ③ ④ ⑤ ⑥
27	New and improved ways to do work are continually adopted.	① ② ③ ④ ⑤ ⑥
28	Different parts of the organization often cooperate to create change.	① ② ③ ④ ⑤ ⑥
29	Customer comments and recommendations often lead to changes.	① ② ③ ④ ⑤ ⑥
30	Customer input directly influences our decisions.	① ② ③ ④ ⑤ ⑥
31	All members have a deep understanding of customer wants and needs.	① ② ③ ④ ⑤ ⑥
32	We encourage direct contact with customers by our people.	① ② ③ ④ ⑤ ⑥



Example

	① Strongly Disagree	② Disagree	③ Neutral	④ Agree	⑤ Strongly Agree	⑥ N/A
	We view failure as an opportunity for learning and improvement.					① ② ③ ● ⑤ ⑥
	n this organization...					
33	We view failure as an opportunity for learning and improvement.					① ② ③ ④ ⑤ ⑥
34	Innovation and risk taking are encouraged and rewarded.					① ② ③ ④ ⑤ ⑥
35	Learning is an important objective in our day-to-day work.					① ② ③ ④ ⑤ ⑥
36	We make certain that the "right hand knows what the left hand is doing".					① ② ③ ④ ⑤ ⑥
37	There is a long-term purpose and direction.					① ② ③ ④ ⑤ ⑥
38	Our strategy leads other organizations to change the way they compete in the industry.					① ② ③ ④ ⑤ ⑥
39	There is a clear mission that gives meaning and direction to our work.					① ② ③ ④ ⑤ ⑥
40	There is a clear strategy for the future.					① ② ③ ④ ⑤ ⑥



Example

①	②	③	④	⑤	⑥
Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	N/A
There is widespread agreement about goals.					① ② ③ ● ⑤ ⑥

In this organization...

41	There is widespread agreement about goals.	① ② ③ ④ ⑤ ⑥
42	Leaders set goals that are ambitious, but realistic.	① ② ③ ④ ⑤ ⑥
43	The leadership has "gone on record" about the objectives we are trying to meet.	① ② ③ ④ ⑤ ⑥
44	We continuously track our progress against our stated goals.	① ② ③ ④ ⑤ ⑥
45	We have a shared vision of what the organization will be like in the future.	① ② ③ ④ ⑤ ⑥
46	Leaders have a long-term viewpoint.	① ② ③ ④ ⑤ ⑥
47	Our vision creates excitement and motivation for our employees.	① ② ③ ④ ⑤ ⑥
48	We are able to meet short-term demands without compromising our long-term vision.	① ② ③ ④ ⑤ ⑥

Appendix E: Permission to Use OCM Questionnaire





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Signed:

Name: John Rebecchi

Date: August 8, 2016

Address

E-mail

If you have any questions regarding the OCM scale please contact the lead author:
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Appendix F: Permission to Use Core Dimensions of the Competing Values Framework



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Appendix G: Permission to use the Denison Circumplex. Culture and Effectiveness Model, and Comparison of DOCS Score against the Denison 2015 Normative Database

March 3, 2018

To: Hannah Diebel, Denison Consulting

Dear Hannah:

As you are aware, I am completing my doctoral dissertation with the working title, *Leadership and Organizational Turnarounds: Gil Hodges and the 1969 New York Mets*, and I am hoping you can help. I am seeking permission to use an adaptation of Figure 1.2, "The culture and effectiveness model," on page 15 in Daniel R. Denison, *Corporate Culture, and Organizational Effectiveness*. The figure to be included in my dissertation is shown in the attachment, and its use will be limited to my published dissertation. I also want to include copies of the "Denison Circumplex" on page 6 of the *Culture Getting Started Guide*, and the "Comparison of DOCS scores against Denison Consulting 2015 Normative Database Expressed as Percentiles", which was included in the DOCS Survey_Results_2017 PowerPoint presentation based on the data I provided. If you agree to provide me with permission, indicate by having the authorized party sign below and return it to me via email or provide your standard permission letter. Copies of the figures to be included in my dissertation are attached, as well as copies of the DOCS Survey report and the Culture Getting Started Guide.

I appreciate your consideration of this permissions request.

Sincerely,

John Rebecchi, Doctoral Student

By signing below, I warranty that I have the right to grant the permission requested herein and that I hereby provide you with that permission.

Signature:



Date:

3/5/2018

Appendix H: Invitation to Participate Letter

Date

Name and Address

Dear: _____

This letter is an invitation to consider participating in a research study about Gil Hodges and the 1969 New York Mets. The research is being conducted as part of my Doctoral degree in Leadership and Organizational Change at Walden University. To help you make a decision about participating, I have outlined below information regarding the study.

The purpose of this study is to explore Gil Hodges's leadership of the team and other factors during the successful 1969 turnaround season. Although much has been written about the 1969 team, there has not been a research study to help identify Gil Hodges's style of leadership during the team's dramatic reversal to become World Series Champions. In addition to studying Hodges's leadership, researching the culture and climate might shed light on the shared values and customs of the team and its members, as well as the team atmosphere that helped motivate players and improve their performance.

Whether a professional sports team or business organization, leaders play an important role in driving results. In the case of any organizational turnaround, leadership and the establishment of a motivating and focused work environment are very important. Leaders tasked with turning around teams, or business organizations may benefit from understanding these factors and help with developing a successful turnaround.

I am inviting all remaining members of the 1969 New York Mets team to participate. Therefore, I would like you to be included in the study and provide your valuable insights. Included with this letter is a consent form that will provide additional details about the study and the voluntary nature of your participation. I very much appreciate your time and thank you in advance for considering this invitation.

Sincerely,

John Rebecchi, Doctoral Student

Appendix I: Permission to use the Full Range Leadership Theory: Optimal Model

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Appendix K: Permission to use Boyd's Five Stage Turnaround Model

3/20/2018

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Best wishes for your research,

David Boyd

Professor David P. Boyd
Management and Organizational Development Group



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Sincerely,

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