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Leadership in organisations for innovation and intrapreneurship

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Doctorate in Business Administration

Leadership in organisations for innovation and *intrapreneurship*

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Abstract

In this thesis, I argue that the characteristics of a leadership's approach to welcoming new ideas can affect the participation of potential inventors. The objectives of the research are to develop a process of identifying the leadership characteristics that impact on how people participate their ideas to become innovation in the organisations. The aims of the research are to be able to use the identification to help leaders and organisations develop the characteristics that benefit a given situation, and in this case to benefit innovation and intrapreneurship.

The research explores what are the more or less successful characteristics of leadership in terms of the expectations and experiences for when an idea is raised within the organisation. Leadership characteristics that affect the innovation process are explored using a mixed methodology formed of the analysis of leader's job descriptions and interviews with both leaders and innovators.

The research centres on the development and application of a diagnostic methodology to assess leadership, based upon the eight characteristics of the 'Full Range of Leadership' originally developed by Bass and Avolio (1990). The basis of this methodology is extended to identify the gaps between *actual* and *expected* characteristics. Although the method is a modification of that originated by Bass and Avolio (1990), the results derived from this research can be correlated to the substantial body of other research that used the same underlying methodology, including for example research that addresses issues of leadership in terms of nationality, gender and hierarchical levels in an organisation.

The outcomes of the research include the way in which the Full Range of Leadership model has been developed and used. This is applied to the needs of leading and managing an organisation's existing products and services, at the same time as managing the need of developing new products and services for when the old products and services become obsolete. In addition to considering how leaders welcome participation in ideas and innovation, the contribution this research makes to professional practice includes how the method can be reused and applied to identify the existence of, or need for, different blends of leadership characteristics, for the variety of situations a leader may encounter.

Declaration

Leadership in organisations for innovation and *intrapreneurship*.

This thesis is submitted in the final fulfilment of the requirements of Sheffield Hallam University for the degree of Doctor of Business Administration (DBA).

The thesis is all my own work, and has not been submitted for any other academic award.

Rod Matthews

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1 Introduction

This thesis examines how leadership characteristics affect how ideas and inventions become innovations and considers how *participation in innovation is affected by how the organisation's leadership supports and welcomes ideas*.

The aim of the research is to develop a repeatable assessment process for analysing the leadership characteristics that affect people with ideas. The assessment process considers both what is expected of leaders with what has been experienced of them, to enable organisations and leaders to reflect on areas that they might (if needed) develop to maximise effective participation in innovation.

The objectives of the research are to construct the analysis through a first stage of the systematic deconstruction and analysis of the job descriptions of leaders, accompanied by the development of a process which identifies types and proportions of leadership characteristics, in what leaders express (stage 2), and in what the inventors (stage 3) express about the innovation in their organisation.

The three stages of analysis help leaders, and leadership teams consider how they and their organisation might welcome ideas, maximising the likelihood of inventor participation as one of the sources of the innovations an organisation needs to remain competitive in a fast changing world.

This introduction chapter sets out the purpose for the research, the rationale for why this is important and introduces the context in which the research was undertaken. This includes the boundaries to what is and is not in scope and sets the scene for how the research is established in relation to the existing literature. In the conclusions of this chapter, I introduce the approach taken in examining the existing literature in order to challenge and explain the context of the research.

1.1 Purpose of the research

The purpose of this research includes developing an understanding of the leadership characteristics involved in ensuring that the organisation is welcoming when an idea is raised (participated) by its inventor. An idea cannot become an innovation if its originator does not participate it. Consequently, research that identifies the leadership characteristics that are considered as more or less welcoming to ideas being raised, is valuable, as this can be used to enable the leadership characteristics that best welcome ideas to be participated, to be developed, if and where needed. .

1.2 Rationale

How ideas occur and how these are progressed through to something of value (an innovation) is fundamental to the creation of and sustaining of organisations. Although some organisations might focus ideas through a defined 'research and development' function, in this research I wanted to reflect that inventors may be anyone from across the entirety of the organisation.

Thinking about what leaders do to ensure the best innovation is increasingly important as new technologies and global competition puts more and more pressure on what can be done to sustain the organisation's success and even its viability. Understanding how ideas are welcomed and the impact on participation is therefore important for ensuring successful leaders, and successful organisations. When participating (by introducing something new into the 'status-quo') the inventor may encounter unintended challenges and barriers that only the leaders can change, and only then, if the leaders are aware of the correlation between the barrier and the leadership characteristics that affect the barrier. Innovation is therefore highly susceptible to leadership's effectiveness and impact, a point which is succinctly reflected in for example "*the focus on innovation provides us with a site in which to examine the tensions, contradictions, and conflicts surrounding managerial interventions*". (Knights and McCabe, 2003:P3). In undertaking this research, I aimed to identify that the reciprocal may also be true, that identifying the leadership characteristics in relation to these tensions, enables the leader to adapt the 'managerial interventions'.

Within this research, I explore and argue that the characteristics in the style, skills and processes of the leadership influence the organisation and its potential inventors. I explore and argue that the characteristics that affect the participation in the ideas needed to stimulate the entrepreneurship that develops ideas into products and services (innovations) may require constant adaptation. I also explore and argue that a deliberate approach to understanding leadership's impact on what is welcoming to ideas and invention will, in turn, impact on the viability and the longevity of both the organisation and all its employee's careers. The interconnection between the ideas and the value of entrepreneurship is neatly described in (for example): "*Sustainable entrepreneurship is focused on the preservation of nature, life support, and community in the pursuit of perceived opportunities to bring into existence future products, processes, and services for*

gain, where gain is broadly construed to include economic and non-economic gains to individuals, the economy, and society” (Shepherd & Patzelt, 2011, p. 139).

In Chapter 2, I demonstrate that it is not untypical for the literature to position innovation, entrepreneurship and organisational strategy as being vital to the organisation’s future, and (although typically to a lesser extent) as being vital to the individual inventor and employee’s futures. To help explain the arguments, I present a perspective of what I believe is meant by *sustainable entrepreneurship*, how this relates to the *life-support*, provided and enabled by the leader, how this actively brings into existence (welcomes) *perceived opportunities*, (participation in ideas) and how this is related to the organisation’s *economic and non-economic gains*.

The aim of identifying leadership that is pertinent to innovation (in their own *preservation* and their own *life-support*), is important to the notion that the products and services of the organisation, and their methods of production are under continuous threat of obsolescence. These threats are described in the enduring theories of Joseph Schumpeter (1942), (cf. Utterback, 1996, Rosenof, 2000, Van De Venn et al, 2008, Wright, 2015), each of whom described that there being an end to the viable, value of a products or services, is the inevitable by-product of there being a constant striving for the creation of new ones. This, Schumpeter refers to as *creative destruction*, which he suggests occurs due to a “*process of industrial mutation*” (Schumpeter, 1942, p. 82), and that results in successive cycles “*that incessantly revolutionizes the economic structure from within, incessantly destroying the old one, incessantly creating a new one*” (Schumpeter, 1942, p. 83).

Creative destruction, whether caused by new technologies (opportunity), or competition such as globalised markets (threats) is an inevitable factor in how long products, services, processes and methods might remain viable. The concept of creative destruction underpins the assumption that successful leaders must continuously adapt, including in how to adapt their own characteristics to welcome and maximise participation in new ideas to offset the threat of existing products becoming outdated. I have used Schumpeter’s term *creative destruction* throughout this thesis to represent that there is a perpetuating risk to existing organisational goals if old is not continuously replaced with new.

The relationship between ensuring (leading) the rate of ideas and managing the rate of creative destruction is implicit in classic theories. For example, in his description of substitute products or new entrants into the market, Porter (1985)

identifies the need to monitor the effects of competitors as a risk of creative destruction to the organisation. Similarly, the Boston Consulting Group's (1968) Growth Share Matrix, suggests the need for continuous research and theories on enhancing the flow of new ideas to produce new and replacement products.

This rationale for the aims of this research includes that the leadership actions to mitigate creative destruction (through maximising how ideas are welcomed) should be readily identifiable in leadership theories and practices. This includes that it should be possible to identify and ideally quantify the leader characteristics that maximise participation in ideas, and that reduce the risks of creative destruction.

1.3 The context for the research

If the lifecycle from ideas to innovation to creative destruction is not well understood by leaders and employees, and if the mechanisms and styles of leadership to welcome an idea into entrepreneurship are not well developed then good ideas might be lost. This may reduce the satisfaction that potential inventors expect from participating their ideas, which may reduce their likelihood to participate and may increase the risks of the organisation stagnating, and in the extreme, failing.

The intentions I had for the research was to address what raises the likelihood of good ideas being brought *and* taken forward *within* the organisation. This built on my hunch that based on the environment the leadership creates (or fails to create), some inventors might abandon the idea or take it elsewhere and, hence, a proportion of good ideas may be vulnerable to the organisation's 'welcomingness'.

To do this requires going beyond the mechanisms such as suggestion boxes and innovation schemes, and to consider what leaders might do to increase the likelihood of good ideas being brought forward, *including* into such mechanisms.

The likelihood of good ideas being brought forward, and the likelihood of a 'good' welcome, would likely be different in a start-up or smaller organisation where inventors and leaders might have closer relationships. Consequently, I have set the research in large and relatively long established organisations, such that participation and welcoming ideas are set in the context of this being one of many things that leaders might be focused upon. Coincidentally, Pinchot (1985, p. 11), and Ashenkas (2013, p. 1) each maintain that large organisations are not good at innovating, which also suggests that large organisations is where this research can be of most value.

As is developed in Chapters 2 and 3 there is a substantial body of enduring organisational and leadership theories that set the broader landscape for this area of research. In analysing the impact of leadership characteristics and participation in innovation, I recognise that there will be variations in for example how in larger organisations there may be expectations of roles and 'territories' (geographical and or functional) within which participation in ideas are limited to the 'members' of that territory. When considering how to manage the size of what this research might consist of, the role of the innovator, or the relative situation in terms of the organisations products being under threat of creative destruction were areas that could have been identified. Similarly, the issues of whether the 'idea' was a service, product, method of production or a knowledge that impacted upon the organisation could also have been identified. However, these variations have not been developed in this thesis because of the size of such an undertaking, but also as this could have led the outcomes to being overly specialised, and because, my interpretation of the literature led me to believe a more foundation building approach was needed before further research into such other contexts could be undertaken.

In summary, the plan for this research focused on analysing how the leadership impacts upon how ideas that are raised in large, established organisations, and not those in smaller, less mature organisations. I have avoided the issues of specialism for organisation, people and types of innovation as after extensive reading, I concluded that something more fundamental was needed.

1.4 A personal stake

In reflecting on my work in several organisations, I can recall my reaction to how the net of leadership characteristics affected me, including in my confidence in how the leaders treated the threat of creative destruction from other organisation's innovations and in how the leader's characteristics affected my commitment to the organisation. In reflecting on where I participated an idea, and the experiences expressed by colleagues and friends of the welcome when they raised ideas, there has not always been a smooth or successful welcome. This seeming ambiguity between the need and desire for innovations and the variable experiences of the welcome for those who participate their ideas motivated me to learn about the processes, and theories that might improve the experiences and the outcomes.

The desire to understand and help others understand what leadership characteristics and actions affected participation, stimulated this research proposal,

and shaped the rationale and aims. The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed as this will contribute to theory of the implications of different leadership characteristics in context, and particularly in welcoming ideas and innovations.

In sense checking the research proposal, to see if such a contribution might be original, and/or valuable, I found that existing thinking (on specific or varying leadership approaches to ensure what welcomes or inhibits the participation of people with ideas), was hard to identify.

1.5 Reflexivity

I use the term *reflexive* to explain my internal self-challenge to the understanding I have, and to challenge the way I express my observations and thinking throughout the thesis. This is to define reflexivity, as what Johnson and Duberley (2010) describe as, reflecting upon and understanding how we “*organise our sensory inputs*”. (Johnson and Duberley, 2010, p. 66), and in “*thinking about our own thinking*” (ibid, p. 66). An important outcome from my reflexivity has been to consider whether welcoming participation in innovation through identifying and assessing leadership characteristics is valid and original research.

In staking a claim that there was something original to my proposal to assess leadership for what is enabling to participation in innovation, I recognise that the ‘originality’ cannot just be my own style wants and needs. In the subsequent chapters I develop the landscape for the claim of originality, including in this the examples of how I challenge and test my definitions and assumptions in relation to the existing literature. This serves to ensure that my research proposition is effective, comprehensive and credible in the analysis and positioning of my research alongside the academic literature.

Further detailed reflexive considerations are set out in Chapter 4, where the method, approach and expression of the research are analysed and challenged. This includes that my philosophical biases and values, and that all of the various experiences through which I have lived cannot be exactly the same as those of someone else undertaking similar research work, or for anyone when interpreting mine. Throughout the thesis I have tried to explain why I have included something or why I have come to a view or conclusion, and to explain where any biases might have a bearing on my interpretation and or the way I express things.

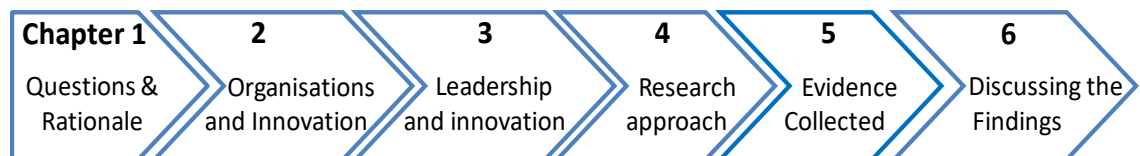
1.6 Summary aims and objectives

This research considers how academic theory and professional practice converge in identifying how leadership characteristics affect the welcome of the participation of an idea that can become an innovation.

The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed for how they affect people with ideas. To identify relevant leadership characteristics and their impact, requires a view of what was expected, as well as what was experienced, and requires this to be from the perspective of the key stakeholders (the leaders and the inventors). As is discussed in chapter 4, this was developed into a first stage of analysis where leaders job descriptions are assessed, followed by the analysis of interviews with leaders (stage 2), and inventors (stage 3).

1.7 Summary of the research purpose, and the document structure

Chapter 1, introduces the research question; *is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?*. This first chapter introduces my aims, objectives and rationale and introduces thinking that is developed in each of the six parts set out below;



In this first Chapter, I have set out that this research assumes that leadership characteristics can, and may need to be adapted to a particular context, which in this case is to ensure that they are effectively welcoming, to maximise participation in ideas and innovation. The choice of this context, is based on my view of how the leader's role is essential to organisation having a rate of viable ideas that equals or exceeds the rate of creative destruction.

Chapter 2, summarises the theories that might affect organisational welcomingness, and participation in ideas. Chapter 3, considers leadership theory in more detail, and particularly the theory and methods of analysing leadership. Chapter 4 contains analysis of the research approach including its methodological underpinnings, and is where the method is set out in detail.

Following the summary findings set out in Chapter 5, in Chapter 6, I develop theories of what leadership characteristics are more or less identifiable when discussing innovation, and how these compare to the expectations of leaders and inventors. From this, I develop theories of what leadership developments might be helpful to maintain and develop the welcoming of the ideas and innovations needed to sustain the success of the organisation.

In the conclusions of Chapter 6, I summarise the impact of the findings on theory and practice, allowing for the reflection of the outcomes in terms of the research aims. This includes final views on how the research correlates to other research, how it might contribute to theory and how it might contribute to professional practice.

2 Organisations and innovation

In this chapter, I develop insights from aspects of Organisation Theory to form foundations and contrast with analysis of Leadership theory in chapter 3.

At the conclusion of this chapter, I argue that what innovative organisations do, how innovativeness is assessed and that the structures to welcome participation in innovation in organisations are ill defined in the theories and literature. This sets the scene for the importance of identifying and analysing the expectations of, and characteristics of leadership.

2.1 What is innovation and why is it important?

The word ‘innovation’ can often be found in the context of describing an output, however, it is also often used simultaneously as a collective noun for each of; an idea, creation, invention, research and development and the prototyping, for a new product, technique or service. Entrepreneurship and intrapreneurship are terms used to describe the processes of developing an idea into an innovation that benefits the inventor/organisation. Although the word entrepreneurship is more frequently used than intrapreneurship, I argue that intrapreneurship or *corporate entrepreneurship* (cf. Kanter, 1983; Guth and Ginsberg, 1990; Zahra, 1993, Burns 2013), is a useful distinction for describing developing innovations *within* organisation innovation, and that entrepreneurship would be better used for developing innovations independently of an existing organisation.

Seeking out new ideas to enable growth and to attract customers to the organisation is “one side of the coin” of avoiding customers being attracted to other organisations ideas, and products and services. It stands to reason therefore that stakeholders of a growing organisation will benefit from the ideas that makes growth, but that there will be issues for stakeholders if the organisation’s sales or size begins to decline. In chapter 1, I introduced the argument that all ideas will someday become obsolete, and that there must therefore be a rate of ideas that exceeds the rate at which the organisations products become obsolete. Consequently, I argue that the people with ideas (inventors) are valuable and that the leadership should ensure that inventors are enabled, (welcomed) in order for intrapreneurship to help as many innovations as is possible to occur. The essential issues, include that, the rate of ideas should be (at least) at a rate that delivers innovations more quickly than the decline of old products and services whose customers have migrated or who might migrate to someone else’s organisation’s products and or services.

2.2 Innovation and creative destruction

In Chapter 1, I introduced the influence of Joseph Schumpeter, and particularly his economic theories that position each innovation, and its progression (through intrapreneurship) from the idea, to its zenith (its alpha value) as an innovation, into its beta value, as new innovations enter the market that diffuse the original innovation's value. Schumpeter's theory of creative destruction is enduring, and it is relevant to this thesis that Schumpeter is credited with being the first scholar to theorise about entrepreneurship (Hanush,1999, Rosenof 2000, Wright, 2015).

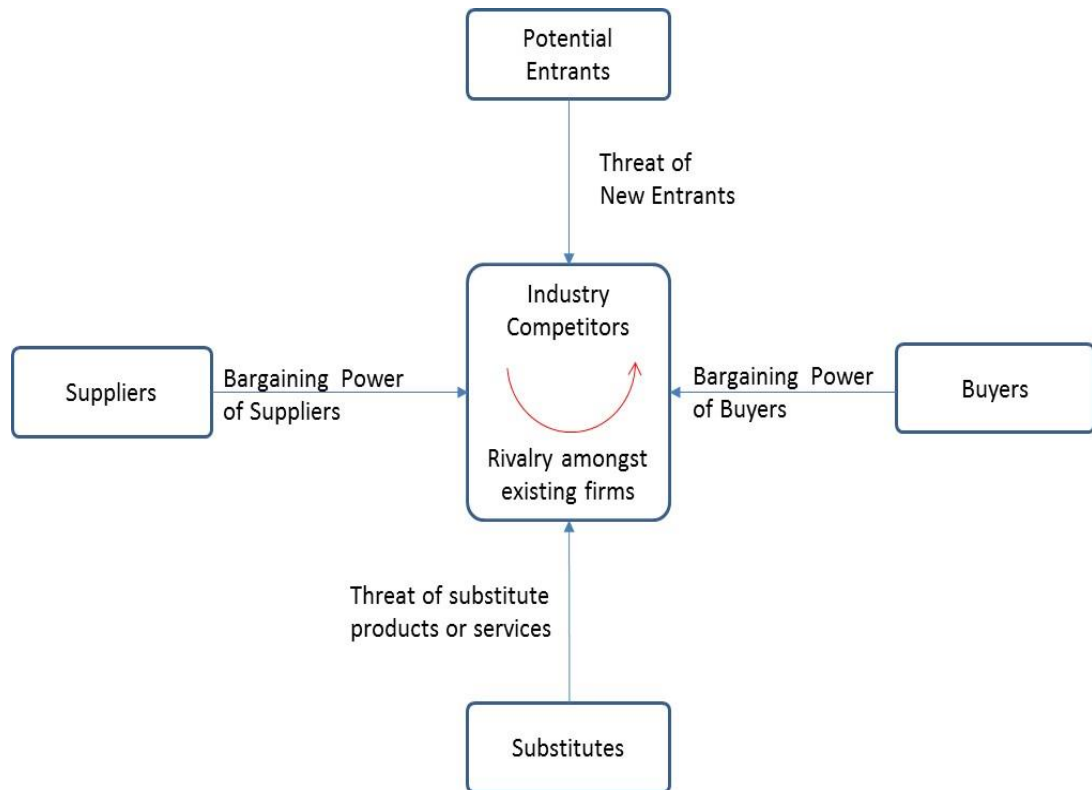
The expectation that leadership should be able to adapt to welcome ideas is built on the Schumpeterian (creative destruction) principle that nothing lasts for ever, and that organisations are in a constant state of renewal (thus needing ideas). Despite the passage of three quarters of a century, the shadow of Schumpeter's creative destruction theories is long, and for example, in just 2017a alone, Google Scholar has over 10000 new citations for Schumpeter. Recent examples that cite Schumpeter (in terms of his theories, as opposed just as a historical reference) include for example Schubert (2013) who builds his dystopian challenge that successive novelty is not always desirable on Schumpeter's theory of creative destruction, Hass (2015), develops his view that creative destruction and innovation are in an increasingly rapid cycle, and in their anticipation of the demise of traditional currencies to bit-coin based virtual (and inherently international) currency, Scardovi (2016) factors the impact to international banking through Schumpeter's creative destruction, and in particular demonstrating that the diffusion national currencies (see figure 2.5) is inevitable.

For some organisations, responding to the threats of creative destruction is to focus on matching and beating their rivals, largely through incremental improvements in cost or quality, an approach which Kim and Mauborgne (1999) refer to as operating in red oceans. Other companies however, "*break-free from the pack, by creating products and services for which there are no direct competitors*" (Ibid, p. 83), and which they refer to as creating blue oceans. The blue ocean principle being inhabited by those who "*break out from the competitive pack by staking out fundamentally new market space by creating new products and services for which there are no competitors*" (Rajagopal 2014).

The inevitability of the creative destruction for products and services can be interpreted from, for example, Porter's (1985) five competitive forces that are

argued as underpinning industry profitability. In applying Porter's model (set out in figure 2.1) to large organisations with multiple products and services, there may be one of more cycles of creative destruction occurring simultaneously, which in turn needs leadership characteristics and approaches that ensure and adapt to when the organisation is in its more or less red or blue ocean phases.

Figure 2.1: The competitive forces: Porter 1985:P5



By keeping Porter's competitive forces model in mind when examining an organisation's strategy, leadership characteristics and adaptation might be expected to feature. However, Porter has little to say about creative destruction of the organisation, and he makes no mention of adjusting leadership characteristics when responding to higher or lower rates of change in market position (whichever of the forces are causing a change in the market). In the leadership of any organisation, then perhaps it would be expected that some sort of sensitivity analysis (perhaps based around principles similar to those in Porter's five forces) might be observed, and for some sort of benchmarking of the way in which the organisation operates to occur. This might take the form of external audits, international standards and industry quality marks. An anonymised version of an organisation I have worked with, sets out their own benchmarks as in Figure 2.2;

Figure 2.2: RSM 2016 – An illustrative view of benchmarking



The data visualisation used in Figure 2.2, is variously called a *polar* or *star* or (my preferred term) a *spider* diagram, and is a form of data visualisation is credited to the statistician Georg Von Mayr 1877 (Chambers et al, 1998). The purpose of *spider* diagrams is for “*displaying multivariate data in the form of a two-dimensional chart represented on axes starting from the same point*” (Kirk 2016, p. 212.). Figure 2.2, illustrates how the symptoms of creative destruction might be detected using a benchmarking measure. The organisation shown, has a higher profit margin than comparable organisations, a high customer loyalty, but is slightly less operationally efficient, and has less team working. Where this sort of analysis is used as a comparison to other organisations, if the organisation begins to fall in any of the indices against others, this may suggest that their competitors are innovating.

The combinations of industry intelligence and benchmarking might be an early warning system to addressing the threats, and “*In such a period of rapid change the best – perhaps the only – way a business can hope to prosper, if not to survive, is to innovate. It is the only way to convert change into opportunity*”. (Drucker, 1985, p. xv). With this in mind, the organisation shown in Figure 2.2 appears highly susceptible to creative destruction, and might consider drawing off less profits (as dividends) and invest some of this in inventing new ideas for the long term.

The need for participation, and for maximising ideas is referred to by Drucker (1985, p. 27) as the need for *purposeful innovation* (ibid), in which he identifies that the organisation will need leadership and a culture that *expects* change. Similarly, Tushman et al (1997), and Utterback (1994), explicitly refer to (but do not define what this means) the need for a leadership whose approach includes ensuring the

welcoming of ideas for innovation, based on similarly interpreting the symptoms of creative destruction and competition. The underlying principles of Porter’s five forces are supported, for example by Huczynski and Buchanan (2007, p. 589) who propose that purposeful innovation should include monitoring of variations against others and against past performance as events that (should) trigger change;

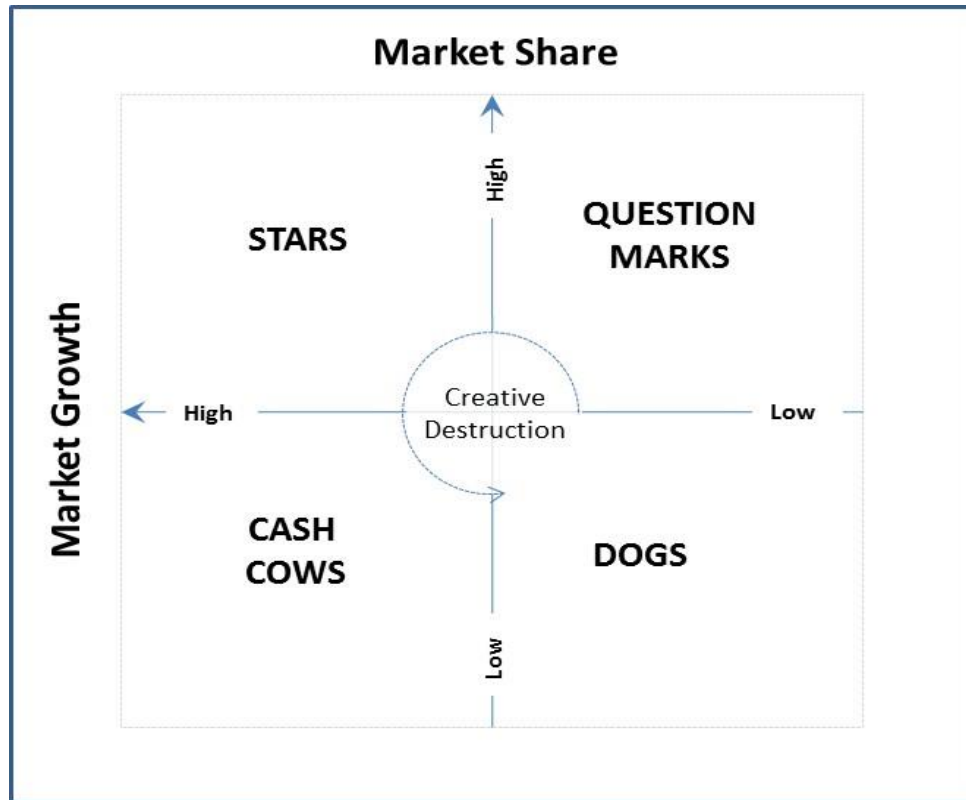
External Triggers	Internal Triggers
New technology	New production and service design innovations
New materials	Low performance and morale, high stress and staff turnover
Changes in customers’ requirements and tastes	Appointment of a new senior manager or top management team
Activities and innovations of competitors	Inadequate skills and knowledge base, triggering training programmes
Legislation and government policies	Office and factory relocation, closer to suppliers and markets
Changing domestic and global economic trading conditions	Recognition of problems triggering reallocation of responsibilities
Shifts in local, national and international politics	Innovations in manufacturing processes
Changes in social and cultural patterns	New ideas about how to deliver services to customers

Figure 2.3: Adapted from Huczynski and Buchanan, 2007, p. 589

A trigger is “*any disorganising pressure indicating that current systems, procedures, rules, organisation, structures and processes are no longer effective*”. (Huczynski and Buchanan, 2007, p. 588). However, just because an organisation may be monitoring these triggers, does not suppose that it can just call up ideas at times when it detects (through falling sales perhaps) that it is at higher risk of creative destruction. Consequently, and in for example in the (1968) Boston Consulting Group’s (BCG), Growth Share Matrix, there is a strong inference for welcoming the participation of as many successful ideas as possible, to anticipate the demise of your own, and to make sure that ideas benefit your, as opposed to someone else’s organisation.

The Growth Share Matrix (adapted in Figure 2.4 overleaf), supports the notion that there is rate of creative destruction (cash-cows become dogs), but also that there is, or should be, participation in ideas for the question marks and rising stars.

Figure 2.4: SM 2015: Adaptation of The Growth Share Matrix (BCG 1969)

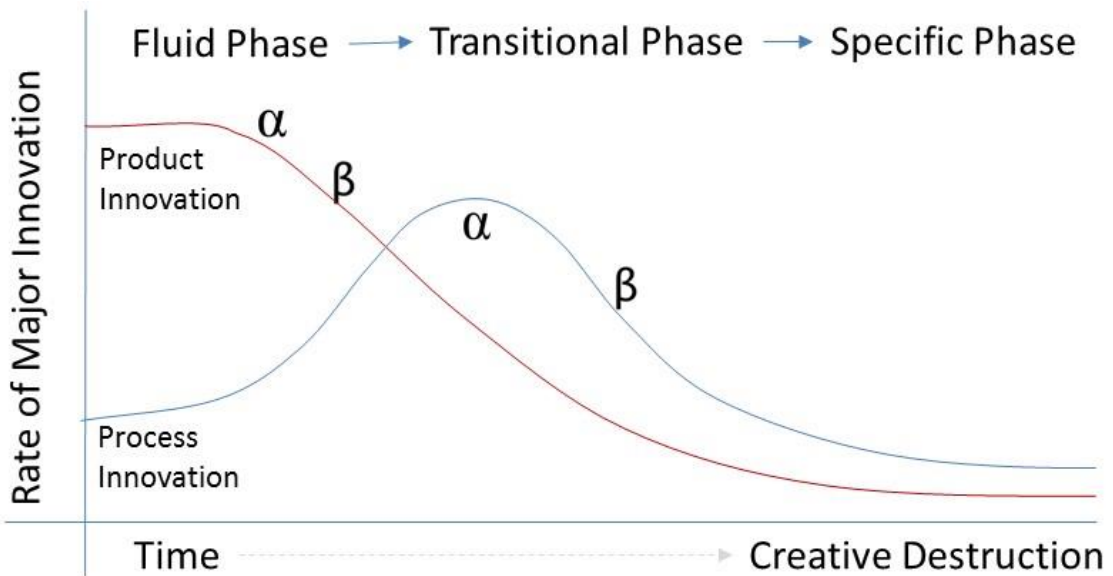


As with Porter's (1985) Five Forces model, the principles of Boston Consulting Group's (1969) Growth Share Matrix does not aim to distinguish between the age, size or type of organisation and both theories presume that organisations have a capacity, or wish, to continue to exist and perhaps to grow. The Growth Share Matrix, suggests that there are (must be) successful participation in ideas as (some of the) question mark ideas have been developed into star innovations and cash-cow products over time.

However, as with Porter (1985), the Boston Consulting Group's Growth Share Matrix makes no reference to the relative blends of leadership characteristics needed to achieve this. The Boston Consulting Group's, Growth Share Matrix suggests that there is innovation happening throughout, to sustain each product's life as a cash-cow, as well as innovating question marks, as the potential 'star' ideas. This too would suggest that the leadership and the organisation should expect, and should have and develop approaches that are welcoming new ideas, both in terms of new ideas for new (and replacement to dog) question mark products, but also in terms of new ideas for the methods of prolonging its existing cash-cows.

The principle of a there being a cycle for every product or service from birth to death aligns to Joseph Schumpeter's (1942) invention-innovation-diffusion concept, and James Utterback's (1974, 1996) environment-technology-diffusion concepts.

Figure 2.5: diffusion and creative destruction, adapted from Utterback 1996, p. Xvii



In Figure 2.5, Utterback's, diffusion curves show that an innovation's inevitable diffusion towards its own creative destruction follows an observable (and therefore with some degree of predictability) pattern over time. Both Schumpeter and Utterback relate *process* innovations as being contingent on a *product*, (which may in itself have been a process innovation) and in which the process innovations are the means of production of the product / process. Schumpeter (1942) set out a similar proposition to Utterback's diffusion, where α (alpha) denotes the zenith of the products 'star' value, when its value is 'fluid', whereas the β (beta) denotes the diffusion of the value (transitioning) as the product is in cash-cow status, before the (specific) phase when as a dog it has no value.

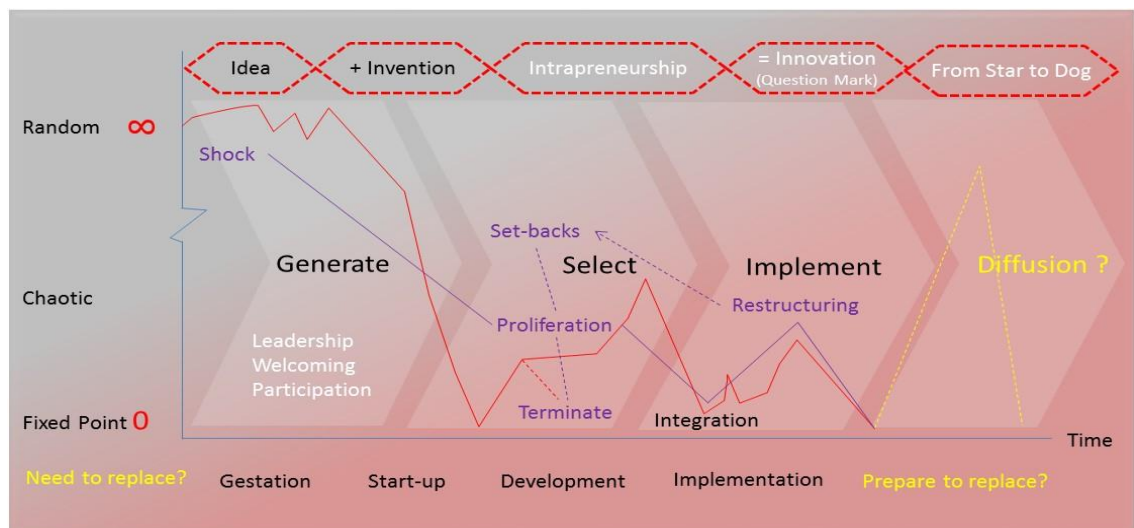
In considering how welcoming the organisation's leadership is to ideas and innovation, it might be expected to see a leadership that tracks the diffusion curves across the organisation's portfolio of products, and that suggests a need for correlating adaption in the leadership characteristics, contingently upon the rate of creative destruction, taking into account the triggers (Fig 2.3). Tracking might include reference to the diffusion curves projected from previous diffusion, and by assessment of similar diffusion for other products. Recognising Porter's (Fig 2.1) approach, tracking would correspond this to as much industry intelligence as may also be gleaned from the diffusion apparent in competitor organisations. For

leadership, one of the underlying aims should be to ensure that there are sufficient ideas in the cycle to reduce the likelihood of all existing products reaching the specific phase of full diffusion (unviable, uneconomic (*dog*)) status together.

Whilst for Utterback (1996) the date at which each specific ‘product alpha’ moments occur might not be predictable, once it is detected (through a trigger) the correlating process ‘alphas’, and then the corresponding ‘betas’ across the fluid, transitional and specific phase would be much more predictable. A key principle of *this* research is the notion that it might also be expected that to identify contingent leadership approaches across each stage of the relative situation is also, therefore possible. Utterback (1994) considers the issue of the effects of leadership on diffusion, for example stating that innovation “*must be managed with boldness and persistence from the top*” (Utterback 1994, p. 230), and that “*the responsibility of management is nothing less than the corporate regeneration in the face of radical innovation*” (ibid, p. 230). Here, what Utterback is referring to as radical, is the risk of creative destruction from outside, but also from inside the organisation by creating a ‘fluid’ rising of its own stars that replaces its own transitioning cash-cows and dogs, before the competition does.

Figure 2.6 combines Bessant and Tidd (2007, p. 16) *Generate, Select, Implement* and Van De Ven et al’s (2008, p. 16) *Gestation, Start-up, Begin, End, Implementation*).

Figure 2.6: RSM 2016, Van de Ven et al 2008, p. 16, & Bessant and Tidd, 2007, p. 131



Bessant and Tidd have been unable to resist their model starting from a hypothetical (as though the organisation didn’t exist) point in their time line, and do not suggest a probability of creative destruction based on the relative ages of the

products over a diffusion curve. Consequently (as is picked out in yellow text in Figure 2.6) the issues in their model include that it does not consider the contingent leadership actions throughout diffusion, (such as preparing for new organisational structures, and anticipating investments before there is insufficient 'cash-cow' income to fund the necessary new rising stars to sustain the organisation).

Bessant and Tidd suggest that the first event (an idea occurring) is a random event, which is not at odds with either creative destruction, or diffusion, however for an existing organisation to continue to be viable, the need for a subsequent idea, is inevitable. Neither Bessant and Tidd (2007), nor Van De Ven et al (2000) project the diffusion of an idea through to its creative destruction and neither identify this in the context of it being one product out of many, each at different states of diffusion.

Part of the focus of this research is to consider the adaptations needed in leadership characteristics to anticipate creative destruction, during the various transition phases (See Fig 2.5), and to 'generate' without unmanaged 'shock' (See Fig 2.6), such that the '*specific phase*' is not only followed by the end of the organisation.

Similarly to Utterback (1994), Bessant and Tidd (2007, p. 429) also refer only to the generalisms of leadership contingent actions and characteristics as a footnote, mentioning only briefly the need to align innovation to the business strategy. Here, it is only implied that there may be needs for developing the culture in the organisation to anticipate and manage diffusion, but they then fail to relate this to the needs of supporting question-marks and rising stars. To develop these gaps in the literature, the main focus of this research is on the leadership characteristics, and how these might be adapted to throughout each of multiples of simultaneous, and successive; generate, select or implement stages (See figure 2.6), within an innovation strategy that recognises (the inevitability of) diffusion as a trigger event.

2.3 Why is 'diffusion' important to innovation?

In this section, literature that is setting the context for the need for welcoming ideas, and participation is considered, with a focus on how this may be related to the importance of leadership characteristics being adapted to the relative needs of innovation, and in relation to the inevitability of creative destruction. The underlying reasoning being that if innovation is not all that important, then the research would not be valid. However, although clearly indicated in the eponymous works of for example, Porter (1985), Boston Consulting Group (1969) and in the principles of

the classic economic theories of Schumpeter's (1942) creative destruction, innovation is frequently set out as being important. However, leading innovation from leadership and organisational theories for welcoming and participation, appears to be somewhat isolated, even in the major studies of innovation (cf. Van de Ven 2000, Fagerberg et al, 2006, Bessant and Tidd 2007, Utterback, 1996).

Whether or not it is correct to 'respect' that the issue of unpredictability might be causal to the isolation, it is generally maintained that it is important for leadership to welcome and ensure the best rate of ideas possible. Consequently, in theory and in professional practice, it is reasonable to expect that there will be (at least) relative monitoring of the sensitivity to creative destruction. It is also reasonable to expect that such sensitivity monitoring might stimulate leadership adaptations, bearing in mind that welcoming ideas even when all products are in their *fluid* stage, would only result in growth, and therefore a strengthening of a portfolio through which to resist the individual *specific* cycles of creative destruction. This would be to deliberately exchange stars for dogs, and involves '*developing a diversity to create constancy despite individual periods of chaos*' (Van De Ven et al, 2006, p. 255).

My research question (is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?), is affected by the typicality of how literature treats leadership as though it is only ever in just one diffusion cycle, and even then it is often reduced to being little more than 'innovation is important' (cf. Toffler, 1970; Drucker, 1985; Von Hippel, 1988,2005; Adair, 1990; Huczynski, 1993; Hamel, 1998; Knights and McCabe, 2003; Burnes, 2004; Bessant and Tidd, 2007; Ryde, 2007). Despite this lack of definition, the importance of welcoming innovation is pervasive, echoed in for example; "*an uneasy compromise between reliability and innovativeness is not enough to avoid obsolescence and irrelevance, in a world of ever-accelerating change and global competition, in which the balance of power has shifted to the customer, continuous innovation and learning by the entire organization is required for survival*". (Denning, 2010, p. 13).

2.4 Innovators and innovative organisations

Prominent innovators include Sir James Dyson, whose participation in invention has arguably been matched by his persistence in *entrepreneurship*, and subsequently *intrapreneurship*. As Dyson's products have 'diffused', Dyson has developed his (cash-cow) cyclonic vacuum cleaner, but has also introduced other rising stars such as his range of cooling fans, hair dryers and now, electric cars.

There are also innovators such as Sir Clive Sinclair whose products range from pocket computers, to bicycles to computers, and which, arguably, have been a series of diffusions, where the cash-cows have progressed to dogs, and have been replaced by an entirely different organisation.

The accounts of each of Dyson and Sinclair equally present them as much for being entrepreneurs as for their ability to welcome an invention. It might be argued that Sinclair was more of an entrepreneur (as his businesses have cycled with an individual idea) and Dyson has *been* an entrepreneur (in starting his business with cyclonic vacuums), but is now an *intrapreneur* (starting up new products within an existing business). The difference being that Dyson appears to have managed diffusion, whereas Sinclair hasn't.

To be both an inventor *and* an entrepreneur requires a range of invention and business skills that may not always be present in a potential participant (by choice as well as by experience/ability). Consequently, my focus is on *intrapreneurship*, where the participation of ideas can be set in the context of an organisation that can augment, support or provide the methods, skills and means, and that in return, the resulting innovations reduce the risks of creative destruction. The 'group' of complimentary *intrapreneurs* with the prototyping, business and implementation skills is often overlooked, and for example Thomas Edison's assistant (Francis Jehl) is quoted as saying "*Edison is in reality a collective noun and means the work of many men*" (from Kelly & Littman, (2001, p. 70)). This confusion of the inventor and the 'intrapreneur(s)', the leadership and other enablers is exacerbated by the biographies of heroic inventor/entrepreneurs and for example in the BBC's 'Dragons Den' programme, where it is entrepreneurship "*those people who build the necessary infrastructure and help develop an environment, whether it is local, regional or even national, that welcomes and encourages new entrepreneurs and new businesses*", (Thompson, 2010:P59) that wins more attention than the idea.

Mark Zuckerberg's Facebook and Jeff Bezo's Amazon are examples of organisations built around a clearly definable initial innovation (an innovation that creatively destructs others), which has then intrapreneured a portfolio of (sometimes) associated products. Speculatively, I would consider this success to be symptomatic of changing leadership characteristics to enable the new ideas that enable growth, but that by association has also been symptomatic of a leadership that supports the various products as they move along their diffusion curves.

A factor that links each of Zuckerberg, Bezo, Edison, Sinclair and or Dyson to each other, is in the way they are represented in the literature, where it is often that there is more a recognition of their celebrity as the heads of companies whose revenues exceed the revenues of many countries (cf. Inman, 2016; Myers, 2016), as opposed to perhaps their likelihood of developing new 'stars'.

This deep association with an originally disruptive, and (so far) market dominating product adds to the difficulties in how their organisation's leadership characteristics will be, or is being adapted to be welcoming to further inventions and for dealing with creative destruction. In Nobutoshi Kihara's invention of the Sony Walkman (cf. Lester, 2015; De Gay et al, 1996), and subsequently Jonathan Ives's design of the iPod, both occurred within existing large organisations, and both of which must have encountered leadership's welcomingness as part of their participation. The Walkman was a disruptive and revolutionary (rising star) invention, to which there were many imitations as the concept diffused and the product overall became a cash-cow, until it came under the creative destruction of the iPod (Chan, 2010) which has since been creatively destroyed by music streaming (such as Spotify).

The circumstances in which the participation and its welcome occurred are less often revealed in accounts of such inventions. For example, the inventor credited with the iPod, (Jonathan Ives), despite the sublime execution of his design ideas, Ives was explicitly tasked with invention, (inherently welcomed, and inherently a participator). What is less prominent is how Jon Rubinstein's leadership characteristics created the situation which drew out a potential participation by creating the organizational sub-group within Apple (of which Jonathan Ives was a member). Similarly, it is also unclear what specific leadership characteristics from Steve Jobs, as then CEO of Apple, (cf. Doeden 2017), resulted in welcoming Jon Rubenstein's participation of the idea of the organizational sub-group.

Thus far, accounts of Jonathan Ives's and of Jon Rubenstein (cf. Kahamy 2014) appear to have been focused on product design philosophies, and not on the leadership or strategies for welcoming participation. The unanswered question is whether Jonathan Ives could have participated successfully without the welcomingness of leadership, infrastructure for intrapreneurship and a leadership approach in which there was an explicitly welcoming mechanism in what Jon Rubenstein's leadership characteristics had constructed within Apple.

In this research, one of the underlying questions is whether good ideas succeed or flounder, because the idea's originator is good at ideas, but needs leadership's creation of infrastructure and a welcoming, (a Rubenstein perhaps) in order to make the idea more than just theoretical. A question echoed in for example, "*Innovative entrepreneurs are often described as poor managers because they lack the ability to follow through on their new business ideas*" (Dyer et al, 2011, p. 35).

One account of welcoming innovation, can be seen in the work of Edgar Schein (Schein 1985), who in the 1990's examined 3M (as did; Adair, 1990; Von Hippel et al, 1999 and Jones, 2002). 3M's espoused strategy was for; vision, foresight, stretch goals, empowerment, communication and recognition. This strategy in the context of intrapreneurship included funding the implementation of an inventor's ideas in a profit sharing sub-company, a mechanism, similar to how in Edison's (General Electric Company) ideas and patents were bought with shares. Only the successful scenarios are described, and only as being a unit led throughout by the inventor as the intrapreneur, however the relationships to the leadership characteristics of the then CEO, Livio D. DeSimone which affected (welcomed) the idea, and the mechanisms for selecting ideas have not been revealed.

Schein (1985) also undertook consultancy at DEC (Digital Equipment Corporation) where he helped create similar structures and support for business sub-units to pursue new ideas. Here too, he does not reveal or make reference to the leadership's characteristics, other than in the abstract of describing the need for an effective '*senior management team*'. Here again, Schein fails to describe the process of selection of ideas to invest in, the failures, nor what were (or would be) the consequences of the inventor choosing to not be the lead intrapreneur, what were the consequences of a terminated innovation, or how much '*skin-in-the-game*' an inventor might have to have.

Neither within these accounts of DEC and 3M, nor within those in the extensive longitudinal '*Minnesota Studies*' (Van de Ven et al, 2000) is there any explicit reference to the contingent leadership characteristics that might be more or less for welcoming participation of ideas, nor is there any account in which the inventor is *not* the named focus of the entrepreneurship. The focus on the entrepreneur, and the absence of focus on the leadership that enabled and affected it, forms part of the rationale for this research.

2.5 Assessing innovativeness

One source of the label ‘innovative’ comes from the Organisation for Economic Co-operation and Development (OECD), in their analysis of the innovativeness of the 34 nations it covers. The summary of the ranking of nations is set out below;

Ranking	OECD 2011	OECD 2012	OECD 2013	OECD 2014	OECD 2015	Bloomberg
1	Iceland	Switzerland	Switzerland	Switzerland	Switzerland	South Korea
2	Sweden	Sweden	Sweden	Sweden	United Kingdom	Japan
3	Hong Kong, China	Singapore	Singapore	United Kingdom	Sweden	Germany
4	Switzerland	Hong Kong, China	Finland	Netherlands	Netherlands	Finland
5	Denmark	Finland	United Kingdom	United States	United States	Israel
6	Finland	Denmark	Netherlands	Finland	Finland	United States
7	Singapore	United States	Denmark	Hong Kong, China	Singapore	Sweden
8	Netherlands	Canada	Hong Kong, China	Singapore	Ireland	Singapore
9	New Zealand	Netherlands	Ireland	Denmark	Luxembourg	France
10	Norway	United Kingdom	United States	Ireland	Denmark	United Kingdom
11	United States	Iceland	Luxembourg	Canada	Hong Kong, China	Denmark
12	Canada	Germany	Canada	Luxembourg	Germany	Canada
13	Japan	Ireland	New Zealand	Iceland	Iceland	Australia
14	United Kingdom	Israel	Norway	Israel	Korea (Rep)	Russia
15	Luxembourg	New Zealand	Germany	Germany	New Zealand	Norway

Figure 2.7 RSM 2016

The OECD ‘ranking’ involves a complex formula set out in the 93 pages of the Oslo Manual (last updated in 2005), and the 266 pages of the OECD Frascati manual, which was lightly changed in 2013, from its origination in 2002. The age of these mechanisms is hard to reconcile with the need for current, and up to date thinking on leadership characteristics, especially given the economic turmoil in recent years. The OECD ranking is primarily built upon the rate of Post Honours Degrees (PHD) awarded, patents registered, the relative spend on training, and spend in research. From this, OECD publishes an annualized league table of its member nations (Figure 2.7). This approach has been applied in the EU community of innovation surveys (see Adams, 2011), in which the UK adds to the Oslo Manual with a (retrospective) review of inventions (by a panel of ‘industry’ experts).

Despite its 359 pages of guidance and formulae, it is surprising that none of the OECD rankings are described in the context of (for example) a correlation of each member state’s Gross Domestic Product and to Trade Deficits, to demonstrate a relative measure of the balance between innovation, and outcomes, and not one of the pages reflects on leadership. Bloomberg’s ‘Business Week’ adds its own innovation review of nations, using what it suggests are similar parameters to OECD. Even taking into account that the OECD study is limited to its members, the differences between it, and the Bloomberg view (See fig 2.7) are rather ambiguous. Figure 2.8 sets out Forbes, view of the world’s most innovative companies:

Figure 2.8 RSM 2016, incorporating Forbes 2016, and Dyer et al 2011)

Rank	Forbes: the world's most innovative companies					Dyer et Al (2011) (2011-2016)
	2011	2013	2014	2015	2016	
1	Apple	Apple	Apple	Apple	Tesla Motors	Amazon
2	Google	Google	Samsung	Google	Salesforce	Apple
3	Microsoeft	Samsung	Google	Samsung	Alexion Pharmaceuticals	Google
4	IBM	Microsoeft	Microsoft	Microsoft	Regneron Pharmaceuticals	Proctor and Gamble
5	Toyota	Facebook	Toyota	Amazon	ARM Holdings	Starbucks
6	Amazon	IBM	IBM	IBM	Unilever Indonesia	Microsoft
7	LG	Sony	Amazon	Tesla Motors	Incyte	Nintendo
8	BYD	Haler	Ford	Toyota	Amazon	RIM (Blackberry)
9	General Electric	Amazon	BMW	Facebook	Under Armour	Cisco
10	Sony	Hyundai	General Electric	Sony	BioMarin PharmaCeuticals	Hewlett Packard
11	Samsung	Toyota	Sony	Hewlet Packard	Baidu	3M
12	Intel	Ford	Facebook	General Electric	Aspen Pharmacare	General Electric
13	Ford	Kia	General Motors	Intel	Monster Beverage	IBM
14	RIM	BMW	Volkswagen	Cisco	Catamaran	Southwest Airlines
15	Volkswagen	Hewlet Packard	Coca Cola	Siemens	Vertex Pahrmaaceuticals	eBay

The Forbes survey of innovative companies is as a 'measure' based on a survey of industry executives. The rather surprising changes in 2016's 'results', suggest that they have changed their criteria (this they do not publish) or that they have changed their perspective for one that is less USA oriented. Although aimed at identifying innovative companies to add to the research, the conflicting results shown here perhaps also underline how difficult it is to pin down what innovative means and what this means innovative in terms of the leadership for an organisation known for managing an individual or a succession of innovations. Although the outcomes of measures such as the OECD modelling can be readily sourced on the internet, how this might incorporate different approaches to leadership is not discussed within them, there is for example no leadership research or action plan mentioned.

Technology Review provides a further review compiled by the Massachusetts Institute of Technology's board of editors of the organisations who (they) consider are a disruptive innovation force, that is causing other businesses to alter their strategic course, that that have demonstrated original and valuable technology, of significant scale, and that are 'clearly' influencing their competitors.

The OECD, or panel based 'expert' opinion led approach is considered as flawed by Dyer et al (2011), for being just a view of *past* performance. Their own measure (whose results are shown in Figure 2.8), assesses innovativeness based on companies whose financial surplus exceeds their net asset value, a surplus being "*the proportion of the company's value that cannot be accounted for from cash flows of its current products and businesses in its current markets*" (Dyer et al, 2011, p. 160). This reveals the value that investors have committed because they expect

the organisation to come up with new products or sales, and that they propose that this measure is of more value as it is a *forwards* measure of innovative *capability* to add to the predominance of measures of an innovation *history*. Although liquidity, and over-prime positive assets might be seen as a good thing, this does little to reveal how leaders are welcoming sufficient participation in ideas or whether this is conducive to ensuring there is a rate of ideas to replenish the dogs with stars in the respective creative destruction of their portfolio of products.

In seeking out other mechanisms of the measure or innovativeness as a method of trying to identify how this might reveal the mechanics and methods of how ideas are welcomed and participated in the organisation, I found numerous accounts suggesting that innovativeness can be measured. Innovativeness as an output measure probably can be attributed a relative value, but the potential for future innovation against the risks of creative destruction is an entirely different and arguably more valuable measure. Overall, however, none of the methods which can readily found in academic or business literature offer much in the way of analysis and evidence of what is, or what could be done by leaders to increase future innovativeness.

Despite this, Tim Jones (2002) states that it is a myth that innovation *cannot* be managed, but despite this he offers little in the way of how, other than stating rather vaguely that any and all activity should be identifiable in an assessment of the return on investment. This unevidenced and unlinked view is typical and consistent with for example Bessant and Tidd, (2007) who having echoed the vague supposition of output measures being necessary, proposes that theoretically; “*we can look at a number of possible measures and indicators*” (Bessant and Tidd, 2007, p. 407), Such as;

- Number of new ideas (product / service / process) generated at start of innovation system
- Failure rates – in the development process, in the market place
- percentage of overruns on development time and cost budgets
- Customer satisfaction measures – was it what the customer wanted
- Time to market (average, compared with industry norms)
- Development person-hours per completed innovation
- Process innovation average lead time for introduction

- Measures of continuous improvement, suggestions and savings accrued per worker, number of problem solving teams, cumulative savings and so-on.

(Figure 2.9: Bessant and Tidd, 2007, p. 407)

Although these allude to the measurement of the rate of ideas, these also appear to be rather generic business practices, and there is no reference here to the rate of creative destruction, nor is there any correlation to adapting leadership to ensure that there are no impediments to participation in ideas.

The implications of the findings described in this section include that identifying innovative organisations is far from straight forward, and identifying what makes them serially innovative is harder again. This suggests a gap into which research is valuable, but also that it is challenging to situate new research into what leadership adaptations might make inventors feel more welcomed, and what leaders might do to ensure a rate of innovation that exceeds the rate of creative destruction.

This analysis of the literature helps develop an understanding of what the literature has to say about what leadership approaches are best to apply in the varying circumstances of the diffusions of the organisation's products. My findings from assessing the organisational literature suggest that there is little evidence of measures of innovation actually being applied and that there has been little analysis of what it is in the organisations and their leadership that contributes to the perception of the organisation's innovativeness. The term innovativeness in relation to organisations appears to be often accorded as something of a cause célèbre, based on rather superficial analysis of what it is inferred that the organisation's leaderships *might* be doing to ensure (welcome) ideas, albeit that it might be surmised that these leaders must be doing something?

Having concluded that this area of the literature is somewhat ambiguous, in the next section I summarise my review of how the organisational design literature describes the structures and principles associated with innovative organisations.

2.6 Organising for ideas and Innovation

A successful organisation that is built to last “*requires that innovation itself to be organized as a systematic activity. It requires that the business itself be organized to be a successful innovator. It requires both a discipline of innovation and a discipline of entrepreneurship that is a discipline of how to make innovation effective in the market place*”. (Drucker, 1985, p. xv).

In Chapter 1, I concluded that if organisations are to repeat and grow their success beyond their first product or service, they *must* be welcoming new ideas, and there *must* be development of organisational approaches to enable both operating the cash cows, and seeking out the next rising star. The unpredictability of the diffusion curves, suggests that actively developing the welcoming question marks is a necessary part of day to day leadership and organisational design.

As previously noted, there is plenty in the literature that supports the importance for organisations to welcome ideas, however. there are issues with finding the references to organising for (intrapreneuring) the ideas through to innovation and into being an inherent part in what is often described as an almost nirvana-like 'steady-state' of the organisation. My findings are echoed by for example "*For the past few years, leading CEOs have been trying to figure out how large established organizations can become as good at game-changing innovation as they have been at disciplined execution. Instead of innovation and organizational learning being the responsibility of a few iconoclastic, courageous and rare individuals or departments, how could innovation become an organization-wide capability, a part of the firm's DNA?*" (Denning, 2010, p. 13). However, what constitutes leadership characteristics in a more or less innovation welcoming organisational capability, and what *leading CEOs* (whoever they might be) have reflected upon in their own leadership characteristics to increase *the few* to participate is elusive, and here again some reports are rather journalistic.

For example, in the account of the IDEO design company, (Kelley and Littman, 2001), it is interesting to note how their 'infrastructure' for welcoming participation is predominantly defined by their own description of their organisation's culture. For Kelly and Littman (2001), the enabling structures (which Csikszentmihalyi, (1996), refers to as *intuition* and which he links to the *potential* for there to be participation) is to encourage ideas and participation through what they refer to as an intellectual cooperative. Within this, an idea's *elaboration* (ibid) to become an invention, is intrapreneurship where they, (as the intellectual cooperative) undertake 'deep-dive' brainstorming, underpinned by an explicitly 'fun' (welcoming and receptive) environment. IDEO's leadership characteristics include that these are emergent and shared, consequently an idea's welcoming is influenced by its participant, in an organisation that welcomes participation per se. It is important to recognise that Tom Kelley is the general manager of IDEO, and that he describes this from his own perspective of how he believes his organisation includes a democratized

motivation and stimulation in which ideas are welcomed within an inherently distributed leadership. This may be successful partly as they are a relatively small organisation. However, the *unstructure* or uni-structure that makes IDEO successful, might not work in other types of organisation, at different points on the diffusion curves, and throughout all combinations of dogs to rising stars.

2.7 Culture and absorptive capacity

Leadership requires as Amabile (1998) notes, that leaders and managers must understand the nature and need for (and of) the innovation intended, but also must understand the abilities needed to implement and adopt it. This is an issue which Csikszentmihalyi (1996) adds to with his view that “*It is easier to enhance creativity by changing the conditions in the environment than by trying to make people think more creatively*”, (Csikszentmihalyi, 1996, p. 1). These accounts also bring into question how leaders stimulate the culture of the organisation, as well as the organisational infrastructure and processes of welcoming and participation.

Part of what Csikszentmihalyi is referring to when describing the environment is the motivation people have to participate, and what might affect this positively and negatively. Cohen and Levinthal (1990) refer to the organisation’s innate and potential culture as an organisation’s ‘absorptive capacity’ a term they define as “*the ability of an organization to recognize the value of new, external information, assimilate it, and apply it to commercial ends is critical to its innovative capabilities*” (Cohen & Levinthal, 1990, p. 128). The concept of absorptive capacity is referenced by for example: Zahara and George 2002, Fagerberg 1994, Todorova and Durasin 2007, and Abreu et al 2011, and is a principle that I use to denote the organisation’s awareness, ability and welcomingness to ideas, innovations and change, across all types and levels of its leaders, employees and stakeholders.

In my considerations of absorptive capacity, this includes the issues of the organisational leadership’s characteristics, and whether amongst these there is a deliberate approach to ensuring what Schein (1985, p. 320) calls *psychological safety*, the state in which the welcoming and participation in ideas must be safe for both the participant, and the organisation around them. This includes that the impact (creative destruction) or what Schein refers to as *disconfirmation* (ibid) from the old (cash-cows) and the cognitive redefinition (ibid) involved in the adoption of the processes involved in new (rising stars). Across the variables of leadership and mechanisms in the organisation, absorptive capacity is the term I use throughout

the thesis to describe the potential psychological safety and receptivity to cognitive redefinition (welcomingness) of the organisation to ideas and innovations.

2.8 Research and Development (R&D)

Understanding how the leadership characteristics, and welcomingness may affect participation, includes understanding how participation and welcoming are established in the organisation's absorptive capacity. One of the things I wanted to consider is whether absorptive capacity changes, dependant on who brings forward an idea and who it is that is causing disconfirmation in the 'status-quo'. The 'who' might be organisationally identified, in for example a Research and Development Team (R&D). For some organisations, R&D may be more established within the organisation's absorptive capacity in its processes and culture, even perhaps to the point of there being an unwelcomingness to anything that happens outside of R&D.

Tudor Rickards (1985) suggests that R&D is a relatively recent organisational phenomena and that there is evidence that the role of a defined, separated R&D is for some organisations a phenomenon that is becoming challenged. R&D might initially have been "*set up to provide an atmosphere in which creativity can flourish with a minimum of external distractions*" (Rickards, 1985, p. 49), however, there is a counter argument that suggests the 'external distraction' of creative destruction is the essential 'distraction', needed to increase the welcome for the best ideas.

R&D may have already had to rise to the challenge that the *(rest of) 'the system of management is quite explicitly devised to keep production, and production conditions stable'* (Burns and Stalker, 1961, p. 82). In relation to R&D's participation of ideas, how these have been welcomed by the organisation, and whether this was successful or problematic, may provide insights into the absorptive capacity.

Despite their formally sanctioned role, even where R&D raises an idea, this might be seen as disruptive to rest of the organization, for example; "*whilst new technologies have enabled companies to develop innovative, high quality products, how these activities fitted with the everyday cross-business operations of production, distribution and sales was increasingly recognized as an issue*" (Kodama, 1992, p. 72). New technologies as opportunity and threat, present as Tidd et al (1997) discuss, a side effect that make it increasingly challenging to construct and maintain the transient 'core' skills needed within a dedicated R&D team. This paradoxical, 'Catch 22' view of R&D seems somewhat fatalistic, and perhaps in anticipation of a more participative organisation may be what stimulated

Rickards (1985) to suggest, “*Today’s R&D is more client oriented, with a trend towards international cooperation on the more blue-sky projects*” (Rickards, 1985, p. 171). The role of R&D and the empowerment for participation are however being reconsidered in for example “*new technologies are making it easier than ever to conduct complex experiments quickly and cheaply, companies can now take innovation to a whole new level, if they are willing to rethink their R&D from the ground up*” (Thomke, 2001, p. 179).

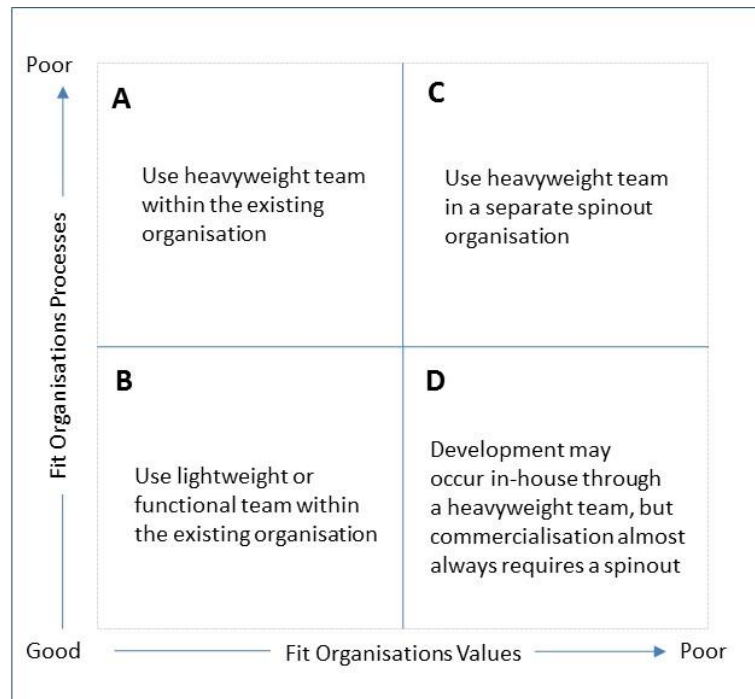
There are variants to R&D, for example Jon Rubinstein’s ‘innovation’ (of inventing an invention team), might be interpreted as having been R&D by any other name, and yet in rather hedging their bets, “*in rejecting the limiting belief that innovation is R&D’s job alone, leaders of highly innovative companies, such as Jobs, Bezos and Benioff, work hard to instil that innovation is everyone’s job as a guiding organizational philosophy*” (Dyer et al, 2011, p. 217). Dyer et al (2011) appear to have limited their analysis of what highly innovative companies do, to *working hard to instil* this ill-defined notion of innovation. Without revealing how his own leadership characteristics ‘welcome’ participation in ideas, the suggestion of being welcoming to broader participation is reflected in comments credited to Eric Schmidt (Google founder and CEO) in suggesting that “*Viable seeds for growth can be found at all levels of the organization, from the senior executive level, to newly arrived interns, to the client facing sales force*”. (as quoted in Estrin, 2009, p. 126).

2.9 Organisational Models

Where R&D may have been the custodians of the mechanism for participating new ideas in some organisations, researching R&D alone does not reveal how to maximise leadership characteristics, and to develop a welcoming absorptive capacity. If Schmidt, Bezos and Jobs views are to be interpreted as promoting that R&D is a distributed concept, in which anyone is welcomed to participate, there should be evidence of this in their, and in other people’s organisational designs, and leadership styles.

Figure 2.11, overleaf sets out Christensen and Overdorf’s (2000) model for how to organise based on types of situation.

Figure 2.10 – Organising for innovation Christensen and Overdorf (2000)



As illustrated in Figure 2.10, Christensen and Overdorf (2000, p. 127) set out how (based on the nature of an anticipated change) the absorptive capacity (as the combination of organisational values, and organisational fit) might react. However, rather than suggest what leadership characteristics and actions to (best) apply to meet the specificity of any defined challenge, this approach appears to focus on maintaining the absorptive capacity as opposed to adapting it.

Christensen and Overdorf's model in Fig 2.10 may be considered as being more suited for developing a reaction to creative destruction in an organisation that has only a single product. However, this appears to be less suitable for reacting to the creative destruction for an organisation with a portfolio of products. Christensen and Overdorf do not add to their model, in terms of participation in ideas or leadership characteristics needed to adapt to fit the organisation to the circumstances (for example radical creative destruction). This seems to accept that some organisations simply cannot tackle a range of potential creative destruction threats.

In Figure 2.11 below, Isaksen and Tidd (2006) offer a model that they expressly state as an operating model that is designed for, or that reflects innovative organisations;

Figure 2.11 RSM 2016, adapted from Isaksen and Tidd 2006, *Organising for Innovation*



The consideration of the external environment, (whilst possibly, implicitly acknowledging Porter's (1985) Five Forces), is not overtly supported by Isaksen and Tidd (2006) with any qualified suggestions of what to do if.... For a model that is claimed to be specifically oriented to enable innovation I find little analysis or distinction in what this might achieve that is (better or different) to any other generic organisational designs. The model's components may be relevant factors for any organisation's design, (and in which it might be argued that leader behaviour is a key, but in this case an *unqualified* influence) however this model does not particularly add different mechanisms for the stages of intrapreneurialism or related leadership adaptations from those in any more generic operating model.

It might be argued that, the absence of specialised componentry for leadership and management might not necessarily be an issue, and that existing organisational frameworks and models should not in themselves be considered unwelcoming to participation in ideas and invention. However, it might also be argued that the rate of creative destruction and intrapreneurship would be significant enough to be identifiable in more detail in any design. This might appear to assume that welcoming ideas and that intrapreneurship are all activities within leadership and culture, however, this is not noted or explained by Isaksson and Tidd (2006) in relation to their model, which claims to be particularly oriented for innovation.

Govindarajan and Trimble (2011) suggest that the day to day organisational processes that comprise the innovation related 'red ocean' (Kim and Mauborgne (1999) activities, cannot be effectively integrated with the mechanisms and leadership associated with 'blue ocean' (ibid) of the innovation activities.

Figure 2.12: Organising innovation. Adapted from Govindarajan & Trimble 2011, p. P28

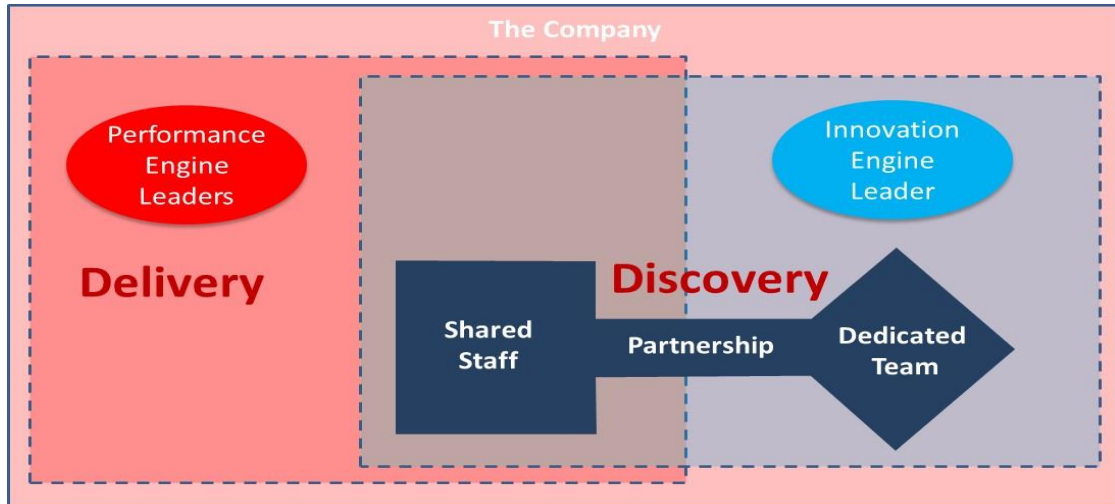


Figure 2.12 illustrates what Govindarajan and Trimble (2011) present as an organisational design that explains innovative organisations. In this they set out an integration of a series of 'performance engines' that deliver the cash-cows, are periodically replaced with an entirely new organisation that supersedes the original structures, roles and careers, each time the 'innovation engine' has created rising stars. In their model, Govindarajan and Trimble do not set out what triggers, or creates the point in the specific phase of diffusion that causes the delivery model to be changed or what happens to the obsolete performance engines. As with Christensen and Overdorf (2000), and with Isaksen and Tidd (2006), the limitation of what Govindarajan and Trimble (2011) have described is that they appear to have simplified the theories to a single product organisation working its creative destruction in a linear fashion. Neither the models, nor these accounts deal with the changing issues for more complex multi-product organisations.

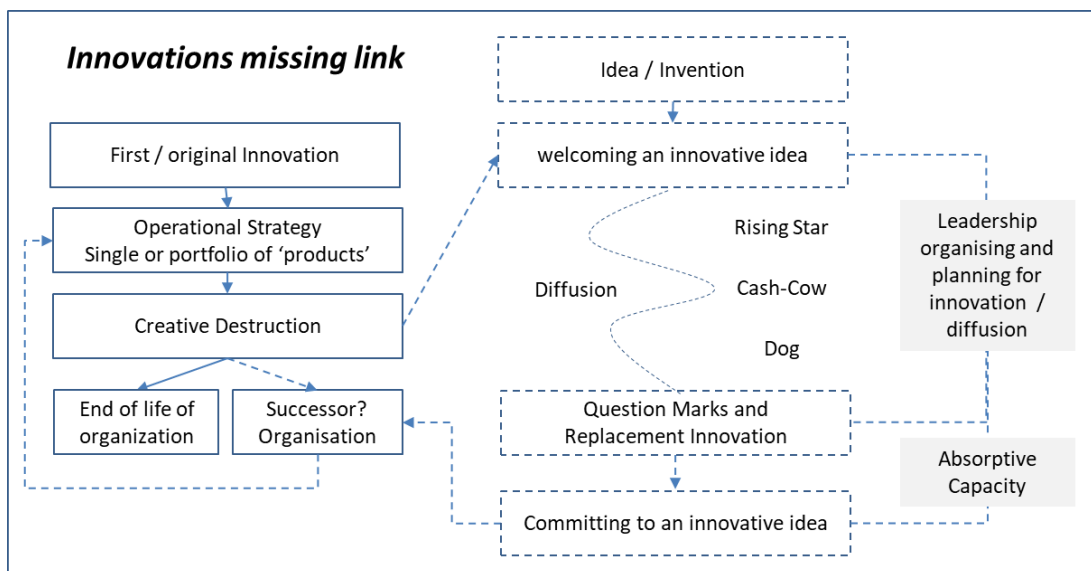
It might be suggested that it is not the structures, but how these are applied by leaders and managers that are the defining factors in managing creative destruction. However, this too does not appear to be set out in the case studies and references to enabling participation in invention and intrapreneurship. This consideration does however suggest that there may be a skills gap for research to explore, potentially exacerbated, because "*the management ranks are dominated*

by folks with strong delivery skills”, (Dyer et al, 2011, p. 36). In contrast to Govindarajan and Trimble (2011), embedding ideas, and intrapreneurship within organisations and leadership is almost universally cited as important, (cf. Adair, 2009; Tidd et al, 1997; Knights and McCabe, 2003).

For Drucker, this must be associated with the organisational practices, that shape absorptive capacity, as “*top management’s personalities and attitudes cannot without policies and practices create an entrepreneurial business*” (Drucker, 1985, pp. 154-155) who reinforces the need for these adding that “*entrepreneurship is not natural; it is not ‘creative’, it is work*” (Ibid, p. 38).

Adding to what Govindarajan and Trimble (2011) set out, I have speculated where the missing link, (Drucker’s ‘work’) might be added as a process in Figure 2.13 below.

Figure 2.13: RSM 2016 (Adapted from Govindarajan and Trimble 2011, p. 16)



Interpreting Govindarajan and Trimble’s model raises the question of what they were referring to, for example, was this one organisation?, is the innovation engine the primary organisation?, and if so, who funds it? and how would a relationship between innovation and the ‘performance engine’ organisation which operates and collects the income from cash-cows and stars work?. As indicated by the added dotted lines, the unaltered model would not account for how to transition skills, assets and organisation to the next generation organisation for delivering stars, or something as speculative as a question-mark?, nor is it clear how such a model relates to the simultaneous leadership characteristics needed for the simultaneous delivery of both innovation and steady-state cash-cow activities.

It might be interpreted that even allowing for a separate shadow organisation and episodic change, Drucker (1985) highlighted the issue of skills and purpose, in for example when referring to the integrated net of 'leadership and organisation'; "*it [sic] has to create a structure that allows people to be entrepreneurial. It has to devise relationships that centre on entrepreneurship. It has to make sure that its rewards and incentives, its compensation, personnel decisions, and policies all reward the right entrepreneurial behaviour, and do not penalize it*". (Drucker, 1985, p. 148). Similarly, the implied requirement for the performance and innovation simultaneous pluralism in leaders is questioned; "*What would be the benefit to your organization if you were to develop internal thought leaders? What are the core competences of your organization's success? What type of expertise do your potential thought leaders possess?*" (Goldsmith and McLeod, 2008, p. 12). Without this pluralistic ability of dealing with both dogs and question marks in the leadership, there is also an (unanswered) question that if the question marks / stars pluralism were to be removed from leadership and organisations, who would want work in the cash-cows and dogs performance engine, with a potentially finite employment, related directly to a (presumably anticipated) and guaranteed creative destruction?.

One of the challenges to how leadership can affect the absorptive capacity may be related to the organisations size, "*as organizations grow it becomes harder to reward special talent, especially if their contributions are episodic*" (Adair, 2009, p. 76) and you "*may have to work hard to persuade HR leaders to pay beyond compensation ranges*" (Govindarajan and Trimble, 2010, p. 59). Rewarding invention is perhaps one of areas which distinguishes *intrapreneurship* from *entrepreneurship*, whose risk/rewards are more intrinsically linked. One of the issues considering leadership approaches to welcoming participation through rewarding, is that whilst "*Management must always strive to be fair and equitable in its pay structures, fair and equitable should not be confused with uniform*" (Estrin, 2009, p. 136). Similarly 'management'; "*should allow for rewarding employees for taking the time to push forward ideas that do not have a direct impact on their jobs*" (ibid, p. 136), as well as allowing for episodic rewarding and flexibility for the idea's originator to have "*the option of returning to their old job, at their old compensation rate if the innovation fails, they should not be rewarded for failing, but they should certainly not be penalized for trying*" (Drucker, 1985, p. 152).

An organisation that is unwelcoming to participation is far from being a new issue, for example; "*There is nothing more difficult to plan, more doubtful of success, nor*

more dangerous to manage, than the creation of a new system. For the initiator has the enmity of all who would profit by the preservation of the old institutions and merely lukewarm defenders in those who should gain by the new one", (Machiavelli, 1510, p. 22). In considering what it might be that is unwelcoming Tidd et al (1997) set out correlating consequences to a range of phenomena:

If Innovation is only seen as	The result can be
Strong R&D Capability	Technology which fails to meet user needs and may be rejected
The province of specialists in white coats in the R&D laboratory	Lack of involvement of others, and a lack of key knowledge and experience input from other perspectives
Meeting customer needs	Lack of technical progression, leading to inability to competitive edge by anticipating future needs.
Technology advances	Producing products which the market does not want or designing processes which do not meet user's needs or which are opposed
The province only of large firms	Weak small firms with too high a dependence on large customers
Only about 'breakthrough' changes	Neglect of the potential of incremental innovation. Also an inability to secure and reinforce the gains from radical change because the incremental change ratchet is not working well
Only associated with key individuals	Failure to utilize the creativity of the remainder of employees, and to secure their inputs and perspectives to improve innovation
Only internally generated	The 'not invented here' effect, where good ideas from outside are resisted or rejected.
Only externally generated	Innovation becomes simply a matter of filling a shopping list of needs from outside and there is little learning or development of technical competence.

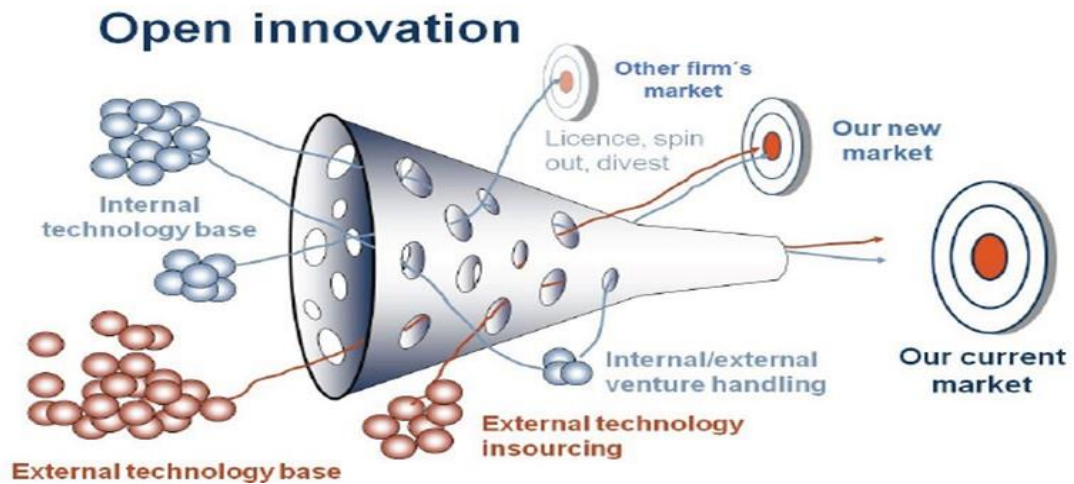
Fig 2.14 (Tidd et al, 1997, p. 31)

Tidd et al's (1997) observations set out in Figure 2.14, add to my expectations of the need for coordinated leadership across the whole organisation to ensure that absorptive capacity can welcome participation, and that formal and informal participation in ideas, can be adopted into the established mechanisms and skills.

2.10 'Open' Innovation

At first glance, *Open* Innovation might be thought of as likely to inclusive exhibit characteristics that reflect how employees, leaders and managers might be involved in welcoming participation in ideas and intrapreneurship. In open-innovation Henry Chesbrough might be considered as perhaps the best known amongst its exponents (Corkill, 2007; West & Lakhani, 2008; Brez, 2009; Gronlund et al, 2010; Almirall & Casadesus-Masanell, 2010; Di Minin et al, 2010).

Figure 2.15: Open Innovation. Chesbrough 2006, p. 70



Open innovation might be expected to 'allow' for the active participation and enablement of any employee's ideas, however, Chesbrough's open-innovation is only focused on utilising organisationally sanctioned (closed) knowledge networks with formally partnered organisations and suppliers to seek out and prototype ideas. As depicted in Figure 2.16, open-innovation has also 'claimed' partnership approaches in the supply chain and channels to market, but has added little more than suggesting that R&D and performance engine adopts a wide (global) supply chain model. 'Open Innovation' does not overtly consider the impact of leadership to 'allow' for the potential for emergent ideas from outside a closed system.

2.11 What can be learned from how organisations are organised for innovation

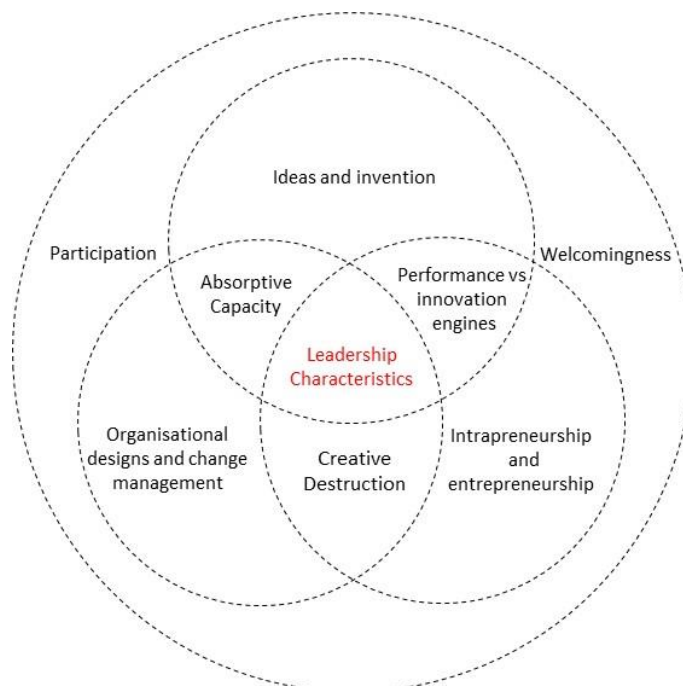
In section 2.6 I quote Peter Drucker (1985), and that organisations "*requires that innovation itself to be organized as a systematic activity. It requires that the business itself be organized to be a successful innovator. It requires both a discipline of innovation and a discipline of entrepreneurship that is a discipline of how to make innovation effective in the market place*". (Drucker, 1985, p. xv). In seeking to identify what he refers to the *systemic* activity, and *disciplines* required to make innovations effective, I have sought to identify organisational structures. This exploration has considered the concepts of open innovation, organisational designs, and the changing perspectives for Research and Design (R&D). I have introduced the concept of the *Absorptive Capacity* (Cohen and Levinthal, 1990) as my shorthand method for depicting whether the combined factors of the organisation, leadership and the wider stakeholders are welcoming to the participation of the ideas.

2.12 Conclusions on organisations and innovation

In this chapter I set out to develop the landscape into which my ideas for research was to be introduced. Building on ideas introduced in Chapter 1, I aimed to develop the arguments that make the research valid by considering the literature landscape, focusing particularly on what innovative organisations are, what they do, as well as how the literature describes the structures and methods of organisations.

Within the chapter, I draw particular attention to the need for the participation of ideas and inventions to be welcomed in organisations, arguing that to fail to develop sufficient question marks and rising stars, and to fail to recognise that all cash-cows will inevitably become dogs (due to creative destruction), means that the organisation will ultimately fail. The inevitability of creative destruction, and need for ideas therefore forms a core element of **why** this research is important. I have also developed the concept of absorptive capacity, for use as a short-hand term for **where** leadership is experienced. The culmination of Chapter 2, is the conclusion that leadership that affects question-marks, as well as cash-cows is key to the research question (*is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?*). This is illustrated as set out below;

Figure 2.16: RSM 2016. The summary literature and the research question.



The insights from organisational literature suggest that leadership is central to the issues of organisational design, intrapreneurship, welcoming ideas, and participation. This notion of leadership is explored in the next chapter.

3 Leadership and innovation

The analysis of organisations and innovation set out in chapter 2, concluded that there is a need to consider the role of leadership, in relation to organisations and innovation. To progress the research question (*is participation in innovation affected by how the organisation's leadership supports and welcomes ideas*) requires consideration of what leaders do to ensure that;

- Leadership is aware of, and actively seeks to develop *absorptive capacity* to ensure and enable welcoming, and participation of ideas and inventions.
- Leadership for organisational designs of both day to day (performance engine) and the innovation engine are welcoming to participation in new ideas, and;
- Leadership recognises the relativity of creative destruction, and adapts its performance and innovation emphasis.

These questions underpin the leadership theories explored in this chapter and shape the arguments for exploring leadership in the context of welcoming ideas. I argue that leadership can benefit from being seen in the complexity that innovation occurs, simultaneously with existing business, as opposed to in the one or the other situations that the theory typically describes. I develop my view of leadership by using definitions of leadership to shape my arguments. At the culmination of this chapter I argue for how, and why it is suitable to align new research to transactional and transformational leadership.

3.1 Setting the context of leadership for this research

This chapter maintains the focus on the welcomingness to participation in innovation as a factor of leadership and considers how leadership is defined in academic literature, including considering how “a” leadership style transcends the day to day services (cash-cows), at the same time as dealing with creative destruction and question-marks. The idea that leadership should operate across multiple contexts is “*in contrast to the homogenous unitary leader style that in the management literature is sometimes considered as the most advantageous style*” (Fagerberg et al, 2006, p. 10).

The expectations of a multi-faceted absorptive capacity, needing transcendent, multi-faceted leadership is implied in (for example) that “*The process of leadership cannot be described simply in terms of the behaviour of an individual; rather leadership involves collaborative relationships that lead the collective action*

grounded in the shared values of people who work together to effect positive change" (House & Aditya, 1997, p. 451). Treating leaders, leadership and the impact on absorptive capacity as unitary and homogenous may be an attractive simplification for some of the theories, however this also presents problems, including for example that *"It is a rare leader who can continue to generate all the new ideas, in fact, if too many ideas come from the top, employees can quickly learn that they should stop trying to innovate, because the boss's ideas are going to trump anybody else's"*. (Estrin, 2009, p. 127), and that *"the leader is rarely the brightest person in the group, rather, they have extraordinary taste, which makes them more curators than creators"* (Bennis in Kurtzman 1998, p. 123). In the case of exercising 'extraordinary taste' Estrin (2009) challenges the notion of homogenous leadership when considering where inventions originate, in *"Leaders should actively foster channels of communication that encourage people to bring ideas forward, and establish mechanisms for capturing vetting and prioritizing those ideas"*. (Estrin, 2009, p. 126).

The leader as the 'spokesperson' for the organisation's collective action, and shared values, is an underpinning assumption in which the leader's characteristics are expected to affect all of 'leadership'; *including* therefore in welcoming participation in innovation and intrapreneurship. This notion of the leader's role in the collective of leadership is developed by for example: Adair (2009), Drucker (2010), Gill (2008), Kets De Vries (2006), Knights and McCabe (2003), Kurtzman (1998) and Thomke (2001) each of whom identify that it is *the* leader who will cause leadership to happen. An opportunity for this research was therefore to establish more of what is expected of leaders, and to identify this in leadership styles/actions.

3.2 Adaptability for leaders

One of the assumptions for this research is that leaders are people with strengths, weaknesses and relative experience that may change over time. This assumption questions the traits based literature that states *"it is unequivocally clear that leaders are not like other people"* (Kirkpatrick and Locke 1991, p. 59). This leaders "are" is not defined as to whether the un-like is genetic, or that they become un-like. This 'genetics' debate underpins that in the literature surrounding the concept of charismatic leadership (cf. House 1977, Conger and Kanungo, 1987, Shamir, House & Arthur, 1993, Kirkpatrick & Locke, 1996) being seen as a trait, and whether this can be learned or not. Despite the enduring perspective on such traits, Ralph Stodgill set out that *"A person does not become a leader by virtue of the possession*

of some combination of traits" (Stodgill 1948, p. 64), implying therefore that leadership is a skill that *can* be learned and added to, as opposed to being a genetic predisposition.

Even in the early hunches and ideas for my research, I expected to identify, or in some way, assess what characteristics of leadership were being exhibited in relation to the potential levels of participation in ideas and innovation, and to consider how the more conducive of these characteristics might be adapted (identified, taught and learned). My exploration of the literature has therefore included reflections on how traits perspectives fit with theories that consider learned, espoused and changing behaviours. For example Renis Likert (1961), categorised leadership by behaviour, setting out that this can be; exploitative, autocratic, benevolent autocratic, consultative and democratic. Alternatively Tannenbaum and Schmidt (1968) categorised leadership as; autocratic, persuasive, consultative and democratic. Blake and Mouton (1964) began to develop their behaviours based thinking, describing a leader's concern for *production*, and their concern for *people*, measuring these as 1-9 in an x-y axis grid. This begins to develop the precedents upon which some form of identification of leadership characteristics for welcoming ideas could take place.

Blake and Moulton described a low concern (task and people) as *impoverished management*, high task, low concern, as *produce-or-perish management*, high concern, low task, as *country club management*, and high task, high concern as *team management*. In preparing to develop my own assessment of leadership, I speculated that the innovation engine aspect of an organisation may be impoverished, irrespective of, (or due to?) high *concern* on where the team management of the performance engine aspects might be.

Rickards and Clark (2006) set out that leadership theory developed from the foundations laid by academics such as Likert, Blake and Moulton etc., and that this progressed to for example House and Mitchel's (1974) path-goal theories, where leaders develop skills and approaches to appeal to the *motivation* of followers, by appealing to their self-interest. These antecedents for considering what is appealing enough to welcome and encourage participation, also evolved and '*by the 1970's that they had become more interested in mapping of charisma for encouraging employee motivation*' (Rickards and Clark 2006, p. 83). These definitions help in understanding what makes a leader's characteristics, appealing, across the times

when the organisations member's motivation is affected by the leader's 'charisma' throughout the prevailing innovation or performance 'engine' modes of operation.

In the analysis of leadership, I have assumed that the organisation is likely to be in varying combinations of both a performance engine and an innovation engine. This is because it does not appear to be widely supported that organisations have adopted (what I equate to being) the American football styled approach that Govindarajan and Trimble describe (See figure 2.13), where there is a whole offense (innovation 'engine') and defence (performance engine) team to switch to, at strategic moments in a match. Consequently, I argue that leaders, and leadership characteristics need to be able to contingently flex to the prevailing and simultaneous needs of offense, *and* defence. This in leadership, I speculated may not be a skill that happens as neatly or quickly in the binary methods of American Football, or that will neatly align for when you, or your opposition are in possession of the (creative destruction) ball.

The subsequent developments of "contingency theory" adds to the path-goal perspectives, including by considering that "*effective leadership is contingent on matching the leaders' style to the right setting*", (Northouse 1997, p. 76). This notion supports that matching the characteristics of leadership to various, and emergent settings can be based on identifiable and learnable self-understanding.

Failing to be contingent (in terms of welcoming participation in successive 'question-marks' and responding to the relative creative destruction) risks that a leader may find their organisation in possession of more loss making dogs, than profit making cash-cows. Equally, the organisation may find itself with a leadership with more dog-centric leadership characteristics and an ambiguous or confused absorptive capacity at a time when it needs a stronger rising-stars-centricity. This suggests that leadership should be contingent within the scope of the prevailing situation, for example; ensuring that absorptive capacity for both cash-cow, and question-mark activities are led simultaneously, (if in varying proportions).

Considering this duality of leadership in relation to Fiedler's (1964) theory for analysing leadership suggests that that *task-oriented* leaders (which I relate more to leading the performance engine) are more effective where the leadership situation is favourable and that *relations-oriented* leaders are more effective in situations of intermediate favourability, the issue being; favourable to what?. My interpretation is that task-oriented leaders will be most effective in a performance

engine, however that the organisation also (and simultaneously) needs an effective *relations* oriented element to its leadership to help absorptive capacity respond to the diffusion of cash-cows, and introduction of question-marks.

Contingent leadership assumes that *leadership* will be contingent, and implies that whosoever is most applicable to any circumstances at that particular time, should therefore be the leader. Hersey and Blanchard (1969) add to contingency theories, in their 'situational theory' adapting Fielder's task-versus-people spectrum, the behaviours of; *telling, selling, participating, delegating*'. These they relate to the leadership expected by the members of the organisation, needed to perform in the organisation at that particular time. Hersey and Blanchard (1969) imply that leaders can develop and vary their contingent style over time, as opposed to a contingent leader being parachuted into a situation that needs them, (as had been the interpretation of Fiedler).

Burnes (2004) brings contingency and situational theories together in considering that they are based on the "*premise that organisations are open systems, whose internal operation and effectiveness is dependent on the particular situational variables that they face at any one time*". (Burnes 2004, p. 71), and describes that leadership is contingent to three organisational *situational* variables. The first of these, *environmental uncertainty* incorporates the principles of creative destruction, recognising that internal and external factors can leave an organisation vulnerable, particularly if, in the leadership style and in its manifestation in absorptive capacity there is weak (contingent) adaptation of the relative *low* or *high* concern (see Blake and Mouton, 1964) in its task structures. The second of Burne's (2004) situational variables, is how changes in technology may be identified as an environmental threat (or an opportunity) to the organisation's goals. This would include that technologies that adapt the means of producing cash cows, (as well as those that make new question-marks possible), are also susceptible to creative destruction. The final of Burnes's situational variables is the size of the organisation.

In considering leadership and its effects on participation in ideas; Astley, 1985, Vaccaro et al, 2012 and Forés and Camisón, 2016, each identify that the styles of leadership for large organisations are different to those of smaller ones, describing that the bureaucratisation of larger organisations includes a corresponding risk of embedding *low concern* task structures. This interpretation may mean that in larger organisations there is a separation from central, top-management, and that

consequently “*divisional managers must promote better coping with a sometimes hostile environment*” (Grinyer and Yasai-Ardekani, 1981, p. 471). In the extreme this implies that the division’s absorptive capacity may not be shaped by the overall leader’s approach and divisions may treat organisation wide innovation as ‘hostility’.

In researching my question, (*is participation in innovation affected by how the organisation’s leadership supports and welcomes ideas*) the perspectives on contingency in leaders suggest that there are situational factors to be considered when assessing the various expectations of ‘welcoming’, and particularly when considering participating ideas in the absorptive capacity of larger organisations.

These views of contingent leadership are not without problems. For example, Gill (2008) sets out that there is little conclusive evidence to support contingency and situational models of leadership, citing that there are “*problems to do with methodology, analysis and ambiguity in its implications*” (Gill 2008, p. 50). This is an issue I further explore in chapter 4. Also (for example), John Child (1971) criticises contingency theory and appears to conclude that *the* major situational variable is the *strategic action* of the leader, from which he implies everything else flows. This (as a counter argument to multiple situational factors for contingent leaders to adapt to), is in my view overly simple, and perhaps reflects the time at which it was written. However, this can also be interpreted to suggest the *strategic action* might include flexing the leader’s approach to affect the absorptive capacity.

When considering the landscape within which to address my own research questions, contingent and situational leadership are only positioned as a context, and not a model. They are included here, to illustrate that there is an inherent issue (and different academic legacies) of how theory treats leaders and managers with different perspectives within the concept of absorptive capacity. Identifying the leader’s characteristics and its influence with *leadership* therefore become important factors for leaders and organisations and research to analyse. This has to transcend the over simplification of leader/situation, and deal with the complexity warned of in for example “*categorizing leadership is useful where a clear and relatively unambiguous picture is possible*” (Burnes 2004, p. 518). This notion supports the need for developing pan-ambiguous and effective leadership to take into account that; “*managers can be required to adopt distinct approaches towards managing different parts of the same organisation*” (ibid, p. 519). This notion

suggests a potential issue for welcomingness, in the risk that the participant of an idea, or leadership characteristics will be in the 'wrong' part of the organisation.

3.3 How theories of transactional and transformational leadership developed

Bryman (1992, pp. 20-21) credits James McGregor Burns work on transformational and transactional leadership as having "*stimulated the development of approaches that have collectively been called New leadership*" Rickards and Clark (2006, p.82) along with for example Den Hartog et al (1997) similarly present a progression in the dominant leadership theories, to those of 'new leadership, stating that "*by the 1990's had reformulated path-goal theory with what by then had become known as new leadership ideas*" (Rickards and Clark, 2006, p. 83).

When considering mechanisms for understanding and explaining the situational leadership task of enabling absorptive capacity for welcoming participation in ideas, Den Hartog et al (1997) sets out that new-leadership "*integrates ideas from trait, style and contingency approaches of leadership and also incorporates and builds on work of sociologists such as Weber (1947) and political scientists such as Burns (1978)*" (Den Hartog et al 1997, p. 172). This links path-goal, chronologically to James McGregor Burns's (1978) transformational and transactional theories.

'New' is rarely a term that lasts for 25 plus years, and new-leadership is a flexible categorisation, however, the lineage of contingency, behaviours and particularly the development of transformational and transactional leadership theories has a strong identity, and this looks likely to be a construct that continues forward. The characteristics of transformational and transactional leadership are discussed in detail below and in the following section (3.4), where the simplified (polarised) view of transformational being focused on change for the future, and the transactional being focused on optimising the existing organisation are considered in positioning and explaining the context of this research. Studying leadership for its effects on welcoming participation in ideas, contingency theory and its developments into the behavioural analysis of transformational and transactional leadership is appealing as it suggests that leaders will adapt and enable what the organisation needs (in its absorptive capacity) based on the motivating factors in the prevailing circumstances. This notion supports that creative destruction changes situational variables and that contingent transformative elements of leadership *must* include welcoming participation in innovation.

From their extensive study of innovation in organisations, Van De Ven et al (2000) set out that for generating ideas “*the presence of motivating factors by themselves will not stimulate innovative behaviours, the organisation must also structure a context that enables innovation to happen*”. (Van De Ven et al 2000, p. 666). For leadership however, Van De Ven et al (2000) primarily focused on the innovation team (and not at a wider organisational leadership or absorptive capacity level). Their view of transformation focuses less on the ‘*structuring a context*’ that my leadership based research sets out to consider, and more on ‘*enabling innovation to happen*’. Enabling innovation comprises of the **sponsor**, “*a high level manager who commands the power and resources to push an innovation idea into good currency*”, (ibid 2000, p. 680) and who acts as an advocate for the idea, a **mentor**, “*who is assigned or assumes managerial responsibility to coach (and perhaps supervise) the entrepreneur [sic]*” (ibid), the **critic** “*who applies dispassionate hard-nosed business criteria to the idea*” (ibid). The **institutional leader**, “*maintains a balance of power between the pro-innovation influences of the mentor-champion coalition, and the reality testing influences of the critic*” (ibid). Only in this last factor do Van De Ven et al (2000) imply a context, but even then seems to approach this form a delineation in the organisation rather than leadership characteristics needed to enable sponsors, mentors and a more organisation wide absorptive capacity.

Leaders with a transformational leadership style are recognised as the main driver of employees’ creativity and innovation by for example (Jyoti and Dev, 2015; and Nusair et al, 2012). The relationship between transactional leadership with the performance engine and for transformational leadership with a relationship to innovation is also widespread (Podsakoff et al, 1990, Elkenov & Maney, 2005, de Jong and Den Hartog, 2007, Wang et al, 2011, Vaccaro et al, 2012, Černe, and Škerlavaj, 2013, De Jong et al, 2015 and Afsar et al, 2017). The underpinnings of these accounts are typically focused on the transformational aspects of leadership and each references Burns (1978), and Bass and Avolio (1990, 1994).

The convergence of the writers on innovation and this brief summary, aims to illustrate the journey in which transactional and transformational leadership theories have been added to, and sustained as concepts. This also indicates that where there has been a focus on leadership, this has tended towards a delineated leadership with often polarised accounts for leading innovation (associated with transformational leadership) and not situating this as a factor of every day leadership (which is often associated with transactional leadership). One of the

issues with this delineation is that it is in conflict with contingency and situational theories, in that they tend to assume that the leader and the organisation are in a particular singular mode. Consequently, this research has incorporated the consideration of how transformational and transactional leadership is identified alongside the prevailing needs of absorptive capacity, as these are affected by creative destruction in differing degrees of the various diffusions of their products.

3.4 Exploring Transformational and Transactional Leadership

In 1978, James MacGregor Burns published the transactional, transformational leadership model that Bryman (1992) identified as *key* to the 'new-leadership' movement. Burns (1978) sets transformation and transactional as categories that transcend leadership and management, avoiding therefore, the myriad of varying delineations of leadership with management that are otherwise frequent across the literature. This dilemma, or position is reflected in that "*Management produces orderly results that keep something working efficiently, whereas leadership creates useful change; neither is necessarily a replacement for the other; both are needed*". (Kotter, 1990, p. 156). This definition might sound pragmatic; however this seemingly simple issue continues to be slippery when assessing the literature, especially so in the context of the effects of leader/manager in the way in which the organisation's absorptive capacity welcomes (or not), and on interpreting what '*working efficiently*' means, particularly where opinions of what is '*useful change*'. may differ.

The literature on leadership and the discourses that are influenced by Burns (1978) and that has given rise to definitions of transactional and transformational leadership characteristics has a number of attractive concepts, however, the underpinning definitions of what transformational and transactional jointly or severally actually mean, are not without problems. Amongst the debates that affect the identification and development of characteristics to welcome participation in ideas, are the issues of what is leadership, and what is management – and whether these are different, but there is also the emergence of perceptions of morality, and how this is manifest in organisational relationships between leaders and followers.

Spoelstra and Delaney (2015) pose questions of; what does this notion of transformation actually mean?, how does transformation take place?, whether transformation is desirable, and how is transformational leadership found or constructed?.

When considering what management, leadership and particularly the transforming aspect of leadership characteristics mean, Burns's (1978) original transformational and transactional leadership theories deal with the leader/manager debate, ostensibly by ignoring it, however although the words leader and manager and the term 'transformational leader' are in common use, the term 'transactional leader' does not appear to be. In accounts of transformational and transactional leadership there are also questions of what determines whether a leader is transactional or transformational (cf. Sosik et al 2010, Bass and Riggio, 2006, Jyoti and Dev 2015), as well as assertions that transactional and transformational leadership are not mutually exclusive, as is described by for example; Judge and Piccolo (2004) and Kotter (1990).

Burns (1978) uses the term transforming in the sense that the leader/managers and the follower's purposes "*which might have started out as separate but related ... become fused ... as mutual support for common purpose ... transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both leader and led, and thus has a transforming effect on both*" (Burns 1978, p. 20). For transactional leadership/management, the relationship of the leaders' purpose to the follower (and vice versa) is described as including that leader and follower "*purposes are related, at least to the extent that the purposes stand within the bargaining process and can be advanced by maintaining that process. In other words, both leader and led experienced their interaction as simply a transaction in the most instrumental sense of the word*" (Conger and Kanungo 1994, p. 439). The implications here being that transactional leadership is based on simplistic goals (getting paid for doing a specified thing), whereas transformational leadership is a more complex commitment. Others, for example; (Bass, 1985; Bennis and Nanus, 1985; Peters and Waterman, 1982; Tichy and Devanna, 1986) would "*borrow his [Burns] 'transformational' label to describe leaders involved in organizational change efforts who appealed to higher order goals and actively set out to empower their subordinates*". (Conger and Kanungo 1994, p. 441).

The empowerment, and appealing to "higher order goals", (ibid) changes any asynchronous view of leaders say, followers do, to something more negotiated and fluid (and synchronous in terms of who considers the goals to be higher order), and in which the followers expectations of leaders (characteristics) are impactful. The relevance of this distinction of the impact of transactional and transformational leadership to research into participation in innovation, is the challenge of how (or

rather *if*) something as *uncommissionable* as participation in ideas can fit within '*instrumental*' transactions, or how transformational leadership represent the '*higher order goals*' (ibid) that appeal to those who *might* participate their ideas.

Another question is about what, or whom is being transformed, "*transformational leadership has something to do with morality (existing beliefs on what constitutes good behaviour) and ethics (a theory or philosophy of goodness)*" (Spoelstra and Delaney 2015, p. 71). Here again there are conflicts in what, and whose perception of '*goodness*' are being considered, for example neither a leader who gets followers to go above and beyond the extent of instrumental transactions, nor followers that don't care about the long term viability of the organisation can necessarily be said to be considered unethical or moral. Consequently, my view of transformational leadership is that these issues must be mutually balanced, and must "*become fused*" (Burns 1978, p. 20). In order for there to be "*mutual support for common purpose*" (ibid) I argue that the areas of the leader follower relationship that are transactional and those that are transformational must be mutually understood.

To make common purposes (ibid) transformation happen, Bass (1985) refers to the '*arousal process*' (Bass 1985, p. 66), which can be seen as the invitation to mutuality, and where leaders may expose their own idealized perspectives to inspire, stimulate and motivate, and through specific individualised consideration, to enable followers to express higher order goals through participation in ideas and innovation. Amongst the transformation / transactional leadership disciples, Podsakoff et al, 1990, Tichy and Devanna, 1997 are subsequently joined by for example, Gumusluoglu and Ilsev, 2009, De Jong et al, 2010, 2015, Nusair et al, 2012, Paulsen et al, 2013, Jyoti and Dev, 2015 and Afsar et al, 2017, in each seeking to identify leadership's '*arousal processes*' (Bass 1985, p. 66) for causing participation in innovation. An essential part of the aims of this research are to consider what makes transformation happen *well*, and what characteristics make any "*arousal processes*" (ibid) welcoming to enable the mutually held common purposes and "*higher order goals*" (Conger and Kanungo 1994, p. 441).

In questioning whether transformational leadership more or less desirable than the instrumentality of transactional leadership, Spoelstra and Delaney (2015) caution that "*Could transformational leaders also be harmful, manipulative, unethical and oppressive?*" (p. 73). A concern that there is a '*dark-side*' to transformational leaders is shared in for example Bass and Steidlmeier (1999) who use this to qualify

their distinction between *authentic* transformational leaders, and *pseudo* transformational leaders. Conversely there can be a dark side in the motivation of the transformationally *led*, in for example what Effelsberg et al (2014) and Umphress et al (2010) describe what they refer to as '*unethical, yet pro-organizational follower behaviour*' (UPF). Although there is an academic debate here about the real or acted authenticity of leader and, or follower actions, the leadership characteristic of idealized influence discussed below addresses leaders and follower ethicality and morality in the context of how a leaders welcoming affects participation in ideas and innovations.

In addition to questions of desirability, the concepts of transformational, and transactional leadership are not without criticism, Yukl, (1999) for example identified issues with the absence of context, to position what transformation means, as well as the difficulty of defining leaders, with leadership. Spreitzer, Perttula & Xin (2005) challenge that the assessment of leadership is affected by cultural values, and Sanders et al (2003) refute the transformational / transactional distinction in favour of transcendental (non-delineated) leadership.

3.5 Assessing leadership

Up to this point, the focus of this chapter has been on developing the notion that leadership is not a singularity, and that in transformational and transactional leadership that there is a diverse debate on what these are, what any differences between these are, and what any such differences mean. The intention in describing these above is to form the foundations for my development of a method of identifying and assessing different characteristics of leadership. Having identified the enduring interest in transformational and transactional leadership, the following section discusses methods of assessing leadership characteristics in terms.

Some of the candidate models in which specific characteristics of leadership can be identified, include; Fiedler's (1967) '*least preferred co-worker*' model, Conger's (1994) measurement of the '*charisma*' of leaders, Posner and Kouzes's (1988), Leadership Practice Inventory (LPI), Podsakoff et al (2001), and their Transformational Leadership Inventory, and Patterson's (2004) Servant Leadership Assessment Instrument. However, whilst sometimes correlated to aspects of innovation in an existing organisation, each of these approaches treats its outcomes as an assessment of the leader's biases, and not as an assessment of what leadership is needed.

To develop insights into leadership for this research, it has been important to consider how the models have been applied, and for where they were, or could be focused on more than just trying to 'prove' a particular bias. My approach to achieving this has involved developing, (building on) an existing assessment model to identify where a particular leadership characteristic may be beneficial. Based on the ideas discussed in the first part of this chapter, the identification of the blend, coherence and conflicts between transformation or transactional characteristics is the foundation from which I assess what is suitable to the prevailing situation.

3.6 Assessing Transformational and Transactional Leadership

The juxtaposition and collaboration of transformational and transactional leadership fits well with the perspectives of the performance and innovation engines discussed in Chapter 2. A conclusion from my interpretation of the organisational literature, is that there is a need for adaptability and pluralistic skills for leaders to both address day to day (performance engine), and its inevitable diffusion of its cash cows to their ultimate creative destruction, with the simultaneous need for adaptable and pluralistic leadership to welcome the regenerative innovations (question-marks).

Bass and Avolio's (1990, 1994) Full Range of Leadership model (FRL), develops the principles of transformational and transactional leadership with the identification of eight characteristics. A significant body of research has adopted the FRL model, and examples of the research undertaken to identify the relative combination of the leader's skills includes;

Carless (2001), whose research assessed 1440 subordinates in a large finance company to develop a view of the achievement of higher performance, (the higher order goals) through transformational leadership. The relevance of Carless (2001) to this research is in its correlation of models, however there is divergence in the binary treatments of transformational leadership, as separate and distinct from transactional leadership, e.g. Carless deals with the leader only as transformational or not transformational, without considering that the leader may be more or less transformational, and without considering that this might be comprised of more or less of a range of transformational characteristics. Yahaya and Ebrahim (2016), similarly focus on transformation for achieving greater employee and organisational performance, particularly considering the follower characteristics, but excepting that they describe the Bass and Avolio (1994) Full Range of Leadership model's characteristics, they do not develop a picture of what combinations of these

constitute a transformational leader, or that finds mutuality with the various follower characteristics.

Kelloway and Barling (2000), focus on how to train transformational leaders, helpfully (to this research) concluding that transformationality can be taught and can be learned, but failing to address what *a priori* capabilities a leader (or prospective leaders) may have, and in common with Carless (2001), treating transformational leadership as a singularity that a leader either has, or doesn't have. Similarly, Kirkbride (2006) who focuses on how to undertake analysis using the Full Range of Leadership model, sets out that managers are likely to learn and use a whole palate of styles ranging from the non-transactional, through transactional, to transformational (Kirkbride 2006, p. 31), but also suggests that transformational leadership is a goal in itself, without identifying how each leadership characteristic might be exemplified, or worked on individually to enable such a progression.

Kelloway et al (2012), and similarly Samad (2015) each focus on employee wellbeing as a higher order goal of transformational leadership, particularly identifying that "*Idealized influence takes place when leaders choose to do what is ethical rather than what is expedient, when they are guided by their moral commitment to their followers, and go beyond self-interest for the interests of the organization*" (Kelloway et al 2012, p. 40). However, although Kelloway et al (2012) conclude that development of transformational leadership is valuable, here too, they treat transformational leadership as a singularity, and do not identify what constituents of transformational leadership are deficient or what might need development. Although Samad (2015) recommends that the constituents of leadership characteristics are studied (for their impact on wellbeing) this has not been undertaken in their 2015 research. If such work were undertaken then it may be possible to correlate profiles of characteristics to employee wellbeing.

Barling et al (2011), begin to assess transformational leadership characteristics in correlation to the relative level of emotional intelligence. Although this usefully draws a correlation to emotional intelligence, Barling et al (2011), also treat the leadership characteristic in a binary fashion, consequently the relativity to emotional intelligence is also binary. Although interesting for further research, the aim for this research is to consider the relative proportions of the constituent leadership characteristics, and in any case it does not follow that the emotional intelligence proportion would follow the same pattern.

Adding to the cross-references made between emotional intelligence, and authenticity, the Full Range of Leadership model is used by Carless (1998), to correlate to Kouzes and Posner's (1988) Leadership Practice Inventory (LPI) and Conger and Kanungo's (1994) Charismatic Leadership assessment. Research that focuses on transformational and transactional leadership, and using Bass and Avolio's FRL also forges links to; Kelloway et al (2000), whose research used the FRL for training leaders to be transformational, to Kirkbride (2006), whose research used the FRL in 360 degree feedback and coaching in transformational leadership, to Sosik and Jung (2009) whose research assessed the application of different styles of leadership, to Nawaz (2010), whose research correlates transformational leadership to staff satisfaction, to Thurrell (2012), whose research focused on less experienced managers learning about what transformation means, and to Yahaya and Ebrahim (2016) whose research considered transformational leadership's impact on (follower) commitment.

Antonakis (2003) contributes a focus on the effects of gender within the Full Range of Leadership model, but the focus is on single characteristics only as a gender related bias, and not contingent to any particular organisational context. Herrmann and Felfe (2014), claim that transformational leadership has fallen short in enabling creativity, however this is not analysed for what the constituent characteristics of transformational leadership means. Bass and Riggio (2006) also consider different biases between male and female leaders. Geier (2016) considers the impact on leader transformationalness in times of stress, but does so without comparing the relative constituents of what transformationalness might be in non-stressed times. A further application of the Full Range of Leadership is how it has been applied to identifying different characteristics of leaders at different levels of an organisation by Roueche et al, (1989), Bass and Riggio, (2006) and by Harrington and Voillequē, (2011). Gilbert et al (2014) helpfully correlates self-actualization of followers based on the approach to transformational leadership, which can be usefully and directly related to the outcomes of this empirical research, and similarly Moriano et al (2014) assess the (similarly relatable) impact of transformational and transactional leadership on followers in different situations.

Some of the accounts of the Bass and Avolio 'disciples' should, however, be treated with caution. For example; Antonakis (2003) only focuses on 'the' leader, and not on *leadership*, omitting altogether the issue of context and of pluralistic situations, Aryee et al (2012) only focus on the leader's characteristics and their impact on the

follower's performance outcomes, (and not on absorptive capacity). Carless et al (2001) focused on just one organisation and used the Full Range of Leadership as a model for 'detecting' transformational leadership. Jung et al's (2003) findings supports that for innovation "*there is a direct and positive link between a style of leadership that has been labelled as "transformational" and organizational innovation*" (Jung et al 2003, p. 49), however their analysis was focused only on innovation, and did not consider how the pluralistic organisational issues such as leadership for cash-cows, and question marks, impact on absorptive capacity.

An observation from analysing the research related to the assessment of leadership characteristics is that little of this has been undertaken in context. A number of studies do touch upon context (Antonakis, Avolio, and Sivasubramaniam, 2003; Fairhurst, 2009; Fry and Kriger; 2009; Liden and Antonakis, 2009; Pawar and Eastman, 1997; Porter and McLaughlin, 2006), however, typically, this is treated as secondary to the identification of a leaders biases (amongst the leadership characteristics) and which in turn are typically only described in the simplistic terms of a leader being biased to one of the characteristics, (not as a profile of proportions amongst multiple characteristics). Even where context is noted, this is typically to identify the leader's bias, and not what higher order goals may need it to be.

In addition to the research that focuses on primary biases, the currently available research often treats transformationalism as a binary condition, that is; you either are, or you are not. In their conclusions Michel et al (2011), and Thurell (2012) are each frustrated by this binary view of transformational leadership, each proposing that this issue needs to be developed in further research.

My plan to research leadership relevant to the context in the task of welcoming ideas in existing organisations, whilst addressing this binary notion of leadership, is a new addition to the field. Focusing on the needs of the context, as opposed to the profile of a manager, irrespective of context, is a gap in research that this work demonstrates how to address. Aligning to the FRL model, both identifies the gap, but demonstrates how the gap *can* be addressed, particularly enabling a focus on what the '*to-be*' or idealised profile might be, and how this can be used in leadership development (contingently) to meet the prevailing circumstances (situation).

Using the Bass and Avolio (1990) Full Range of Leadership's categories to explain leadership characteristics in relation to welcoming participation in innovation is helpful as I believed it was readily adaptable to identify a profile of characteristics

expected, as opposed to how it had been used previously to (just) identify a bias, despite the binary assertions and absence of context in much of the past research,

Using the FRL model therefore links this new addition to research together with an existing and growing body of research, and provides a fertile web of other correlations and dimensions that can be added to, including for example this exploration of how leadership affects absorptive capacity, in the context of *is participation in innovation affected by how the organisation's leadership supports and welcomes ideas*.

3.7 The Full Range of Leadership Model

The core principles of Bass, and Avolio (1990, 1994) of the Full Range of Leadership model, are set out in Figure 3.1 below;

	ID	Style (active or passive)	Experience of the Leader (effective or ineffective)
Transactional	LF	Laissez Faire	Is deliberately or neglectfully inactive.
	MBE-P	Managing By Exception- Passive	Only intervenes when issues occur or standards drop below present levels.
	MBE-A	Managing by Exception- Active	Actively monitors, looking for early intervention to shape outcomes.
	CR	Contingent Reward	Sets objectives in consultation with the 'followers', and makes reward conditional on their achievement.

	ID	Style (active or passive)	Experience of the Leader (effective or ineffective)
Transformational	IM	Inspirational Motivation	Optimistic, art of the possible visioning,
	II	Idealized Influence	Espouses ethical and societal aspirations, that match beliefs 'followers' recognise, and inspires their respect and trust
	IS	Intellectual Stimulation	Enables the challenging of beliefs and problems in new and unconventional ways to break out of the 'bounded rationality' (Simon 1957)
	IC	Individualized Consideration	Assists in follower development of their own leadership potential, through; coaching mentoring and collaboration

Figure 3.1: RSM 2015 (Adapted from Bass and Avolio 1994)

3.8 Active-passive vs effective-ineffective

A factor of the analysis of the FRL characteristics is to express each of their categories as active or passive, and as effective or ineffective. This element of the way in which the model can be used is important, as it reveals the issues of what was intended, in addition to that which was experienced. As a criticism of the model, I would argue that it is unfortunate that Bass and Avolio used the same terms (active and passive) within their Management By Exception (MBE) characteristics at the same time as using these terms as a delta on all 8 of the characteristics.

It is important to consider that *activeness* may be in conflict with *effectiveness*, as the intent and experience of a characteristic may be different (suggesting the need for better self-awareness, and better communication). For example, a passive Intellectual Stimulation risks being experienced as *actively* Laissez Faire, and thus may be seen as ultimately ineffective (to an inventor for example).

Active and passive leadership style, impact on effectiveness

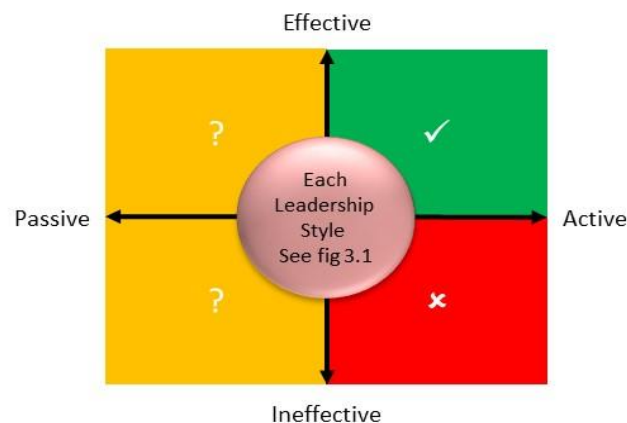


Figure 3.2 RSM 2015 (Adapted from Bass and Avolio 1994)

A passive Idealized Influence risks rendering an active Intellectual Stimulation as ineffective, and risks rendering Inspirational Motivation as ineffective (regardless of whether it *is* active). Passivity in the transformational categories does not however gift 'active' status to the transactional categories, but rather renders the whole situation as ineffective. Whilst possibly acceptable for a very stable organisation the transactional categories, without an active transformational leadership, is unlikely to meet the needs of an innovator or for when the organisation is more vulnerable to creative destruction.

3.9 *Transactional Leadership Characteristics*

“*Transformational leaders appear to be strongly directive and they tend not to use the consultative, participative or delegative styles to any significant extent*” (Gill 2008, p. 51). I consider that the transactional styles perhaps align slightly more to the ‘steady-state’ activities, than the intrapreneurial, and that transactional styles “*run the risk of only gaining compliance rather than commitment*” (ibid, p. 51). This supports the need for a balance of leadership characteristics that ensure that the absorptive capacity can understand and resolve day to day activities, as well as to welcome new ones. The four *transactional* leadership styles can be described as;

Laissez Faire - LF can be described as “*is non-transactional leadership, if in fact it can be considered leadership at all*” (Gill 2008, p. 51). I interpret that this ‘characteristic’ of leadership exists only to give a name to where someone is expected to lead, but does not. Sosik (2001) describes Laissez Faire as a leader that avoids decision, and that fails to follow-up on tasks.

Laissez Faire, if considered in Fiedler’s (1967) least preferred co-worker model, would suggest that a perception of low performance (in day to day and/or innovation activities) for the members of the organisation is likely. Welcomingness may be ambiguous, participation in ideas uncharted, and the organisations future uncertain.

Laissez Faire can also be experienced where other intended or preferred styles are passive, (as this renders them ineffective), and thus means the impact *intended* in absorptive capacity and the experience of the inventor are uncertain.

Managing by Exception-Passive - MBEP can be thought of as the leader only intervening when standards are not met. Gill (2008) for example refers to the MBEP intervention as being *reluctant*. Here welcomingness might be low, if the ‘exception’ is not experienced as clearly as expected. If the leader’s intentions are to be highly responsive when asked, but the absorptive capacity is unaware of this, MBE-P is indistinguishable from Laissez Faire, until (the more confident) inventors actually pursue their participation and their ideas.

Managing by Exception-Active - MBEA is a more positive (but still *reactive*) characteristic, where performance objectives are set and leadership is only engaged in enabling performance to be met.

However, and although Bass and Avolio (1994) have it that MBE, (Passive and Active) are associated with ‘transactional’ characteristics, one of the issues set out

in the research is that MBE does not happen in isolation from other leadership characteristics, and the experience of MBE, may also be symptomatic of other underlying (active or passive) transformational elements in the overall approach.

Contingent Reward - CR As it is associated with the transactional categorisation of characteristics suggests that Bass and Avoilo meant that Contingent Rewards applies only in conjunction with the Managing by Exception characteristics by “*providing financial or psychological rewards*” (Gill, 2008, p. 51). Although this could have been meant to account for sales target activity, the emphasis is still on the participant. Without the support of transformational characteristics, Contingent Rewards would otherwise be an unknown.

3.10 ***Transformational Leadership Characteristics***

Transformational leadership is “*an approach that portrays leaders as charismatic or visionary individuals who seek to overturn the status-quo and bring about radical change*” (Burnes, 2004, p. 606) and “*Transformational leaders are proactive, raise follower awareness for transcendent collective interests, and help followers achieve extraordinary goals*”. (Antonakis et al, 2003, p. 264). Transformational leadership characteristics can be described as:

Inspirational Motivation - IM. Comprises of how leaders solicit participation, Inspirational Motivation is where I expected to identify when there are proactive approaches used to express the leadership’s welcoming. “*Inspirational Motivation measures vision by recording the frequency with which leaders use symbols, metaphors and simplified emotional appeals to increase awareness and understanding of mutually desired goals. Leaders use vision to encourage their followers to exert effort beyond the ordinary*” (Denzin, 2002, p.191).

One of the outcomes aspired to for from researching leadership characteristics is to be able to consider what motivates and what demotivates participation. Effective Inspirational Motivation might be associated with Management by Exception, however I would expect to find that it *cannot* be associated with Laissez Faire, or that if it is, it is only to identify that it is ineffective through its being passive.

Idealized Influence- II. “*Idealized Influence is where leaders aim to engender the trust and respect of their followers by doing the right thing, “Idealized Influence is often characterized by empowering followers, making sacrifices for the good of the group, and involving followers in decision making*” (Bass, 1990, p. 2).

Like Bass, I argue that this characteristic is rooted in the authenticity of the leadership, and is value driven rather than being 'just' the goals driven by intentional Inspirational Motivation. Idealized Influence is described as referring to the "*charismatic actions of the leader that are centred on values, beliefs, and a sense of mission*". (Antonakis et al 2003, p. 264).

Intellectual Stimulation – IS, is where "*transformational leaders stimulate their followers into being innovative and creative. The leader questions assumptions and reframes problems*" (Bass 2008, p. 107). In the empirical research, evidence of this characteristic is revealed by leaders who are personally promoting the principle of ideas, and of participation as well as expressing their own ideas and innovations.

Intellectual Stimulation, is (must be?) *pro-active*, the leader might personally participate in seminars, might bring in consultants, encourage visiting other and different organisations, and will encourage; thinking time, research and prototyping.

Individualized Consideration, is where "*the leader pays special attention to each individual follower's needs for achievement and growth by acting as a coach or mentor*". (Bass 1985, p. 5). Statements that suggest Individualized Consideration might include a specific focus on what a particular person's ideas, and on their specific needs in terms for participating, for example the support needed where the inventor is a programmer, but not the project manager. Individualized Consideration differs from Contingent Reward, in that it is proactive and enabling and that it is an open organisational principle as opposed to a closed, personal principle.

3.11 Summary of leadership styles and this research

Having set out the context of the leadership in relation to the research question (*is participation in innovation affected by how the organisation's leadership supports and welcomes ideas*), this chapter has positioned this research¹ in relation to methods of assessing the make-up of, leadership characteristics. Yukl (1999), Sashkin and Sashkin, (2003), Rosing, Frese and Bausch (2011), Antonakis, J. and House, R.J. (2014) each suggest that a *single* leadership style cannot effectively promote creativity (to *all* followers), and that leadership research should pay more attention to leadership behaviour. Consequently, this chapter has set out my arguments that understanding multiple, identifiable characteristics is helpful to

¹ The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed for how they affect people with ideas.

understanding how to address and adapt absorptive capacity for cash-cows, and for question-marks, simultaneously. The conclusions of Chapter 2, suggested a set of questions for the empirical research to explore. These were;

- Leadership is aware of, and actively seeks to develop absorptive capacity to ensure and enable welcoming, and participation of ideas and inventions.
- Leadership for organisational designs of both the performance engine and the innovation engine are welcoming to participation in new ideas
- Leadership is across both the performance engine and innovation
- Leadership recognises the relativity of creative destruction, and adapts its performance and innovation emphasis

Although in Chapter 2, I concluded that there is an adaptability needed to address the pluralisms of steady state (performance engine), and new challenges of innovations needed to replace the effects of creative destruction, the conclusions of the organisational literature are now added to with the analysis of leadership.

Neither individually, nor in combination does the organisational and leadership literature readily identify leader contingency, especially to the holistic situation (of managing cash-cows and question-marks), at the same time as ensuring overall that the organisation is exceeding the prevailing rate of creative destruction, through the maximised welcoming, and maximised participation in new ideas.

The literature does present a number of methods for assessing leadership in more detail. However, these typically develop a view of a leadership bias, as opposed to a variable set of leadership characteristics to apply. From this conclusion, I have argued for why I believe the Full Range of Leadership (Bass and Avoilo 1994) with adaptation provides the foundations that are best aligned to the situations set out in the research. The focus on the Full Range of Leadership model, include that this method / model has endured, with frequently citations right up to the present day.

As a consequence of Chapter 3, the underlying questions (from Chapter 2), that impact on how to research identifying leadership characteristics can now be recast as;

- Using the Full Range of Leadership model, how can we assess how the passivity or activity of each of its eight leadership categories *can* affect absorptive capacity?

- Using the eight categories of the Full Range of Leadership model, how can we identify the **leaders** own expectations of passivity and activity in welcoming, and participation of ideas and inventions?
- Using the eight categories of the Full Range of Leadership model, how can we identify how an **inventor's** expectations of the leader's passivity and activity affects the welcoming, and participation of ideas and inventions?

Building on these questions, Chapter 4, sets out the detailed analysis of the methodological framework for undertaking empirical research into; *is participation in innovation affected by how the organisation's leadership supports and welcomes ideas.*

4 Research Methodology, Design and Methods

This research explores the question, “*is participation in innovation affected by how the organisation’s leadership supports and welcomes ideas*”. In Chapters 2 and 3 I have explored the notions of tensions and contradictions in leadership and in the absorptive capacity of the organisation. Chapter 4 is formed of reflections, and reflexivity of how to progress from the ideas and conclusions of Chapters 3.

The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed for how they affect people with ideas. The assessment process considers both what is expected of leaders with what has been experienced to enable organisations and leaders to reflect on areas that they might (if needed) develop to maximise effective participation in innovation.

The objectives of the research are to construct the analysis through a first stage of the systematic analysis of the job descriptions of leaders, accompanied by the development of a process which can identify types and proportions of leadership characteristics, both in what leaders express (stage 2), and in what the inventors (stage 3) in their organisations express about the innovation in their organisation.

Together, the three stages of analysis help leaders, and leadership teams consider how they and their organisation might welcome ideas. Leadership must encounter some ideas that it does not wish to progress for good reasons. However, this research may help leadership ensures good ideas are not lost by accident.

The purpose of this chapter is to consider the how, and the why of the choices that I made when considering how to engage with the research. This includes how I developed the objectives introduced in Chapter 1 (*to construct the analysis through a first stage of the systematic deconstruction of the job descriptions of leaders, accompanied by the development of a process which can identify types and proportions of leadership characteristics, both in what leaders express (stage 2), and in what the inventors (stage 3) in their organisations express about the innovation in their organisation*), and how I came to believe this would achieve these research aims. The Chapter incorporates the ideas and analysis of theory, with considerations of my researcher characteristics, before it progresses into describing the suitability of methods to achieving my research aims. This chapter therefore consists of an exploration of;

- Consideration of ontological and epistemological position

- research methodologies, and;
- research methods

By the end of this chapter, I will have set out the arguments for my approach, and will have set out how the research data is processed into findings.

4.1 Consideration of ontological and epistemological position

In this section and throughout the thesis, I refer to *methodological* and *epistemic* reflexivity to help ensure the accessibility of the research. This is to define the purpose of methodological reflexivity, for “*improving methods and their application*”, (Johnson and Duberley, 2010, p. 191). Epistemic reflexivity is “*exposing interests, enabling emancipation through self-reflexivity, participation of those being researched, and the importance of praxis*” (Ibid, p. 191). The combined epistemic and methodological reflexivity, is alternatively termed “*systematic reflexivity*” by Coghlan & Brannick, (2005, p. 41), which they define as the “*constant analysis of one’s own theoretical and methodological presuppositions*” (Ibid, pp. 41-42).

My approach to reflexivity includes how I examine, predict and explain the effects, of my own personal characteristics and how these might impact upon the research. In defining my approach to reflexivity, I incorporate that “*Scholars have usually emphasized how it [reflexivity] entails noticing, evaluating and being suspicious of the relationship between the researcher and the ‘objects’ of the research*”. (Johnson & Duberley, 2010, p. xii) and that “*we must apply sociological analysis to ourselves*” (Holland, 1999, p. 463). The (suspicious) sociological analysis of my preconceptions throughout this document forms part of the ‘*systematic*’, ‘*noticing*’ of the relationship between theory, method and what the available data tells us.

What I did and *didn’t* find in the literature review is an important stage in the overall end to end research. In *epistemic* reflexivity, this led me to question whether ‘clarity’ was absent, or simply that I failed to find or understand it. This construct is central to the concept of epistemic reflexivity, which “*reframes the management researcher’s knowledge, but does not lead to a ‘better’ or more ‘accurate’ account*” (Johnson and Duberley 2003, p. 187). The support for a more learning, inquisitive approach, which accepts there may be room for different and emergent insights, enables what I believe is a more open engagement with the subject, from which “*by engendering the possibility of conscious variation of our constitutive assumptions, epistemic reflexivity can denaturalize hegemonic accounts and reclaim alternative*

accounts of the 'same' phenomena" (ibid. pp. 187-188). I haven't taken this to mean that everything, including my incomplete or ignorant knowledge is valid, but do take it to mean that in *addition* to any existing literature, there are other valid and interesting stories that can be told about similar concepts and circumstances.

In preparing for this research, my preconceptions for epistemic reflexivity included reflecting on my career having been in the Finance/Legal and ICT worlds. From this, I expected to find that I would align to the realist, positivist views and methods. I expected to find that I was 'conditioned' by these experiences to strive to find the *hegemonic accounts* or at least to seek a high degree of probability that something was adopted as a 'fact'. The story of Chapter 3, includes my difficulties in finding the universally applicable 'facts' in relation to leadership and enabling inventors. Reflecting on this challenged the binary view my preconceptions might have predicted, and led to a new understanding that I accept a probability, and stories as a surrogate for the certainties, and that I have come to believe can *only* be apprehended subjectively. The challenge for my own apprehension and reflexivity is therefore that although I believe there may be a 'truth', it is only a truth until debunked or improved upon, and that I do not believe there is a universal language within which to express it.

The dichotomy of my expectations of a realist's bias from my predominant work application and history, and the wish to draw on the subjective stories that people tell is perhaps best explained by reference to social constructivism. The Social constructivist recognises that the individuals understanding and expression is influenced by social relationships, and that this in turn influences how individuals make sense of the world. Schwandt (1994) reflects the issues of dichotomy, in stating that "*One need not be antirealist to be constructivist. One can reasonably hold that concepts and ideas are invented (rather than discovered) yet maintain that these inventions correspond to something in the real world*". (Schwandt, 1994. P. 126). Berger and Luckmann (1991) are credited with defining social constructivism, (Thorpe and Holt, 2010, Shotter, 1993, Gergen, 1999), although similar origination claims are made for Vygotsky (1962) (cf. Jaramillo 1996, Hodson and Hodson 1998, Robbins 2001). Constructionism and constructivism are terms used interchangeably ((Burr, 1995, Young & Colin, 2004, Fox 2001).

Steedman (2000) sets out that for social constructionism, Berger and Luckmann (1991) makes no ontological claims, (as social constructionism assumes only the

social construction of knowledge). Consequently Steedman (2000) suggests that the philosophical underpinnings of Social Constructionism are confined to epistemology alone. With social constructionism is the inherent subjectivity of an epistemology that accepts social 'stories', and for which there are criticisms. Phillips (1995) for example identifies that social constructionism risks a tendency towards epistemological relativism, and as Terhart (2003) warns, the resurgence of the same criticism as pragmatism. However, as Crotty sets out, "*There are, one has to say many pragmatisms*" (Crotty 2010, p. 73), before stating that "*the view of culture and society that pragmatism came to adopt is essentially optimistic and progressivist. The pragmatist world is one to be explored and made the most of, not a world to be subjected to radical criticism*" (Ibid. p. 74).

However, amongst the '*many pragmatisms*' (Crotty 2010, p. 73) social constructionism form the foundations from which in this section I will at least robustly, if not *radically* criticise my thinking without mistaking that "*the research methods available to the business and management researcher are not simply neutral methods which can be taken off the shelf, to undertake a task to which they are most suited*" (Darabi & Clark 2015, p. 16).

In exploring my identification with the characteristics of social constructionism, I consider that it is in the acceptance of the validity of the subjective experience of the people upon which the research is being undertaken, that leads me away from the positivistic approach that my career based instincts might have leaned towards. Although social constructionists eschew ontological association, in my subjective epistemology, I recognise that "*neither the research subject, nor the researcher-as-subject nor the research itself stand outside the research process*" (Hardy and Clegg 1996, p. 300). Social Constructionism accepts both the subjective expression of the people being researched, but also the subjectivity of the researcher. Although in reflexivity I have begun to identify my view point, I have not sought to try to isolate the effect of the researcher from the research. For me, it is an important aspect of this research to argue that in my story telling of the leaders and inventors that; "*we always engage with the world via our socialized pre-understandings*" (Johnson and Duberley 2000, p. 66), recognising and cautioning any consumer of my research that "*there is no observation free from the observer's interpretation*" (ibid, p. 66).

Criticisms of social constructionism might include that they risk positioning all accounts as equally valid, however I do not take this to be a 'get out of jail free card'

for less than thorough research. Similarly, I take into account that as Hardy and Clegg (1996) set out that all researchers should seek to explain their position and how this affects the work, *through* reflexivity. Consequently, I am methodologically, reflexive throughout, adding my own challenges to my epistemological reflexivity *and* to the methods used whilst aiming to deliver something thorough and useable. My approach has included avoiding presenting something self-absorbed that relates only to “*the intellectual interests and elitist disciplinary concerns of academia, rather than directly addressing the pragmatic concerns and business needs of management practitioners*” (McAuley et al, 2007, p. 21).

Johnson and Duberley (2010) equate the social constructionist’s pragmatism to critical realism, which “*may be understood as a synthesis which emerges from and attempts to transcend positivism’s theses of a foundational-absolute stance and postmodernisms antithesis of chaotic realism*” (Johnson and Duberley, 2010, p. 148). The appeal of a non-absolute stance, is reflected in the principles of the *complementary strengths stance* (see Teddlie and Tashakkori in Figure 4.4) and this has been helpful to explain my thinking for where I wished to consider the competing and complementary stances of the expectations and experiences of a range of individuals in the welcoming of participation for inventors.

Alvesson and Deetz (2000) set out that social constructionism develops evidence that is described in subjective terms by the social actors involved in the research. This they warn not to present as a single truth, but as an expression of the subjective truths of the sample involved, albeit that this ‘truth’ can be used and interpreted in relation to other organisations,

Gill and Johnson (2010) set out that; *in order to understand human behaviour in organisations, we must access their cultures through verstehen, and the deployment of qualitative methods of data collection*”. (Gill and Johnson, 2010, p. 196). To achieve a credible process for assessing leadership characteristics, I anticipated that *verstehen* (understanding the meaning from the point of view of the people sampled in the research) would require the analysis of qualitative data as the essential element of understanding expectations and experiences of participation in, and welcoming of ideas.

Johnson et al (2) 2007 set out that qualitative research may “*rely upon an **array** of qualitative methods to develop thick descriptions of the patterns in the meanings that actors deploy in making sense of their natural, everyday worlds*” (Johnson et

al (2) 2007, p. 37). This point relates well to the opening arguments in chapter 1, in which (at that point instinctively) I felt that the subjective perception of what welcoming meant, and what supportive leadership meant to this perception would require some correlation from the (array of) analysis of expectations, as well as the analysis of experience from the leader, and from the led.

4.2 Research Methodology

Exploring what leaders expect to do, are expected to do, and what leaders actually do suggests the need for a number of stages to the research. This in turn suggests the need for a complementary ‘array’ of stages to the research.

An array may also be referred to as a mixture of, multiple or *mixed methods*, a term that is credited to Campbell and Fiske (1959) in for example (cf. Creswell and Plano Clark 2007, p. 5). Mixed methods can be defined as “*the class of research where the researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study*” (Johnson and Onwuegbuzie 2004, p. 17). Just as there are may be many pragmatisms, there may also many ‘mixes’ to be considered in order to make the best of the quantitative, and qualitative methods, within the spectrum of methodological associations. Although set out as in-between, in Figure 4.1 below, I do not take ‘mixed methods’ to be a third way, but rather consider this to be examining different aspects of a situation, and bringing their findings together.

Quantitative Methods →	→ Mixed Methods ←	← Qualitative Methods
<ul style="list-style-type: none"> • Pre-determined • Instrument based questions • Performance data, attitude data, observational data and census data • Statistical Analysis • Statistical interpretation 	<ul style="list-style-type: none"> • Both pre-determined and emerging methods • Both open-ended and closed questions • Multiple forms of data drawing on all possibilities • Statistical and text analysis • Across database interpretation 	<ul style="list-style-type: none"> • Emerging Methods • Open-ended Questions • Interview data. document data and audio visual data • Text and image analysis • Themes, patterns interpretations

Figure 4.1 (Creswell 2009, p. 15)

The rationale for undertaking multiple stages of research, with a ‘mix’ of methods is discussed further in the following sections, but in summary, my proposal for research comprised of;

Stage 1, (analysis of leader's *expected* roles) to explore and understand the job description documents of leaders to assess the organisation's expectations of their leader in relation to welcoming ideas and innovation, and of ensuring a rate of innovations that exceeds the rate of creative destruction.

Stage 2, (interviewing leaders) to explore the leader's expectations of themselves and their views on their approach to welcoming ideas and inventors, including what they think the organisation's welcomingness should be.

Stage 3, (interviewing inventors) to explore inventors expectations and experiences of the leader's and the organisation's welcomingness to participating in ideas

To achieve this mixture of linked perspectives, I anticipated that Stage 1 would include the assessment of the expectations of the leader through the bibliographic analysis of the leader's job description. In stages 2 & 3 of my research I anticipated that the best outcomes would come from drawing on the assessment of evidence gathered through interviews.

Pritchard (2012, p. 134) identifies three categories of mixed methods; the *instrumental*, the *integrative* and the *dialogic*. The instrumental approach is to use a pre-determined questionnaire as a primer study for qualitative interviews. Although this research starts with the assessment of expectations of leaders, through the analysis of their job descriptions the outcomes were not achieved through a pre-determined questionnaire but as a non-invasive analysis of a document relating to the individual that was to be interviewed subsequently.

This research (in Stage 1) aligns to some of the principles of the *integrative* approach, as it was undertaken as preliminary fieldwork, prior to other related research; however, this was undertaken without engaging the Leaders and the Inventors. As they involve different sets of data collected for the same purpose, the research can be considered *dialogic*, in that it incorporates evidence gathered across all three stages of the research.

Symon and Cassell (2012) state that categorisation of mixed methods is not really possible, and that the purpose and combinations of methods chosen will need to be accounted for in methodological reflexivity. However, they do also add that there is a temporal dimension to mixed methods, meaning that the method used, must be related to the underpinning researchers own biases. What Symon and Cassell are referring to here, is to avoid the anything, any combinations goes, and to avoid

a researcher acting as though they are empty vessels adopting whatever paradigms are convenient. This is not to say that paradigms are entirely incommensurable, or that researchers might adapt over time, however that within a piece of research, these need to be explained for the research to be meaningful.

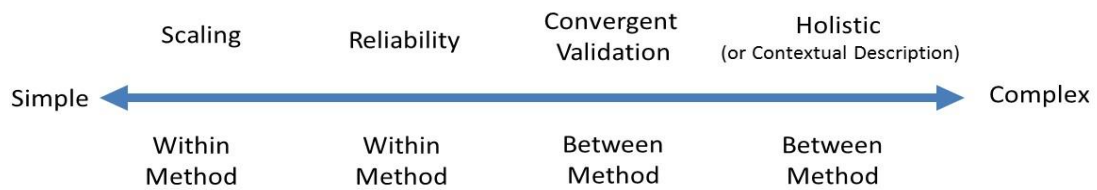
4.2.1 Research Methodology, triangulation and this research

Johnson et al. (2007 (1)) describe the method of looking at the same issue in different ways, as triangulation, a concept that they credit to Campbell and Fiske (1959). Distinguishing triangulation from mixed methodologies, is subjective, for example Wendy Olson (2004) sets out that '*triangulation can cut across the qualitative-quantitative divide*', (Olson, 2004, p. 23), identifying that triangulation and a pluralism in methodologies amount to the same thing. Olson (2004) also aligns triangulation to a pluralist theoretical viewpoint, suggesting that the social constructionism, and triangulation methodologies are consistent with each other.

Triangulation is described as "*multiple operationalism*" by Johnson et al (2007, 1) "*in which more than one method is used as part of a validation process that ensures that the explained variance is the result of the underlying phenomenon or trait and not of the method e.g., quantitative or qualitative*" (ibid, p. 113). Johnson et al (2007 (1) p. 115) reference Denzin's (1978) four variants of triangulation; methodological, data, theoretical, investigator. The four variants are not presented as being mutually exclusive, and I would argue that '*methodological triangulation*' can be seen as a constant which might also include using multiple versions of data, '*data triangulation*', which would be more relevant to longitudinal studies. '*Theoretical triangulation*' where multiple paradigmatic approaches are used to interpret the evidence and '*investigator triangulation*', which since I am the sole researcher, does not apply to this research.

Denzin (1978) distinguishes triangulation as being *within* method, and *between* methods, which he defines as; "***within method triangulation essentially involves cross checking for internal consistency or reliability, while between methods triangulation tests the external validity***". (Denzin 1978, p. 603). Jick (1979) incorporates this distinction into his illustration of the relative simplicity and complexity, with a spectrum as set out in Figure 4.2 below;

Fig 4.2: A continuum of triangulation design (Adapted from Jick 1979 P603)



As set out in In Figure 4.2, Jick (1979, p. 603) describes “*Scaling*” as a *within* and *simple* method, which might be for example the quantification of the qualitative data. The increasing complexity of the approach, might be for example a between method that aims to increase the reliability of the conclusions by the addition of one data set by another.

Jick argues that the increased volume of data sets created using the same method, (perhaps from different organisations) is not of itself triangulation, but does identify an increasing complexity in triangulation, when two or more sets of data are created differently, in order to validate one or more of them.

The most complex of the triangulation designs is *Holistic*, which Jick describes as “*the use of multiple measures may uncover some unique variance which otherwise may have been neglected by single methods*” (Jick 1979, p. 604)

Rossman and Wilson (1985) do not distinguish between *within* and *between* methods, however their three categories (confirm and corroborate, elaboration, and initiation) bear similarities to Jick (who they reference). *Confirm* or *corroborate* different forms or aspects of the evidence, are a fusion of Jick’s ‘scaling’ and ‘reliability’ and are methods at the *simpler* end of the Jinks continuum.

This, they distinguish from *elaboration*, which they describe as where “*typically, qualitative data are used to enrich the bare bones of statistical results to provide richer findings*” (ibid, p. 636). Rossman and Wilson’s (1985) third category is to *initiate*, which is “*the analytic function that turns ideas around. It initiates new interpretations, suggests areas for further exploration, or recasts the entire research question*” (ibid, p. 637).

Figure 4.3 overleaf illustrates how Greene et al (1989, p. 259) draw together the main definitions of mixed methods, citing for example Campbell and Fisk (1959), Denzin 1979 and Rossman and Wilson (1985).

Figure 4.3: Purpose for mixed method evaluation designs. Adapted from Greene et al (1989) p. 259

Purpose	Rationale
Triangulation: Seeks the convergence, corroboration, correspondence of results from the different methods	To increase the validity of constructs and inquiry results by counteracting and minimizing the heterogeneity of irrelevant sources of variance attributable especially to inherent method bias but also to inquirer bias, bias of substantive theory, biases of inquiry context
Complementarity: Seeks elaboration, enhancement, illustration, clarification of the results from one method with the results from the other method	To increase the interpretability, meaningfulness and validity of constructs and inquiry results by capitalizing on inherent method strengths and counteracting inherent biases in methods and other sources
Development: seeks to use the results from one method to help develop or inform the other method, where developments is broadly construed to include sampling and implementation as well as measurement decisions	To increase the validity of constructs and inquiry methods by capitalizing on inherent method strengths
Initiation: seeks the discovery of paradox and contradiction, new perspectives of [SIC] frameworks, the recasting of questions or results from one method with questions or results from the other method.	To increase range breadth and depth of inquiry results and the interpretability by analysing them from different perspectives of different methods and paradigms
Expansion: seeks to extend the breadth and range of inquiry by using different methods for different inquiry components	To increase the scope of inquiry by selecting the methods most appropriate for multiple inquiry components

Green et al's (1989) definition of triangulation in fig 4.3 (convergence corroboration and correspondence) might be best seen as a constant that underpins each of their other categories. Equally, just as I would argue that their *triangulation* should be seen as a constant in terms of objectives, I would argue that *expansion* should be seen as a constant in terms of my or *any* researchers' purpose.

The three stages planned for my research plan, can be described as a *between method* within the *convergent validation* at the complexity end of Jink's continuum. My approach included the aim of validating expectations and experiences from (in Stage 1) through bibliographic analysis of job description documents, with Stages 2 and 3 through discourse analysis of the data collected through interviews. This aligns to *Elaborative* triangulation, (Rossman and Wilson, 1985), and in the language used by Green et al (1989), this aligns to their definition of *Development*, (in that the results from Stage 1, are used to qualify the research question, and as a primer to initiate Stage 2). In Stage 2, transcribed interviews are *developed* into

the coded form in which they can be compared with corresponding data from inventors (Stage 3).

Morse (1991, p. 120), describes that triangulation might be *simultaneous*, in which two sources of data are used at the same time during the research, or *sequential*, where the results of the first set of data is needed to help plan the next. In this Morse (1991, p. 121) uses the notation + to signify simultaneous, and → to signify sequential, using capitalisation to signify the weighting given. This research could perhaps be best expressed as sequential quant → QUAL → QUANT (Stages 1,2 and 3), followed by *simultaneous* QUAL → QUANT for my analysis stage, however equally it might be expressed as quant → QUAL → quant, as the final stage of this research is more about the method of presentation than it is about the methods of evidence gathering and assessment.

Morse (1991) also describes that the purpose of triangulation with a quantitative stage followed by a qualitative stage, is to examine unexpected results. For this research, I argue that assessing the expectations of leaders (by analysing their job design/purpose) helps to define what might be expectable in terms of results, (and to manage the approach to the qualitative stage accordingly). Morse also describes that a QUANT → QUAL sequence can be used for the purpose of selecting an appropriate theoretical sample from a random sample, which Morse describes as being necessary to how methodological reflexivity ensures representativeness of the sample.

4.2.2 Mixed Methods: arguments for and against for this research

In this Chapter I sought to identify this research within the dominant discourses which describe and define 'mixed methods'. Each of these comes with some provisos, some suggested limitations and some critical counterpoint. As I identified in the introduction to this section, I have set out my own concerns that mixed methods can fall foul of the perceptions of where there might be the polarised relationships between methods and research paradigms. For example, Onwuegbuzie and Collins (2007) set out these concerns as; *representation, legitimation, integration and politics* as a '**crisis**' for mixed methods research.

By **representation**, they refer to the crisis of "*capturing the lived experience using text in general but words and numbers in particular*" (ibid, p. 303). For this research this crisis is averted by establishing and testing a coding table (see Figures 4.5 and

4.6 and 4.12) in order that the data in each of Stages 1 and 2 and 3 are being interpreted using a consistent methodology.

By **legitimation**, Onwuegbuzie and Collins (2007) are referring to the “*difficulty in obtaining findings, and/or making inferences that are credible, trustworthy, dependable, transferable or confirmable*” (ibid, p. 304). In my research, this crisis is met through testing methods and conclusions with a control group. This consistency and testing is important to the analysis stage and in how the method developed for this research is reusable for other organisations, and for other contexts.

By **integration**, Onwuegbuzie and Collins (2007) identify the crisis as being “*the extent to which combining qualitative and quantitative approaches addresses adequately the research goal, research objective(s) and research question(s)*” (ibid, p. 304). In my research proposal, these issues are addressed in methodological reflexivity, and the focus (for example in Chapter 1) on the aims and rationale for the research. The ‘*extent*’ is of course a subjective measure. However the discussion in Chapter 6 aims to demonstrate that this research already has, (and can for other organisations, leaders, contexts) drawn focused attention to the relationship between leadership characteristics, and participation in innovation in what otherwise is a relatively uncharted organisational objective.

By **politics**, Onwuegbuzie and Collins (2007) first align to Denzin’s (1978) *investigator* triangulation, by discussing the ‘*crisis*’ as being the tensions that arise as a result of mixing methods, citing those which might occur where there are different researchers involved in the respective qualitative and quantitative elements of the research. In this, they also identify a crisis in “*difficulty of persuading the consumers of the mixed methods (e.g. stakeholders and policymakers) to value the results*” (Onwuegbuzie and Collins (2007, p. 304). As my research is just one researcher, this averts any investigator crisis, however in recognising the difficulties of persuading consumers of the research (DBA examiners for example) I address the issues of politics in the next section.

4.2.3 The Politics and paradigms of mixed methods

It is in the political ‘*crisis*’ (Onwuegbuzie and Collins 2007) that the reconciliation of the researcher’s and the consumer’s ontological and epistemological preferences is key to how this research can be perceived. The reason for including reflexivity in a section dedicated to this issue reflects that I am aware of the different opinions and correlations between methods, and philosophical standpoints.

Part of the 'politics' for research, is how different stakeholders perceive whether mixed methods is indeed; new, different, conventional or unconventional (cf. Giddings 2006). This reflects arguments for mixed methods, being positioned as a '*third methodological movement*' (Tashakkori and Teddlie, 2003, p. 3).

The question of 'newness' is perhaps why the approach, and the doubts of a 'third' movement, cause discomfort from those who have claimed the spectrum of paradigms in the *first* and *second* movements. For this research, just looking through the lens of method does not resolve the potentially competing viewpoints of the entire range of 'consumers', consequently, I have considered the main debates of the 'third' method's philosophical viewpoints with the aim of then re-joining the philosophy and methods back together in the context of this research.

Bryman (2009) sets out that "*because of a tendency to see the methods associated with quantitative research as inherently or predominantly drenched with positivism, and for the methods associated with qualitative research as inherently or predominantly drenched with interpretivism (e.g. phenomenology), combining quantitative and qualitative research was viewed as impossible because of their incompatibility*" (Bryman 2009, p. 517). The proponents of mixed methods have however persisted, in that there "*were claims in the 1990s that this integrated approach was a solution to the 'paradigm wars' that had ostensibly been raging between proponents of what are commonly termed 'qualitative and quantitative research paradigms' since the 1970s*" (Giddings 2006, p. 1996).

Although Giddings (2006) confers this perception to Gage (1989) and to Hammersley (1992), neither he, nor they, are entirely clear on *who* the claims came from, *who* the proponents are, and how much 'the solution' had been accepted.

For Greene and Caracelli (2003, p. 96) there are two key factors in the associations between a researcher's philosophical underpinnings and the methods they use; those which recognise a paradigm (*dialectic*), and those which don't (*pragmatic*). In the following definitions, I have avoided the circularity of returning to the '*many pragmatisms*' (Crotty 2010, p. 73). Teddlie and Tashakkori (2010) set out six *stances* which similarly to Greene and Caracelli (2003) consider the impact of whether a philosophical paradigm is, or isn't, defined. NB It should be noted that Teddlie and Tashakkori (2010) do not identify or separate methods from the philosophical viewpoint in how they articulate a 'paradigm'.

Figure 4.4: Paradigmatic Stances for mixed methods research - adapted from Teddlie and Tashakkori (2010, p. 15)

Paradigmatic Stance	Position Taken
A-paradigmatic Stance	For many applied studies in real world settings, paradigms are unimportant
Substantive theory stance	Theoretical orientations relevant to the research being undertaken are more important than philosophical paradigms
Complementary strengths stance	Mixed Methods Research is possible only if the different methods are kept separate
Multiple paradigms	Multiple paradigms may serve as the foundation for Mixed Methods Research, in some designs a single paradigm does not apply
Dialectic stance	Assumes that all paradigms offer something and that multiple paradigms in a single study contributes to a better understanding of the phenomenon being studied
Single Paradigm stance	Initially formulated to provide the philosophical foundations for mixed methods, examples include pragmatism, critical realism and transformative paradigm.

My approach to research might be considered a *dialectic stance*, (See Figure 4.4) in that I assume that all paradigms offer something, and that multiple paradigms (at least in so much as I treat the methodological elements *a-paradigmatically*) can therefore be *complementary*.

For its professional practice consumers, this thesis is perhaps better (in my opinion) to be treated as *a-paradigmatic*, or presented through a *substantive theory stance* (to avoid extraneous detail). For academia, I argue this research is *dialectic*, in alignment to Greene and Caracelli (2003) in that it is approached from a consistent (single paradigm) epistemological and ontological perspective.

4.3 Research Method

Having considered the research perspective, the research method section builds on the reflexivity set out in section 4.2, to enable setting out the detailed approach to data collection and data analysis. My approach to assessing leader characteristics for maximising participation in innovation comprised of 3 stages;

Stage 1: Questioning expectations of what a leader should be/do (in relation to welcoming participation in ideas and participation), through the analysis of the leader's job description

Stage 2: Questioning the expectations and experiences of **leaders** directly, through interviewing leaders whose job descriptions had been analysed. This involved the selection of questions, the methods of coding and the methods of analysing the data collected through interview.

Stage 3: Questioning the expectations and experiences of **inventors** directly, through interviewing inventors from the same organisations as the leaders. This involved the selection of questions, the methods of coding and the methods of analysing the data collected through interview.

In the first stage of the research, job descriptions for the leaders are collected and analysed. This enables pre-assessment of the expectations of leaders whose role, influence and impact on the research question (*"is participation in innovation affected by how the organisation's leadership supports and welcomes ideas"*).

4.4 Research Stage 1: Expectations of leaders

Questioning expectations of what a leader should be/do (in relation to welcoming participation in ideas and participation).

4.4.1 Acquiring a sample of job descriptions to analyse

Collecting the job description data for analysis (Stage 1), was achieved by emailing the target organisation's Human Resources Departments. The email addresses are readily findable either through the organisation's website but also through the professional network of Human Resources (HR) Directors. Collecting publicly available data is what Bryman (2008) calls *unobtrusive measures*. The benefits of this unobtrusive approach included that I could access documents that helped me to consider what is expected of the leader without overly using up the good-will and the subsequent access I needed to the leader.

My target was to obtain these documents from the largest 10, (the rationale for choosing larger organisations is discussed in Chapter 1), of each of the largest universities, public sector, charities, union and private sector organisations in the UK. Identifying the largest of each of these organisations is based on data from the Office of National Statistics.

36 organisations provided the full set of documents I requested. The 36 consisted of; 3 Private Sector Companies, 10 Central Government, 10 Local Government, 6 Universities, 4 Charities and 3 Unions. Based on the consistencies I found in the analysis of the 36 responses, I concluded that increasing the number of organisations or focusing on a single sector would not change the pattern of results.

4.4.2 Underpinnings of the analysis method

The assessment (or *coding* as Bryman and Bell (2007) refer to it) of each of the Stage 1 data is undertaken through the documentary analysis. Lee (2012) sets out that documentary analysis should include considerations of how reliable it is that the document(s) relates to the organisation or circumstances under research, whether the document is complete, and whether it was produced for the purpose in which it is analysed in the research. Bryman and Bell (2007) add to these considerations in recommending that the research should set out exactly how the data is 'coded', which is to describe how the meaning is derived from the data. In this research, sourcing of the data directly from the organisations and individuals involved, specifically for the purpose of this analysis has ensured the accuracy and relevance of the data. The method of coding is set out in the following sections.

The analysis of data for stage 1 data each uses both of what Bryman and Bell (2007, p. 259) describe as *pre-coding*, and *post-coding* to interpret the data. The method of categorising content based on the job areas is *pre-coding*. The pre-coded data is modified using a *post-coding* (see figure 4.6) to identify the *extent* to which each word, or phrase in each document means, by according it a weighted value.

Analysis of interview data (Stage 2 and 3) is undertaken through coding the transcription of responses to a set of interview questions. The analysis uses the same post-coding weighting as used in Stage 1 as its pre-coding (see figure 4.6) before according these values in *post-coding* into the eight categories of the Bass and Avolio 1994, Full Range of Leadership model.

The coding and weightings in the analysis of texts is based on what Wetherall et al (2013, p. 240) refer to as the *interdiscursive* analysis of the text. Wetherall, credits Fairclough (1992) with the term interdiscursive, who in turn references it to Bakhtin (1981). For content analysis of text, Fairclough (1992, p. 151) describes *interdiscursivity* as to bring together particular genres and discourses within the text and that considering the *intertextuality*, is as a literary device that creates an "*interrelationship between texts*" (ibid), meaning the relationship between multiple

texts. In my approach to the analysis of the content, whilst there is intertextuality in terms of multiple texts (in each of Stages 1, 2 and 3), this is undertaken *interdiscursively* as my aim is to identify dominance and predominance of the text to the overall meaning that might be derived from these as a type of document.

Wetherall (2013, p. 240) refers to the search for predominance in texts, as either, or both *paradigmatical* or *syntagmatical* analysis. Paradigmatical is concerned with understanding the range of possibilities that the text might offer, and *syntagmatical* assesses how words are chained together in sentences and structures.

The paradigmatical approach also incorporates what Wetherall et al (2013) refer to as the 'textures' which is to consider how the meaning of a word such as innovation in a sentence would be altered by (for example) being preceded by an adjective such as 'leading' or alternatively by the adjective 'assisting', or its meaning being modified by the proximity of words such as 'contribute to', or 'responsible for'.

In this research, by developing the *interdiscursive* assessment model (coding) for the assessment of the different areas of the expectations of a leader, each is assessed *paradigmatically* for the instances of words, and then modified based on a *textual* assessment.

4.4.3 Stage 1: Preparing the data for analysis

There is no single method or template for defining a leader's role. However the Chartered Institute of Personnel Developments (CIPD) method was commonly used amongst the organisations in this research.

As shown in Figure 4.5, and to focus on what leaders are expected to with regard to welcoming ideas and innovation, I added 'welcoming ideas and innovation' category to the CIPD's 6 job areas and to enable the sorting of data into a simple list of frequency against each of the 7 headings.

Area of the Job
<i>Welcoming ideas and innovation</i>
Performance
Leading people
Finance and Risk
Customer and partners (Stakeholder Management)
Leading Services
Leading Strategy

Figure 4.5:RSM 2015: Job Areas

4.4.4 Analysis method and coding tables

To interpret the relative amount of expected responsibility for welcoming ideas and innovation as a proportion of the leaders role, involved computer assisted content analysis, using searches and counts. The searches were used to create a list of the incidence of every discrete word, identifying which of the words are relevant to each of the seven areas. Each reference (word) is then accorded a weighted value based on its context using the (post) coding table set out in Figure 4.6 below;

Wtg	Basis of attribution of #	Examples and notes	
0	No reference made		None
1	(Follow) Relevant words noted, but without context, specificity or importance	For example, "The Organisation will be innovative"	
2	(Assist) Traditional words in which area is generally implied	New products will be developed	Tacit
3	(Apply) Proxy words noted as an aim, in which the post-holder is involved	Achieve, result-in, Consulted on	
4	(Contribute) Specific words noted as an aim, in which the post-holder is involved	Manage, deliver the organization's culture and values	
5	(Enable) Relevant words in which the post holder is might be primary in achieving	Arrange, ensure the development and delivery of the organizations partner programme	Responsible
6	(Advise) Specific words in which the post holder is clearly primary in achieving	Manage others in their objectives, and chairs the innovation programme	
7	(Ensure) Implied as an issue expected directly, personally of the post holder	Is the organization's lead on future developments	
8	(Mobilise) Stated as an issue expected directly, personally of the post-holder	Is the organisations lead on strategy	Accountable
9	(Set Strategy) A primary personal responsibility to drive this, amongst other areas	Is the organization's lead on leading people, who will ensure a motivated and productive workforce	
10	(Inspire) Clearly stated as the strongest amongst the primary responsibilities	Represents the Organisation, for example is Chief Finance Officer	

Figure 4.6: Weighting Table: RSM 2015

Word analysis included; partial words and plurals and includes variants of (for example) Innovation, Innovating, Innovator (Innovat*), and similarly Entrepreneur*, and Creat*, similarly for Finance and Risk, the frequency of words such as; Account*, Saving*, Finance, Income, Profit, Revenue, Resources, Risk. The weighting in Figure 4.6 provides the *syntagmatic* (See Wetherall (2013, p. 240) weightings to apply to each instance of words, taking into account its surrounding context from the analysis of its *paradigmatic* positioning.

4.4.5 Example of Stage 1 data analysis: Analysing the job descriptions

The following example is taken from my research data to illustrate the method for how words are aligned to different job areas.

It is important that the Vice-Chancellor demonstrates the capacity to engage with business, but also that s/he encourages and fosters an internal culture of **entrepreneurialism^{E1}**, **innovation^{E2}** and proactive engagement. S/he will lead by example in helping to develop a stronger **customer-responsive^{C1}** and **commercially^{F1}** aware organisational culture.

In addition, an enthusiasm to lead and develop **fundraising^{F2}** and introduce other new ways of generating **income^{F3}** is expected. This needs **entrepreneurial^{E3}** flair and the skills to identify and exploit **opportunities^{E4}** within a highly competitive but academic environment.

In the literal word counting approach to analysis, this 84-word sample would ‘score’ **4** for enabling ideas (EI), **3** for finance (F) and **1** for Stakeholder Management (C), with none for any of the other job areas. However, to reveal the level or extent to which the leader is expected to operate the *paradigmatical* value (the range of possibilities the overall text might offer), is added to with *syntagmatical* weightings defined by the 10 levels set out in Figure 4.6. This modifies the example as below;

It is important that the Vice-Chancellor demonstrates the capacity to engage with business, but also that s/he **encourages and fosters¹** an **internal²** **culture^{LP1}** of **entrepreneurialism**, **innovation** and proactive engagement. S/he will **lead by example³** in **helping to develop⁴** a stronger customer-responsive and **commercially** aware organisational culture.

In addition, an enthusiasm to **lead and develop⁵** **fundraising** and introduce other new ways of generating **income** is expected. This **needs⁶** **entrepreneurial** **flair⁷** and the skills to **identify and exploit⁸** **opportunities** within a highly competitive but academic environment.

The syntagmatical weightings add value to the assessment and identification of single words to the job area. In the example above, entrepreneurialism, innovation and entrepreneurial, are contextualised (syntagmatically) with the words *encourages and fosters* (which I reassess as specific words in which the post holder is primary in achieving – hence its value is increased by a factor of 6). Had this stated *participate in*, then the weighting would be increased by 4, and if this had stated *leads in* the shaping of a culture..., then this score would be increased by 8.

The statement this *needs* entrepreneurial *flair*, brings a personal dimension as does the words *identify* and *exploit* to the word *opportunities*, and hence this elevates both of these to 8. The illustration above is then modified as set out below;

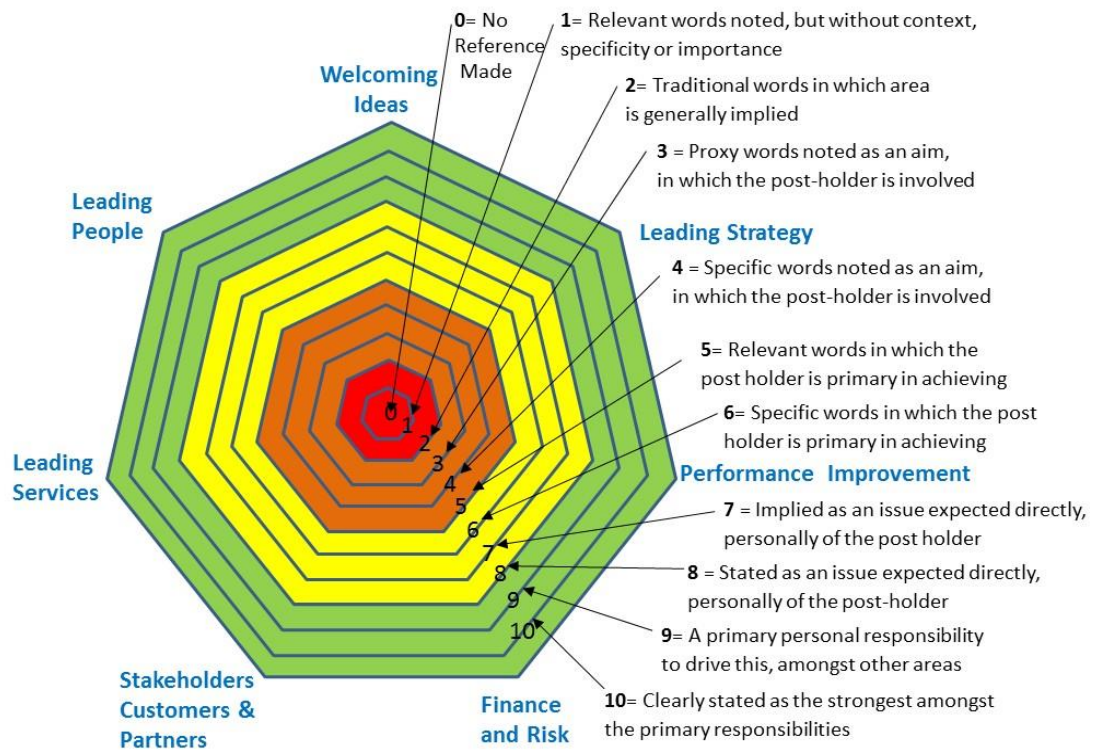
Modifier from sample above	syntagmatic affects	Application of weighting
Encourages and Fosters	Affects E11, and E12 – correlate to weighting 6	Multiply E11 by 6 Multiply E12 by 6
Internal	Infers <i>leading people</i> , and is affected by encourages and fosters, hence weighting 6	Add a new 'score for leading people, and multiply by 6
Lead by Example	Affects C1 and F1, and overrides ' <i>Helping to develop</i> ' (which would only have been a 4), and hence the weighting is 7	Multiply C1 by 7 Multiply F1 by 7
Lead and Develop	Affects F2 and F3 - weighting 8	Multiply F2 by 8 Multiply F3 by 8
Needs	Affects E13 This needs infers that the previous sentence needs, however weighting 8, is not increased	Multiply E13 by 8
Flair	Similar to above, 8 weighting is not increased, either for previous sentence or for down-stream	
Identify and Exploit	Affects E14, but with inference of this needs, of flair, and of the lead and develop in the previous statement this maintains the weighting 8, which would have been first elevated to a 9 by the exploit, and then reduced by the limited by the 'academic environment' to a 7	Multiply E14 by 8

Figure 4.7 RSM 2015

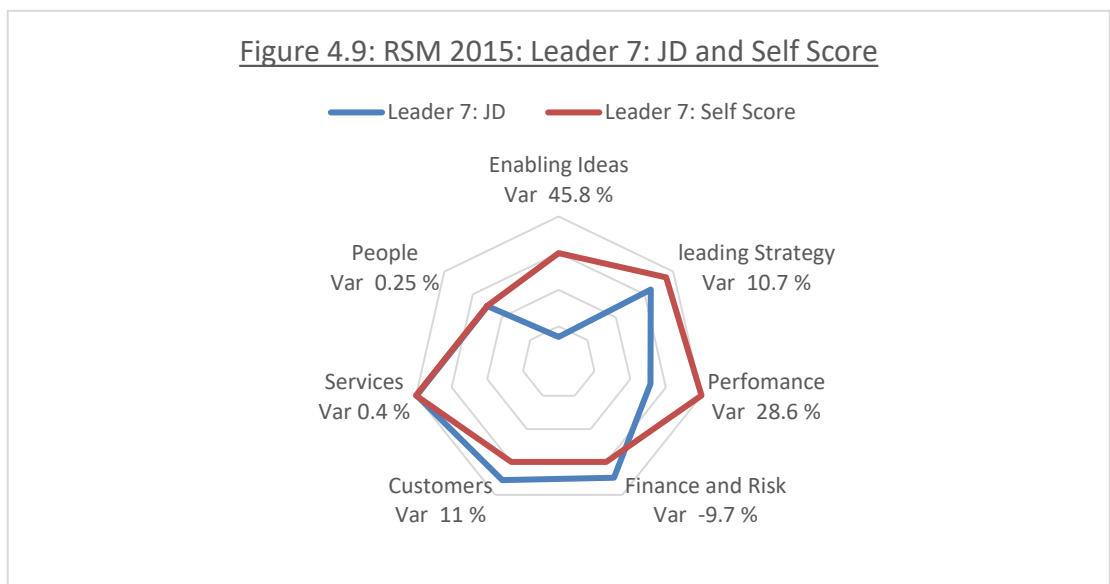
4.4.6 Example of data presentation

To present the findings from Stage 1, the precoding and post coding are brought together using spider diagrams, as set out in Figure 4.8 below. The data visualisation method illustrated in Figure 4.8, is variously called a polar, star or *spider* diagram, and is a form of data visualisation credited to the statistician Georg Von Mayr (cf. Chambers et al, 1998) who developed spider diagrams in 1877. This type of chart “*consists of a sequence of equi-angular spokes, called radii, with each spoke representing one of the variables. The data length of a spoke is proportional to the magnitude of the variable for the data point relative to the maximum magnitude of the variable across all data points*” (Kirk 2016, p. 212)

Figure 4.8, RSM 2015: Spider Diagram using pre-coding axis, and post-coding weighting



The purpose of spider diagrams is for “displaying multivariate data in the form of a two-dimensional chart represented on axes starting from the same point” (Kirk 2016, p. 212). Spider diagrams are primarily suited for showing when one plot is greater in every variable than another, where each variable corresponds to “better” in some respect, and all variables on the same scale”. (Fry, 2008, p. P229). Figure 4.9 is an illustration of how the analysis method, and the data from leader of organisation 7 differ in their assessment of the proportions of the leader’s role.



4.4.7 Further qualification of leaders and their Job Descriptions

During the leader interview phase (Stage 2), leaders are asked their reaction and thoughts to stage 1, with an initial question, and a further exercise in which they were able to suggest what they thought their own expectations of their role were. The specific question asked was; *What is your reaction to the proportions of time / effort in your self-assessment? And this was followed up with the question, Do you think your role profile needs updating to reflect what you actually do?*

Examples of the leaders self-scores are included in the spider diagrams, and examples of the transcribed answers are included in Chapter 5.

4.5 Research Stages 2 & 3: Interviewing leaders and inventors

To build on the analysis of job description data, Stages 2 and 3 form a more detailed picture of the expectations and experiences of how *participation in innovation is affected by how the organisation's leadership supports and welcomes ideas*. Stages 2 and 3 use a common approach to interviewing a leader and an inventor that had innovated in the same organisation. This involved the selection of questions, interviews, transcribing responses and the methods of coding and the methods of analysing the data.

4.5.1 Acquiring a sample of leaders and inventors to interview

Identifying the *Leaders* to interview was based on contacting the same organisations whose leader's job descriptions I had been able to obtain. From this group, and using a canvassing email, I managed to get a commitment of leaders who were willing to be interviewed.

Identifying the *Inventors* to be interviewed was based on contacting inventors whose ideas had been independently registered through the Department of Business and Innovation's, innovation website (Spark) but also through searching for the organisations being referenced on data services such as Linked-In and Nesta. I made no specific criteria as to who was selected other than to target that the organisation they worked for was one in which I had access to the leader.

In keeping with my commitment to anonymity, I have not named the organisations, however the type of organisation is noted below. The Leader is the Chief Executive, Mayor, Vice Chancellor etc, (the most senior of leaders). The Inventors were in various positions in the organisation, but none were the leader.

	Organisation	Leader	Code	Code
1	Central Government Department	Permanent Secretary	L1	I1
2	Telecommunications Company	Managing Director	L2	I2
3	Private Sector Banking	Vice Principal - EMEA	L3	I3
4	Local Authority	Mayor	L4	I4
5	Local Authority	Chief Executive	L5	I5
6	Local Authority	Chief Executive	L6	I6
7	Charity	Chief Executive	L7	I7
8	Higher Education	Vice Chancellor	L8	I8
9	Higher Education	Chief Executive	L9	I9
10	Higher Education	Vice Chancellor	L10	I10

Figure 4.10: RSM 2015: The organisations involved in this research:

4.5.2 Underpinnings of the analysis method

The methodological underpinnings for the analysis of interview texts is the same as was described in Section 4.4.2 for use in the analysis in Stage 1.

4.5.3 Preparing data for analysis

I was acutely aware that the interviewee's time, is *theirs*, and that there was no compelling reason for leaders or inventors to participate in my research.

I also recognised that there was no real incentive I could offer, except for the promise of access to the research once it was complete. It was important therefore to attract their interest, offer them something in return and to observe what Creswell (2009) refers to as the *interview protocol*, in which the interviewer should offer the interviewee an opportunity to identify what they might wish to get out of the interview, before being asked my research questions.

The information sent to the interviewees (leaders and inventors) before the interview, included;

- The nature of the research, and what I needed their involvement for
- Who I was, why I was doing the work, what I aimed to achieve
- That I expected it to take not more than 60 minutes
- That I would meet at their convenience, at the location of their choice
- That I wanted to record the results for transcription
- That I made an unequivocal guarantee to their anonymity.

- Offered the interviewee access to the (anonymised) completed research.

For the leaders the details included a summary of the Job Description (JD) analysis, and their specific profile. The interview questions are set out in 4.11 below.

Interview questions (for empirical research stages 2 and 3)

	Leader Interview Questions	Inventors Interview Questions
1	What do you think is your role in enabling employees with ideas?	Please describe what you expect from your leadership in terms of enabling your ideas?
2	What do you think about employees being more involved in reducing the risks of your organisation's products and services going out of date?	Do you think the organisation recognises that an employee who offers their idea is reducing their career risks by contributing to organisation's future products and services.
3	Do you think that the opportunity for raising ideas is well understood?	How well understood do you think this is within the organisation?
4	Some managers may see any attempt to innovate as a disruption from their key work objectives. How do you encourage them to enable invention and intrapreneurship?	Ideas can often be called 'disruptions', what barriers and issues have you encountered?
5	Not used for Leaders questions	Do you think your organisation might be losing out on valuable ideas

Figure 4.11:RSM 2015: The interview Questions

Each interview was built around the questions set out in Figure 4.11 above, each aiming to elicit the interviewees view of; *is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?*. Question 1 builds on Stage 1, particularly for leaders, and engages inventors in a conversation about expectations. Question 2, adds to the notion of expectations with a perspective on what in 'absorptive capacity' is expected as a joint objective of ensuring participation in ideas enables sufficient innovations to nullify creative destruction. Question 3 is about awareness, Question 4 is also exploring the notion or resistance (an unwelcoming) in absorptive capacity, and the final question used to gain an insight to the Inventor's overall experience of participation.

In each interview I had a clock running on my mobile phone and checked progress at the 20, 30 and 40 minute points. The interviews were completed over about 4 months, all were undertaken at the interviewee's work premises (at their choice) each was audio recorded. Each recording I transcribed personally, (to ensure I had a deep relationship with, and understanding of the data).

4.5.4 Analysis method and coding table for interviews (research stages 2 and 3)

Through the interviews, I aimed to identify what the interviewees expectations were through their descriptions of what happens when participating an idea.

The answers to the questions helped in understanding what the dominant leadership style might be, and for consistency my processes uses (pre) coding to categorise the data using Bass and Avolio’s (1994) Full Range of Leadership model (described in detail in Chapter 3.10) and post-coding using the same weighting method developed for Stage1.

The coding is set out in Figure 4.12 below

(Pre-coding) FRL Categories	Wtg	(Post Coding weighting)	
	0	No reference made	passive ↑ ↓ Active
	1	(Follow) Relevant words noted, but without context, specificity or importance	
Laissez Faire	2	(Assist) Traditional words in which area is generally implied	
Manage by Exception Passive	3	(Apply) Proxy words noted as an aim, in which the post-holder is involved	
Manage by Exception Active			
Contingent Rewards	4	(Contribute) Specific words noted as an aim, in which the post-holder is involved	
Inspirational Motivation	5	(Enable) Relevant words in which the post holder is might be primary in achieving	
Idealized Influence	6	(Advise) Specific words in which the post holder is clearly primary in achieving	
Intellectual Stimulation	7	(Ensure) Implied as an issue expected directly, personally of the post holder	
Individualized Consideration	8	(Mobilise) Stated as an issue expected directly, personally of the post-holder	
	9	(Set Strategy) A primary personal responsibility to drive this, amongst other areas	
	10	(Inspire) Clearly stated as the strongest amongst the primary responsibilities	

Figure 4.12:RSM 2015: Pre and post coding interview transcripts

4.5.5 Example of Stage 2 & 3 analysis

An example of the data collected from Question (Q3: Do you think that the opportunity for raising ideas is well understood?) is set out below;

So I think it’s a great question, I think in my case because as you can probably tell from the accent, I’m [redacted] [Nationality] and by definition we tend to be fairly egalitarian soles, I’d like to think that there are not many people in the [redacted] [Organisations Name] that would be shy necessarily of floating idea with me, you always have the baggage of he’s the [redacted] [Leader], you’ve got to do this you’ve go to do that, I also think that you have to go out of your way to set up forums to try and go out of your way

to do that, so I run a series of breakfasts, dinners and what I call 'town-halls', where the agendas are structured in such a way that if people feel that they want to, the space is there for them to do that, I think it is also important if you take [redacted] [Organisation's name] anywhere as an example. I didn't just kick it off, I convened an organisation all the way down to the coders, to come in and run white-board sessions, and to come back along the way to give me progress updates, so I kind of think of it as caring and feeding for the idea, but I'm not saying for a second that there wouldn't be a lot of people in [redacted] that think of me at a young academic level because they do meet with them that do feel stifled in that the machine of [redacted] [Organisations Name] is not very conducive to then grabbing an idea and running with it as fast as they would like, it very much plays on my mind that sort of [redacted] [Sector of organisation] organisations had better figure out how to be more agile if they are going to be able to survive, as the world continues to speed up, so I'm not saying that I have got it licked, or that I am perfect, but I am at least trying to set things up, to get the mechanisms set up to allow things like that to rise up a little.

In this excerpt from Leader 1's transcribed responses, the names he used are redacted to maintain my responsibility to anonymity. The statements relating to the leader's personal and organisational expectations and experiences are picked out. Inventor 1's corresponding answers to question 3 (Do you think that the opportunity for raising ideas is well understood?) are illustrated below;

In terms of [redacted] you could come up with the same exact idea, but the bureaucracy of Local Gov could stagnate it more than in the organisation I now work, now it could be that if I worked for a massive private sector company, that you would come across the same stagnation where because of all the hoops that the initiator of the idea has to jump through, they just give up.

Ironically in local government I could see the process more than I could in the private industry. That had benefits on both sides of the argument, in terms of LG, I knew because of years of experience in the job, because I'd gone up the structure, who I needed to get on my side in order to progress that idea, and then I knew what hurdles we needed to overcome in order to achieve that goal. When I moved to private industry, there wasn't a great deal of process but that could work to my advantage because I could define the process – in fact I probably spent the last 3 years defining processes.

So Local Gov by its definition and its history had a lot more process, people will call the process bureaucracy, but at times it's a necessary evil because the

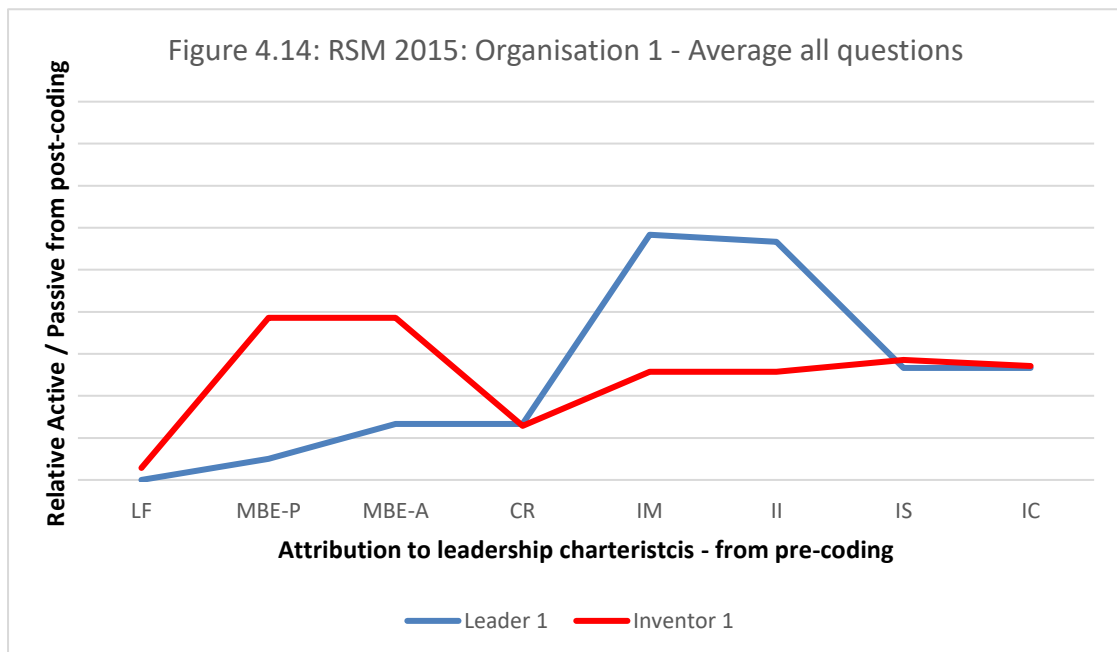
money you are spending is not yours, you are spending public money, whereas in industry the only people who could lose out is the shareholders, and they accept that risk

The illustrations from Leader (L1) and Inventor (I1) above, can be summarised in the (post coding) assessment of the leadership styles being exhibited, as follows;

Fig 4.13		LF	MBE-P	MBE-A	CR	IM	II	IS	IC	Welc-P	Welc-O
Who	Quest										
L1	Q3	0	0	0	0	35	30	25	10	90	60
I1	Q3	20	40	20	*	*	5	*	15	70	30

Using the Bass and Avolio (1994) Full Range of Leadership model, the analysis process attributes text to one or more of the 8 categories, which are then analysed using my 10 point scale to indicate a more **active**, or **passive** leadership in each component in the overall make-up of the leadership.

4.5.6 Example of data presentation for interview data gathered in stages 2 and 3



The purpose of the chart in Figure 4.14 above is to illustrate how the relative assessments between leaders and inventors is translated and presented (in the results and analysis chapters).

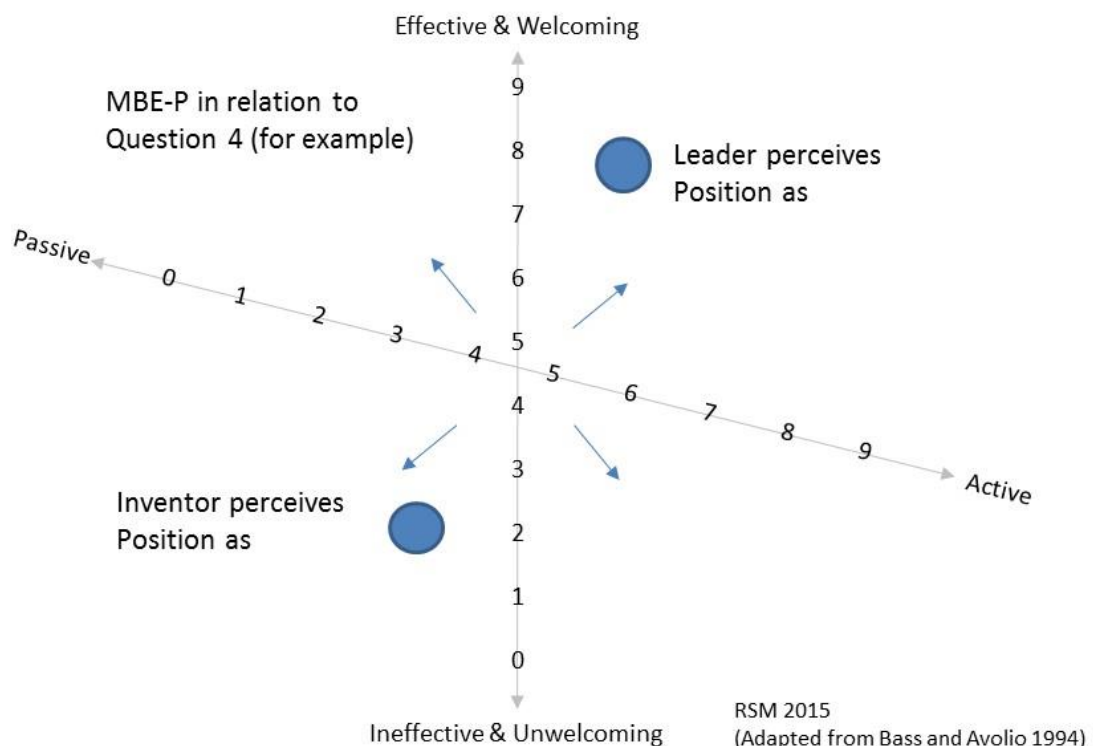
The illustration above is the results of all questions combined, however these can be shown question by question, or organisation by organisation.

4.6 Taking analysis to the next level

One of the problems for this, and other similar research, is that a seemingly ‘active’ Laissez Faire characteristic, may in fact be (for example) the result of an ineffective Inspirational Motivation. By contrasting leaders and inventors, this research develops what was intended, and what was expected, and by correlating these to the leadership characteristics, develops a view of where a symptom is related to accidental ineffectiveness, as opposed to deliberate passivity.

Building on the principles introduced in Figure 3.2, the data developed through this research enables the illustration of the relationships between a leader, and or an inventor’s views of where each leadership characteristic is active or passive, (present) or effective or ineffective (understood as intended). Figure 4.15 illustrates how this can be plotted;

Figure 4.15 Passivity and effectiveness of the make-up of the leaderships approach



The activeness, passiveness, effectiveness and ineffectiveness is plotted from the transcribed texts, using the 0-9 weightings from Figure 4.12. This also enables reflection on whether a particular leadership characteristic is active (as expected) but whether this is effective (as experienced). This approach to plotting is further developed in Chapter 6, where the dependencies of one characteristic is explored against its effectiveness in others.

4.7 Summary: Research methodology, design and methods

This chapter has set out the relationships between methods, choices and paradigms, developing the proposition of a mixed method based using social constructionism to draw out meaning from the multiple stories derived from stages 1, 2 and 3. Through methodological reflexivity, the rationale for methods is set out and correlated (through epistemic reflexivity) to my philosophical biases and strengths. The approach to research is set out, and the relationship to the research aims are developed into how this method makes its contribution to professional practice, and to academic theory. The questions for research can now be set in the context of the methodology discussed in this chapter;

- Using a mixed method approach, we can assess how the passivity or activity within each of expected characteristics of leadership can affect absorptive capacity, through testing this in relation to welcoming ideas, and its impact in participation in innovation.
- Using analysis of job descriptions (**stage 1**) we can identify the expectations of a **leader**, across the main aspect of their role, in proportion, and particularly to focus on how much of the role is related to welcoming ideas and participation in innovation.
- Using analysis of interviews, we can identify the leader's expectations of themselves (**stage 2**), and the **inventor's** experience (**stage 3**) of the leader's passivity and activity within each of characteristics of the Full Range of Leadership Model (Bass and Avolio, 1994) as indications of the welcoming which affects participation in ideas and innovation.

The research findings using the method discussed in this chapter are set out in Chapter 5.

5 Empirical Research: Illustrations of the evidence collected

The empirical aspect of this research is the implementation of the research methods set out in Chapter 4, in order to develop the data on leader characteristics, and using this to address the research question “*is participation in innovation affected by how the organisation’s leadership supports and welcomes ideas*”. The evidence gathered from the empirical research is presented in three stages,

Stage 1: The analysis of leader’s job descriptions. This stage is primarily focused on developing what the expectations of a leader might be in terms of supporting and welcoming ideas and innovation.

The data gathered during stage 1 is processed into the spider diagrams discussed in Figure 4.8. The implications of the findings from stage 1 are developed in Chapter 6.

Stage 2: The analysis of interviews with leaders. This has the dual aspect of identifying what leaders think these expectations are, as well as developing a view on what leaders think the experiences are, and what they think the experience should be.

The data gathered during stage 1 is processed using the coding approach discussed in chapter 4, and into the line graphs discussed in Figure 4.14. The implications of the findings from Stage 1 are developed in Chapter 6.

Stage 3: the analysis of interviews with inventors. As with the interview process with leaders, stage 3 also has the dual aspect of identifying what the inventors’ expectations are, and what their experiences are.

The data gathered for stage 3 is also processed using the coding approach discussed in chapter 4, and contrasted in the line graphs discussed in Figure 4.14. The implications of the findings from stage 1 are developed in Chapter 6.

This chapter sets out examples of the empirical data collected, and is primarily about the data collected. As a consequence of the findings summarised in chapter 5, in chapter 6 I explore the findings in relation to academic theory and professional practice, and in how these might be used to diagnose, explain and develop leader approaches in organisations such as these, to maximise participation in ideas and innovation.

The summaries of evidence in this chapter is drawn from leaders and inventors from 10 organisations;

	Organisation	Leader	Code	Code
1	Central Government Department	Permanent Secretary	L1	I1
2	Telecommunications Company	Managing Director	L2	I2
3	Private Sector Banking	Vice Principal - EMEA	L3	I3
4	Local Authority	Mayor	L4	I4
5	Local Authority	Chief Executive	L5	I5
6	Local Authority	Chief Executive	L6	I6
7	Charity	Chief Executive	L7	I7
8	Higher Education	Vice Chancellor	L8	I8
9	Higher Education	Chief Executive	L9	I9
10	Higher Education	Vice Chancellor	L10	I10

Figure 5.1 Organisations interviewed for the empirical research RSM 2015

5.1 Stage 1: Analysis of leader job descriptions

As was set out in Chapter 4, the purpose of analysing job descriptions included that believed that this would give insights into the expectations that the organisation had of their leader, (including whether they are explicitly tasked with welcoming participation in innovation) and that it would give general insights into the leader's organisation. My analysis of job descriptions groups and categorises their content around seven distinct areas;

	Area of the Job	Simplified definition
1	<i>Welcoming ideas and innovation</i>	References to creativity, breaking into new markets, adding value to the organisation
2	Performance	References to sales, profit or other outcomes
3	Leading people	Responsibilities for performance and direction of people (a management team)
4	Finance and Risk	References to fiduciary and financial roles (statutory finance / legal)
5	Customer and partners (Stakeholder Management)	References to stakeholders, governors, elected officials
6	Leading Services	Reference to there being departmental responsibility in addition to the overall organisation – for example Marketing and Communication department
7	Leading Strategy	References to developing portfolios and prospectus, and leading on vision, mission, values etc

Figure 5.2 RSM 2017: the seven areas of a job description

The detailed approach to coding, analysing and presenting the data is set out in sections 4.5.1 and 4.5.2 of Chapter 4. The data can be analysed in aggregate (as in Figure 5.3 below), and for a specific job description as in Figure 5.4.

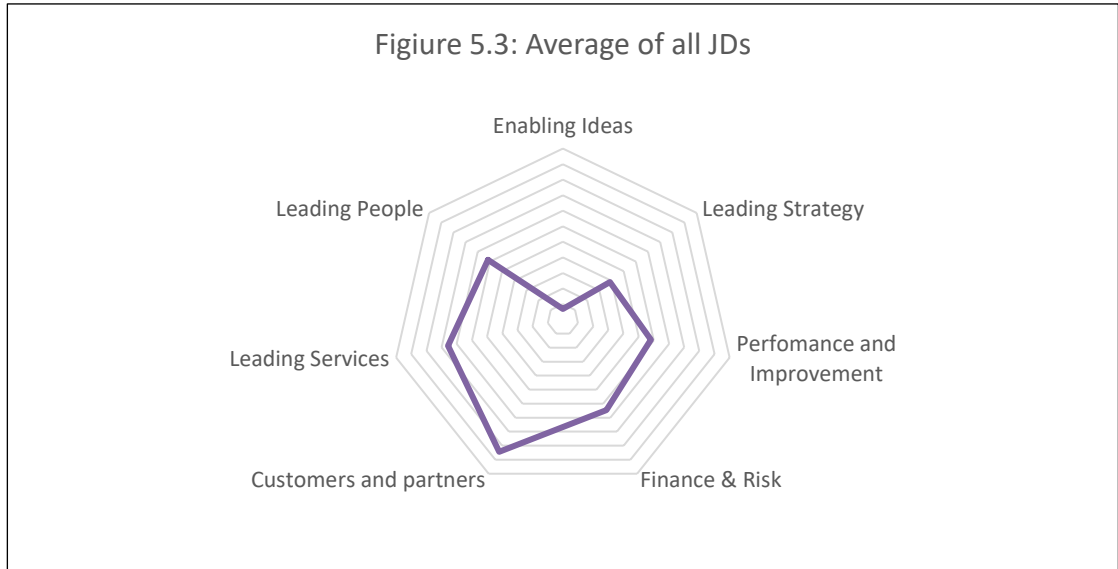
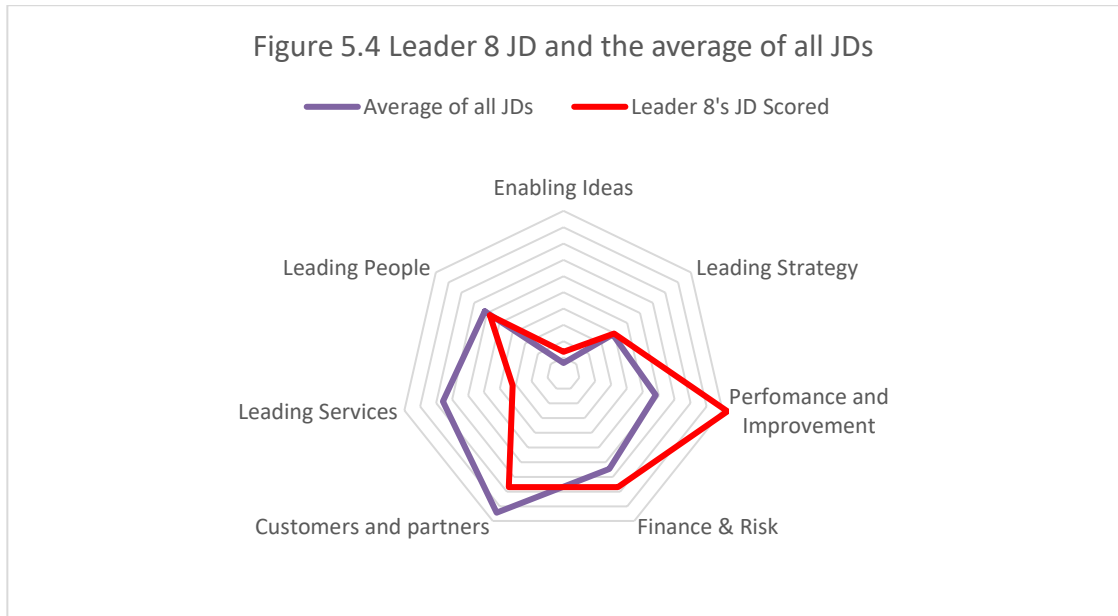


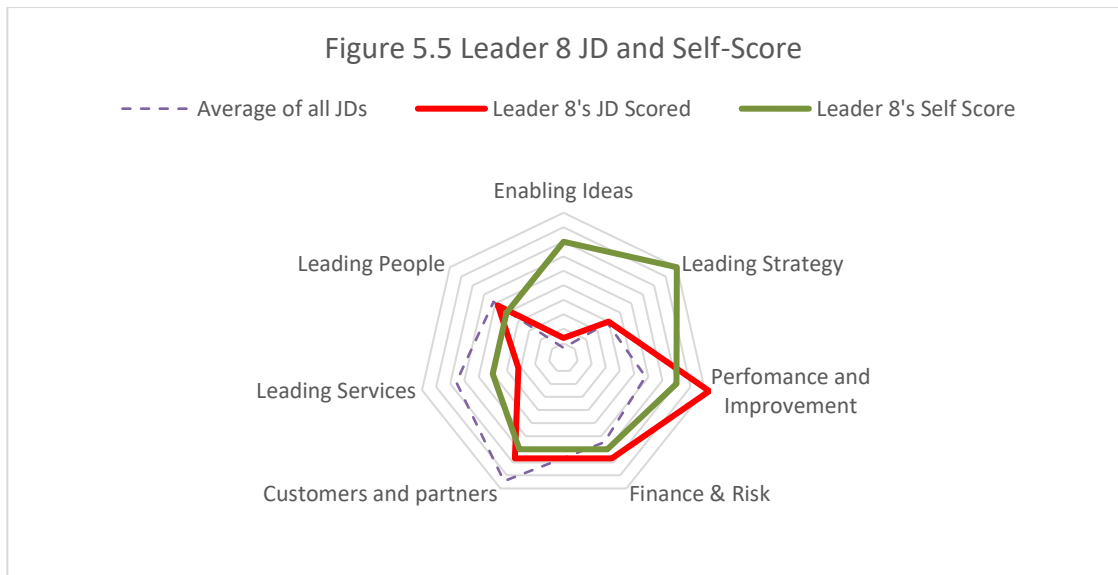
Figure 5.3, illustrates that (on average) that the Job Descriptions of Leaders refer to stakeholders, governors, ministers, elected members and senior partners from supplier and customer organisations, more frequently, or with a higher level of personal accountability than the equivalent analysis in each of the six other areas. This means that the leaders may interpret this as that they are *expected* to be more involved with customers and partners than they are expected to be involved in finance and risks, but this also suggests that either they are expected to be proportionately less involved in welcoming and enabling ideas, or that this issue is being omitted from the Job Description for some reason.

Figure 5.4 below is an illustration of the analysis. The reasons for focusing on Leader 8, is both that the results are easier to read, and that this is someone that I have access to (post interviews), and who has been prepared to qualify and consider the findings in more depth.



The Leader of organisation 8 can be interpreted as his being *expected* to focus on ensuring a performing organisation (exploiting the cash-cows perhaps?), although the Leader's expectations of his role differ significantly from what his JD suggests, particularly in the areas of leading strategy and enabling ideas.

In the leader interviews, (using a laptop) the first part of the interview involved adding to the data, how each leader positioned their responsibilities in each of the 7 categories, using a 0-10 scale. This is mapped onto the assessment of the leaders own job description, and forms the basis of the first question in the interview. This approach enabled that in the interview, and subsequently), that the illustration (as shown in Figure 5.5 for Leader 8) could be shown, referred to and reflected upon.



The purpose of demonstrating leader 1's results in Figure 5.6 is to enable a visual understanding of the differences between leader 1, and leader 8.



The illustrations in this section demonstrate how the differences between leaders and their roles can be a springboard for many different types of research. For example, they demonstrate inconsistency between the JDs for similar roles in similarly large organisations, it can demonstrate that any leader needs to consider carefully what such a document tells them about the role, as well as the risk that a 'contingent' analysis between a leader and the JD, may mean that their relative strengths and weakness are not aligned to the real needs of the role.

However, for the most immediate purposes of this specific research, the differences shown in these illustrations also give a back-drop to the interview questions.

5.2 Interview Stages (Stage 2 & 3)

The illustrations of transcribed interviews uses the same colour coding set out in section 4.5, and the illustration in this section uses the same colour coding, and how these are associated with each of the 8 characteristics. The (most dominant) coding to each characteristic is denoted with a coloured frame.

Transactional Characteristics

LF = Laissez Faire

MBEA = Management by Exception – Passive

MBEP = Management by Exception – Active

CR = Contingent Reward

Transformational Characteristics

IM = Inspirational Motivation

II = Idealized Influence

IS = Intellectual Stimulation

IC = Individualized Consideration

5.3 Leader Interviews (Stage 2)

5.3.1 Stage 2: Leaders discuss their job descriptions

The first part of the leader interviews sought to develop a reaction to the spider diagrams to further qualify the leader's expectations were, and their view of how their job description described this. The illustration below uses the same colour coding set out in section 5.2, from asking: *What is your reaction to the proportions of time / effort in your self-assessment*, and with the follow-up question *Do you think your role profile needs updating to reflect what you actually do, (and/or what other leaders actually do)*. Responses included;

- L1: "The job description is certainly just a point in time, but in combination with the person specification I am surprised that the general trend does not say more about innovation. Innovation is perhaps more embedded in achieving other things, i.e. it is implicit".
- L9: "I was just trying to think why might that be the case, one of the explanation might be about the fact that enabling ideas, enabling innovation is probably more slightly up-stream from the operational stuff".
- L9 (2): "Its interesting first of all, and you know it might just be assumed that they [meaning leaders] are the idea generators, and that's why so there is an inherent assumption that because they are the leader, and if they are a good leader then they are inherently a generator of ideas"

These comments from Leaders 1 & 9 can be interpreted in that these leaders expected that the more *transformational* aspects of their role would be active and implicit as the up-stream leadership of activities, but perhaps more explicit as a method of achieving things. Leader 1 for example expands on this in stating that;

- L1(2): "That if you don't then people accuse you of not running the place properly because you don't have proper job descriptions, and if you do do them and follow them slavishly you end up with an organisation that has no human element to it, that is robotic and is you know no set of job descriptions ever neatly fit together to paint the whole picture, there is always gaps and overlaps"

This appears to be identifying a dichotomy between activity and passivity within each of transactional and transformational leadership (i.e. that you have to do both).

In the second of Leader 9's comments, the risks of separating the duality of transactional and transformational leadership is implied, Leader 9, opens the potential of discouragement through the assumption that a leader's Idealized Influence is one in which encouragement of an idea is highly contingent upon who you are (hierarchically). This could be argued as *ineffective* to the principle of generating maximum ideas, and if it is ineffective, this might contribute to an absorptive capacity in which there is lesser participation.

- L2: "my role profile **includes for me** that enabling ideas is about how we grow and innovate and develop"
- L4: "**I would argue very very strongly** just because there is no explicit reference to enabling ideas, **I don't see how** you can lead strategy, you can monitor performance and promote improvement in public services without enabling ideas"
- L10: "So if you like, it was sort of chunked under this notion of change, and pace of change, which **needs to be faster** than the university has seen in the past"
- L6: "it doesn't surprise me that you've found that gap, in fact I think that is probably quite a healthy thing, the real question is **does the culture of the organisation encourage people to fill those gaps with good ideas**".

For Leader 2, the use of the word *enabling* might suggest 'Management by Exception-Passive', (a word such as *encouraging* might be seen as MBE-*Active*) but also implies Idealized Influence (in the desire to grow). Where Leader 4 uses the words '*argue very very strongly*' this suggests expectations (of themselves) to ensure *active* Idealized Influence. Leader 10, in using the term '*needs to be faster*' suggests an *idealized* perspective, whereas Leader 6 appears to suggest that the absorptive capacity of the organisation is something that is something other than themselves, thus suggesting they have a more management by exception perspective of their own role. Leader 7 however brings the interesting view (set out below) that past cultures were driven by clear input/output objectives, and that it is now having to come to terms with only an outputs based view;

- L7: "There was much more of a focus on performance that came out of CPA, and from that target driven culture of the last decade before the crash"

Leader 7's reference to externalised factors based on achieving targets, suggest that ideas and innovations might only be treated with *passive* transformational approaches, and *active* transactional approaches.

The reaction to the analysis of their job descriptions begins to develop a more detailed picture of what leaders think a job description *should* say, and particularly to imply the transformational categories of; Inspirational Motivation, Idealized Influence, and Intellectual Stimulation. Each of the leaders appeared to be a bit disappointed, and even concerned at the picture of 'passives' that it might present of them, and the risks that this might suggest passivity and even a Laissez Faire approach to their role in the context of enabling ideas. This helps develop the conclusions that not all 8 of the leadership approaches can be active all of the time, and if some are active, some are by association, passive.

Leader 1 dismisses the connection between the JD and their role, suggesting that a JD is necessary only in so far as that everyone in the organisation should have something that can be used in some way to appease some (undisclosed) body of stakeholders that the organisations is being run 'properly'. Leaders 3, 5 and 8 particularly described the importance on developing (and communicating) their and their management team's annual objectives as a more meaningful, more *now* version of their role purpose for others to see, and thus to consign the JD to being just one part of their message. In describing their roles, the interviewees also described where welcoming ideas fits into the wider leadership of the organisation.

- L2: "managing the finances and risk today is about making sure we are here tomorrow, everything else on that graph is almost secondary"
- L2 (2) "Anybody in our business can innovate,– do we actively encourage it, we're probably not active enough, we certainly don't have a scheme or process that we might follow, we certainly wouldn't shun anyone with an idea, or shun anyone with a new service delivery methodology"
- L2 (3) "its shadow of the leader, if they are innovating from the top, you might have a CTO responsible for innovation, but that doesn't mean you wouldn't want your MD to be visionary – its not just technical innovation, its about business"

The comments from leader 2, indicate Management by Exception when welcoming ideas, and simultaneously suggests that there may be some *passivity* in transformational categories to the *activity* in transactional. Leader2's second comment, suggests a more MBE-A than MBE-P, but continues to suggest that he

might not offer an Idealized Influence that is effective for welcoming ideas or the Intellectual Stimulation, Inspirational Motivation that might encourage participation in ideas. Leader 2's third comment is one in which he seems to segment who might be able to offer different types of innovation, which perhaps exposes some Idealized Influence that might be motivating to some, and demotivating to others. Other leaders question what active and passive means;

- L1: "An idea is worth nothing to a company, in terms of its current point in time value you could argue that it is not a production figure it for is not a marketing it is not a piece of recruitment the things **that these people** are thinking about or a performance situation, or team work – **it is probably not on their radar**".
- L9: "Lots of people can have ideas and a lot of ideas are dross – should it be for them to have a more fundamental role, **I don't believe** that all things can be made into a system, having an innovation team, or an innovation office rarely works in my experience, **so probably** there should be some direct relationship about exploitation of intellectual capital"
- L6: "If you want to do something in the strategic field, or you want this person to do something in the customer facing field or whatever it is, or within that **you** **don't want to be over prescriptive** **otherwise you stifle peoples own abilities**"

Leaders 7 and 8 pick up the story after an idea has been passively or actively welcomed, with what they see as their role to maintain its momentum;

- L7: "If the model is wrong you change the model, **you adjust it**, you keep the objective and **you carry on** and **you carry smoothing it down until it gets to its aims**".
- L8: "I spend an incredible amount of time being what I call being the **chief cheer-leader**, engaging with people external. Government stakeholders, and other sector leaders, you've got all of those and the interesting thing is that if you don't do that, you do put your University at risk, because you are no longer in the room when the important discussions are being made, but it takes a lot of time"

These comments are related to question 1; What is your reaction to the proportions of time / effort in your self-assessment, and with the follow-up question Do you think your role profile needs updating to reflect what you actually do, (and/or what other leaders actually do). My interpretation is that some of the leaders comments were an almost defensive reaction to the illustration of their job description, as this did

appear to show a different picture of the passive/active priorities to that which the leader expected of themselves. It wasn't my intention to provoke any such reaction, however I found it interesting how strongly all of the leaders wished to challenge any perception that their style and actions might be (mis) interpreted from this document, and that this might suggest that they would not be fully welcoming to enabling ideas (as this is so scarcely mentioned, proportionately or at all).

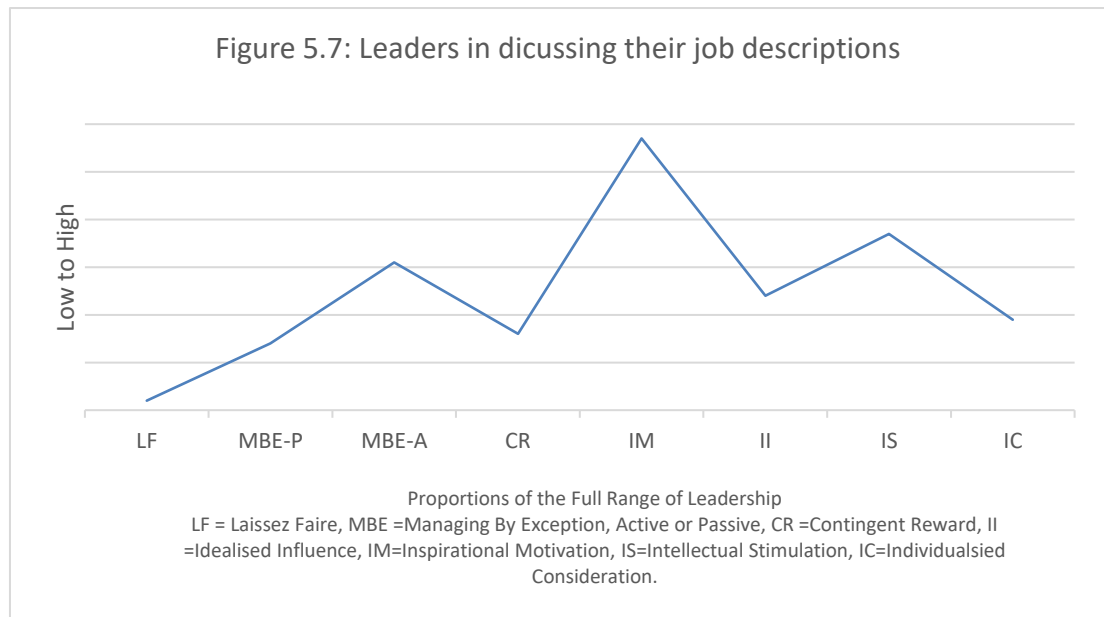
Leader 2's rather succinct comment about anything that affects the finances of the organisation, might at first seem to suggest a somewhat of a defeatist approach suggesting *Managing by Exception-Passive* (at best) and perhaps even a *Laissez Faire* approach to innovation, (which undermines the transformational leadership categories, however active the leader might aim to be in these characteristics).

However, (and simultaneously) the claim of the (active, Idealized Influence) aims of for example leader 8's, is indicative of leaders wanting to be seen to actively encourage participation in ideas, and be seen to personally support (active, Individualized Consideration) what actually happens when an idea is participated. Leader 6 falls between the two in that her remarks that this can't be over prescriptive which suggests that her emphasis has to have some *deliberate* passivity.

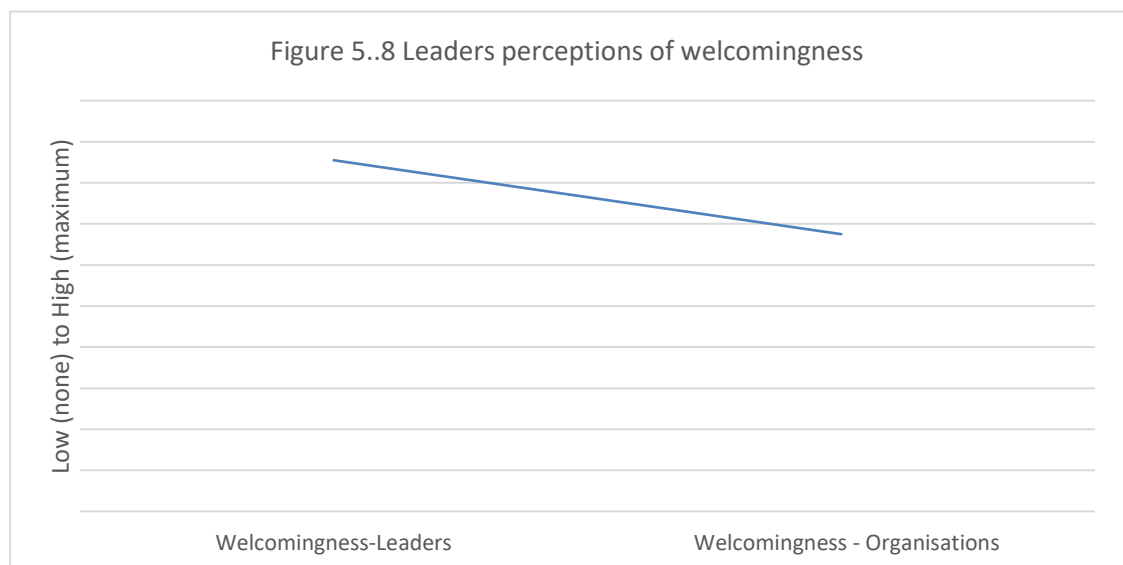
This, and what Leader 5 implies in the use of words such as 'develop' in her and her team's job descriptions and annual appraisals, suggest there is a desire to promote messages that support a (her?) culture (suggesting active Idealized Influence, and active Inspirational Motivation) of enabling ideas, but also suggests that she was uncomfortable with stating this more directly, for fear of structuring (badly) for what she considered to be something that is inherently unpredictable. I did not interpret this as a fear of stating support (Leader 8's 'cheer-leading') for the issue of welcoming ideas, but perhaps a reluctance to describe this (Leader 9's statement that innovations are inherently anti-process), for fear that they might be over engineering what the processes of welcoming consist of, and that this might detrimentally (Leader 6's *stifling*) affect the likelihood of ideas being participated.

The reactions to the illustration showing the job to have lesser enabling of ideas than was expected, suggests insecurities and the fragility of the active leader's influence and stimulation aspects of their leadership style, a risk that these will then be seen as passive, compared to the 'by exception' elements whose symptoms are characterised by less communication. This therefore suggests that key within the underlying mechanisms for welcoming ideas is clear communication (active, and

effective) of the transformational commitments in the leader's approach to enabling ideas. The summary of responses set out in Figure 5.7 below is a proportional representation of the leader's (active) responses across each of the subcategories in the transformational, transactional leadership styles model.



Based on the responses (to the job description discussion), the combined responses suggest leaders more commonly refer to their intention to be active (and thus effective) in Inspirational Motivation, and their Intellectual Stimulation. This is followed by Managing by Exception-Active with Idealized Influence being cited only as the fourth most prevalent aspect of their leadership style. This low emphasis of Idealized Influence is a key finding, (that is discussed in Chapter 6). The simpler illustration below is high level assessment of leader's self-perception of their own welcomingness, and what they think their organisations welcomingness is overall;



In the simplified illustration in figure 5.8, Leaders set their own welcomingness as being something around 85% of what they believed *they* should be, but also suggest that their organisation's overall welcomingness to participation is less, at about 68% of what it could be. This was recognition that they themselves wished to improve, and more so that they felt there was room for improvement for the organisation overall (whatever 'improvement' might mean, or consist of).

5.3.2 Stage 2: Question 1: Leaders expectations of their role as enablers for ideas

Question 1 (*what do you think is your role in enabling employees with ideas*) aims to add to the qualification of what leadership characteristics might be identified from the leaders own explanations of what leaders do to welcome participation, why they do it, how successfully it affects inventors, and how this affects the organisation's absorptive capacity. The question has a particular focus on what the leader thinks of their own Inspirational Motivation, Idealized Influence and Intellectual Stimulation. Examples from the leader responses include;

- L3 (1): "Eddy Obeng's [an inspirational leader, identified by Leader 3] has this concept that business are letting a load of rabbits go and do a survival of the fittest thing, so he has this thing about rabbits running from one end of the town, and being eaten by cats, or squashed by lorries, and **we think that the one that gets through is the best idea, when clearly it isn't it's the luckiest one,** or **its got somebody keeping an eye on it"**
- L3: (2): "Eddy Obeng is questions why we don't just **put a tunnel under the town,** so that they can all get through, without being squashed by lorries, a lorry being the **metaphor for the accountants who say that we can't afford this,** and **create an environment** as where as many of the ideas can survive as possible"
- L4 (1): "I see it as one of my role to try and build some of their confidences and to look outside of [City], so there is a whole cultural shift **that needs to** happen in the Council and that's one of the things that I have set as one of my top priorities, and we have started because we have been getting more of the staff involved in developing our behaviours"
- L4 (2) "*I think innovation tends to* **come from the senior managers or myself**".

Leaders 3 and 4 are describing their ideals, and as part of their own perspective on what they believe, this can be considered as contributing to the proportional 'active' in the Idealized Influence aspect of their leadership characteristics. A key

finding however is that a leader's active Idealized Influence might (if seen as a negative) be considered ineffective, which in turn leaves the way clear for a different interpretation of leadership. Leader 5 for example describes;

- L5: "I've built a strong following on Twitter – I think that kind of shocked people when I arrived, I was advised to give it up and I refused as I think it is a great way to make the organisation more open and giving anyone the opportunity to ask the CEO a question"

In this context, Leader 5, might also be interpreted as exhibiting both active Intellectual Stimulation (through using twitter), but also and simultaneously a degree of 'active' Laissez Faire to accept that exhibiting support for ideas (however many) is implicit. Leaders 1 and 2 are drawing on an Idealised Influence when describing that;

- L1: "I used to have saying that Magnus Magnuson rules apply, before John Humphreys took it on in that "I have started so I'll finish so don't start things that you don't intend to finish, but do finish the things that you start".
- L2: "Its about releasing potential – if you lock down tools, you are locking down the mind-set I think that 1 they're not going to be interested in innovating for you, and 2, you are shackling their mind-set".
- L10 (1): "What I hoped to do was in part to lead from the front, which didn't mean that all ideas had to be had by me, but it meant if I was trying to stimulate some particular change in the organisation, if I didn't live it, breath it myself I didn't believe it had any chance of flourishing",

This idealized perspective is exhibited in Individualised Consideration, and Inspirational Motivation (with actives and passives), in for example;

- L1 (2) : "my role is to clear the way, to clear some of the swamps and weeds that are in the way so that they have got a chance of having a go, and set it within an environment where we can make mistakes, we are not going to get it right all of the time, the trick is to spot when we have not got it right and put our hands up, say we haven't got it right, and to move on".
- L3: "You have to bite your own ego to listen to them, it is hard, but forgetting their day-job which you must do, you have to give them a little adventure with their idea, and let them take it as far as they can so long as it doesn't become

a danger, when it comes to a certain point, let them realise the risks involved in this”

- L2 (2): “I’d look at the idea and discuss it with them and I’d take that from them and push it to the right business areas, and ask that business area to take it to a go – no go. I don’t mean take it off them as in that’s not yours any more, but if it were sales I’d take it to the sales manager, if I were in operations I’d take it to the operations manager – I’d have them take that to a go / no-go decisions”

There comments in which there is an element of Management by Exception (active and passive), also suggest that the characteristic does not sit in isolation from how the leader communicates their thinking;

- L8 (1): “So part of it is about elevation, when you are running an enterprise of size, you have to be careful you can be very randomizing if you are constantly going around at every meeting if you are spinning up ideas and innovation, because people often think that if it came out of your mouth, they think they have a legitimate reason to go off and say well ##### [leader named] said this, so I want the resources and lets just get it done, so one of the things I have learned is that I start a line of really great ideas, of things that could be done, but I have a tendency now not to react immediately in the moment”
- L8 (2) “I think you want to give people a chance for their ideas to root, the problem with most people’s ideas is not that they were wrong, per say, but it might be just that it wouldn’t fit generally within what people were trying to do, or it was equal or opposite to something else going on somewhere else in the organisation that you did want to champion”
- L9: “If someone came to me with an idea for a course, I would ask more questions about what they think the market is, what they think the development costs would be, how had they consulted, where did they get their information – I would probe the idea, and I think that would be the sort of the norm with any sort of innovation, so there would be a level of probing, then I think there would be an element of well look here, whats next ? – and if I like the idea, it’s a case of well how can I help you – in terms of make sure it happens”,

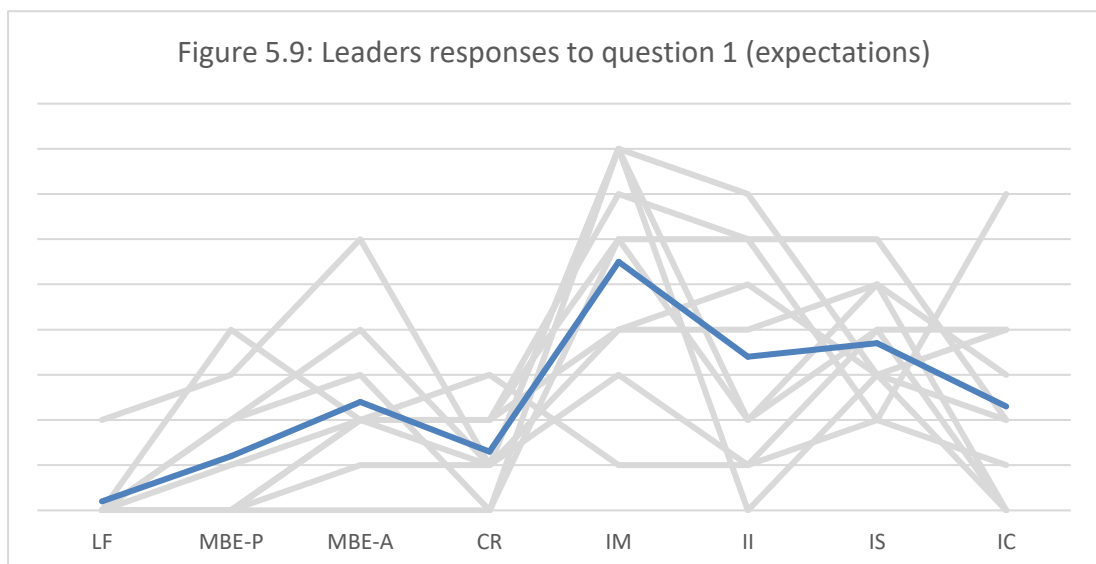
And there are comments that risk being seen as presenting as Laissez Faire;

- L2 (1): “Lets say that I’ll listen to every single one, and I’m getting 5000 week, and they’re not looking at the finance and risk, and leading people, but I don’t think that happens I think leaders are probably being really honest by saying that its inherent in what they do”
- L7: “*Similarly I mention Cipfa [Chartered Institute of Public Finance Accountants – Cipfa should have fought much harder for us not to be producing accounts in the way that we are now – they are a load of rubbish, and all we are doing is employing a load of accountants to prepare accounts in that one way – so that stifles innovation*”

And the pragmatic;

- L10 (2) “*I think that we have probably got under half of the university community if I’m honest seeing that world that environment that we’re trying to create, that environment is for them to engage with and to grab with both hands, and it may be as low as a quarter of the university who are prepared to put themselves out there, to be prepared to do things, lead things and engage with activities which are a bit different, and part of my job is to try and paint the picture”*

My interpretation of the materials developed by leaders responses to Question 2, (*what do you think is your role in enabling employees with ideas*), was intended to be on the ‘you’ to help draw out the leaders Idealized Influence, whether aspired to, or whether it is seen as effective or ineffective by inventors.



The results show a range of approaches, some describing that the leader aims to be stimulating and motivating. There are however issues, in for example the statement from Leader 4, about ideas coming from him, might misconstrued, if

taken only out of context or in isolation. An illustration of each leader is set out in Appendix 3 where Leader 4's predominance can be seen based on his answers to all of the Questions.

5.3.3 Stage 2: Question 2: Leaders discuss participation

Question 2, is particularly focused on the impact of Idealized Influence, and involved asking whether the leaders felt that employees *should* be more involved (participating) in ensuring there are ideas available to help the organisations sustainability. The question aimed to develop a picture of the leader's expectations of participation, by asking; *What do you think about employees being more involved in reducing the risks of your organisation's products and services going out of date.*

An illustrative summary of the leader's responses to question 3 are set out below,

- L2: "I can't imagine that our staff don't realise how precarious business can be, and that if we fail, they're out of a job".

If taken alone, this statement by Leader 2, (of his beliefs) risks being seen by inventors as Laissez Faire, and might damage subsequent attempts of motivation and stimulation to participate.

- L3: "Yes, I spend a lot of time making sure we have the right team and importantly the right attitudes to recognise that we need to share great ideas and see if we can make them into business value".

Leader 3, is picking up on the issues developed in the responses to question 1, whereby the overall leadership is not fully aligned to the leader's own Idealized Influence, and as such how he thinks this might undermine Intellectual Stimulation, and Inspirational Motivation.

- L7: "Its shared risk shared reward, we are a big employer and most of our employees stay with us a long time. I think we have got it right or they wouldn't stay would they?, we train people up, it makes no sense to let them disappear to the competition so we want them to be happy, and without feeling you are valued and involved I don't think you can feel happy can you?".
- L8: "Perhaps, I think that some of our people think about these things, and some don't, and that is just the way of the world, you can't expect some people to think past their next pay-check, but no I don't think this is about relative position in the company, some people are creative, and think that way, those that do are

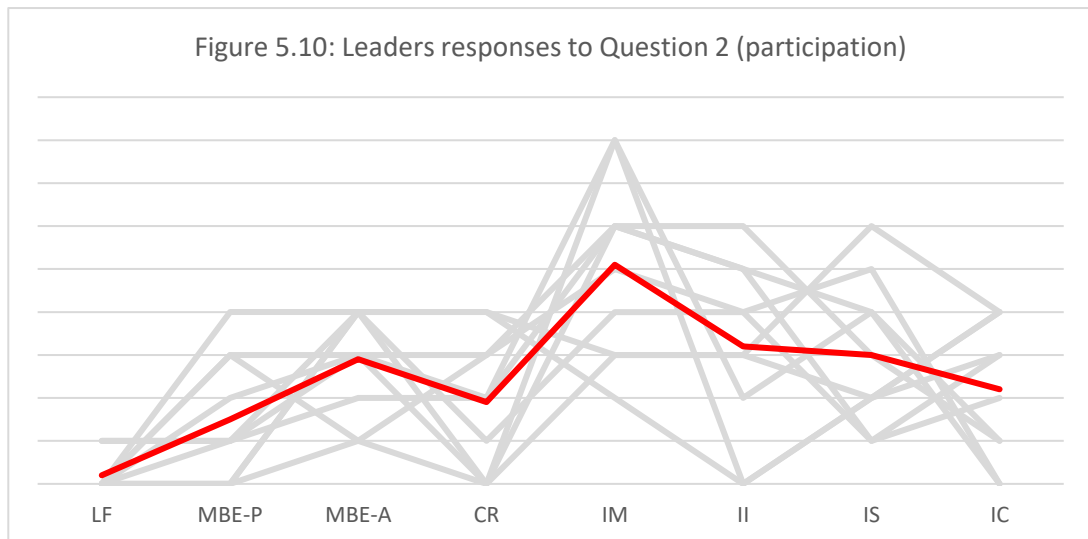
the ones I want to work with as they are the best asset an organisation can have”.

- L10: “Well first off, we are not going to fail, my predecessor didn’t and I have an outstanding delivery record, so I don’t really think that there a risk of failure, plus I think that we have more ideas than we can ever use so I don’t worry about this too much. Anyone with great ideas is going to bubble up to the top one way or another”.

In these responses, the leader’s focus can be considered to include a belief that includes the consequences of there being an inadequate supply (of any source) of ideas as a factor of creative destruction in the long term viability of the organisation. Leader 7 was (at this point of her interview) describing her belief in the co-value of ideas to the organisation and its employees albeit through the more analogy of if “we” don’t innovate “we” all experience the failure. That this was not however accompanied by further qualification in her dialogue, would suggest her being active in stimulation or motivating, but that her Idealized Influence is depowering this, to be passive at best, and with even a danger of demotivating participation.

Leader 10 expresses this from within a more positive perspective, in stating that sharing the ideas is to ensure ‘we’ don’t have to share in the failure, however in both of the quotations above, there is a suggestion of either a confident, active Idealized Influence, or perhaps through being hypothetical, that this might be experienced as infective and therefore synonymous with the Laissez Faire style. Leader 7, also seems to be assuming that those that do want to participate will emerge, which without supporting active (effective) Intellectual Stimulation, may be seen only as management by exception (active).

My interpretations from the responses for Question 2, (What do you think about employees being more involved in reducing the risks of your organisation's products and services going out of date) reflect those findings from question 1 (what do you think is your role in enabling employees with ideas) and include that the leaders identify their own beliefs through expressing an underlying responsibility to active (Idealized Influence). This can be illustrated as set out in Figure 5.10



Key findings from Question 2, include that in their responses, the leaders are expressing some recognition that their aspired, Inspirational Motivation, needs the foundations of Idealized Influence and Intellectual Stimulation, although they do still appear to expect this to result in an absorptive capacity which welcomes ideas being brought to them (an idealised, stimulated and motivated MBE-A perhaps).

5.3.4 Stage 2: Question 3: Leaders discuss whether welcome is understood.

Question 3 helps to develop the issue of the communication of leadership styles and how successful the Idealized Influence, the Inspirational Motivation and the Intellectual Stimulation dimensions of the leadership are for the organisation. Question 3, (*Do you think that the opportunity for raising ideas is well understood?*) also addressed how to understand the issues of Individualised Consideration alongside issues such as Idealized Influence. This involved considering how well each Leader believed that their intentions, aims and role are understood across the organisation, (i.e. deliberately assessing their awareness of the risks of passives). The question builds on the picture developed during questions 1 and 2 and particularly starts to dissect the balance of leadership style and how in tune this is with absorptive capacity. An illustrative summary of the Leader's responses is set out below,

- L1: “Most large organisations are inherently bureaucratic by nature, but I don’t just mean in this big organisations and big businesses, they get rules, **because without rules you have chaos**, is the general view, or you have nepotism or corruption or whatever, so for most big organisations, these start with a fairly stodgy bureaucratic culture, well how do you change that, well I think that in the end **you change it by leadership** rather than anything else, people follow in the end the leaders”
- L1 (2): “We want proof of concept. So we do do that stuff, and of course something we’ve taken a while to get our heads round, **by definition there is going to be failure, and probably a lot more failures than successes**, so you **have to recognise that those sorts of funds have some casualties – its not risk free**”.

Leader 1 is simultaneously expressing Inspirational Motivation, Intellectual Stimulation and Idealized Influence, as well as suggesting that any risks of negative Individualized Consideration in participation are exceeded by the active Idealized Influence in this leader’s perception of his role in his organisation. Leader 1 is also expressing a strong confidence in the ‘activeness’ of his Idealized Influence, and that this is in conflict with an inherently Laissez Faire, or Management by Exception (passive) aspect in absorptive capacity in the context of participating in new ideas.

- L3: “Its also important to give them a bit of space, that’s a bit of space to develop the idea in work time, but **we also expect them to put in a bit of their own time**, because that shows commitment to their idea – so **we will, I don’t want it consuming the day job**, but it can take some time out of the day for the simple reason as it benefits the business - **I’m a big believer in somebody owning something, and rolling their sleeves up, and leading by example**”.
- L3 (2): “I think innovation is on different planes for different people, **that’s not about the value of the idea**, I just think there is like a stack of triangular points of each triangles is what is the context of work, what is the idea, and what is its value, and then you apply that so **I think one of the reasons innovation fail is because it is difficult to negotiate them planes** going up, if you understand what I mean, imagine 4 or 5 triangular things stacked upon each other, not so much to do with the hierarchy of the organisation, but do with the people that operate in planes. **Sometimes you are pulled up and down into them planes, sometimes**

by opportunity, sometimes by skill, and sometimes by force of personality. In a typical organisation there is a policy plane, a political plane, a finance plane a HR plane a business plane”.

- L3 (3) *“I would say that it was understood by more than less in the people that I’ve worked with, but it was always open to the weakness that I’m a fallible human being myself, and sometimes when I go into thinking or, even when being motivated to be supportive, its difficult to cope with me sometimes – what I mean by that, is do you remember that concept of shadow of the leader, I really subscribe to that”*

Leader 3, whilst seeming to consider the issues of their own influence across the ‘planes’ also talks about his role in watching over ideas, and where the bringing of people together is an Individualized Consideration to overcome any Laissez Faire dimension amongst the intra, or inter-plane dynamic on the leadership. Leader 3 also expressed that Idealized Influence is the strongest motivator, implying that this is important to the awareness and understanding of the organisation. Leader 3, adds to his explanation of his commitment to active Inspirational Motivation, by recognising the risks of a negative experience of his Idealized Influence.

- L4: *“I’m not deluding myself, because often people set off with good intentions, but the day-job gets in the way and grinds them down, and then they don’t feel able to innovate or respond, they become fatigued”*
- L4 (2) : *“there is a tension here between reasonable use, and the perception that staff are wasting time. Of course there is a perception in the press that public sector employees should all wear hair-shirts and that we live at the bottom of a pond, so that scrutiny places some issue with how open we can be*
- L5: *Probably not well enough. we have – you have your classic suggestion schemes, but again I’d say it’s a lot to do with the management, which you’ll know that in Local Government – it’s a bit of a them and us mentality at times, and that managers know best – I think that’s where we’re trying to break that and get much more of a team ethic, that everyone contributes no matter where they are in the organisation – but its a big change for a hierarchical organisations like my own, which is quite a traditional one, and its what I and the leader are trying to break-down.*

The pragmatism of Leader 5's Idealized Influence, is contrasted here with rather passive Individualized Consideration, similarly Leader 4's defeatist Laissez Faire or rather passive Idealized Influence, is paired with his similarly passive Individualized Consideration. These can be seen in sharp contrast to Leader 8's active Idealized Influence, and Inspirational Motivation.

- L6: "As we increase our successes, as we will over the next few years, we will increase the quality of the ecosystem we're trying to create in the city, and when you improve the ecosystem, it becomes ingrained in the social fabric of the culture".
- L6 (2) The worst thing is where there are some environments that if someone puts their head above the parapet and they get their head blown off as soon as the slightest wobble appears, and that can't be an innovative or entrepreneurial environment.

Leader 6 is suggesting a contingent development in absorptive capacity that may develop Individualized Considerations (if they occur frequently enough) into a more active Management by Exception and active Intellectual Stimulation. Leader 6 also points at the risks of where active/passivity may be experienced amongst different roles across the leadership, and particularly of an Idealized Influence that does not reduce the fears of a negative Individualized Consideration.

- L7: "I don't think employees do have a well understood role, in terms of what they can and can't do, that's not the same across all of the services, for example in children's services they are sort of under the cosh, so it is pretty difficult to go and talk about motivation – clearly they are involved in tightly defined processes that will improve life chances for children, and also older people – and its all helping to get us through the ofsted. I think in Adults services [which is less regulated] they would think it differently".
- L7 (2): "I'd like to say that managers would look at it carefully, but there is that, they do have their KPIS' [Key Performance Indicators] if the idea was directly helpful to a KPI than something a bit more off-piste then it'd probably get more traction with them. If it was a bit more off piste, do I like to think that they'd take it seriously, because it has come to them from the individual via myself, then yes I'd like to think that they take it seriously. Almost like I'm the stakeholder or sponsor, even though you're sort of not"

Leader 7's vagueness suggests a Laissez Faire emphasis to her leadership over the organisation's leadership (themselves an integral aspect of absorptive capacity) and hence to the experience of absorptive capacity overall. Leader 7 is initially expressing something of a negative Idealized Influence (the passivity within leadership overall, by pushing the responsibility for Individualized Consideration to her managers), but develops this into a personalised MBE-P, Individual Consideration if there is something that doesn't fit with this (undefined) delegation.

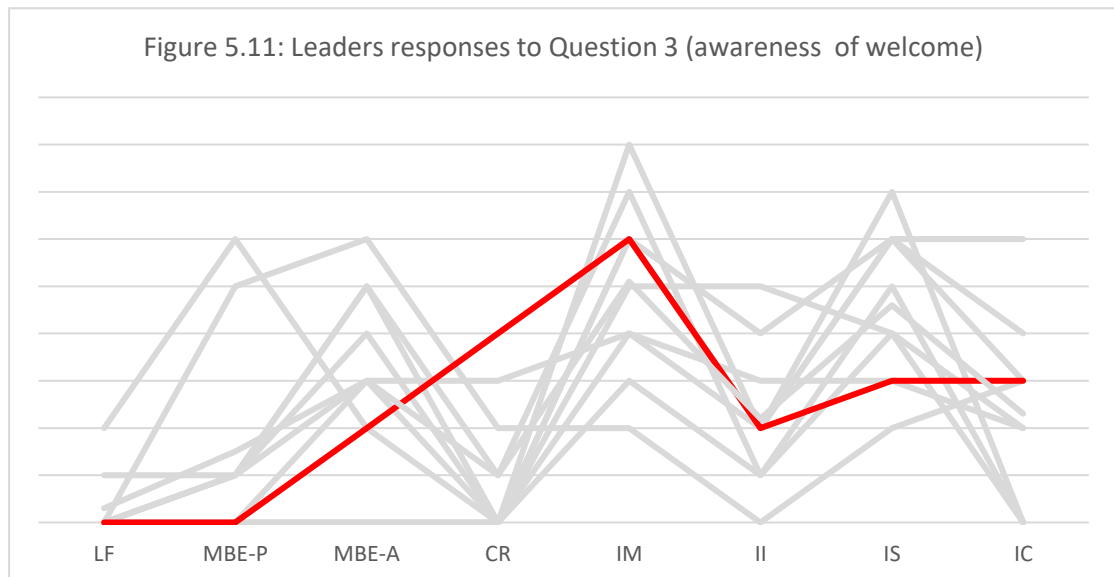
- L8: "I'd like to think that there are not many people in the ###, that would be shy necessarily of floating idea with me, you always have the baggage of he's the VC, you've got to do this you've got to do that, I also think that you have to go out of your way to set up forums to try and go out of your way to do that, so I run a series of breakfasts, dinners and what I call 'town-halls'"
- L8 (2): "What I have got is fantastic buy in for the strategy and belief that its right for us, and I've got external buy-in. so the challenge now is how do I lead with my senior team, and how do they encourage and foster a platform for, and environment for innovation and get that to spread, of course in my position I can scream and shout and try and get people motivated"

Leader 8's Idealised Influence is to expresses both Individualized Consideration and Intellectual Stimulation, particularly, through *active* Inspirational Motivation.

- L10: "I convened an organisation all the way down to the coders, to come in and run white-board sessions, and to come back along the way to give me progress updates, so I kind of think of it as caring and feeding for the idea"

Similarly to Leader 8, Leader 10 describes the mechanisms he uses to express his Idealized Influence, particularly, through *active* Intellectual Stimulation, in conjunction with Inspirational Motivation.

My interpretation of the answers and comments from the Leaders on the question of how well the leader felt their Idealized Influence and Intellectual Stimulation was understood in their organisation, aimed to probe at how the various actives and passives in how their leadership style might affect participation in ideas, and to assess how this affected the balance of the Leadership's and the Inventor's absorptive capacity. This can be illustrated as set out in Figure 5.11



The excerpts from the responses to Question 3, illustrate how leaders considered how their own intentions are motivating and responsive and how they believed that the underlying structures of absorptive capacity of the organisation might affect, or be affected by participation in ideas. Amongst the underlying structures are the ambiguous, and sometimes conflicting active and passive leadership styles, for example a *passive* Idealized Influence becomes *ineffective*, and in turn this weakens Intellectual Stimulation, and weakens Inspirational Motivation. The structure of an ambiguous Individualized Consideration when paired to a passive Idealized Influence, raises the risks of a negative experience, and raises a risk for the Inventor that Individualized Consideration, will have negative consequences.

The responses to Question 3, suggest a spectrum of the intention to support (*active* Management by Exception-Active, supported and underpinned by intended active Idealized Influence), but this is to expect an Inventor to overcome any ambiguities, (a factor of their own Idealized Influence, in the belief that an idea, and a *determined and robust* intrapreneur *must* coexist), to transcend the various actives and passives across the leadership characteristics, in order to 'win' welcomingness.

5.3.5 Stage 2: Question 4: Leaders discuss disruption through participation

Question 4 sought to consider what in the leadership culture and styles might be shown to be affecting the way that the leader thought about enabling ideas, and intrapreneurship. The question asked was; *The word disruption is often described as disruption from outside, from new technologies and competitors, but also some managers may see any attempt to innovate as a disruption from their key work objectives. How do you encourage them to enable invention and intrapreneurship?*

This question was intended to develop a view of the Leadership's perceptions of absorptive capacity, by positioning the concept of an idea being raised as an *unexpected* influence, albeit one that came from someone inside the organisation. The inference here, is to question how the 'actives' in the eight leadership characteristics, overcome the passives and ambiguities when a new and potentially valuable idea is raised, as being as challenge to the absorptive capacity.

An illustrative summary of the leader's responses is set out below,

- L1: "Any organisation that you pick up and change or try to lead in a different direction **will have a group of people who both stay and resist** and those people are crucial and there are two ways of dealing with them, **one is to get rid of them which is the jack welsh approach** which is more easily done if they themselves are not very good performers in their core job, but quite hard to do when they are kind of get a result but **they don't have the values of the type of the organisation that you are trying to create"**

Leader 1, has moved around a number of high profile public and private sector organisations, and is credited with 'turning them around'. His active Idealized Influence is direct and clear, and as such this helps strengthen his Intellectual Stimulation. For those who understand and agree with his Idealized Influence, this is experienced as an effective Inspirational Motivation, for those who oppose, the 'stimulation' or 'motivation' is to find a different organisation to be a member of.

- L3: "*Innovation* **is sometimes seen as a negative by managers,** a bit like somebody is not towing the line, not being a team member, if they're not going with what is the team's plan if you like – culture change is about being relentless, **in every opportunity** whether its appraisal or it's a process you've got for suggestions, or the blogs I do or the staff meetings we do or the way that we manage new ideas in the budget process, all of these add up **to provide an**

example to people *its about having a permissive organisation where it is the done thing to make those suggestion and its not seen as a negative”.*

- L3: I think that *everybody is busy and everyone is busier than they were 5 years ago*, and there are stresses in every sector, there are *very few people that I know that are coasting in management decisions* – so I think you are right that *anything that disrupts the difficult equilibrium* that they are trying to manage may well be resisted.
- L6: *“Those who look at the opportunities from strategy, become wrapped up in it and become divorced from the real world, so the only people who can really sometimes create an improvement to that production system are the people within it, but they’re so geared to it, that it is Monday and so and so always happens on a Monday”*

Leader 6, had earlier described how he delegates Intellectual Stimulation and Inspirational Motivation, this reflexivity from him seems to be an underlying *passive* Idealized Influence, expressed through a strategic process within clear delineations for welcoming and participation, implying power-distance gaps (cf. Hofstede, 1973, 2010 for example) between the leaders and other roles.

- L7: *“Our managers are very week, and quite often managers stifle innovation because they are the people here who are used to doing the things the same old traditional way, so they’ve worked in the same job for 30 years in the same authority, having worked their way up the ladder – and actually we’ve found that when some of these have retired – many because of the budget, but many of the younger, not necessarily younger by age, but more junior that have come through are more innovative, having been frustrated by some of the ways of the old managers and ways things have been done in the past, and I take the fact that we have to downsize as an opportunity to free up the staff more”*

Leader 7 adds to her dominant (*Laissez Faire*) style, in effect expecting that a change in personnel will unlock stimulation and motivation through the promoted replacements being more amenable to her Idealized Influence.

- L8: *“Just as Clay Christensen [SIC] (Reference to Clayton Christensen) does to get disruptive innovation to happen within an enterprise unless you create safe-spaces to give it a go in, I think that intrapreneurship is an incredibly difficult*

thing to actually make happen in a mature organisation so I am also grown up enough to know that I have to be able to create at times safe spaces in order to get the idea going”

Leader 8, balances his respect for the inherent resistances to disruption, with his own drive to achieve his own (active & effective) Idealized Influence

- L9: *“I think you have to be sometimes cognisant of your own shortcomings, and that’s hard, because you will not take that from people who work for you, no that’s wrong you will take it, but you won’t seek it from people that work for you, so that’s why I’m absolutely certain why people have come up with mentoring and buddy systems in organisations so that criticises of you and I mean good criticisms not just bad ones, and the way you act, is easier when it comes from someone who declares themselves to be your buddy, somebody that is detached from your business unit”*
- L9: *“I think inevitably, innovation and innovative practices will encounter resistance wherever you are, and that why often if someone comes to me with an idea, my first reaction, my first questioning is who did you consult with, who did you talk to, because often there is that sort of, particularly in universities if you haven’t engaged with a wide group of people then you invariably will encounter resistance”*

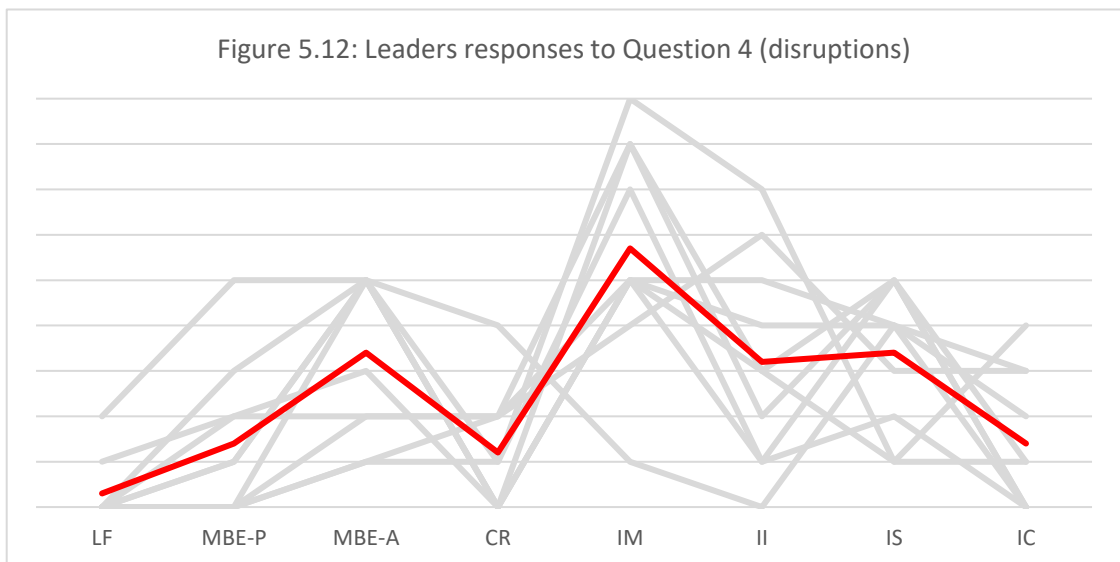
Leader 9 was describing the concept of disruption and spent some time referring to ideas being seen as a criticism of the current organisation, and its members. This reflexivity in being open to criticism is perhaps evidence of Idealized Influence, however this is weakened by the suggestion that Intellectual Stimulation is contingent upon who the leader considers to be a buddy, or an outsider. Leader 9, (as does Leader 3) also describes resistance to disruption as being part of an institutional absorptive capacity. These were reflexive moments for both leaders, as to recognise that overcoming these issues, through believing in, and being active in their Intellectual Stimulation to affect absorptive capacity includes their Idealized Influence as to be one of the fundamental factors / levers of leadership.

- L10: *It has taken 5-6 years of work of relentlessly going in a particular direction, it would have been very easy when we were starting to do our major change programme, when we were causing major disruption, and some people felt that that disruption was unhelpful, and unhealthy, Part of that disruption was that we*

took the view we needed – and here is the reality check that *we needed to make a financial saving* – so the primary starting point was that we needed to make a financial saving, *not because we need to make it now*, so it wasn't that we had the burning platform, or oh my god we're broke unless we do this, but it was *because what I was seeing in 2008/9 was a situation in 3-4 years' time* where the funding regime and the finances of HE generally was likely to be deteriorating.

Leader 10 is expressing his commitment to Intellectual Stimulation, which is underpinned by actively focusing on the net of leadership's Idealized Influence (a focus overall on absorptive capacity) over a number of years. Disruption here is a double edged sword used by the Leader to create new equilibriums, but also to avoid unmanaged disruptions (for example, late planning for creative destruction). Leader 3 similarly identifies having taken every opportunity to apply his own active Intellectual Stimulation to expose and align the organisation's (old) Idealized Influence, and to align these towards his own.

My interpretation of responses to Question 4 (*some managers may see any attempt to innovate as a disruption from their key work objectives. How do you encourage them to enable invention and intrapreneurship*) are expressed in Fig 5.12



This illustration suggests that leaders aim to motivate rather than inspire others, and respond by exception to those who are motivated. Some of the leader's disruptions, are to apply an Individual Consideration by removing those people who oppose the ('disruption' of) the Leader's Idealized Influence. The leader presuming that their and the organisations' ideals (absorptive capacity) are, or should become one and the same.

5.4 Inventor Interviews (Stage 3)

5.4.1 Stage 3: Inventors discuss their inventions

The inventors were encouraged them to discuss the circumstances of their invention, and how their organisation's leadership affected it. This 'ice-breaker' helped prepared for the interview question, from which I could begin to understand what they expected, and where or whether there are well defined methods of welcoming in the organisation. The ice-breaker commenced with;

- Would you describe your experiences when you pushed forward your ideas in your organisation?, Who did you raise it with?, Did things go through a process you could see and understand?, were you able to manage your own role?

This question whilst analysed into the range of leadership model, is equally related to the experiences of welcomingness, from a pragmatic, professional practice perspective. The focus is on their participation, how their interaction with welcomingness came about, who was involved and how well the inventor felt able to manage their involvement. An illustration of the responses is set out below;

- I1: "There isn't really any scheme I can point at, and there isn't any sort of innovation officer that sort of thing, and in my current organisation whilst there is lots of seemingly good intentions, there is actually no substance to them, they are always turned back at you to do all the running, so I do not think there is a process, or even really any sort of practiced approach".
- I2 (1): "But no, I don't think there was a scheme as such, we had a suggestions scheme but that seemed to be used for little stuff, like requests for vending machines to make getting a coffee quicker, and having automatic light switches to save carbon, that sort of thing – a list of ideas accepted and those rejected is sent round once in a while".
- I3: "No its not routine, in fact I would say that there is a veil of mystery over where the ideas come from, not only that but compared to a few years back, there are no meetings going on, there was a suggestion 'mail-box' but I never heard of anyone using it".

The absence of systems and signposting whilst seeming to be an expectation of transformational objectives within a transactional context is also about how actively supportive the absorptive capacity is to welcoming ideas. The inventors who

managed (despite this) commented on how they did this, which can be considered from the how contingent this is on the people in leaderships' characteristics;

- I2 (2): "I raised my ideas with my line manager first, who seemed to only take it as a pleasant conversation about a hypothetical thing, she did not really see how my idea fitted into an already busy department, and didn't really get it"
- I4 (1): "The management team only meets once a month, and they seem to guard their agenda's so to take it back for its third time took about 9 months, which is ages, but at least then we got a green-light. What seemed a bit silly was that they kept talking about wooden dollars, and that although I was not given a budget, I would have to account for these wooden dollars".
- I4 (2): "I spoke to ##### who is my line manager, and to be honest it just bombed with him, his first question was to challenge that I should have been doing on my day-job. Yes, I was disappointed by that, it was insulting to be honest, as everything I'd done was as well as, not instead of.....",

Inventors 1 and 2 suggest that their experience is Management by Exception, and suggests little in the way of (for example) Intellectual Stimulation. Inventor 4 implies that the Management by Exception is more passive than active, and suggests a Laissez Faire approach, a perception that seems to be shared by Inventor 3.

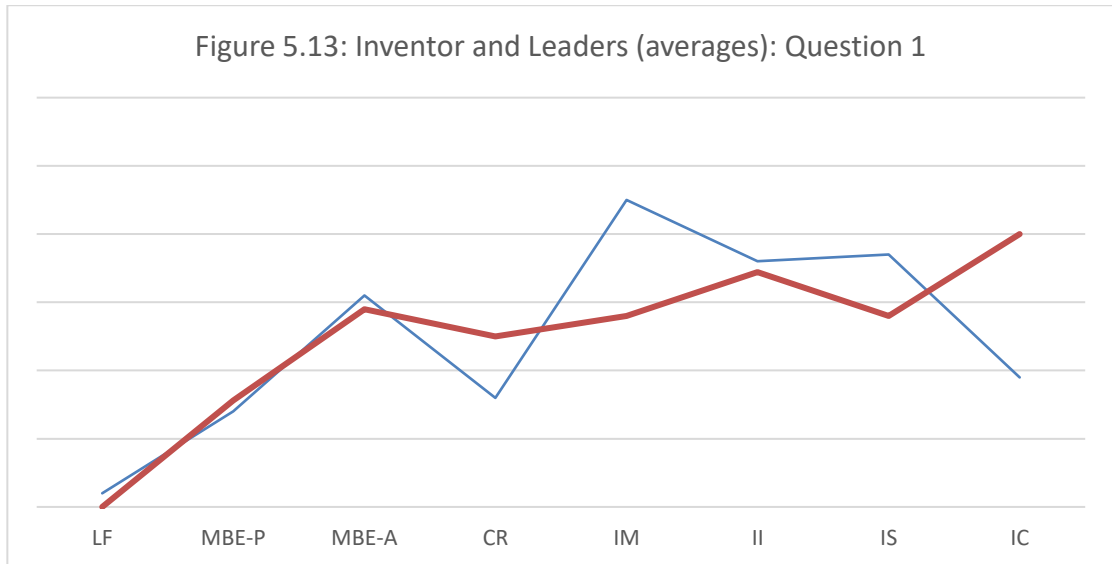
- I5 (2): "No, there wasn't a process I could see as such, although [Assistant Chief Executive] explained to me a high level plan of what she was going to do, and we then spoke every few weeks about where things were up to".
- I5 (3): "Not initially, I had no idea of how the processes worked, other than it seemed to make sense, even just as a courtesy to speak to my boss about it. When he back-heeled it, I didn't know what to do, and sat on the idea for probably about 6 months".
- I9: "We had to fight long and hard, where we had to convince people that what we were putting forward was of operational value, let alone of financial value"

The experiences can be seen in a number of groups, for example the frustrations and concerns of there not being a system to depersonalise and routinise the participation, there is a group of comments around personal responsibilities, and a further group of comments around positive and negative experiences;

- I5 (1): “If I set an objective, it is **my responsibility** to make sure or to attempt to make sure that that objective is met. Therefore, it leads to what is the best way of doing that, Number one, the buck stops here”.
- I6: “So, no its not part of my or anyone’s job, and there is no specific way of doing it, or at least not in the organised, process driven way”
- I5: (4) “No that wasn’t the end of it, because the CEO sent round an email, inviting staff to his weekly surgeries, where he sat and did his work in the canteen, and **anyone who wanted to could come and sit with him** and just chat, about pretty much anything. Well I sat with him, and told him about my idea, **which he was really interested in**. There and then he called up his ACE, **and asked her to assist and oversee my idea**”.

Inventors 5, 6 and 7 suggest that there is a culture in which enabling ideas might be welcomed, but that within this, that the leadership’s apparent MBE-*P* can evolve into MBE-*A* along the line. Inventors 4, and 2 encountered a Laissez Faire aspect. Inventor 5 is interesting, as when he by-passed the initial unwelcomingness (passive in transformational categories) of his line manager, and encountered the (active) Idealized Influence of the Chief Executive, he experienced a more Individualized Consideration from the Assistant Chief Executive, and an active response, albeit as he also disclosed in the interview, 6 months down the line.

The responses to this question include that they enabled the inventor to begin to talk about their organisation and how easily they found it to participate their idea. Here, differences between their accounts and those of the leaders begin to emerge, in that the inventors did not seem to have experienced the leader’s stated commitment to (active transformation) or personally enabling ideas, suggesting that their experience was defined more by Management by Exception, (some more passively than actively) – and even with implications of a Laissez Faire approach due to the leader’s remoteness and lack of influence over the managers within the organisation. Seen overall, the inventor’s experience can be added to the same view of the results of the leader’s discussions of their job descriptions.



It should be noted both that in Figure 5.13 this is an average, and that this only relates to the responses for the ice-breaker question, however, even at this stage there is divergence in what the inventors experienced, from what the leaders expressed as their approach. In particular, the divergence is most acute in how inventors do not experience the leader’s Idealized Influence, and to a lesser degree that they do not experience the motivation and stimulation the leader says was intended.

5.4.2 Stage 3: Question 1: Inventors discuss their expectations of the leader

Question 1 for inventors *Thinking about the organisations leader, how would you describe what you expect from him/her in terms of enabling your ideas?*, corresponds directly to the same question used with leaders and was intended to encourage each interviewee to describe what approaches they expect from their leader in influencing the organisation’s absorptive capacity, and in assisting them in the outcome they wanted from their participation. An illustrative summary of the inventor’s responses is set out below;

- I1: I do think the CEO has an important role, and I know they are busy in other things, but I can see how our organisation is missing a trick, and how my idea could be the answer on“
- I1 (2) : “You kind of expect them to have the ideas, or at least to know where the new ideas are coming from. But what did I expect?, well I expected him to have made his managers more aware of what he wanted”,

- I2: “Well I think the CEO should set an example, and should be the barrier buster, so they should be seen to be involved in getting new things done, and getting the Directors“

Here, for inventor 1, this is both an expectation of the leader to be active in their Intellectual Stimulation, and an expectation of managers to participate within the overall Idealized Influence. This implies that this is not what they had encountered, and hence that the experience was that the leadership in the transformational categories may be *ineffective* in this organisation.

- I3: I expected the CEO to add his voice, maybe some guidance and to be honest a bit of time and authority to negotiate it with Finance and IT, it kind of feels like he is saying its their job, and they're saying its his job, and I'm stuck in the middle“
- I3 (2): “I think I expect the CEO to be aware of the managers that are in the way, and to give them an attitude adjustment, or failing that, to remove them from being in the way”.
- I3 (3) “I expect him to have an opinion, to be talking regularly about the future, and our roles within it. I mean our jobs our careers, what new skills should I be learning to make sure I'm relevant”.
- I3 (4) “I would say that the best CEO that I ever worked with was without a shadow of a doubt was █████, because he had the strategic ideas, the business ideas, and he knew exactly what he wanted to achieve in the business terms, he surrounded himself by good personnel, but he could relate to people within the hierarchy of the organisation, he could relate on a personal basis 3, 4, 5 layers down, and that made that person at that level feel wanted and worthwhile, and that was the feeling I always got from him, from a professional and a personal point of view, it wasn't an act, that was the way that he went about his business”.

Inventor 3's comment, suggests inconsistencies across the (entirety of) leadership's actives and passives, (experienced as the relative effectiveness, within absorptive capacity), a point picked up as a factor of welcomingness to the participation (when expecting the leader to resolve these inconsistencies across the

leader's leadership team). Being able to identify such inconsistencies is a potentially helpful construct for developing leadership teams in professional practice.

- I5: Well CEO is the top aren't they, ours chairs our management team but I don't seem him from one year to the next. I think they **should lead by example**, that **they should confess their own ideas**, good and bad, and should show how **they are backing other people**, after all if we're not marching forward, we're falling backwards aren't we" **port us**"
- I6: "I don't think that one person has all the answers, but I think **they should be sort of like a funnel**, you know, bringing ideas together, sorting them, and making connections between the people who have similar thinking going on"
- I6 (2): "I expect the CEO **to be a fixer**, to break the 'rule' and to help the people involved do rule bound things when that is right, but **not to get so fixed in their ways as to stop new things happening**".
- I6 (3): "From the word go, **I would expect my CEO to know what my ideas were**, if they changed I would expect my boss, **I expect the CEO to listen to those ideas**, take them into account, **make sure they had been taken into account and listened to and considered**, and **I would want feedback**"

Both inventors 5 and 6, are *expecting* active Intellectual Stimulation, Inspirational Motivation and Idealized Influence.

- I7: "Well what would her job be otherwise, we have managers to manage the now, **her job is to help them manage the new**"

Inventor 7's statement seemed to support the separation of the performance engine elements and the innovation engine elements of the organisation, however the responses can also be interpreted as expecting the wider leadership to be actively supportive in welcoming ideas (question marks). Inventor 7, expressed his prevailing experience was of a transactional leadership influence in absorptive capacity that rejects ideas in favour of working on existing cash-cows.

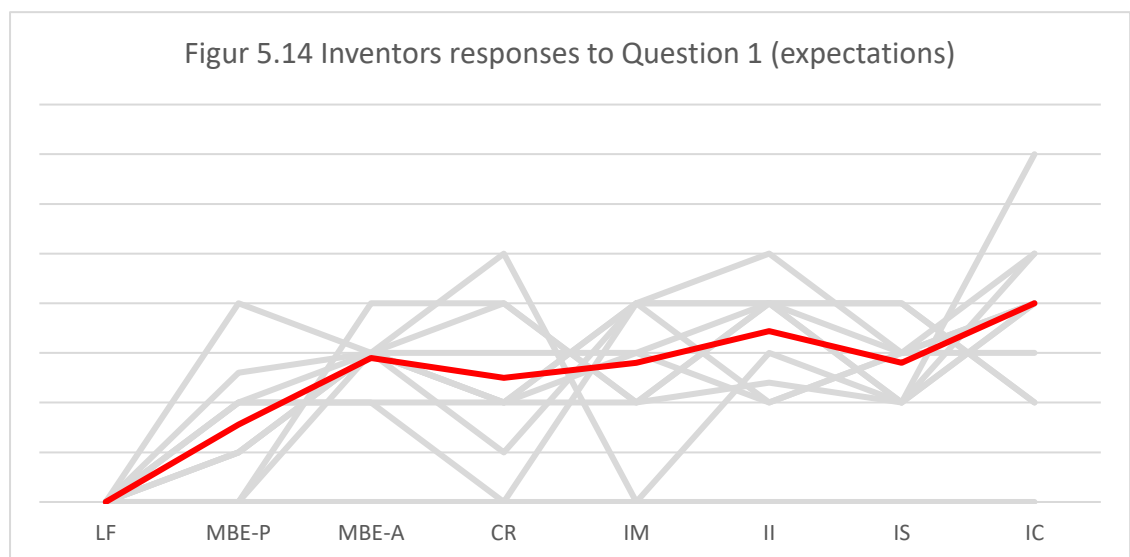
- I8: "I don't mind being proven wrong, and I like being proved wrong, on the other hand **I don't like being told what to do without anybody giving me a reason for it**. So if I present an idea and they knock it **back I want them to tell me why they have knocked it back**"

Inventor 3, is responding to Leader 3's (active) Idealized Influence, and is therefore open to his (active) Inspirational Motivation, and Intellectual Stimulation. Organisation 3, through its welcoming leadership, might therefore be expected to be more effective in the welcome, for more participation. For Organisations 6, and 8, the inventors seem to be expecting Individualized Consideration within absorptive capacity, and therefore their experience is based on expecting Individualized Consideration, through a corresponding active Idealized Influence.

- I10: "Never seen him, never really heard from him. I expect him to be our champion for success, and successes can't be had just by standing still and applying more polish to old things".
- I10 (2): He didn't seem to have anything other than have you asked ##### (my line manager) when I answered that I had, and it hadn't got anywhere, then he didn't seem to have anything else to say, other than perhaps I should 'work it up a bit' and then try again"

My interpretation of the findings includes that the responses across all of the questions shows commonalities in the expectations by the leaders of themselves, and of the leaders by the inventors. The differences become more evident where the inventor describes what they experienced. A predominant theme is that inventors expect there to be implicitly, and explicitly active Inspirational Motivation, Idealized Influence and Intellectual Stimulation which corresponds the leader's claims of where they want to be seen as active. However and irrespective of the leaders personal aims, the experience for inventors which takes into account the 'leadership' across the entirety of the leaders, managers and staff of the organisations is often of passive (by its absence, or dilution in the experience) Idealized Influence and consequently therefore of 'active' Management by Exception of Laissez Faire.

There is however a theme of expecting and of hearing the leader's personal 'active' transformational characteristics, but experiencing 'management' as an ambiguous, or counteracting (transactional) characteristic overall. There is a theme of expecting the leader to be directly involved in welcoming the idea, with Individualized Consideration, but often and particularly as in both of Inventor 10's quotes above suggest, this is not seen as clear welcoming either personally, or through the leader's Inspirational Influence over leadership overall (especially across their managing team). There is in effect an absence of the hoped for active Individualized Consideration, and a suspicion of there being little Idealized Influence.



A key finding (in relation to this research's considerations of leadership's impact on the welcoming and participation in ideas) is the mismatch of expected styles to experienced styles, and of the leader's effectiveness being experienced more through the overall leadership's (managers) active/passive dominance.

5.4.3 Stage 3: Question 2: Inventors discuss participation

Question 2 for inventors (*Do you think the organisation recognises that an employee who offers their idea is reducing their career risks by contributing to keeping the organisation's products and services up to date*) is aimed at asking whether the inventor thinks the organisation recognises that an employee who offers their idea is not just trying to achieve Contingent Rewards, but is perhaps contributing their own Intellectual Stimulation to the organisation to assist it in keeping the organisation's products and services up to date. An illustrative summary of the Inventor's responses is set out below,

- I6: “I could see how my idea cut a lot of unnecessary cost out, and **that’s got to be good for the organisation** and because we have been threatened with cuts on top of cuts then we’re all wondering how long this will go on before we have no job, so **I felt that anything I could think of would help us all show that what we do is both effective and efficient**”.
- I1: “I know there is no such thing as a job for life, and lots of companies have left this area and have been set up abroad, **so its in our best interests to show how we can compete**. Not only that, **its boring to do the same thing day in day out, I want to learn new things**, and that’s why I came to [organisation name], and because **they told me at the interview that they were looking for entrepreneurs and risk-takers**”

Inventor 6 and Inventor 1 can each be interpreted as illustrating their experience of active Idealized Influence in these statements, that is their own commitment to, (and more specifically in Inventor 1’s final sentence) an expectation of an inherently active Idealized Influence *and* an Inspirational Motivation in his organisation

- I5: “Because of the cuts, training budgets have all disappeared and there are less and less promotions, so the **only way** to stand out is **for you** to show that you have better ideas than the next person”.
- I4: Well and this is what annoyed me so much I said almost those exact words, that I was investing my idea and committing it to help the organisation, and **all I got was a kind of a blank look**, as if to say what on earth are you talking about, and **what is the organisations future got to do with a finance officer anyway**”.

Inventor 5 is reacting to an underlying Management by Exception culture in the leadership. It appears there may be Individualized Consideration, however, the way in which this is applied suggests that Individualized Consideration might be experienced as a negative, as well as a positive.

Inventor 4 also identified what appears to be a negative experience of Individualised Consideration, based on what was, to him, an ineffective Idealized Influence that could be interpreted as deliberate or undeliberate (in which case it might have been considered to be an experienced of Laissez Faire). The potential for a leader’s Idealized Influence to be different with the inventor’s views of absorptive capacity is an important finding. The underpinning issue for the leader would be, is this deliberate? And; are the implications of this what the leader intended?.

The interpretations of the responses to question 2, include that the inventors, for example Inventors 1, 6 and 4 each appeared to be referring to a commercial understanding of creative destruction and were seeing commitment to Intellectual Stimulation, which they expected to be supported by the Idealized Influence in the absorptive capacity of the organisation. This includes that their ideas were aimed at sustaining the organisation, (a key finding is that this might indicate variations in how leader's characteristics affect the absorptive capacity).

This also suggests a desire to engage in the organisation's Inspirational Motivation, suggesting an *idealized* view, (whether this is influential or not) whether or not this is aligned to what the leaders intended, or how they were experienced. In actually participating their ideas, the inventors actions suggest that that they are wishing to engage in Intellectual Stimulation, however if the leadership's Idealized Influence (overall) is not welcoming, then how anyone else's' Intellectual Stimulation and Inspirational Motivation contribute to absorptive capacity may be confused and ambiguous, leaving Individualized Consideration to be an area that is high risk, and conflicted within the organisation's absorptive capacity.

5.4.4 Stage 3: Question 3: Inventors discuss whether welcome is understood

Question 3 for Inventors (*How well understood do you think this is within the organisation*) is identical to the question asked of Leaders, and deliberately sets out to develop responses that can be directly contrasted to the experience of their organisation's leadership style, to consider differences in the perceptions of absorptive capacity. The question seeks to develop responses of how well the inventors understood the leaderships intentions for supporting ideas, and enabling innovation, how they understood the welcoming and participation mechanisms, personally and how based on their experience, this might be for other (more or less determined) colleagues across the organisation. An illustrative summary of the Inventor's responses is set out below,

- I1: "Now that I come to think about, *no I have never seen or heard anyone talking about the future* you know, people moan quite a bit about the present and moan quite a bit about change that comes from on high, but I can't think of a single time that I heard [REDACTED] [CEO] talk about what we might do to ensure we have a job in say five years time. I don't think about that all the time, but I *don't want to be doing the same old, same old in five years time*, and I'm pretty sure that we'd be out of business if I and we didn't move with the times".

- I3: *Well I didn't know anything about it, and nor did my manager, and really **until the surgery came along**, I didn't know the Director at all. **I had no idea what he thought, or what his approach was***
- I3 (2) *I talked with my colleagues about raising the idea, and it was well like they asked why did I bother as **no-one ever listened to them**, and I couldn't really get much advice on who to speak to, it just kept coming back to **speak to [redacted]** **[Director] and they would decide what to do about it'***

Inventor 3's experience (within the absorptive capacity and amongst the inventor's peers) suggests an expectation of a Laissez Faire leadership, and that participation and intrapreneurship are an unusual rather than usual phenomena. Inventor 3 does however offer perhaps a glimmer of hope that the Leader's surgeries allowed for access to his Intellectual Stimulation, and Individual Consideration.

- I4: *"I don't think I'm any different to anyone else, I probably ask the same sorts of questions, but **I don't understand why the CEO is not more open**, and particularly **why they are not more demanding of the managers** to open their eyes and ears **to engage people like me with an idea"**.*
- I5: *If you are somewhere **higher up the structure** and you realise the impact that good business strategy has on the business you will appreciate more, why the pay CEO's what they do.*
- I6: *"One of two of my friends seemed surprised that I had gone out of my way to speak with the CEO, it kind of seemed like **that was not the done thing"**.*

Inventor 5 implies that an Inventor's role in the organisation may play a role in Individualized Consideration. Inventor 6 adds to the perception that participation is unusual, and that the Idealized Influence, Intellectual Stimulation and Inspirational Motivation that organisation 6's Leader believes he is expressing, is not in fact well understood (and is therefore ineffective). For organisation 6, this is problematic as the Leader of this organisation believes his Idealized Influence is successful through just installing a mechanism....and contra to his own beliefs about himself, this suggests he is rather 'hands off'.

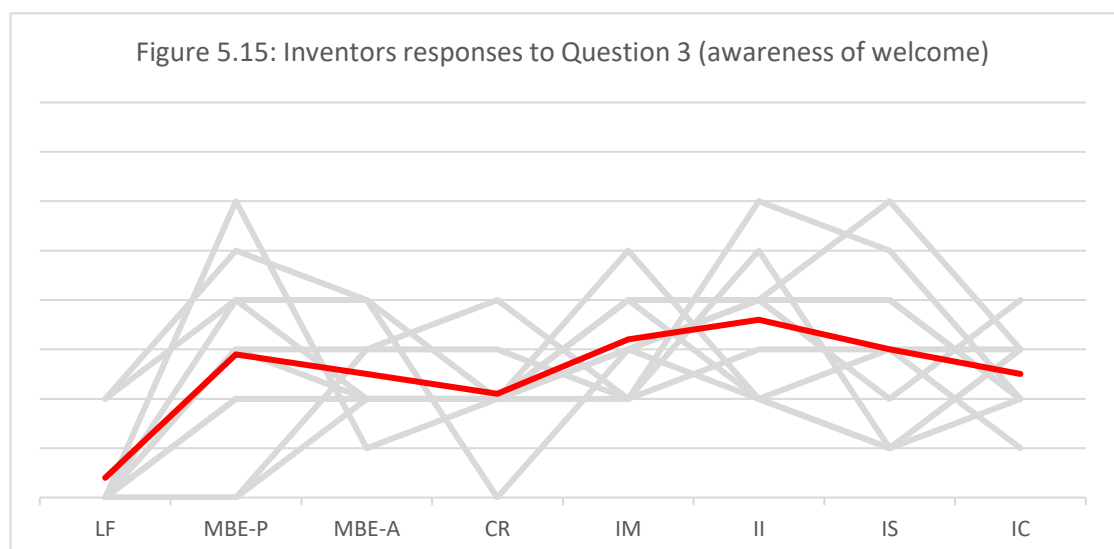
- I7: *"I don't think my views are all that much different from anyone else's, but there is **a vacuum of information** – **their silence does not encourage people to get involved"**.*

- 17: “I only took this job because *they told me that there was an entrepreneurial culture*, and that everyone has a can-do attitude, I think this *is how some of the people think*, but there are others that are *lights on but no-one home*”.

Inventor 7 expected a cohesive, active transformational culture, with welcoming across the entirety of the leadership. Here the reality is that welcoming is hard to find, suggesting that Inspirational Motivation is working outwardly, but not inwardly, and that Intellectual Stimulation and Idealized Influence are passive, hence leaving the experiences in absorptive capacity to be Management by Exception.

- 18: “It’s a bit hard to say how well understood it is, because *we all think that the likely answer is no, and that is very well understood*”
- 19: “That’s a tough one, I’m fairly new to the organisation so I didn’t really think what this organisation would do, but more thought about *what I expected any organisation to do*”.
- 19 (2): “Well I think everyone knows the answer is *no to new cash, or even invest to save cash*, and the suggestion scheme is a joke, and *its almost impossible to get anything onto Management team’s agenda*, *I know because I’ve tried*”.

Inventor 9 identifies the issue of whether expectations for active transformation, transcends *all* types and roles of employees. This question adds to the ambiguities of the literature reviews findings, and suggests that expectations of any leadership should incorporate *active* and unambiguous styles to welcomingness and participation in ideas. My interpretation of the responses from inventors of whether the welcomingness is widely understood can be illustrated as in Figure 5.15



I found these responses to suggest that each of the inventors I had met was a highly determined, confident individual whose stories seemed to identify that they had had a battle against the Laissez Faire, and de-Individualized Consideration 'welcome' for their idea to progress to intrapreneurship, and that having done so, that (although they didn't wish for this to be the case), but that they expected that this would be part and parcel of anyone else's experience. Even these however, identified that they felt that there were also equally creative people in the organisation, for whom the frustration at what seemed to be unwelcoming leadership styles were too much of a barrier to overcome. Another of the important findings from this question is that the responses suggest an issue in that some of the leaders only address the absorptive capacity through stating their Idealized Influence and not managing this through the leadership culture, and into the processes, experiences and results.

5.4.5 Stage 3: Question 4: Inventors discuss disruption from participation

Question 4 (*Ideas can often be called 'disruptions', what barriers and issues have you encountered*) seeks to ask the inventor to consider what it is that might prevent their participation being successful, and was aimed at drawing out the inventor's views of the net Idealized Influence in the organisation's absorptive capacity (including, and or despite the leader), and how this affected their participation. An illustrative summary of the Inventor's responses is set out below.

- I1: Yes, that's exactly it [they see it as a disruption], I didn't think of that at the time, but yeas it seemed like **I was creating an inconvenience for my boss**, even though I thought I had a great idea, that could be implemented quite easily, and that would have lots of benefits for our customers.
- L4: Yes, absolutely, **anything that isn't doing the day job is wasted effort**, and it seems to me that having the audacity to have an idea, even if its in your own time, **is treated like you're stealing from the organisation.**
- I5: I'm not sure I'd call it that, although certainly my manager was pretty arsey about my having spent time on my invention, **he accused me of wasting time**, and even when I told him I hadn't he was really arsey about it.

A less direct view (passivity perhaps) was also detectable

- I2: Sort of, I think **they do see it as a disruption**, and that **they avoid this** by **not making ways for us to engage and get involved with ideas** and innovations.

- I7: I think that the mechanisms have either **fallen into disrepair**, or have been **made so arduous** as to make sure that people **give up and go away**.

Arguably, the comment from Inventor 7 below can similarly be interpreted as that there are issues in the absorptive capacity

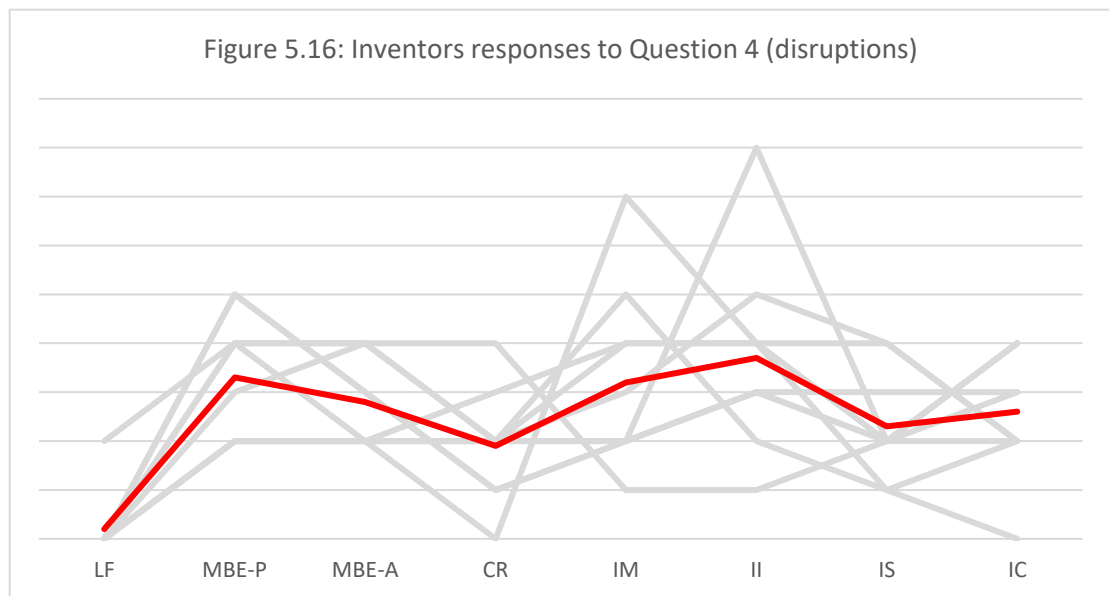
- I7 (2): There's lots of examples around in the working sphere, and there are a lot of people who just want to turn up, do the job and go home. **For all the new ideas** and all the **ways of progressing** it means diddly squat to them.

The responses from inventors correspond to the risks of Idealized Influence and Intellectual Stimulation being experienced as a negative, (conflicting with their expectations of the absorptive capacity, and being seen as deliberately ineffective to their aims) and, consequently synonymous with Laissez Faire. The comments from Inventor 7 are at first view, surprising however, Leader 7 seems to be presenting a more divergent pattern of Idealized Influence, (with a high concern for her leadership team's influence), and perhaps therefore, this organisation's absorptive capacity is in more urgent need of attention than some of the others.

- I10: "I think that to throw in another word for disruption would be turbulence, and I think that **change only happens because of turbulence**, so in other words, change, turbulence disruption are all synonyms, so in order for change to happen, whether that is change for the good or the evil, **there needs to be turbulence,** **there needs to be disruption** **otherwise everything would go into stasis, there would be entropy and so on and so on"**

My interpretation of the responses to Question 4, (regarding inventors descriptions of participation in ideas being seen as a disruption) include that the ambivalence or resistance they describe can be considered to be both a Laissez Faire 'leadership' (if Idealized Influence is passive), and incoherence in the absorptive capacity if this is based on an *active* Idealized Influence of the leadership.

This summarised sample is indicative of the entirety of responses in suggesting that the welcoming mechanisms being triggered by the attempts to participate an idea are on the whole, Management by Exception (Passive). Inventor 7 for example described that he felt that in pushing forward an idea, he was conflicting with his managers Idealized Influence by causing his manager to feel that they would have to misuse organisational processes (and their perception of ‘performance engine’ priorities) that the manager appeared to hold to be more important. The averages of responses can be expressed as set out in Figure 5.16



Inventor’s experiences of Idealized Influence should take into account that this may include ideologies they disagree with. For example Inventor 5 sets out that his manager’s Idealized Influence ‘welcome’ to their attempt to participate an idea, was to accuse the inventor of wasting his and the company’s time. The issue of barriers (to disruptions) is a significant finding for reflection in each of the organisations.

5.4.6 Stage3: Inventors discuss motivation to participate again

The final question sets out to illustrate the consequences of disparity between the expectations of leadership approaches within absorptive capacity.

The final question (*Do you think your organisation might be losing out on valuable ideas?*) was posed only to Inventors and not to the Leaders. This question sought to understand whether based on their experience that Inventors feared that there were ideas that might never get to participation, either by the experience of their own welcomingness in past attempts, or due to the organisation’s absorptive capacity. Responses included;

- I think there is a very thin line between you looking for somebody within – and encouraging good ideas, and other people thinking that that's what so and so is paid to do. (Inventor 8)
- You can encourage participation and innovation, it can be seen as a way of encouraging us to be more involved in how the company works, and there is the other side, is why should I be bothering. (Inventor 2)
- Yes, they seem to have black-holed mine, so I'm not sure I'd go to the effort again, (Inventor 4)
- Yes, I think that other people do think the same, I mean I haven't gone round moaning about it, but if all that's in it is the grief I got, then I can't see why anyone would bother. (Inventor 3)
- Absolutely, the surgeries will capture some, but people have to be listening, and people have to be talking for anything to happen. (Inventor 8)
- Are you kidding, no-one is putting forward anything new, certainly not me, I'm just looking for an out, to go work somewhere more like me, (Inventor 6)
- Well they 'lost' mine and its odd when I talk to my friends in other organisations that have adopted similar ideas and it seems to be going well for them. It kind of feels like that an idea is not an idea until the right person comes up with it, and I have heard that a year and a half later something similar is being done, but I'm not involved. (Inventor 1)

My interpretation of the responses include that there was a common feeling that the inventor's (poor) experiences in the welcome they and their idea received were the consequences of the barriers that middle management either imposed, or that they, (irrespective of any motivation or stimulation from the Leader), seemed unable to remove.

The outcome can be interpreted that although an inventor may be aligned in the Idealized Influence objectives with leader, the absorptive capacity of the rest of the organisation (and particularly those in middle management positions) may not be in the same place. Inventors were often unable to access or know of the leader's commitments hence the 'welcome' is likely to have less leader influence, and more manager barrier (which suggests that derivative research using this analytical approach if undertaken with wider managers groups would be valuable).

The comments from inventors each suggest a de-commitment to participate again (at least in their current organisation) specifically due to their experience. The responses are summarised below in the 'welcomingness' format.



The underlying outcome was that the Inventor's expectations were not met, the experience in all cases is less than the Leaders expectation and it might be suggested that the Inventors had generally had a rather unwelcoming experience.

5.5 Stages 1, 2 & 3: Summary and conclusion

The examples from the empirical research set out to develop a picture of what welcome is happening when an idea is participated, describing these in relation to the eight leadership characteristics of the Bass and Avolio (1994) Full Range of Leadership model. The research focuses on the underlying question; *is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?*. The illustrations of the results set out in this chapter, reflects the aim to consider the underpinning questions;

- Using a mixed method approach, built around the Full Range of Leadership model, we can assess how the passivity or activity within each of its components of leadership *can* affect absorptive capacity.
- Using analysis of their job descriptions, and through interviewing, we can identify how the **leader's** own expectations of their passivity and activity within each of the components of the Full Range of Leadership Model (Bass and Avolio 1994) can be seen as indications of their (and their organisations)

welcoming for participation of ideas and inventions? (the Leader's view of absorptive capacity)

- Using interviews, we can identify how an **inventor's** expectations of the leader's passivity and activity within each of components of the Full Range of Leadership Model (Bass and Avolio, 1994) can be seen as indications of the leaders welcoming, and which affects participation. (the Inventor's view of absorptive capacity)
- Expectations and experiences can be contrasted, to identify alignments and misalignments between leadership characteristics and absorptive capacity.

In this research, the interviews are broken down into the expectations and experiences, across leaders and inventors from the same 10 large organisations.

The results, when compared and contrasted together allows for a rich picture of what is happening from the leader and inventor perspectives. Given the richness of the interviewees own words it is hard not to include all of what was said, and what is shown is perhaps around 20% of the total. Illustrative summaries have been included in this chapter, to enable these to be seen in context when examined in Chapter 6.

6 Discussion and contributions practice and knowledge

This research explores the question, “*is participation in innovation affected by how the organisation’s leadership supports and welcomes ideas*”. The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed for how they affect people with ideas. The assessment process used, considers both what is expected of leaders with what has been experienced, to enable organisations and leaders to reflect on areas that they might (if needed) develop to maximise effective participation in innovation.

The objectives of the research are to construct the analysis through a first stage of the systematic deconstruction of the job descriptions of leaders, accompanied by the development of a process which can identify types and proportions of leadership characteristics in what leaders express (Stage 2), and in what the inventors (Stage 3) in their organisations express about the innovation in their organisation.

Together, the three stages of analysis help leaders, and leadership teams consider how they and their organisation might welcome ideas. The assessment process developed and applied in this research considers both what is expected of leaders with what has been experienced to enable organisations and leaders to reflect on areas that they might change to maximise effective participation in innovation.

I have argued that leaders may be unaware of how to interpret their approach, particularly in how it relates to certain situations (for example, ensuring a rate of ideas that is better than the risks of creative destruction). This in turn I have argued affects absorptive capacity, and therefore the welcomingness to participation in the new ideas an organisation needs to innovate, and thus to sustain itself. I have argued that this does not happen in a simplistic way, and that there are multiple situations occurring simultaneously. I have identified the key situations of leading cash-cows in day to day operations, and question-marks for future development.

The approach to assessing leadership in relation to innovation has resulted in a number of observations, including that leaders typically have different and higher expectations of themselves than interpreting their Job Descriptions would suggest, and that leaders typically have the view that their organisation lags behind their expectations. Based on the analysis of the data the key and most influential leadership characteristic is the leader’s Idealized Influence, and the findings suggest that where there is an insufficiently asserted Idealized Influence, this

reduces the effectiveness of the Inspirational Motivation, Intellectual Stimulation and Individualized Consideration, and results in ambiguities in absorptive capacity.

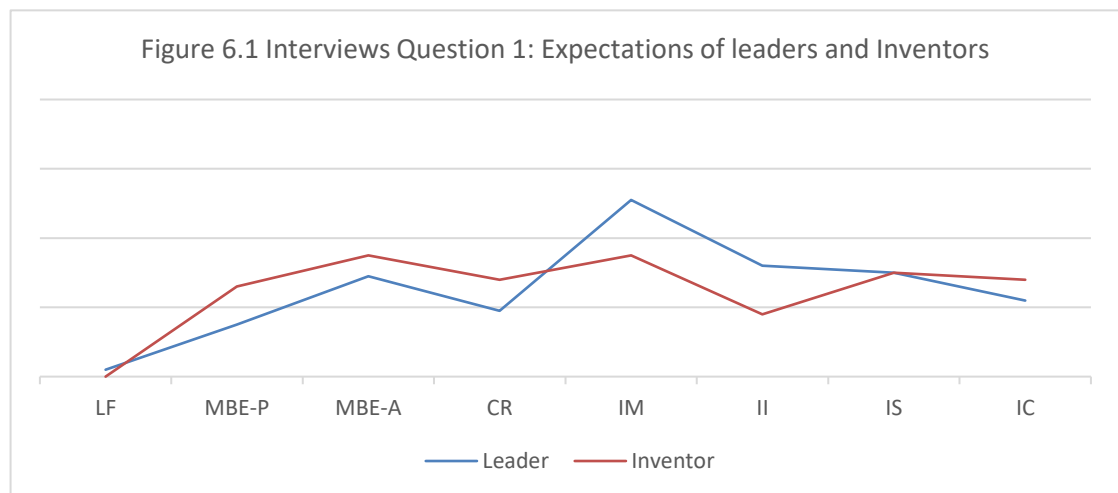
In this chapter, I first illustrate and discuss the findings, relating this with the core transactional / transformational leadership theories as well as looking at how this can be operationalised from a professional practice view point. In this chapter, I also discuss how the methodology developed for and described in Chapter 4, can be applied in specific organisations, for similar (and other) assessments of leadership and their own relationships with their absorptive capacity.

6.1 Summary findings discussed

The summary findings include the analysis of the leaders and the inventors interviews, and are related to the four common questions asked in the interviews.

6.1.1 Expectations

The expectations of leaders and inventors are summarised in Figure 6.1



Typically, the leaders state that they are each personally involved, with *active* Individualized Consideration for inventors from all across their organisation. Just one participant (Leader 4) was divergent, in referring to innovations only coming from his managers, [the corresponding responses to the same question by inventors are contradictory to leader 4's perceptions of a personal involvement].

The disparity between Individualized Consideration and Contingent Rewards, may be related to the disparities between Idealized Influence and Inspirational Motivation, and the suggestion that ideas need to be *pushed* to gain Individualized Consideration, may explain the disparities between MBE (A and P). Here again, Individualized Consideration, whilst mostly, should not always taken as a positive thing to experience. Some inventors refer to different people getting different levels

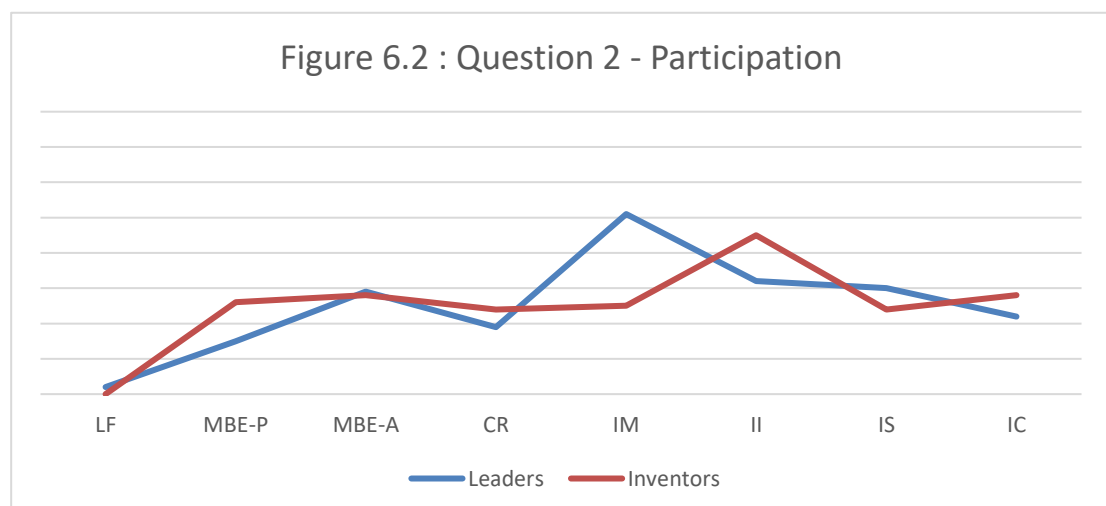
of *individualised* welcoming based on position and popularity as opposed to the merits of the idea, and one inventor even referred to subsequent 'individualised' vindictiveness towards her and her idea.

A number of the leaders set out their active Intellectual Stimulation as having been behind schemes and initiatives in which other people were encouraged to participate their ideas into. For example Leaders 10, 8 and 5 each identified these mechanisms as having been originated and driven by them personally. Others (Leaders 6 and 9 particularly) often used 'we need to' aspirational terms of expression to suggest their (Idealized Influence) and outputs terms such as '*innovation is a high priority for us*', which suggests that they were not, or had not been as personally involved in the actual process of participation as they had appeared to describe in response to the first question. This is a key finding, as it demonstrates that 'aspirational' and inactive Idealized Influence could be seen ineffective, inauthentic and potentially even de-stimulating.

The overall position can be seen as the leaders *wishing* to be seen as inspirational, motivating and stimulating but not necessarily aligning this to, and empowering it with *active* Idealized Influence. This suggests that their organisations are at risk of this not being experienced as effective due to the leaders absent, or ambiguous communications to actively inform and stimulate absorptive capacity. There is a degree of frustration about an 'old guard' of managers who the leaders (Leader 7 refers to directly, but also referenced by Leaders 3, 4, 8 and 10) felt were holding back the leader's intended Idealized Influence leadership of the organisation.

6.1.2 Participation

Question 2: focused on whether leaders and inventors believed in participation.



In the responses to Question 2, where leaders expected to be motivating, inventors expected them to be expressing this in more idealized terms. Inventor 3, for example focused on the issue that his motivation was to enable the future of the organisation, and that this is what he wanted to hear from his leaders. Similarly Inventor 2 suggested that Leader 2, talked a good fight, but never explains what he as a leader wants to achieve for organisation. The expectations vs experience are important to note, for example,

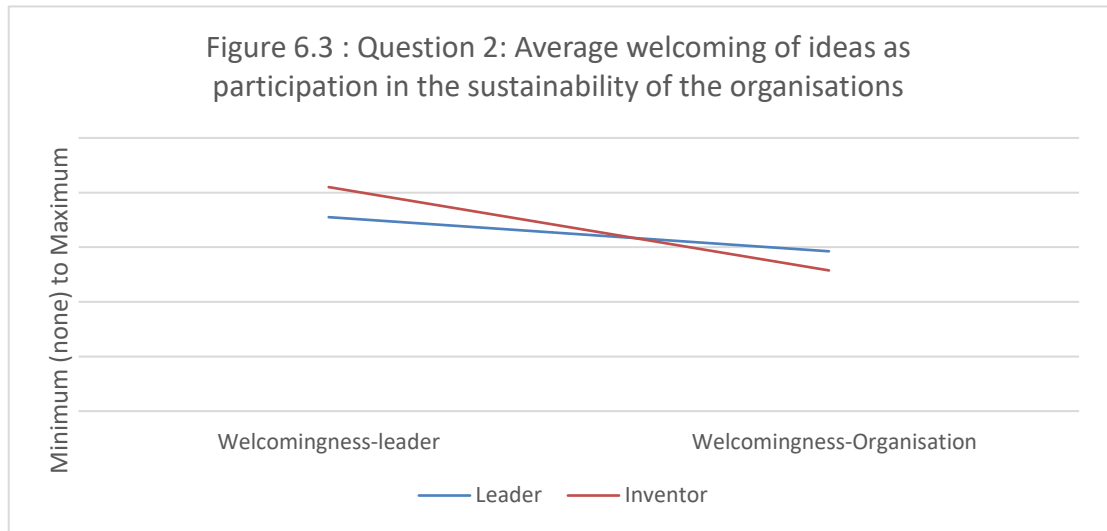


Figure 6.3 illustrates that on average, inventor have a higher *expectation* of leaders, and that leaders have a higher *expectation* of what they believe the organisation's welcome to participation will be (as this takes into account the leaders issues with the successfulness of their Idealized Influence across the entire organisation). The differences between expectations and experiences shown in figure 6.3 firstly demonstrate the differences in absorptive capacity, and exacerbate the differences shown in 6.1, and which might therefore be shown as in 6.4 below.

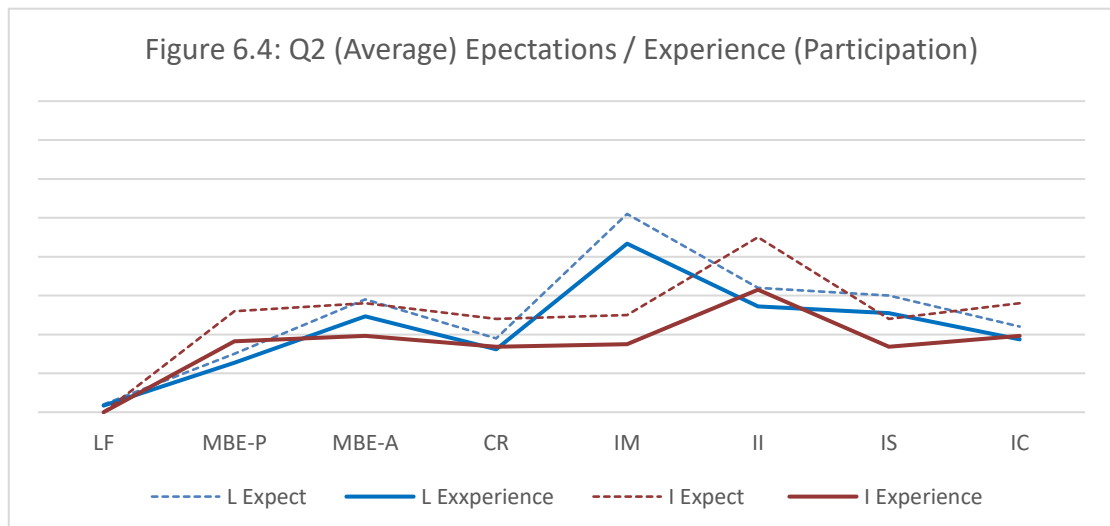


Figure 6.4 serves to illustrate that on average, expectations are further away from the desired characteristics than what was experienced.

6.1.3 Awareness

Question 3 focuses on the levels of awareness and consequently on the successfulness of the communication of leadership's intended styles. The summary are expressed as the averages of expected and of experienced characteristics.

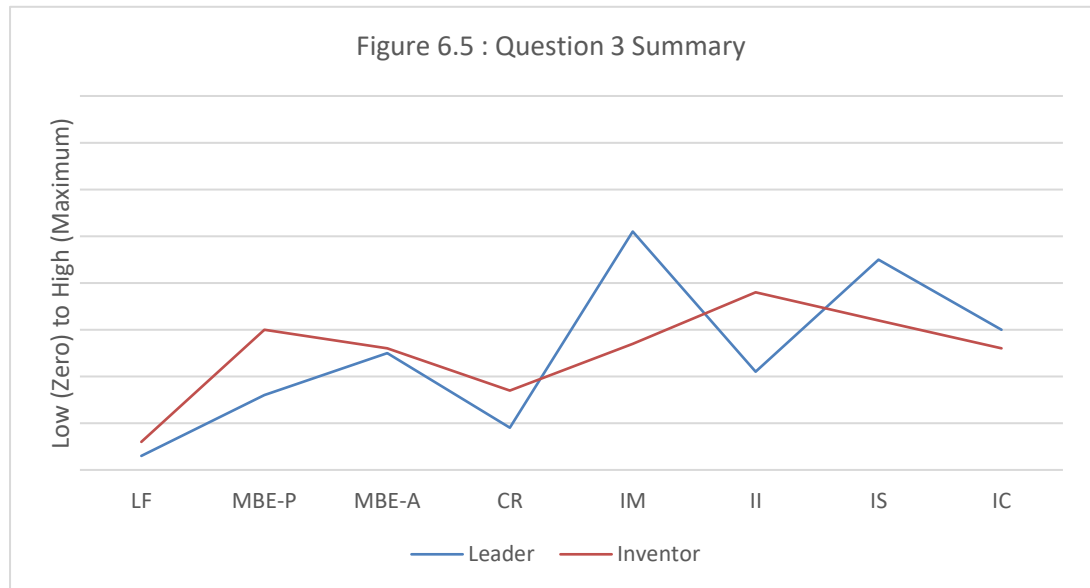
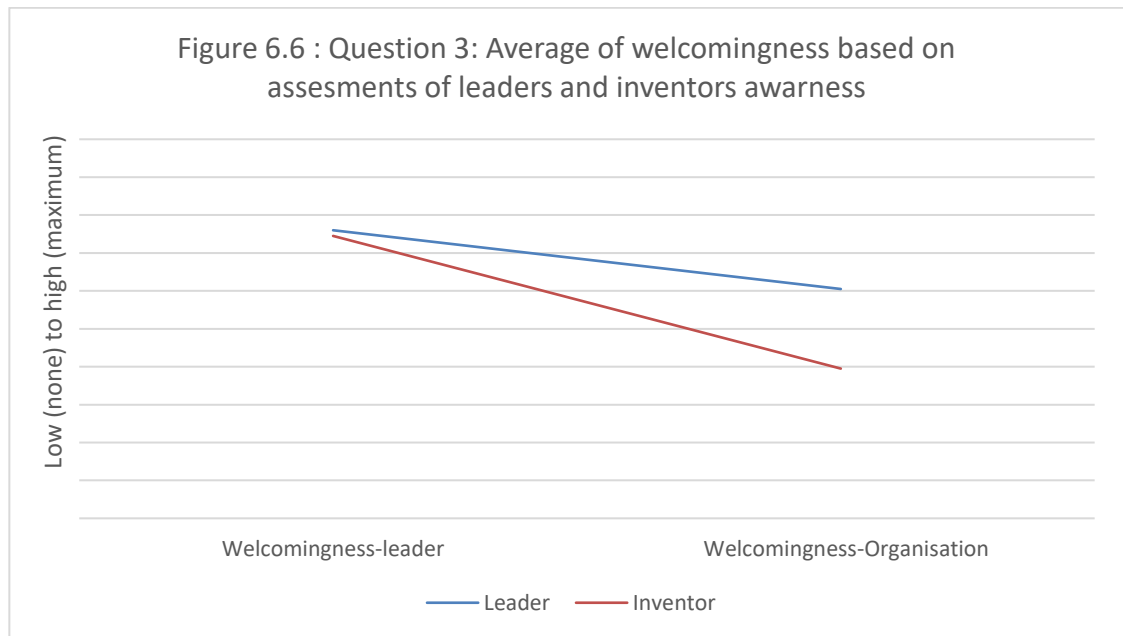


Figure 6.5 sets out the characteristics the Leader expected of themselves, by identifying the predominance of each of the eight characteristics amongst the responses given to the question. This is contrasted to the expectations that Inventors had when responding to the same question. In the responses, words and phrases suggesting Idealized Influence are less referenced than those suggesting Inspirational Motivation by leaders, whereas inventors expect the Leader to show a personal belief. Herein lies an ambiguity, which suggests that the strength of authenticity within an active Idealized Influence is required as a foundation to Inspirational Motivation, (and is similarly needed as a foundation to Intellectual Stimulation). A key finding is that some of the leaders seem to hold back on their own ideals, and as such speak in 'you can' rather than 'I believe in...'

This may be due to Leader's voice not being heard, or that they are not as accessible as they believe, or perhaps that they are not as influential across their leadership team as they might hope. However, the results suggest that inventors expect a more cohesive leadership, with a clearer commitment to action. Both have relatively low *expectations* of Contingent Reward or Individualized Consideration, (which suggests ineffective Inspirational Motivation), which in turn suggests

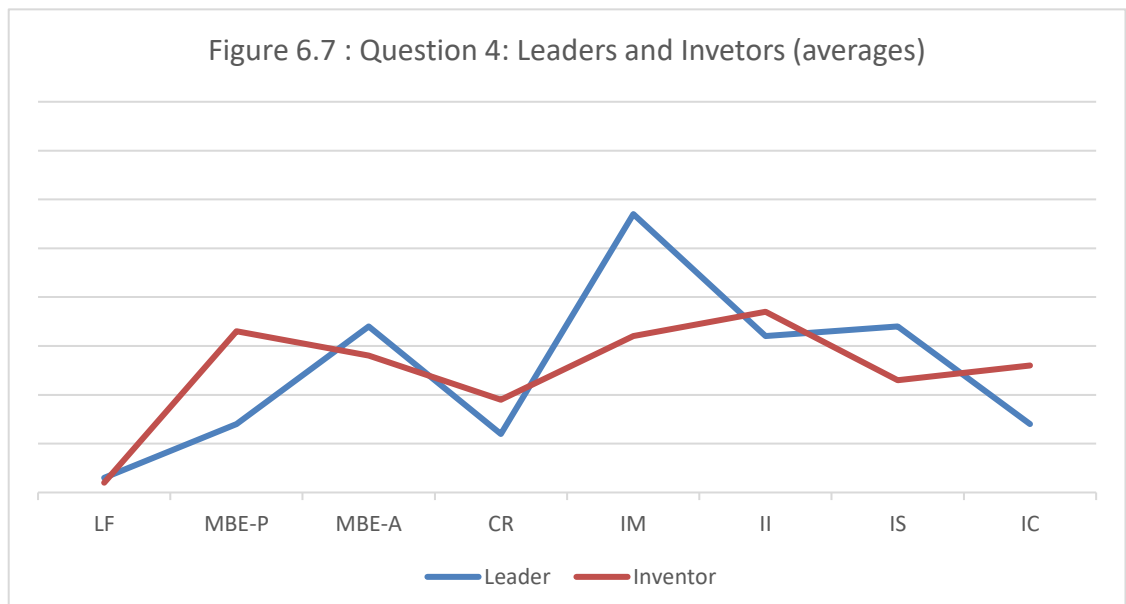
ineffective Idealized Influence and which in turn suggests a more operational than intrapreneurial emphasis across the organisations.

Figure 6.6 sets this out in the simplified view of welcomingness, which maintains that the Leader's self-view that they are more welcoming than the organisations they lead, but also maintains that this is significantly higher than the inventors view.



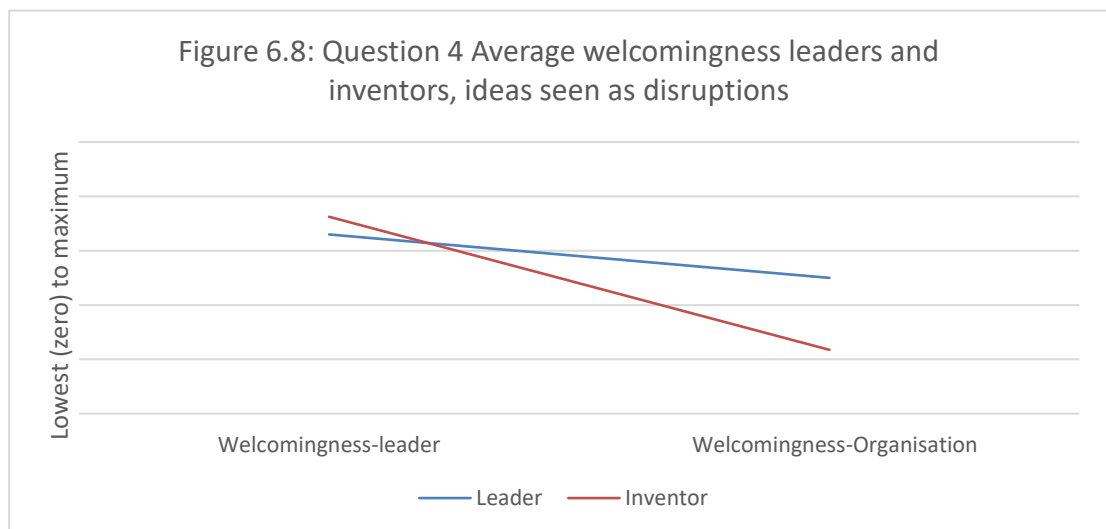
6.1.4 Disruption

Question 4 aimed to consider absorptive capacity through seeking to assess how ideas and innovations are seen as welcome or unwelcome, disruptions. The responses have been expressed in the range of leadership model in Figure 5.24



The illustration of averages in Figure 6.7 adds to a picture of there being ambiguities between what inventors expect in terms of leadership approaches, and what they experience. This shows, Management by Exception (Passive) as something that can be contrasted to the Leader's beliefs in which their Inspirational Motivation is key (and which needs Idealized Influence). As the research has developed, the key finding is that Idealized Influence has become a focal point, an accompanying modifier whose activeness and passivity affects impact on the effectiveness and ineffectiveness of each of the other 7 leadership approaches.

Figure 6.7 illustrates the average of the leader's views (in relation to question 4 alone), and, contrasts these with the inventor's experiences, to show that in terms of barriers and disruptions, this is where there is disparity between the leaders Idealized Influence, and that of the inventor, and therefore how this affects the other characteristics. This picture is further described in figure 6.8 which illustrates that leaders feared that the consequences of ideas being seen as a disruption will be experienced as a lower level of organisational welcomingness, however what the leader's may had not anticipated, was just how profoundly worse that experience (as plotted from the inventors responses) might be.



The disparity in 6.8, exacerbates the differences from 6.7, hence the level of unfulfilled expectation for inventors is significantly greater, than the unfulfilled expectations of the leader. That the leader has lower experience of the organisation than they would like, is related to the discussion of there being a legacy of an 'old-guard' in the leadership that is out of alignment with the leader and the organisation, and that it is the old-guard that are treating innovation as a disruption. Leaders who encouraging other senior managers to enable ideas was a frequent theme, and

each leader described (often expressed with some frustration) that dealing with the 'old guard' was a difficult and lengthy task. However, Inventors considered it the responsibility of the leader to resolve this and held the leader personally accountable for his/her leadership teams.

Figure 6.7 illustrates that the leader's Idealized Influence and perceptions of the organisation's welcomingness (in the absorptive capacity's ability to absorb 'disruptions') are lower than those expected by inventors, and as shown in Fig 6.8, it is in compounding Idealized Influence, with active Intellectual Stimulation to adjust Inspirational Motivation that they infer is how they try to close the gap. This is a key finding for this research in that Intellectual Stimulation's effectiveness and improvement is dependent upon the experience of how effective the Leader's Idealized Influence is.

6.2 Considerations of Leadership expectations, Inventor experience

In Chapters 2 and 3, the literature was reviewed for its relationships and explanations of how leadership characteristics relate to promoting participation for the innovation aspects of leadership. This resulted in the adoption of the underlying principles of the Bass and Avolio (1994) Full Range of Leadership Model, which with the adaptations developed in Chapter 4, to form the mechanisms through which to analyse what characteristics are expected and experienced by leaders and inventors from the same large organisations. This enables analysis to go beyond (as was discussed in Chapter 3), where leadership theory has (as it often seems to be) been simplified for dealing with management in single issue situations. An aim of the research was to go beyond the more typical focus of literature on just an organisation's *cash-cows* (Boston Consulting Group 1968), and consider the management of *question marks*, (ibid), rising stars, cash-cows and dealing with *dogs*. In contrast to considering where leading innovation (question-marks) is separated from day to day organisations (cash-cows), this research helps to consider which characteristics need emphasis for a more transcendent leadership.

In the data gathered for this research, leaders and inventors describe a complexity where the leadership appears to be sometimes applying a cash-cow leadership style, to the needs of a question mark. The question of whether leaders were involved in a sequence of American-football'esque, separation between offense and defence (the innovation/performance engines described by Govindarajan and Trimble 2010) does not occur for the organisations studied. This need for a more

transcendent perspective, is incorporated in the research conclusions, and is reflected in the analysis of the relative passive and active leadership characteristics.

A key finding is that; the leadership characteristics in the prevailing absorptive capacity, (its culture, values, influences, receptivity and processes) are common to, both the every day operations for cash-cows, and, and at the same time as to innovation activities for question-marks. This conclusion influenced view that the characteristics within models such as Bass and Avolio's (1994) Full Range of Leadership, must therefore account for there being a range of transactional and transformational characteristics simultaneously.

The findings in Chapter 5, provide a picture of where innovation is positioned in relationships to the eight leadership characteristics. Both leaders and inventors identified the *leader's* characteristics, personally, as the key *influencer* of ideas and innovation and the champion for question marks and adaptations in absorptive capacity. However, there is a strong suggestion (by both leaders and by inventors) that the wider leadership may include supportive, but also a contra-influence on innovation (as a disruption) from their concentration on cash-cows and steady state.

In Chapter 1, I argued that organisations are more and more susceptible to *creative destruction* (Schumpeter 1942), and that consequently, organisations are more and more in a state in which innovation is happening regularly, to the degree that this activity (through Schumpeter's (1942) and Utterback's (1996) diffusion curves etc) can be seen as happening as a constant cycle within the organisation. The findings identify where an inventor had therefore expected there to be welcomingness to their idea, and expected the prevailing leadership to believe in and exhibit the characteristics needed to support the idea through to becoming an innovation.

A key finding is that; Whether or not an inventor (or indeed the leadership) is consciously attuned to diffusion and creative destruction, there is a tension between the leader's support for the inventor and their question marks and the leadership's support for cash-cows. This tension affects the experience of welcomingness, which in turn requires a conscious and visible consideration of the leader's influence with the totality of the leadership as well as in their own characteristics.

The findings in Chapter 5 illustrates that leadership comprises of the simultaneous combination of different proportions of the FRL's 8 characteristics, and not just an immovable bias. These reflect the leader *and* the leadership team, in which the

effectiveness (or ineffectiveness, absence, or incoherence) of some characteristics has dominance over others. The findings suggest that it is *Idealized Influence* to which other of the characteristics are particularly dependent, and that welcomingness to, and participation in ideas are sensitive to Idealised Influence.

Based on the findings, I have proposed that it can be said that the (typical) leader has an expectation of themselves to inspire and motivate, including that they expect this to be enshrined throughout the organisation's leadership culture. This expectation includes that their influence will meet both the needs of the operational cash-cow oriented performance engine activity, but will also meet the needs of the question-mark, innovation engine aspects of the organisation. Inventors expect the leader to have beliefs and to express them (as an assertion of Idealized Influence) within the leadership culture, actively and effectively motivating and stimulating, so that the inventors when encountering for example Management by Exception, do so within a positive, absorptive capacity that avoids a Laissez Faire experience.

The findings suggest that leaders aim for *their* Idealized Influence to flow across leadership, but fear that it lags behind it. However, inventors are affected by the prevailing *net* Idealized Influence within the absorptive capacity of the organisation. In their original work, Bass and Avolio (1990, 1994) describe how a range of the leadership characteristics might exist in individual leaders, however to consider this both as an underlying structure, and in dependencies across the entirety of leadership and within absorptive capacity is original to this research.

A key finding is that; An organisation that is affected by a net/common/ubiquitous Idealized Influence in which the Leader's Idealized Influence is ineffective, will have ambiguity in its absorptive capacity. Consequently, the experience of welcomingness for the participation in ideas and innovations is likely to be affected.

The responses to questions in the inventor interviews suggest that the ambiguity of Idealized Influence is experienced as a risk, in that the attempts by the leader to Intellectually Stimulate, or to Inspirationally Motivate are seen as problematic, and that there is even a fear of *what* Individualized Consideration might result in. These ambiguities in absorptive capacity are experienced as a tension which has resulted in a reluctance to re-participate for several of the inventors, and a suggestion from the majority of them that participation in ideas for anyone else may be disappointing. This suggests that there is need to address the risks that participating in such an organisation may risk entering an inconsistently influenced area, in which senior

people are misaligned, and where there the unintended outcomes in 'Individualized Consideration', that may even be experienced as punishment.

A key finding is that; Inventors expect the organisation's Idealized Influence to be aligned to what they want to achieve, especially from their participation in ideas.

The leaders interviewed sometimes set out that they themselves are learning, and that they aspire to aligning '*the*' Idealized Influence. This is demonstrated in their frustrations with an old-guard of the managers they inherited when becoming leader, in that alignment takes time, and that their, and their organisation's welcomingness may not *yet* be aligned to where they hoped it will become. This finding also suggests that the leader's Idealized Influence may be heartfelt, but may not be able to influence the experience of the inventor, but also that this may also be divergent to the values of the inventor. Leaders 4 and 7 are each reported as showing characteristics that inventors in these organisations found challenging. Leader 4's seeming lack of faith in anyone other than himself to produce ideas, and Leader 7's seeming fatalism of the prevailing government's ideology towards her organisation were demotivating to the inventors from their organisations.

Arguably the leader's Idealized Influence is their prerogative, (and there are arguments here about authenticity) and may be what they were employed on the basis of. However, my contra argument is that this in itself impacts the absorptive capacity, potentially restricting morale and motivation and limiting the participation of ideas, (even, potentially to below the rate of creative destruction). Consequently;

A key finding is that; Idealized Influence can be deliberately and consciously (as well as accidentally) contrary to the inventor's expectations.

The findings summarised in Chapter 5 also suggest that the intentions and effects of Idealized Influence between leaders and inventors are often misunderstood, particularly with regard to whether or not there was progress being made into any specified 'to-be' absorptive capacity. The findings suggest that leaders live in the *aimed for*, 'to-be' whereas inventors and the 'welcome' to participation (and potentially middle managers) live in the 'as-is', *now*. None of the leaders I interviewed were particularly new in post or inexperienced. The research was not however longitudinal, (although repeating the method can achieve this) consequently, whether the alignments in absorptive capacity were moving in any direction would require further iterations of research.

A key finding is that; Idealized Influence can be unhelpful, if it is not communicated.

The findings suggest that the impact of a passive Idealized Influence can be considered both in its dilution of the other dependent transformational leadership characteristics, but also in the contingent (experience of the absence / ambiguity) as the seeming reliance only on default transactional leadership characteristics.

A key finding is that: Where Bass and Avolio (1994) set out that the expectation of passivity and ineffectiveness, or the expectation of activity and effectiveness are cause and effect. In this research a cause can be seen in an *unintended* effect, but that the actual cause is misunderstood, hidden or unclear. (See Fig 6.11)

For example, the findings suggest that without Inspirational Motivation (itself highly contingent on a well-defined, communicated and achieved Idealized Influence) then the experience may be assumed to be Laissez Faire. This is found more frequently where the inventor does not know their leader, or does not know what their leader thinks. What Full Range of Leadership disciples have failed to consider is that the symptom of these variable causes may be the same.

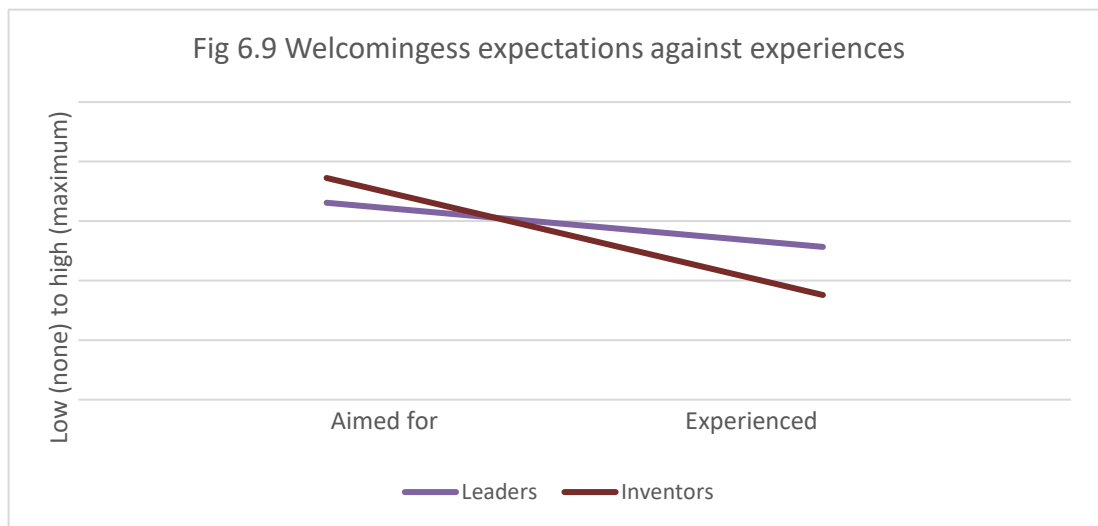
The symptoms experienced and concluded as Laissez Faire, may be that it is Inspirational Motivation and Idealized Influence that are ineffective, and the symptom of Management by Expectation-*Passive*, appears to be rendered ineffective by perfunctory Inspirational Motivation, (as this may actually be caused where Idealized Influence is less effective).

Similar ambiguities can be seen in Management by Exception-*Active*, where Inspirational Motivation is partially effective, which by association means that Idealized Influence is likely also only to be partially effective.

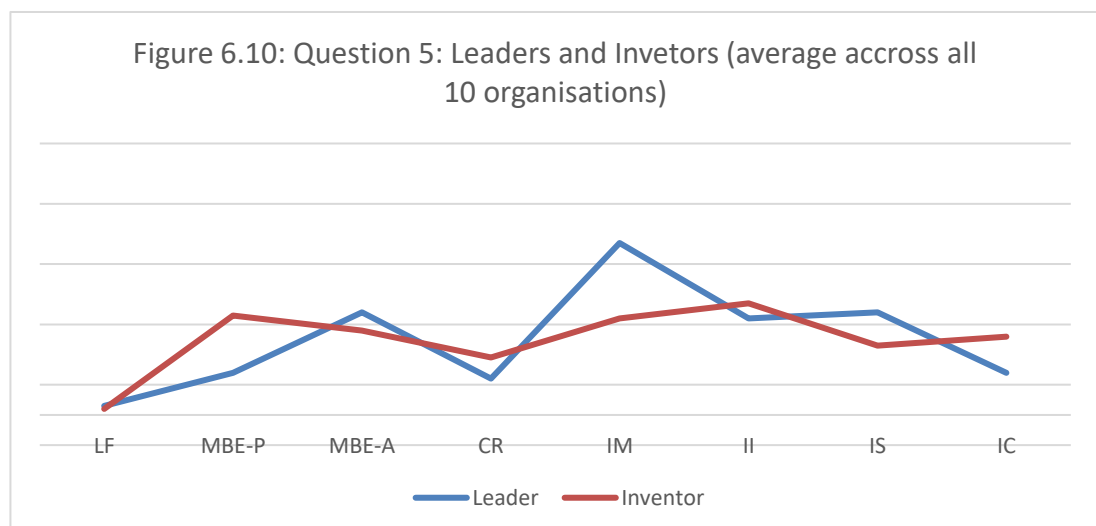
A key finding is that: The inventors expectations is of leadership, and not just the leader personally. However, this includes the expectation of the leader to use their position to affect any leadership ambiguities in the absorptive capacity.

These expectations of the leadership can be illustrated as in the example in Figure 6.9 overleaf. This shows different expectations proportionally and helps explain the potential for tensions in the absorptive capacity. This in turn identifies where changes in leadership style can be applied.

The findings in Chapter 5, suggest that a common aim amongst leaders is for the organisation's welcomingness to be equal to the leader's own. However, the evidence from inventors suggests that this too has to be actively communicated to avoid the risks of ambiguity of intent (and welcomingness) in absorptive capacity. If this can be developed, this would reduce the disparity illustrated in Figure 6.9 below, where the inventor expectations are skewed by their experience that the leadership is *only* applying a Management by Exception approach and where the inventor expectations are skewed by their experience that the leadership is *only* applying a Management by Exception approach.



As illustrated in Figure 6.9, the findings suggest that (generally) the leader's self-view, is to accord themselves a greater (better?) than they (believe) the position they believe there to be in the overall leadership aspect of the absorptive capacity. The expectations of Management by Exception shown in 6.10, reflects where the disparity is most related to the leadership characteristics, which irrespective of what was intended or how well this was communicated, are experienced as differences;



That there is a difference, suggests that leaders have overestimated how *effective* their Idealized Influence is in the organisation. The results in figure 6.10 suggest an even greater disparity between what the inventor expected of leaders influence over absorptive capacity and what the inventors actually experienced (the inventor expected more from the leadership, than the leader expected from it).

A key finding is that: the larger disparity of inventor's expectations illustrates the importance of understanding the cause of the perceptions in absorptive capacity.

A key finding is that: the gap between expectations and experience reflects that inventors often sought to bypass the ambiguities (manifest in the leadership focus on the as-is, 'now' organisation), to access Idealized Influence of the leader directly.

In addition to the "key findings" highlighted in this section, a particularly pervasive and impactful issue is therefore that of communications. Many of the key findings relate to, and can be affected by communications to clarify and align expectations, that are otherwise unresolved, misunderstood or ambiguous in absorptive capacity. In particular, expressing the Idealized Influence upon which Inspirational Motivation and Intellectual Stimulation are founded, to avoid non-participation when the experience is a perception of Management by Exception and Laissez Faire.

6.3 Considerations of Leaders and leadership Characteristics

Following the analysis of the results from the empirical research, the principles of the theory (summarised in Chapter 3) can be reinterpreted. The interdependence of leadership characteristics, and their impact in absorptive capacity can be set alongside the issues of planning for the future, as well as delivering in the present.

The results of the literature review can also be interpreted that whilst there is a fascination with ideas and innovation, the literature typically deals with these mostly independently of the day-to-day operation of organisations, and vice versa. However, the leadership needs of absorptive capacity, and the findings in the empirical research have demonstrated that these (and the associated challenges for leadership) need to be dealt with in a more multi-issue, pluralistic approach.

This empirical research has added to the body of research predicated on the Bass and Avolio (1990,1994) Full Range of Leadership model, by demonstrating that there is an expectation that ideas and participation *will* be welcomed. Through examining what is happening when participating an idea, this research has also demonstrated that developing absorptive capacity (Cohen and Levinthal, 1990) to

welcome participation requires a blend of leadership characteristics. This, (for inventors) and through analysis of cause and effect in the sub categories of the Bass and Avoilo (1994) Full Range of Leadership model, suggests the need for a conscious and well communicated Idealized Influence as a complement to each of the other transformational and transactional leadership characteristics.

A key finding is that: The wide body of research that is predicated on the Full Range of Leadership model, is added to with the concept of the dependencies between effectiveness, ineffectiveness, active and passive characteristics, that can more accurately examine cause and effects of the various blends of leadership.

The empirical research has also exposed the need for the leader's Idealized Influence to be asserted clearly and consistently through a (the wider) leadership that consciously blends its various leadership characteristics, and relates the blend to the prevailing, as well as the intended 'to-be' absorptive capacity. If this is not done effectively, the experience of participating an idea means that inventors may have to deal with an unknown. The risks to the would-be inventor is that participation may be experienced within transactional leadership characteristics in a situation that inherently needs the influence of transformational characteristics.

The findings of the research also add to organisational theory, in that they reveal behaviours in which inventors seek to bypass organisational ambiguities (manifest in the leadership of the as-is, 'now' organisation), to try access Idealized Influence of leader, and their Idealized Influence of the to-be, 'next' organisation. This offers a potential to consider motivation, patronage (Individualized Consideration), and what organisational processes, development and awareness could be put in place.

The focus on innovation in this empirical research exposes the underlying structures of the cycles and patterns of leadership's roles within the absorptive capacity in the organisation, particularly of a leader's influence as (a moving) part of the overall (also moving) cultural dynamics when in various states of diffusion.

A key finding is that: The literature, and the findings of my empirical research set out that absorptive capacity (as the net of leadership and organisational culture), across the complexity of the as-is, and to-be organisation can be uncertain and patchy. Although the formula needs to be customised to each organisation, the methodology used, enables an organisation to consider where the blend of leadership characteristics styles may need to strengthen (active) and to relent

(passive) in each characteristic in order to anticipate and nurture the cycles of creativity (ideas and destruction) specific to the organisation, at any one time.

A key finding is that: The research findings suggests that leadership theory needs to assist leaders in how to simultaneously address the ambiguities in the potentially conflicting leadership needed for both innovation and day to day delivery.

The findings from this research suggest that both the leaders and the inventors require absorptive capacity to proactively learn how to cope with the simultaneous leadership of question marks, and the leadership of cash cows. This view can be interpreted as to strongly support as Peter Drucker stated, that “*entrepreneurship is not natural; it is not ‘creative’, it is work*” (Drucker 1985, p. 138). A point I am sure he would extend to meaning that Idealized Influence, and that the blend of leadership characteristics across the all of the various aspects of business life that influence absorptive capacity, needs to be actively *worked* on in order to be effective. Drucker also states that this “*requires that innovation itself to be organized as a systematic activity. It requires that the business itself be organized to be a successful innovator. It requires both a discipline of innovation and a discipline of entrepreneurship that is a discipline of how to make innovation effective in the market place*”. (Drucker, 1985, p. XV). Although the academic theory gave limited guidance on the successful integration of the leadership characteristics and their affects in absorptive capacity, the findings from this research suggest that leaders who actively develop their, and the leadership team’s characteristics and hence absorptive capacity, such that innovation organised as a systemic disciplined activity would reduce the uncertainty for participation in ideas.

A key finding is that: Ensuring that absorptive capacity welcomes participation in ideas, is work, and this requires analysis and organisation. This research suggests that the *organisation* and *work* should include leadership development. Accordingly, I conclude that this must include working on how Idealized Influence is considered in relation to how it must actively pervade *all* business objectives.

In Chapter 3, I speculated that different styles of leadership might be one of the underlying structures affecting the likelihood of the participation in ideas. This I have set in the context of theories on the transformational and transactional styles of leadership. Despite finding (in research Stage 1) that their job descriptions suggest a more transactional emphasis, the leaders and inventors interviewed in Stages 2 and 3) typically claim to have more alignment to transformational leadership styles.

As set out in Chapter 3, I have found Burns (1978) to be something of a datum point for leadership theory. The influence of multi-factored leadership can be seen as a move from the command and control, to the analysis of motives and influence, setting out how leadership as bargaining and bureaucracy, aligns to the impact and influence of leadership in pan-organisational absorptive capacity. Burns (1978) also suggested a link between ideology, ideas and moral 'power', which is a principle that can be aligned to the potency of Idealized Influence on other leadership characteristics.

Similarly, and in the context of this research, Burns's (1978) '*increasing their levels of motivation and morality*' (p. 20), can be interpreted as *motivation*, requiring that morality is about the absorptive capacity jointly owning the welcoming of participation in ideas from which all parties benefit by maximising the chances of a rate of innovation that exceeds the rate of creative destruction. My findings suggest that Idealized Influence is a shared consideration, but that it needs to be actively '*worked*' to resolve and benefit the experience(s) of absorptive capacity between leaders, leadership, inventors and all other of the organisation's stakeholders.

Within how the inventors and leaders described 'management' (in welcoming participating in ideas) this can be aligned to what Burns (1978) refers to as 'transactional' and defines this as what "*occurs when one person takes the initiative in making contact with other for the purpose of an exchange of valued things*" (ibid, p. 21). Here Burns initially seems to be describing day to day cash-cow tasks and inferring what Bass and Avolio (1994) come to call (contingent) rewards. However, in 'valued things' this can be interpreted as how; Idealized Influence, Intellectual Stimulation, Individualized Considerations and Inspirational Motivation contribute to the organisation, to people's careers and in which resisting creative destruction is desirable.

Although Burns (1978) focused on the leader, by no means did he propose that any characteristics of leadership was permanent within any one individual, or that this might not change to suit the circumstances. Burns refers to how leaders "*shape and alter and elevate the motives and values and goals through the vital teaching role of leadership*" (Burns 1978, p. 425). This he cautions with a reference to Abraham Maslow, in that "*understanding leadership has been stultified by an over emphasis of one's self-actualization rather than mutual actualization with others*". (Burns 1978. p. 117). However, this caution (to me) alludes to the issues of the literature's

polarised considerations of leadership, and what I found to be a common positioning of leadership to the persona of a single, 'hero' leader, as opposed to their *mutual* role in absorptive capacity. In keeping with my findings on the need for leadership to learn and adapt, Burns advocated self-development and learning for leaders, in order that they have a constantly developing sense of self, and purpose "*It is this kind of self-actualisation that enables leaders to comprehend the needs of potential followers, to enter into their perspectives, and to act on popular needs such as those for material help, security and self-esteem*" (Burns, 1978, p. 118).

Burns did not consider that only the leader was the single transformational element in the organisation. Similarly, Bass and Avolio (1990, 1994) do not position that leadership is necessarily consistently, and limited to any one particular role or group, whether transformational or transactional. However, although the Full Range of Leadership profiling method used by their disciples, it is almost always used to profile an individual as-is, is not set a pluralistic situation, and it is not used to consider contingent (pre-emptive) development for a future organisation.

A key finding is that: The disciples of Bass and Avolio typically express the profile of a leader as the *outcome* of their application of the Full Range of Leadership model. *This* research uniquely uses the model to identify characteristics that are contingent to the prevailing context and identifies the leadership development needed to positively affect the organisation's absorptive capacity.

As an example; Bass and Riggio (2006) focus on different types of leader, for different types of industry. Although this does not touch on the relative diffusion of products, or sensitivity to creative destruction, their work which examines different profiles for leaders at different levels of the organisation can be combined with the context based analysis undertaken in *this* research.

A key finding is that: This research can be combined well with others, using the interconnection of the use of the leadership characteristics derived from Bass and Avolio's (1994) Full Range of Leadership.

However, some of the accounts of the Bass and Avolio 'disciples' should be treated with caution. For example; Antonakis (2003) only focuses on 'the' leader, and not on *leadership*, omitting altogether the issue of context and pluralistic situations, Aryee et al (2012) only focus on the leader's characteristics and their impact on the follower's performance outcomes, (and not on absorptive capacity). Carless et al

(2001) focused on just one organisation and used the Full Range of Leadership as a model for 'detecting' transformational leadership. Jung et al's (2003) findings supports that for innovation "*there is a direct and positive link between a style of leadership that has been labelled as "transformational" and organizational innovation*" (Jung et al 2003, p .50), however their analysis was focused only on innovation, and did not consider how the pluralistic organisational issues such as leadership for cash-cows, and question marks, impact on absorptive capacity.

However, despite the cautions above, Gilbert et al (2014) helpfully correlates self-actualization of followers based on the approach to transformational leadership, which can be usefully and directly related to the outcomes of this empirical research, and similarly Moriano et al (2014) assess the (similarly relatable) impact of transformational and transactional leadership on followers in different situations.

A key finding is that: the inventors experience the tensions in the absorptive capacity, however these appear to be much less evident to the leader. One of the findings of this research is that the leaders interviewed, do characterise themselves as transformational, (which aligns with the inventor's expectation), but importantly the inventor also expects the leader to resolve any transactional tensions (particularly of ambiguities in the leadership) in the absorptive capacity.

The empirical research illustrates that the leaders are aware of tensions, and identifies what characteristics are involved, and proportionally to what extent. However, the higher expectations and lower experience of the inventors, demonstrates that this issue is more evident to inventors than it is to leaders. The inventor expects both that the leader will be transformational, but also expects their influence to extend across all of the other people who comprise the 'leadership' (which the findings suggest tend to be focused on day-to-day operations) to ensure this is not reducing the intended welcomingness to ideas and innovation.

I found the literature to be ambiguous in terms of identifying where ideas come from, at the same time as being rather focused on the charisma and even celebrity of the leaders whose organisations spurned the invention. Burns (1978) did not position that leader was the entirety of the intrapreneurship, but herein lies the ambiguity in that the theory appears to often treat innovation in isolation and usually as the single output of the organisation. This research suggests that the expectations of inventors and of leaders to affect day to day and innovation activities, are strongly of the view that these were indistinguishable, equal in importance, and that they do, or should

happen simultaneously. How this embedding of the transformational impetus, fits with 'cash-cows' management is not well explored by the literature. The predominance of the literature is on steady-state cash-cow (operations management for example) and typically is polarised in its accounts of these from those (also isolated) accounts of the innovation of question-marks.

A key finding is that: suggesting changing the proportions of leadership characteristics relative to the cycles of creative destruction in a multi-faceted organisational situation is novel to this research.

Bass and Avolio (1994) developed the proposition that leaders have a range of effective and ineffective leadership, but they also propose that leadership has a range of blends of active and passive characteristics. This, as set out earlier, has typically only been used in other research as an output of analysis, as opposed to being an indicator for where a situation requires the leadership to change its blend.

A key finding is that: intended passives and actives affect each other, and that effectiveness and ineffectiveness can be misconstrued.

My final conclusions from the empirical research are illustrated in Figure 6.11 below,

Figure 6.11: RSM 2016, dependencies within the Full Range of Leadership

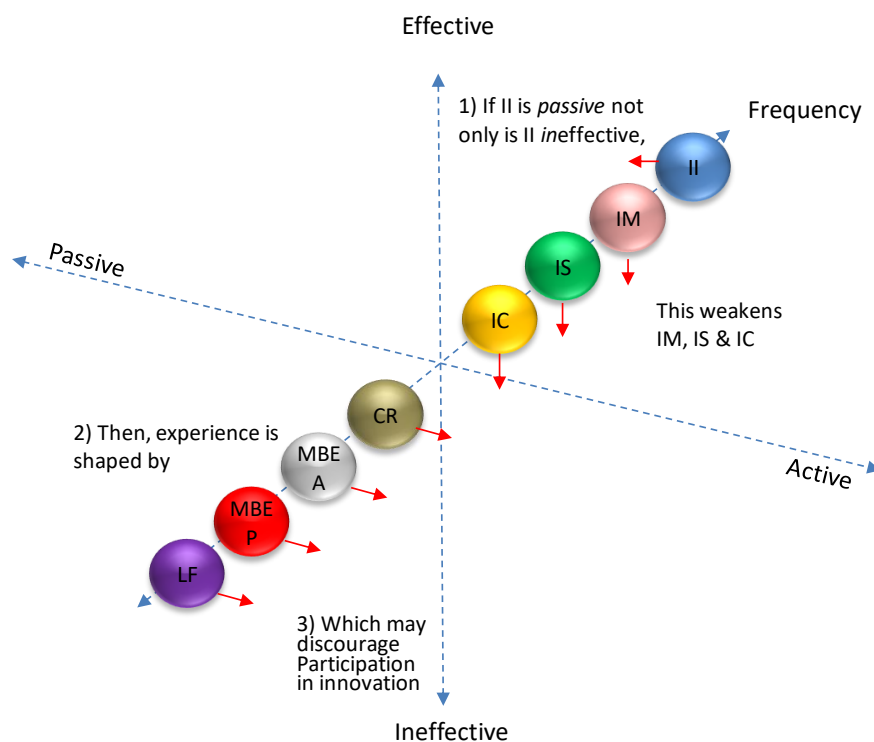


Figure 6.11 illustrates that passive Idealized Influence can be shown in its dependent impact on the effectiveness of (particularly) Inspirational Motivation, and Intellectual Stimulation, leaving Individualized Consideration as a battleground of ambiguities, and often leaving the inventor to tackle an experience in which symptoms of transactional styles are 'active' by default. This is the foundation of my conclusion that passive Idealized Influence, *depowers* other leadership characteristics, which can then result in an unwelcomingness to participation.

As illustrated in Figure 6.11, where Idealized Influence is passive, this reduces the effectiveness of transformational leadership in leadership's influence (welcomingness) within absorptive capacity. For the inventor, my results found that this then leaves participation with ideas to have to engage through the less suitable *transactional* dynamics (whether these were intended, or just symptomatic). In the absence of asserted transformational leadership, 'welcomingness' is only experienced through the predominance of at best, Management by Exception (to the ill-fitting issues of non-cash-cow ideas), and commonly, according to the findings, a seemingly Laissez Faire approach to welcoming participation in ideas.

A key finding is that: In asking whether inventors would re-invent, the inventors commonly set out that they assumed that this ambiguous approach fuelled their concerns that the organisation can also only manage creative destruction by exception, or worse that it took a Laissez Faire approach to creative destruction.

6.4 Summary of considerations

In this chapter, I have argued that my findings and analysis of leaders and inventors has revealed new evidence in relation to the question of; is *participation in innovation affected by how the organisation's leadership supports and welcomes ideas?* I have particularly focused on the eight characteristics of leadership in the Bass and Avolio (1994) Full Range of Leadership model, as the leading analysis model derived from Burns (1978) Transformational and Transactional Leadership concepts. Through this, I have correlated the theory, in relation to professional practice, using my empirical research to challenge the often binary notions of leaders and leadership, transformation and transactional styles.

The purpose explored in this research is the notion that to avoid the creative destruction of their viable products and services, all organisations need a flexible transformational leadership, with varying characteristics at different times. I have argued that given the intensification of globalisation, the intervals between such

times is diminishing to the point of being sufficiently constant as to need active, considered and relevant leadership and welcoming the participation in ideas as a constant aspect of managing absorptive capacity. The inevitability of creative destruction suggests that there is a need for a blend of leadership strategy to simultaneously maintain actions to ensure there is some 'buffering' of the onset of 'dogs' by other products being in question mark, rising star and cash-cow status.

However, whether or not these actions are undertaken, the alignments between leadership characteristics and its impact in absorptive capacity pervades this research. From this, the need for leadership to be unambiguous, in constant adjustment and proactive and pre-emptive alignment with the constantly changing needs of absorptive capacity. Without this, there are increased risks from creative destruction, and a likelihood of more intensity (inefficient, destructive and stressful) episodic switching between the innovation and performance engine modes (see Govindarajan et al 2010). This in turn is sensed by inventors (as is likely for other employees) and this is likely to accelerate 'brain-drain', to increase the cost of talent management, to reduce profitability and to hasten the demise of the organisation.

This research examined expectations of leaders and leadership (in the context of ideas and innovation) through the instance of an inventor participating their idea within an organisation. In addition to relating the research to relevant academic literature, the findings of the empirical research have been related to the leadership characteristics (Idealized Influence, Inspirational Motivation, Intellectual Stimulation and Individualized Consideration) that are identified with transformational leadership and the characteristics (Laissez Faire, Management by Exception-passive) management by exception-active and Contingent Rewards) that are identified with transactional leadership in the (Bass and Avolio (1994)) Full Range of Leadership model). The main conclusions drawn from the findings include;

- The literature had limited explanations of how to adapt leadership, to welcome ideas and innovation in an existing organisation. Models such as the Full Range of Leadership have only previously been used to categorise leader's biases as an outcome. This research has used the Full Range of Leadership model, as a diagnostic for leadership characteristics, within a situation, and has explored how the leadership characteristics might be optimised to the situations needs.
- This research has included the development of a method for examining the expectations of leadership focus and characteristics in an essential factor of

organisational life, and has correlated this to the Full Range of Leadership model, in particularly identifying where there are disparities in expectation.

- The method developed, identifies the extent of such disparities for each of the eight characteristics in the Full Range of Leadership model.
- The method therefore allows for focused development to resolve the disparities, and to balance leadership's impact in absorptive capacity.
- The findings include the analysis of dependencies, affected by how actively or passively each characteristic is, or is perceived to be applied. This allows for the ambiguity of the cause (e.g. an unintended perception of Laissez Faire) to be considered more accurately, and therefore adapted more accurately.
- That communication is key to reducing the risks of the ambiguous leadership

This research therefore provides a method for explaining how to adapt leadership, contingent to the situation of enabling participation in ideas. The method can be used for other contingent issues. The research data is related to an extensive range of literature through its use of Bass and Avolio's Full Range of Leadership model, which enables these findings to be linked, and further extrapolated to analysis of (for example, gender, levels of leadership and different national cultures).

Using this approach, enables a view of what might be required to develop leaders and leadership for dealing with known and unknown ambiguities in absorptive capacity, using the underlying methodology in the same context (participation in ideas) or in other context's such as for example to assess a merger or an acquisition, to deal with a new technology or changes in working conditions etc.

The research confirms that, *participation in innovation is affected by how the organisation's leadership supports and welcomes ideas?*. but also provides a method to identify what the leader and organisation might do about it.

6.5 Contribution to professional practice

The research considers how leader characteristics can be identified, and how these can be assessed for their effect on inventors participation in ideas. The main contribution to practice comes in the repeatable methodology for coding, analysing and modelling the data that identifies the relative leadership characteristics.

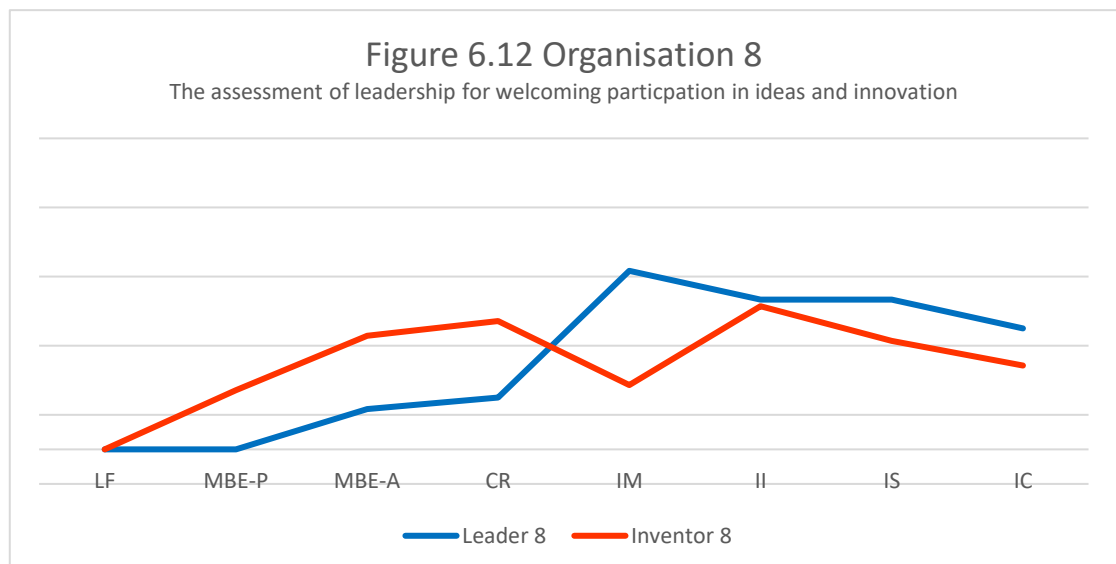
The methodology of analysing leader's job descriptions, enables the organisation's broad expectations of the leader to be compared to the leader's own perceptions of

their role. This is also used to question the views of stakeholder groups (in this case inventors) of the leader's role in a particular context (in this case, of welcoming participation in ideas), but equally the method could be applied to other situations.

The coding and analysis methodology when used in relation to questions and interviews has been related to, but has also been extended beyond the coding approach used by Bass and Avolio 1994, and other users of the Full Range of Leadership model. The method developed, rather than being restricted to a yes/no scale (of none, some, often and all of the time), has measured the impact in each of the eight categories, in a new development of a 10 point assessment (of expectations / responsibility) to give a proportional analysis of the extent to which each characteristic applies. This additional element in the method enhances, and does not break the link between the outcomes using this new method, with other research that used Bass and Avolio's (1994) original coding approach.

This repeatable method therefore challenges the leader's expectations of themselves and particularly reveals biases, and ideals in their characteristics, (used in this thesis to reveal insights into to a given situation).

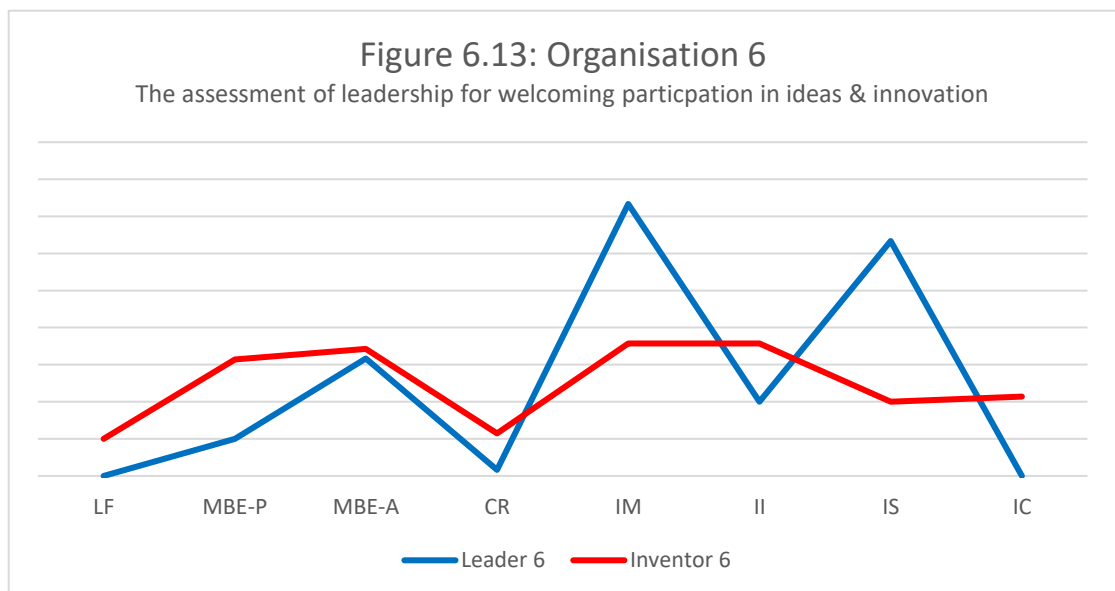
The main contribution to professional practice is therefore the methodology developed and applied in this thesis. The 10 point assessment method could be adapted to any other given situation to develop further insights into (for example) variations involving gender, sector, different levels of leadership etc. The contribution to professional practice can also be expressed in the examples (which use data from Organisations 6 and 8 from this research) as set out below.



The choice of Organisation 8 to use as an illustration is because its absorptive capacity is one where the leader and the inventor is more aligned in the idealized Influence compared to other organisations studied (see Appendix 3). There is however divergence between the leader's perceptions, and those of the inventor, particularly in Inspirational Motivation, which could now be a focus for development.

This convergence of expectations in terms of Idealized Influence, suggests that this leader is actively empowering the other transformational categories, albeit that the inventor does not experience Inspirational Motivation to the extent that the leader expects. There is a corresponding divergence in the experience of Management by Exception, which suggests that leadership development and focus in Organisation 8, should be in strengthening of Inspirational Motivation, to correspond to and qualify Management by Exception, and to increase the leaderships (and organisations) focus on Individualized Consideration, and Contingent Rewards.

In contrast to Organisation 8, Organisation 6, is less aligned in its leader's and its inventor's expectations. There is here an interesting ratchet effect in the disparity in Idealized Influence in the ambiguities in the other transformational categories



The findings suggest that Organisation 6's Leader has a strong belief in Inspirational Motivation and Intellectual Stimulation, which are positives to reflect on, in professional practice development with the leader. However, his weaker Idealized Influence, depowers this, and is therefore divergent to the inventor's expectation. As the inventor in Organisation 6, wanted support, but did not 'buy in to' the ideals of the leader (as he did not know what they were in practical terms), and consequently was not stimulated or motivated by the leader, seeing these as

being so divergent as to be Laissez Faire (in their impact). This potential view, is also helpful for leaders to reflect on.

The disparities in Inspirational Motivation, and in Intellectual Stimulation in Organisation 6, also reflects the strength of the leader's views, particularly reflecting that this leader made comments about treating everyone equally, but that this leader expresses this as you need to... and does not speak about themselves in relation to this. Leader 6's expectation to deliver Inspirational Motivation is impaired by this, despite the inventor's desire for it. The inventor in this case saw little positive support (Individualized Consideration) when they participated their idea.

Organisation 6's leader's self-perception and actions of Idealized Motivation, and Intellectual Stimulation are misaligned to the expectation of the inventor, who also only expected passive support by exception (i.e. not preventing). The Leader 6, did appear to offer personal sponsorship, and as shown in Figure 6.13, despite his beliefs that he and his leadership team are aligned, in fact, he and his leadership are actually unaligned (an issue that correlates to the findings from Bass and Riggio 2006 in their analysis of leadership at different levels in the organisation).

Figure 6.14 Organisation 6, Welcomingness

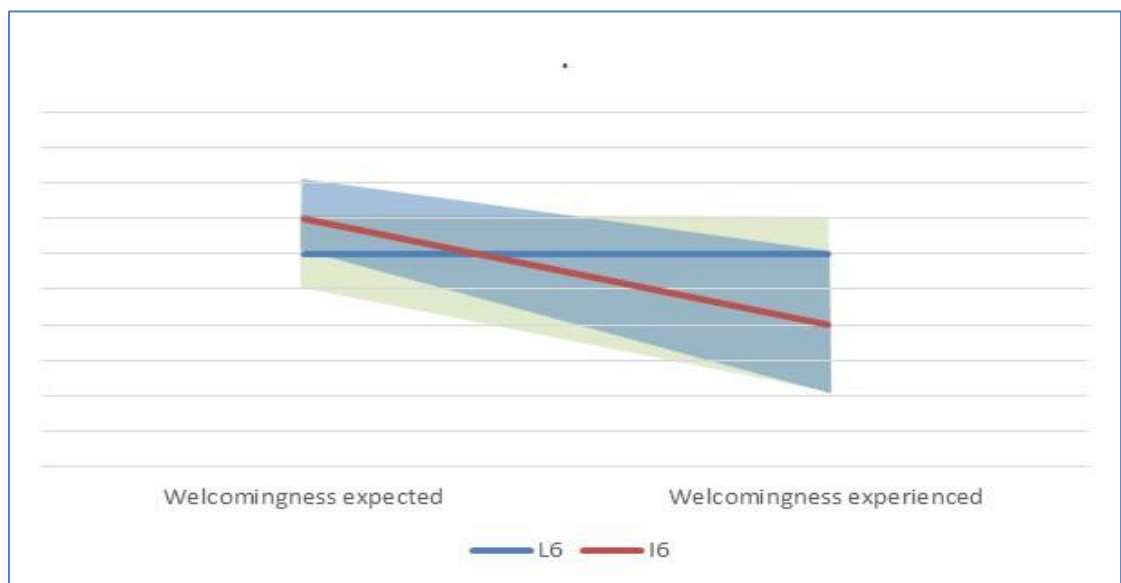


Figure 6.14 is the simplified form of expression serves to illustrate to Organisation 6, that Leader 6 perceives themselves and the leadership to be equally active and effective in welcoming (and expects the same from the organisation). It is important however, for this organisation to consider why the Inventor has higher expectations of the leader, and considerably lower experiences of the organisation as a whole. This illustration also demonstrates the range (of all 10 organisations researched),

with the blue shading being the range of leaders expectations of themselves, and the grey being their perception of the current welcomingness in their organisation.

Using illustrations of organisation and range in professional practice uncovers that for Organisation 6, (perhaps in the form of leadership awareness and cohesion), developments would include a significant reevaluation of the expression of Idealized Influence (developing authentic leadership at all levels perhaps). However, the assessment of Organisation 6, also illustrates that undertaking such a review might be challenging and uncomfortable, (given that its leadership almost certainly would be who commissioned such a piece of analysis). In extremis, one interpretation of this output is that given the disparities, this organisation may need a leader that is more in tune with the needs of the organisation's absorptive capacity, or that significant communication and development is needed to bring the organisation towards what the Leader perceives is the organisation's future.

In support for professional practice this method enables what Drucker, (2010, p. 147) suggests, in that the leadership team should be evaluated regularly for its contribution to innovation. The method developed for this research, with its academic relationships offers a methodology for achieving this, particularly if used to identify diminishing disparities in absorptive capacity between leadership and stakeholder groups over time. An illustration of each of the 10 organisations studied is set out in Appendix 3. These are useful to identify where organisations have baselines and positions that others wish to emulate, and could form the basis for mentoring. The evolution of patterns from repeat use of the model would also provide insights into how successfully change has been affected.

6.6 Strengths and limitations of the thesis

The strengths of the thesis are primarily in how its methodology supplements the Bass and Avolio (1994) model by adding the assessment and coding to identify what extent situations (needs) relate to each leadership characteristic, (as opposed to just how much time is spent using any one characteristic). Despite its additions, this method maintains its relationships to the Full Range of Leadership model, so this and other research undertaken using the method I have applied in this thesis can be directly correlated to other research that have used the FRL model. This research closes the gap in past research, described in Chapter 3, by applying this new variation of the FRL analysis method to identify the needs of a context, as opposed to just identifying a generic profile of a leader's biases. This means that

context can now be linked to existing research on (for example) the dynamics of leaders at different levels of an organisation, and of dynamics such as gender.

The second main strength of the thesis is that the model is applied to a specific situation (welcoming participation in ideas and innovation). This adds a new dimension to the types of research which had otherwise only focused on creating just a generic (all situations) leader profile. This research questions how relevant leadership characteristics can be applied in a focused manner to the various situations a leader may face. This raises questions about whether leaders have the range, as well as challenging the contingency theorists of whether in fact the leader *should* have a range (beyond certain limits), particularly if, for example the variation needed might suggest 'flexible' ideals, and thus unauthentic leadership.

A weakness of this thesis (but not the method) is that it was not (on this occasion) possible to apply the methodology more deeply within a single organisation, and to delve further into issues such as the parity and disparity between members of the leadership team. The method is applied as a snap-shot, based (to contain the scale of the research) on a given situation. The overall benefits of this contribution will be improved if such further work is done, however, the potential for a deeper, single organisation, longitudinal review, and macro review (assimilating other research) are now significantly improved by the development and testing of the method, and the explanation of how the 'base-line' of each of 10 organisations was achieved.

A criticism of the method might be that it is based on social constructionism and as such the interpretation of the results is subjective. The coding method reduces this by setting firm datum points and relating the research data to these. The results are also only presented an indicator, for further development, and not as a certainty.

The final reflection of weaknesses, is reflexive, in that this research was undertaken by someone who had no connection to a University to legitimate access, nor any deep connection to any of the organisations used in this research. The outcomes of the research have been dependent on the good will of the participants. In reflexivity, the impact of this weakness includes how it is seen to have to navigate the protocols, biases and processes in the development of a DBA thesis. The 'self-discovery' of ontologies, and epistemological precedents and protocols, as well as the navigation of the University's processes, people and characteristics that are played out throughout the development of the thesis and may therefore dilute some of the impact that might otherwise be accorded to the methodology developed.

6.7 Discussion on how the limitations can be addressed

From the perspective of professional practice, I have considered how to add to the strengths of the thesis and to address its limitations. When envisaging the research, I did envisage making a diagnostic methodology for innovation and leadership. However, I had to resolve the conclusion I came to after investigating the theory, and journals of other people's research, that the more generic methodological groundwork for such a piece of research was inadequate for the area I wanted to research. Consequently, I had to establish this more broad and shallow approach, as opposed to a deep and narrow research. However, as has been described above, the principles of repeatability, as well as for developing the analysis of job roles, and interviews to other situations, are straight forward adaptations of the method set out in detail in this thesis.

Developing the method to be applied more deeply within a single organisation, would include extending the analysis of job descriptions across the leadership team correlating with the work for example of Bass and Riggio, (2006), and Edwards et al (2012) where the respective levels of the leader/manager within the organisation is set as variations in the Full Range of Leadership model. This could then be used to both set a baseline / average, but also can be used to identify roles (or role holders) which are divergent, and / or where there appear to be gaps, overlaps and excesses of any one (or more) leadership characteristic.

Just as individual as well as collective assessments can be achieved for leaders, by using the method more deeply within an organisation, I would also wish to interview a greater number of the relevant stakeholders to any particular situation, for example finance managers, or marketing etc) or as in this case, multiple inventors, (as well as people who hadn't invented). The coding method developed in this thesis, demonstrates how such evidence gathered can be, coded, presented and correlated to other work that uses the Full Range of Leadership model.

The same approaches to analysis and coding can be used, whether to analyse the leader to the leader's team, the leadership team to itself, (or to those other similar organisations) as well as in its relationship to other groups of the members and stakeholders that comprise the absorptive capacity. The model is straight forward to use to aggregate data, and to use it in the spider diagrams and line graphs that summarise and illustrate any relative similarities and disparities, and importantly this can be used to show relative alignments in absorptive capacity over time.

By repeating the method periodically, the direction of travel (improvements or worsening issues) in the coherence of leadership style and absorptive capacity can be (longitudinally) illustrated. Patterns may change, but the relative convergence is what is important. This can be used to develop the leader, and leaderships (own, and group) roles, and the approaches in how they affect absorptive capacity.

6.8 Implications for future research

After completing the empirical research, it is my view that this analysis method reveals that Intellectual Stimulation and Inspirational Motivation cannot occur and cannot affect the prevailing absorptive capacity of the organisation if the leadership's Idealized Influence and their intentions are unaligned or even just uncommunicated. Leader 5, for example is a prolific twitterer, and deliberately focuses on talking about ideas and innovation. Leader 8, has a blog where he specifically describes ideas, and how people participate.

One of my conclusions is that regular, focused, communications prioritised on the prevailing needs (that this thesis's method can identify) are an essential component of leadership in any organisation. Many of the inventors expressed that they wanted to hear their leaders (not just the hierarchical top leader) *Idealised* as well as their *Intellectual* thinking and expressed that this impacts on their motivation. In terms of Individualized Consideration, each inventor wanted to be acknowledged, heard and responded to, (many didn't even get that). My impression was that only in lieu of where there was a neglected or divergent Idealized Influence, did inventors wish to assert Contingent Reward over Individualized Consideration.

6.9 Operationalising the research

The methodology can be operationalised in a number of ways, and subject to the computer programming work referenced below, much of the otherwise labour intensive data processing can be undertaken automatically. The Job Description analysis methodology can be used for identifying convergence and divergence with corporate aims, and in particular can be used (spider diagrams are particularly revealing for this) to identify deliberate and accidental symmetry and asymmetry in leadership teams various job descriptions. The method for job description analysis can therefore be used to refine these documents to ensure that these attract and recruit relevant leaders and that an organisations leadership team is more aligned.

The analysis of interviews (once transcribed to machine readable file) is also something that can be operationalised. Having experimented with automatic speech to text capture (transcription) programs, and having developed these to automate what was done in part manually in this research) then this too becomes a simple and un-intensive process. My manual 'programme' has been focused on innovation, leadership and the eight leader characteristics in the Bass and Avolio (1994) Full Range of Leadership model, however these are just variables and text analysis software can be (and is being, cf. Günther and Quandt, 2016, King et al, 2017, Pennebaker, 2017) programmed to undertake the analysis automatically. Pennebaker's 'LIWC' software, in particular offers interesting potential to automate my pre and post coding approach, and all of the variables I associated with either the seven job description categories, or the eight leadership characteristics. A particularly exciting new area for development from this type of text analysis software is to be able to enable self-development from the identification of biases (for example gender biased expression).

The addition of using computer software to automate text analysis significantly adds to the ways in which, and the speed at which leadership characteristics can be assessed, and importantly this can also be undertaken passively through analysis of documents, and analysis of (auto speech to text transcribed – with consent!) interviews and even just conversations.

There are however issues for the range of potential opportunities for operationalisation, for example that some leaders are sometimes sensitive to having their weaknesses identified, and certainly so in any way that is seen by anyone other than themselves. Identifying gaps and asymmetries within a leadership team could be undertaken anonymously, and likewise the model can be used for self-development.

However, there are also leaders, and leadership teams that are more open and that with reasonable sensitivity can accept that undertaking such a process of analysis of their job descriptions (and other documents), and of their (structured and unstructured) conversations. With anonymity these can be added to the body of research and thus added as a resource for correlation to theory.

Further work is however required to ensure that the level of error from automatic transcription, when added to testing of the text analysis programming, does not create an unacceptable level of error in the interpretation.

6.10 Concluding this research

This research sought to add to the literature and practises surrounding the issue of: ***is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?***. The literature, leadership and organisational practices have been broken down to the key issues of leadership characteristics and how the blend of these affects absorptive capacity.

The aim of the research is to develop a repeatable process of analysis through which leadership characteristics can be assessed for how they affect people with ideas (and the absorptive capacity overall). The assessment process has been applied to considering both what is expected of leaders with what has been experienced to enable organisations and leaders to reflect on characteristics that they might (if needed) develop to maximise effective participation in innovation.

This process of analysis in empirical research, includes a first stage of the systematic deconstruction of the job descriptions of leaders, accompanied by the development of a process which can identify types and proportions of leadership characteristics, in what leaders express (Stage 2), and in what the inventors (Stage 3) in their organisations express about the innovation in their organisation.

The research might have left the answer at '***yes, how ideas are supported and welcomed does affect participation***' but has gone further to try and address how the activity and effectiveness in the leadership characteristics can be identified and quantified (at least relationally). The methodology developed can be used in other ways, but based on anecdotal feedback from several of the leaders interviewed for this piece of analysis, it has been useful to the leaders, particularly in how it was used in this research to develop the organisation's absorptive capacity in professional practice.

Uniquely, this research has detected dependencies between the eight characteristics of the Bass and Avolio, (1994) Full Range of Leadership model. The Full Range of Leadership model is based on the firm academic foundations emanating from the eponymous original work of Burns (1978), and this allows for this research to be related to a classic, and extensively cited leadership theory. By no means do I compare this work to those in terms of their lasting academic value, but do recognise that this relates to the methods they used, and therefore can be conjoined with the body of valuable research that has used the same underlying principles. Where this particularly complements work based on Bass and Avolio's

Full Range of Leadership, is in that it provides a new model that diagnoses what is needed for a situation, as an *input* to change, rather than just as a generic outcome of a leader profiling. This research therefore suggests how, and in what way to *use* and reuse the findings based on Bass and Avolio's thinking, and all of the subsequent body of other research and literature that is founded upon it.

The consequences of the research have resulted in a clear focus of what areas of leadership development might be given greater attention to ensure that people with ideas are welcomed, and that the risks of creative destruction are lessened.

6.11 Finishing the journey

This research has focused on addressing the question ***is participation in innovation affected by how the organisation's leadership supports and welcomes ideas?*** In doing this, there has been reflexivity and testing of the propositions throughout literature review and empirical research. The overly simplistic perspective of leadership for the single cash-cow organisation has been challenged and that this would be more often be an organisation with a portfolio of cash-cowss in which multiple cycles of creative destruction will be occurring. I have set the context of assessing leadership characteristics, and potential adaptations in the context of the simultaneous needs of absorptive capacity to be developed to meet successions of question markss, rising starss cash-cowss and dogss

This research has demonstrated that an absorptive capacity can have divergent and often ambiguous expectations, often for ambiguous reasons. The ambiguity has been challenged, using the coding model to bring together the assessment of expectations. The enhanced coding approach in the method developed in this research has been applied to ten organisations, and as a result the dependencies between different aspects of leadership have been demonstrated. Finally, the use of the model in professional practice, having been demonstrated as part of the research, has been considered for its reuse, extension and use in other contexts.

The outcomes of this thesis include;

- The concept of identifying and diagnosing leadership's impact on a key area of organisational life.
- The coding and weighting methodology for evaluating responses to questions, and relating these to the transformational and transactional leadership categories, in Bass and Avolio's (1994) Full Range of Leadership model.

- The demonstration of the application of coding to the different situations of analysis of job descriptions, and to interviews, with the particular benefit that these are converged in the common objectives of analysing leadership.
- The analysis of passive and active elements of the leadership style, (using Bass and Avolio's (1994) Full Range of Leadership model, as a common language) to relate expectation of leaders, and other organisational members (in this case inventors) in their impact within the organisation's absorptive capacity.
- Assessing leadership characteristics to identify the situational expectations of the leader, in relation to their own assessment of their biases.
- The method has been applied to demonstrate new dependencies in effective and ineffective aspects of leadership, showing where the cause, as well as symptoms might be misunderstood, or ambiguous to followers.
- This research has new potential to the wider body of research that uses the Full Range of Leadership model. This research can therefore be aggregated with such other research, and for example can be linked to issues of gender, nationality, levels of leadership etc.
- The method has been shown in how it can be applied as an ongoing diagnosis of leadership, and absorptive capacity, and how it could build a benchmark, and guide to leadership and organisational development over time.

I believe that my findings, the suggestions for their application and the methods and approach to analysis have been ideas that have themselves, become innovations and that are now contributions to professional practice, and to academic theory.

6.12 Reflective journey

This thesis reflects personal growth, progression, and reflexive self-analysis, whilst addressing a real life organisational and leadership situation. It is rewarding that the empirical research has demonstrated that through analysing job descriptions, the proportions and implications of jobs can be developed to express more accurately the real needs of the role, and that interviews (structured or unstructured) can be analysed to assess biases in leadership characteristics.

As this was non-directed research, motivated by; curiosity about how participation in innovation is best stimulated by leaders, (and by a desire to test whether I could achieve DBA standard work), there is a risk that the work's only benefits, however rewarding to me personally, would end at just and only that.

However, recently, I have engaged with senior past colleagues in the Civil Service, who are extremely interested in using my method to consider where there may be gaps and disproportions in job descriptions and to assess where there are symmetries (or deliberate differences) between the various the leader roles that might benefit from being reviewed using the approach demonstrated in this thesis. Similarly recently, the job description analysis aspect of the research has been something that colleagues in an executive recruitment agency (that I do occasional consultancy work for) are extremely interested in using the method to reflect back to recruiting organisations, what using the methodology, might be the interpretation of role job description, and how this might encourage or discourage potential applicants. This interest is sufficient for me to commence development of a version of a text analysis computer software tool to be able to create the spider diagrams in minutes, rather than the several hours a manual application of the method takes.

The analysis of interviews (once transcribed) is also something that can add to these interesting opportunities. The configuration of the text analysis software can enable this to become a simple and un-intensive process.

The addition of text analysis software significantly adds to the ways in which, and the speed at which leadership characteristics can be assessed, and importantly this can be undertaken passively through analysis of documents, and analysis of transcribed conversations. There is therefore potential for this new work to add to the existing academic thinking predicated on leadership analysis. Also and as introduced in section (6.8) I have been experimenting with speech to text capture tools, and testing the issues of accuracy. The outcomes of this can result in greater automation, and its development is in and of itself perhaps interesting for research.

My own learning has been significant. I set out with curiosity, and shaped my approach despite at times being somewhat frustrated by vagueness of some of the literature. In Chapter 1, I noted that if I couldn't find coherent theory in the academic literature on the important issue of enabling leaders to best develop themselves to enable and welcome participation in ideas and innovation, then in all likelihood other students, researchers and aspiring leaders would also find it difficult to learn some of the better or worse things they might do, or be doing.

Consequently, I feel much more confident in my own relationship to reading and understanding academic theory, including its gaps and ambiguities. Whether publication or delivering a conference paper etc. is a realistic ambition for me, is of

course hard to say, however completing the DBA and having some actual content to develop further, open this is to being; at least, now, a possibility.

Finally, I now feel more confident in accepting the extremely flattering requests that a couple of colleagues people had made to me that I support and mentor them in undertaking their post-graduate projects. With due regard to all the wonderful people who have helped me along the way thus far, I rather hope that the ideas above are a (post DBA) journey that can and will include stimulating others with the ideas I could never have had without this.

Rod Matthews (2017)

7 Appendix 1: References

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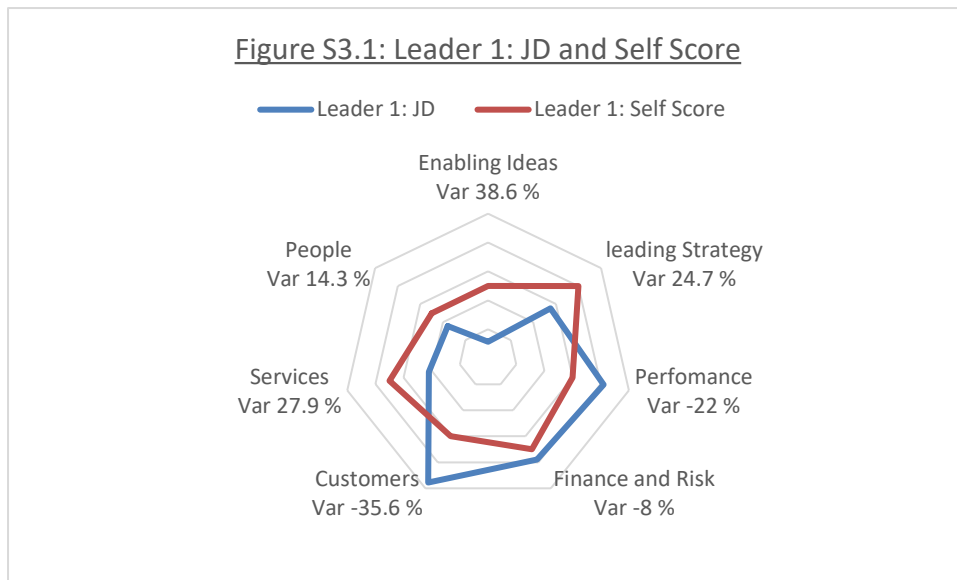
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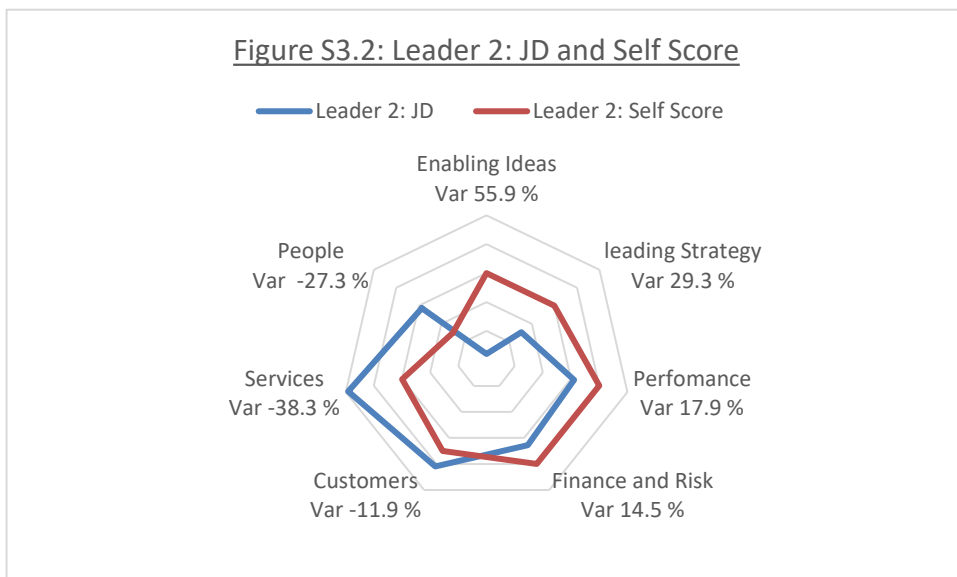
8 Appendix 2: Leaders self-assessment of job proportions

This section is included for completeness, each of the 10 leaders interviewed was also asked to complete their own assessment of their job, to add to the assessment made of their job description. The conclusions drawn from this are set out in chapter 6, where the variations is correlated to the visibility of each of the eight leadership approaches set out in the Bass and Avolio (1994) Full Range of Leadership Model.

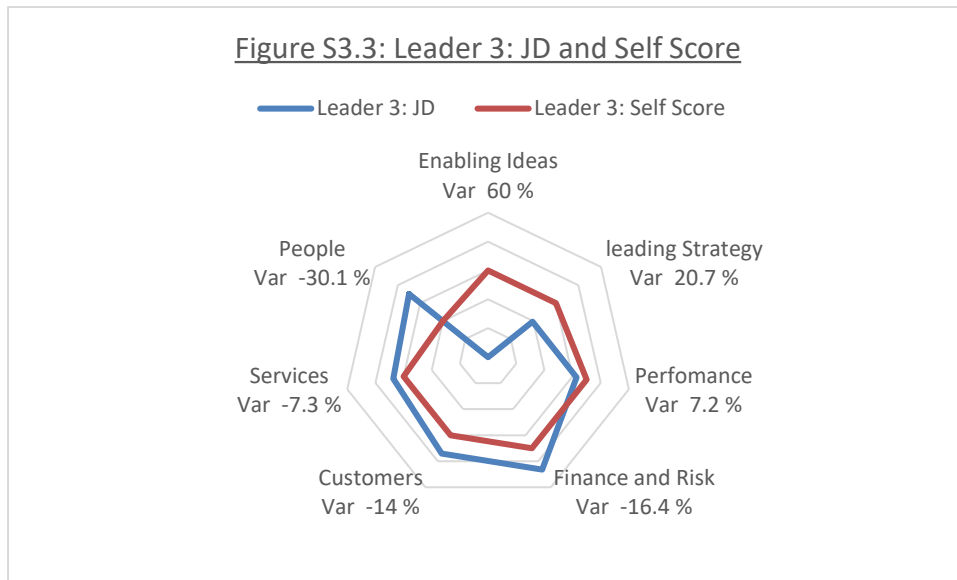
8.1 Leader 1: Self-Assessment



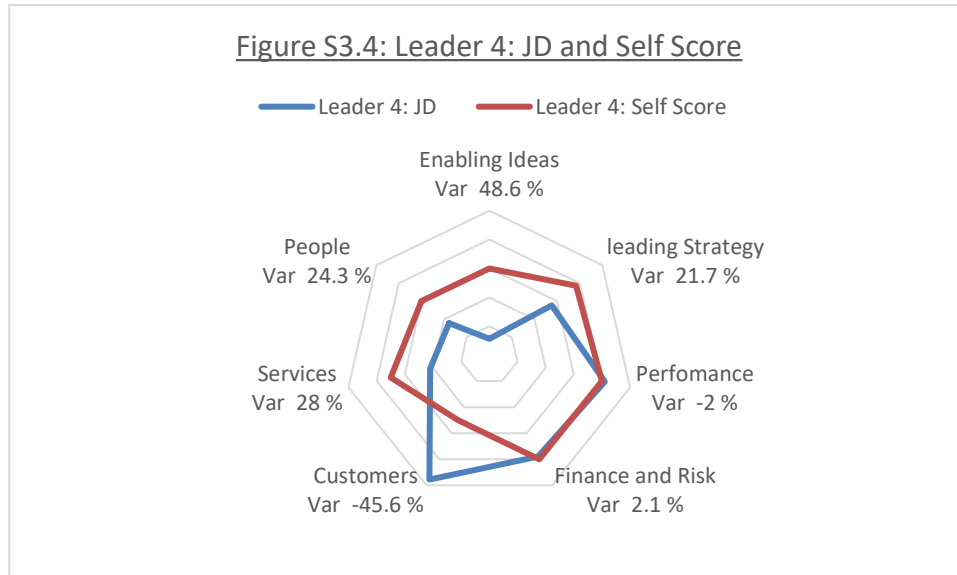
8.2 Leader 2: Self-Assessment



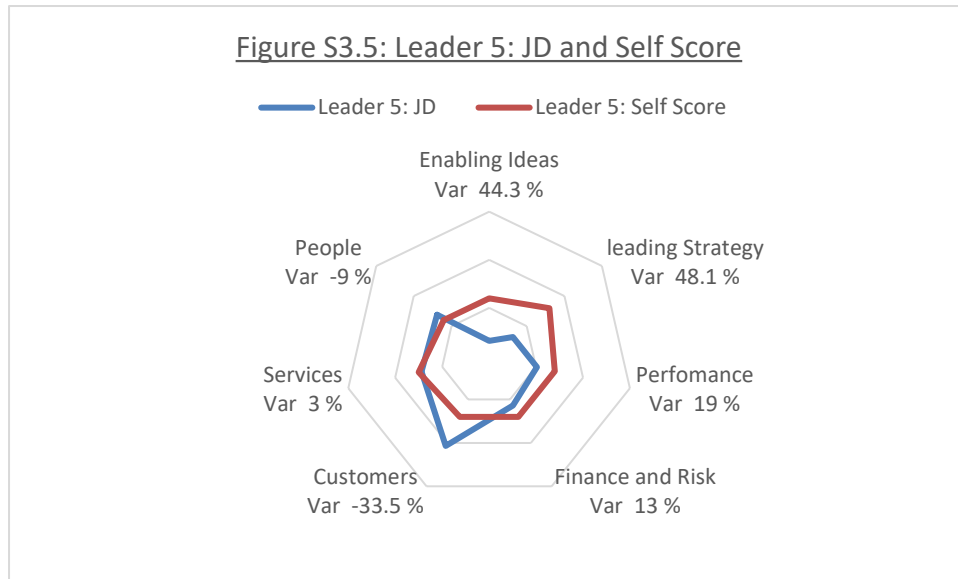
8.3 Leader 3: Self-Assessment



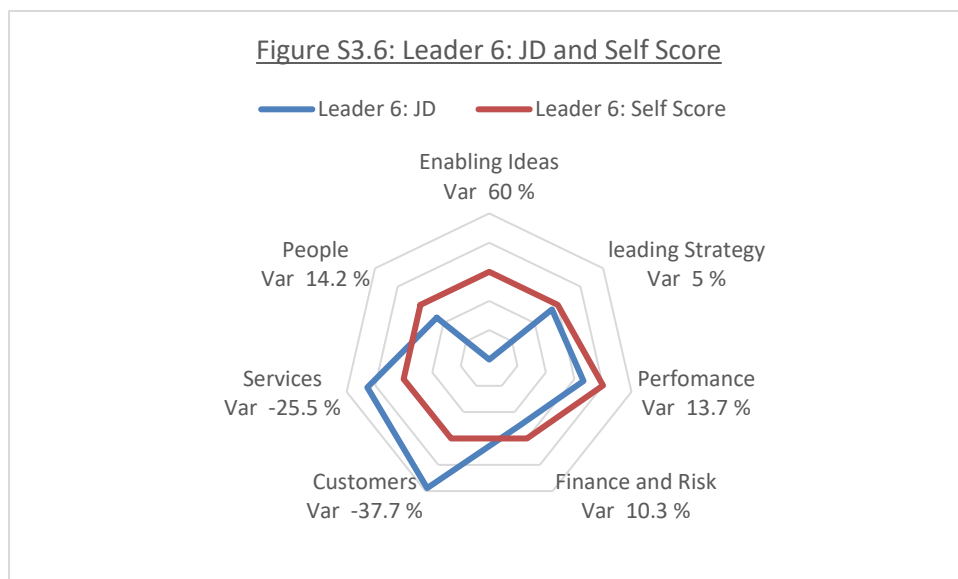
8.4 Leader 4: Self-Assessment



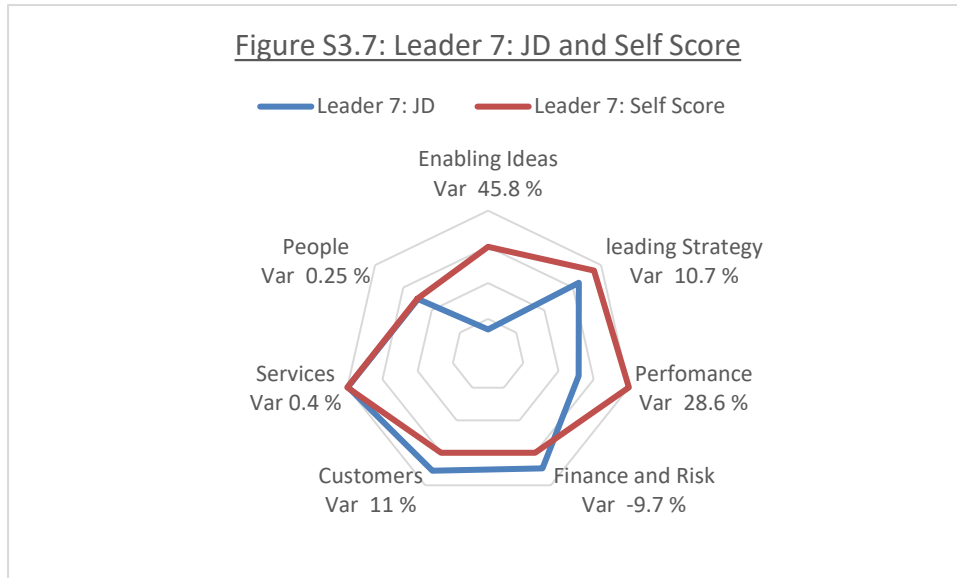
8.5 Leader 5: Self-Assessment



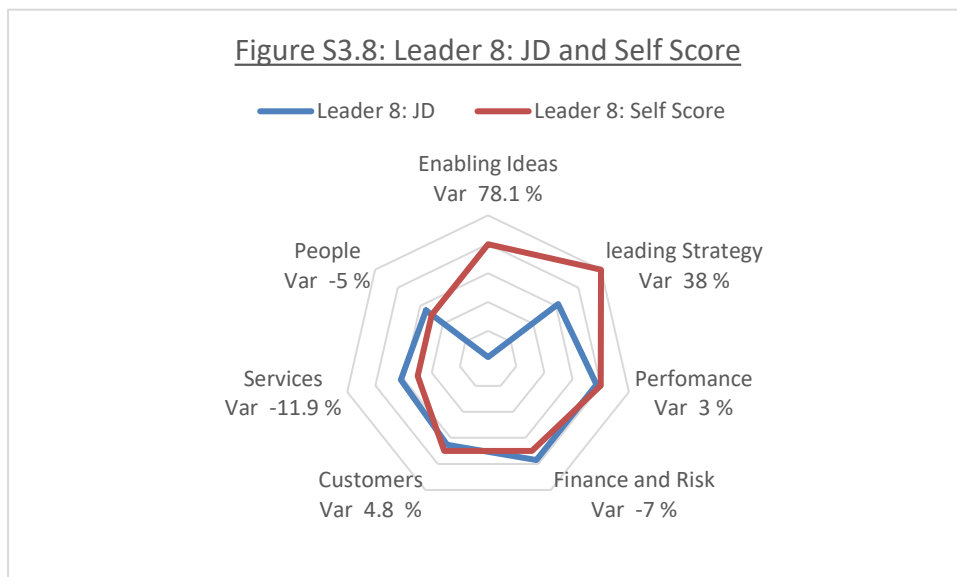
8.6 Leader 6: Self-Assessment



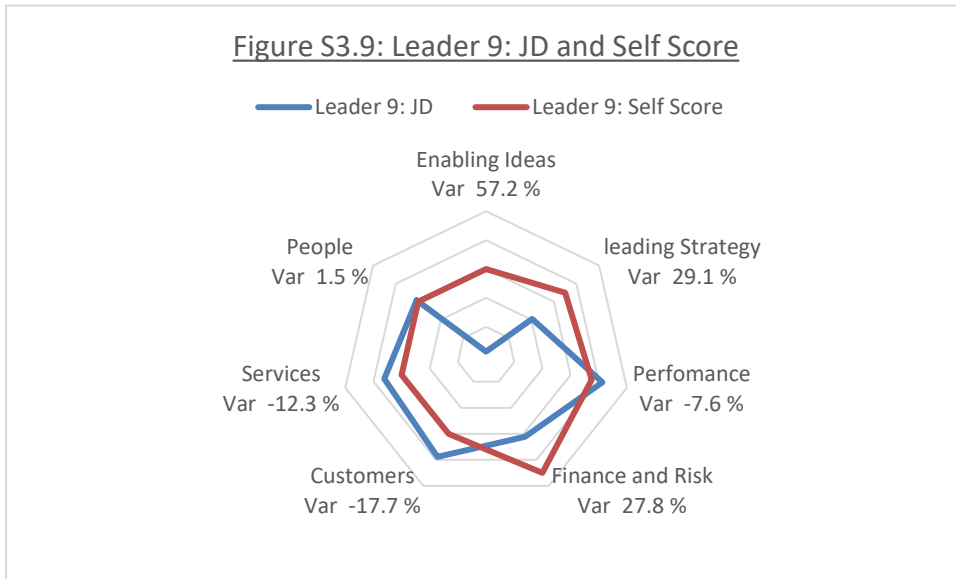
8.7 Leader 7: Self-Assessment



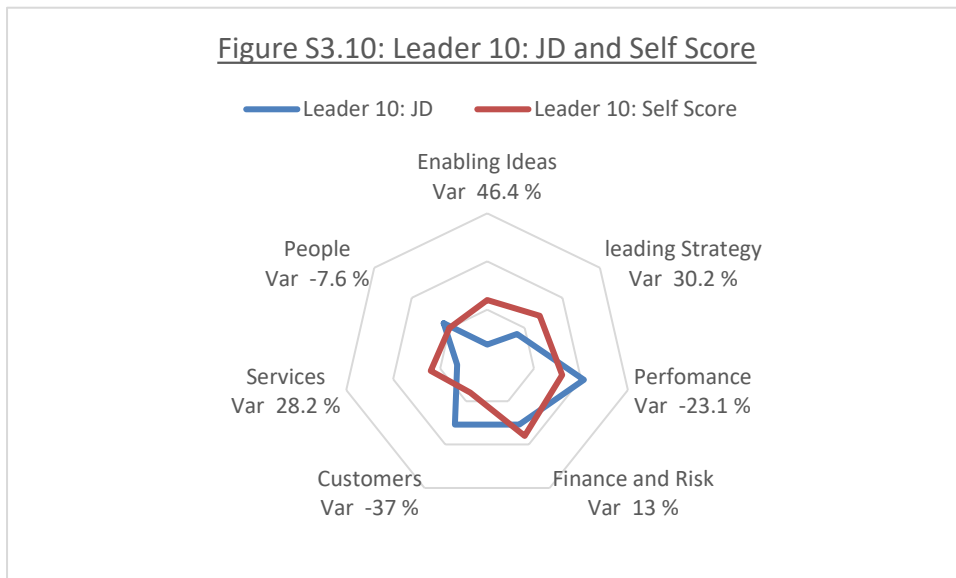
8.8 Leader 8: Self-Assessment



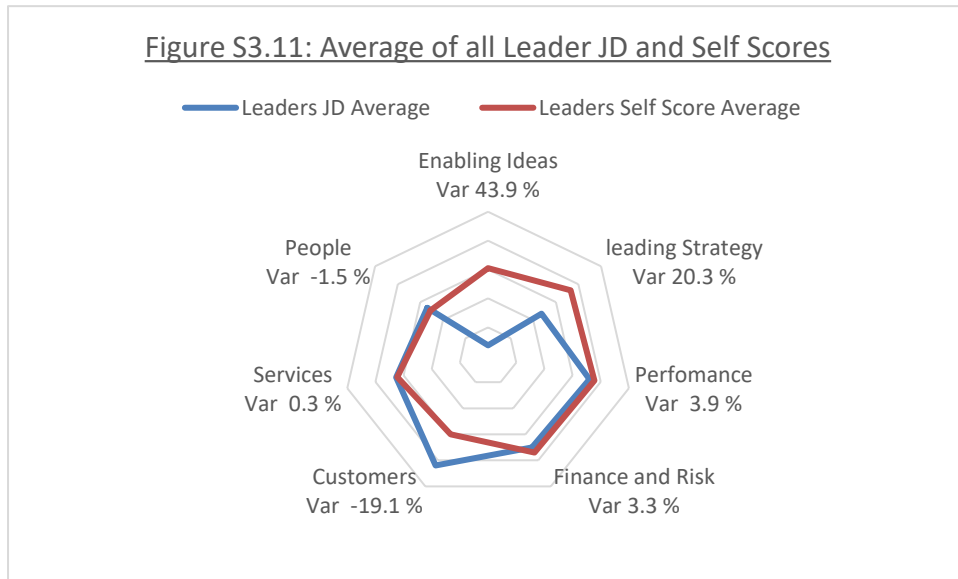
8.9 Leader 9: Self-Assessment



8.10 Leader 10: Self-Assessment



8.11 Leaders Average: Self-Assessment

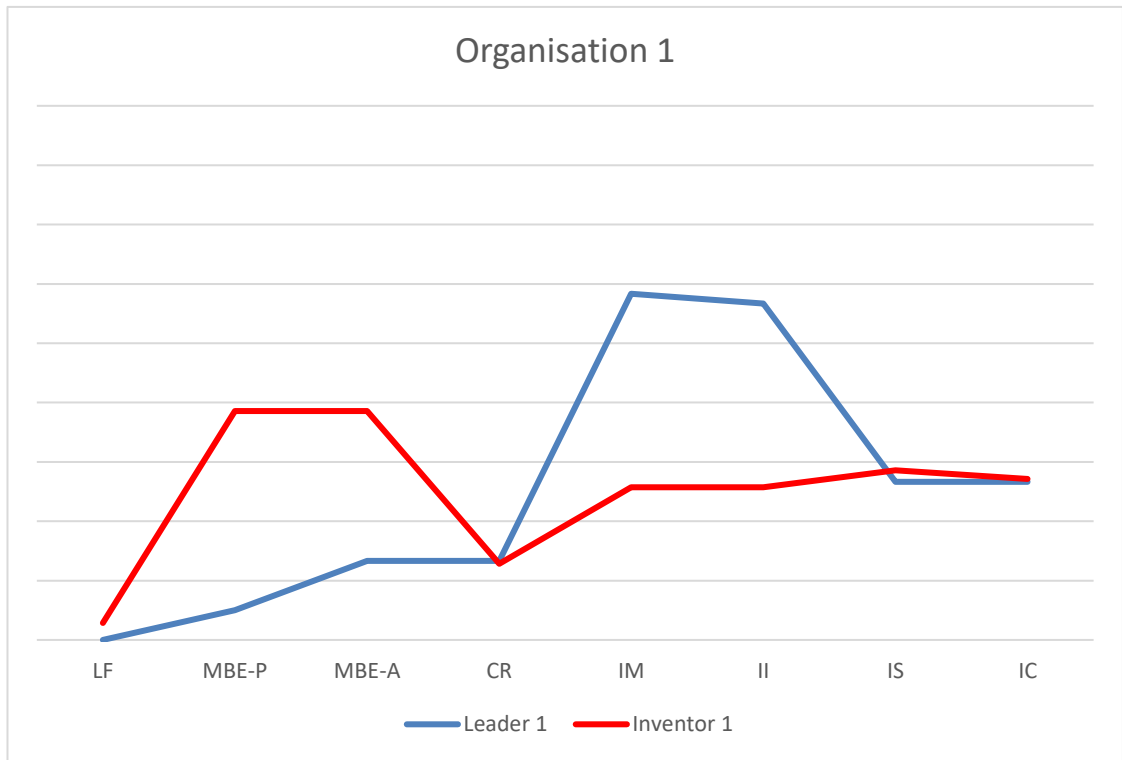


It was not the focus of this research to critically analyse the accuracy of the job descriptions, however these do appear to be divergent from what the leaders actually do. The largest deviation is in fact in how leaders perceive their role to be much more about enabling ideas than their job description suggests, and likewise to be much more about strategy, at the same time as being less about dealing with customers and partners.

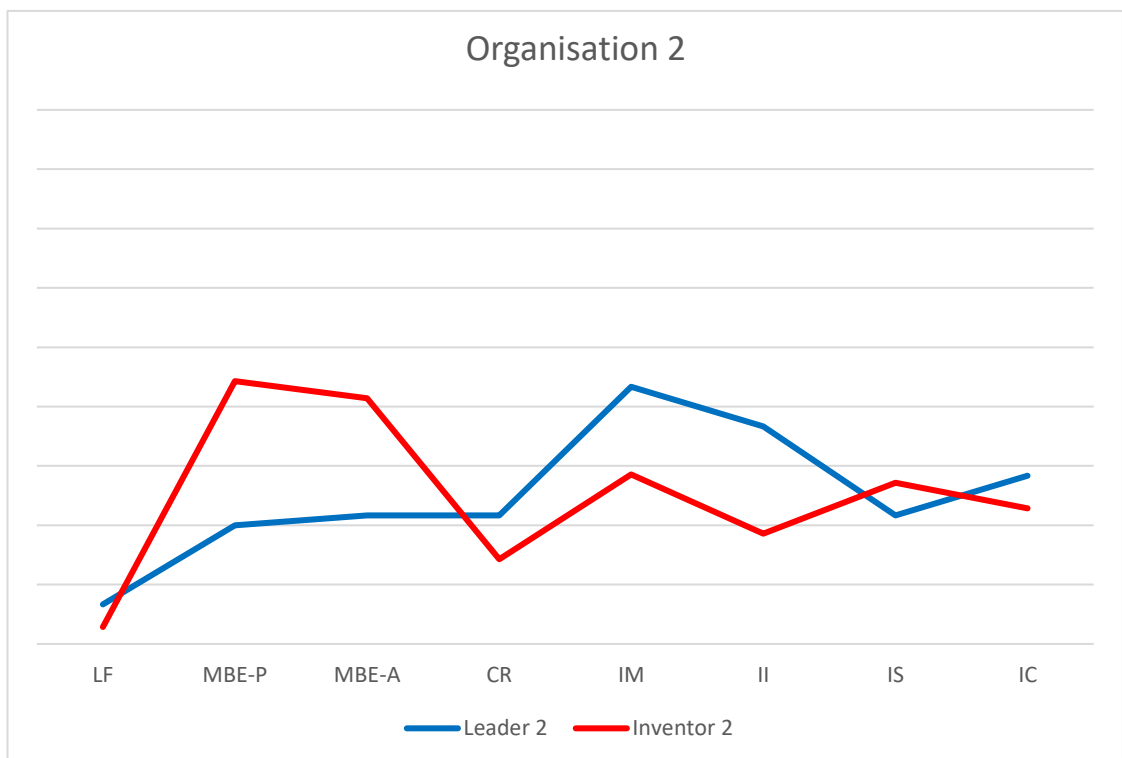
These conclusions are developed in Chapter 6.

9 Appendix 3: Organisational Averages in FRL Model

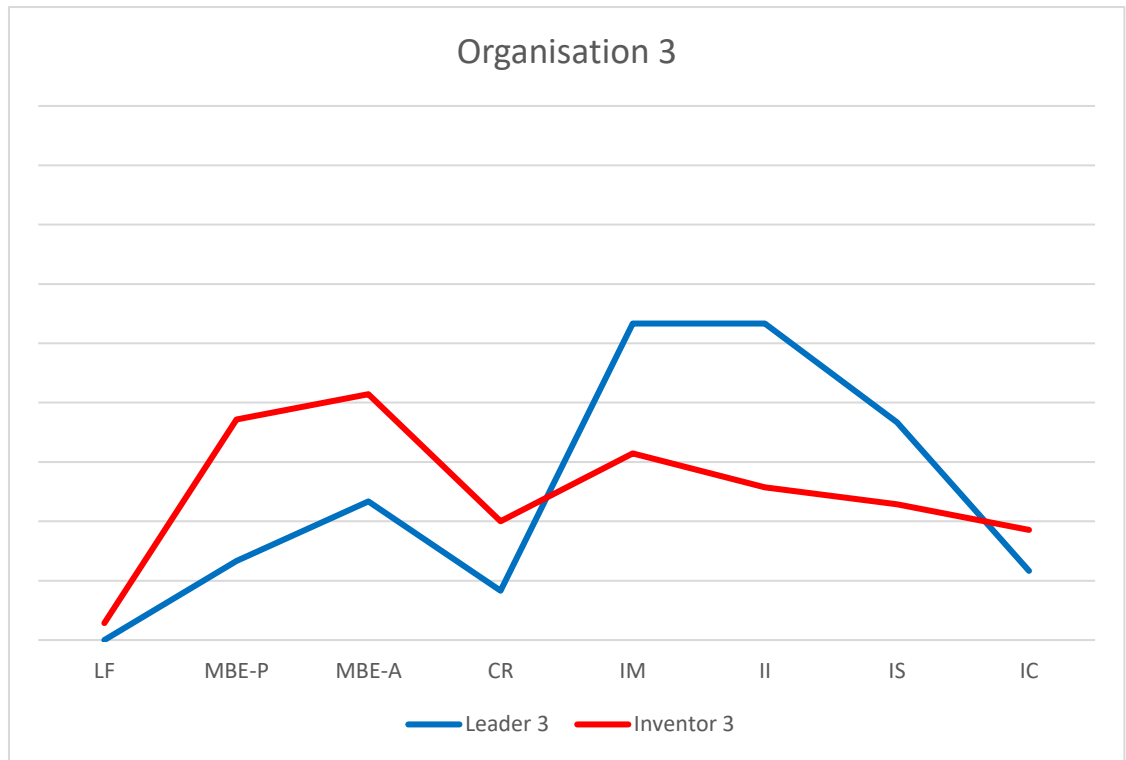
9.1 Organisation 1 (leader and inventor)



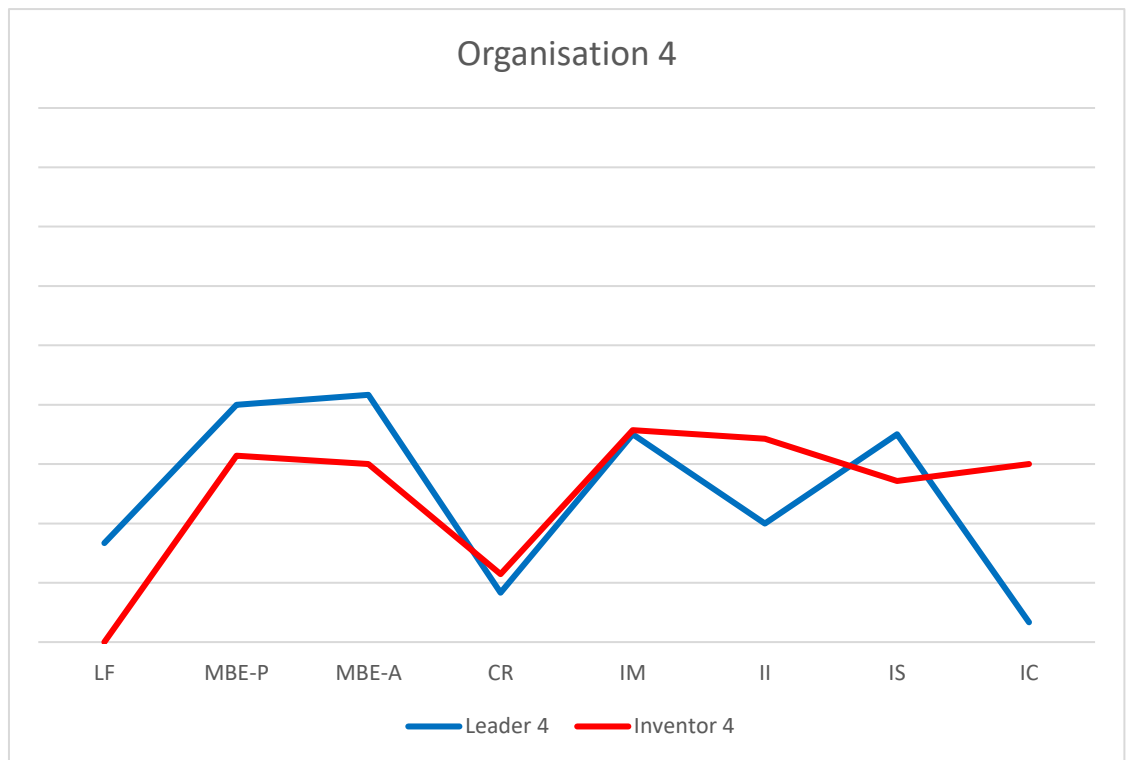
9.2 Organisation 2 (leader and inventor)



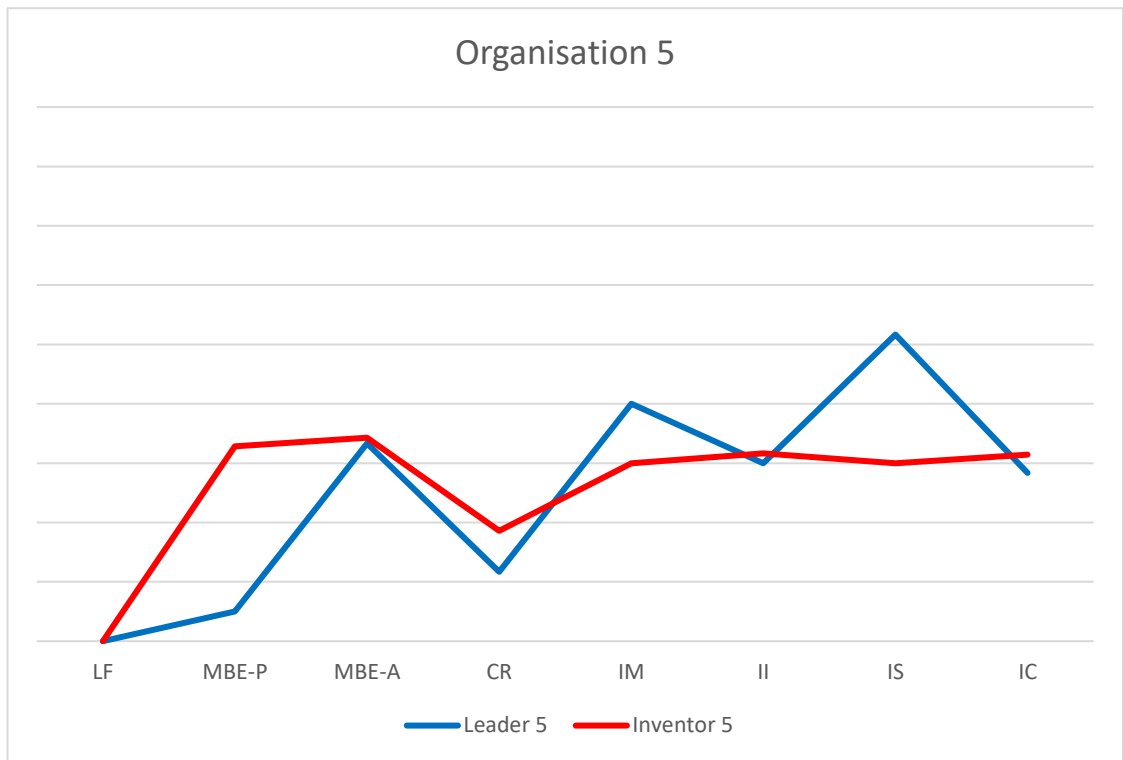
9.3 Organisation 3 (leader and inventor)



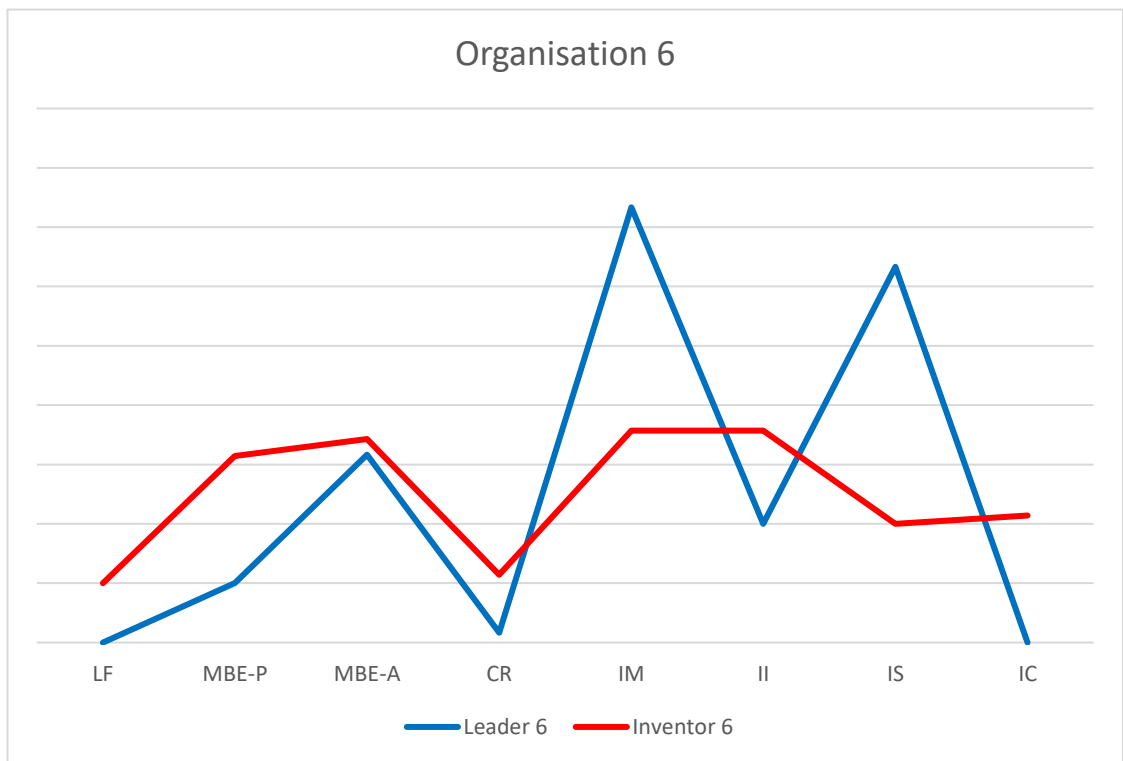
9.4 Organisation 4 (leader and inventor)



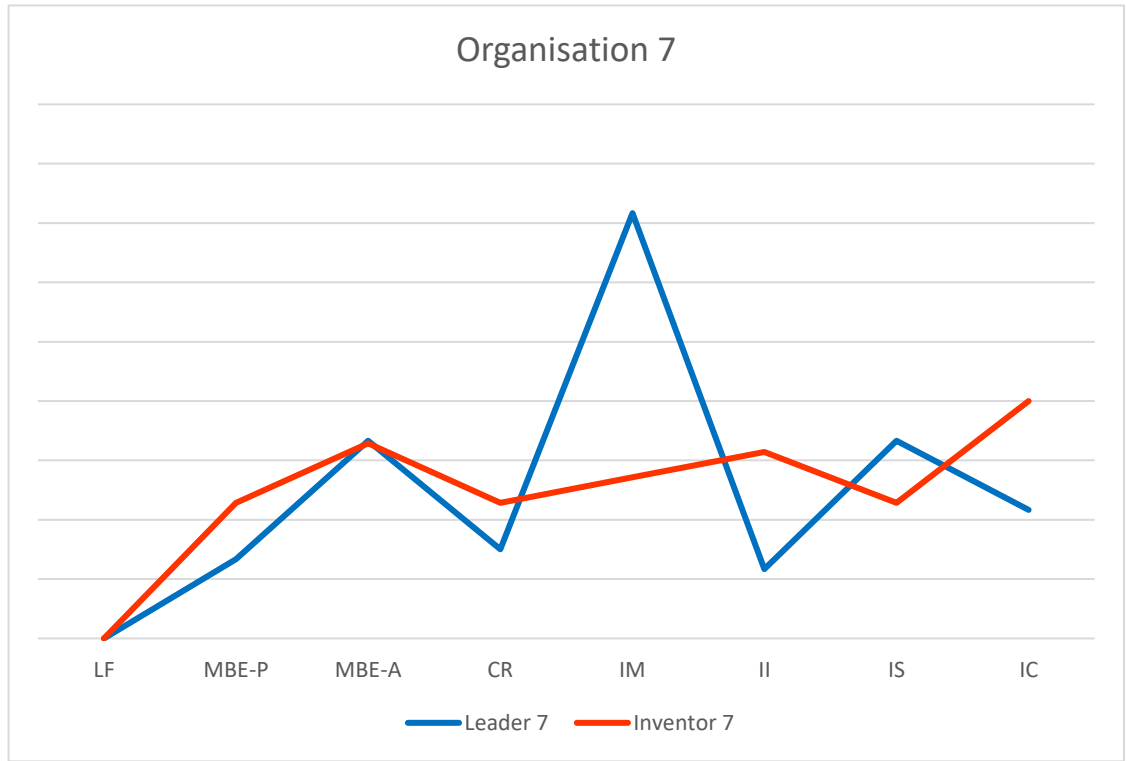
9.5 Organisation 5 (leader and inventor)



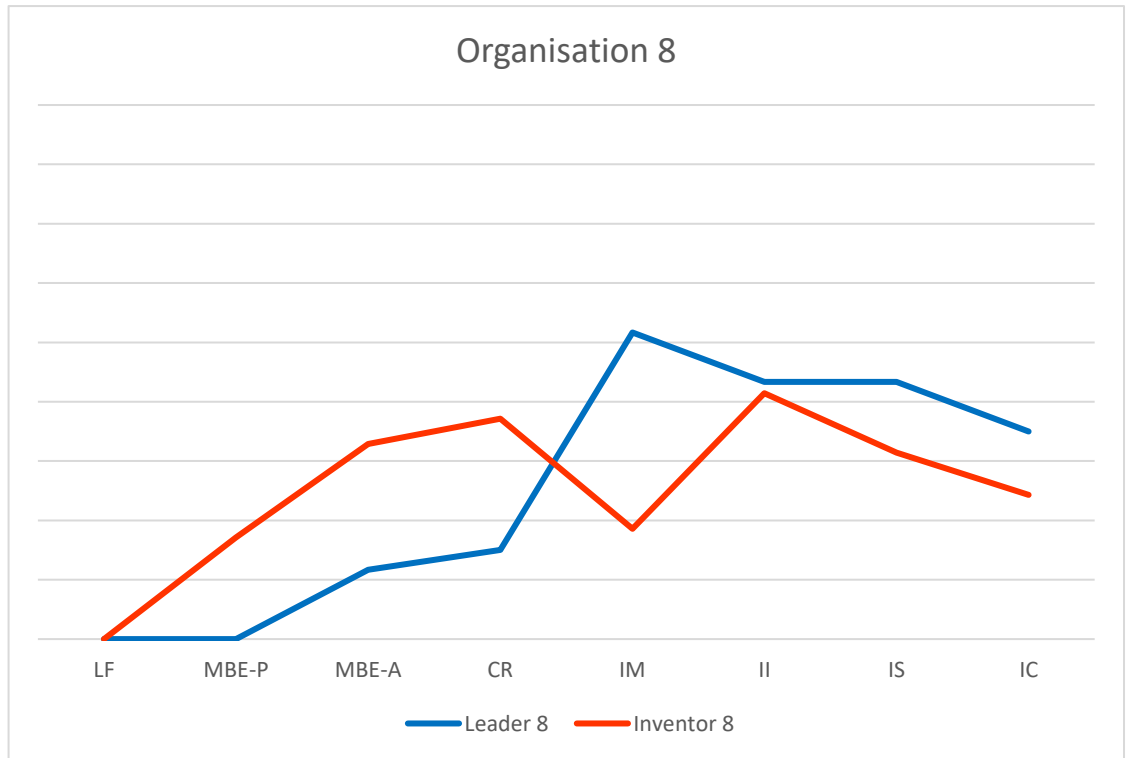
9.6 Organisation 6 (leader and inventor)



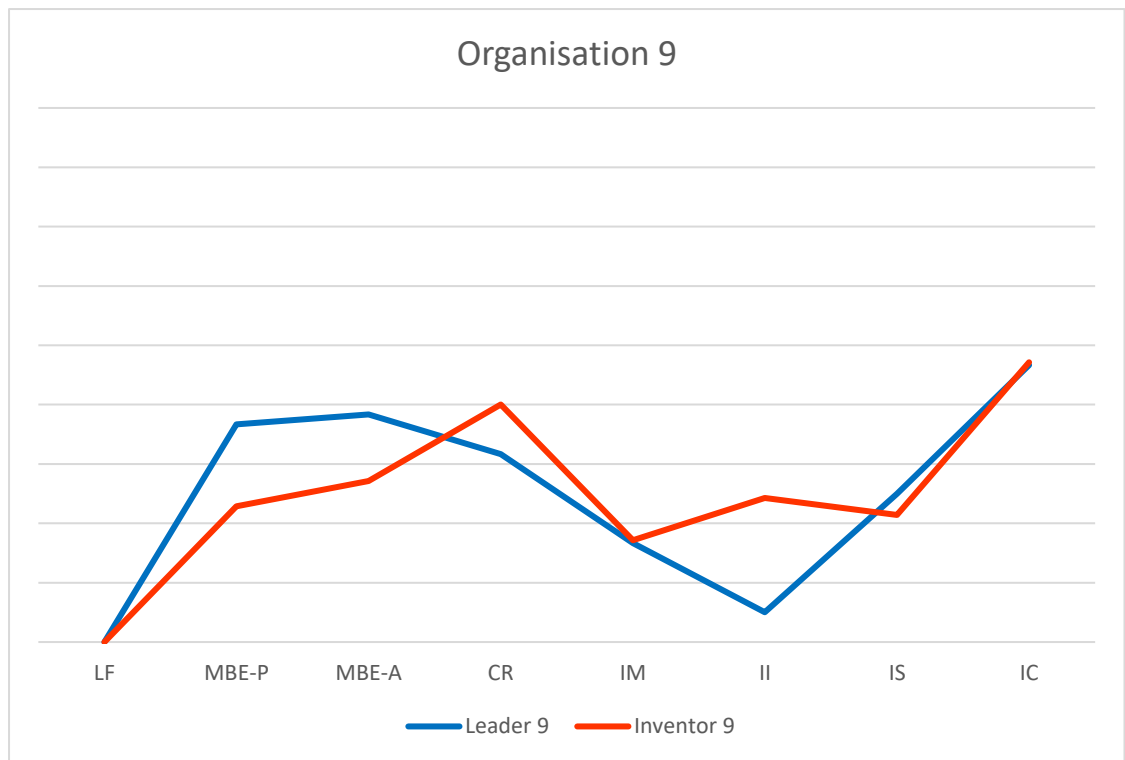
9.7 Organisation 7 (leader and inventor)



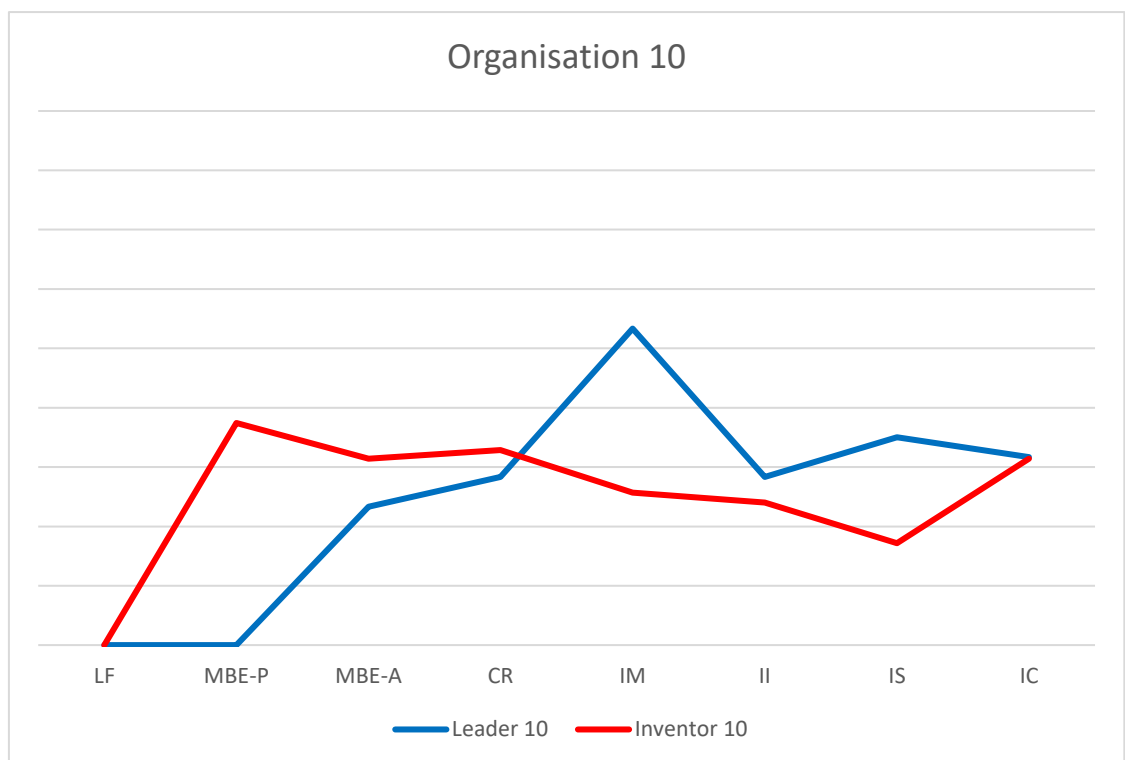
9.8 Organisation 8 (leader and inventor)



9.9 Organisation 9 (leader and inventor)



9.10 Organisation 10 (leader and inventor)



10 Appendix 5: Mx5 - Multi-Factor Leadership Questionnaire

	Bass and Avolios Multi Factor Leadership Questionnaire (1994) NB 0-4 weightings not used – see Chapter 4, for 10 factor weighting	Not At All	Once in a while	Sometimes	Frequently	Frequently, if not always
II	go beyond self-interest for the good of the group.					
II	display a sense of power and confidence.					
II	I talk about my most important values and beliefs.					
II	specify the importance of having a strong sense and purpose.					
II	consider the moral and ethical consequences of decisions.					
II	emphasize the importance of having a collective sense of mission.					
IM	instill pride in others for being associated with me.					
IM	talk optimistically about the future.					
IM	talk enthusiastically about what needs to be accomplished.					
IM	articulate a compelling vision of the future.					
IM	express confidence that goals will be achieved.					
IS	act in ways that build others' respect for me.					
IS	re-examines critical assumptions to question whether they are appropriate.					
IS	seek differing perspectives when solving problems.					
IS	get others to look at problems from many different angles.					
IS	suggest new ways of looking at how to complete assignments.					
IC	spend time teaching and coaching.					
IC	treat others as individuals rather than just as a member of a group					
IC	consider an individual as having different needs, abilities and aspirations from others.					
IC	help others to develop their strengths.					
CR	provides others with assistance in exchange for their efforts.					
CR	discuss in specific terms who is responsible for achieving performance targets.					
CR	make clear what one can expect to receive when performance goals are achieved.					
CR	express satisfaction when others meet expectations.					
MBEA	focus attention on irregularities, mistakes, exceptions, and deviation from standards.					
MBEA	concentrate my full attention on dealing with mistakes, complaints, and failures.					
MBEA	keep track of all mistakes.					
MBEA	direct my attention toward failures to meet standards.					
MBEP	fail to interfere until problems become serious.					
MBEP	wait for things to go wrong before taking action.					
MBEP	show that I am a firm believer in "If it ain't broke, don't fix it".					
MBEP	demonstrate that problems must become chronic before I take action.					
LF	avoid getting involved when important issues arise.					
LF	be absent when needed.					