

THE 4R MODEL OF LEADERSHIP: A VIRTUE-BASED CURRICULAR MODEL FOR BUSINESS EDUCATION IN A GLOBAL CONTEXT

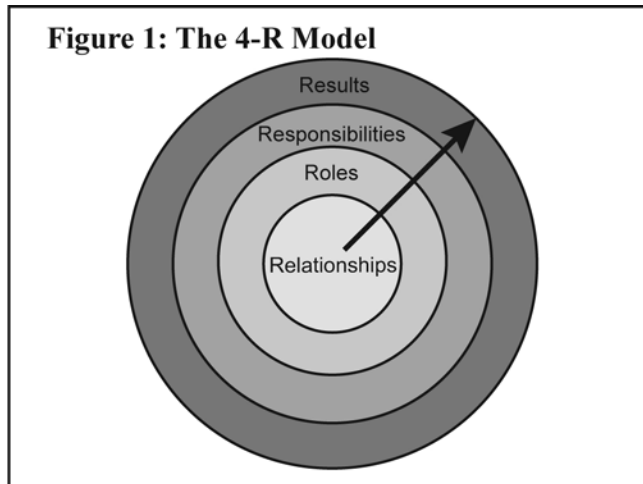
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ABSTRACT

This paper presents a virtue-based, graphic working model of leadership used in teaching business leadership in an MBA program. The 4R Model offers a theoretically sound, conceptually simple and eminently practical framework for integrating virtue into a global business leadership education curriculum. The model pictures “leadership happening” in the context of a business organization, depicting the critical relationship between the exercise of personal virtue on the part of the leader or leaders, and the effective practice of business leadership. The 4R Model provides a conceptual framework consisting of four comprehensive, “macro-categories” of leadership attitudes and behaviors, and pictures the critical linkages and dynamic interaction of these categories. Specifically, the 4R Model pictures: (1) Relationships—the element of personal virtue is depicted as the primal force for effective leadership. (2) Roles—virtue is depicted as lived out in specific organizational contexts. (3) Responsibilities—virtue is depicted as supporting a cluster of requisite leadership behaviors. (4) Results—virtue is depicted as linked to outcomes over time. Each “R” category is discussed in light of the contemporary research on leadership theory and practice. The virtue-oriented linkages between each “R” are examined. The benefits of the 4R Model for teaching a virtue-based orientation to business leadership in a global context are explored.

INTRODUCTION

The 4-R Model of Transformational Leadership (hereafter referred to as the 4R Model) offers a theoretically sound, conceptually simple and practical framework for teaching business leadership in a global context. The 4R Model is technically termed a graphic working model, sometimes called a pictorial representation. The framework of the 4R Model provides a “conceptual home” for the critical variables in the transformational leadership process. These variables are organized in four categories: *Relationships*, *Roles*, *Responsibilities* and *Results*. The 4R Model pictures how these variables interact with one another, placing primary emphasis on the virtue of the leader as the driving force of effective transformational leadership (see Figure 1).



MODELS: THEIR CONTRIBUTIONS AND LIMITATIONS

Theories and models should not be confused. A model is a conceptualization of the relationships (law driven interactions) between and among variables (constructs) that characterize a complex system (a theory). A theory *describes* and *explains* a phenomenon, while a model *pictures* and *represents* how critical factors delineated by the theory relate to each other and function in concert. The 4R Model is a pictorial representation of transformational leadership theory, which helps clarify and improve our understanding of how leadership works in an organizational setting.

Models are conceptual roadmaps. Maps are symbols of a physical terrain, intended to distill and organize information about the geographic landscape. A good roadmap presents the relevant information in a simple, clear, comprehensive, accurate and accessible manner. Similarly, the 4R Model provides an easy-to-understand, readily accessible depiction of transformational leadership theory to guide users on the leadership journey. It distills, organizes and accurately presents a vast amount of information germane to transformational leadership theory and practice, and depicts it in a clear, comprehensive and accessible manner. It provides enough information to do justice to the critical factors that drive transformational leadership theory, but not so much as to clutter the conceptual terrain with irrelevant information. Like any model, the 4R Model is limited in that it is an extreme simplification of a reality too vast and complex to picture on a sheet of paper. The map is not the road. Reality can't be poured into the mold provided by the model. Consequently, the 4R Model only approximates how transformational leadership works in organizational life. It should be held loosely and employed with humility.

THE CONSTRUCT OF TRANSFORMATIONAL LEADERSHIP

Transformational leadership is a well-documented phenomenon (Burns, 1978; 2003; Bass, 1985; Avolio & Bass, 1988; House, 1977; Conger & Kanungo, 1987; Shamir, House & Arthur, 1993; Podsakoff et al, 1990; 1996; Tichy & Devanna, 1997). Burns (1978) conceptualized transformational leadership as reciprocal process in which followers and leaders engage in relationships of mutual uplifting and personal transformation. This relational process between leader and follower shifts with the flow of leader-follower relations (Burns, 1978; Dvir & Shamir, 2003). According to Burns (1978) "Leaders may modify their leadership in recognition of followers preferences, or in order to anticipate followers' responses, or in order to harmonize the actions of both leaders and followers with their common motives, values and goals" (p. 426). The essence of transformational leadership is the inspiration and moral uplifting of followers. This deep change in follower's values, attitudes and behaviors results in the follower performing beyond the level of expectations embedded in a task or role, and transcending self-interest to serve the larger interests of the organization (Bass, 1985; Yukl, 2002). Transformational leaders model extra-effort, and serve as a catalyst to prompt others to put the interests of the group above self-interest

(Bradford & Cohen, 1984; House, 1977; Kouzes & Posner, 1987). According to Bass (1999) “Transformational leadership refers to moving the follower beyond immediate self-interests through idealized influence (charisma), inspiration, intellectual stimulation, or individualized consideration. It elevates the follower’s level of maturity and ideals as well as concerns for achievement, self-actualization, and the well-being of others, the organization and society” (p. 11). According to Yammarino (1994) “...the transformational leader arouses heightened awareness and interests in the group or organization, increases confidence, and moves followers gradually from concerns for existence to concerns for achievement and growth...in short, transformational leaders develop their followers to the point where followers are able to take on leadership roles and perform beyond established standards or goals...” (p. 28). The leader, operating out of exceptional levels of self-confidence, intelligence, creativity, risk taking, social skills, and nurturance of followers and concern for their welfare, provides followers with a vision for a better future (Bass, 1985; Conger & Kanungo, 1987; House, 1977, Sashkin, 1988; Tichy & Devanna, 1997).

Bass (1985) conceptualized the practice of transformational leadership in five sub-dimensions: (1) attributed idealized influence, (2) idealized influence as a behavior, (3) inspirational motivation, (4) intellectual stimulation, and (5) individualized consideration (see also Bass & Avolio, 1995). The concept of “transformational leadership behaviors” (TLB) was developed by Podsakoff et al. (1990), and has received significant attention in the literature (Atwater & Bass, 1994; Bass, 1997; Burke & Litwin, 1992; Podsakoff, MacKenzie & Bommer, 1996). Podsakoff et al. (1990) suggested six key behaviors (TLB) associated with transformational leaders: (1) identifying and articulating a vision; (2) providing an appropriate model; (3) fostering the acceptance of group goals; (4) high performance expectations; (5) providing individual support; and (6) intellectual stimulation.

Transformational leadership behaviors have been linked to numerous positive outcomes, including, increased employee satisfaction (Podsakoff, MacKenzie, Moorman, & Fetter, 1990), extra employee effort and satisfaction with the leader (Seltzer & Bass, 1990; Bycio, Hackett & Allen, 1995), organizational citizenship (Podsakoff et al., 2000), and overall employee performance (Yammarino, Spangler, & Bass, 1993). Transformational leaders have a powerful influence on followers’ motivation, attachment to the larger organization, and affective commitment (Bass, 1985; Shamir, House and Arthur, 1993; Rafferty & Griffin, 2004). The practice of transformational leadership is related to positive outcomes in followers including trust and respect for the leader (Bass & Avolio, 1994; Craig & Gustafson, 1998; Krafft, Engelbrecht & Theron, 2004). Kuhnert and Lewis (1987) note that transformational leaders motivate and inspire followers to accept and accomplish difficult goals that the follower would not normally pursue, as well as to internalize the values of the leader. Jung and Sosik (2002) found that transformational leadership was positively associated with group empowerment, group cohesiveness, and perceived group effectiveness.

RELATIONSHIPS: THE DRIVER OF TRANSFORMATIONAL LEADERSHIP

Transformational leadership is an essentially relational and social endeavor. According to Peterson and Seligman (2004), “Leadership as a personal quality refers to an integrated constellation of cognitive and temperament attributes that foster an orientation toward influencing and helping others, directing and motivating their actions toward collective success” (p. 414). Transformational leadership theory assumes that effective leadership originates and proceeds from a leader who exhibits unique, specified characteristics and behavior (Meindl, 1990). Some literature has placed emphasis on personality variables such as likableness, expertise, power base and environmental sensitivity (Conger & Kanungo, 1987). Atwater and Yammarino (1993) found that personal attributes such as intelligence, warmth, conformity, sensing/intuition, thinking/feeling, emotional coping, behavioral coping, and athletic experience accounted for 28% of the variance in TLB. Howell and Avolio (1993) found that a leader’s internal locus of control was significantly related to intellectual stimulation and individualized consideration. Barling,

Slater and Kelloway (2000) found that emotional intelligence is significantly related to TLB (see also Goleman, 1998; 2000).

Drawing from transformational leadership theory, the 4R Model pictures the leader as engaged in a network of collaborative relationships, which benefit followers and serve the purposes of the larger organization (Burns, 1978; Dvir & Shamir, 2003). Accordingly, the 4R Model places emphasis on a configuration of critical personal characteristics vital to developing these relationships. In this, the 4R Model is antecedent-oriented. The *Relationships* component of the 4R Model addresses the question, “What characteristics *must all* organizational leaders possess in order to provide effective, transformational leadership over time and in a variety of situations?”

While acknowledging the importance of personality factors, the 4R Model places primary emphasis on the virtue of the leader. The ancient Greeks, especially Plato (1956; 1968) and Aristotle (1999) created most of our vocabulary of virtue. For them, virtue was no mere philosophical consideration. They believed that certain kinds of deeply ingrained, moral attitudes and behaviors were necessary for a civil society to function. They called these dispositions virtue, or more specifically, “moral excellence.” These moral dispositions were practical, specific and verifiable. The classical virtues, embraced by Greeks are prudence (practical wisdom), justice (fairness), fortitude (courage), and temperance (moderation). The other great source of virtue is Judeo-Christian, especially the virtues of faith, hope and love. Thomas Aquinas (1989) integrated the four classical virtues with these “theological virtues” and called them “cardinal virtues.” The term cardinal comes from the Latin *cardo* meaning a “hinge” and so the fixed moral point on which all other virtue turns. These seven virtues flowed together into a moral amalgam that shaped theological, educational and civic life in Western Europe for almost fifteen centuries.

For the classical Greeks and ancient Christians, it was meaningless to talk about values (think integrity, transparency, honesty) apart from the virtuous, concrete actions that render those values visible and useful for the community. And such actions were only virtues if they were recurring, becoming so ingrained in a person’s responses to life that they became moral habits, reflexes, something that flowed almost automatically from one’s essential nature and governed one’s intellect, will, emotion and actions. It is of note that the term *ethics* comes from the Greek word *ethos*, which means *habit*, and the term virtue is derived from the Latin *virtus* meaning strength. Virtue, then, is a moral force, the inner strength to do something “good” and to keep doing it over time; the excellence of moral strength placed in service of the larger community. Virtue is not a given of birth or a function of personality type, but must be learned through a rigorous educational process, and regularly reinforced by practical experience.

There is a strong theoretical basis for the inclusion of virtue as a primary antecedent to transformational leadership behavior (TLB). Transformational leadership is an inherently moral endeavor focused on securing what leaders and followers alike affirm is “good” and “right” (Burns, 1978, 2003). Transformational leaders display a strong conviction in the moral rightness of their beliefs (Bass, 1985; House, 1977), adhere to high ethical standards and behave in ways congruent with those standards (Parry & Proctor-Thomson, 2002). The leader characteristics most valued by followers are honesty, integrity and truthfulness (Kouzes & Posner, 1987; 1993). Integrity means a character of uncorrupted virtue (Montefiore & Vines, 1999). Integrity is required to earn the trust of followers (Bennis & Nanus, 1987). Followers who trust their leaders have faith in the leader they he or she will treat them fairly, and not try to gain an advantage by deceiving them (Cook & Wall, 1980). Ethical behavior on the part of the leader contributes to employee commitment and satisfaction, as well as attracts and retains the best employees (Trevino, Hartman & Brown, 2000). No organization can function to its capacity unless employees, customers and constituents can rely on the promises of its leaders (Kouzes & Posner, 1993). Accordingly, mature moral development is essential to the practice of transformational leadership (Bass & Steidlmeier, 1999; Kuhnert & Lewis, 1987).

It is of note that the literature makes a distinction between moral character and charisma (Sankar, 2003). Authentic transformational leadership is contrasted with what Bass and Steidlmeier (1999) call *pseudotransformational* leadership. The immature, self-aggrandizing charismatic leader is not genuinely transformational, but is rather *pseudotransformational*. In contrast, genuine transformational leadership is premised on the moral character of the leader, the moral worthiness of the leader's vision, and the moral appropriateness of the means employed to achieve the vision (Bass & Steidlmeier, 1999).

Virtue is what is termed a "deep trait" that shapes and sustains the individual's surface traits or personality-driven behavior patterns. While effective leaders manifest a range of attitudes and behaviors necessitated by situational contingencies, the same, stable core configuration of deep, moral capacity drives effectiveness in all leadership situations. With reference to transformational leadership theory, virtues are those internal dispositions that enable leaders to overcome the constraining realities of the external environment to focus on the development of followers and the transformation of the organization. Bass (1995) has noted that leaders characterized as transformational have more of an internal locus of control, and thus the confidence and ability to influence the direction of organizational events. Research indicates that leaders with an internal locus of control are better able to cope with stress, and generate higher group and organizational performance than do leaders with an external locus of control (see also Anderson, 1977; Miller, Kets de Vries & Toulouse, 1982; Miller & Toulouse, 1986). With its emphasis on virtue, the 4R Model assumes that effective leaders are internally versus externally oriented.

The virtue-oriented capacity of the leader is embedded in the *Relationships* category of the 4R Model. The *Relationships* category is composed of four discrete but interrelated constellations of virtuous attitude and behavior, which are the foundation and driving force of effective and sustained transformational leadership. These are (1) Dynamic Determination, (2) Intellectual Flex-ability, (3) Courageous Character and (4) Emotional Maturity (DICE). These four virtue configurations are expressed in a comprehensive, "macro virtue" called *Collaborative Quotient* (the + 1 factor). The naming and arrangement of these virtue configurations is for the educational purpose of memory. Specifically, these factors are presented to spell DICE + 1. The image of dice reminds us that an organization "rolls the dice" and bets its future on the moral quality of its leaders.

The DICE + 1 configuration connects the historic, cardinal virtues (faith, hope and love, prudence, justice, courage and temperance) to characteristics identified in the leadership literature as critical to the practice of transformational leadership. *Dynamic Determination* is a cluster of virtuous attitudes and behaviors that draw upon the cardinal virtues of faith, hope, fortitude and prudence. These virtues supply the leader with the inner strength to initiate action in the face of obstacles, to not shrink back in the face of resistance, and to sustain constructive activity in the face of adversity. Dynamic Determination draws upon the concept of higher purpose and transcendent meaning (Emmons, 1999), which is akin to faith. Faith connects the organization and the individuals in it to a larger story with plot, script and movement toward valued ends. Hope is also grounded in higher purpose. It is the expectation of a future good mingled with the understanding that this good is never guaranteed and that the obstacles are many. Grounded in "master story" with explanatory power, and fortified by faith and hope, the leader possesses the necessary contextual reference point from which to make sense of the past and present of the organization in light of its projected future, thus keeping the organization on course to fulfill its destiny (Irving & Klencke, 2004). *Passion* is purpose-generated energy. Passion ignites the will, energizes the emotions, and sets people in motion in the pursuit of one's higher purpose, even and especially in the face of stress, strain and suffering. Passion born of noble purpose is the first quality of the leader, the primal source of sustained, effective leadership. For, the primary and foundational obligation of the leader is first to identify and sustain his or her passion, and then to ignite it in others. As Burns (1978) reflected, "Where nothing is felt, nothing matters... The leader's fundamental act is to induce people to be aware or conscious of what they feel—to feel their true needs so strongly, to define their values so meaningfully, that they can be moved to purposeful action" (p.44). Additionally, Dynamic Determination includes the idea of being proactive, which is akin to fortitude. It is the disposition to act decisively in order to

accomplish one's priorities. Human beings are "purposive" creatures. Leaders with Dynamic Determination engage and shape the world through decisive and concrete action (Klinger, 1998; Kruglanski, 1996). Finally, Dynamic Determination includes the idea of prudence. Prudence is a combination of foresight, humility and rationality put in service of "the good." It is sound judgment in matters of primary importance that guides and shapes the energy generated by passion (Compte-Sponville, 2001).

Intellectual Flex-ability is a cluster of virtuous attitudes and behaviors, which draw upon the cardinal virtue of prudence and its derivatives, wisdom and humility. Intellectual Flex-ability is the capacity to *see*. Appreciating the dynamic complexity of life, and knowing one's human and personal limitations, leaders with Intellectual Flex-ability possess an attitude of openness and humble teachability, the capacity to see oneself, others and the world clearly and accurately. This perceptual capacity is coupled with the moral strength to change one's attitudes and behaviors in accordance with what one sees, implying the willingness to admit one's limitations and learn from one's mistakes. The idea of wisdom captures the essence of Intellectual Flex-ability as a moral virtue, operating in a value-laden, relational context, and expressed in the service of others and support of the organization (Sternberg, 1990). With reference to transformational leadership theory, Intellectual Flex-ability is akin to intellectual stimulation (Bass, 1985; Rafferty and Griffin, 2004). Intellectual stimulation increases followers' interest in and awareness of problems, and develops their ability to think about problems in new ways (Bass, 1985). As leaders practice intellectual stimulation, followers are better able to conceptualize, comprehend and analyze problems and improve the quality of solutions they generate (Bass & Avolio, 1990).

Courageous Character is a cluster of virtuous attitudes and behaviors, which draw upon the cardinal virtues of love and fortitude. Courageous Character refers to one's moral integrity, which is the inner strength to live in accordance with high moral standards. Moral integrity is put to the test and validated in concrete acts of moral courage, especially demonstrations of courageous love. Reflecting the dimension of moral courage, McCall (1998) notes that effective global executives have "...the courage to take risks." This means that the leader "will take a stand when others disagree, go against the status quo, persevere in the face of opposition, and possesses the courage to act when others hesitate and will take both personal and business risks" (McCall, 1998). Courageous Character is the foundation of trust, which is a critical intervening construct in the outworking of transformational leadership (Podsakoff et al., 1990). Bass (1999) notes that a high level of trust is required if followers are to identify with the organization and to internalize its values. Additionally love or altruism has been associated with leadership effectiveness. Altruistic leaders are concerned about the welfare of others, act on behalf of the needs and best interests of others and larger organization despite the risk of personal cost involved. They avoid using power for personal gain but instead use it in socially constructive ways in the service of others (Engelbrecht et al., 2005; Bass & Avolio, 1994; Kanungo & Mendonca, 1996; Bass & Steidlmeier, 1999).

Emotional Maturity is a cluster of virtuous attitudes and behaviors, which draw upon the cardinal virtues of love, hope and temperance. Emotional Maturity speaks of the inner strength of temperance to overcome the negative emotions that threaten to undermine the power of a virtuous life. Emotional Maturity is the moral strength to steward one's virtue such that it is expressed in service of others, especially with respect to understanding their needs and concerns, rather than diminished by the deficiencies and vagaries of one's emotional life, especially one's self-centeredness (Pieper, 1966; Compte-Sponville, 2001). Transformational leadership theory conceptualizes leadership as a profoundly emotional and relational process that places stringent demands on the leader's emotional functioning (Brown & Moshavi, 2005; George, 2000; Goleman, 1998; 2000; Sosik and Mergerian, 1999). Barling,

Slater and Kelloway (2000) found a positive association between “emotional intelligence” (EI) and transformational leadership behaviors, especially individualized consideration, intellectual stimulation and inspirational motivation. Leaders with high EI may be better able to be aware of the emotional state of others, better understand social contexts and emotional states of followers, and correspondingly choose the behaviors that are consistent with effective transformational leadership behavior (Goleman, 2000; Salovey & Meyer, 1990; Caruso & Salovey, 2004).

In the spirit of a simple and comprehensive working model, the DICE configuration of virtue is presented the *sin qua non* of personal leadership capacity—the essential, rudimentary, primal elements, the irreducible minimum without which the effective practice of transformational leadership is unlikely if not impossible. Each virtue configuration serves as a supply or reservoir of moral strength, affording the leader the capacity to exercise the attitudes and behaviors consistent with the demands of leadership effectiveness over time and across situations. Consequently, this configuration must be demonstrably present in the life of the leader at “above threshold levels” if they are to be deemed fundamentally qualified to meet the moral and relational challenges of sustained leadership effectiveness (articulated in the *Roles* and *Responsibilities* categories of the 4R Model). As such, the DICE configuration is not what *some* leaders *might* possess and express, but what *all* leaders *must* possess and express.

The DICE configuration of virtue finds its highest expression in a critical set of leadership attitudes and behaviors called *Collaborative Quotient* (CQ). Collaborative Quotient is a “composite virtue,” the full and integrated expression of the DICE configuration—the + 1 factor. A leader’s CQ refers to his or her virtue-based capacity to initiate, sustain and grow interdependent, collaborative partnerships with a diverse array of people over time and across situation. When a leader operates out of a sufficiently high fund of the DICE configuration, his or her Collaborative Quotient is sufficiently high to sustain effective transformational leadership behaviors (*Relationships*) in a variety of leadership contexts (*Roles*). When a leader’s “virtue fund” is insufficiently low, the leader’s capacity to collaborate is substantially limited, and consequently the effectiveness of the leader in fulfilling the obligations of the leadership *Roles*, and executing the leadership *Responsibilities* is severely diminished.

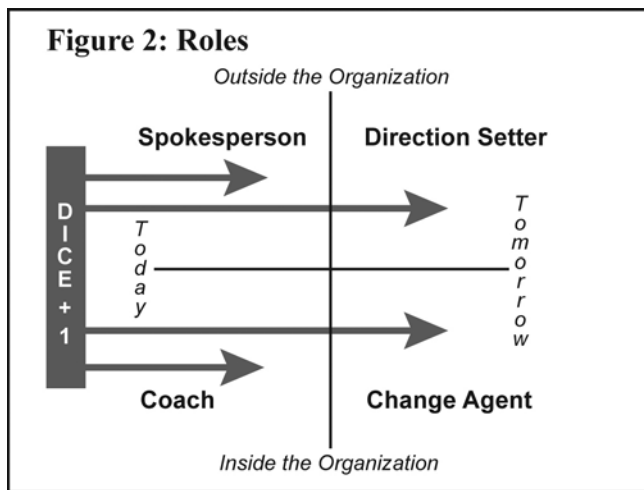
ROLES: THE CONTEXT OF TRANSFORMATIONAL LEADERSHIP

Leadership is not about the supreme qualities of one person standing in splendid isolation, but rather, about the individual leader as part of a relational process in a social or organizational context (Avolio, Sosik, Jung & Berson, 2003; Kaiser, Hogan & Craig, 2008). Leadership is a process of social influence and the pursuit of group goals (Bass, 1990; Yukl, 2002; Zaccaro & Klimoski, 2001). Leaders influence individuals and groups of individuals to contribute willingly and at times sacrificially to the good of the larger group (Kaiser, Hogan & Craig, 2008). Transformational leaders focus their efforts on the greater good of groups, organizations or society (Burns, 1978; Bass, 1999), and attend to “the problem of collective effort—the problem of bringing people together and combining their efforts to promote success and survival” (Kaiser, Hogan & Craig, 2008, p. 96).

Yammarino and Bass (1991) suggest that there are three levels of transformational leadership: leadership of small groups called micro-leadership, leadership of a larger organization, called macro-leadership, and leadership of movements or societies, called meta-leadership. Leaders influence team dynamics (Hackman & Walton, 1986; Zaccaro, Rittman & Marks, 2001), as well as the larger organization through influencing the organizational culture (Kozlowski & Doherty, 1989; Schein, 1992). Specifically, the behaviors of organizational leaders become symbols of the organization’s new culture (Bass, 1999). The organization’s ethical climate is a natural overflow of the leader’s commitment to ethical values expressed in the daily decisions and behaviors of the leader (Carlson & Perrewe, 1995; Kanungo & Mendonca, 1996; Engelbrecht & Cloete, 2000; Engelbrecht et al., 2005). An organization’s culture determines how organizations handle such issues as accountability, communication, equity and the welfare of constituents (Victor & Cullen, 1988). People in organizations use the behavior of others to inform and regulate their

own behavior (Bandura, 1977; Cialdini, 2001; Salancik & Pfeffer, 1978). Bass et al. (1987) propose a “falling dominoes effect,” which states that transformational leadership displayed at the top level of an organization tends to be replicated at the next level of the hierarchy. For instance, when a leader operates with integrity and justice, it instills similar ethical expectations in the larger organization (Carlson & Perrewe, 1995).

Accordingly, the 4-R Model pictures transformational leadership as a virtue-oriented, relational process (*Relationships*) lived out in a larger social or organizational context (*Roles*). The transformational leader is pictured as both drawing from an ethical core (his or her DICE + 1 capacity) to contribute to the ethical climate and culture of the larger organization. The 4-R Model’s depiction of *Roles* highlights the critical connection between (1) the relational and moral agency of the leader as expressed in his or her virtue-driven, collaborative partnerships (*Relationships*), (2) the leader’s focus—what aspects of organizational life merit the leaders’ attention and energy, and (3) the welfare and progress of the organization. Drawing from the work of Nanus (1992), the 4-R Model pictures four distinct but interrelated organizational leadership contexts, each of which is termed a *Role*. Each *Role* is designated according to a grid with an “Outside the Organization” and “Inside the Organization” axis, and a “Today” and “Tomorrow” axis. The resulting grid identifies the four leadership *Roles*: an “Outside-Tomorrow” *Role* (Direction Setter), an “Outside-Today” *Role* (Spokesperson), an “Inside-Today” *Role* (Coach), and an “Inside-Tomorrow” *Role* (Change Agent). Each *Role* is depicted as (1) a “corner” of organizational life with attendant leadership concerns, and (2) the context in which the leader’s virtue and collaborative partnerships (DICE + 1, *Relationships*) are expressed (Figure 2).



In the spirit of a simple and comprehensive working model, the *Roles* category does not include every conceivable “micro role” some leaders might play (CEO, vice president, division head, team leader, etc.). Rather, the 4-R Model pictures the four *Roles* every transformational leader must play to lead well over time in and on behalf of the organization. Each *Role* serves as an organizing metaphor, a window of insight, a “lens” which brings into focus the fundamental obligations of the transformational leader to the organization. The sum of these obligations, the most critical of leadership contributions is that of shaping and sustaining a transformational culture that supports the efforts of the leader to bring substantial and lasting change to the organization and those the organization intends to serve (Kotter, 1990; Schein, 1992). Accordingly, each *Role* has embedded in it a culture-shaping “script” that prompts and guides the leader’s investment of attention and energy.

Direction Setter. Transformational leadership theory affirms that the moral trajectory or *telos* of the organization is the pursuit of a better, more humane community, organization or society (see Burns, 1978;

2003). “At the highest level of morality are selfless ideal causes to which leaders and followers may dedicate themselves” (Bass, 1999, p. 12). House and Shamir (1993), and Shamir et al. (1993) have proposed that transformational leaders produce in followers a sense of collective efficacy around a higher purpose. In the Direction Setter Role, the leader clarifies the larger purpose, unique mission, deep identity and core values of the organization, and infuses the organization with a compelling sense of moral purpose and a service ethos. This *Role* places emphasis on “tomorrow,” thus placing primary value on sustained and effective service into the indefinite future. The mandate of the Direction Setter Role is to foster a cultural climate conducive to directional clarity and missional integrity such that the organization lives in daily accord with its purpose, mission, identity and core values. If the Direction Setter Role is ignored, the organization will lack a sense of a larger purpose beyond its own self-interest, and will likely lapse into a tradition-bound or selfish mode of existence.

Spokesperson. In the Spokesperson Role, the leader actively engages those the organization intends to serve—customers, shareholders, constituents and others who are not part of the organization, but on whose behalf the organization works. The Spokesperson is an advocate for what is worthwhile and attractive about the organization, a negotiator with outside constituents, and a builder of networks of external relationships (Nanus, 1992). The leader as Spokesperson builds and sustains a customer-engaged culture, shaping the organization into an accessible and engaging place that regularly connects the people and resources of the organization with the needs and concerns of those outside the organization. Customer-engaged organizations are defined by a deep and abiding sense that they exist for the benefit of others. Accordingly, they invest time in learning and understanding their customer’s needs and concerns, and forge collaborative partnerships with a wide range of constituents. If the *Spokesperson Role* is ignored, the organization will lose touch with the important people and groups it intends to serve, and eventually render themselves irrelevant to customers, shareholders and constituents.

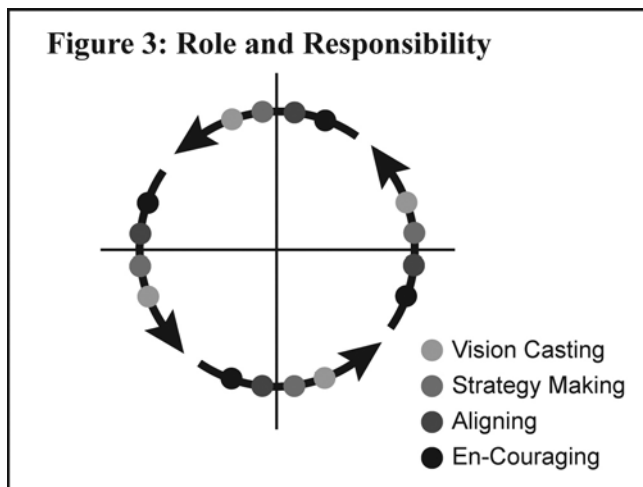
Coach. In the Coach Role, the leader places emphasis on the identification, development and deployment of leaders to perpetuate and expand its work (Charan, Drotter, & Noel, 2001). The mandate of the Coach Role is to foster a leadership-friendly culture, which embraces new leaders, and affords them opportunity to contribute to the mission of the organization. The Coach Role is the context for established leaders to display individualized consideration. Individualized consideration is displayed when leaders pay attention to the developmental needs of followers, and delegate assignments with a view to the growth of followers into leaders (Bass, 1999). There is evidence to support the contention that organizations that foster sound leadership outperform their peer rivals (Pfeffer, 1994). If the Coach Role is ignored, the organization will lack the internal capacity in the form of the next generation of leaders to sustain its efforts

Change Agent. In the Change Agent Role, the leader places emphasis on learning and deep change in accordance with the purpose, mission, identity and core values of the organization. The mandate of the Change Agent Role is to foster a cultural climate conducive to constructive change, innovation and deep learning such that personal and organizational habits, attitudes and practices are transformed in accordance with the demands of missional effectiveness in a changing and unpredictable world. The leader as Change Agent prompts and supports a continuous, collective focus on constructive change (Kotter, 2007). They promote a spirit of experimentation and prudent risk taking, and challenge

RESPONSIBILITIES: THE BEHAVIORS OF TRANSFORMATIONAL LEADERSHIP

Leaders define, establish, identify, clarify and translate a direction for collective action by the organization, and they facilitate and enable the collective processes that achieve the valued outcomes associated with this direction (Zaccaro & Klimoski, 2001). The leader engages in processes to affect group results (Kaiser & Hogan, 2007) and attends to a variety of transformational leadership behaviors (TLB) (Podsakoff et al., 1990; 1996). Accordingly, the 4R Model pictures the critical linkage between the *virtue-oriented collaboration* of the leader (*Relationships*), the social context and culture-shaping

work of the leader (*Roles*), and the effective practice of leadership (*Responsibilities*). In this, the 4R Model pictures the *being* of leadership, translated into the *doing* of leadership in the organizational *context* of leadership. Specifically, the *Responsibilities* category pictures transformational leadership as a seamless process of leadership behaviors, which serve as a catalyst for personal and collective transformation. The 4-R Model pictures the leader (1) drawing from his or her fund of DICE + 1 to forge collaborative partnerships (*Relationships*), (2) stepping into each corner of the organization (*Roles*), to (3) practice four leadership behaviors vital to the transformational process (*Responsibilities*). The *Responsibilities* are (1) Vision Casting, (2) Strategy Making, (3) Aligning, and (4) En-Couraging. As with *Relationships* and *Roles*, the *Responsibilities* category is not a catchall list of every important activity *some* leaders *might* do. Rather, it depicts the essential activities *every* transformational leader *must* do to lead well over time in each of the leadership *Roles* (see Figure 3).



Vision Casting. Vision Casting is a process of (1) crafting, (2) communicating and (3) continually revising an intellectually credible and emotionally engaging picture of a preferable future (Kotter, 1990; Nanus, 1992). Rafferty and Griffin (2004) define vision as “The expression of an idealized picture of the future based around organizational values” (p. 332). According to Bass (1999), “Idealized influence and inspirational leadership are displayed when the leader envisions a desirable future, articulates how it can be reached, sets an example to be followed, sets high standards of performance, and shows determination and confidence” (p. 11). The leader’s strategic vision plays a central role in animating and empowering followers (Bryman, 1992; Nanus, 1992; Conger & Kanungo, 1994). The vision generates momentum, attracts and inspires individuals, and engages the organization in a collective effort to achieve a higher purpose. Podsakoff, MacKenzie and Bommer (1996) found that articulating a vision was significantly, positively associated with affective commitment to the larger organization and its goals and values. A transforming vision provides a framework for seeing and acting upon what Burns (2003) calls “actionable needs,” which are the things that can and must change (p. 235). In this, vision signals an ethical imperative—some things must change, and as they do, the world, our organization and the lives of individuals will be better in substantial ways (Burns, 2003).

Strategy Making. The vision is merely a good idea until it is broken down into a series of actionable steps. This is the work of Strategy Making. In the work of Strategy Making, the leader creates a first level of detail to organize and aim the collective effort of the organization to accomplish valued ends (Kotter, 1990). The term “strategy” is derived from the Greek word *strategos*, meaning “a general.” Borrowing from military imagery, strategy refers to art and science of maneuvering resources into the most advantageous position such that a competitive advantage is gained over an opponent. Accordingly, strategy Making is the deliberate, collective search for the best ways to secure the organization’s valued ends. Mintzberg (1994) notes, “No one has ever touched a strategy. Strategies, in other words, do not

exist as tangible entities. They are abstract concepts, in the minds of people. And the best of them seem to be gestalt in nature, tightly integrated, whether intended strategies as synthesized *patterns* of preferences prior to the taking of actions or realized strategies as synthesized *patterns* already formed among actions” (p. 240). Quinn et al. (1988) defines a strategy as, “the pattern or plan that integrates an organization’s major goals, policies, and action sequence into a cohesive whole” (p. 3). Strategy Making, then, is the process of creating a coherent and integrated conceptual framework within which the organization agrees upon a pattern of collective effort necessary to accomplish valued ends.

Aligning. Aligning refers to the work of fostering affective commitment to the larger organization, especially its vision, values and strategies, and finding practical ways for members of the organization to accomplish valued ends. Affective commitment refers to the extent to which followers identify with, are involved in, and are emotionally attached to an organization (Meyer & Allen, 1997). According to Kotter (1990), alignment is “A condition in which a relevant group of people share a common understanding of a vision and set of strategies, accept the validity of that direction, and are willing to work toward making it a reality” (p. 60). In the work of Aligning, the leader aligns the interests and values of the organization and its members, and develops followers into “high involvement individuals and teams” (Bass, 1999, p. 9), causing followers and entire organizations to do more than they originally expected to do, and to go beyond the technical requirements of any particular role (Bass, 1985). In the work of Aligning, the leader serves as a moral catalyst for the development of “organizational citizenship behaviors” (OCB) in followers (Podsakoff et al., 1990; Organ & Ryan, 1995). According to Organ, (1988) these behaviors are of “a discretionary nature that are not part of the employees’ formal (role) requirements, but nevertheless promote the effective functioning of the organization” (p. 4). OCB’s include altruism, conscientiousness, sportsmanship (tolerating less than ideal circumstances without complaining), courtesy, and civic virtue (participating in and being concerned about the larger organization). Practical ways to align the members of an organization with its vision and strategies in order to accomplish concrete outcomes go by a variety of names. Collins (1996; 1999) calls them “mechanisms with teeth.” Bossidy and Charan (2002) refer to this process as the leadership work of “execution.”

En-Couraging. The work of En-Couraging is focused on infusing individuals and entire organizations with courage and confidence, especially in times of difficulty or disappointment. In the work of En-Couraging, the leader imparts hope, instills a spirit of optimistic resolution, and sustains the morale and energy of organization members. Inspirational motivation (sometimes referred to as inspirational communication) is a critical aspect of transformational leadership (Bass, 1985; Barbuto, 1997; Rafferty and Griffin, 2004). Rafferty and Griffin (2004) define “inspirational communication” as “The expression of positive and encouraging messages about the organization, and statements that build motivation and confidence” (p. 332). Rafferty and Griffin (2004) reported that inspirational communication has a significant, positive relationship with role breadth self-efficacy, a crucial motivational construct that influences individual choices, goals, emotional reactions, effort, coping and persistence (Bandura, 1986; 1997; Gist & Mitchell, 1992). Shamir et al. (1993) argued that transformational leaders increase followers’ self-efficacy, and thus their belief in their capabilities to organize and execute actions required to produce given attainments. Expressing positive and encouraging messages about an organization was positively associated with emotional attachment to the organization, individuals’ confidence in carrying out a range of proactive and integrative tasks, and the extent to which individuals helped others with or prevented the occurrence of work problems (Rafferty & Griffin, 2004).

RESULTS: THE OUTCOMES OF TRANSFORMATIONAL LEADERSHIP

The transformational process is inherently unpredictable. Substantive and lasting change does not arrive on schedule. Nevertheless, transformational leaders set in motion a pattern of “beyond expectation” outcomes congruent with and reflective of the purpose, mission, vision and values of the organization. This pattern of “beyond expectation” outcomes is imbued with an ethical quality that transcends the limitations of a task oriented, leader-follower transaction (Burns, 1978; 2003; Bass, 1985). With a view

to sound stewardship of the organization's resources (Block, 1993) leaders and the entire organization regularly monitor and measure progress, and make appropriate adjustments in their investment of time, energy and resources toward the end of securing valued outcomes (Ulrich et al., 1999; Meyer, 1994). Accordingly, the 4R Model pictures the *Results* of the leader in the "outer ring," as the *outcomes* that flow from the implementation of the leadership *Responsibilities* in the context of organizational leadership *Roles*, as initiated and sustained by the leader's *Relationships*. In this sense, *Results* are the cumulative (over time) and collective (dependent on virtue-driven, collaborative partnerships) outcomes of a DICE + 1 leader or leaders attending to each of the organizational *Roles* and implementing each of the leadership *Responsibilities* (see Figure 1).

BENEFITS OF THE 4R MODEL FOR TEACHING LEADERSHIP IN A GLOBAL CONTEXT

The 4-R Model of Transformational Leadership has practical benefit in teaching transformational leadership to business leaders in a global context.

First, the 4R Model has global appeal. It conceptualizes a construct, transformational leadership, and its relationship to virtue, both of which have been shown to have universal application. Bass (1997) makes a strong case for the universal nature of the transformational and transactional leadership distinction. The case for the relationship between transformational leadership and a variety of follower outcomes across a wide variety of settings and cultures is well established in the literature (Bass, 1997; Lowe, Kroeck, & Sivasubramaniam, 1996). Additionally, the concept of virtue and its relationship to business effectiveness has global relevance. Virtue is a "ubiquitous" concept and practice (Peterson & Seligman, 2004). The last two decades has seen a resurgence of literature agreeing with the classical Greeks that virtue is constitutionally grounded—part of human nature, and thus universal and not merely contextual (MacIntyre, 1984; Hursthouse, 2001; Hofstede, 1980, 1987; Foot, 2003). Lack of virtue—moral corruption is also universally acknowledged as such (Garofalo et al., 2001). Rachels (1999) notes that while the application of virtue may differ from culture to culture, the fact of virtue does not. Accordingly, the 4R Model is flexible enough to accommodate diverse social customs and business practices, while maintaining the foundational nature of virtue to leadership effectiveness across time and place.

Second, as a virtue-oriented leadership framework, the 4R Model has the advantage of moving beyond arbitrary lists of leadership traits to identify the relatively few factors that distinguish effective from ineffective leaders. The 4R Model acknowledges the reality that leaders operate in a perpetual state of partnership, which places stringent demands on the leader's virtue. Virtue fuels the dispositions, attitudes and behaviors required to positively influence others, forge collaborative partnerships, and direct and sustain the collective action of individuals and groups to attain valued outcomes. Accordingly, the *Relationships* factor is pictured at the center of the 4R Model with a disproportionately large circle, signifying that transformational leadership is an inherently relational process, and that the virtue of the leader is the critical "success factor" in all leadership contexts (*Roles*) and the driver of all effective leadership behavior (*Responsibilities*) (see Figure 1). This pictorial representation of transformational leadership makes a compelling case to learners that leadership is a profoundly relational and ethical process.

Third, the 4R Model is an educational road map, helping learners find their way in the often confusing, complex and conceptually cluttered landscape of leadership theory and practice. Specifically, it identifies the critical components of transformational leadership, distinguishing these from merely important, interesting or idiosyncratic factors. In doing so, the 4-R Model offers a clear, comprehensive and organized picture of the dynamic linkages between the critical variables of transformational leadership theory (each of the "4-R's"). In the spirit of the law of parsimony, the 4R model features only those variables critical to transformational theory, thereby offering learners a measure of clarity with a minimum of conceptual clutter. Additionally, the broad framework of the 4R Model provides a conceptual home for a vast amount of leadership literature, making it possible for the learner to properly categorize a wide array books, articles and research on leadership theory and practice. As such, the 4R

Model is a powerful teaching aid to bring conceptual clarity to discussions on the nature of leadership and its effective practice in organizational life.

Fourth, the 4R Model provides a comprehensive perspective on transformational leadership as a moral, social and behavioral phenomenon. The 4R Model addresses both the behaviors of an effective leader, as well as the virtue-oriented antecedents to such behavior. In this, the 4R Model expands the frame of transformational leadership beyond the dyad of leader-follower interaction to highlight the association between the virtue-oriented capacities of the leader and the impact of these dispositions on effective leadership practice. Accordingly, the 4R Model is a powerful educational tool to visualize the foundational assumption of transformational leadership theory—that the fundamental, driving force of transformational leadership is a vision of moral goodness secured by means consistent with that vision; virtuous ends accomplished by virtuous means employed by virtuous people.

Fifth, the 4R Model is of heuristic value, and can be put to practical, diagnostic use in identifying the critical elements of effective leadership practice, affording the learner the opportunity to compare his or her leadership practice to the practice of leadership as conceptualized by the model. Through the lens of the 4-R Model, poor leadership can be exposed, compared and contrasted with effective leadership. Through the lens of the 4R Model, the learner can compare his or her assumptions as to what effective leadership looks like, and further examine the validity and practical usefulness of those assumptions. As Bass (1999) states, “Training to increase transformational leader behaviours begins with an examination of implicit theories of ideal leadership that trainees carry around in their heads” (p. 15). Additionally, through the lens of the 4R Model, learners can profitably reflect on the leadership success of others and duly note those leadership dispositions and behaviors that are of classic, timeless relevance, as differentiated from those which are merely idiosyncratic and thus not worthy of imitation.

Sixth, the 4R Model is a useful developmental map that aids the learner in real life, real time learning, and enhances the process of self-discovery, which is always the most powerful learning strategy. It can help the learner sort through the overwhelming array of leadership experiences, examples, principles and resources, to focus on those that are crucial to the developmental journey. Specifically, the 4-R Model provides a framework for personal leadership development, both in terms of emphasizing the critical importance of the learner’s virtue-oriented capacity (*Relationships*), as well as placing proper emphasis on sharpening the learner’s leadership competencies (*Roles and Relationships*).

Seventh, the 4R Model is a helpful tool in articulating virtue-oriented criteria for leadership selection. The research on managerial succession has consistently found an empirical link between who is in charge of an organization and its performance on a variety of indicators. Organizations that select leaders on the basis of personal charisma are likely to struggle with poor strategy, low morale, high turnover and possibly corruption. But organizations that select leaders based on the virtue-related factors that contribute to team and organizational performance are more likely to experience sustained success (Kaiser, Hogan & Craig, 2008; Collins, 2001a; Collins 2001b). Due to its emphasis on the critical nature of virtue to leadership performance, the 4R Model can be used as a framework for training business leaders in the art and science of leader selection.

Eighth, the 4R Model suggests an effective way to select, organize, emphasize, sequence and integrate the business leadership curriculum. For instance, the organization, emphasis and sequencing of curriculum can be set to match the logic of the 4R Model, with *Relationships* presented as the first and foundational topic, *Roles* second, *Responsibilities* third and *Results* fourth. In this, the 4R Model provides the conceptual framework for a concerted curricular emphasis on demonstrating the dynamic interaction of

the macro leadership categories (each R). For instance, the DICE + 1 configuration in *Relationships* can be rigorously integrated into discussions on effective leadership performance in each *Role* (see Figure 2) as well as effective implementation of each *Responsibility*. The curriculum can highlight the interaction of each *Role* as the organizational context for the implementation of each *Responsibility* (see Figure 3). Finally, *Results* can be discussed in the context of the successful implementation of leadership *Responsibilities*, and so on.

Ninth, the 4R Model may be useful in generating research hypotheses for business students and professors. Though the moral content of transformational leadership has been suggested by the literature (Burns, 1978, 2003; Bass, 1985; Bass and Steidlmeier, 1999), to date, no working model has been suggested which explicitly links the virtue of the leader to transformational leadership behaviors (TLB). Although the conceptual link between the ethical core of the transformational leader and the leader's performance has been noted, the link between them has been given little consideration in the empirical research (Parry & Proctor-Thomson, 2002), with previous research only passively addressing the antecedents to transformational leadership behavior (Burns, 1978; Bass, 1985). TLB has been viewed as an independent variable, exerting influence "downstream" (Bass, 1995). But, it remains unclear why certain people engage in TLB's and others do not. Bass states, "Much more needs to be learned about the ethical and moral factors that distinguish the truly transformational leader from the pseudotransformational leader" (Bass, 1999, p. 15). As Bommer et al. (2004) note, while there is much known about the outcomes of transformational leadership, there is less known about the genesis or antecedents of transformational leadership behaviors. Since TLB is driven from the leader's personal frame of reference, including their values and identity (Jones & George, 1998), a focus on the leader's values and ethical core as an antecedent to TLB is warranted. The 4R Model suggests such linkages and interrelationships, which shifts the research focus "upstream" to the study of transformational leadership behaviors as a dependent variable, with the personal virtue of the leader as the independent variable in the leadership equation. Accordingly, the 4R Model provides a rich context for further scholarly consideration of the relationship between virtue, organizational culture, transformational leadership behaviors, and follower and organizational outcomes.

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