

**Leading Through Culture Crisis:
The Full Range - Adaptive Mixed Leadership Model**

by

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A dissertation submitted to the Graduate Faculty of
Auburn University
in partial fulfillment of the
requirements for the Degree of
Doctor of Philosophy

Auburn, Alabama
August 3, 2019

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Abstract

The primary problem examined in this research project is that two popular leadership models in public administration and business management do not adequately account for the foundational aspect of properly defining problems and the critical role of the organizational hierarchy when describing or analyzing leadership behaviors. This dissertation relies on grounded theory techniques to recommend a new leadership model, as well as a longitudinal comparative case study with triangulation to investigate the proposed model within a contemporary phenomenon and real-life context. The Full Range - Adaptive Mixed (FRAM) Leadership Model illustrates how three levels of the leadership hierarchy should be aligned as they attempt to define the problem within their organization's culture, and as they choose their leadership behaviors and actions in addressing the problem. The model also depicts how the leadership community's intervention varies in effectiveness and how the leaders should use feedback and learning opportunities to adapt as the cycle repeats. The longitudinal case studies examine three different leadership levels at the U.S. Air Force Academy, as this public institution attempted to affect the persistent crisis involving sexual harassment and sexual assault. Focus group comments from 2007, 2011, and 2015 are examined using a qualitative coding process. Additionally, survey results from 2006, 2008, 2012, and 2016 are used as a method of triangulating the findings. One of the primary findings is that the leadership hierarchy was fundamentally aligned in their problem definition and

leadership behaviors as they transitioned from technical problem definition requiring transactional leadership toward an adaptive problem definition more suited for a transformational approach. However, there were issues with ineffective laissez-faire leadership when intercollegiate athletes were suspected of unwanted sexual behaviors. Unexpectedly, while the focus group participants perceived the leadership interventions as being predominantly effective, the survey results reported increasing percentages of unwanted sexual contact. There are likely several factors affecting this disconnect. One factor may be the leadership's overreliance on transformational leadership with a student body population that experiences an influx of twenty-five percent new members annually. Another factor may be the *rebound* phenomenon from sexual assault literature that shows gains made against the unwanted sexual behaviors tend to erode over time. The FRAM Leadership Model depicts how leaders might learn from this feedback and adapt their problem definition, hierarchy alignment, and leadership behaviors to improve intervention effectiveness.

Disclaimer: The views expressed in this dissertation are those of the author and do not reflect the official policy or position of the United States Air Force, Department of Defense, or the U.S. Government.

Acknowledgments

First, I would like to express my deepest appreciation to my advisor Dr. Jon Fisk, who has been my patient mentor and guide throughout the dissertation process. Thank you for encouraging and advising my research and writing. I am also very grateful to Dr. Cynthia Bowling, Dr. Paul Harris, and Dr. Linda Dennard, for serving on my advisory committee, and to Dr. Stan Reeves for serving as my university reader. Thank you all for investing your valuable time in my professional development and for offering wise advice.

I am also greatly indebted for the moral support and encouragement that I receive every day from the love of my life, Rebecca, and our two wonderful sons, Dakota and Tyler. Rebecca is always my patient sounding board and skilled editor-in-chief. She is one of the smartest, kindest, and most giving people that I know. Becky, I am so incredibly blessed to have you as my wife, soul-mate, and best friend.

Last but certainly not least, my utmost thankfulness and praise is offered to God for His exceedingly abundant patience, mercy, and grace. It is because of His amazing grace that this life has meaning and is worth living (John 3:16).

Table of Contents

Abstract	ii
Acknowledgments.....	iv
List of Tables	ix
List of Figures	xi
List of Abbreviations	xii
CHAPTER 1 - INTRODUCTION.....	1
Definitions.....	4
Unwanted Sexual Behaviors.....	4
Sexist Behavior.....	5
Sexual Harassment	6
Unwanted Sexual Contact	6
Sexual Assault	7
Background	7
U.S. Department of Defense Military Service Academies.....	8
Inclusion of Women at the Military Service Academies.....	10
Leadership Mishandles Reports of Unwanted Sexual Behavior	13
Problem Statement	18
Purpose of this Research	22
Research Questions	22
Research Design	23

Focus Group Data.....	25
Research Expectations.....	26
Overview of the Chapters.....	30
CHAPTER 2 - LITERATURE REVIEW.....	33
Defining and Describing Leadership.....	34
Evolution in the Development of Leadership Theory	41
Trait Theories	42
Behavior Theories	48
Situational Theories.....	54
Full Range Leadership Model	60
Adaptive Leadership Model	64
Limitations and Gaps in Current Research.....	69
Lack of Problem Definition on Leadership Effectiveness	69
Lack of Multi-Level Hierarchy on Leadership Effectiveness	71
Full Range - Adaptive Mixed (FRAM) Leadership Model.....	73
Literature Review Summary	75
CHAPTER 3 - DESIGN AND METHODOLOGY.....	76
Research Design	77
Research Questions and Expectations.....	79
Grounded Theory Approach.....	81
Coding Inter-Rater Reliability	82
Military Service Academy Focus Group Data	83
Data Limitations	85
Population and Unit of Observation.....	87

Independent Variables	88
Dependent Variables	90
Operationalizing the Variables	91
Qualitative Analysis Software NVivo	98
Triangulation with Survey Results	99
Design Methodology Summary	100
CHAPTER 4 - SENIOR-LEVEL LEADERSHIP AT THE U.S. AIR FORCE	
ACADEMY	102
Overview of Senior-Level Leaders	102
Senior-Level Leadership Problem Definition (RQ1)	103
Senior-Level Leadership Behaviors (RQ2)	109
Senior-Level Leadership Effectiveness (RQ3)	114
Summary of Senior-Level Leader Focus Group Analysis	118
CHAPTER 5 - MIDDLE-LEVEL LEADERSHIP AT THE U.S. AIR FORCE	
ACADEMY	120
Overview of Middle-Level Leaders	120
Middle-Level Leadership Problem Definition (RQ1)	121
Middle-Level Leadership Behaviors (RQ2)	126
Middle-Level Leadership Effectiveness (RQ3)	129
Summary of Middle-Level Leader Focus Group Analysis	134
CHAPTER 6 - STREET-LEVEL LEADERSHIP AT THE U.S. AIR FORCE	
ACADEMY	137
Overview of Street-Level Leaders	137
Street-Level Leadership Problem Definition (RQ1)	138
Street-Level Leadership Behaviors (RQ2)	142

Street-Level Leadership Effectiveness (RQ3).....	146
Summary of Street-Level Leader Focus Group Analysis	151
CHAPTER 7 - SURVEY RESULTS AT THE U.S. AIR FORCE ACADEMY	154
Unwanted Sexual Contact	155
Availability and Effectiveness of Sexual Assault Training	160
Leadership Response	163
Air Force Academy Summary.....	170
CHAPTER 8 - FINDINGS, CONTRIBUTIONS, AND RECOMMENDATIONS.....	179
Findings and Discussion.....	183
Leadership Hierarchy’s Definition of the Problem	183
Leadership Hierarchy’s Behaviors to Confront the Problem	185
Perceived Effectiveness of Leadership Hierarchy’s Behaviors.....	190
Contributions	195
Theoretical.....	195
Applied	196
Recommendations	197
Future Research.....	198
Leader Development	199
Confront Unwanted Sexual Behaviors in Schools and Universities	200
Conclusion.....	201
REFERENCES	203
APPENDIX 1 - CODING INTER-RATER RELIABILITY	215

List of Tables

Table 1.1: Historic Attrition Rates at the Air Force Academy (Percentage)	12
Table 1.2: Major Findings and Conclusions of the 2003 Report of Sexual Misconduct Allegations at the U.S. Air Force Academy	15
Table 2.1: The Evolving Definition and Emphasis of Leadership Literature	35
Table 2.2: Stogdill Leadership Traits Survey Findings	43
Table 2.3: Major Leadership Trait Summary	45
Table 2.4: Leadership Traits within the Big Five Model of Personality	46
Table 2.5: Full Range Leadership Model Styles and Factors	61
Table 2.6: Dimensions of the Adaptive Leadership Model	65
Table 2.7: Three Situational Challenges of the Adaptive Leadership Model	66
Table 2.8: Six Leader Behaviors of the Adaptive Leadership Model	67
Table 3.1: Operationalizing the Independent Variable (IV) - Leadership Hierarchy Levels	90
Table 3.2: Operationalizing Dependent Variable One (DV1) for Research Question One (RQ1) - Categories of Problem Definition	93
Table 3.3: Operationalizing Dependent Variable (DV2) for Research Question One (RQ2) Related to the Categories of Leader Behaviors	95
Table 3.4: Dependent Variable (DV3) for Research Question One (RQ3) Related to Leadership Effectiveness	98
Table 4.1: Problem Definition by Senior-Level Leaders (Percentage)	108
Table 4.2: Leadership Behaviors by Senior-Level Leaders (Percentage)	112
Table 4.3: Perceptions of Effective (Eff.) and Ineffective (Ineff.) Leadership Behaviors by Senior-Level Leaders (Percentage)	115
Table 4.4: Summary of Senior-Level Leader Focus Group Analysis	118

Table 5.1: Problem Definition by Middle-Level Leaders (Percentage)	124
Table 5.2: Leadership Behaviors by Middle-Level Leaders (Percentage)	128
Table 5.3: Perceptions of Effective (Eff) and Ineffective (Ineff) Leadership Behaviors by Middle-Level Leaders (Percentage).....	131
Table 6.1: Problem Definition by Street-Level Leaders (Percentage).....	140
Table 6.2: Leadership Behaviors by Street-Level Leaders (Percentage).....	144
Table 6.3: Perceptions of Effective (Eff) and Ineffective (Ineff) Leadership Behaviors by Street-Level Leaders (Percentage).....	148
Table 7.2: Men Experiencing Unwanted Sexual Contact in the Past Academic Year	156
Table 7.1: Women Experiencing Unwanted Sexual Contact in the Past Academic Year	156
Table 7.3: Of the Women Who Experienced Unwanted Sexual Contact in the Past Academic Year, the Percentage that Reported the Situation to an Authority	158
Table 7.4: Of the Women Who Experienced Unwanted Sexual Contact and Did Not Report It to an Authority, the Reasons for Not Reporting (Percentage Selected).....	159
Table 7.5: Cadets Receiving Annual Sexual Assault Training (Percentage).....	161
Table 7.6: Ratings of the Effectiveness of Sexual Assault Training (Percentage)	162
Table 7.7: Percentage of 2006 and 2008 USAFA Students Who Indicated Academy Leaders Make Honest Efforts to Stop Sexual Harassment and Sexual Assault.....	164
Table 7.8: Percentage of 2016 USAFA Students Who Indicated Leaders (Excluding Athletic Staff) Make Honest Efforts to Stop Sexual Harassment and Sexual Assault	166
Table 7.9: Percentage of 2016 USAFA Students Who Indicated Athletic Staff Members Make Honest Efforts to Stop Sexual Harassment and Sexual Assault.....	168

List of Figures

Figure 1.1: Behaviors that Comprise Unwanted Sexual Behaviors.....	5
Figure 1.2: Air Force Academy Leadership Hierarchy	21
Figure 2.1: Trait Verses Process Theories of Leadership	38
Figure 2.2: The Ohio State University Leadership Model.....	50
Figure 2.3: The Michigan Leadership Model	51
Figure 2.4: The Leadership Grid.....	53
Figure 2.5: Situational Leadership II Model.....	56
Figure 2.6: The Full Range - Adaptive Mixed Leadership Model	74
Figure 3.1: Relationship of the Full Range - Adaptive Mixed Leadership Model with Research Questions and Variables	89
Figure 7.1: Word Cloud of Terms Used to Describe Ineffective Transactional Behaviors by Senior and Middle-Level Leaders (created with NVivo)	173
Figure 7.2: Word Cloud of Terms Used to Describe Effective Transformational Behaviors by Senior and Middle-Level Leaders (created with NVivo)	174
Figure 8.1: The Full Range - Adaptive Mixed Leadership Model	180
Figure 8.2: Aligning the Independent Variable, Dependent Variables, and Research Questions with the Full Range – Adaptive Mixed Leadership Model	182

List of Abbreviations

AOC	Air Officer Commander
AMT	Academy Military Trainer
CEO	Chief Executive Officer
DMDC	Defense Manpower Data Center
DOD	Department of Defense
FRAM	Full Range - Adaptive Mixed Leadership Model
GAO	Government Accounting Office
IG	Inspector General
SAPR	Sexual Assault Prevention and Response
UCMJ	Uniform Code of Military Justice
U.S.	United States
USAFA	United States Air Force Academy

CHAPTER 1 - INTRODUCTION

Sexual assault threatens the lives and well-being of both the women and the men who serve our country in uniform. It destroys the bonds of trust and confidence which is at the heart of our military. Eradicating sexual assault from our ranks is not only essential to the long-term health and readiness of the force; it is also about honoring our highest commitments to protect our fellow soldiers, sailors, airmen and Marines. President Obama and all of the Department of Defense leaders, both military and civilian, are committed to doing whatever it takes to stamp out this scourge.

Chuck Hagel, Secretary of Defense (2014)

Sexual assault, sexual harassment, and all other forms of unwanted sexual behaviors truly are a scourge for any organization in which they exist. These menacing behaviors can tarnish and break the essential bonds of trust throughout the social system; between the members of the team, between leaders and their followers, and when a plague of unwanted sexual behavior is exposed in a public organization, between citizens and their government.

Using the backdrop of increasing reports of unwanted sexual behaviors at the U.S. Air Force Academy, this research project is focused on examining how leaders react to a complex social challenge, or *culture crisis*, within their organization. The culture of a group of people is the collective manifestation of both the explicit and implicit patterns of behaviors, customs, ideas, symbols, artifacts, and values (Jahoda 2012). A group's

culture is simultaneously the product of these elements of human nature being acted out, while also serving as the catalyst directing the furtherance of the acceptable behaviors from the members of the group (Kroeber and Kluckhohn 1952). Crisis, as President John F. Kennedy often reminded constituents, is comprised of two symbols in the traditional Chinese language, “one representing danger and the other, opportunity” (Kennedy 1959). Thus, a culture crisis refers to a situation where the explicit and implicit patterns of behaviors, customs, ideas, symbols, artifacts, and values have arrived at a critical point of inflection, where a group of people or an organization will be redefined, either for detriment by the dangerous elements of the culture or for the betterment by the opportunity to grow and evolve. Certain behaviors by the group’s leader or the community of leaders may be more effective in addressing these complex social issues, while other actions may be perceived as exacerbating the malevolent activities and attitudes that are harming the culture. The leadership community at the Air Force Academy faced a culture crisis marked by unwanted sexual behaviors beginning in the 1990s that was perplexing to define, and even more so, to lead their organization through.

Leadership, and the study of these behaviors, has roots in ancient civilization, and yet there is no commonly accepted definition of leadership. Egyptian rulers, Greek heroes, and Biblical patriarchs all have one thing in common – leadership (Stone, Gregory, and Patterson 2005). And yet, while the subject of leadership has generated great interest and consideration from antiquity, there is no universal definition of leadership. Ask any conference of academics, classroom of public administration students, boardroom of business executives, or regiment of military officers to finish this sentence, “Leadership is...” and a plethora of different responses will follow. Many

respondents will focus on leadership traits. Others will describe a leader they hold in high respect or a leader in which there is contempt. Some responses would speak to the positions of authority that some supervisors embrace or the power that leaders project. Leadership, and especially effective leadership, does not conform to a universal pattern.

Despite the many ways that leadership is often understood, there are a few common tenets that form the Northouse (1997) definition: *Leadership is a process whereby an individual influences a group of individuals to achieve a common goal.* As a process, leadership is not a singular trait or characteristic that resides within the persona of the leader. Instead, leadership is an interactive relationship between a single leader or a leadership community, and a group of followers. The leaders influence the behavior of followers to accomplish a task. The leaders and the followers interact to achieve a future vision.

The Lussier and Achua (2013) leadership definition is subtly different from that of Northouse: *Leadership is the influencing process of leaders and followers to achieve organizational objectives through change.* This definition acknowledges the roles of leaders and followers. It also clarifies that the common goals are organizational objectives rather than the desires of individuals. Finally, this more contemporary definition specifies that leadership is linked to change. Effective leaders are rarely satisfied with the status quo. The vocabulary of influential leaders does not include torpid phrases such as: We have always done it this way; That cannot be done; No one else has done it; and Let us just wait to see. Effective leaders are open to change, especially as the change brings the group closer to the common vision for the organization.

Unfortunately, individual leaders and leadership teams are not always effective in creating positive change within their organizations. Using research data related to persistent issues of unwanted sexual behaviors from the U.S. Air Force Academy, this study will explore the dynamics and behaviors that play a role in leadership effectiveness when addressing complex social issues such as sexual harassment, sexual violence, and sexual assault that are exacerbating a culture crisis.

Definitions

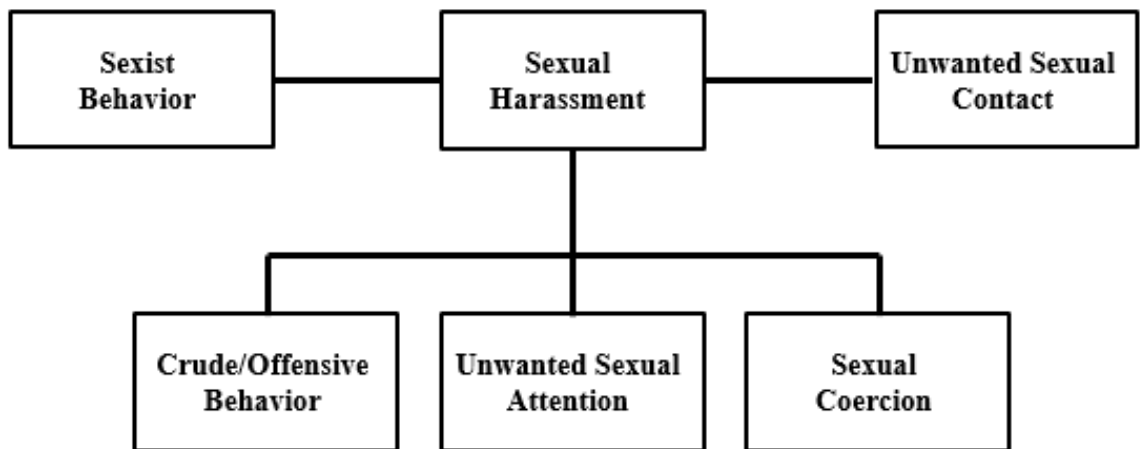
Similar to the sexual harassment academic research (Fitzgerald, Drasgow, and Magley 1999), the Department of Defense focus groups and surveys treat unwanted, gender-related behaviors as a continuum under the umbrella of the term *unwanted sexual behaviors*. This section of the research report covers the definitions of the terms explicitly included within the continuum of unwanted sexual behaviors as well as a few terms commonly associated with unwanted, gender-related behaviors.

Unwanted Sexual Behaviors

This research project is focused on how leadership most effectively deals with a complex social issue or culture crisis. One such problem was encountered at the U.S. Air Force Academy related to the issue of unwanted sexual behaviors. While the comparative case studies as well as the focus group and survey data concentrate on issues such as sexual harassment and sexual assault, these specific malevolent behaviors serve simply as a means of studying the effectiveness of certain leadership behaviors. Thus, the generalized term of unwanted sexual behaviors will be used predominantly throughout the report to indicate any and all issues of sexist behaviors, sexual

harassment, and unwanted sexual contact. Figure 1.1 illustrates the type of behaviors that fall under the umbrella of the category of *unwanted sexual behaviors*. It is not the intent of this research project to necessarily cipher between the lines of each of these types of repugnant behaviors. Instead, the focus of the study is on the effectiveness of leaders' behaviors when addressing the organizational challenges manifested by any of these acts.

Figure 1.1: Behaviors that Comprise Unwanted Sexual Behaviors



Sexist Behavior

Sexist behavior is any verbal or nonverbal behavior that conveys insulting, offensive, or condescending attitudes based on the gender of the respondent (Fitzgerald et al. 1988). These gender-related behaviors are shown to contribute to a negative work or academic environment (Fitzgerald et al. 1988). Research also shows that sexist behavior such as insults or hostile gender-related attitudes, often accompany or lead to sexual harassment actions (Fitzgerald, Drasgow, and Magley 1999). Examples of sexist behaviors include: referring to people of your gender in insulting or offensive terms;

treating you differently because of your gender; making offensive sexist remarks; and acting in a condescending manner toward you because of your gender (Lipari et al. 2006).

Sexual Harassment

Sexual harassment comprises three different behaviors: crude and offensive behavior, unwanted sexual attention, and sexual coercion (Lipari et al. 2006). Crude and offensive behavior is verbal or nonverbal behavior of a sexual nature that is offensive or embarrassing, such as sexual stories or jokes (Lipari et al. 2006). Unwanted sexual attention includes unwelcome attempts to establish a romantic sexual relationship despite efforts to discourage it (Lipari et al. 2006). And sexual coercion is the classic *quid pro quo* instance of suggesting special treatment, favoritism, or mistreatment conditioned on sexual cooperation (Lipari et al. 2006).

Unwanted Sexual Contact

The Department of Defense (2005) defined unwanted sexual contact as intentional sexual contact, characterized by use of force, physical threat or abuse of authority or when the victim does not or cannot consent. Unwanted sexual contact can range across several behaviors including: rape, non-consensual sodomy (oral or anal sex), or indecent assault (unsolicited sexual contact or fondling) (Lipari et al. 2006).

The National Defense Authorization Act for 2006 amended the Uniform Code of Military Justice (UCMJ) Title 10 to remove any ambiguity by clearly defining unwanted sexual contact in the follow manner: “The term ‘sexual contact’ means the intentional touching, either directly or through the clothing, of the genitalia, anus, groin, breast, inner thigh, or buttocks of another person, or intentionally causing another person to touch,

either directly or through the clothing, the genitalia, anus, groin, breast, inner thigh, or buttocks of any person, with an intent to abuse, humiliate, or degrade any person or to arouse or gratify the sexual desire of any person” (National Defense Authorization Act for Fiscal Year 2006).

Sexual Assault

The term sexual assault is not specifically articulated in the Department of Defense’s continuum of unwanted sexual behaviors (Figure 1.1) because it is encompassed within the category of unwanted sexual contact (Lipari et al. 2006). Often within the context of conversations, focus groups, and surveys related to unwanted, gender-related behaviors the phrases sexual harassment and sexual assault are used to connote the range of behaviors captured in the continuum of unwanted sexual behaviors. Most focus group participants and survey respondents are not familiar with the detailed legal nuances among sexual assault, aggravated sexual contact, and forcible sodomy described in the UCMJ; nor should they be (Van Winkle et al. 2016). Additionally, one of the goals of using the phrase unwanted sexual contact as a proxy for sexual assault was to balance the emotional burden to respondents (Van Winkle et al. 2016).

Background

This section provides a brief background of the Military Service Academies, especially highlighting the U.S. Air Force Academy, the inclusion of women cadets into the academies in 1976, and the issues that first indicated a complex social challenge involving unwanted sexual behaviors that had become a culture crisis at the academies.

U.S. Department of Defense Military Service Academies

A typical welcome greeting that new, freshmen cadets receive as they first arrive at any one of the U.S. Department of Defense Military Service Academies often starts with this warm welcome, “Do not look at me! Eyes forward, dirtbag!” (Dao 2010). The anxious gaze on the face of every freshmen student confirms his or her fearful doubts about the decision to attend a military academy rather than a state university or private college. Often, the cadet cadre staff members chosen to deliver the intimidating welcome greetings are the biggest male football players and the smallest female gymnasts so the new freshmen understand that size or gender does not matter; they are now officially on the bottom of the hierarchy. The fact that the cadet cadre staff members include strong, confident women cadets seems commonplace in the 21st century, but the academies have not always been open to women. The Military Service Academies were male-only institutions for nearly two hundred years until the admission of the first group of freshmen women in the summer of 1976 (Dao 2010).

The U.S. Department of Defense Military Service Academies are federally funded, public organizations for the undergraduate education and training of commissioned officers for the armed forces of the United States. The three Department of Defense Military Service Academies include the U.S. Military Academy in West Point, New York; the U.S. Naval Academy in Annapolis, Maryland; and the U.S. Air Force Academy in Colorado Springs, Colorado. Applicants must apply directly to the institution for admission but must also apply for a nomination from a member of Congress. The application process is long and detailed with a very low selection rate; only eight to ten percent of applicants are offered admission to the schools. The vetting

process is intended to evaluate the “whole person” which includes character, scholarship, leadership, physical aptitude, medical fitness, and motivation (Peterson and Eckmand 2016). The scrutiny of selecting cadets is focused on providing the nation with the best leaders for the military and beyond. Each of the academies consists of approximately 4000 students and 1000 staff members. The students graduate from a Military Service Academy in four years with a Bachelor of Science degree and are then obligated to serve a minimum of five years in their parent military branch.

The youngest of America’s Military Service Academies, the U.S. Air Force Academy, was founded by President Dwight D. Eisenhower in 1954 following the creation of the Air Force as a separate branch of the military in 1947. Prior to the Air Force Academy’s first graduating class in 1959, leaders in the military aviation branches of the Army Air Corps, Army Air Forces, and Naval Aviation were educated at West Point and Annapolis. Both West Point and Annapolis have produced U.S. Presidents. Presidents Ulysses S. Grant and Dwight D. Eisenhower were graduates of the Military Academy and President Jimmy Carter was a midshipman the Naval Academy. While the Air Force Academy has yet to have a graduate serve at the highest level of leadership in the United States, “The Long Blue Line” of Air Force Academy graduates includes leaders in academia, government, and business garnering thirty-five Rhodes Scholars, over four hundred general officers, forty astronauts, eleven U.S. and state legislators, and ten Fortune 500 CEOs. Many of these accomplishments were achieved by recent women graduates, such as the Honorable Heather A. Wilson U.S. Air Force Academy Class of 1982. As an Air Force Academy Distinguished Graduate, Wilson earned a Rhodes Scholarship, served in the Air Force for seven years and was later a member of the U.S.

House of Representatives from 1998 to 2009. She currently serves as the 24th Secretary of the United States Air Force (Wilson 2019).

Inclusion of Women at the Military Service Academies

The pioneering women who broke the academy gender barriers were coined “The First Ladies of ’80” (AFA Makes History 1980). The first graduating class from the Department of Defense Military Service Academies that included women held their commencement in May 1980. Five years earlier in 1975, President Gerald R. Ford signed into law House Resolution 6674, the Department of Defense Appropriation Authorization Act of 1976, which permitted women to be eligible for appointment and admission to the academies for classes entering in 1976 (Ford 1976). The new law established that men and women would be subject to the same academic and other relevant standards for appointment, admission, training, graduation, and commissioning. These women’s experiences of treading new paths, shattering centuries of male traditions at the academies, was effectually summed up in a short article included in the Air Force Academy’s 1980 year book written by the first female graduates:

They were the best of times; they were the worst of times. They were times of confidence; they were times of doubt. They were times of peace; they were times of struggle...When we depart the Blue Zoo, our goal will be the same. In the real Air Force, it will be our time to “strive not to equal, but to excel” (AFA Makes History 1980).

The long road to commissioning as officers in the Air Force for these young women began with “basic training” in June 1976 with their young male peers. The journey was very difficult, and many did not make it to graduation in 1980. The high

attrition rates are a testament to the difficulty of the task and to the persistence of the women who tossed their caps at graduation. On June 28, 1976, 157 women joined the cadet wing at the Air Force Academy (U.S. Air Force Academy Admissions 2017). Of these 157 entrants, 97 completing the four years of training and were commissioned as Air Force lieutenants on May 28, 1980 (U.S. Air Force Academy Admissions 2017).

Their climb from the admission process through basic training and four years of strenuous physical, academic, leadership, and character training to graduation was not easy. The attrition rates at the Military Service Academies have always been high as shown in Table 1.1, and therefore, the forty-four percent dropout rate of both men and women in the class of 1980 was not abnormal. In the four academy graduating classes prior to 1980, which were comprised of men only, the attrition rates averaged about thirty-nine percent (U.S. Government Accounting Office 1992). In the 1980 class, the specific attrition rate for women was thirty-eight percent while the men's attrition rate was forty-five percent (U.S. Government Accounting Office 1993). The class of 1980 was comprised of eleven percent women (U.S. Government Accounting Office 1993). The next five years of graduating classes at the Air Force Academy had attrition rates that averaged about thirty-eight percent with women making up about thirteen percent of each cohort (U.S. Government Accounting Office 1993). In these groups, cadet women departed the school before graduation at slightly higher rates than men each year. One exception was in 1986, when cadet men left at a great rate than women. The attrition rate for women in 1981 was an alarming fifty-eight percent (U.S. Government Accounting Office 1993). The factors contributing to the high attrition on women in the class of 1981 are unknown.

Table 1.1: Historic Attrition Rates at the Air Force Academy (Percentage)

Class	Overall	Men	Women
1976	38	38	NA
1977	41	41	NA
1978	40	40	NA
1979	39	39	NA
1980	45	44	38
1981	42	40	58
1982	42	42	43
1983	37	36	41
1984	35	34	42
1985	37	35	42
1986	36	38	35
1993	31	30	34
2003	28	29	25
2018	18	18	19

Table 1.1 also shows that over the next few decades, the percentage of women cadets making up the Air Force Academy student body increased while the attrition rates for men and women approached parity. For example, in the class of 1993, women comprised nineteen percent of the group entering the Air Force Academy, and the attrition rates in this cohort were thirty and thirty-four percent for men and women, respectively (Kirby et al. 2010). A decade later, the class of 2003 included twenty percent of women (Kirby et al. 2010). In this group, the male cadets left at a greater rate (twenty-nine percent) than their female peers (twenty-five percent) (Kirby et al. 2010). Finally, the class of 2018 was made up of twenty-two percent women with approximately eighteen percent of both men and women failing to graduate (United States Air Force

Academy 2018). The data shows that the attrition rates of both men and women have decreased over time from the first inclusion of women into the class of 1980.

Leadership Mishandles Reports of Unwanted Sexual Behavior

The pioneering women who entered the Military Service Academies in June 1976 paved the road for their sisters-in-arms who would follow in their footsteps for generations to come. While it may not have been pleasant or comfortable to break the gender barriers at the academies, these women proved that Military Service Academies were not a place for just men to begin living their dreams as military officers. Unfortunately, the institutional programs that were designed to forge cadets physically and academically were not the only challenges that many of the young women would face during their four years at a Military Service Academy.

While it would have been wonderful for women to be seamlessly integrated into the Military Service Academies without issues of unwanted sexual behaviors, unfortunately this was not the case. Sparked by a series of highly publicized incidences at the Naval Academy involving unwanted sexual behaviors, an investigation and report to Congressmen Sam Nunn, John Glenn, and Richard Shelby described an environment at the three Military Service Academies that was wrought with unwanted sexual behavior issues in the early 1990s (U.S. Government Accounting Office 1994). While very few cases of sexual harassment were formally reported, surveys by the U.S. Government Accounting Office found that between 93 and 97 percent of female cadets reported experiencing at least one form of sexual harassment during academic year 1991 (U.S. Government Accounting Office 1994). Whereas the surveys revealed hundreds of incidents, only twenty-six were formally reported to the leadership chain of command or

other authorities. These reported cases consisted of grievous behaviors such as a male cadet entering a female student's room after hours and making unwanted sexual advances toward the sleeping cadet. Most of the unreported harassment took the form of derogatory personal comments and exposure to offensive posters, signs, and T-shirts that progressively eroded the respect for women within the organizational culture (U.S. Government Accounting Office 1994).

The Government Accounting Office's report (1994) to Congress made three recommendations to the Department of Defense and the three academy superintendents:

- Gather and analyze data on the extent of reported and unreported incidents of sexual harassment through routine reviews of case files, student surveys, and focus groups.
- Systematically evaluate the effectiveness of sexual harassment eradication programs based on the gathered data.
- If the eradication programs are not proving to be effective, institute and evaluate different approaches to work toward eradicating sexual harassment.

After reviewing the Government Accounting Office's report, the Department of Defense accepted the report's findings, conclusions, and recommendations but offered a rebuttal. In the reply to the report, the Defense Department reiterated the Pentagon's belief that the academies are progressive in their establishment of gender and racially tolerant climates (U.S. Government Accounting Office 1994). Ultimately, the 1994 Government Accounting Office report served as a clear warning to the leaders of the Military Service Academies that serious issues of unwanted sexual behavior existed

within their organizations, but little effort by these academy leadership communities was put toward implementing change.

Less than a decade later, another report to Congress from a task force charged with investigating sexual misconduct allegations observed a “chasm in leadership” at the Air Force Academy regarding the handling of reported unwanted sexual behavior incidences (U.S. Department of Defense 2003). This 2003 investigation examined the culture and environment at the Air Force Academy and found an atmosphere that helped foster a breakdown in values which led to the pervasiveness of unwanted sexual behaviors. The 2003 report concluded that the Air Force had known for many years that unwanted sexual behavior was a serious problem at the Air Force Academy, but leadership had not properly addressed the issue (U.S. Department of Defense 2003). Despite having knowledge of the problematic behaviors and periodic attempts at intervention, the malevolent behaviors persisted. The major findings and conclusions of the committee’s report to the Armed Services Committees of both the Senate and the House of Representatives are shown in Table 1.2 (U.S. Department of Defense 2003).

Table 1.2: Major Findings and Conclusions of the 2003 Report of Sexual Misconduct Allegations at the U.S. Air Force Academy

-
- A chasm in leadership during the most critical time in the Academy’s history – a chasm which extended far beyond the campus in Colorado Springs
 - The Air Force has known for many years that sexual assault was a serious problem at the Academy
 - Regular turnover of Air Force and Academy leadership, together with inconsistent command supervision, undermined efforts to alter the culture of the Academy
 - From 1993 to 2002, there were 142 allegations of sexual assault at the Academy, for an average of 14 allegations per year
 - Academy and Air Force leaders knew or should have known that this data was an unmistakable warning sign of an even larger culture crisis

Table 1.2: Major Findings and Conclusions of the 2003 Report of Sexual Misconduct Allegations at the U.S. Air Force Academy

-
- A 1997 presentation by the Academy to the USAF Inspector General, Surgeon General, and Judge Advocate General acknowledged that as few as one in ten rapes is reported to authorities
 - A 2003 Department of Defense Inspector General report at the Air Force Academy showed that eighty-one percent of females who said they have been victims of sexual assault at the Academy did not report the incident. The same report found that seven percent of female cadets said they were victims of at least one rape or attempted rape while at the Academy
 - The culture crisis is demonstrated in that one in five responding male cadets do not believe that women belong at the Academy
 - Based on the increasing pressure to change the culture, the Secretary of the Air Force replaced the entire senior leadership team at the Academy consisting of a new Superintendent, Commandant of Cadets, and Vice Commandant of Cadets
 - New measures should be established such as: improving the selection and training of Air Officer Commanders to ensure highly qualified role models and leadership for male and female cadets; promulgating new rules and procedures to maintain dormitory safety and security; setting clearer mandates for cadets to conduct themselves according to the spirit of the Honor Code; requiring academic courses in leadership and character development as part of the core academic curriculum; and improving Basic Cadet Training to reemphasize fair treatment and mutual respect
-

The ultimate recommendation of the 2003 report was quite direct: “The failure of the Academy and Air Force Headquarters leadership to respond aggressively and in a timely and committed way to eliminate the causes of serious problems was a failure of leadership. Those responsible should be held accountable” (U.S. Department of Defense 2003, 37). As a result of this study and Congressional testimony, the former Superintendent of the Air Force Academy, retired Lieutenant General John Dallager was demoted by one star in a clear move to punish a commanding officer after the sexual assault at the school (Schemo 2003). The Secretary of the Air Force commented that

General Dallager “did not exercise the degree of leadership in this situation that we expect of our commanders” (Schemo 2003).

Unfortunately, the Air Force Academy was not the only military academy to receive a report of leadership failures regarding its culture crisis of unwanted sexual behaviors. A 2004 Department of Defense Inspector General survey conducted at each of the Military Service Academies found similar rates of unwanted sexual behaviors at each institution with indicators that there were failures in leadership to address the on going problems (Inspector General 2004; Skaine 2016; U.S. Department of Defense 2005).

Following the discovery of these leadership failures, most senior military leaders at the three Military Service Academies were fired and replaced. According to the Inspector General report, these leaders failed to initiate and monitor adequate corrective measures to change the culture and were found to share responsibility for creating, abiding, or contributing to the sexual assault problems of the Military Service Academies (Lancaster, Jones, and Lipari 2005; Shanker 2004).

The newly appointed replacement leaders were charged with addressing the problem of unwanted sexual behaviors and changing the culture of their organizations with a watchful Congress and public. As a way of measuring the progress of the organizational changes, the John Warner National Defense Authorization Act for Fiscal Year 2007, Section 532 authorized the annual collection of empirical data by way of focus groups and surveys related to the problem of unwanted sexual behaviors from each of the Military Service Academies (National Defense Authorization Act for Fiscal Year 2007).

Problem Statement

As the leaders at the Air Force Academy began to reevaluate their strategies and to develop a plan to address the issues plaguing their organization, they likely sought guidance from leadership models. Unfortunately, most leadership models focus on the interplay between a leader and a single follower or a small group of followers. Some more recent models address adaptation of the leader and the followers, but the models do not address situations where an entire leadership community or a leadership hierarchy must proactively align their behaviors to address a complex problem. Furthermore, leadership theory and models discuss techniques on how to interact with followers, but rarely do they emphasize the importance of first defining the problem to be addressed.

Two of the most widely used leadership models in public administration and management training do not adequately account for the crucial aspects of both the organizational hierarchy and the problem definition when describing or analyzing leader behaviors. The Full Range Leadership Model (Bass 1985; Burns 1978) and the Adaptive Leadership Model (Heifetz 1994) are commonly used to train leaders and managers. These models are also often referenced when analyzing leadership behaviors, but both fall short in the important areas of accounting for problem definition and engaging all levels of the leadership community (Lussier and Achua 2013; Northouse 2016).

The Full Range Leadership Model has been one of the most popular approaches to leadership since the 1980s with a focus on the transformational style of leading (Northouse 2016). The basic premise of a full range of leadership consists of transactional and transformational engagements between a leader and followers (Burns 1978). Transactional leadership refers to the bulk of leadership styles and behaviors,

which focuses on the exchanges that transpire between a leader and followers. Specified behaviors by followers are rewarded or punished by the leader. In contrast to transactional leadership, transformational leadership is the process whereby a leader engages with followers, creating a connection that raises the level of motivation and performance of both the leader and the followers (Lussier and Achua 2013). While the transformational approach of the Full Range Leadership Model is bold and inspiring, the model fails to account for the critical aspects of problem definition and organizational hierarchy. Charismatic leaders who inspire their followers to address the wrong issues will not fix an underlying problem, and transformational leaders who are undermined by others within their own leadership community will be less effective.

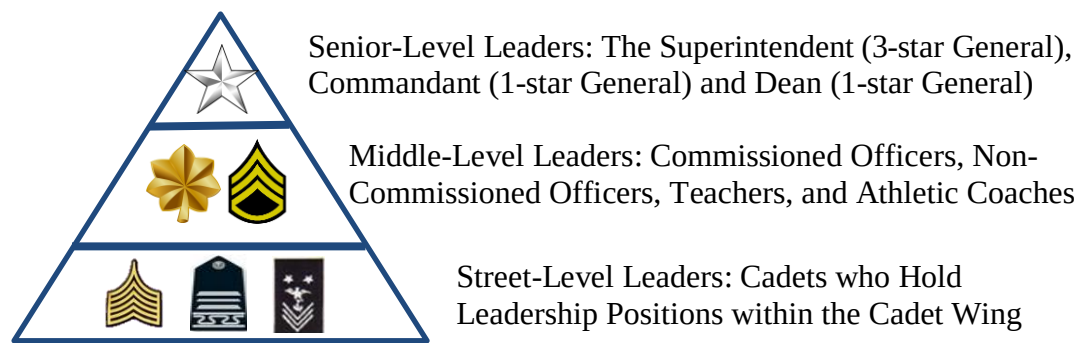
The Adaptive Leadership Model focuses on how leaders encourage followers to adapt to deal with issues, challenges, and changes in their work (Northouse 2016). Adaptive leaders prepare and encourage people to properly address change within their organization. Heifetz developed the model as a different approach to leadership where the leader is primarily a mobilizer of people rather than a problem solver (Heifetz 1994). When properly encouraged, the followers adapt to confront tough problems. The adaptive leader challenges followers to face problems, and in this way the Heifetz model does differentiate between various classes of problems that followers may encounter. However, like the Full Range Leadership Model, the Adaptive Leadership Model also fails to account for the dynamics of the community of leaders within each organization. Heifetz did not account for organizations having more than one leader within the leadership hierarchy.

The significance of problem definition and the leadership hierarchy become apparent as the Air Force Academy attempted to reduce or prevent unwanted sexual behaviors from 2006 to 2016. Following the 2005 Department of Defense Inspector General's report warning that unwanted sexual behaviors persisted at the Air Force Academy, the initial actions of the new leadership team should have been to define the problem they were facing and align the multiple levels of the leadership community in their efforts to curb the problems. As public policy research warns, the critical role of properly defining a problem should not be discounted or overlooked (Stone 2002). It would be futile to attempt to reshape the culture of the academies without first understanding the issues facilitating the problems. Within the study of public policy, problem definition is the crucial first step for leaders and policy entrepreneurs in creating effective public policies (Baumgartner and Jones 2015; Jones 1984; Kingdon 2010). Furthermore, properly defining the core problem within a well-known societal issue is not a simple task because social perceptions often drive the problem definition (Schneider and Ingram 1993). Once the problem is defined then an effective leadership response becomes more accessible and corrective.

Regarding the matter of aligning the leadership hierarchy, the U.S. Air Force Academy has multiple layers of leadership that form a hierarchy within the leadership community. Like most public bureaucratic organizations, the chain of command for the Air Force Academy consists of leaders at the senior level, middle levels, and lower levels of the institution. As a military organization, the Air Force Academy has clearly established hierarchies within their leadership community as depicted in Figure 1.2. This leadership hierarchy includes three categories. At the senior level, there are three general

officers: the Superintendent, the Commandant of Cadets, and the Dean of Faculty. At the middle level of leadership resides a couple hundred staff members serving as commissioned officers in charge of cadets, non-commissioned officers (enlisted) leading and mentoring cadets, military and civilian academic faculty members, and the athletic coaches and staff members at the middle level. And at the front lines of leaderships are the cadets who are appointed to leadership positions within their cadet squadron or the cadet wing who make up the street-level leaders. In fact, every military member is

Figure 1.2: Air Force Academy Leadership Hierarchy



keenly aware of their position within this vertical pecking order by simply observing the insignia on the epaulets of other members of the community. Furthermore, the hierarchies at the academies are influenced by their simultaneous endeavors as military organizations, academic institutions, and leadership training laboratories. Each of these interconnected pursuits underlines the need for every leader, no matter their position within the hierarchy of the organization, to understand problems that require attention and to work in unison with the leadership community to address the issues. While the unmistakable hierarchies of a Military Service Academy may be somewhat unique when compared to other universities and public organizations, the requirement for the

leadership community to work together to solve problems applies to both steep and flat organizations, as well as in teams with varying distances between leaders and followers (Anderson and Brown 2010; Berson and Halevy 2014).

Purpose of this Research

The purpose of this study is to present and test a synthesized leadership model that includes problem definition and organizational hierarchy and then to apply this hybrid leadership model to the institutional challenges and culture crisis experienced at the Air Force Academy as their leadership community addressed problems of unwanted sexual behaviors. To do so, this research project utilizes a comparative case study design to assess the perceptions of effectiveness for different leader behaviors within the organizational hierarchy. The three unique leadership levels at the U.S. Air Force Academy from 2006 to 2016 will serve as the three case studies.

Research Questions

This longitudinal comparative case study regarding the perceptions of leadership effectiveness at the United States Air Force Academy is driven by the following three research questions:

- [RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?
- [RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

Research Design

This dissertation relies primarily on a comparative case study with triangulation utilizing grounded theory techniques to address the research questions. The case study research method is an empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly-evident; and in which multiple sources of evidence are used (Yin 1984).

There are several reasons for designing the research project around the case study methodology. The primary strength of a case study is multiple points of data, which enables the researcher to triangulate the findings. By doing so, both validity and reliability of the project are improved. Also, the case study research method is preferred in examining contemporary events when the relevant behaviors cannot be manipulated (Yin 2009). Yin (2009) also proposed that the use of case studies is particularly appropriate when examining complex social phenomena, such as a culture crisis resulting from allegations of rampant sexual harassment and sexual assault. Other suitable conditions for case study research are those that are very situationally dependent and influenced by the interaction of many factors (Denzin and Lincoln 2000).

Focus group responses form the foundation of the comparative case study findings. Additionally, this research endeavor uses survey responses to triangulate the qualitative findings of the case studies. Additionally, the research period is longitudinal from 2006 to 2016, which facilitates an analysis of perceptions of the different leadership approaches over time (Diggle et al. 2002).

This research project utilizes grounded theory techniques to develop a new, blended leadership model and to explore the research questions. Grounded theory will be further discussed in Chapter 3. As an overview of the theory, Glaser and Strauss (2012) describe grounded theory as a systematic methodology that involves the construction of new theory through the detailed analysis of qualitative data. Grounded theory can also be used to better understand the interaction of independent theories and the synthesis of multiple theories affecting a specific environment. While the researcher begins the project with some expectations, an essential element of grounded theory is to not be rigidly bound to research expectations. Instead, the researcher must allow the themes that emerge from the available data to be fully considered.

With this research project, grounded theory is useful in providing a more informed understanding of leadership which then forms the basis of the synthesized leadership model that is illustrated in Chapter 3 and evaluated in the three case studies. As the data are reviewed, repetitive ideas, concepts, and elements become readily apparent. These concepts are tagged with codes that are extracted from the data. As more data are collected and as the data are repeatedly re-reviewed, codes are grouped into concepts and then clustered into categories. These categories form the basis for new theory related to leadership. The resulting ideas are grounded in the data but are not rigidly bound to it. Finally, grounded theory is exploratory and allows for the identification of themes that emerge from the data itself. These themes are the foundation of the proposed leadership model.

Coding is the core process in the grounded theory methodology (Holton 2007). It is through the coding and re-coding of the focus group comments that the conceptual

abstraction of quantitative data and its synthesis with existing theory occur. Holton (2010) describes two types of coding in a classical grounded theory study: substantive coding and theoretical coding. With substantive coding, which includes both open and selective coding procedures, the researcher studies the qualitative data directly (Holton 2010). By first fracturing the data and then analyzing it through open coding, the researcher is able to discover the emergence of core categories or themes of related concepts (Holton 2007). Next, with theoretical and selective coding, the core concepts related to the leadership approaches at different levels of hierarchy are meticulously analyzed (Holton 2010). Constant comparisons of indicators within the data are critical in order to elicit the full dimensions of each category.

To do so, this research project relies on NVivo by QSR International for qualitative analysis. NVivo is the most widely used software tool for organizing, analyzing, and visualizing qualitative data (McNiff 2016). NVivo software is designed to assist researchers in organizing and analyzing non-numerical, unstructured data. The software suite allows the analyst to classify, sort, and arrange information to examine relationships in the data in order to test theories, identify trends, and cross-examine information (McNiff 2016). The results of NVivo's analyses should inform the grounded theory portion of this comparative case study of leadership behaviors at the Air Force Academy.

Focus Group Data

The primary data sources in this research project are the outcomes of the annual focus groups and surveys conducted at the Air Force Academy as mandated by the John Warner National Defense Authorization Act for Fiscal Year 2007, Section 532 (National

Defense Authorization Act for Fiscal Year 2007). This act of Congress directed the Secretary of Defense, through the Secretary of the Air Force, to the Superintendent at the Air Force Academy to conduct annual studies, alternating each year between surveys and focus groups, to determine “the effectiveness of policies, training, and procedures of the Academy with respect to sexual harassment and sexual violence” (National Defense Authorization Act for Fiscal Year 2007). Responsibility for conducting the independent assessments at each of the Academies was placed on the Defense Manpower Data Center. Surveys were conducted in 2005, 2006, 2008, 2010, 2012, 2014, and 2016 (Winkle et al. 2016). Focus groups were accomplished in 2007, 2009, 2011, 2013, and 2015 (Namrow et al. 2015). This research project will primarily rely on the focus group data collected every four years, in 2007, 2011, and 2015, as well as the survey responses in the years just prior to the first focus group and following each of the focus group annual reports: 2006, 2008, 2012, and 2016. The annual reports provided by the Defense Manpower Data Center to the Secretary of Defense and Congress are available through open source to the public (U.S. Department of Defense 2017). The evaluation of these qualitative comments from the focus groups is the primary basis for the results of this research project. Additionally, the Defense Manpower Data Center survey results provide triangulation for the three case studies conclusions.

Research Expectations

Drawing upon the applicable literature, this qualitative-based, empirical study also tests several research expectations. The first research question regarding problem definition at the different levels of hierarchy (RQ1) has three expectations. First, prior to the 2005 Department of Defense Inspector General investigation, it is expected that the

leadership community did not define the problem. This could be the result of either failing to recognize the problem or choosing to ignore it (RE1a). Next, immediately following the Inspector General's investigation and the scrutiny of Congress and the public, it is expected that senior level leaders defined the problem as a technical challenge (RE1b). Technical challenges are problems in an organization that are clearly defined with known solutions that can be implemented through existing institutional rules and procedures (Heifetz 1994). Later, as more information became apparent from the annual surveys and focus groups, each level of the leadership community hierarchy defined the issues as technical-adaptive problems (RE1c). Technical-adaptive problems are clearly defined challenges that do not have distinct straight forward solutions within the existing organizational system (Heifetz 1994).

Three expectations are also proposed for the second research question regarding the different leadership behaviors that were utilized to confront the issue of unwanted sexual behaviors (RQ2). It is expected that before the problems were first highlighted in the 2005 Inspector General report, leadership throughout the hierarchy was utilizing a laissez-faire approach to allegations of unwanted sexual behaviors (RE2a). A laissez-faire leader takes a hands-off, let-things-be approach to problematic issues by abdicating responsibility, delaying decisions, withholding feedback, and making no effort to meet the needs of followers (Northouse 2016). Laissez-faire leadership is essentially the lack of leadership. The second research expectation is that as awareness of the problem increased, the reaction of senior-level leadership would be focused on transactional punishments to confront the offenders and the malignant culture head-on with wide-sweeping punishments (RE2b). Transactional leadership behaviors include rewards and

punishments from the leaders in an effort to maintain stability (Lussier and Achua 2013). In the case of addressing unwanted sexual behaviors at the Air Force Academy, the preponderance of transactional leadership behaviors was most likely focused on punishments for those that were responsible for the offensive behavior as well as negative reinforcement for the cadet-wide population. As the longitudinal nature of the study proceeds in time, it is expected that after the immediate threat of unwanted sexual behaviors within the organization was curbed, senior-level leaders would attempt to utilize a transformational leadership approach to motivate and foster a higher level of respect and dignity for others (RE2c). One of the foundations of transformational leadership is to shift the focus of organizational members primarily from self-interest to a focus on collective interests (Lussier and Achua 2013).

The final research question attempts to discover why followers perceive certain leadership behaviors as being more effective than others (RQ3). It is expected that cadets perceived the transformational behaviors of leaders as most effective due to characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (RE3) (Bass and Avolio 1994). Subordinates are expected to perceive the transformational approach as more effective than the transactional and laissez-faire behaviors that rely on punishments or lack engagement.

The following is a summary of the three research questions (RQ) and corresponding research expectations (RE) for this study:

[RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?

[RE1a] Prior to the 2005 Department of Defense Inspector General investigation, the leadership community did not perceive a problem with unwanted sexual behaviors.

[RE1b] As the issues became evident immediately following the Inspector General investigation, the senior levels of the leadership community defined the problem as a technical challenge (Heifetz 1994).

[RE1c] As the issue became more apparent over a few years, all levels of the leadership community adopted a combined technical-adaptive problem definition (Heifetz 1994).

[RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RE2a] Using the terms of Bass and Avolio's (1990) Full Range Leadership Model, when the disturbing issue of unwanted sexual behaviors was first discovered at the Air Force Academy, it is very likely that leadership at the different levels of hierarchy had been utilizing a laissez-faire approach to allegations of unwanted sexual behaviors.

[RE2b] As awareness of the problem increased, senior-level leadership reaction would have been to utilize contingent transactional punishments and rewards to address the inappropriate behaviors (Bass and Avolio 1990).

[RE2c] Once the immediate problem was under control, senior-level leaders would seek a transformational leadership approach in the hopes of fostering a

higher level of respect and dignity for others among the cadet student body (Bass and Avolio 1990).

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

[RE3] It is expected that cadets will perceive the transformational leadership style as being more effective than the transactional or laissez-faire behaviors because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). It is expected that these qualities will be perceived by cadets as more effective than the rewards and punishments of the transactional approach and the uninvolved and avoidance style of the laissez-faire approach.

Overview of the Chapters

This study is divided into eight chapters. The introductory chapter provides an overview of the background of the U.S. Department of Defense Military Service Academies as well as the integration of women into these institutions of higher education in the 1970s. This chapter also provides the context for the study as well as the impetus for proposing a new leadership model that would be useful in dealing with complex social issues such as unwanted sexual behaviors that are exacerbating a crisis in the culture. Chapter 1 briefly described two popular leadership theories, while also highlighting two gaps in these theories: the importance of problem definition and the significance of leadership hierarchy. The purpose of the study and the research questions

with expectations were also explained. Chapter 1 also provided a brief review of the data sources used in the research project.

Next, Chapter 2 of this research report reviews the pertinent literature that informs this research project. The literature review provides a comprehensive scholarly assessment and evolution of the predominant leadership theories, the development of modern contingency leadership approaches focusing on the Full Range Leadership Model and the Adaptive Leadership Model. The limitations and gaps in these leadership models, such as problem definition and leadership hierarchy, are also examined. This chapter concludes with the proposal of a new, mixed leadership model that accounts for the limitations and gaps discovered in the literature review of the current leadership theories.

The methodology section, Chapter 3, provides a synopsis of the methodology and research design relying on the grounded theory approach and three qualitative case studies. The independent and dependent variables for each research question are explained and operationalized. This section of the paper concludes with a consideration of the research expectations as well as the role of the qualitative analysis software NVivo plays in the research project.

The next three chapters, four through six, provide an in-depth examination of the qualitative focus group data at the U.S. Air Force Academy in 2007, 2011, and 2015. This comparative case study of the Air Force Academy is examined through the lenses of the three different levels of the leadership hierarchy across a decade that spans from 2006 to 2016. Chapter 4 evaluates the focus group comments related to the senior-level leaders' problem definition, leadership behaviors, and perceptions of leadership

effectiveness. Chapter 5 conducts a qualitative examination of the middle-level leaders in each of those areas as defined by the research questions. Finally, Chapter 6 assesses the focus group comments related to the street-level leaders' problem definition, leadership behaviors, and perceived effectiveness of those actions.

Following the analysis of the focus group data, Chapter 7 examines the survey data related to unwanted sexual behaviors that were collected at the U.S. Air Force Academy in 2006, 2008, 2012, and 2016. Of this decade of survey data, there are several areas that are applicable to this research project's case studies and that can be compared in multiple years. For example, Chapter 7 includes an analysis of the percent of male and female cadets reporting unwanted sexual contact, the availability and effectiveness of sexual assault training, and the cadets' perceptions of the leadership response to the problems of unwanted sexual behaviors.

Lastly, Chapter 8 summarizes the findings, contributions, and recommendations from this research project. A thorough evaluation of the findings and issues gleaned from the focus group comments as well as the triangulated survey data is provided. Both the theoretical and applied contributions are also reviewed. Finally, the dissertation provides recommendations for future research and leadership development to assist in addressing complex social issues and culture crises such as the unwanted sexual behaviors at the U.S. Air Force Academy.

CHAPTER 2 - LITERATURE REVIEW

*I feel like the way that they are approaching it now is getting better.
There was a time period at our Academy that it became kind of a hammer
job, and that just forced people to do stupid stuff and try to hide it, as
opposed to just being open.*

USAFA Focus Group Participant (Cook, Lipari, and Rock 2011, 93)

Substantial evidence demonstrates that sound leadership is a critical aspect to creating effective organizations (Rubin and Dierdorff 2011). Therefore, many leadership theories and models have been developed to describe and advocate for various aspects of effective leadership practices. The purpose of this study is to propose a new leadership model that acknowledges the essential role of organizational hierarchy and problem definition in leadership effectiveness and then to apply this hybrid leadership model to the complex social crisis at the Air Force Academy as their leadership addressed problems of unwanted sexual behaviors. Thus, the following research questions guide this study:

1. How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?
2. What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

3. Why do followers perceive certain leadership behaviors as more effective than others?

This chapter provides a thorough review of the salient leadership concepts related to the study. The literature review is organized into the following sections: defining and describing leadership; the evolution of leadership theory including trait, behavior, situational, contingency, and integrative approaches; and finally, the limitations and gaps in current leadership theory research which includes the shortcomings of properly accounting for problem definition and organizational hierarchy. The chapter concludes with the proposal of a new model of leadership that accounts for the limitations revealed in the review of the literature.

Defining and Describing Leadership

Leadership is a complex process that is highly sought after, but this commodity of teams and organizations can be difficult to clearly define. It is easy to recognize good leadership when it exists, and similarly, bad leadership is painfully obvious to everyone suffering through it. And yet, the scholarly literature regarding leadership lacks universally defined parameters, and at times, can be a very subjective issue (Bass and Avolio 1994; Bryman 1992; Gardner 1990; Hickman 2009; Mumford 2006; Northouse 2016; Rost 1991). Chester Barnard declared that most leadership research is the subject of an extraordinary amount of dogmatically stated nonsense (Barnard 1948). Several decades later, Burns echoed a similar thought on the confusion surrounding the study of leadership when he penned that the process of leadership is one of the “least understood phenomena on earth” (Burns 1978, 2). As Table 2.1 shows, the predominant definition and emphasis in leadership literature has evolved during the previous century as scholars

and practitioners studied and detailed the complexities of the subject (Northouse 2016; Rost 1991).

Table 2.1: The Evolving Definition and Emphasis of Leadership Literature

Years	Predominant Definition and Emphasis of Leadership Literature
1900-1929	Definitions of leadership emphasized control and centralization of power with a common theme of domination. At a conference on leadership in 1927, leadership was defined as the ability to impress the will of the leader on those led and induce obedience, respect, loyalty, and cooperation (Moore 1927).
1930s	Leadership definitions became focused on leader traits. The role of the leader became more focused on influence rather than domination. It was acknowledged that while the attitudes and activities of the many may be changed by the one, the many may also influence the leader (Rost 1991). The interaction of an individual leader's specific personality traits with those of the group being led was incorporated into the common understanding of leadership.
1940s	Leadership by persuasion was distinguished from <i>drivership</i> or leadership based on coercion (Copeland 1942). Scholarship of management and leading focused on the behavior of an individual managing, directing, or leading group activities (Hemphill 1949).
1950s	Three themes emerge in the commonly accepted leadership definitions of the 1950s: 1) leadership is framed as what leaders do within a group context; 2) leadership involves relationships that develop shared goals; and 3) leadership is defined by the ability to influence a group's effectiveness.
1960s	Leadership literature generally united under a prevailing definition of leadership as a behavior that influences a group of people toward shared goals (Rost 1991).
1970s	The predominant leadership definition in scholarly literature declared that "leadership is the reciprocal process of mobilizing by persons with certain motives and values, various economic, political, and other resources, in a context of competition and conflict, in order to realize goals independently or mutually held by both leaders and followers" (Burns 1978).

Table 2.1: The Evolving Definition and Emphasis of Leadership Literature

Years	Predominant Definition and Emphasis of Leadership Literature
1980-1990s	The study of effective leadership blossomed as the 20th century ended, resulting in several divergent themes. First, many popular definitions returned to the basic idea that leadership is getting followers to do what the leader wants done (Northouse 2016). Next, the term <i>influence</i> grew in popularity. Influence was included in leadership research and literature from every angle. Noncoercive influence was used to distinguish leadership from management. Leader traits found their way back into popular leadership literature as a result of the leadership-as-excellence movement that documented leader traits found in successful American companies (Peters and Waterman 1982). Finally, the transformational aspects of leadership were recognized in scholarly research and literature. Burns (1978) stated that transformational leadership occurs “when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality.”
21 st Century	The value of transformational leadership remains strong in literature, as well as in leadership practice and process. Other aspects of leading have gained popularity in leadership definitions, such as authentic, servant, and adaptive leadership. The authenticity of leaders and their leadership behaviors is emphasized in authentic leadership. Servant leadership stresses the importance of the leader focusing on the followers’ needs to help members of the group to become more autonomous, knowledgeable, and servant-like to others. The adaptive leadership definition underscores the need for leaders to encourage followers to adapt by confronting and solving problems, challenges and changes (Northouse 2016).

After a century of dissonance, leadership scholars agree on one thing: there is no single, persevering definition of leadership. Perhaps trying to codify a longstanding definition of leadership is like Supreme Court Justice Potter Stewart’s description of obscenity... the subject is difficult to define, but “I know it when I see it” (Gewirtz 1996, 1023).

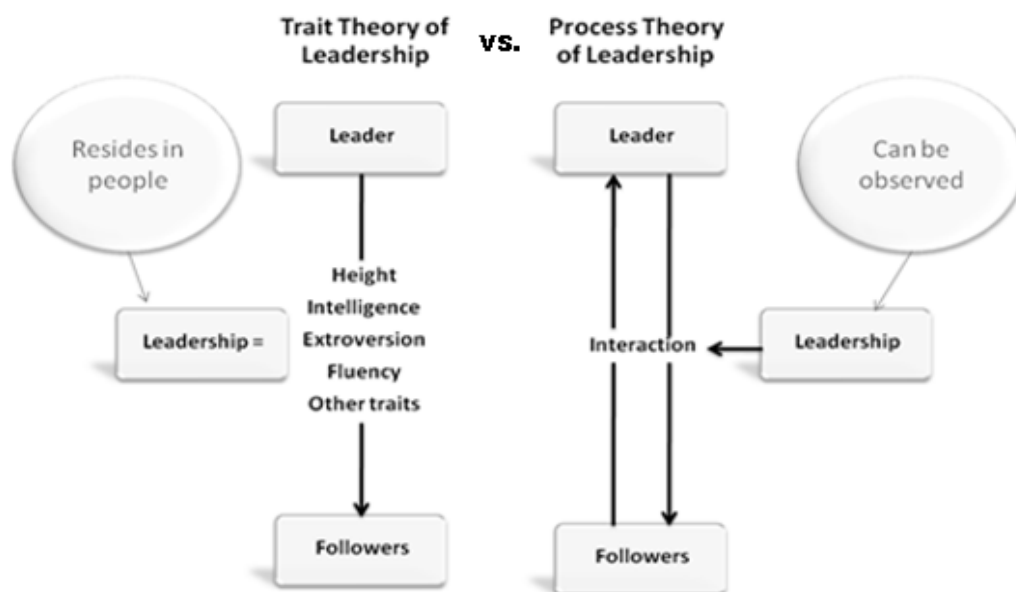
While a unanimous consonance of leadership may not have been reached in the scholarly literature, the varying demarcations have common qualities and characteristics that describe the process of leading as well as the key relationships involved. Northouse (2016) defines leadership as a process in which an individual influences a group of other individuals to achieve a common goal. Lussier and Achua (2013) describe leadership as the influencing process of leaders and followers to achieve organizational objectives through change. This literature review continues with an overview of the common delineations between trait verses process leadership followed by a comparison of assigned and emergent leadership roles.

The debate between trait and process leadership is the basis of the enduring question, “Are good leaders born or made?” The trait-advocate scholars and practitioners believe that leaders are born not made (Bryman 1992). True leaders naturally have unique, inborn qualities that inspire others to want to follow them (Bryman 1992). The trait description of leadership was one of the first systematic ways of studying leadership in the 20th century and continues to find advocates (Northouse 2016; Peters and Waterman 1982). The trait leadership assumption was the basis for the great man theory of leadership (Jago 1982). The great man theory will be described in more detail in the Evolution of Leadership Theories section of the literature review. Early advocates of the trait description of leadership proposed natural attributes such as height, strength, intelligence, and even gender as the innate characteristics from which leaders emerge (Bass 1990b; Bryman 1992; Jago 1982; Marlowe 1986; Stogdill 1948; Stogdill 1974; Zaccaro 2007). Modern descriptions of trait leadership focus less on physical traits, instead preferring psychological traits such as emotional intelligence, drive, confidence,

motivation, extroversion, and others (Northouse 2016; Stogdill 1974; Zaccaro, Kemp, and Bader 2004). In sum, trait-advocates describe leadership as a set of properties that resides *in* select people and restricts successful leadership to those who are believed to have these special talents (Northouse 2016).

In the other theoretical camp, there are others who believe the answer to the question of *born* or *made* is that effective leaders are made and developed. In their description of leadership, this camp of scholars and practitioners acknowledges that every person has varying inborn skills and talents, but that is just the starting point for successfully leading others (Jago 1982). Process advocates describe leadership as a phenomenon that exists within the framework of exchanges between leaders and followers (Northouse 2016). Thus, effective leadership is a learned and developed behavior that can be exercised by everyone. Figure 2.1 illustrates the key differences between the trait and process theories of leadership (Kotter 1990).

Figure 2.1: Trait Verses Process Theories of Leadership



Most modern leadership theories and models fall into the process camp as the literature attempts to inspire leaders to learn and adapt their behaviors to influence others (Bass 1990a; Jago 1982; Stogdill 1974). From a practitioner's perspective, President Eisenhower, a renowned international leader in World War II and during the start of the Cold War, readily acknowledged the natural leadership traits he observed in combat, but he also declared that leadership is an art that can be learned and developed involving relationships and behaviors (Jago 1982).

A third group of scholars propose that the true answer to the question of born or made is likely *both*. Recent research using genetics discovered that effective leaders acquire their talents partly via genetics but mostly through learned, practiced behaviors and processes. One recent study found that the innate skills a leader possesses are 24 percent genetic and 76 percent development and process driven (De Neve et al. 2013). These results pass the common-sense test in that some people are naturally more intelligent, driven, and extroverted, but these nature talents are not guarantors of successful leadership. There are more factors to consider with effective leadership. Effective leaders, especially over the long term, are those people who take ownership of their natural abilities and develop them over time. They learn to adapt their leadership style and techniques to every new situation.

In addition to the debate over trait versus process descriptions of leadership, scholarly literature delineates between assigned and emergent leadership, also known as formal versus informal roles in leading. Formal leadership positions such as team leaders, store managers, department heads, squadron or battalion commanders, and head administrators are examples of assigned leadership (Northouse 2016). With formal or

assigned leadership, the person is placed in a position with the responsibility to make decisions for the team and to guide the actions of others. Some assigned leaders gain the respect and following of their subordinates and peers, while others struggle to be effective. Senge et al. (1999) affirm from their research that a formal position of authority is not the true source of authority, especially over the long term.

When formal leaders are lacking, often other individuals emerge as group leaders despite not having been assigned a formal leadership position. The members of a team or organization decide who will emerge as the informal leader of the group based on who they support and collectively find to have the most acceptable behavior and communication (Ellis and Fischer 1993; Northouse 2016). Ellis and Fischer (1993) found that emergent leaders are often selected based on being verbally involved, being informed, seeking others' opinions, initiating new ideas, and being firm but not rigid. Another study found that emergent leadership was linked to certain personality behaviors such as being more dominant, more intelligent, and more confident (Smith and Foti 1998). Depending on the group composition and purpose, emergent leaders can be informally selected for different reasons. Thus, groups often have formal leaders assigned by position and emergent leaders informally selected by the members of the group. Both leader types maneuver in the complex process of guiding the group's behavior.

To review, the definition of leadership has been ever-evolving for the last century. Definitions in the early days of the 20th century emphasized control over others with power centralized in the hands of a few leaders (Moore 1927; Rost 1991). Later, traits came to the forefront of defining leadership, and the debate over trait versus process

leadership in some regards continues today (Bryman 1992; De Neve et al. 2013; Peters and Waterman 1982; Rost 1991). The role of persuasion, relationships, behaviors and influence in groups gained popularity in leadership scholarship as more and more literature leaned toward the process of leading (Copeland 1942; Hemphill 1949; Jago 1982; Northouse 2016; Stogdill 1974). Organizations often have both position and emergent leaders who are, respectively, the formal leaders with titles and the informal leaders with the earned respect of the group (Ellis and Fischer 1993; Northouse 2016; Senge et al. 1999). Finally, the current culmination of the leadership definition has led to several integrative leadership theories including transformational, authentic, servant, adaptive, and several others (Lussier and Achua 2013; Northouse 2016). These contemporary leadership theories were developed after a century of theory evolution and adaptation.

Evolution in the Development of Leadership Theory

The previous section reviewed literature regarding the maturation of the commonly recognized leadership definition during the last century, whereas this section will review the evolution in the development of leadership theory and models. A leadership theory is an explanation of a certain aspect of leadership. According to Lussier and Achua (2013), leadership theories and their corresponding models have practical value because they are used to better understand, predict, and control successful leadership. Instead of simply offering an esoteric explanation of the leader-follower-situation relationship, the primary purpose of leadership theory should be to inform the practical application of leadership principles. During the last century of study, leadership

theory research and literature can be placed in four major groups, also known as *approaches*: trait, behavioral, contingency, and integrative (Lussier and Achua 2013). This section of the literature review will provide a summary of the theoretical basis for each approach and describe the primary leadership models that comprise each.

Trait Theories

The modern study of leadership began with the trait approach and the great man theory of leadership (Lussier and Achua 2013; Northouse 2016; Van Wart 2012). These early theories focused on identifying the innate qualities and characteristics of leadership by studying the great social, political, and military leaders of history such as George Washington, Catherine the Great, Mohandas Gandhi, Abraham Lincoln, Joan of Arc, and Napoleon Bonaparte (Northouse 2016). The assumption was that leaders are born, not made. The belief followed that certain people were gifted with leadership traits, and that only the great people possessed them. Research focused on determining the specific traits that noticeably segregated great leaders from the common masses (Bass 1990a; Jago 1982). The initial literature on the trait approach focused on leaders' physical factors such as height and strength, but additional qualities have since been added to trait theory to include personality features such as extroversion as well as other characteristics such as intelligence (Bryman 1992). Several great female leaders are included in the great man theory of leadership, and perhaps this was one of the issues that led to the evolution of the trait approach away from innate, born qualities to focus more on personality features and characteristics that account for the diverse range of effective, modern *great leader* traits.

While the primary focus of the trait approach is to deliver a list of qualities or characteristics of effective leaders, of the hundreds of research studies, nearly every project produces a different list of effective leader traits. Stogdill conducted two comprehensive surveys of trait approach studies in 1948 and 1974. The first survey analyzed and synthesized more than 124 research studies from 1904 to 1947 (Stogdill 1948). As depicted in Table 2.2, the first survey found eight traits that were most commonly associated with leadership (Stogdill 1948). This survey also concluded that

Table 2.2: Stogdill Leadership Traits Survey Findings

Leadership Traits from 1948 Survey	Leadership Traits from 1974 Survey
• Alertness • Initiative • Insight • Intelligence • Persistence • Responsibility • Self-confidence • Sociability	• Drive for responsibility; task completion • Vigor and persistence in pursuit of goals • Risk taking and originality in problem solving • Drive to exercise initiative in social situations • Self-confidence and sense of personal identity • Willingness to accept consequences • Readiness to absorb interpersonal stress • Willingness to tolerate frustration and delay • Ability to influence other people's behavior • Capacity to structure social interaction systems to the purpose at hand

traits alone were not a predictor of leader success; instead, the traits that leaders possess must be applicable to the situation and environment. Stogdill's second survey (1974), focused on leadership traits, assessed 163 studies that were conducted between 1948 to 1970. Table 2.2 also shows the ten characteristics that were positively associated with leadership in the 1974 survey. This second survey of research and literature validated

that while leader traits and characteristics are not the sole predictor of leadership success, they are certainly a factor in the equation.

Following the 1974 Stogdill survey, research regarding the trait approach continues. A study by Lord, de Vader and Alliger (1986) concluded that intelligence, masculinity, and dominance were significant in the perception of leader effectiveness. A few years later another review of studies found that six traits distinguished leaders from others: drive, motivation, integrity, confidence, cognitive ability, and task knowledge (Kirkpatrick and Locke 1991). As researchers began to understand and value the qualities of emotional intelligence and other social-awareness features, these characteristics were added to lists of desirable leadership traits (Zaccaro 2002; Zaccaro et al. 2004; Northouse 2016). As one can readily perceive, the overall list of key traits in leaders is continually in a state of flux. Of the many traits attributed to effective leadership over the past century, a contemporary synthesis of the predominant traits would be useful, reminiscent of Stogdill's earlier lists in 1948 and 1974.

Northouse (2016) provides a synthesis and analysis of the body of work related to trait leadership research and scholarship in which he proposes these five major leadership traits as central to the field: intelligence, self-confidence, determination, integrity, and sociability. Table 2.3 provides a brief summary of each of these major leadership traits (Northouse 2016). It is important to remember that Northouse's list of five major leadership traits is not all inclusive. There are many other traits that researchers have related to effective leadership.

Table 2.3: Major Leadership Trait Summary

Leadership Trait	Leadership Trait Summary
Intelligence	Intelligence or intellectual ability clearly has a positive relationship with leadership. Zaccaro et al. (2004) found that leaders tend to have higher intelligence than non-leaders in the same group. Their research also found that if a leader's IQ is much higher than their followers, it can have a counterproductive impact.
Self-confidence	Self-confidence is another leader trait that correlates to effective leadership. This includes a sense of self-esteem, self-assurance, and the ability to make a difference. As leaders work to influence others, their self-confidence assures them that their decisions are suitable for the situation.
Determination	Within the leadership trait of determination lies other key characteristics such as initiative, grit, persistence, dominance, and drive. This is the trait that pushes the leader to get the job done. Leaders strong in determination are proactive and persevere when encountering obstacles.
Integrity	Leaders who succeed in the long term generally have integrity. Northouse (2016) defines integrity as the quality of honesty and trustworthiness. Leaders with integrity inspire confidence in others because they can be trusted to do what they say they will do, and they are loyal, dependable, and not deceptive (Northouse 2016).
Sociability	Leaders who demonstrate sociability are courteous, diplomatic, friendly, outgoing, and tactful. This trait in leaders shows they are sensitive to the needs of others and are concerned with their well-being. These leaders are approachable and relatable.

Personality is a combination of idiosyncratic traits that classify an individual's behavior (Lussier and Achua 2013). Thus, a leader's personality is a combination of the trait and behavior approaches to leadership theory. Like most other traits, every person has an innate proclivity or predisposition in personality factors, but these tendencies or

skill sets can be developed over time. While there are many models related to the personality's role in leadership effectiveness, The Big Five Model of Personality is the most widely accepted way to classify personalities because of its strong research support and reliability (Goldberg 1990; McCrae and Costa 1987; Lussier and Achua 2013). Researchers use slightly different names to describe the personality factors included in the *Big Five* list, but the categories are generally the same. The five factors are neuroticism (also called adjustment), extroversion (also called surgency), openness (also called intellect), agreeableness (also called emotional intelligence), and conscientiousness (also called dependability) (Goldberg 1990; Lussier and Achua 2013; Northouse 2016). The dimensions of the Big Five Model of Personality are listed in Table 2.4 with

Table 2.4: Leadership Traits within the Big Five Model of Personality

The Big Five Traits	Traits within the Big Five Model of Personality
Extroversion (Surgency)	• Dominant traits with drive to get ahead through competing • High energy with determined drive to achieve goals • Assertive and willing to confront others
Conscientiousness (Dependability)	• Willing to work hard and put extra time and effort in • Trustworthy, honest, loyal, and full of integrity
Openness (Intellect)	• Able to adjust to new situations and remain flexible • Thinks critically, solves problems, and makes decisions • Takes responsibility for their behavior and performance
Agreeableness (Emotional Intelligence)	• Friendly, courteous, easy to get along with, and diplomatic • Self-aware; socially-aware; and manages emotions well
Neuroticism (Adjustment)	• Tends to be depressed, anxious, insecure, vulnerable, and hostile (negative correlation with leadership) • Adjustment is the desired leadership trait: stable emotions

descriptions that were adapted from across leadership literature (Judge et al. 2002; Lussier and Achua 2013; Northouse 2016).

While most research that focuses on leadership traits is qualitative, the research regarding the Big Five factors of personality is supported by quantitative data. Researchers conducted a major meta-analysis of 78 prior leadership studies published between 1967 and 1998 to correlate the Big Five personality dimensions with leadership (Judge et al. 2002). Their study found a strong relationship between the five personality factors and leadership. The highest correlation with effective leadership was *extroversion* (.31) followed by *conscientiousness* (.28), *openness* (.24), and *agreeableness* (.08) (Judge et al. 2002). As one might expect, effective leadership was found to have a strong negative correlation to *neuroticism* (-.24) (Judge et al. 2002).

In sum, the trait approach to leadership theory was the foundational premise for studying how leaders are different than other group members. The trait approach began by studying legendary, historic leaders and then progressed toward research of the distinguishing traits and characteristics that set organizational leaders apart from others. The lists of leader traits are long with most new studies proposing additional desired qualities. The studies that synthesize the many lists in a manageable group are helpful for understanding the most common preferred traits in effective leaders. The Big Five Personality Factors model incorporated personality traits into the trait approach. While leadership theories began with a single focus on the innate, inborn traits in the early years of the literature, the field later expanded to include personality factors which increased the pool of viable quality leaders. This led to subsequent leadership theories which focused

on leader behaviors, furthering promoting the understanding that effective leadership is not monopolized by larger-than-life individuals.

Behavior Theories

The behavioral theories became popular in the 1930s and 1940s primarily due to studies conducted at The Ohio State University and the University of Michigan as an effort to counter the reliance on the leadership trait approach (Lussier and Achua 2013). Like the trait theories, the behavior theories attempt to discover and describe the one best leadership style in all situations, specifically by focusing on the leaders' activities. In general, the behavior theories propose that organizational effectiveness is primarily determined by what leaders say and do (Dragoni et al. 2009). The behavioral approach focuses more on describing the components of a leader's behavior rather than suggesting or recommending a leader's actions (Northouse 2016). While this approach initially referred to leadership behaviors, modern researchers commonly describe it as *leadership style* (Lussier and Achua 2013).

The behavior theories segregate leader actions into two categories: task-focused behaviors and relationship/people-focused behaviors (Blake and Mouton 1978; Northouse 2016). The behavioral approach describes some leaders as having propensity toward task completion while others tend to be more relationship oriented. Task-focused leaders use tangible goals and assignment completion as their primary means of motivating and assessing performance (Hooijberg and Lane 2009). Conversely, other leaders' behaviors emphasize efforts toward building relationships between management and workers as well as peer-to-peer connections (Hooijberg and Lane 2009). Most leadership behaviors will exercise a combination of task-focus and relationship-focus.

The primary aim of the behavior approach is to describe how leaders combine these differing purposes to achieve organizational objectives (Hooijberg and Lane 2009).

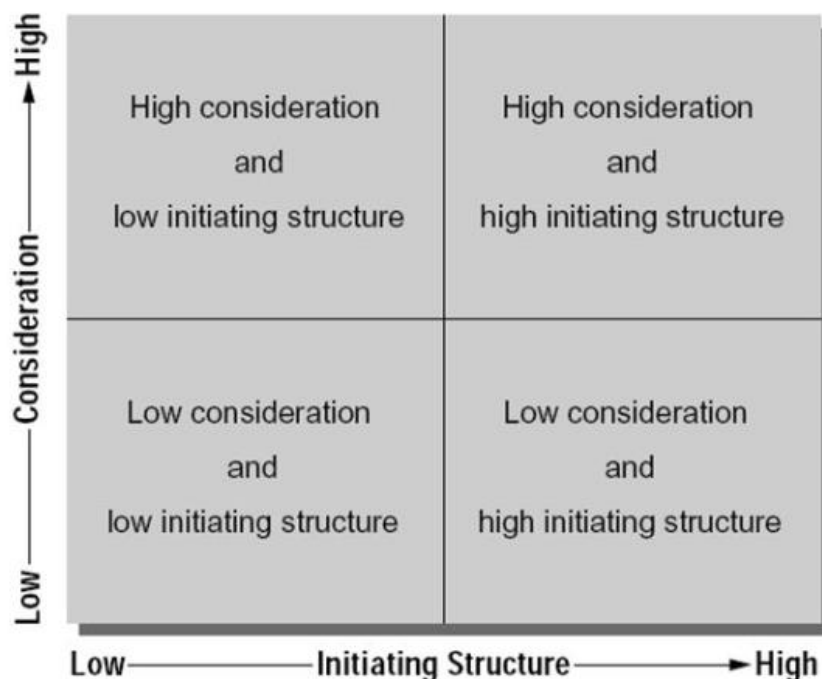
In the 1940s and 1950s, a group of researchers at The Ohio State University sought to determine effective leadership styles by focusing on how individuals in leadership positions acted (Lussier and Achua 2013; Northouse 2016). Their study queried hundreds of people in educational, military, and industrial settings using a 150-item survey called the Leadership Behavior Description Questionnaire (Hemphill and Coons 1957; Stogdill 1963). The questionnaire asked followers to identify the number of times their leaders engaged in certain behaviors (Northouse 2016; Stogdill 1963). Thus, the leaders' styles were categorized based on the perceptions of the followers.

The Ohio State studies discovered that employees perceived their manager's behaviors in two distinct dimensions which the researchers clustered as *initiating structure* and *consideration* (Hemphill and Coons 1957; Stogdill 1974). Initiating structure behaviors are task-oriented actions focused on objectives such as organizing work, giving structure to work context, defining role responsibilities, and scheduling work activities (Lussier and Achua 2013; Northouse 2016). On the other hand, consideration behaviors are relationship-oriented actions focused on people's needs and relationships such as building camaraderie, respect, trust, and liking between leaders and followers (Lussier and Achua 2013; Northouse 2016). Thus, followers perceived leaders' core behaviors as providing structure to tasks and nurturing relationships.

The two types of behaviors identified by the Ohio State studies were not thought to be mutually exclusive. A leader could be perceived as being high in both dimensions, low in both, or high in one or the other. Thus, the Ohio State study conclusions are

depicted in Figure 2.2, The Ohio State University Leadership Model, with four leadership styles in two dimensions (Lussier and Achua 2013; Stogdill 1974). The two dimensions of leadership actions are described as being independent. They are not two points along the same continuum; instead they are two different continua (Northouse 2016). From the Ohio State studies, many research projects have focused on finding which leadership style is most effective in a particular situation: high consideration or high initiating structure (Lussier and Achua 2013). In fact, other leadership models, such as the Path-Goal approach, leverage the basis of the Ohio State study to propose best practices for leadership behaviors (House and Mitchell 1974; Northouse 2016).

Figure 2.2: The Ohio State University Leadership Model



Ironically, the conspicuous rivalry between Ohio State and Michigan is not relegated to their football teams; in the 1940s, research teams at both institutions were competing to categorize effective leadership behaviors. Researchers at the University of

Michigan focused especially on leader behaviors related to the performance of small groups and teams (Cartwright and Zander 1960; Lussier and Achua 2013; Northouse 2016). Led by Rensis Likert, the Michigan researchers developed a questionnaire called the Survey of Organizations that was used in interviews with employees to measure their perception of their managers' behavior (Cartwright and Zander 1960; Lussier and Achua 2013).

The Michigan study identified two orientations of leadership behavior that were labeled *job-centered* and *employee-centered* (Likert 1961; Lussier and Achu 2013; Northouse 2016). The resultant Michigan Leadership Model placed the two orientations as contrasting aspects of a one-dimensional continuum as Figure 2.3 illustrates.

Figure 2.3: The Michigan Leadership Model



The job-centered leadership style stresses the technical and production aspects of a group or team (Northouse 2016). Leaders with this production-based orientation are perceived as viewing employees and group members as a means for getting work accomplished (Bowers and Seashore 1966; Northouse 2016). The job-centered leadership behavior is similar to the initiating structure dimension of the Ohio State study. Conversely, other leaders are perceived as having an employee orientation as they take an interest in workers as human beings, value their individuality, and give special attention to the subordinate's personal needs (Bowers and Seashore 1966; Northouse 2016). This leadership orientation emphasizes human relations and is similar to the style labeled consideration by the Ohio State study.

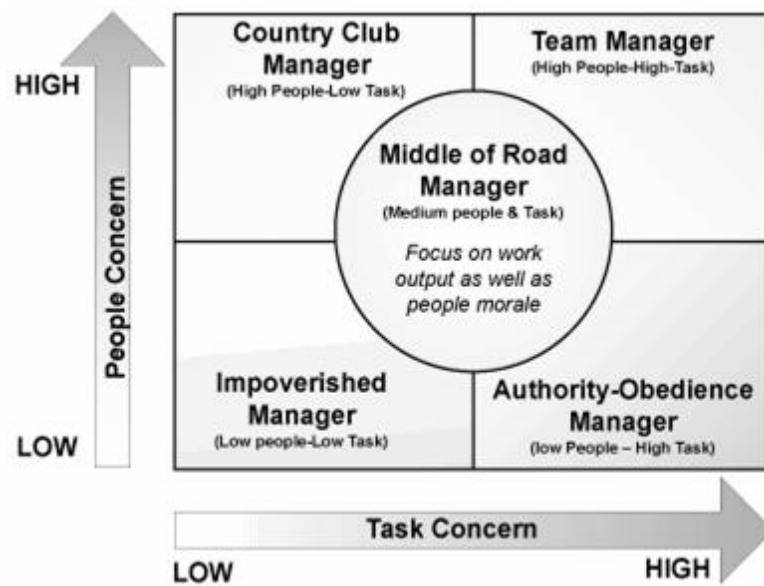
The biggest difference between the Ohio State and Michigan initial study findings was the use of a single leadership continuum in Michigan's model which relegated leadership to two styles in one dimension whereas Ohio State's model allowed for four styles in two dimensions (Lussier and Achu 2013). As more studies were conducted using the Michigan framework, the model was reconceptualized with two independent leadership orientations allowing for leaders to be both job and employee focused simultaneously (Northouse 2016).

The focus of the leadership behavior approach continued in the 1960s and 1970s with Blake and Mouton's Managerial Grid, which later became known as the Leadership Grid (Blake and McCanse 1991; Blake and Mouton 1964, 1978, 1985). The Leadership Grid builds on the Ohio State and Michigan studies as it is based on the two aforementioned factors: *concern for production* and *concern for people* (Lussier and Achu 2013; Northouse 2016). Concern for production describes the leadership style that is focused on achieving organizational tasks. While the factor has production in the name, this dimension of leadership involves a wide range of activities including the development of new products, crafting policy decisions, process issues, workload, and sales; it is not limited to the manufacturing of products (Blake and Mouton 1964; Northouse 2016). Concern for production refers to any goal or result the organization is seeking to accomplish. The other factor, concern for people, represents how the leader behaves with regard to the employees in the organization who are trying to achieve the group's goals. Concern for people involves activities such as supporting the personal worth of employees, building organizational trust and commitment, establishing healthy

work conditions, maintaining a fair salary construct, and promoting good social connections (Blake and Mouton 1964; Northouse 2016).

The Leadership Grid describes leaders through a questionnaire given to subordinates that has 81 possible combinations of concern for production and people

Figure 2.4: The Leadership Grid



(Lussier and Achu 2013). These 81 combinations are categorized in five leadership styles as Figure 2.4 illustrates (adapted from Blake and McCanse 1991). These five styles are: 1) *Impoverished Manager*; 2) *Authority-Obedience Manager*; 3) *Country Club Manager*; 4) *Middle-of-the-Road Manager*; and 5) *Team Manager*.

The impoverished manager has a low concern for both people and the task. This leader does the minimum required to remain in the position (Lussier and Achu 2013). The authority-obedience manager, also called the authority-compliance leader, has a high concern for the task and production but a low concern for people. This leader treats people like cogs in a machine in order to accomplish the job (Lussier and Achu 2013). In

the opposite corner of the grid, the country club manager has a high concern for people and a low concern for production. This leader hopes to keep employees happy without concern for the task completion (Lussier and Achu 2013). In the middle of the grid, with a medium concern for both production and people is the middle-of-the-road manager. This leader strives to maintain satisfactory performance and morale (Lussier and Achu 2013). Finally, the team manager exceeds satisfactory performance in both production and people matters. This leader strives for maximum task completion and interpersonal relations. According to Blake, Mouton, and McCauley, the team manager with high concern for production and people is the most appropriate leadership style or behavior for all situations (Blake and McCauley 1991; Blake and Mouton 1985; Lussier and Achu 2013; Misumi 1985).

To summarize, while some behavioral researchers advocate for the team manager style, overall the behavioral theories are not focused on telling leaders how to behave, but instead the approach attempts to describe the major components of how leaders act and what they say (Northouse 2016). The predominant theories of this approach describe leadership behaviors as occurring on both task and relationship orientations. The field's models and questionnaires give leaders a way to reflect on their own behavior within two general dimensions of production and people.

Situational Theories

The approaches to leadership discussed thus far focus on describing leadership traits or behaviors independent of the situation. In the 1960s, more research literature suggested that there is no single best style of leading and managing; instead, leaders should adapt their leadership styles to their group's current situation (Greenwood and

Miller 2010). In other words, the effective leadership is theorized to be contingent on the specific situation, the leader's traits, behavior, and style as well as the particular group of followers. Maximizing success requires the leader to be flexible to be able to meet the demands of the unique situation. Different situations require different leadership styles. One of the most widely recognized leadership methodologies within this category is Hersey and Blanchard's (1969) Situational Approach.

Hersey and Blanchard (1969) based their initial research on the 3-D Management Style theory of Reddin (1967). The three leadership dimensions of Reddin's theory include *task-orientation*, *relationship-orientation*, and *effectiveness* (Reddin 1967) which echo earlier research in behavior theory. Task orientation is a measure of the leader's focus on efforts toward goal achievement. Relationship orientation reflects on the superior's personal relationships with subordinates whereas effectiveness measures the leader's success. Hersey and Blanchard (1969) refined and revised the theory to develop their Situational Leadership model. Following many years of research and modification, the revised theory, their Situational Leadership II model, is extensively used in organizational leadership development and training (Blanchard 2010; Blanchard, Zigarmi, and Nelson 1993; Blanchard, Zigarmi, and Zigarmi 2013; Greenwood and Miller 2010; Hersey and Blanchard 1977; Northouse 2016).

The Situational Leadership II model emphasizes both the directive and supportive dimensions of leadership behavior and stresses that each leadership style must be applied properly in each situation based on the development level of the followers, as illustrated in Figure 2.5 (Blanchard, Zigarmi, and Zigarmi 2013; Northouse 2016). Leaders are encouraged to remain flexible to the situation as they match their leadership style (actions

and messaging) to the competence and commitment of the followers (Hersey and Blanchard 1977; Northouse 2016). The measurement of leaders' effectiveness is their ability to recognize the proper level of support and direction that their subordinates need in their distinctive situation.

The model suggests that successful leaders assess the development level of their followers in the specific situation and then select the appropriate leadership style to employ. As depicted at the bottom of the Situational Leadership II model, there are four basic *development* levels of followers: (D1) *enthusiastic beginner*, (D2) *disillusioned*

Figure 2.5: Situational Leadership II Model



learner, (D3) *capable but cautious performer*, and (D4) *self-reliant achiever* (Blanchard 2010). Followers move forward and backward along the development continuum as their relative competence and commitment to the task changes. Next, the upper portion of the model depicts four basic leadership *styles* that the supervisor can choose to utilize depending on their assessment of the followers' development: (S1) *directing*, (S2) *coaching*, (S3) *supporting*, and (S4) *delegating* (Blanchard 2010).

Matching the followers' development level with the recommended leadership style is the strength of the Situational Leadership II Model (Blanchard, Zigarmi, and Zigarmi 2013; Northouse 2016). The enthusiastic beginner (D1) followers are depicted as having low competence but high commitment (Blanchard 2010). These followers are new to a task and therefore do not know how to accomplish the goal, but they are excited about the challenge. According to the Situational Leadership II Model, in this situation, the appropriate leadership style is directing (S1) wherein the supervisor is highly directive but low in supportive behaviors (Northouse 2016). The directing leader focuses efforts on giving specific instructions about what and how goals are to be achieved by the subordinates with less time dedicated to supporting behaviors (Northouse 2016). As the D1 followers complete their tasks the leader supervises the achievement of the goals closely.

The next development level of followers is the disillusioned learner (D2) (Blanchard 2010). The model describes disillusioned learners as having some competence but low commitment to task achievement. These followers have learned some aspects of their job, but they also have lost their motivation to complete the goal. Effective leaders will recognize this situation and adjust their style to focus on coaching

(S2) the followers. With this approach, the leader focuses communication on both goal achievement but also on meeting the followers' socioemotional needs (Northouse 2016). The leader should encourage followers and should also solicit their input, although the supervisor maintains the responsibility for determining which goals will be accomplished and how the tasks will be handled.

As followers continue their development in a certain context, the Situational Leadership II Model depicts the capable but cautious performer (D3) (Blanchard 2010). The model describes this group of followers as having moderate to high competence but variable commitment. They have developed the skills needed to accomplish the job and perhaps have completed it successfully a few times, but their limited experience with the task is adversely affecting their confidence. As a result, these subordinates tend to be cautious and unsure of their ability to be successful without the supervisor's assistance. A supporting (S3) leadership style is appropriate for D3 followers. The supporting approach involves highly supportive and low directive behaviors. Specifically, the supportive leader focuses on listening, praising, asking for input, and giving limited feedback when required (Northouse 2016). The supervisor should give D3 followers increased autonomy in the control of day-to-day decisions while the supervisor remains a resource for problem solving as needed.

The highest level of follower development is the self-reliant achiever (D4) who has demonstrated both high competence and high commitment to accomplish the task (Blanchard 2010). This employee has demonstrated an ability to be self-managed. Effective leaders will utilize a delegating (S4) approach with self-reliant achievers. The delegating style includes low supportive and low directive behaviors from the leader

(Northouse 2016). The high performer subordinates in the D4 category thrive when the leader facilitates the followers' confidence and motivation by delegating planning, control of details, and goal clarification. This leadership style allows self-reliant achievers to take responsibility for accomplishing tasks the way they deem best. And yet, high performers still need recognition in the form of high-order incentives such as having them train others, involving them in decision making, and increasing their visibility in the organization (Blanchard 2010).

The situational approach to leadership offers distinct enhancements over earlier theories as it incorporates both the followers' development and commitment, as well as the unique circumstances of the task at hand. The Situational Leadership II Model is innovative as it provides supervisors with a prescriptive tool that recommends effective leadership techniques rather than simply describing leadership traits and behaviors without regard to the subordinates or the situation.

Following the advent of the situational approach, researchers continue to open the aperture of leadership factors as new integrative models consider a variety of factors such as motivation, emotions, values, ethics, relationships, standards, and long-term goals (Northouse 2016). Some of the prominent integrative models include the Path-Goal model (Evans 1970; House 1971), Leader-Member Exchange (Dansereau, Graen, and Haga 1975), Authentic Leadership (George 2003), Servant Leadership (Greenleaf 1977), Full Range Leadership Model (Bass 1985), and Adaptive Leadership (Heifetz 1994). The two integrative leadership models that are thoroughly examined in this literature review are the Full Range Leadership Model and the Adaptive Leadership Model. These two models were selected based on their current popular use in leadership research and their

ability to clearly articulate and bring together differing aspects of problem definition and leader behaviors.

Full Range Leadership Model

One of the most popular and encompassing integrative leadership archetypes is the Full Range Leadership Model which includes three primary leadership styles with seven embedded characteristics (Avolio, Bass, and Jung 1999; Northouse 2016). The model emerged primarily from the work of Burns (1978), Bass (1985; 1990a; 1990b), and Bass with Avolio (1990; 1994). Burns first proposed there are two leadership styles for accomplishing goals, transactional and transformational (Burns 1978). For Burns, the transactional approach refers to most leader-follower interactions which involve exchanges, or transactions, between leaders and subordinates. On the other hand, the transformational style involves the leader assessing the followers' motives, satisfying their needs, and encouraging the followers by treating them as respected human beings (Burns 1978; Downton 1973). Bass (1985) builds on the previous literature as he suggests that transactional and transformational leadership exists on a single continuum. Later, this continuum is further expanded to include a laissez-faire approach (Bass and Avolio 1990). Thus, the Full Range Leadership Model emerged to include three primary leadership styles (laissez-faire, transactional, and transformational), each with embedded characteristics or factors (see Table 2.5).

Table 2.5: Full Range Leadership Model Styles and Factors

Leadership Style	Laissez-Faire Leadership	Transactional Leadership	Transformational Leadership
		Management by Exception (Passive & Active)	Idealized Influence
			Inspirational Motivation
Factors	Hands-Off		Intellectual Stimulation
		Contingent Reward	Individualized Consideration

The Laissez-Faire leadership style is often considered the non-leadership or non-transactional approach due to the disengaged behaviors of the leader or manager (Bass and Avolio 1990; Northouse 2016). The term *laissez-faire* in French means “allow them to act” or “let them do what they want.” From the label, one can understand why this approach is considered the absence of leadership. Leaders functioning in this style will be hands-off as they abdicate their responsibilities, delay decisions, give no feedback, and make little effort to help subordinates to meet their needs (Northouse 2016). These leaders either do not recognize issues that need their attention, or they choose to ignore them.

The Transactional leadership style is centered around the transactions that occur between leaders and followers (Bass 1985; Burns 1978). This leadership approach is the most common leader-follower interaction in the workplace as leaders exchange things of value with followers to advance the agendas of both parties (Bass 1985; Kuhnert 1994).

The foundation of this leadership style is contingent reinforcement; preferred behaviors are reinforced with rewards, and undesirable actions receive punishment (Bass 1985). Specifically, the two primary factors of transactional leadership are contingent reward and management-by-exception (in both active and passive ways) (Avolio, Bass, and Jung 1999). Contingent reward focuses on positive reinforcement of behavior. The leader motivates and encourages the follower's work or desired behaviors using rewards and payoffs (Northouse 2016). Of the two transactional factors, contingent reward is the most effective with respect to its positive relationship with job performance, follower attitudes, and leader effectiveness (Judge and Piccolo 2004). The other factor, management-by-exception, is generally separated into two categories: active and passive methods (Avolio, Bass, and Jung 1999). Management-by-exception involves corrective criticism, negative feedback, and negative reinforcement and is the degree to which the leader takes corrective action regarding the leader-follower transactions (Judge and Piccolo 2004; Northouse 2016). Active management-by-exception is when the leader actively monitors the follower's behavior or output and takes punitive action before the behavior creates serious problems; whereas, passive transactional leaders wait until the problems arise before they intervene (Judge and Piccolo 2004; Northouse 2016). While the transactional leadership approach is the most common interaction between leaders and followers, the Full Range Leadership Model offers a third leadership style with long-term performance goals.

The transformational leadership style is concerned with improving performance while also developing followers to their fullest potential (Avolio, Bass, and Jung 1999; Bass and Avolio 1990; Northouse 2016). Transformational leaders often have strong

internal values and ideals, and they can motivate others for the collective good rather than their own self-interests (Kuhnert 1994; Northouse 2016). The following four factors and their descriptions are associated with transformational leadership (Bass and Avolio 1990; Northouse 2016):

- Idealized Influence (Charisma): leaders are trusted role models; followers identify with the leader and want to emulate them; followers respect and trust the leader; leaders provide vision and a clear sense of mission; leaders are believed to have very high moral standards and do the right thing.
- Inspirational Motivation: leaders communicate high expectations to followers; inspiration to commit to the shared vision through motivation and encouragement; leaders use emotional appeals to focus follower's efforts.
- Intellectual Stimulation: leaders stimulate followers to be creative and innovative; out-of-the box thinking is encouraged; followers are encouraged to challenge their own beliefs and values as well as the leader's beliefs and values.
- Individualized Consideration: leaders listen carefully to followers' needs and genuinely empathize as they provide a supportive environment; leaders coach and advise followers to become fully self-actualized; trust and respect are key components of the leader-follower relationship; responsibilities are delegated as a personal challenge to help develop followers (Avolio, Bass, and Jung 1999; Kuhnert 1994; Northouse 2016).

In summary, the Full Range Leadership Model incorporates three leadership styles: laissez-faire, transactional, and transformational. The model emphasizes the

benefits and long-term effectiveness when the transformational approach is employed. The popularity of the transformational approach may be due to the emphasis on intrinsic motivation and follower development which fits the needs of modern work groups who want to be inspired and empowered to succeed in times of uncertainty (Bass and Riggio 2006). Of course, the model does have its limitations. First, it does not account for problem definition, which is a critical aspect in deciding the appropriate leadership style, transactional or transformational, for a given situation. Another limitation is that the transformational leadership style can be perceived as a personality trait or personal predisposition (Bryman 1992). Thus, if leadership behavior is a trait then training leaders to be transformational is problematic. Another critique is that transformational leaders can appear as elitist and antidemocratic as they play a critical role in establishing vision and creating change (Avolio 1999).

Adaptive Leadership Model

As the name implies, Heifetz's Adaptive Leadership Model (1994) focuses on adaptation. The key feature of the leadership framework is how leaders encourage individuals and organizations to adapt and thrive in challenging environments (Heifetz 1994; Heifetz and Laurie 1997; Northouse 2106). Adaptive leaders prepare and encourage followers to deal with change. Heifetz (1994) also contends that anyone can be a leader because leadership is a practice that is not dependent on the person's innate talents, skills, or position in an organization. As Table 2.6 illustrates, the primary dimensions of the Adaptive Leadership Model include three categories of situational challenges, six leader behaviors, and a holding environment where adaptive work takes place (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).

Table 2.6: Dimensions of the Adaptive Leadership Model

Situational Challenges	Leader Behaviors	Adaptive Work in the Holding Environment
Technical Challenges	Get on the Balcony	Leader - Followers Interaction
	Identify the Adaptive Challenge	
Technical & Adaptive Challenges	Regulate Distress	
	Maintain Disciplined Attention	
Adaptive Challenges	Give the Work Back to the People	
	Protect Leadership Voices from Below	

The first dimension for the Adaptive Leadership Model includes three kinds of situational challenges (Heifetz 1994; Northouse 2016). There are problems that are primarily technical in nature, challenges that are predominantly adaptive, and issues that have both technical and adaptive aspects. While most managers focus their attention on dealing with technical issues, the primary emphasis of the Heifetz model is to help leaders recognize and address adaptive issues (Heifetz 1994; Northouse 2016). Table 2.7 describes each of the three situational challenges described in the Adaptive Leadership Model (Heifetz 1994; Northouse 2016).

Table 2.7: Three Situational Challenges of the Adaptive Leadership Model

Situational Challenges	Description
Technical Challenges	Clearly defined problems with known solutions that can be implemented through current organizational rules and procedures. These issues can be solved by the community and the leader's authority.
Adaptive Challenges	Problems that are not clear-cut or easy to identify. They cannot be solved by the leader's authority. The normal operating rules and procedures within the organization are inadequate to address these challenges. Leaders must encourage the followers to adapt and confront the status quo. Leaders and followers must challenge their assumptions, perceptions, beliefs, attitudes, and behaviors. Together leaders and followers define the challenge and implement solutions to affect adaptive challenges.
Technical and Adaptive Challenges	Some problems have both technical and adaptive aspects. The technical aspect is that the problem is clearly defined where certain rules and procedures apply, but the adaptive aspect is that applying the known protocol will not adequately address the challenge. The full solution does not reside within the current organizational system. This type of challenge is a shared responsibility between the leaders and the followers. Leaders implement the rules and procedures, while also encouraging followers to adapt and challenge their assumptions, perceptions, beliefs, attitudes, and behaviors.

The next dimension of Adaptive Leadership Model includes six leader behaviors or activities that play a pivotal role in the process of adaptive leadership (Heifetz 1994; Heifetz and Laurie 1997; Northouse 2016). These behaviors are basic prescriptions for leaders to help others confront adaptive and technical-adaptive challenges. While Heifetz (1994) describes the six leader behaviors as independent actions, they are intended as a step-by-step process that often overlap with each other. Table 2.8 describes each of the

six leader behaviors described in the Adaptive Leadership Model (Heifetz 1994; Heifetz and Laurie 1997; Northouse 2016).

Table 2.8: Six Leader Behaviors of the Adaptive Leadership Model

Leader Behaviors	Description
Get on the Balcony	A metaphor for getting out of the fray and finding perspective in the midst of a challenging situation. The leader needs to have a better understanding of the big picture and gain a clearer view of the dysfunction.
Identify the Adaptive Challenge	Differentiate between technical and adaptive challenges. This is critical because the type of challenge will dictate the leader's response. There are four archetypes or basic patterns of adaptive challenges: 1) gap between espoused values and supported behaviors; 2) competing commitments; 3) sacred issues that are sensitive or controversial; and 4) seeking comfort or status quo rather than addressing difficult issues.
Regulate Distress	Adaptive leaders must manage distress in the workplace as they seek to create the needed changes. People have a psychological desire for consistency in our beliefs, attitudes, and values. As leaders see the need for change, the stress placed on the people must be closely monitored.
Maintain Disciplined Attention	Adaptive leaders need to encourage people to focus on the tough changes that must take place instead of avoiding or resisting the necessary changes. People naturally do not want to change; in fact, many people oppose change. Additionally, change is especially difficult when it involves adapting a person's beliefs, values, or behaviors.
Give the Work Back to the People	People want leaders to provide some direction and structure, but too much leadership can be debilitating and decrease people's confidence to solve problems on their own. Too much direction from a leader can suppress people's creative capacity. While many people feel comfortable and secure when the leader is very directive, it is important for leaders to curtail their influence and shift problem solving back to the people.

Table 2.8: Six Leader Behaviors of the Adaptive Leadership Model

Leader Behaviors	Description
Protect Leadership Voices from Below	Adaptive leaders must be open to the ideas of people who may be at the fringe, marginalized, or even divergent in the organization. Often the low-status individuals in an organization express their ideas in a nonstandard manner or in a nonconforming way, but the leader must protect and encourage these individuals to remain engaged. Giving these out-group individuals a voice keeps them engaged, independent, and responsible for their actions.

The final dimension of the Adaptive Leadership Model is a holding environment where adaptive work takes place (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016). This holding environment is a designated safe-space within the organization where the people can confront possible changes in their roles, priorities, and values. This is the safe place for adaptive work to be accomplished. The holding environment can be a real or virtual space where people confront the necessary adaptive changes. Examples of adaptive holding environments could be a team off-site meeting or a creativity lab in the workplace for new, adaptive ideas. Ultimately, the leader must ensure the people have a protected space for their adaptive work to occur.

In summary, scholars and practitioners have recognized the merits of the Adaptive Leadership Model, but the theoretical underpinnings of adaptive leadership remain in the formative stages (Northouse 2016). The lack of empirical research to support the tenets of the model are the primary limitation of the adaptive framework. Also, the model's primary focus is on adaptive challenges and thus does not offer practical advice for dealing with technical challenges. Additionally, instead of serving as practical leadership advice, the model's reliance on leadership maxims such as "give work back to the

people” and “protect the leadership voices from below” is a detractor for many researchers (Northouse 2016). Finally, like other leadership theories, the Adaptive Model does not account for the effects of organizational hierarchy within the leadership community. Instead, it simplifies the interaction between a single leader and a group of followers.

Limitations and Gaps in Current Research

None of the current leadership models used in public administration and management training adequately account for the crucial aspects of both the proper problem definition and the alignment of the organizational leadership hierarchy when prescribing, describing, or analyzing leader behaviors. The leadership models generally focus on how leaders interact with followers, but they fail to emphasize the importance of first defining a problem to be addressed. Additionally, the current leadership theories normally describe organizations where a leader has interactions with either single or a small group of followers, but the models fall short in addressing situations where a leadership community or a leadership hierarchy are responsible to align their efforts to effectively address an issue.

Lack of Problem Definition on Leadership Effectiveness

It is believed that Albert Einstein once quipped, “If I were given one hour to save the planet, I would spend 59 minutes defining the problem and one minute resolving it” (Cooper 2014). While Einstein’s ratio of problem definition to problem resolution may be hyperbolic, it does highlight the importance of properly defining a problem before

attempting to solve it. And yet, less than 1 percent of leaders have been taught how to define problems or complex challenges (Cooper 2014).

While public policy researchers emphasize the importance of problem definition, the literature in both public administration and management research is lacking in this critical initial step of addressing an issue. Unmistakably, problem definition is the crucial first step in setting public policy agendas and creating effective policies (Baumgartner and Jones 2015; Jones 1984; Kingdon 2010; Stone 2002). Within the political context, public policy researchers and practitioners also understand that social perceptions often drive the problem definition (Schnieder and Ingram 1993). As a problem is defined, the appropriate corrective response becomes more accessible. While the importance of problem definition is understood in the political context, the public administration leadership models are very limited in their acknowledgement of problem definition. Within the context of leadership, anytime a problem is not recognized or adequately understood then the actions and behaviors of leaders are often ineffective.

While the Full Range Leadership Model (Bass 1985; Burns 1978) completely overlooks problem definition, the Heifetz's Adaptive Leadership Model (1994) discloses a limited attempt at categorizing problems or administrative challenges. According to Heifetz (1994), the first step in establishing a leadership response to an administrative challenge is to describe the problem as a technical, adaptive, or hybrid issue. Technical problems are observed behaviors or issues that have known solutions prescribed in the current organizational rules and procedures (Heifetz 1994; Northouse 2016). Adaptive problems are not clearly identified and cannot be solved by the leader's authority or the normal operating procedures (Heifetz 1994; Northouse 2016). While the Heifetz model

attempts to emphasize proper problem definition, the model falls short because it does not account for problems that are either not recognized or ignored, which may often be the case with culture crisis issues such as the unwanted sexual behaviors.

Properly defining and understanding the problem affecting a culture crisis should be the critical first step before an intervention is attempted. Burn's (1978) Full Range Leadership Model simply assumes leaders understand the problem facing transactional and transformational leaders. On the other hand, the Heifetz model (1994) suggests that before leaders can properly address a problem, they must recognize, define, and understand the complexities of the challenge. Inherent in the Adaptive Leadership Model is the understanding that applying an adaptive solution to a technical challenge is rarely effective and the opposite paradox is also true; technical solutions may not effectively address adaptive problems. The Adaptive Leadership Model's problem definition is limited in that ignoring or not recognizing a problem is also an errant understanding of the complex challenges often facing an organization. In reality, serious challenges are often not recognized early enough and other problems are ignored by leaders and managers.

Lack of Multi-Level Hierarchy on Leadership Effectiveness

Another gap in the current research is the lack of regard for alignment among the multiple levels of the leadership hierarchy when evaluating the effectiveness of the leadership community in addressing problems. The predominance of leadership literature associated with leadership hierarchy is focused on the examination of vertical structures verses flat organizations - in other words, hierarchical leadership verses non-hierarchical leadership (Uhlig 2017). These management and leadership models do not address the

critical aspect of ensuring that the multiple levels of a leadership community are aligned in their efforts to address culture crises such as unwanted sexual behaviors. Aligning the multiple leadership levels is an important aspect of intervention effectiveness because when one or more groups within the leadership community holds a unique problem definition or employees vastly different leadership behaviors, these actions can have a counteractive effect on the efforts of the other members leadership community.

Public organizations such as the U.S. Air Force Academy have multiple layers of leadership and management that form the *leadership community*. At the top of the hierarchy, the senior-level leaders are responsible for developing the vision, driving the broad strategy, and managing risk for the organization. The middle-level managers are both accountable to the senior-level leaders while also responsible for guiding the street-level managers. These mid-level leaders generally focus their efforts on executing the operational plans and policies of the organization while also providing general guidance and motivation to the lower tier of leaders and followers. The front-line or street-level leaders are directly involved in the day-to-day operations of the organization, prioritizing tasks, aligning resources, and motivating the general members of the organization. Aligning the efforts of the multiple levels of the leadership hierarchy should not be overlooked. Ironically, a limitation exists in most leadership models, including the Full Range Leadership Model (Bass 1985; Bass and Avolio 1990; Burns 1978) and the Adaptive Leadership Model (Heifetz 1994; Northouse 2016), due to the theories' portrayal of a single leader attempting to exert influence and change within the organization. This is an oversimplification of the leadership situations in most organizations. Effective leadership initiatives require a coordinated, aligned response

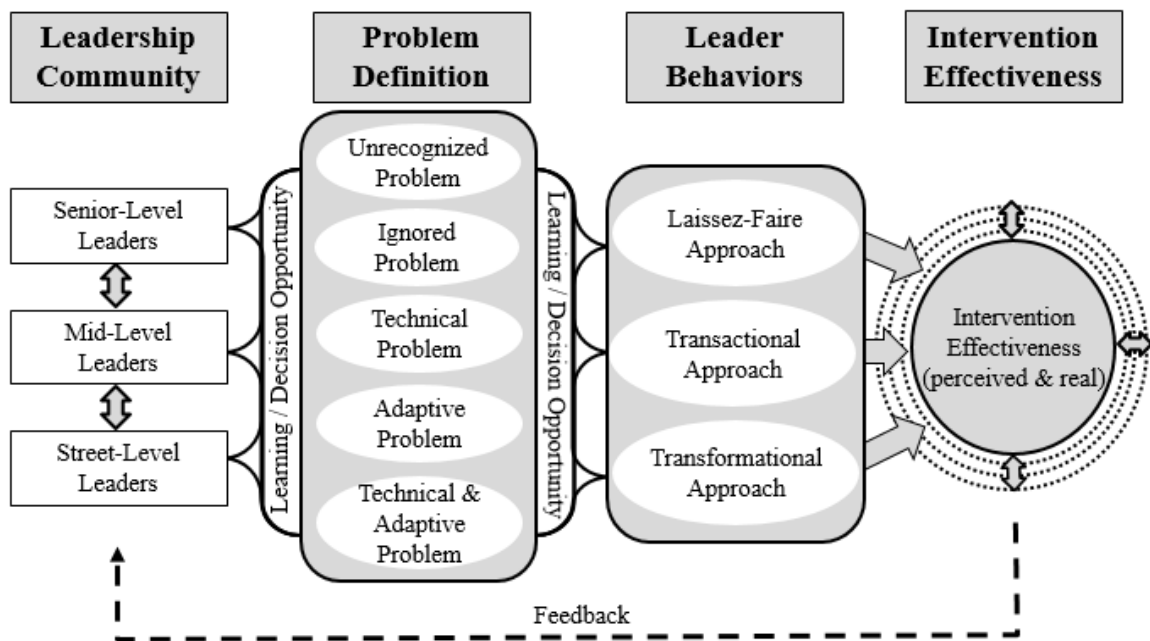
from the multiple levels within the organizational hierarchy. This is especially true when the organization is faced with a complex social issue such as the prevalence of unwanted sexual behaviors. To be most effective in influencing these malevolent behaviors, the senior-level leaders, the middle-level leaders, and the street-level leaders should be united in their definition and understanding of the problematic issues as well as the appropriate types of leadership actions to curb the culture crisis. Thus, the current leadership models have two gaps or limitations – they do not highlight the importance of aligning the multiple layers of the leadership community, nor do the models emphasize the critical initial step of problem definition.

Full Range - Adaptive Mixed (FRAM) Leadership Model

Given the limitations and gaps in the current leadership models regarding the importance of alignment of the leadership community hierarchy and proper problem definition, this research project proposes the FRAM Leadership Model as shown in Figure 2.6. This model attempts to account for the gaps that exist in the current leadership models. First, the FRAM Leadership Model illustrates three levels of leadership within the leadership community: senior-level, middle-level, and street-level leaders. Next, the critical issue of properly defining or understanding the problem is depicted. Five categories of problems are illustrated, ranging from those that are unrecognized to those of both a technical and adaptive nature. The model also shows that both before and after the problem is defined, leaders have learning and decision opportunities. Next, leader behaviors are grouped into three general approaches: laissez-faire, transactional, and transformational. It is important to note that any level of the leadership hierarchy may select any of the five problem definitions and then may follow

that choice with any of the three leadership behaviors. The right side of the model illustrates the intervention effectiveness of the leaders' behaviors. Intervention effectiveness can be both perceived and real. This study will discover perceived effectiveness through the focus group data and the real effectiveness through the survey day. The model attempts to illustrate that some interventions may be effective while others may not. Finally, the dashed line on the bottom of the model demonstrates that the cycle is iterative with feedback being available with each cycle. Feedback is often available in many formats and from multiple internal and external sources. The

Figure 2.6: The Full Range - Adaptive Mixed Leadership Model



leadership community should learn from the feedback and adjust their understanding of the problem and leadership behaviors accordingly.

Literature Review Summary

This review of the literature began by defining and describing the oft ambiguous philosophy and concept of leadership. Northouse (2016) describes leadership as a process in which an individual influences a group of other individuals to achieve a common goal. Scholars' understanding of leadership theory has evolved during the last century from a belief that certain, rare individuals are born with the leadership traits required of leaders to a new understanding that leadership can be a set of learned behaviors applied in specific situations. Two of the most popular leadership theories, the Full Range Leadership Model (Bass 1985; Bass and Avolio 1990; Burns 1978) and the Adaptive Leadership Model (Heifetz 1994; Northouse 2016), take an integrative approach to leadership as they acknowledge the leader's nature traits, the operative leadership behaviors, and the unique situations in which leaders engage followers. While there is great value in many of the leadership theories reviewed, they fail to account for two critical aspects of leading an organization: the importance of problem definition and alignment of the leadership hierarchy. The FRAM Leadership Model is proposed as a new, synthesized model that offers consideration for both limitations. As this research project continues, the proposed leadership model is tested within the context of a qualitative comparative case study of the leadership community at the U.S. Air Force Academy while they confront a culture crisis of unwanted sexual behaviors within their organization.

CHAPTER 3 - DESIGN AND METHODOLOGY

Getting the communication piece [started]. Honestly, in this group right now, I feel like we're getting more done than we ever do in a briefing... You're not going to talk about 'this is my personal sex life,' for example, but you might talk about 'this is how you have a healthy relationship' and 'this is how you're going to respect the people around you,' and to start that proactive training...instead of reactive, just start the conversation.

USAFA Focus Group Participant (Namrow et al. 2015, 283)

The purpose of this research is to present a synthesized leadership model that considers both the alignment of the leadership hierarchy and the leaders' problem definition, and then, to apply that leadership model to a comparative case study of three different levels of leadership attempting to address a culture crisis of unwanted sexual behaviors. The case studies are conducted using data collected at the U.S. Air Force Academy from 2006 to 2016. Importantly during this time, this public organization systematically attempted to address problems associated with sexual assault and gender relations. In 2004, the Inspector General's office discovered allegations of mishandled unwanted sexual behaviors at the Air Force Academy. Soon thereafter, the other two Military Service Academies were also confronted with similar allegations. Under intense public and Congressional scrutiny, leadership at the Air Force Academy began addressing the problem of unwanted sexual behaviors.

Leaders often pursue a variety of strategies to effectuate change when confronted with a complex social problem or a culture crisis within their organization. First, they

must understand and define the problem. Problem definition is a critical first step in discovering the appropriate response. As a problem is initially sensed or suspected, some administrators will choose to ignore the issue, perhaps with the hope that it will never come to fruition or resolve itself. Other managers prefer a hands-off, wait-and-see approach, while many leaders will implement a transactional tactic relying on rewards and punishments. Finally, a few leaders will envision a transformational resolution as they implement new, adaptive organizational practices.

Moreover, most organizations have a community of leaders at various levels of hierarchy who each have their personal understanding of the problem and may choose to implement different leadership approaches to effect institutional change. Recognizing the variability in leadership behaviors and perceptions of leadership effectiveness, the design and methodology section of this dissertation is guided by a comparative case study using grounded theory. This chapter will examine the following aspects of the project: the research design; the research questions with expectations; the grounded theory approach; the Air Force Academy focus group data; the population and unit of observation; the independent and dependent variables; the method of operationalizing the variables; and finally, triangulating the findings with a decade of survey data.

Research Design

To address the research questions, this dissertation relies primarily on three case studies utilizing grounded theory. The case study research method is an empirical inquiry that is used in research to investigate certain situations such as the following: a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident; and in which multiple sources of

evidence are used (Yin 1984). In this research project, the case studies specifically examine three levels of the leadership hierarchy at the U.S. Air Force Academy by utilizing focus group comments and survey results from a decade of data. The research period is longitudinal from 2006 to 2016 which facilitates an analysis of perceptions of different leadership behaviors over time (Diggle et al. 2002).

The primary strength of a case study is multiple points of data, which enables the researcher to triangulate his or her findings (Yin 2009). By doing so, it increases both validity and reliability of the project. According to Yin (2009), the case study research method is preferred in examining contemporary events when the relevant behaviors cannot be manipulated. This is the situation with this research project because the past leadership behaviors of Air Force Academy leaders related to this study occurred from 2006 to 2016 and thus, cannot be manipulated at the present time. While case studies provide an in-depth examination of an event or phenomena and are commonly considered to be very generalizable (Yin 2009), the unique nature of Military Service Academies may limit this study's overall generalizability. Nevertheless, the theoretical and practical leadership applications of this research will likely be informative to public administration researchers.

Additionally, the use of case studies is particularly appropriate when examining complex social phenomena (Yin 2009). The leadership behaviors used to address unwanted sexual behaviors at a Military Service Academy qualifies as complex social phenomena because the problem's cause was difficult to clearly define, there were numerous interconnected and diverse interests, and the leadership community was comprised of many different participants at varying levels of organizational hierarchy.

Case studies are often very situational and influenced by the interaction of many factors (Denzin and Lincoln 2000). Lastly, the inclusion of survey results from the military academy cadets facilitates triangulation of the comparative case study results.

Research Questions and Expectations

The three research questions (RQ) and corresponding research expectations (RE) for this study are as follows:

[RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?

[RE1a] Prior to the 2005 Department of Defense Inspector General investigation, the leadership community did not perceive a problem with unwanted sexual behaviors.

[RE1b] As the issues became evident immediately following the Inspector General investigation, the senior levels of the leadership community defined the problem as a technical challenge (Heifetz 1994).

[RE1c] As the issue became more apparent over a few years, all levels of the leadership community adopted a combined technical-adaptive problem definition (Heifetz 1994).

[RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RE2a] Using the terms of Bass and Avolio's (1990) Full Range Leadership Model, when the disturbing issue of unwanted sexual behaviors was first

discovered at the Air Force Academy, it is very likely that leadership at the different levels of hierarchy had been utilizing a laissez-faire approach to allegations of unwanted sexual behaviors.

[RE2b] As awareness of the problem increased, senior-level leadership reaction would have been to utilize contingent transactional punishments and rewards to address the inappropriate behaviors (Bass and Avolio 1990).

[RE2c] Once the immediate problem was under control, senior-level leaders would seek a transformational leadership approach in the hopes of fostering a higher level of respect and dignity for others among the cadet student body (Bass and Avolio 1990).

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

[RE3] It is expected that cadets will perceive the transformational leadership style as being more effective than the transactional or laissez-faire behaviors because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). It is expected that these qualities will be perceived by cadets as more effective than the rewards and punishments of the transactional approach and the uninvolved and avoidance style of the laissez-faire approach.

Grounded Theory Approach

A grounded theory approach is used to explore and address the proposed research questions. Glaser and Strauss (2012) describe grounded theory as a systematic methodology that involves the construction of new theory through the detailed analysis of qualitative data. Grounded theory can also be used to better understand the interaction of independent theories and the synthesis of multiple theories affecting a specific environment (Holton 2010). With this research project, grounded theory is useful to better understand the FRAM Leadership Model. As data are reviewed, the repetitive ideas, concepts or elements become apparent and are tagged with codes which have been extracted from the data (Glaser and Strauss 2012; Strauss and Corbin 1998). As more data are collected and as the data are repeatedly re-reviewed, codes are grouped into concepts and then into categories. These categories become the basis for evaluating the FRAM Leadership Model. The resulting model and research hypotheses are grounded on the data but are not rigidly bound to it. They are changed and adapted as new patterns emerges from the data. Grounded theory is exploratory and allows for the identification of themes that emerges from the data itself.

With the grounded theory methodology, qualitative coding is the primary process for understanding that data (Holton 2007). It is through the coding of the focus group comments and the analysis of the survey data that the conceptual abstraction of data and its synthesis with existing leadership theory facilitates new theory and models. There are two types of coding in a classical grounded theory study: substantive coding and theoretical coding (Holton 2010). Substantive coding includes both open and selective coding procedures (Holton 2010). According to Holton (2007) when using substantive

coding, the researcher studies the qualitative data directly, fracturing and analyzing it, initially through open coding to discover the emergence of core categories or themes of related concepts. Then, with theoretical or selective coding, the researcher saturates the core concepts related to leadership approaches at different levels of hierarchy and the perceptions of these leadership approaches (Holton 2010). Constant comparisons of indicators in the data will be critical in order to elicit the full dimensions of each category. A software suite, such as NVivo, can be used to organize and analyze the unstructured qualitative data to discover themes and complex connections (Dearne 2008).

Coding Inter-Rater Reliability

When qualitative coding techniques are used, it is important to establish inter-rater reliability to ensure the trustworthiness of the study (McAlister et al. 2017). Measuring inter-rater reliability is especially important when a team of multiple researchers divides a body of data for independent coding (Lincoln and Guba 1985). With this research project, the entirety of the qualitative data was coded by a single researcher, the author of this report. Nevertheless, the inter-rater reliability was measured to safeguard the trustworthiness and quality of the research.

To test inter-rater reliability, a sample set of seven focus group comments was provided to ten different coders with the task of qualitatively coding four categories of the comment. The ten coders were instructors at the U.S. Air War College; a mixture of civilian professors and active duty military instructors. Appendix 1 shows the coding inter-rater reliability survey. The survey begins with instructions and definitions of each of the four categories of coding: 1) levels of leadership; 2) defining the problem; 3) addressing the problem; and 4) effective or ineffective. These definitions serve as a

codebook with concrete descriptions of words or short phrases that captures what is happening segments of data and links the data to a general analysis issue (Rossman and Rallis 2012). The coders are then asked to read each of the seven focus group comments and are then instructed to code each comment in the four categories previously defined.

The overall inter-rater reliability among the multiple coders for this research project was ninety-one percent using the formula described in Miles and Huberman (1994):

$$reliability = \frac{\text{number of agreements}}{\text{number of agreements} + \text{disagreements}}$$

According to the research of Miles and Huberman (1994), an inter-rater reliability of eighty percent agreement between coders on ninety-five percent of the codes is sufficient agreement among multiple coders. Of the twenty-eight items that were coded by the ten coders, twenty-six of the items were coded at eighty percent agreement or better. In fact, seventeen categories were coded at one hundred percent agreement. The coders most commonly agreed on the level of leadership being commented on by the focus group participant and whether the leadership behavior was viewed as effective or ineffective. On the other hand, the coding categories that most often found disagreement among coders were those that asked the coder to differentiate between the five different problem definitions, and especially between problems that were either technical, adaptive, or technical & adaptive. Overall, the measurement of the study's inter-rater reliability is sufficient to consider the coding trustworthy.

Military Service Academy Focus Group Data

The comments from U.S. Air Force Academy cadets participating in focus groups are the primary data sources for this research project. The focus groups were directed by the John Warner National Defense Authorization Act for Fiscal Year 2007, Section 532 (National Defense Authorization Act for Fiscal Year 2007). This act of Congress directed the Secretary of Defense to conduct annual studies, alternating each year between surveys and focus groups, to determine “the effectiveness of policies, training, and procedures of the Academy with respect to sexual harassment and sexual violence” (National Defense Authorization Act for Fiscal Year 2007). Responsibility for conducting the independent assessments at each of the academies was placed on the Defense Manpower Data Center. Focus groups were accomplished in 2007, 2009, 2011, 2013, and 2015 (Namrow et al. 2015). This research project relies on the focus group data collected every four years, in 2007, 2011, and 2015.

In the first year of the focus group research, 2007, two Defense Manpower Data Center researchers led the focus group sessions at the U.S Air Force Academy (Kalien et al. 2007). A male facilitator led the male focus groups, and a female facilitator led the female focus groups. The Defense Manpower Data Center provided a recorder who used a stenographic machine to transcribe all comments from students and the facilitator. No names or identifying comments from the participants were recorded. Eight ninety-minute focus groups sessions were conducted (Kalien et al. 2007). Between eight and thirteen students participated in each session. Participants were selected at random from clusters defined by gender and class year (freshmen, sophomore, junior, and senior). Focus groups were scheduled based on class year and gender. The focus groups were held in

conference rooms or classrooms at the Air Force Academy campus in Colorado Springs between April 16-20, 2007 (Kalien et al. 2007).

In 2011, two researchers from Defense Manpower Data Center again led the focus group sessions at the U.S Air Force Academy (Cook, Lipari, and Rock 2011). A male facilitator led four male-only focus groups and a female facilitator led four female-only focus groups. Additionally, one mixed-gender session was led by both the male and female researchers (Cook, Lipari, and Rock 2011). Each of the nine sessions was approximately ninety minutes long. The Defense Manpower Data Center provided a female recorder who used a stenographic machine to transcribe all comments from students and the facilitator. No audio or video recording was made of any focus group session (Cook, Lipari, and Rock 2011). Again, names and other identifying comments from the participants were not recorded. Participation in the focus groups was voluntary, and participants were selected at random from clusters defined by gender and class year. Focus groups were scheduled based on class year and gender. Between eight to ten students participated in each session. The focus groups were held in conference rooms or classrooms at the Air Force Academy campus in Colorado Springs between April 19-21, 2011 (Cook, Lipari, and Rock 2011).

In 2015, researchers from Research, Surveys, and Statistics Center of the Defense Manpower Data Center led the focus group sessions at the U.S Air Force Academy (Namrow et al. 2015). There was one session each for men and women held for freshmen and sophomores, while the junior and senior students met in mixed groups that remained separated by gender (Namrow et al. 2015). One mixed-gender session of juniors and seniors was also conducted. A male facilitator led the three male-only focus

groups, and a female facilitator led the three female-only focus groups. Additionally, one mixed-gender session was led by both the male and female researchers (Namrow et al. 2015). Each of the seven sessions was approximately ninety minutes long. Facilitators followed a structured, approved script to ensure topics were covered in an adequate amount of time and conversations were appropriately contained (Namrow et al. 2015). The Defense Manpower Data Center provided a female recorder who used a stenographic machine to transcribe all comments from students and the facilitator. No audio or video recording was made of any focus group session (Namrow et al. 2015). Again, names and other identifying comments from the participants was not recorded. Participation in the focus groups was voluntary and participants were selected at random from clusters defined by gender and class year. The randomization process followed industry standards to assure a balance of opinions on the topics of interest based on unbiased feedback (Namrow et al. 2015). Focus groups were scheduled based on class year and gender. Between seven to twelve students participated in each session, with a total of sixty-six cadets participating. The seven cadet focus group sessions were held in closed-door conference rooms at the Air Force Academy between April 20-22, 2015 (Namrow et al. 2015).

Data Limitations

Maintaining the rigor of qualitative research methods should be of primary concern for any researcher (Barbour 2001). One of the ways to improve the rigor is to be aware of and acknowledge the limitations of the data set gathered or considered for any project. The focus group data gathered at the U.S. Air Force Academy in 2007, 2011, and 2015 was gathered purposively (Berg 2009) for the intent of discovering issues

related to unwanted sexual behaviors at that organization. Additionally, while the participants of the focus groups were randomly selected amongst their peers, they came from a unique population of college students enrolled at a U.S. Military Service Academy. Using these focus group comments to assess the FRAM Leadership Model must be considered a convenience sample because it relies on data or subjects who are close at hand or easily accessible (Berg 2009). While a convenience sample is an excellent means of obtaining preliminary information about a research question, or in this case of evaluating a proposed leadership model, future studies using other purposively selected samples should be conducted. The recommendations section of this report will elaborate on future studies that should be conducted to strengthen the rigor of the FRAM Leadership Model.

Population and Unit of Observation

The *population* for the research is the student body of cadets at the U.S. Air Force Academy. The student body is known as the *cadet wing*, and consists of approximately 4000 cadets as undergraduate students. Each class size ranges from approximately 1200 freshmen to 800 seniors, due to attrition. Women generally make up approximately twenty percent of the student body. The Air Force Academy maintains a staff of military leaders, athletic coaches, and other administrators of approximately 200 personnel. There are approximately 700 faculty members on the academic staff at the Air Force Academy.

The *unit of observation* is the cadet focus group participants at the Air Force Academy who voluntarily participated in the Defense Manpower Data Center focus group discussions and surveys. As reviewed earlier, each year the number of cadets who participated in the focus groups and surveys varied. Participants were selected at random

and offered the opportunity to participate. Focus groups were scheduled based on class year and gender. A female facilitator conducted the female focus groups and a male facilitator conducted the male focus groups. One mixed-gender group was conducted each year as well. All focus group sessions were governed by a number of ground rules, most notably that they were all non-attribution where students were advised of the purpose of a recorder using a stenographic machine but that their names or comments would not be attributed back to them (Cook, Lipari, and Rock 2011; Kalien et al. 2007; Namrow et al. 2015).

Independent Variables

The independent and dependent variables can be discovered by exploring these research questions that drive this study:

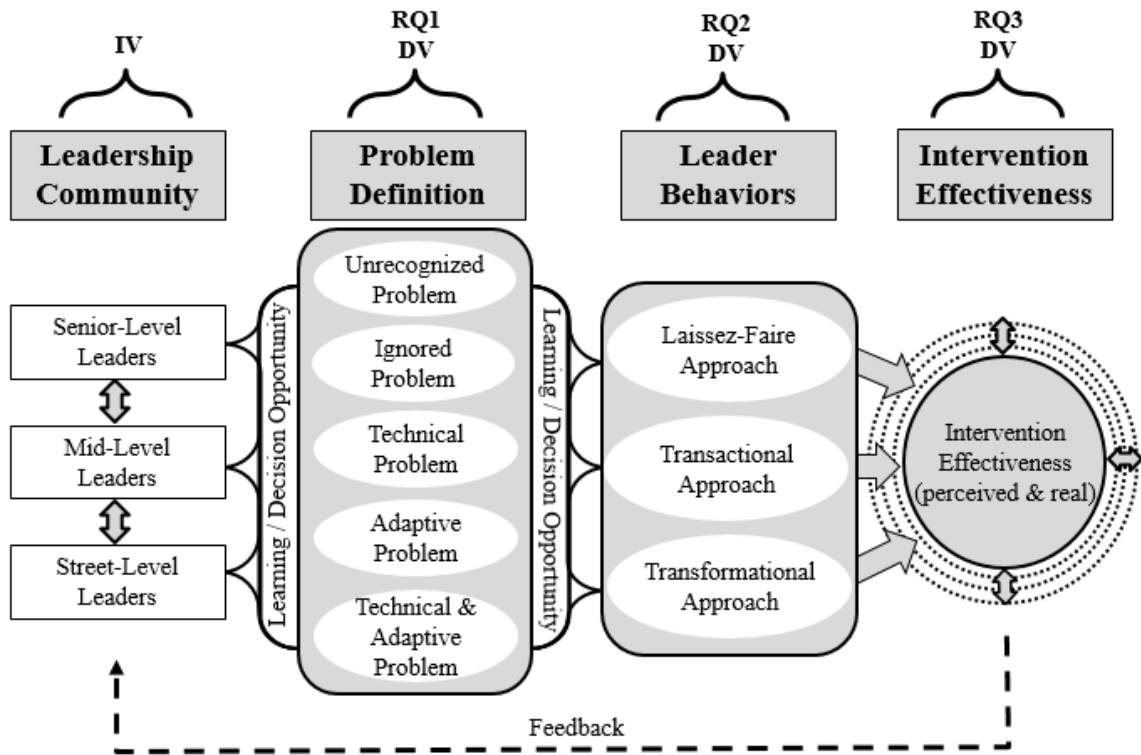
[RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?

[RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

Figure 3.1 illustrates the interconnected relationship between the FRAM Leadership Model, the three research questions, the independent variable, and the three dependent variables.

Figure 3.1: Relationship of the Full Range - Adaptive Mixed Leadership Model with Research Questions and Variables



The independent variables include the different levels of leadership hierarchy within the leadership community at the Air Force Academy. These levels of hierarchy are established and manipulated by each military organization with oversight by the Department of Defense. Table 3.1 illustrates the three levels of hierarchy within this leadership community. As leaders from various levels of the hierarchy make decisions and take action to address troubling institutional issues such as unwanted sexual behaviors, different members of the organization will have varying perceptions of the messaging and leadership effectiveness.

Table 3.1: Operationalizing the Independent Variable (IV) - Leadership Hierarchy Levels

Leadership Hierarchy Levels	Members of Military Service Academy Included in Group	Operative Coding Terms / Phrases
Senior-level Leaders	Senior-level leaders are the top three officers at the Air Force Academy	Superintendent (3-star General), Commandant (1-star General), and Dean (1-star General)
Middle-level Leaders	Middle-level leaders who are officers and officer equivalent faculty serving in various roles	Air Officer Commander (AOC), Academy Military Trainer (AMT), Professor, Teacher, Academic Advisor, Staff Member, Coach
Street-level Leaders	Street-level leaders are cadets who are selected from the student body to serve in formal and informal leadership roles.	Cadet squadron commander, Cadet Non-Commissioned Officer in Charge (NCO), Team Captain, Flight Commander, Element Leader

Organizational hierarchy is a contributing factor in leadership effectiveness. Well-intentioned actions and messaging by leaders at different levels of the hierarchy are often perceived differently by followers (Berson and Halevy 2014). *Organizational hierarchy* is the rank-ordering of group members with respect to a valued social dimension that has consequences for both individuals and groups (Anderson and Brown 2010). While hierarchy is present in nearly all organizations, within military groups, including the Military Service Academies, hierarchy is clearly established and formalized by military rank and positional responsibility.

Dependent Variables

The dependent variables for the study are the different ways that the problem was defined by members of the leadership community, the different leadership behaviors

exhibited by each level of hierarchy, and the perceived effectiveness of certain leadership behaviors in changing the problem of unwanted sexual behaviors.

The varying problem definitions from the leadership community should be evident by examining each hierarchy level's response to the issue of unwanted sexual behaviors through the lens of the FRAM Leadership Model.

The different leadership approaches will be studied using the lenses of the Bass and Avolio's (1990) Full Range Leadership Model and Heifetz's (1994) Adaptive Leadership Model.

The perceived effectiveness of each leadership style can be qualified by the choice of words used by the focus group participants in 2007, 2011, and 2015, as well as by quantitative survey data gathered by Defense Manpower Data Center in 2006, 2008, 2012, and 2016.

Operationalizing the Variables

With any qualitative research, it is important to operationalize the measurement of perceptions, experiences and phenomena that are not directly measurable.

Operationalizing the variables within the research questions is an attempt to define fuzzy concepts so they are measurable, clearly distinguishable, and understandable for empirical comparison. During the coding of each focus group comment, the operational terms are the keys that allow a consistent categorization of the perceptions and ideas`.

Nevertheless, it is also important to remember with grounded theory that the research should not be bound to pre-defined ideas and concepts. Therefore, the operationalized qualitative concepts and phrases should be adjusted as new themes emerge in the data.

Table 3.2 illustrates how the first dependent variable (DV1) is operationalized to assist in

the understanding of the first research question (RQ1) which is related to categories of problem definitions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016). It is important to remember that coding the focus group comments for problem definition involves understanding the leaders' problem definition regarding issues of unwanted sexual behaviors, exclusively from the cadets' perspective and perception. Thus, the first research question and corresponding research expectations (RE) for the study are as follows:

[RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?

[RE1a] Prior to the 2005 Department of Defense Inspector General investigation, the leadership community did not perceive a problem with unwanted sexual behaviors.

[RE1b] As the issues became evident immediately following the Inspector General investigation, the senior levels of the leadership community defined the problem as a technical challenge.

[RE1c] As the issue became more apparent over a few years, all levels of the leadership community adopted a combined technical-adaptive problem definition.

Table 3.2: Operationalizing Dependent Variable One (DV1) for Research Question One (RQ1) - Categories of Problem Definition

Problem Definition	Description of Problem Category	Operative Coding Terms / Phrases
Unrecognized Problem	Problem behaviors are unnoticed or unobserved. In some cases, the leader may be aware of a behavior but does not perceive a problem.	Comment describes unwanted sexual behaviors but agrees that the behaviors are not inappropriate; leaders see it and do not realize it; it is just guys being guys
Ignored Problem	Problem behaviors are observed but the leader willfully chooses to not address or investigate possible wrongdoing.	Leadership will never do anything; nothing will be done; it's wrong but it's allowed to happen; dealing with it is not worth the hassle of the investigation; crude jokes and harassment are just part of the culture; deal with it
Technical Problem	Technical challenges and problems are clearly defined with known solutions that can be implemented through existing organizational rules and procedures; quick and easy solutions are often already available if implemented and enforced; leaders, managers, and experts have the answers; just one or a few small changes solve the problem; a slight change to the rules and regulations will likely fix the issue; requires a focus on the process and procedures rather than the people; increasing rewards and penalties are often effective (Heifetz 1994)	This issue would cease if we just enforced the rules; more training is required; people need to follow the procedures to solve these issues; leaders should exert their power; leaders just want to get you in trouble; more briefings or emails will help; students are responsible for their own actions; leaders will hold others accountable; the reporting procedures should be followed

Table 3.2: Operationalizing Dependent Variable One (DV1) for Research Question One (RQ1) - Categories of Problem Definition

Problem Definition	Description of Problem Category	Operative Coding Terms / Phrases
Adaptive Problem	Adaptive challenges are problems that are not clear-cut or easy to identify; these issues cannot be solved simply by the leader's authority or expertise or through the normal ways of doing things in the organization; requires a focus on values, beliefs, roles, relationships, and approaches to work; solutions often come from the people within the organization; requires changes in numerous places so it is not quick and easy; people may initially resist addressing these challenges; solutions cannot be implemented by edict from the leader; requires changes in lifestyle; raising followers awareness so they can be part of the solution (Heifetz 1994)	This leader addresses the issue by showing they care about me as a person; the leader asks how the students would address the problem; the leader shows he/she values me or our group to impact the problem; the leader relates by sharing personal stories and experiences; the leader believes real conversations will help; both sides talking; mentoring and teaching beyond clarifying rules will lead to solutions; giving followers true responsibility to find solutions; empowering
Technical and Adaptive Problems	Problems and challenges that require both technical and adaptive leadership; these challenges are clearly defined but do not have distinct straight-forward solutions within the existing organizational system; responsibility of tackling the problem is shared between the leadership community and the followers; the leaders may act as a resource for others and provide support, but the people need to do the work; they need to learn to change and adapt (Heifetz 1994)	Phrases and comments that illicit both aspects of technical and adaptive problems; follow the rules and give responsibilities to followers to find solutions; leaders empowering followers to do the work and to grow

Table 3.3 shows how the second dependent variable (DV2) is operationalized to assist in the understanding of the second research question (RQ2) which is related to

leadership behaviors in responding to the defined problem. Thus, the second research question and corresponding research expectations (RE) for this study are as follows:

[RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RE2a] Using the terms of Bass and Avolio's (1990) Full Range Leadership Model, when the disturbing issue of unwanted sexual behaviors was first discovered at the U.S. Air Force Academy, it is very likely that leadership at the different levels of hierarchy had been utilizing a laissez-faire approach to allegations of unwanted sexual behaviors.

[RE2b] As awareness of the problem increased, senior-level leadership reaction would have been to utilize contingent transactional punishments and rewards to address the inappropriate behaviors by cadets.

[RE2c] Once the immediate problem was under control, senior-level leaders would seek a transformational leadership approach in the hopes of fostering a higher level of respect and dignity for others among the cadet student body.

Table 3.3: Operationalizing Dependent Variable (DV2) for Research Question Two (RQ2) Related to the Categories of Leader Behaviors

Leadership Approach	Description of Leader Behavior	Operative Coding Terms / Phrases
Laissez-Faire Approach	Hands off; delegates authority and decisions; does not get involved, withdrawn; unconcerned; avoids decisions; let it be; leave it alone; leaves it up to subordinates/others; does not care; gives very little guidance; no strict policy or	The leader is never around; they won't do anything; they look the other way; the leader lets offenders get away with it; that action should be punished but the

Table 3.3: Operationalizing Dependent Variable (DV2) for Research Question Two (RQ2) Related to the Categories of Leader Behaviors

Leadership Approach	Description of Leader Behavior	Operative Coding Terms / Phrases
	procedure; it is up to you; offers freedom to make your own choices; solve problems on your own; absent/rarely around the office.	leadership did nothing; they take a hands-off approach; the leaders allow it because it's just an initiation into the military or the team
Transactional Approach	Contingent rewards and punishments/penalties; constructive transactions; management-by-exception; corrective transactions; ordinary/average leaders; offers quid pro quo (favors or advantage granted or expected in return for certain behaviors); focuses on short-term goals/results; values order and structure; rules and regulations; gives clear directions; formal authority; positions of responsibility/power; maintains the routine; sets clear criteria; defines requirements; tell others what to do; reactive; appeals to self-interest of followers; management-by-exception; efficiency; inflexible.	They will hammer you; slam you, punish you, etc; the leader is cracking down; they will judge quickly and seriously; the leader rewards following the rules; they make us go to more training and send more emails emphasizing the rules; leaders are always preaching; reminding us of the underage drinking rules; teaching us what is sexual assault and what is not
Transformational Approach	Leader is competent and a strong role model; charisma; inspiring; motivating; intellectually stimulating; individualized consideration; cares for people; empathetic; articulates goals to followers; communicates high expectations; expresses confidence in others; stimulates motives; followers trust the leader's ideology; trust in followers; beliefs in followers transformed to more like leader's; followers acceptance of leader's expectations; followers are passionate about the leader; followers enjoy being identified with the leader; emotional involvement from	This leader is a role model; he/she considers us like part of his family; the leader believes in me; the leader is trusted; this leader motivates me to be better; this leader is trying creative solutions; this leader listens to my ideas; my heart has been changed toward this issue; this leader has great ideas; the leader wants to have real discussions or conversations with us

Table 3.3: Operationalizing Dependent Variable (DV2) for Research Question Two (RQ2) Related to the Categories of Leader Behaviors

Leadership Approach	Description of Leader Behavior	Operative Coding Terms / Phrases
	the leader and follower; heightened organizational goals; increased follower confidence; encourages creativity; influences followers without threats of punishment or promises of rewards; sell others on your ideas; proactive; appeals to group progress and betterment over individual self-interest; raises the group morale; open to changing the system	about how to fix this issue; this leader shares his / her personal experiences, successes and failures; the leader makes me confident to take a stand; the leader makes me proud to be part of this team

Table 3.4 shows how the third dependent variable (DV3) is operationalized to assist in the understanding of the third research question (RQ3) which is related to leadership effectiveness in responding to the defined problem. Thus, the third research question and corresponding research expectations (RE) for this study are as follows:

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

[RE3] It is expected that cadets will perceive the transformational leadership style as being more effective than the transactional or laissez-faire behaviors because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). It is expected that these qualities will be perceived by cadets as more effective than the

rewards and punishments of the transactional approach and the uninvolved and avoidance style of the laissez-faire approach.

Table 3.4: Dependent Variable (DV3) for Research Question Three (RQ3) Related to Leadership Effectiveness

Leadership Behavior	Perceived as Effective	Perceived as Non-Effective
Laissez-Faire	Leader lets followers make all the decisions; followers have ultimate freedom	Leader is absent, uninvolved, or recluse; leader does not care about followers
Transactional	Leader is clear with rules/punishment/rewards; leader establishes short-term clear goals; leader is structured; leader focuses on efficiency	Leader is harsh/hard-lined, black and white decisions; leader will not yield or change policies; leader not open to complaints; creativity is not encouraged; leaders blame followers for failure; leaders are insensitive to followers' desires
Transformational	Leader is genuine and personal; leader is motivational and inspiring; leader explains goals, vision, and expectations; followers have confidence in the leader and the organization's future; leader encourages followers to grow on a personal level not just in technical skills and encourages group success	Leader is present but noncommittal or does not punish enough; leader is charismatic to a fault especially when acting unethically; leader's charisma can be viewed as deception by some followers; leader can be viewed as taking risks that are too big; leader can burn people out with too many changes; can be viewed as leading a group of preferred followers while leaving others on the outside

Qualitative Analysis Software NVivo

This research project relies on NVivo by QSR International to assist in the qualitative analysis. NVivo is the most widely used software tool for organizing,

analyzing, and visualizing qualitative data (McNiff 2016). NVivo is designed to assist researchers with organizing and analyzing non-numerical, unstructured data. The software suite allows the analyst to classify, sort, and arrange information to examine relationships in the data in order to test theories, identify trends, and cross-examine information (McNiff 2016). The results of NVivo's analyses inform the grounded theory portion of this comparative case study. While the NVivo software was informative, it was not as useful as expected in coding the focus group comments probably because the grounded theory methods used in coding quotes that involve assigning value-based judgements is difficult for a software suite, even one as powerful as NVivo.

Triangulation with Survey Results

Another key aspect of this research project is the use of survey data from the Air Force Academy as a means of triangulating the focus group qualitative results. Triangulation addresses the issue of internal validity by using more than one method of data collection to answer a research question (Barbour 2001). While true triangulation between qualitative and quantitative measurements can be very difficult to achieve, Mays and Pope (2000) suggest that a realistic goal should be *comprehensiveness* wherein the quantitative data increases the researcher's understanding of the relationships when direct comparison is not possible. The longitudinal focus group data concentrates on the 2007, 2011, and 2015-year groups. Thus, four years of survey results were selected to serve as a triangulation tool for this research project. The first survey year selected was from the year before the focus groups began, 2006 (Lipari et al. 2006). Next, the surveys from each year following a focus group analysis were analyzed which includes 2008, 2012, and 2016 (Cook and Lipari 2008; Cook and Rock 2012; Van Winkle et al. 2016).

The surveys were developed and conducted by a group of social science researchers under the guidance of the Defense Manpower Data Center, which is the same group that conducted the focus groups. The survey sample sizes ranged from 2375 in 2006, 2038 in 2008, 2210 in 2012, and 3918 in 2016 with weighted response rates of eighty-four, seventy-seven, seventy, and seventy-nine percent, respectively (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). The researchers conducting the surveys chose to change many of the questions each year diminishing the longitudinal applicability of the survey results (Bell and Jones 2014). And yet, three survey areas that assist in the comprehensiveness and understanding of this research project are available. First, the surveys provide the cadets' experiences with unwanted sexual contact each year and the students' reporting of these behaviors. This can be useful in understanding the actual effectiveness of the leaders' interventions. Next, the survey results provide the availability and perceived effectiveness of sexual assault training, which can help in the understanding of the programs used by the leadership community to educate and train students regarding unwanted sexual behaviors. Finally, the survey results from the decade of longitudinal measurement provides the cadets' perceptions of the leadership response to unwanted sexual behaviors. The surveys provide a rare opportunity to study a complex social issue using qualitative focus group comments as well as qualitative survey data from the same group over a ten-year period.

Design Methodology Summary

This chapter examined the design methodology by reviewing the following research factors: the research design; the research questions and expectations; the use of

the grounded theory approach; a decade of focus group data from the Air Force Academy; the population and unit of observation; the independent and dependent variables as they are nested within the FRAM Leadership Model; operational terms and phrases for coding each of the variables; and finally the use of survey data from the Air Force Academy to triangulate the findings of the qualitative analysis. As Yin (2009) suggests, the use of a case study is particularly appropriate when examining complex social phenomena. Hence, a comparative case study of the U.S. Air Force Academy's efforts to address their culture crisis of unwanted sexual behaviors is selected as a means of assessing the FRAM Leadership Model. The next three chapters will examine each level of the leadership community at the Academy beginning with the senior-level leaders.

CHAPTER 4 - SENIOR-LEVEL LEADERSHIP AT THE U.S. AIR FORCE ACADEMY

[Sexual assault was] the first thing our Commandant talked about when he came in. He genuinely cared about it. Because he's the father of three daughters, he brings it up. It's not something that he goes, 'Okay, I think sexual assault is bad,' and then we don't hear about it for the rest of the year.

USAF A Focus Group Participant (Namrow et al. 2015, 263)

Overview of Senior-Level Leaders

Like most large organizations, the U.S. Air Force Academy has multiple layers of their leadership hierarchy. Among the approximately 900-member staff of military leaders, academic faculty, athletic coaches, and administrators, three senior-level leaders are ultimately responsible for the institutional-level decision-making, strategic vision, and overall conduct of the organization. These three leaders are nominated by the President of the United States and confirmed by Congress. The Superintendent, the Commandant of Cadets, and the Dean of Faculty are general officers with more than one hundred years of combined experience in the U.S. Air Force. The 3-star Superintendent directs the four-year regimen of cadets which includes military training, academics, athletics, and character development (United States Air Force Academy 2019). When successfully completed, graduates earn a Bachelor of Science degree and a commission as a second lieutenant. The 1-star Commandant of Cadets commands the 4000-member Cadet Wing

and is responsible for character and leadership development, military training, supervising cadet life activities, and providing support to facilities and logistics (United States Air Force Academy 2019). Finally, the Dean of Faculty is a 1-star general commanding the Academy's 700-member faculty staff responsible for designing and instructing 500 undergraduate courses in 32 academic disciplines (United States Air Force Academy 2019).

In 2003, as a result of the issues related to sexual harassment and sexual assault at the Air Force Academy, all three senior-level leaders were replaced (U.S. Department of Defense 2003). As the Secretary of the Air Force fired and demoted the Academy Superintendent, the Secretary commented that General Dallager "did not exercise the degree of leadership in this situation that we expect of our commanders" (Schemo 2003). The incoming senior-level leaders were put on notice that the ongoing issues of unwanted sexual behaviors at the Air Force Academy must be eliminated.

The different levels of the leadership community form the independent variable (IV) for this research project, and this chapter explores the focus group comments regarding the senior-level leaders with respect to each of the dependent variables: problem definition (RQ1), leadership behaviors (RQ2), and leadership effectiveness (RQ3).

Senior-Level Leadership Problem Definition (RQ1)

Understanding and defining the problem plaguing an organization should be one of the first steps to addressing the issue. Two of the most popular leadership models, The Full Range Leadership Model (Bass 1985; Burns 1978) and the Adaptive Leadership Model (Heifetz 1994), fail to properly account for the importance of problem definition

within all levels of the leadership community when addressing a culture crisis (Lussier and Achua 2013; Northouse 2016). On the other hand, public policy researchers acknowledge that properly defining the problem is the critical first step for leaders and policy entrepreneurs when drafting effective policies (Baumgartner and Jones 2015; Jones 1984; Kingdon 2010).

Thus, the first research question (RQ1) of this study asks, “How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?” It is expected that prior to the 2005 Department of Defense Inspector General investigation, the leadership community did not perceive a problem with unwanted sexual behaviors (RE1a). Following the Inspector General investigation as the culture crisis became more evident, the expectation is that the senior levels of the leadership community defined the problem as a technical challenge (RE1b). The final expectation regarding problem definition is that as the cultural issues became more apparent over time, all levels of the leadership community would adopt a technical-adaptive problem definition (RE1c).

Five categories of problem definition are used in this research project. First, problems are categorized as *unrecognized* when the objectionable behavior is unnoticed or unobserved. In some cases, the leader may be aware that certain behaviors exist but are not perceived as problematic. Next, when problem behaviors are observed but the leader willfully chooses to not address or investigate possible wrongdoing, then the problem is categorized as being *ignored*. The third tier of problem definition are *technical* problems which involve behaviors that are clearly understood and can be addressed using existing organizational rules and procedures (Heifetz 1994; Heifetz,

Kania, and Kramer 2004; Northouse 2016). Solutions are easily available if the rules are implemented and enforced (Heifetz 1994). Next, problems are defined as *adaptive* when the root cause of the objectionable behavior is not clear-cut or easy to identify which means the current rules and procedures are not likely to lead to solutions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016). The fifth category of problem definition are the *technical-adaptive* problems. As expected, these problems are both technical and adaptive in nature. Technical-adaptive challenges are clearly defined but do not have distinct straight-forward solutions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).

Focus group participants at the U.S. Air Force Academy in 2007, 2011, and 2015 provided their perceptions of how their leadership community defined the problem of unwanted sexual behavior. The independent variable is the level of the leadership hierarchy toward which the focus group comment is directed.

Before the focus groups were first conducted in 2007 it can be difficult to understand the perceptions of the problem definition by the senior-level leadership hierarchy. Some of the Congressional reports and other investigations give an indication of the senior leaders' problem definition. Following a 2003 Congressional task force report in which a "chasm in leadership" was observed with their handling of reported unwanted sexual behavior incidences, the culture crisis at the Air Force Academy was not defined or addressed (U.S. Department of Defense 2003). The report concluded that the Air Force Academy leaders either knew, and chose to ignore, or should have known that there were unambiguous warning signs indicating a large, organizational culture crisis (U.S. Department of Defense 2003).

Later in 2005, the Department of Defense Inspector General investigation report gives indications that the leaders of the U.S. Air Force Academy prior to 2005 either did not recognize the problem of unwanted sexual behavior or chose to ignore it. In any event, the newly appointed Academy leaders in 2005 were still in the throes of developing an effective plan for defining and addressing the unacceptable behaviors. This lack of a clear problem definition and the resulting lack of improvement was perceived and reported by cadets. For example, in the 2005 Inspector General report, a female cadet observed that “a lot of new measures have come into the Academy (Agenda for Change, etc) but the results are not visible. I still hear girls being harassed the same as a year ago and the climate has not changed for the better. People are just more scared, but continue to act the same way” (U.S. Department of Defense 2005, 23). Other cadets recognized that Academy leaders recognize that a culture problem exists, but cadets often receive mixed signals about the nature and seriousness of the problem: “...the Academy say they want less sexual harassment and fraternization, but they play clips of [the movie] ‘Top Gun’ at lunch, which glorifies a pilot that engages in both behaviors” (U.S. Department of Defense 2005, 24). Several cadets, including this male cadet, perceived and commented that the problem resides in false reporting: “There have been many cases where there were false reports [of sexual assault]. Also, the system that is being established now makes it too easy for a female, who consented to sexual activities the night before, to feel guilty and then claim sexual assault, rape, etc. This system also makes every male cadet look like a sexual predator” (U.S. Department of Defense 2005, 64). In sum, the 2005 Inspector General report indicates that the leadership hierarchy at the Air Force Academy had not defined the problem that plagued their organization.

When the first focus groups were conducted in 2007, cadets perceived a disparity in problem definition among the leadership hierarchy. During this first year of focus groups, there were no perceptions of senior-level leaders either not recognizing or ignoring unwanted sexual behaviors. As will be discussed in later chapters, cadets continued to have some perceptions of middle and street-level leaders not recognizing or ignoring the problems in 2007.

From a number of focus group comments, another observation regarding senior-level leaders' problem definition is that these leaders are perceived by cadets to evolve each year toward a more adaptive or technical-adaptive problem definition. For example, in 2015 there were fifty-four comments perceiving senior-level leaders defining the problem in these later categories. For example, a female cadet remarked that she perceived that the Air Force Academy leaders were helping cadets sympathize with and understand the problem of unwanted sexual behaviors: "That's the whole purpose of why we're here, to learn how to deal with people and how to at least be sympathetic to their situations. We're getting all these trainings and briefings so that we understand..." (Kalien et al. 2007, 107). Additionally, cadets perceived that senior leaders were relying on values, trust, and relationships more than rules and short-term solutions, as the cadets' focus group responses often expressed an appreciation for leaders sharing their personal stories and relating their experiences (Kalien et al. 2007, 102).

The overall trend for senior-level leaders regarding problem definition was from a predominantly technical-focused definition in 2007 to a technical-adaptive definition in 2015 as Table 4.1 illustrates. As discussed with the 2007 focus groups, cadets did not perceive senior-level leaders as failing to recognize the problem of unwanted sexual

behaviors. This perception that senior leaders did recognize the problem remained true with all focus groups from 2007 to 2015. The largest percentage of focus group participants in 2007 who commented on senior leaders' problem definition indicated a perception of the problem being defined as a technical issue that could be clearly defined and addressed by leadership enforcing the existing rules and procedures. For example, one cadet observed, "There are rules, and people are afraid of being turned in for sexual harassment" (Kalien et al. 2007, 88). Additionally, several focus group participants believed that the senior leaders overly relied on briefings to ensure the existing rules and procedures were complied with. In fact, one cadet commented, "We get an endless amount of briefings" (Kalien et al. 2007, 100).

Table 4.1: Problem Definition by Senior-Level Leaders (Percentage)

Problem Definition	2007	2011	2015
Unrecognized	0	0	0
Ignored	0	2	8
Technical	60	36	25
Adaptive	27	9	23
Technical-Adaptive	13	53	45
Total %	100	100	100
Count (<i>n</i>)	45	45	80

Eight years later in 2015, the preponderance of the focus group comments regarding the senior leaders' problem definition expressed perceptions that leaders defined the matter of unwanted sexual behaviors as a technical-adaptive problem. The cadets observed that senior leaders defined the problem as requiring rule enforcement but also a change in the culture toward mutual respect and trust. For example, one cadet

observed that “the Superintendent is really adamant about the climate of respect” (Namrow et al. 2015, 247). Another cadet said that due to the emphasis on following the rules in “all the briefings” that he realized the behaviors that were accepted in high school as “just being guys” would not be tolerated at the Air Force Academy, and that he had become more aware of how his actions were considered improper and disrespectful of others (Namrow et al. 2015, 223). Additionally, by 2015 the senior leaders are perceived as being “hyper-focused on sexual assault” (Namrow et al. 2015, 223) with one cadet appreciating that eliminating unwanted sexual behaviors had become the Secretary of the Air Force’s “number one priority” (Namrow et al. 2015, 222). This hyper-focus and prioritization of the culture crisis related to sexual harassment and sexual assault was a welcome shift from 2007 to 2015.

Senior-Level Leadership Behaviors (RQ2)

The second research question (RQ2) asks, “What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?” It is expected that when the cultural crisis of unwanted sexual behaviors was first discovered at the Air Force Academy, it is likely that leadership at the multiple levels of hierarchy had been utilizing a laissez-faire approach (RE2a): the hands-off leadership style on the bottom extreme of the Full Range Leadership Model (Bass and Avolio 1990). As awareness of the problem increased, it is expected that senior-level leaders would initially rely on leadership approaches based on contingent, transactional punishments and rewards to address the inappropriate behaviors by cadets (RE2b). The final expectation of this second research question is that after the Academy leaders believed the immediate problem of sexual

harassment and sexual assault were addressed, senior-level leaders would seek a transformational leadership approach in the hopes of fostering a higher level of respect and dignity for others among the student body (RE2c) (Bass and Avolio 1990).

According to the Full Range Leadership Model and for this research project, leadership behaviors were grouped in three categories: laissez-faire, transactional, and transformational (Bass and Avolio 1990). Leaders behaving in a *laissez-faire* manner either do not recognize problems or deliberately choose to be uninvolved, hands-off, delegate their authority, avoid decisions, and give very little leadership guidance. Next, leaders utilizing a *transactional* approach attempt to influence others' behavior through rewards and punishments, management-by-exception, corrective transactions and quid pro quo of favors or forfeitures promised in return for certain behaviors. The pinnacle of the Full Range Leadership Model is the *transformational* approach in which the leader's influence relies on role modeling, trust, charisma, motivation, inspiration, openness about personal experiences, creativity, empathy, and emotional involvement.

The focus group comments at the U.S. Air Force Academy in 2007, 2011, and 2015 offer insight into the cadets' perceptions of what behaviors were used by the senior-level of the leadership hierarchy. As with the perception of the problem definition, it is difficult to determine the perception of the senior-level leadership behaviors prior to the focus groups being conducted in 2007, but the Congressional and Inspector General reports can assist. The 2003 Congressional task force report described the chasm in leadership at the Air Force Academy and concluded that the institution's leaders either knew, and chose to ignore, or should have been aware that there were unambiguous signs indicating an organizational crisis regarding sexual harassment and sexual assault (U.S.

Department of Defense 2003). This report clearly points toward a period of laissez-faire leadership behaviors.

However, a couple years later, the 2005 Inspector General report indicates that Air Force Academy leaders were addressing the issues with new programs and initiatives. One cadet commented, “I think the Academy leadership is taking the right steps toward eliminating instances of sexual assault and sexual harassment” (U.S. Department of Defense 2005, 18). One of the transactional measures that senior-level leaders instituted was separating males and females in the dormitories in an effort to reduced unwanted sexual behaviors. This rules-based approach did not please many cadets as demonstrated by this female cadet’s observation, “It is appalling that the Academy has responded by completely separating the genders in the dorms and moderately in social life. The result is not respect or privacy for women but ostracization. Now we are no longer equal and genderless with our peers, but stuck out and separated. Now there is a gender battle of girls vs. boys and visa verse” (U.S. Department of Defense 2005, 18-19). Another cadet’s perception that indicates that he believes the rules-based approach in 2005 was not addressing the true nature of the culture crisis at the Air Force Academy: “I believe that separating females and males in the dorms is a very bad idea. It isolates the females and creates more hostility than learning to work together...it also seems like it avoids the problem instead of confronting it” (U.S. Department of Defense 2005, 20). It is interesting that cadets recognized the problem was deeper than simply rule compliance.

As the focus groups data collection began in 2007, qualitative coding of the behaviors by the different leadership levels was readily accessible. As the data shows, the overall trend for the senior-level leaders was to initially address the problem with

transactional behaviors. As time passed, this upper level of the leadership hierarchy progressed more toward transformational initiatives.

As expected, during the 2007 focus groups the preponderance of comments about senior-level leader behaviors demonstrated a perception that this highest level of the hierarchy favored a transactional approach to address unwanted sexual behaviors but the trend over the next eight years was toward transformational leadership. The percentages of each leadership behavior category by year is shown in Table 4.2. In 2007, sixty percent of cadet comments relating to senior-level leadership behaviors indicated perceptions of a rules-based management approach. The focus group participants often mention the numerous briefings and training events directed by the senior-level leaders to reiterate the rules. One cadet commented, “I think we have a briefing at least every month, maybe every other week about sexual assault and sexual harassment. And it gets

Table 4.2: Leadership Behaviors by Senior-Level Leaders (Percentage)

Leader Behaviors	2007	2011	2015
Laissez-Faire	0	2	8
Transactional	60	36	25
Transformational	40	62	68
Total %	100	100	100
Count (<i>n</i>)	45	45	80

to the point that we’re so overexposed that we don’t even care anymore. We’re, like, ‘Oh my God, another one’” (Kalien et al. 2007, 100). Another female cadet joked about the number of mandatory meetings cadet were obligated to attend in 2007, “Even for this meeting, [the joke was], ‘Sexual assault training. Does that mean we’re learning to be sexually assaulted?’” (Kalien et al. 2007, 101).

In 2011 and 2015, the focus group participants' perceptions indicated that leaders started relying more on transformational-based initiatives by nearly a 2:1 ratio in 2011 and 3:1 in 2015 over the earlier transactional style. An example of the perception of transformational approach is reflected in this female cadet's 2011 comment regarding the promotion of respect at the Air Force Academy: "I think this institution promotes respect a little more, actually a lot more, than colleges, respecting women and what we're doing, and guys and what they do, and our side of things. So, it promotes that mutual respect" (Cook, Lipari, and Rock 2011, 96). Another male cadet gave credit to the Air Force Academy leadership for helping him to feel empowered to help curb unwanted sexual violence, "If you asked me this question [about intervening for a drunk female cadet at a party] maybe a year – about maybe a year and half ago, I probably would say I wouldn't do anything, but now I just feel more empowered to help people out" (Cook, Lipari, and Rock 2011, 129). These comments and many others in the 2011 and 2015 focus groups are examples of the preponderance of U.S. Air Force Academy cadets perceiving a transformational approach by senior-level leaders that promote values such as mutual respect and empowerment.

Interestingly, a few of the cadet focus group comments in 2011 indicated a perception that senior-level leaders were taking a laissez-faire approach toward inter-collegiate athletes who were accused of unwanted sexual behaviors (Cook, Lipari, and Rock 2011). In 2015, the addition of focus group questions specifically related to inter-collegiate athletes revealed greater perceptions of laissez-faire leadership in all three levels of the leadership hierarchy as several focus group participants expressed beliefs

that star athletes are not held to the same standard of behavior as other members of the student body (Namrow et al. 2015).

Senior-Level Leadership Effectiveness (RQ3)

The final research questions (RQ3) asks, “Why do followers perceive certain leadership behaviors as more effective than others?” The research expectation (RE3) for this question is that focus group participants will perceive the transformational leadership style as being more effective than the transactional or laissez-faire because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). It is expected that these qualities will be perceived by cadets as more effective than the rewards and punishments of the transactional approach and the uninvolved and avoidance style of the laissez-faire approach.

The data illustrates the number of statements that were perceived as effective and ineffective within each of the leadership behavior styles for the senior-level of the leadership hierarchy each year. Like most qualitative coding, differentiating perceptions of effectiveness is subjective but can be reliably measured for individuals, groups, and organizations (Bass and Avolio 1994). Focus group participants indicate their perception of a leadership behavior being *effective* when it properly addresses, reduces, or eliminates some aspect of unwanted sexual behaviors. Often the comment indicates the leadership action should continue, perhaps with minor adjustments, because it is having a positive effect on individuals, groups, or the organization. Conversely, a leader’s behavior is

coded as *ineffective* in addressing the culture crisis when the focus group participant perceives that the leader's actions should change significantly or the actions are having little or no positive effect on individuals, groups, or the organization.

Of the many comments related to senior-level leadership behaviors in 2007, Table 4.3 illustrates that thirty-six percent of the comments in this year group expressed perceptions of effective transformational leadership while forty-seven percent described an ineffective transactional approach. In fact, examining the aggregate perceptions from each year of the focus groups, the most effective leadership style was transformational year-after-year. Meanwhile, the transactional style received the most comments perceiving this leadership approach as ineffective. This is not to say that transactional was less effective than the laissez-faire approach. In the senior-level leader hierarchy group, the laissez-faire style was never perceived as being effective, and every time this leadership approach was mentioned it was viewed as ineffective.

Table 4.3: Perceptions of Effective (Eff.) and Ineffective (Ineff.) Leadership Behaviors by Senior-Level Leaders (Percentage)

Leader Behaviors	2007		2011		2015	
	Eff.	Ineff.	Eff.	Ineff.	Eff.	Ineff.
Laissez-Faire	0	0	0	2	0	8
Transactional	13	47	16	20	9	16
Transformational	36	4	58	4	59	9
Total %	100		100		100	
Count (<i>n</i>)	22	23	33	12	54	26

Cadets especially found leaders effective when they expressed openness, empathy, and emotional involvement which are characteristics of the transformational style. For example, as the senior-level leader who is responsible for discipline within the

cadet wing, the Commandant of Cadets could likely be viewed as a stern, authoritarian leader. But in 2015, the Commandant took a different, more transformational approach to curbing attitudes about unwanted sexual behaviors. A focus group participant noted how he viewed this senior-level leader, “General Williams [the Commandant], you can see him in his role as a father and his family, and he considers us as his family as well. So, it's like he's upset when one of his children offends one of the others” (Namrow et al. 2015, 224). Again, the General’s transformational approach appeared to have a positive effect on other cadets’ perceptions as illustrated by this male student’s comment, “[Sexual assault was] the first thing our Commandant talked about when he came in. He genuinely cared about it. Because he's the father of three daughters, he brings it up. It's not something that he goes, ‘Okay, I think sexual assault is bad,’ and then we don't hear about it for the rest of the year.” (Namrow et al. 2015, 263). In most instances, when senior-level leaders demonstrated transformational characteristics such as openness, empathy, and emotional involvement, students perceived their approach as effective.

Focus group participants also expressed an appreciation for senior-level leader training events, seminars, and group discussions that related personal stories and experiences, rather than simply reviewing the definitions, rules, and punishments associated with sexual harassment and sexual assault. For example, a student shared these thoughts regarding his perception of effective interactions with senior leaders, “It’s a lot easier to stay awake during the [seminars and discussions about sexual harassment and sexual assault] where it’s like personal stories and people stand up and relate their experiences” (Kalien et al. 2007, 102). And another cadet shared his thoughts on training events organized by the senior leaders: “I think the training [events] that are more

effective are when you bring in people that had some sort of personal experience because then it will hit home more with you. Someone who either was assaulted and then is okay talking about it or someone like the lawyer who was on that case and had personal experience. Then you can relate to them more and you actually give their argument some weight because they have this experience with it” (Kalien et al. 2007, 102). A female student shared her perception of an effective senior leader event that focused on empowering cadets, “The woman was good because she didn't start out with definitions of sexual assault or anything. She made it about us, ways to make us feel better, to empower us. Then she told us her story, but she didn't tell us it was her. She explained or just told us what to do, and how to become a stronger person helped her get through that time, and I think that helped” (Cook, Lipari, and Rock 2011, 125). Another stark example of how a training event which focused on personal stories and experiences could be effective in changing a student’s attitude about sexual harassment and sexual assault was shared by a female who took a reluctant boyfriend to the event. He thought it would be another discussion of rules and regulations, but walked out with a complete change of heart. The female cadet explains her boyfriend’s change of heart with these words, “I went to the last...SARC thing [training event] we had. But my partner ended up going with me, and he was saying, ‘I can't believe we're having another briefing about this. This is ridiculous.’ After that was over, we were walking back, and he was like, ‘I just want to apologize. If this ever happened to you or any of my other friends who are girls, I wouldn't be someone that they wanted to talk to. I'm sorry. I realize that now’” (Namrow et al. 2015, 278). This young man reluctantly went into the “ridiculous” event thinking it was another session of definitions and rules, but when the senior leaders

focused on personal stories and emphasized empathy for victims, he came out apologizing and with a new heart for victims of sexual harassment and sexual assault.

Summary of Senior-Level Leader Focus Group Analysis

Senior-level leaders form the top tier of the leadership community in most large organizations and the same is true at the U.S. Air Force Academy. Table 4.4 summarizes the focus group analysis of the senior-level leaders. It was expected that prior to the 2005 Inspector General investigation, the senior-level leaders at the Academy had not recognized or chose to ignore their organization's culture crisis of unwanted sexual behaviors. This was likely true, which led to the replacement and demotion of the senior leaders. It was also expected that following the 2005 Inspector General investigation, the senior leaders would initially define the malevolent behaviors as a technical challenge and after some time of addressing the issues related to unwanted sexual behaviors, the senior leaders would adopt a technical – adaptive problem definition (Heifetz 1994). Again, this expectation was validated by the focus group comments.

Table 4.4: Summary of Senior-Level Leader Focus Group Analysis

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- RQ1: Prior to the 2005 Inspector General investigation, the senior-level leaders either did not recognize or chose to ignore the culture crisis of unwanted sexual behaviors. After the investigation, this top tier of the leadership hierarchy defined unwanted sexual behaviors as a technical challenge, but later transitioned to a technical-adaptive problem definition.
 - RQ2: In the 1990s and early 2000s, the senior-level leaders utilized a laissez-faire leadership approach. When the first focus groups were conducted in 2007, the senior-level leaders relied on transactional leadership behaviors but their style became transformational by 2011 and beyond.
 - RQ3: Cadets perceived the authentic and inspirational style of transformational leadership as more effective than transactional or laissez-faire behaviors.
-

Regarding the second research question that is focused on leadership behaviors, the Congressional and Inspector General reports make it appear very likely that the senior-level leaders had been utilizing a laissez-faire approach to allegations of unwanted sexual behaviors at the Air Force Academy in the 1990s and early 2000s. Later, as the focus group data first became available in 2007, the expectation that the senior-level leaders would initially rely on a transactional leadership approach was also satisfied. The final expectation regarding senior leader behaviors was also fulfilled by the focus group comments relating that this top tier of the leadership hierarchy would seek a transformational leadership approach in hope of fostering a higher level of respect and dignity for others among the cadet student body in the later years of the study.

The final research question and expectation was related to perceptions of leadership effectiveness. It was expected that cadets would perceive the transformational style of leadership as more effective than transactional or laissez-faire behaviors due to followers preferring the authentic and inspirational leadership style. Throughout the longitudinal focus group meetings, cadets expressed perceptions that senior leaders were more effective when they used transformational approaches than when these leaders were transactional or hands-off. The next chapter will review the focus group data for the middle-level portion of the leadership hierarchy.

CHAPTER 5 - MIDDLE-LEVEL LEADERSHIP AT THE U.S. AIR FORCE ACADEMY

“The AOC [Air Officer Commander] plays a really big role [in addressing unwanted sexual behaviors] ... My AOC is also very kind and very involved in our lives and tries to be really helpful.”

USAF A Focus Group Participant (Namrow et al. 2015, 239)

Overview of Middle-Level Leaders

The leadership community in the FRAM Leadership Model is divided into three levels of leadership hierarchy. The middle-level leadership group at the U.S. Air Force Academy consists of the military and civilian leaders and managers serving in various roles that include responsibilities for mentoring, guiding, teaching, and shaping the cadets at the Academy. The Air Officer Commanders (AOCs) and Academy Military Trainer (AMTs) are responsible to oversee and supervise all cadet activities, provide instruction, maintain discipline, and serve as role models (USAF A 2019). The military and civilian academic professors and faculty members guide the cadets through their academic requirements while also serving as role models and professional guides (USAF A 2019). Finally, the athletic staff and coaches teach physical education courses, conduct physical fitness testing, and assist in the development of character, competitive spirit, grit, and determination during intramural and intercollegiate athletic practices and games (USAF A

2019). The middle-level tier of the leadership hierarchy forms a diverse but important group of commanders, role models, teachers, and coaches.

The 2003 Department of Defense report to the Armed Services Committees of both the Senate and the House of Representatives recommended that new measures be taken to improve the selection and training of middle-level leaders at the Air Force Academy, especially the Air Officer Commanders to ensure highly qualified role models and leaders were available for both male and female cadets (U.S. Department of Defense 2003). The Air Force Academy complied with the report's recommendation by instituting new methods of selecting and training new Air Officer Commanders of high character and outstanding leadership ability.

The middle-level leaders reside in the center of the leadership community at the Air Force Academy. In this research project, the leadership hierarchy serves as the independent variable (IV). This chapter explores the focus group comments regarding the middle-level leaders with respect to each of the dependent variables: problem definition (RQ1), leadership behaviors (RQ2), and leadership effectiveness (RQ3).

Middle-Level Leadership Problem Definition (RQ1)

One of the primary gaps discovered in the review of leadership literature is the failure of the popular leadership models to account for the importance of problem definition within all levels of the leadership community when addressing a culture crisis (Lussier and Achua 2013; Northouse 2016). Thus, this research project proposed the FRAM Leadership Model, which clearly articulates five categories of problem definition. First, *unrecognized* problems, also called unrecognized conditions, occur when undesirable behavior is unnoticed or unobserved. With some unrecognized problems, the

leader may be aware that certain behaviors exist, yet the leader does not perceive the behaviors as problematic. Next, when problem behaviors are observed and recognized as illicit but the leader willfully chooses to not address or investigate possible wrongdoing, then the problem is categorized as being *ignored*. The third type of problem definition depicted in the FRAM Leadership Model are *technical* problems, which involve behaviors that are clearly understood and can be addressed using existing organizational rules and procedures (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016). With technical problems, solutions are readily available when the rules are enforced and procedures are followed. Next, problems are defined as *adaptive* when the root cause of the illicit behavior is not clear-cut or easy to identify, which means the current rules and procedures are not likely to lead to solutions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016). The fifth category of problem definition are the *technical-adaptive* problems. As expected, these problems are both technical and adaptive in nature. Technical-adaptive challenges are clearly defined but do not have distinct straight-forward solutions already in place (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).

Research Question 1 (RQ1) asks, “How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?” It is expected that prior to the 2005 Department of Defense Inspector General investigation, the leadership community did not perceive a problem with unwanted sexual behaviors (RE1a). Following the Inspector General investigation as the culture crisis became more evident, the expectation is that the leadership community would define the problem as a technical challenge (RE1b). The final expectation regarding problem definition is that as

the cultural issues became more apparent over time, all levels of the leadership community would adopt a technical-adaptive problem definition (RE1c).

Prior to the 2007 focus group comments, there is not a lot of data to reveal how the middle-level leaders defined the problem of unwanted sexual behaviors. From the reports, it can be assumed the middle tier of the leadership hierarchy did not consider the malevolent behaviors as a major problem to be dealt with. In fact, the 2005 Inspector General report quotes one cadet saying that the culture at the Academy is no different than the rest of society: “The Academy Culture has not changed since I have been here. People still tell offensive and tasteless jokes without hesitation. The Academy is not breeding an environment that supports or encourages sexual harassment or assault; the Academy is home to four thousand young adults who are living in a society where such behavior goes unnoticed and uncorrected everyday” (U.S. Department of Defense 2005, 61).

By the time the first focus groups were conducted in 2007, there were no perceptions of middle-level leaders not recognizing unwanted sexual behaviors as a problem, and only three comments referenced a perception that middle-level leaders chose to ignore problems. As the focus groups progressed into 2011 and 2015, the middle-level leaders’ problem definition was perceived as shifting toward an adaptive and technical-adaptive state. One cadet commented that he perceived the leadership focus was both on instilling compliance with the rules but also on getting cadets to help each other, “...it’s a big shock or a big change, like all of these rules, and just finding out what you’ve been receiving in the culture all these years is not exactly the right thing. The thing [the leadership] focused on this year was looking out for each other...we have a

culture where we want to help out” (Namrow et al. 2015, 231-232). A female cadet perceived her middle-level commander as addressing the problems with kindness and involvement, “The AOC [Air Officer Commander] plays a really big role [in addressing unwanted sexual behaviors] ...My AOC is also very kind and very involved in our lives and tries to be really helpful” (Namrow et al. 2015, 239). This cadet also expresses that if she were in a situation where the leader did not approach the problem by being supportive, she would probably not report unwanted sexual behaviors (Namrow et al. 2015, 239).

Similar to the senior leaders’ problem definition in the previous chapter, Table 5.1 shows that as a group, the middle-level leaders’ problem definition was perceived as predominantly technical in 2007 with sixty-five percent of focus group comments indicating the technical problem definition category. In fact, a female cadet in 2007 even indicated the problem definition relied on rule-compliance to such an extent that it

Table 5.1: Problem Definition by Middle-Level Leaders (Percentage)

Problem Definition	2007	2011	2015
Unrecognized	0	0	0
Ignored	8	8	15
Technical	65	43	30
Adaptive	8	12	27
Technical-Adaptive	19	37	27
Total %	100	100	100
Count (<i>n</i>)	37	60	84

created fear for even a misspeak: “It’s something where you’re constantly [thinking], ‘Oh, gosh, am I going to get in trouble because I said something and I didn’t intend it that

way?” (Kalien et al. 2007, 88). Another cadet in the 2007 focus groups lamented the numerous briefings by middle-level leaders meant to emphasize the rules and procedures, “In our regular-scheduled briefings their [Air Officer Commanders’] aim is to brainwash us and get canned answers out of us. So, they’ll ask us a question and they’re expecting us to say an answer and we all do because we’ve heard it so many times” (Kalien et al. 2007, 102).

By 2011, the focus group comments perceiving middle-level leader problem definition began trending toward increased adaptive and technical-adaptive definitions with the trend continuing in 2015. In 2011, a cadet perceived that her middle-level leaders were “promoting respect a little more, actually a lot more, than colleges, respecting women and what we’re doing” (Cook, Lipari, and Rock 2011, 96). By 2015, there appears to be a near-balance around thirty percent in the problem definition of middle-level leaders between technical, adaptive, and technical-adaptive. Focus group participants still perceived the technical problem definition as they often mention rules and punishments-based leadership, as well as “getting too many don’ts and not enough dos” (Namrow et al. 2015, 324).

Another interesting issue that appears in the middle-level leaders’ problem definition is the increased perception of *ignored* problems from 2011 to 2015. As with the senior-level leaders, this increase in ignored problems is likely due to an increase in the number of focus group prompts or questions about inter-collegiate athletes in 2015 that were not present in the 2011 focus group session. In 2015, when asked specifically about inter-collegiate athletes, several cadets perceive that leadership at all levels ignored problems of unwanted sexual behaviors when a premier athlete or team is involved. For

example, one female cadet stated that, “whenever it’s an IC [Inter-Collegiate athlete], you’re just afraid to say something, because I know that the teams are going to come after me, and even the coaches are going to come to me and say, ‘Are you sure?’ Give you that *talk*. So, you don’t want to poke the beast, is a good way of saying it” (Namrow et al. 2015, 242). Another cadet commented that he knew an inter-collegiate athlete who got in trouble for a violation that should have resulted in expulsion from the Academy, but his coach “ran interference enough and they got him to stay, and he’ll be able to play next season” (Namrow et al. 2015, 265). This perception that problems tend to be ignored when premier athletes or teams are involved is disturbing and was reflected in the data. It will be further discussed in the findings and recommendations sections of this report.

Middle-Level Leadership Behaviors (RQ2)

Next, Research Question 2 (RQ2) asks, “What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?” It is expected that when the cultural crisis of unwanted sexual behaviors was first discovered at the Air Force Academy, it is likely that leadership at the multiple levels of hierarchy had been utilizing a laissez-faire approach (RE2a). As awareness of the problem increased, it is expected that leaders would initially rely on a transactional style to address the inappropriate behaviors by cadets (RE2b). The final expectation of this second research question is that Academy leaders would use more transformational leadership approaches in the hopes of improving respect and dignity for others among the student body (RE2c) (Bass and Avolio 1990).

The FRAM Leadership Model depicts three categories of leadership behaviors: laissez-faire, transactional, and transformational. Leaders behaving in a *laissez-faire* manner either do not recognize problems or deliberately choose to be uninvolved, hands-off, delegate their authority, avoid decisions, and give very little leadership guidance. Next, leaders utilizing a *transactional* approach attempt to influence others' behavior through rewards and punishments, management-by-exception, corrective transactions and quid pro quo of favors or forfeitures promised in return for certain behaviors. The third leadership behavior is the *transformational* approach in which the leader's influence relies on role modeling, trust, charisma, motivation, inspiration, openness about personal experiences, creativity, empathy, and emotional involvement.

As previously stated, in the 1990s and early 2000s it appears that the middle-level leaders were addressing allegations and claims of sexual harassment and sexual assault with a hands-off, laissez-faire leadership style. Nevertheless, when the 2005 Inspector General report was published, the Air Force Academy middle-level leaders were addressing the illicit actions with new programs and initiatives. One cadet commented, "I think that the culture here at the Academy has changed for the better. I think people are more conscious of themselves and others as far as what they say and do" (U.S. Department of Defense 2005, 18).

Beginning with the first focus groups in 2007, the qualitative coding of the middle-level leaders demonstrates the group's initial propensity to behave with a transactional approach. As time passed, the middle-level leaders progressed more toward transformational initiatives. As discussed earlier, the addition of focus group questions regarding inter-collegiate athletes in 2015 drove greater perceptions of laissez-faire

leadership in the middle levels of the leadership hierarchy, as several focus group participants expressed beliefs that star athletes are not held to the same standard of behavior as other members of the student body (Namrow et al. 2015).

As Table 5.2 shows, the trend with the middle-level managers was to initially approach the issue of unwanted sexual behaviors with a very transactional style in 2007 with two-thirds of the focus group comments related to middle-level leaders' behaviors expressing a perception of transactional leadership. Four years later in 2011, there was a near balance of transactional and transformational leadership styles. By 2015, most middle-level leader behaviors pointed toward a transformational leadership approach with one third of the perceptions indicating transactional leadership and the rest

Table 5.2: Leadership Behaviors by Middle-Level Leaders (Percentage)

Leader Behaviors	2007	2011	2015
Laissez-Faire	8	8	15
Transactional	65	43	30
Transformational	27	48	55
Total %	100	100	100
Count (<i>n</i>)	37	60	84

indicating the disengaged, lack of leadership. In the 2007 focus groups, several cadets perceived that the foundation of leadership for middle-level managers was simply to enforce the rules and to hold cadets accountable. For example, a male cadet echoed his middle-level leaders with this comment, “‘You’re responsible for your actions. If you mess up, you’re going to be held accountable for your actions, so act accordingly.’ What more do you really need? You can babysit me through any method you want. Bottom

line is, if you behave a certain way, you are going to be held accountable” (Kalien et al. 2007, 116).

In the 2011 focus groups, there was nearly an equal distribution of transactional and transformational leadership comments. A female cadet shared that middle-level managers would give immediate, tough punishments as a response to unwanted sexual behaviors, “If you wanted immediate results, like the hardest punishments and stuff like that, I would go to an AOC [Air Officer Commander]. If you wanted the toughest punishment, immediate reaction, that’s when I would go to an AOC” (Cook, Lipari, and Rock 2011, 101). Meanwhile, other cadets perceived a transformational approach by middle-level leaders. For example, a female cadet said that if she just needed to talk about sexual assault with someone, she would go to her Air Officer Commander first (Cook, Lipari, and Rock 2011, 101).

The trend toward more transformational leadership continued in 2015. For instance, a female student reflected similar comfort in being able to talk with her Air Officer Commander, “I think you can talk to leadership about stuff so much” (Namrow et al. 2015, 255). Another cadet shared that if she experienced unwanted sexual behaviors and was having a difficult time deciding whether to report it, she would turn to her friends but also to her Air Officer Commander to talk through her thoughts and emotions (Namrow et al. 2015, 241). The views expressed by these cadets and others indicates they perceive transformational leadership from their middle-level management.

Middle-Level Leadership Effectiveness (RQ3)

Research Question 3 (RQ3) asks, “Why do followers perceive certain leadership behaviors as more effective than others?” It is expected that focus group participants will

perceive the transformational leadership style as being more effective than the transactional or laissez-faire approaches because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). Although assigning meaning and value through coding to focus group comments can be difficult, it is expected that focus group participants indicate their perception of a leadership behavior being *effective* when it properly addresses, reduces, or eliminates some aspect of unwanted sexual behaviors. Often the comment indicates the leadership action should continue, perhaps with minor adjustments, because the action is having a positive effect on individuals, groups, or the organization. Conversely, a leader's behavior is coded as *ineffective* in addressing the culture crisis when the focus group participant perceives that the leader's actions should change significantly or is having little or no positive effect on individuals, groups, or the organization.

Like their superiors in the hierarchy, middle-level leaders are commonly viewed as being most effective in addressing unwanted sexual behaviors when they use a transformational approach as shown in Table 5.3. The table shows the percentage of focus group comments perceiving effective and ineffective leadership behaviors by middle-level leaders each year. In 2007, of all the comments regarding middle-level leadership behaviors, twenty-seven percent were effective transactional and an equal number were effective transformational. On the other hand, over one-third of the comments that year expressed perceptions of ineffective transactional leadership with nearly a tenth commenting on ineffective laissez-faire actions. Four years later, almost

half of the 2011 comments conveyed perceptions of an effective transformational approach with one quarter speaking of effective transactional leadership. The preponderance of ineffective leadership perceptions in 2011, at twenty-two percent of the comments for that year group, were related to the punishments and rewards of the transactional style. Four years later, over half of the 2015 comments about middle-level leaders' behaviors praised the effectiveness of transformational leadership, with the transactional and laissez-faire approaches making up a small percentage of effective styles. Like before, one-fifth of the 2015 comments expressed misgivings about ineffective transactional leadership by the middle-level of the hierarchy. Overall, while the eight-year period shows transformational leadership as being perceived as the most effective style, the focus group comments also illustrate that the most common perception of ineffective leadership is associated with transactional practices.

Table 5.3: Perceptions of Effective (Eff) and Ineffective (Ineff) Leadership Behaviors by Middle-Level Leaders (Percentage)

Leader Behaviors	2007		2011		2015	
	Eff.	Ineff.	Eff.	Ineff.	Eff.	Ineff.
Laissez-Faire	0	8	0	8	1	14
Transactional	27	38	22	22	8	21
Transformational	27	0	47	2	54	1
Total %	100		100		100	
Count (<i>n</i>)	20	17	41	19	53	31

Interestingly, the percentage of students perceiving the transactional style as being effective decreases each year of the study while the inverse is true of transformational leadership, as the perception of effectiveness increases each year. In 2007, a cadet

declared that the most effective leadership style from middle-level leaders was to let cadets know they would be held responsible for their actions, “I really think the most effective and responsible response to any of this stuff [sexual assault issues] is to say, ‘You guys are adults... You’re responsible for your actions. If you mess up, you’re going to be held accountable for your actions’” (Kalien et al. 2007, 116). Another focus group participant perceived the transactional approach was effective, but the middle-level leaders were overloading cadets on the topic, “I think they’re doing a pretty good job. Right after it happened [the sexual assault issues were exposed in the news] ... I think they definitely kind of overkilled the topic. It seemed like once a week we were having a briefing on it, sexual assault prevention, and what to do, and how to keep it from happening and all of that stuff... I think they’re doing a good job of kind of starting to taper away from it. I mean, we’re still having the sexual assault prevention briefings and stuff like that, which I find very useful” (Kalien et al. 2007, 101).

Other cadets’ perceptions were not so positive of middle-level managers utilizing a transactional approach that relied on briefings to emphasize the rules associated with sexual harassment and sexual assault. A female cadet shared these thoughts, “PowerPoint is usually not good. It makes me fall asleep. Most people are just cynical about it [sexual assault briefings]. They just do their homework” (Kalien et al. 2007, 104). Another female cadet said, “We talk about it [sexual assault] a lot. It’s too much training. People are tired of listening to it” (Kalien et al. 2007, 101). And this student expressed his perception of the ineffectiveness of repeating the rules, “You don’t need to tell us five times not to sexually assault someone. You’re just wasting my time” (Kalien et al. 2007, 101).

Some focus group participants were reluctant about talking with their middle-level leaders, especially when they viewed these managers simply as enforcers of the rules and regulations. For example, one student said that if she had an issue with sexual harassment or sexual assault, she would feel more comfortable seeking help from someone other than her Air Officer Commander (AOC) because “the AOCs are the ones that have to punish you for things” (Cook, Lipari, and Rock 2011, 101). Another cadet had misgivings about her AOC’s leadership style, “I don’t like them getting involved. Sometimes you get lucky and you have a really good commander who will be supportive, but then other times... They don’t know how to interact. My commander is a male. He’s going to assume that I’m lying, first of all...” (Cook, Lipari, and Rock 2011, 101). A male cadet had this perception of his squadron leader’s transactional approach, “Right now, it’s shoot first, ask questions later, guilty until proven innocent” (Cook, Lipari, and Rock 2011, 106).

As stated earlier, the category with the highest percentage of perceived effectiveness with middle-level leaders were the transformational actions in the 2015-year group. As Table 5.3 shows, fifty-four percent of the 2015 focus group comments about the middle level of the leadership hierarchy shared perceptions of an effective transformational approach. Cadets described their Air Officer Commanders with phrases such as “very kind and very involved”, “really helpful”, and “supportive” (Namrow et al. 2015, 239). In the middle level of the leadership hierarchy, some students also recognized that athletic coaches play a role in affecting unwanted sexual behaviors. Many of their comments indicate a positive perception when coaches address the subject with players, even as the student comments indicate the coaches should get more

involved, “When I was in [a sport], I feel the coaches did try to push the message [about sexual assault]...From what I saw, I felt like there was maybe a small trend to push it” (Namrow et al. 2015, 275). Another cadet said that getting coaches to use their close relationships with athletes would be of great benefit in reducing unwanted sexual behaviors, “I think that [coaches talking more about sexual assault] would be a big area because they have a lot of influence on a lot of cadets. There’s a lot of ICs [inter-collegiate athletes]. The coaches have to coach them to be good people as well as good athletes” (Namrow et al. 2015, 274). Overall, focus group comments about middle-level managers demonstrate that the transformational leadership style is consistently perceived as effective, whereas the transactional approach is viewed as effective sometimes and in other instances as ineffective.

Summary of Middle-Level Leader Focus Group Analysis

Middle-level leaders form the middle tier of the leadership community in the FRAM Leadership Model. Table 5.4 summarizes the focus group analysis of the middle-level leaders. It was expected that prior to the 2005 Inspector General investigation, the middle-level leaders at the Academy had not recognized or chose to ignore their organization’s culture crisis of unwanted sexual behaviors. This was likely true, which led to the Inspector General’s recommendation to develop new selection and training programs for the middle-level leaders. It was also expected that in 2007 the middle-level leaders would initially define the illicit behaviors as a technical challenge and after some time of addressing the issues related to unwanted sexual behaviors, the Air Officer Commanders, Academy Military Trainers, faculty, and coaches would adopt a technical-adaptive problem definition (Heifetz 1994). While the middle-level leaders clearly

adopted the technical problem definition in 2007, and they shifted toward an adaptive and technical-adaptive problem definition in 2011 and 2015, the slight majority of focus comments in this last year still favored the technical problem definition.

Table 5.4: Summary of Middle-Level Leader Focus Group Analysis

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- RQ1: Prior to the 2005 Inspector General investigation, the middle-level leaders either had not recognized or chose to ignore the culture crisis of unwanted sexual behaviors. The Inspector General recommended to develop new selection and training programs for some middle-level leaders. In 2007, the middle tier of the leadership hierarchy clearly defined unwanted sexual behaviors as a technical challenge. In 2011 and 2015, the majority of middle-level leaders were perceived as maintaining a technical problem definition, while some shifted toward an adaptive or technical-adaptive definition.
 - RQ2: The 2003 reports to Congress and DoD indicate that the middle-level leaders had been hands-off in their leadership approach regarding unwanted sexual behaviors. As the 2007 focus groups were conducted, the middle-level leaders were perceived as relying on the transactional leadership style but the group became transformational later in the study period.
 - RQ3: As expected cadets perceived the inspirational and authentic nature of the transformational style of leadership as more effective than transactional or laissez-faire.
-

Considering the second research question regarding leadership behaviors, the 2003 reports to Congress and the Department of Defense make it appear very likely that the middle-level leaders had been hands-off in their approach in addressing unwanted sexual behaviors at the Air Force Academy before 2005. Later, as the focus group data first became available in 2007, the expectation that the middle-level leaders would initially behave in a principally transactional manner was satisfied. The third expectation regarding the middle tier leaders' behaviors was also fulfilled by the cadets' focus group

comments expressing that this middle leadership group would tend toward the transformational leadership style.

Perceptions of leadership effectiveness was the final research question and expectation. It was expected that cadets would perceive the transformational style of leadership as more effective than either transactional or laissez-faire behaviors due to followers preferring the inspirational and authentic nature of the former leadership style. The focus group comments expressed perceptions of middle leaders being more effective when they used transformational approaches than when these leaders focused on rules and rewards or were disengaged. The next chapter will review the focus group data for the street-level, cadet-led segment of the leadership hierarchy.

CHAPTER 6 - STREET-LEVEL LEADERSHIP AT THE U.S. AIR FORCE ACADEMY

“You asked before about what leadership can do. I think this is more from cadet leadership, especially cadet squadron leadership, is making it a family and team environment. Because if you really care about someone and you hear that something happens, you're not just going to ignore them, because you care about them. They're not just an acquaintance, where something bad happens. It's someone you care about. And there's no prescribed way you can do that.”

USAFA Focus Group Participant (Namrow et al. 2015, 256)

Overview of Street-Level Leaders

The street-level or front-line leaders are the last of the three leadership groups that form the leadership hierarchy in the FRAM Leadership Model. The street-level leaders at the U.S. Air Force Academy consist of those cadets who are selected from the student body to serve in formal and informal leadership roles. The 4000-member student body at the Academy is subdivided into a hierarchical military organization that mimics the rank structure of the active duty Air Force (USAFA 2019). The student body is called the Cadet Wing and there are forty squadrons of cadets, each of which consists of approximately 100 students (USAFA 2019). Within the Cadet Wing and in each of the Cadet Squadrons there are formal leadership positions for senior, junior, and sophomore

cadets. As a way of giving as many cadets as possible the opportunity to practice and develop their leadership skills, the formal leadership responsibilities reside in several functional areas such as: discipline, training, honor, safety, security, drill and ceremonies, force protection, etc (USAFA 2019). Senior students hold leadership positions as officers and cadet commanders, junior cadets serve as senior non-commissioned officers, sophomores serve as junior non-commissioned officers, and freshmen function as followers and informal leaders of other freshmen (USAFA 2019). Additionally, cadet athletic teams and clubs offer leadership positions such as team captains and club presidents.

The cadets serving in leadership roles form the street-level leader portion of the leadership hierarchy at the Air Force Academy. The leadership hierarchy serves as independent variable (IV) for this project. This chapter explores the focus group comments regarding the street-level leaders with respect to each of the dependent variables: problem definition (RQ1), leadership behaviors (RQ2), and leadership effectiveness (RQ3).

Street-Level Leadership Problem Definition (RQ1)

The first research question (RQ1) asks, “How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?” It is expected that prior to the 2005 Department of Defense Inspector General investigation, the leadership community, including the street-level leaders, did not perceive a problem with unwanted sexual behaviors (RE1a). Following the Inspector General investigation as the culture crisis became more evident, the expectation is that the leadership community would adopt a technical problem definition (RE1b). The final expectation

regarding problem definition is that as the cultural issues became more apparent over time, all levels of the leadership community would adopt a technical-adaptive problem definition (RE1c).

As a reminder, the FRAM Leadership Model depicts the following five categories of problem definitions:

- Unrecognized: the undesired behavior is unnoticed or unobserved. The leader may be aware that certain behaviors exist, but they are not perceived as problematic and therefore, are not acted upon.
- Ignored: the problem behaviors are observed, but the leader willfully chooses to not address or investigate possible wrongdoing.
- Technical: the objectionable behaviors that are clearly understood and can be addressed using existing organizational rules and procedures. Solutions are easily available if the rules are implemented and enforced (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).
- Adaptive: the root cause of the objectionable behavior is not clear-cut or easy to identify, which means the current rules and procedures are not likely to lead to solutions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).
- Technical-Adaptive: these problems are both technical and adaptive in nature. These mixed challenges are clearly defined but do not have distinct straightforward solutions (Heifetz 1994; Heifetz, Kania, and Kramer 2004; Northouse 2016).

As with the senior and middle-level leaders, we can assume the street-level leadership group did not recognize or chose to ignore the malevolent behaviors related to sexual harassment and sexual assault in the 1990s and early 2000s. This is to be expected since the senior-level and middle-level leaders were not setting the proper example. Unfortunately, the 2003 reports to Congress and the Department of Defense do not address the cadet leaders' failure in acting.

In 2007, with the first year of collecting the focus group data, it is apparent that the street-level leaders were not prepared to lead their fellow cadets regarding unwanted sexual behaviors. Table 6.1 shows the percentage of focus group comments perceiving problem definitions by the street-level leaders in 2007, 2011, and 2015. In 2007, twenty-one percent of the cadet leaders failed to recognize the problem behaviors and thirty-two

Table 6.1: Problem Definition by Street-Level Leaders (Percentage)

Problem Definition	2007	2011	2015
Unrecognized	21	13	2
Ignored	32	35	30
Technical	33	13	9
Adaptive	9	18	47
Technical-Adaptive	5	22	12
Total %	100	100	100
Count (<i>n</i>)	57	55	81

percent choose to ignore unwanted sexual behaviors. To illustrate the cadet leaders' inclination to ignore the problem, a female cadet commented, "If you turn someone in to your cadet chain of command for [an inappropriate] joke or something, I think a lot of them would be like, 'Why did you do that? That's so stupid'" (Kalien et al. 2007, 94). In

this cadet's perception, her cadet leadership would prefer that she ignored the problem rather than addressing it appropriately. Another female cadet leader commented, "I don't feel like it's a problem that I even worry about or even give any time out of my day or life to think about" (Kalien et al. 2007, 84) while another female leader minimized the problem simply as "typical guy behavior" (Kalien et al. 2007, 85). Similarly, a female cadet disregarded the problems as simply being the result of the college-age demographics at the Air Force Academy, "You have to remember that the guys are college boys. So, they do make dirty jokes and occasionally they make lewd comments. But at the same time, most of the time they're joking. It's rare that they're serious about what they're saying" (Kalien et al. 2007, 85). In that same year, one third of the street-level leaders adopted a technical problem definition with the remaining small percentage defining the problem as adaptive or technical-adaptive. Regarding the technical definition of the problem, one cadet commented that her cadet leadership will enforce the rules if inappropriate behavior persists, "I think even the guys will say, 'You need to knock this off; you're going to get in trouble'" (Kalien et al. 2007, 87).

By 2011, the street-level cadet leaders were no longer failing to recognize unwanted sexual behaviors as such a high percentage. The unrecognized definition dropped to thirteen percent in 2011 and was only two percent in 2015. Cadet leaders remained consistent in their definition of ignoring the problem with approximately one third choosing to ignore the illicit behaviors throughout the focus groups from 2007 to 2015. The problem definition of a technical challenge that was so popular in 2007 waned to only approximately one tenth of cadet leaders in 2011 and 2015. These street level leaders had a great propensity to define the problem of unwanted sexual behaviors as an

adaptive challenge with nearly one-fifth and one-half defining the problem in this way in 2011 and 2015 respectively.

By 2015, the focus group comments pointed toward street-level leaders defining the issues as adaptive problems due to the need for a focus on values, trust, relationships, and awareness. A male cadet said that certain phrases that used to be part of cadet lingo were becoming taboo because the cadet leadership was raising awareness on how these phrases could make others feel uncomfortable. For example, the cadets used to commonly say, “I got raped by the [exam],” but now it is rare to hear that phrase due to a cadet-initiated effort to increase awareness (Namrow et al. 2015, 233). Another focus group participant describes the street-level leaders’ adaptive problem definition like this, “I think this is more from cadet leadership, especially cadet squadron leadership, is making it a family and team environment. Because if you really care about someone and you hear that something happens, you’re not just going to ignore them, because you care about them” (Namrow et al. 2015, 256).

In summary, the perception of focus group participants is that while most street-level leaders did not recognize or ignored the problems of unwanted sexual behaviors in 2007, by 2015 this leadership hierarchy level defined the problem as adaptive which required a focus on awareness and mutual respect. And yet, it is disturbing that nearly one-third of the street-level leaders in 2015 chose to ignore unwanted sexual behaviors. The majority of these were related to intercollegiate athletes being involved.

Street-Level Leadership Behaviors (RQ2)

The second research question (RQ2) asks, “What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change

when confronting the issue of unwanted sexual behaviors?” It is expected that when the cultural crisis of unwanted sexual behaviors was first discovered at the Air Force Academy, it is likely that leadership at the multiple levels of hierarchy had been utilizing a hands-off, laissez-faire approach (RE2a). As awareness of the problem increased, it is expected that leaders would initially rely on leadership actions based on contingent, transactional punishments and rewards to address the inappropriate behaviors by cadets (RE2b). The final expectation is that after the Academy leaders believed the immediate problem of sexual harassment and sexual assault were addressed, the leaders would seek a transformational leadership approach in the hopes of fostering a higher level of respect and dignity for others among the student body (RE2c).

As a reminder, the FRAM Leadership Model depicts the following three categories of leadership behaviors:

- Laissez-faire Approach: leaders either do not recognize problems or deliberately choose to be uninvolved, hands-off, delegate their authority, avoid decisions, and give very little leadership guidance.
- Transactional Approach: leaders attempt to influence others behavior through rewards and punishments, management-by-exception, corrective transactions and quid pro quo of favors or forfeitures promised in return for certain behaviors.
- Transformational Approach: leader’s influence relies on role modeling, trust, charisma, motivation, inspiration, openness about personal experiences, creativity, empathy, and emotional involvement.

In the 2007 focus groups, cadets viewed their fellow student leaders as behaving mostly in a laissez-faire way toward issues related to unwanted sexual behaviors, but by 2015 the dominant leadership approach among the street-level leaders was transformational (see Table 6.2). The table shows that in the first year of the focus groups, over half the street-level leaders were behaving in a laissez-faire manner. Only one-third of the cadet leaders took a transactional approach, and just over one-tenth were transformational. In 2007, a female cadet leader believed that a person's response to

Table 6.2: Leadership Behaviors by Street-Level Leaders (Percentage)

Leader Behaviors	2007	2011	2015
Laissez-Faire	53	47	32
Transactional	33	13	9
Transformational	14	40	59
Total %	100	100	100
Count (<i>n</i>)	57	55	81

inappropriate behavior would be guided by your past experiences, “It comes down to how to you’re brought up. If you’re from a family with a bunch of brothers, maybe some things don’t bother you. But maybe if you’re like, an only child with sisters and a feminist mom or something, someone could say something and you would just be bent out of shape over it” (Kalien et al. 2007, 83). This cadet’s metric of past experiences could open the door to leaving instances of legitimate sexual harassment or sexual assault unaddressed. Another male cadet in 2007 commented about his response to observing unwanted sexual behaviors that the leadership training cadets receive “teaches you how to deal with sexual assault and sexual harassment problems by the book, but you would

never use that in real life. It's not applicable" (Kalien et al. 2007, 100). This male cadet leader is expressing his propensity to be hands-off when he is confronted with unwanted sexual behavior by a subordinate.

Like the other two levels of the leadership hierarchy at the Air Force Academy, in 2011 and 2015, many of the cadet leaders began leveraging a transformational approach to address their organization's culture crisis. As Table 6.2 shows, in 2011 nearly one half of the cadet leaders were still behaving in a laissez-faire manner with only thirteen percent choosing to be transactional and the remaining forty percent seeking to act in a transformational manner. By 2015, the laissez-faire leadership approach decreased to one third of the population and nearly two-thirds were choosing to be transformational in addressing unwanted sexual behaviors. Interestingly, only one-tenth of cadet leaders in 2015 were perceived as behaving in a transactional manner.

Related to the propensity of cadet leaders to act with transformational behaviors, the 2011 and 2015 focus group participants often mentioned the valuable role of peer-to-peer programs for street-level leaders. At the Air Force Academy, a select group of cadet leaders are trained as Personal Ethics and Education Representatives [PEERs]. Several focus group comments indicate that PEER leaders have earned the reputation of being a trusted person with whom cadets can discuss uncomfortable issues such as sexual harassment and sexual assault, "I've seen a lot more use of the PEERs in the last year...they've gotten this new reputation as people you could talk to" (Cook, Lipari, and Rock 2011, 102). Another cadet's comments express her belief that cadet leaders care about their subordinates and hence, she trusts these street-level leaders to take allegations seriously, "The people who are in our cadet chain of command, they express that they

care. If we actually had a concern and we brought it up to them, they would definitely take it seriously. I haven't seen anything from any one of my leaders that has told me that they really wouldn't care if I told them something. I think that's why they're in the position that they're in" (Cook, Lipari, and Rock 2011, 119).

Overall, in 2007 the Air Force Academy focus group participants viewed street-level leaders as having a propensity toward laissez-faire leadership with a few of the street-level leaders focusing on rules enforcement. By 2015, the cadet leaders were perceived as tending toward transformational leadership behaviors with one-third of these student leaders continuing to be disengaged and hands-off.

Street-Level Leadership Effectiveness (RQ3)

The final research questions (RQ3) asks, "Why do followers perceive certain leadership behaviors as more effective than others?" The research expectation (RE3) for this question is that focus group participants will perceive the transformational leadership style as being more effective than the transactional or laissez-faire because subordinates prefer the authentic and inspirational leadership style due to its core characteristics such as role-modeling, motivating through inspiration, stimulating intellectually, giving individualized consideration, as well as facilitating trust, openness, empathy and emotional involvement (Bass and Avolio 1994). It is expected that these qualities will be perceived by cadets as more effective than the rewards and punishments of the transactional approach and the uninvolved and avoidance style of the laissez-faire approach.

The FRAM Leadership Model depicts the intervention effectiveness or ineffectiveness on the right side of the model using the following as guides for determining effective and ineffective leadership behaviors:

- **Effective Leadership Behavior:** when the leader is perceived as properly addressing, reducing, or eliminating some aspect of undesired behavior. Often the focus group comment indicates that the leadership action should continue, perhaps with minor adjustments, because it is having a positive effect on individuals, groups, or the organization.
- **Ineffective Leadership Behavior:** when the focus group participant perceives that the leader's actions should change significantly or is having little or no positive effect on individuals, groups, or the organization.

Table 6.3 shows the percentage of focus group comments that perceived certain street-level leadership behaviors as effective and others as ineffective. In the 2007 focus groups, one-third of the street-level leaders were perceived as demonstrating effective laissez-faire leadership, and the same percentage were perceived as being effective transactional leaders. Nearly one-fifth were believed to be demonstrating effective transformational leadership in 2007. Finally, the remaining one-fifth was equally split between perceptions of ineffective laissez-faire and transactional leadership. In 2011, forty percent of the comments expressed perceptions of effective transformational leadership, and the other effective leadership perceptions were split between hands-off and rules-based behaviors. In this same year, thirty-eight percent of the comments articulated a view of ineffective laissez-faire actions. Finally, the table shows that in

2015, over half of the comments shared views of effective transformational leadership by street-level leaders, and the laissez-faire approach was predominantly perceived as ineffective with one-third of the comments sharing that opinion.

Table 6.3: Perceptions of Effective (Eff) and Ineffective (Ineff) Leadership Behaviors by Street-Level Leaders (Percentage)

Leader Behaviors	2007		2011		2015	
	Eff.	Ineff.	Eff.	Ineff.	Eff.	Ineff.
Laissez-Faire	32	11	9	38	2	30
Transactional	30	11	7	5	5	4
Transformational	17	0	40	0	54	5
Total %	100		100		100	
Count (<i>n</i>)	37	10	31	24	50	31

A very interesting aspect of the focus group comments about street-level leaders are the high percentages of laissez-faire remarks. In 2007, a large percent of the laissez-faire comments related a perception of effective leadership, but by 2011, most laissez-faire behaviors were viewed as ineffective. From this research, it appears that the perceptions of an effective laissez-faire can be likened to the phrase *ignorance is bliss*. This is because a focus group participant might describe an instance where inappropriate sexual joking took place, but the cadet leaders ignored it. This hands-off behavior was perceived as effective because the focus group participant did not recognize the severity of the inappropriate behavior they were describing. For example, a 2007 focus group participant ignorantly perceives his lack of engagement as effective, “No one really has an issue with the whole sexual harassment thing. One, we’re so desensitized to it. Two, it’s so commonplace. If it does happen, personally I never notice it. I’m sure it happens every day. I’m sure that I take part in it. But personally, I don’t ever notice it because it

just doesn't phase me as sexual harassment because all of the girls join in too. It's not just the guys beating down on the girls" (Kalien et al. 2007, 84-85). Similarly, a female cadet leader discounts inappropriate, sexist joking rather than addressing it directly, "I think it's just a lack of social skills on their part. They just forget everything, all manners. It's not sexual harassment, I don't think" (Kalien et al. 2007, 84-86).

In 2011 and 2015, the focus group participants were more sensitive to the shortcomings of the laissez-faire approach to unwanted sexual behaviors with the majority perceiving this leadership style as ineffective. This cadet leader recognized that an understanding of what constitutes sexual harassment and sexual assault can affect a person's reaction to certain behaviors, "People who might be doing these acts probably don't know the true definitions and doing something they think is correct, whereas it might not be. Because your definition of something is very different from my definition, and I think that can impact on what people report [as sexual harassment or sexual assault]" (Namrow et al. 2015, 243). Another cadet expressed that he believes cadets see unwanted sexual behaviors but do not respond appropriately because they do not understand exactly what it is happening, "I think if you talk about sexual assault, you should also talk about sexual harassment and explain what the difference is. People see it every day and don't realize it's happening, if that makes sense" (Namrow et al. 2015, 282). Finally, a male focus group participant said that some cadet leaders choose not to address inappropriate behavior because "you want to be cool. You don't want to correct someone. You don't want to get someone in trouble" but this type of corrupt attitude can lead to keeping "each other's secrets" and not "holding each other accountable" (Namrow et al. 2015, 240).

While it may be uncomfortable to be a cadet leader, or student who is in a leadership position, and is responsible for correcting fellow cadets, this is great leadership training and can be very effective in changing behaviors. One student commented that having peer leaders correcting other students' behavior is much more effective than when middle-level or senior-level officers make corrections, "You get something out of when a superior tells you something...but it's not until people in an individual group, like your peers, sit down and say, 'No, that's crap. You can't do that.' I've personally seen situations, a sexist joke or whatever, and a bunch of [cadet leaders] got on them and were like, what the heck is that for? And it actually changes the culture. And if your friends are getting mad at you for something you say, then that holds a lot more weight than an officer giving you a briefing" (Namrow et al. 2015, 233). Other cadets mentioned the great impact that student leaders have when they "lead by example" (Namrow et al. 2015, 284).

Another cadet observed that it is important for cadet leaders to continue the dialogue with their subordinates about unwanted sexual behaviors every year since one quarter of the population changes annually, "I think one thing we can do at the Academy...[since] every year a new audience comes in, like a whole fourth of the Wing comes in, and they're completely new to all this. So, I think continuing that dialogue [about sexual harassment and sexual assault] through time, not just in one year, but have the people who have talked to their element group talk to their subordinates next year, passing that down, will create something that's permanent rather than disappear" (Namrow et al. 2015, 284).

In summary, in 2007 focus group participants tended to have a positive perception when street-level leaders were hands-off toward unwanted sexual behaviors, but by 2015 the predominant perception held that laissez-faire leadership was ineffective and the transformational approach of student leaders was much more effective.

Summary of Street-Level Leader Focus Group Analysis

Street-level or front-line leaders are a critical part of the leadership community in the FRAM Leadership Model. A summary of these cadet leaders is shown in Table 6.4. It was expected that prior to the 2005 Inspector General investigation, the street-level leaders at the Academy had not recognized or chose to ignore their organization's culture crisis of unwanted sexual behaviors. This was likely true even though the 2003 reports to Congress or the Department of Defense did not address the shortcomings of cadet leaders. It was also expected that in 2007 the street-level leaders would initially define the illicit behaviors as a technical challenge, and after some time of addressing the issues related to unwanted sexual behaviors, these student leaders would adopt a technical-adaptive problem definition. In 2007, the street-level leaders were split in their problem definition between technical, ignored, and unrecognized. One-third of this group of peer leaders continued to ignore the problem from 2007 to 2011 and on into the 2015 focus groups. Among the other two-thirds of the cadet leaders, there was a shift toward adaptive and technical-adaptive problem definitions in 2011 and 2015.

Table 6.4: Summary of Street-Level Leader Focus Group Analysis

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- RQ1: The 2007 focus groups perceived the street-level leaders as split in their problem definition between technical, ignored, and unrecognized. In fact, one-third of this group of front-line leaders continued to consider the problems as issues to be ignored in 2011 and 2015. The other two-thirds of street-level

Table 6.4: Summary of Street-Level Leader Focus Group Analysis

leaders shifted toward an adaptive and technical-adaptive problem definition in the latter two focus groups' perceptions.
• RQ2: It was expected that in 2007, the street-level leaders would choose a transactional leadership style, but the focus group comments perceived over half the student leaders behaving in a laissez-faire manner. While the laissez-faire approach diminished in 2011 and 2015, it remained the predominant leadership style in one-half to one-third of the focus group comments about street-level leaders. The transactional leadership approach was scarce for the student-leaders in 2011 and especially in 2015. The transformational style was much more favored especially in the last year of the study. • RQ3: Regarding perceptions of effectiveness, in 2007 the laissez-faire approach by cadet leaders was perceived as effective by a number of focus group comments. This is likely due to cadets not truly understanding the issues unwanted sexual behaviors. As the study progressed into 2011 and 2015, the hands-off approach was perceived as ineffective, while the transformational style was nearly exclusively perceived as effective.

Considering the second research question regarding leadership behaviors, when the focus group data first became available in 2007, the expectation is that the street-level leaders would initially behave in a principally transactional manner, but in fact, over half the student leaders were laissez-faire in their leadership behavior toward unwanted sexual behaviors. One third were transactional in 2007. Another expectation regarding the cadet leaders' behaviors was fulfilled by the cadets' focus group comments expressing that this student leadership group would tend toward the transformational leadership style by 2015. Surprisingly, one-third of the street-level leaders remained hands off in their leadership approach in 2015.

Perceptions of leadership effectiveness was the final research question and expectation. It was expected that cadets would perceive the transformational style of leadership as more effective than either transactional or laissez-faire behaviors due to

followers preferring the inspirational and authentic nature of the former leadership style. The focus group comments expressed perceptions that street leaders were more effective when they used transformational approaches than when these leaders focused on rules and rewards or were disengaged. Initially, in 2007, the cadet leaders perceived laissez-faire as effective. This was most likely due to not understanding or appreciating the harmful nature of sexual harassment and sexual assault because by 2015 the hands-off leadership approach was almost exclusively viewed as ineffective. The next chapter will analyze the survey data that is useful in triangulating the results derived from the focus groups.

CHAPTER 7 - SURVEY RESULTS AT THE U.S. AIR FORCE ACADEMY

“I feel like the reason that it [sexual assault reporting by women] could have gone up is because they understood through our training that what's actually said is a sexual harassment comment, instead of, ‘Oh, she's just joking, they're just messing with me.’ There have been times where I would be uncomfortable with the situation, but I would rather not say anything so I would feel included. Versus ‘Hey, man, don't say that because I'm uncomfortable in the situation.’ So, training and also providing a more aware culture.”

USAFA Focus Group Participant (Namrow et al. 2015, 232)

In addition to the data that the focus groups provided, surveys can offer different data points to strengthen the validity and reliability of this qualitative research project (Yin 2009). In response to the increasing allegations of sexual misconduct and abuse at the Military Service Academies, Congress directed the annual collection of empirical data by way of alternating years of focus groups and surveys in U.S. Code 10, as amended by Section 532 of the John Warner National Defense Authorization Act for Fiscal Year 2007 (National Defense Authorization Act for Fiscal Year 2007). Since the longitudinal focus group data from the Air Force Academy concentrated on the 2007, 2011, and 2015-year groups, the discussion of survey results for this project are isolated to those surveys conducted in 2006, 2008, 2012, and 2016 (Cook and Lipari 2008; Cook and Rock 2012;

Lipari et al. 2006; Van Winkle et al. 2016). These surveys represent the year prior to the first focus group and each year following a focus group report. The surveys were developed and conducted by a team of multiple social science researchers under the guidance of the Defense Manpower Data Center. The survey sample sizes from the Air Force Academy ranged from 2375 in 2006, 2038 in 2008, 2210 in 2012, and 3918 in 2016 with weighted response rates of eighty-four percent, seventy-seven percent, seventy percent, and seventy-nine percent, respectively (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). While these four different surveys offer a cross-sectional insight into the multiple issues examined, unfortunately, the researchers chose to change many of the questions year-after-year, diminishing the longitudinal applicability of the instruments (Bell and Jones 2014). Still, three survey areas that contribute to this research project by elucidating effective leadership behaviors at the Air Force Academy are the responses related to cadets experiencing and reporting unwanted sexual contact; the availability and effectiveness of sexual assault training; and cadets' perceptions of the leadership response to unwanted sexual behaviors.

Unwanted Sexual Contact

One of the key survey questions that remained consistent from year to year in the surveys asks students about experiencing unwanted sexual contact (i.e., sexual assault) in their most recent academic year. Although the term *unwanted sexual contact* does not appear in the UCMJ, it is used to refer to a number of activities and is intended to serve as an umbrella term to include certain intentional, unwelcome sexual acts against a person's will as prohibited by the UCMJ ranging from sexual touching to rape (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). Table 7.1

shows the reported unwanted sexual contact prevalence rates for women at the Air Force Academy since 2006 as shared by cadets in their survey responses (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). The percentage

Table 7.1: Women Experiencing Unwanted Sexual Contact in the Past Academic Year

Unwanted Sexual Contact	2006	2008	2012	2016
Women (%)	9.5	9.7	11.2	11.2
Population (N)	629	657	684	829
Count (n)	60	64	77	93
<i>Margins of Error (%)</i>	$\pm 1-5$	$\pm 1.1-3.4$	$\pm 1.1-3.2$	$\pm 0.8-2.8$

of women reporting unwanted sexual contact was steady in the 2006 and 2008 surveys between nine and ten percent, and then increased to over eleven percent in 2012 and remained the same in the 2016 survey. The slight increase from 2006 to 2008 and again from 2008 to 2012 is within the margins of error for each year's measurement tool, although the Air Force Academy leaders, as well as their Congressional overseers, must have questioned the intervention effectiveness at the time.

The percentage of men reporting unwanted sexual contact also showed a slight increase between one and two percent from 2006 to 2016 as shown in Table 7.2. Again,

Table 7.2: Men Experiencing Unwanted Sexual Contact in the Past Academic Year

Unwanted Sexual Contact	2006	2008	2012	2016
Men (%)	1.2	1.4	1.7	1.6
Population (N)	1366	913	852	2267
Count (n)	16	13	14	36
<i>Margins of Error (%)</i>	± 1	$\pm 0.6-2.5$	$\pm 0.6-2.7$	$\pm 0.3-1.2$

while the slight increases in men reporting they experienced unwanted sexual contact from 2006 to 2008 and again from 2008 to 2012 fell within the margins of error, the Academy leaders undoubtedly questioned the effectiveness of their leadership action.

The increasing percentage of both female and male cadets experiencing unwanted sexual contact from 2006 to 2016 may give the impression that the leadership hierarchy's behaviors aimed at reducing sexual assault were not effective. But this initial impression of an isolated survey question may not be completely accurate. Over the years, as leaders emphasized the definitions of sexual assault and cadets became more aware of inappropriate behaviors, reporting of these incidences would likely increase. Growing reports of unwanted sexual contact may indicate a greater understanding of the crime by the victims or more trust in the leaders and the organization to respond appropriately.

Another survey question that offers insight into the leadership's long-term effect on unwanted sexual contact is the percentage of cadets who experienced unwanted sexual contact and then chose to report that incident to an authority. This information is shown in Table 7.3 (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). A student's willingness to report unwanted sexual contact may give an indication of the victim's trust in that leaders will not act in a laissez-faire manner by ignoring the report, but instead will respond with transactional or transformational behaviors. The 2006 survey responses show that of the 9.5% of women who experienced unwanted sexual contact (from Table 7.1), only five percent of these women reported the situation to authorities. In 2008, the year after the first focus groups and Air Force Academy leaders made reducing sexual assault a top priority, twenty-three percent of women who experienced unwanted sexual contact reported the incident. While the

Table 7.3: Of the Women Who Experienced Unwanted Sexual Contact in the Past Academic Year, the Percentage that Reported the Situation to an Authority

Reported Unwanted Sexual Contact	2006	2008	2012	2016
Women (%)	5	23	15	11
Population (N)	60	64	77	93
Count (n)	3	15	12	10
Men (%)	NR	NR	NR	NR
<i>Margins of Error (%)</i>	$\pm 3-5$	$\pm 3-6$	$\pm 3-14$	$\pm 1-11$

NR: Not Reportable due to the small reported number of occurrences

percent who reported their appalling experience dropped in 2012 and again in 2016 to fifteen and eleven percent respectively, these percentages remain well above the five percent who reported to authorities in 2006. Table 7.3 also illustrates that the men who experienced unwanted sexual contact (from Table 7.2) and then reported that incident to authorities was not reportable due to the low response rate.

Even as the percent of women who report experiencing unwanted sexual contact to an authority more than doubled since 2006, the nearly ninety percent of victims who chose not to report the incident to an authority remains much higher than leadership might hope for. The cross-sectional surveys asked the victims who experienced unwanted sexual contact and did not report the situation why they chose to not formally report. The most frequent reasons for female cadets not reporting their unwanted sexual contact are shown in Table 7.4. While completing the survey, those cadets who reported experiencing unwanted sexual contact were given the opportunity to select from a list of reasons they chose to not report the situation. They could choose multiple reasons if desired. In the 2006 survey, the most common reasons for not reporting sexual assault were that the victim: *felt shame or embarrassment* (sixty-one percent); *dealt with the*

situation themselves (sixty percent); and *did not want people gossiping* (fifty-six percent). In 2008, these reasons also topped the responses for why women students did not report a sexual assault, with the top reason being that they *dealt with the situation themselves* (seventy-six percent). In 2012, this was again the primary reason given for not reporting

Table 7.4: Of the Women Who Experienced Unwanted Sexual Contact and Did Not Report It to an Authority, the Reasons for Not Reporting (Percentage Selected)

Reason for Not Reporting	2006	2008	2012	2016
Felt shame or embarrassment	61	65	59	NR
Dealt with the situation themselves	60	76	66	44
Did not want people gossiping	56	66	63	NR
Thought incident not important enough	54	54	63	56
Felt uncomfortable making a report	54	NR	56	NR
Thought it would hurt their reputation	NR	55	NR	NR
Did not want anyone to know	NR	NR	63	39
Population (N)	57	49	65	83
<i>Margins of Error</i>	$\pm 1-2$	$\pm 3-7$	$\pm 6-7$	± 4

NR: Not Reportable due to the small number of selections of reason for not reporting

to an authority. In 2016, the most common reason provided for their silence was that female cadets *thought the incident was not important enough* to report (fifty-six percent). While leadership's primary goal is to eliminate the scourge of sexual assault, a secondary desire is to create an organizational culture where victims feel comfortable reporting malevolent behaviors to an authority. A healthy organizational culture is one where shame, embarrassment, or gossiping never discourages a person from reporting a crime.

Availability and Effectiveness of Sexual Assault Training

The next survey response area that contributes to this research project by elucidating effective leadership behaviors at the Air Force Academy is the availability and effectiveness of sexual assault training. From this researcher's personal experience in the U.S. Air Force, in many cases, the immediate response by leadership to behavior problems in the military ranks is to mandate periodic training. In most cases, the core of the training focuses on transactional issues such as understanding and complying with the rules and regulations. As a minimum, ensuring that all cadets completed annual sexual assault training, ensures that leadership will not be accused of being complacent or ignoring the problem. Therefore, the goal is that all cadets complete the annual training and that the training is perceived as effective. Academy senior-level leaders must evaluate cadets' perceptions of the *effectiveness* of the annual training at reducing sexual assault, and when the training is perceived as ineffective then adjustments should be made.

In 2004 and 2005, the Department of Defense refined its policy regarding sexual assault training, prevention, and response via a series of directive memoranda issued by the Deputy Secretary of Defense and the Under Secretary of Defense for Personnel and Readiness (Lipari et al. 2006). Department of Defense Directive 6495.01, Sexual Assault Prevention and Response (SAPR) Program established a comprehensive Department of Defense policy on prevention and response to sexual assaults with the stated intention to "eliminate sexual assault within the Department of Defense by providing a culture of prevention, education and training, response capability, victim support, reporting procedures, and accountability that enhances the safety and well-being of all its

members” (Lipari et al. 2006). The robust education and training focus was on social and behavioral issues as well as healthy human relations. A few of the specific areas required in the annual training was knowledge of what constitutes each type of unwanted sexual behavior offenses, how to report offenses, the type of assistance available to victims, etc (Lipari et al. 2006). Table 7.5 shows that nearly all cadets reported receiving annual sexual assault training at the Air Force Academy each year of the surveys (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016).

Table 7.5: Cadets Receiving Annual Sexual Assault Training (Percentage)

Annual Sexual Assault Training	2006	2008	2012	2016
Women	99	98	98	98
Population (N)	629	657	684	829
Count (n)	623	644	670	812
Men	99	99	99	98
Population (N)	1366	913	852	2267
Count (n)	1352	904	843	2222
<i>Margins of Error</i>	$\pm 1-6$	$\pm 2-6$	$\pm 1-3$	$\pm 1-2$

While leaders can mandate sexual assault prevention training, a more elusive goal is to ensure the training is effective in changing behavior. The annual surveys asked students at the Air Force Academy if they believed the training they received was effective in reducing or preventing the prevalence of sexual assaults. Students had the choice of responding that the training was *very effective*, *moderately effective*, *slightly effective*, or *not at all effective* in achieving this result. Table 7.6 shows the percentage of Air Force Academy women and men who rated the effectiveness of their sexual assault training in reducing or preventing sexual assault by survey year (Cook and Lipari 2008;

Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016). Interestingly, the percent of women cadets who believed the training to be at least *moderately effective* or *very effective* was sixty-seven percent in 2006 and 2008, but in 2012 and 2016 that percent dropped to fifty-two and fifty-three percent, respectively. Meanwhile, the percent of women perceiving the training as only *slightly effective* or *not at all effective* rose from thirty-three percent in 2006 and 2008 to forty-eight percent in 2012 and forty-seven percent in 2016. A similar erosion of perceived effectiveness was expressed by the male

Table 7.6: Ratings of the Effectiveness of Sexual Assault Training (Percentage)

Sexual Assault Training Effectiveness	Women				Men			
	2006	2008	2012	2016	2006	2008	2012	2016
Very Effective	25	26	14	13	34	26	17	22
Moderately Effective	42	41	38	40	38	41	43	39
Slightly Effective	28	26	37	38	21	26	32	30
Not at All Effective	5	7	11	9	7	6	8	9
Total (%)	100	100	100	100	100	100	100	100
Population (N)	629	657	684	829	1366	913	852	2267
<i>Margins of Error</i>	$\pm 1-6$	$\pm 1-6$	$\pm 1-5$	$\pm 1-4$	$\pm 2-7$	$\pm 2-6$	$\pm 2-7$	$\pm 1-4$

Air Force Academy cadets. The highest percentage of men viewing the sexual assault training as either *very effective* or *moderately effective* was expressed in 2006 (seventy-two percent) and 2008 (sixty-seven percent). This positive perception of the training's effectiveness lagged to essentially sixty percent in both the 2012 and 2016 surveys. Meanwhile, the percent of men who believed the sexual assault training to be either only *slightly effective* or *not at all effective* rose from twenty-eight percent in 2006 and thirty-two percent in 2008 to basically forty percent in 2012 and 2016. This trend of

diminishing belief in the effectiveness of the training to reduce or prevent sexual assault from both the women and men students at the Air Force Academy undoubtedly caused leadership to question the content of the training and how it was conducted.

Leadership Response

Research supports the impact of the leadership hierarchy's behavior on the incidence of sexual assault (Sadler et al. 2003). Research demonstrates that when leaders do not enforce rules, and more specifically, when leaders permit sexually harassing behaviors within their organization or the leaders engage in these malignant behaviors, the odds of rape for subordinates increased (Sadler et al. 2003). Thus, while it seems obvious, two key factors in reducing or preventing sexual assault is for the leadership hierarchy to not engage in sexually harassing behaviors themselves and to actively stop others within the organization from doing the same. It would be very beneficial to include the same questions in each year of the surveys that directly asks for the students' perceptions of their leaders' willingness to enforce rules related to sexual harassment and whether the leaders engaged in inappropriate behavior. While each year of the surveys touched on these leadership behaviors, the specific survey question changed in 2012, making the direct comparison over time not possible.

In the 2006 and 2008 surveys, cadets were asked if each level of the leadership hierarchy was making "honest and reasonable attempts to stop sexual assault and sexual harassment" (Cook and Lipari 2008; Lipari et al. 2006). Table 7.7 shows the results of this survey prompt for women and men for the 2006 and 2008 surveys (Cook and Lipari 2008; Lipari et al. 2006). Both the women and men at the Air Force Academy were positive in their assessment of the senior-level leadership in 2006 (ninety-five and ninety-

six percent, respectively) and in 2008 (ninety-two percent). For the purpose of this research, the middle-level of the leadership hierarchy consists of the commissioned and non-commissioned officers in charge of cadets as well as the academic teachers and the

Table 7.7: Percentage of 2006 and 2008 USAFA Students Who Indicated Academy Leaders Make Honest Efforts to Stop Sexual Harassment and Sexual Assault

Honest Efforts to Stop Sexual Harassment and Sexual Assault	Women		Men	
	2006	2008	2006	2008
Academy Senior Leaders	95	92	96	92
AOCs in Charge of Your Unit	93	91	96	92
AMTs in Charge of Your Unit	93	90	96	92
Military Academic Teachers	86	80	92	84
Civilian Academic Teachers	83	76	89	77
Athletic Staff	76	66	83	65
Cadet Leaders	83	81	91	88
Population (N)	629	657	1366	913
<i>Margins of Error</i>	$\pm 1-2$	$\pm 1-2$	$\pm 1-2$	$\pm 1-2$

athletic staff. Within the 2006 and 2008 surveys, there was a large variation in cadets' perception of the middle-level leaders making honest and reasonable efforts to stop sexual harassment and sexual assault. Both the women and men consistently rated the commissioned and non-commissioned officers in charge of cadet squadrons as very positive; on par with the senior-level leaders at ninety to ninety-six percent. On the other hand, when Air Force Academy women were asked about the role of the athletic staff in making honest and reasonable efforts to stop sexual harassment and sexual assault in 2006 (seventy-six percent) and in 2008 (sixty-six percent), this leadership category was

rated the lowest among all leadership groups (Cook and Lipari 2008; Lipari et al. 2006). The Air Force Academy men gave similarly low survey responses regarding the athletic staff in both 2006 (eighty-three percent) and 2008 (sixty-five percent) (Cook and Lipari 2008; Lipari et al. 2006). Cadets in leadership positions, the street-level leaders, received a moderately-positive rating by women in 2006 (eighty-three percent) and in 2008 (eighty-one percent), with men rating the cadet leaders even more positive in 2006 (ninety-one percent) and in 2008 (eighty-eight percent).

Unfortunately, the team of behavioral scientists conducting the surveys in 2012 chose to not include the question asking about specific leadership groups making honest and reasonable efforts to stop sexual harassment and sexual assault (Cook and Rock 2012). In fact, the 2012 survey does not ask cadets about their perceptions of any level of the leadership hierarchy's involvement in preventing or stopping unwanted sexual behaviors from occurring. Instead, most of the questions about leaders in the 2012 survey ask how the leaders responded to reports of unwanted sexual behaviors having already occurred and whether cadets would seek help from the "chain of command" in stopping students who continue to engage in sexual harassment (Cook and Rock 2012). For the purpose of this research project, the generic term "chain of command" does not sufficiently delineate between the different levels of the leadership hierarchy.

In the 2016 survey, the researchers decided to ask students to assess whether the different leadership levels at the Air Force Academy made honest efforts to stop sexual harassment and sexual assault. Unfortunately, the response options for the 2016 question used a Likert extent scale whereas the 2006 and 2008 surveys solicited a dichotomous yes/no response (Cook and Lipari 2008; Lipari et al. 2006). Therefore, the results from

2016 cannot be directly compared with the earlier results. The results of the 2016 survey question are shown in Table 7.8 which includes all the leadership hierarchy contributors except the athletic staff (Van Winkle et al. 2016). Another major variation in the 2016

Table 7.8: Percentage of 2016 USAFA Students Who Indicated Leaders (Excluding Athletic Staff) Make Honest Efforts to Stop Sexual Harassment and Sexual Assault

Make Honest Efforts to Stop Sexual Harassment and Sexual Assault	Extent	Women	Men
Academy Senior Leaders	Large Extent	79	86
	Moderate/Small Extent	20	13
	Not at All	1	1
AOCs in Charge of Your Unit	Large Extent	73	84
	Moderate/Small Extent	25	15
	Not at All	2	1
AMTs in Charge of Your Unit	Large Extent	73	82
	Moderate/Small Extent	26	16
	Not at All	1	1
Military Academic Teachers	Large Extent	59	68
	Moderate/Small Extent	37	30
	Not at All	4	2
Civilian Academic Teachers	Large Extent	55	60
	Moderate/Small Extent	39	35
	Not at All	7	5
Cadet Leaders	Large Extent	49	64
	Moderate/Small Extent	49	35
	Not at All	2	1
Population (N)		829	2267
Margins of Error		$\pm 1-4$	$\pm 1-2$

survey is that the middle-level leadership group that was previously labeled the *Athletic Staff* in the 2006 and 2008 surveys is subdivided into several different categories in the 2016 survey (see Table 7.9) such as: Intercollegiate (NCAA/Division I) Coaches and Trainers; Intercollegiate (NCAA/Division I) Officer Representatives/Advisors; Club

Team Coaches and Trainers; Club Team Officer Representatives/Advisors; Intramural Coaches and Trainers; Intramural Officer Representatives/Advisors; and Physical Education Instructors (Cook and Lipari 2008; Lipari et al. 2006; Van Winkle et al. 2016).

While direct comparisons between the 2016 and the earlier surveys is not possible, this research can look at the relationship between the different categories of the leadership hierarchy within the respective surveys. For example, in the 2016 survey the *Academy Senior Leaders* led all other categories with the greatest percentage of *large extent* responses from both women (seventy-nine percent) and men (eighty-six percent) who believed these senior-level leaders make honest and reasonable efforts to stop sexual harassment and sexual assault (Van Winkle et al. 2016). This highest level of the leadership hierarchy also had the greatest percentage of positive responses in the 2006 and 2008 surveys from both men and women (Cook and Lipari 2008; Lipari et al. 2006). Also, like the earlier survey results, the 2016 responses recognized the *Commissioned Officers* and *Non-Commissioned Officers Directly in Charge of Cadet Units* as the next most-positive leadership group among both genders of cadets (Van Winkle et al. 2016). Female and male cadets were split in recognizing the extent that *Cadet Leaders* make honest and reasonable efforts to stop sexual harassment and sexual assault with only forty-nine percent of women and sixty-four percent of men acknowledging the street-level leaders' efforts as a *large extent*.

Finally, the 2016 survey does not offer an explanation of why the previous category of *Athletic Staff* was subdivided into multiple categories in the 2016 survey as Table 7.9 shows, but the overall results remain very similar when compared to 2006 and 2008 surveys (Cook and Lipari 2008; Lipari et al. 2006; Van Winkle et al. 2016). The

Table 7.9: Percentage of 2016 USAFA Students Who Indicated Athletic Staff Members Make Honest Efforts to Stop Sexual Harassment and Sexual Assault

Make Honest Efforts to Stop Sexual Harassment and Sexual Assault	Extent	Women	Men
Intercollegiate (NCAA Division 1) Coaches and Trainers	Large Extent	40	59
	Moderate/Small Extent	49	35
	Not at All	11	6
Intercollegiate (NCAA Division 1) Officer Representatives/Advisors	Large Extent	44	62
	Moderate/Small Extent	47	32
	Not at All	9	5
Club Team Coaches and Trainers	Large Extent	43	57
	Moderate/Small Extent	48	36
	Not at All	9	6
Club Team Officer Representatives/Advisors	Large Extent	44	59
	Moderate/Small Extent	47	35
	Not at All	9	6
Intramural Coaches and Trainers	Large Extent	34	50
	Moderate/Small Extent	43	36
	Not at All	23	14
Intramural Officer Representatives/Advisors	Large Extent	36	52
	Moderate/Small Extent	42	33
	Not at All	22	15
Physical Education Instructors	Large Extent	42	51
	Moderate/Small Extent	44	38
	Not at All	14	10
Population (N)		829	2267
Margins of Error		±1-4	±1-2

different categories of the athletic staff received the lowest percentage of positive ratings among all the leadership groups' efforts at making honest and reasonable efforts to stop sexual harassment and sexual assault. In fact, like the 2006 and 2008 survey results, every category of the subdivided athletic staffs received fewer positive responses than the *Cadet Leaders* in 2016 from both women and men (Cook and Lipari 2008; Lipari et al. 2006; Van Winkle et al. 2016). Among the different athletic staff categories in 2016, women rated the *Intercollegiate Officer Representatives/Advisors* and the *Club Team Representatives/Advisors* the most positive with forty-four percent indicating these groups make honest and reasonable efforts to stop sexual harassment and sexual assault to *large extent*. The 2016 men rated the *Intercollegiate Officer Representatives/Advisors* the most positive with sixty-two percent of these highest responses.

In summary, the survey results from 2006, 2008, 2012, and 2016 at the Air Force Academy offer different data points in an effort to strengthen the validity and reliability of this qualitative research project (Yin 2009). It is unfortunate that the instrument used for these four surveys was changed from year to year, and thus the data from every question is not comparable. Nevertheless, the surveys offer a cross-sectional insight into several areas examined in the focus group responses. Three survey areas that contribute to this research project at the Air Force Academy are the responses related to the percentage of cadets experiencing and reporting unwanted sexual contact, the availability and effectiveness of sexual assault training, and the cadets' perceptions of the leadership response to indicators of unwanted sexual behaviors.

Air Force Academy Summary

This comparative case study of the leadership community at the U.S. Air Force Academy focused on the three research questions of this qualitative study:

[RQ1] How did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors?

[RQ2] What leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors?

[RQ3] Why do followers perceive certain leadership behaviors as more effective than others?

The primary qualitative data was harvested from bi-annual focus groups that were conducted at the Air Force Academy in 2007, 2011, and 2015 under the guidance of the Defense Manpower Data Center. In addition to the focus group data, quantitative data was collected by the Defense Manpower Data Center in 2006, 2008, 2012, and 2016 that is examined by this research as a means of triangulating the findings of the study.

Beginning with the first research question (RQ1), as anticipated, the perceptions of cadets expressed in the focus groups demonstrated that the different levels of the leadership hierarchy tended to hold disparate problem definitions that changed from year to year regarding the culture crisis of unwanted sexual behaviors. In 2007, the senior-level leaders had a propensity toward a technical problem definition, but by 2015 this highest tier leadership group tended toward a technical-adaptive problem definition. The middle-level leaders, mostly comprised of commissioned officers, non-commissioned officers, academic faculty, and athletic coaches, followed a similar pattern as their senior-

level supervisors with a strong propensity toward a technical problem definition in 2007 that shifted toward the adaptive and technical-adaptive definitions by 2015. The students in leadership positions, labeled the street-level leaders for this study, had a much higher propensity throughout the years of focus groups to be perceived as falling into the two least desirable problem definition categories: unrecognized and ignored. In 2007, very few students perceived their cadet leaders as defining the problem as either adaptive or technical-adaptive. By the 2015 focus group sessions, the cadet leaders were mostly perceived as defining the problem of unwanted sexual behaviors as adaptive problems. While the percent of cadet leaders who did not recognize the problem was almost null by 2015, many perceptions expressed that the street-level leaders continued to ignore the problem. There were indications in the focus group comments perceptions that leaders at all levels were ignoring inappropriate behaviors by intercollegiate athletes.

Next, as estimated in the second research question (RQ2) expectations, the different levels of the leadership hierarchy would previously behaved in a laissez-faire manner, would eventually shift toward transaction activities and then toward transformational behaviors. While the focus groups first commenced in 2007, from the harsh tone of the earlier Congressional reports and Inspector General investigations, it can be assumed the Air Force Academy leadership hierarchy was not fully engaged in addressing the problems of unwanted sexual behaviors. By the 2007 focus groups, the senior level leaders were perceived as behaving with a propensity toward transactional rules-based compliance. The trend toward senior leader transformational behaviors was expressed in 2011 and then again in 2015. The middle-level leaders also made a similar shift from transactional-based behaviors in 2007 to a preponderance of transformational

leadership in 2015. The majority of focus group remarks in 2007 expressed a perception that street-level cadet leaders behaved in a laissez-faire manner, but by 2015 the pervasive opinion was that the student leaders embraced the transformational approach to addressing unwanted sexual behaviors. Unfortunately, in 2015 there remained a strong presence of laissez-faire behaviors; again, these focus group comments were mostly related to the hands-off approach toward popular athletes.

The final research question seeks to discover why certain leadership behaviors are perceived as more effective than others. Throughout the longitudinal study, senior leaders were viewed as being more effective when their leadership focuses on transformational efforts, while transactional actions were mostly associated with ineffective leadership. In 2007, senior leaders who were perceived as behaving in a transactional manner were four times more likely of also being viewed as ineffective rather than effective at preventing or reducing unwanted sexual behaviors. Figure 7.1 illustrates, via a word cloud created with the NVivo analysis tool, the terms that focus group participants used to describe ineffective transactional behaviors by senior and middle-level leaders. One might deduce that focus group members were expressing perceptions that emails or mandatory meetings in which PowerPoint briefings were used to emphasize the rules and statistics regarding unwanted sexual behaviors felt like brainwashing and led to cynical attitudes among the cadet population. On the other hand, in 2015, transformational leadership by the senior leaders was perceived as six times more effective than those who viewed it as ineffective. Similarly, when middle-level

leaders were perceived as behaving in a transformational manner, the focus group participants nearly always viewed the leadership behavior as effective.

Figure 7.1: Word Cloud of Terms Used to Describe Ineffective Transactional Behaviors by Senior and Middle-Level Leaders (created with NVivo)



Alternatively, Figure 7.2 is a word cloud, also created with NVivo, that illustrates the effective transformational behaviors by senior and middle-level leaders. The word cloud conveys the focus group members' preference to hear personal experiences and stories; to share in open conversations, discussions, and relationships; and to be respected and taken seriously. Regarding the middle-level leaders' transactional actions, cadets were more split on whether these behaviors were effective or ineffective in addressing the malevolent behaviors. With both the senior-level and middle-level leaders, a hands-off, laissez-faire leadership approach was clearly perceived as ineffective in preventing or reducing unwanted sexual behaviors. Curiously, in 2007 the cadet leaders were often

viewed as effective when they behaved in a laissez-faire manner. It is important to understand that many of the focus group participants expressing their perceptions are also

Figure 7.2: Word Cloud of Terms Used to Describe Effective Transformational Behaviors by Senior and Middle-Level Leaders (created with NVivo)



members of the street-level leadership group. Many of the 2007 comments that were coded as effective laissez-faire behaviors were due to a focus group participant observing an inappropriate behavior and then choosing to not address the issue. Meanwhile, from the perspective of the focus group participant, they were demonstrating effective leadership when they overlooked the improper sexual behavior. This misalignment could be caused by several different issues: cadet leaders misunderstanding the definitions or seriousness of sexual harassment and sexual assault; or cadet leaders valuing their popularity over their responsibility to lead; or cadet leaders misjudging their laissez-faire

behavior as a distorted form of loyalty. In the 2011 and 2015 focus groups, this anomaly was not observed. Laissez-faire leadership was predominantly perceived as ineffective. In 2015, cadet leaders heavily favored transformational leadership, and these actions were almost always described as effective in addressing unwanted sexual behaviors. The focus group participants rarely perceived street-level leaders exercising transactional behaviors in both 2011 and 2015. When they did, there was a split between the perceived effectiveness and ineffectiveness.

In addition to the focus group comments, survey results from 2006, 2008, 2012, and 2016 were used to help elucidate how leadership behaviors at the Air Force Academy affected the problem of unwanted sexual behaviors. The surveys show that nearly one hundred percent of cadets reported completing the mandatory annual sexual assault training each academic year of the surveys. While senior-level leaders can mandate that the training is accomplished annually and the middle-level leaders can ensure that it is completed as directed, this transactional approach will not guarantee a perception that the training is effective in reducing or preventing sexual assaults. Unfortunately, the perceived effectiveness of the sexual assault training diminished year-over-year of the surveys by both male and female cadets. This perplexity provided leadership with an opportunity to learn and adapt the training methods. Perhaps, the emphasis items in the training needed to be tailored to the different class years at the Air Force Academy. For example, the training for the freshmen could emphasize the transactional nature of rules and punishments associated with sexual harassment and sexual assault, whereas other cadets who have been members of the organization for a long period of time might deem this training focus as demeaning and ineffective. From the focus group comments, the

training based on transformational-type behaviors such as empathy with victims was perceived as much more effective than PowerPoint-based briefings.

Another set of data points from the surveys that undoubtedly gave pause to the Air Force Academy leadership hierarchy and the members of Congressional oversight committees is the increasing percentage of women reporting unwanted sexual contact from 2006 to 2016. While academy leaders were under intense pressure to fix their organization's climate crisis, the problem appears to get worse for both female and male cadets, as both groups report experiencing more incidences of unwanted sexual contact in the surveys each year. There are a number of factors that may have led to more reporting on the surveys: first, the number of incidences may have been increasing, or a better understanding and awareness of the inappropriate behaviors may have led to more reports on the surveys.

The surveys also revealed that the percentage of women who experienced unwanted sexual contact and then reported that situation to an authority also increased. While the percentages of women who reported their unwanted sexual contact experiences doubled from 2006 to 2016, in demonstrating a trust in leadership to address the inappropriate behavior, nearly nine out of ten women cadets who reported experiencing unwanted sexual contact did not report the incident to an authority. This lack of reporting may be due in part to the broad nature of the term *unwanted sexual contact*, and it also may be a clear indicator that the culture crisis remains alive at the Air Force Academy. First, the survey question regarding unwanted sexual contact groups together a broad collection of intentional sexual contacts ranging from sexual touching to sodomy to rape. While all these behaviors are inappropriate, the subject of the sexual contact may choose

to respond in different ways. For example, many of the survey respondents chose to deal with the situation themselves, and/or they thought the incident was not important enough to report to an authority. This may be appropriate depending on the situation and could illustrate that the Academy's training programs were empowering women to address unwanted sexual contact directly. On the other hand, many survey respondents reported that they felt shame or embarrassment or felt uncomfortable making a report of the incident. Some women also said they did not report their experience with unwanted sexual contact because they did not want other cadets gossiping or thought that reporting would hurt their reputation. These survey responses demonstrate that issues with the Air Force Academy's climate continue to exist.

Lastly, the survey results offer some insight into cadets' perceptions of the leadership hierarchy's response to the culture crisis at the Air Force Academy. Unfortunately, the behavioral scientists conducting the surveys chose to vary the questions used in the 2006 and 2008 regarding the leadership responses when the 2012 and 2016 surveys were conducted, so a direct comparison is not possible. Nevertheless, the survey responses can help to elucidate the perceived effectiveness of the different levels of the leadership hierarchy. In the 2006 and 2008 surveys, both women and men indicated high levels of belief that senior-level leaders were making honest and reasonable efforts to stop sexual harassment and sexual assault (Cook and Lipari 2008; Lipari et al. 2006). They expressed the same beliefs toward some groups within the middle-level leader hierarchy. The athletic staff received the lowest ratings from both men and women in 2006 and 2008. Even the street-level leaders were perceived as making more effort than the athletic staff. While the 2016 survey responses were

changed to a Likert scale, the overall results were similar to the earlier surveys with senior-level leaders receiving the highest ratings, followed by middle-level leaders (minus the athletic staff) and then the street-level leaders. Once again, survey respondents rated the different categories of athletic staff members as the lowest among the leadership hierarchy in making honest and reasonable efforts to stop sexual harassment and assault. The less than desirable survey results for the athletic staff could be the result of several different factors such as: athletic staff members not viewing their job responsibilities as including efforts to stop sexual assault and sexual harassment; cadets not understanding the efforts that athletic staff members are actually making; or many of the cadets who are not intercollegiate athletes not spending very much time interacting with athletic staff members.

In summary, undoubtedly the Air Force Academy's leadership hierarchy has been focused on the complex social issues and climate crisis related to unwanted sexual behaviors victimizing many cadets, but there is much work still to be accomplished. The focus group comments indicate that the three levels of the leadership hierarchy defined the problem differently in 2007, which led to varying leadership behaviors. As the issue continued to be addressed in 2011 and 2015, the problem definition and leadership behaviors among the levels of the hierarchy more closely aligned, although there remain some perceptions that certain groups within the leadership community continue to be outliers. The 2015 focus group comments indicate the climate is much improved, and yet, the 2016 survey results illustrate there is much work that still needs to be accomplished to eradicate incidences of unwanted sexual contact from the culture.

CHAPTER 8 - FINDINGS, CONTRIBUTIONS, AND RECOMMENDATIONS

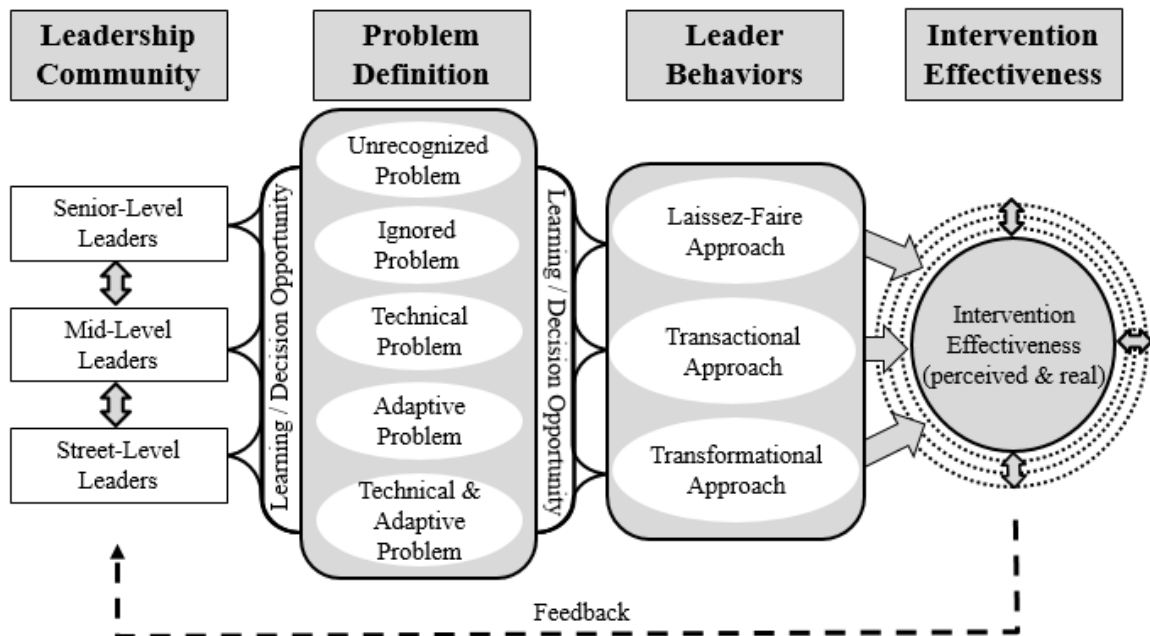
There's one specific [intercollegiate] team. When they were threatened with sanctions or removal of the team, the culture has completely changed. Because they were brought up on stuff like this. And I'm sure people probably know the team I'm talking about. They're a completely different team now, and it was that threat. And then the senior leadership this year has just pushed it so much to say we are going to be different. I've seen the big change.

USAFA Focus Group Participant (Namrow et al. 2015, 277)

Chapter Eight discusses the findings, the theoretical and applied contributions, as well as the recommendations for future research of this research project. The primary problem examined in this research project is that two of the most widely used leadership models in public administration and business management do not adequately account for the foundational aspect of properly defining problems and the critical role of the organizational hierarchy when describing or analyzing leadership behaviors. The Full Range Leadership Model (Bass 1985; Burns 1978) and the Adaptive Leadership Model (Heifetz 1994) are fundamental archetypes for training leaders how to view effective behaviors and understand issues within their organization. However, neither of these popular models properly account for problem definition and aligning all levels of the leadership community (Lussier and Achua 2013; Northouse 2106).

This dissertation relies on grounded theory techniques to propose a new, synthesized leadership model (Glaser and Strauss 2012) and a comparative case study with triangulation to investigate the proposed leadership model within a contemporary phenomenon and real-life context (Yin 1984). The use of grounded theory clarifies the interaction of independent theories or models as well as the synthesis of multiple theories into a single model (Glaser and Strauss 2012). The FRAM Leadership Model which is proposed and examined by this study is shown in Figure 8.1. The case study research method is preferred in examining contemporary events when the relevant behaviors cannot be manipulated (Yin 2009); such is the situation at the U.S. Air Force Academy from 2006 to 2016 when the leadership sought to reduce or prevent unwanted sexual behaviors within their organization.

Figure 8.1: The Full Range - Adaptive Mixed Leadership Model

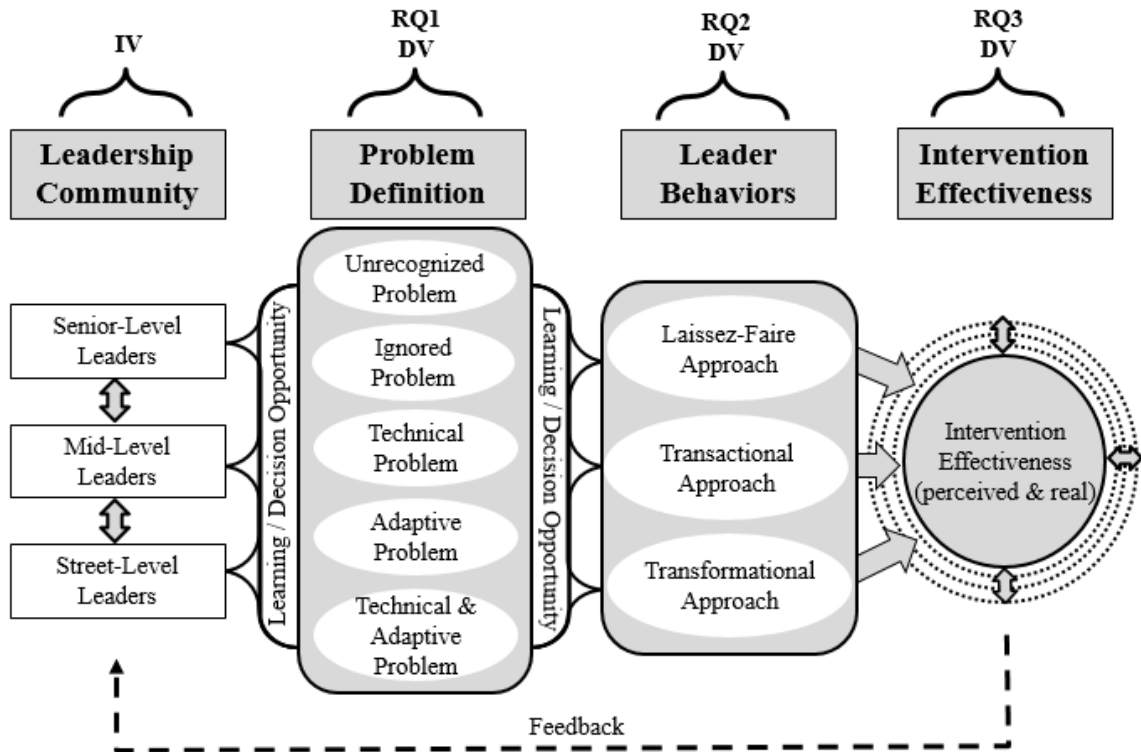


This research project is guided primarily by the following three research questions. First, how did the different levels of hierarchy within the leadership community define the problem of unwanted sexual behaviors? Next, what leadership behaviors were used by the different levels of hierarchy within the leadership community to facilitate change when confronting the issue of unwanted sexual behaviors? And, why do followers perceive certain leadership behaviors as more effective than others? Each of these research questions was designed to explore a specific node of the proposed FRAM Leadership Model. First, the independent variable (IV) for the study consists of the three levels of the leadership hierarchy. Next, the three dependent variables (DV) are each associated with the three research questions (RQ) which are all aligned with a specific node of the leadership model as Figure 8.2 illustrates.

While the critical and persistent issue of sexual harassment and sexual assault at the U.S. Air Force Academy serves as the comparative case study for the research, it is important to remember that the goal of the project is to analyze the proposed leadership model that can be utilized by leaders and managers who are guiding their organization through a complex social issue or culture crisis. The goal of the project is not to solve the specific problems associated with sexual harassment and sexual assault. The ongoing efforts at the Military Service Academies to eradicate the scourge of unwanted sexual behaviors from their organizations serves as a backdrop and source of longitudinal focus group responses and survey data. Case studies, such as the Air Force Academy, provide

an in-depth examination of an event or phenomena that can be generalizable to other organizations (Yin 2009).

Figure 8.2: Aligning the Independent Variable, Dependent Variables, and Research Questions with the Full Range – Adaptive Mixed Leadership Model



Nevertheless, the unique nature of the Air Force Academy as a public institution may limit this comparative case study's overall generalizability regarding leadership behaviors at other universities or public organizations, whereas the FRAM Leadership Model is intended to be universally applicable. The Air Force Academy, as well as the other two Military Service Academies of the U.S. Army and the U.S. Navy, serve as both a public university and a Department of Defense military organization. Therefore, the specifics of the three case studies are not completely analogous to non-military public universities and colleges, nor are they seamlessly equivalent to other military organizations who engage in combat-related missions. Still, the theoretical and practical

leadership applications of this research and the FRAM Leadership Model should be informative to public administration researchers because at its core, leadership is a process of influencing others to achieve a common goal regardless of the environment in which the leaders and followers function. Additionally, the vital nature of properly defining the problem and aligning the leadership community is essential for organizations to address their complex social issues.

Findings and Discussion

This section will summarize and discuss the findings of the research project. First, the findings of the leadership hierarchy's diverse ways of defining the problem of unwanted sexual behaviors at the U.S. Air Force Academy from 2006 to 2016 is deliberated. Then, the report reviews the behaviors that each level of the leadership community displayed in their attempt to address the issues. Finally, a synopsis of the perceived effectiveness of the leaders' behaviors is offered, as well as a review of the survey results that both supports and contradicts the perceived leaders' effectiveness.

Leadership Hierarchy's Definition of the Problem

The first question of this research project sought to discover was how the different levels of the hierarchy within the leadership community defined the problem of unwanted sexual behaviors at the Air Force Academy. It was expected that prior to the Inspector General investigation in 2005, the leaders either failed to recognize or chose to ignore the growing culture crisis within the organization, and later, as the scrutiny of the public and members of Congress increased, it was expected that the senior-level leaders would define the problem as a technical challenge. Technical problems are issues that an

organization encounters that are clearly defined with solutions readily available through the implementation and enforcement of rules and established procedures (Northouse 2016). Since the focus group data first became available in 2007, it is difficult to categorize the problem definition prior to the Inspector General's 2005 report. However, one can postulate that the Air Force Academy leaders in the 1990s and early 2000s did not recognize the crisis growing within their organization. When surveyed by the Inspector General's office in 2005, female cadets reported that "they believe that Academy leaders are taking the right steps in addressing and correcting USAFA sexual harassment and sexual assault issues" and yet, 79 female cadets responded in the survey that they had been sexually assaulted from 1999 to 2004 (Inspector General 2005, 47). From the first set of focus group data in 2007, this research project discovered that senior-level leaders were perceived as defining the problem of unwanted sexual behaviors as mostly a technical challenge. The middle level of the leadership hierarchy also heavily favored a technical problem definition, whereas, the street-level leaders had a great propensity toward either ignoring or not recognizing the problem in 2007. As a learning organization, the leadership hierarchy at the Air Force Academy should adjust their definition of the problem over time as new data becomes available, which is what happened in 2011 and 2015.

The other expectation related to problem definition is that as more information became available from the annual surveys and focus groups, each level of the leadership community would come to define the issue of unwanted sexual behaviors as a technical-adaptive problem. Technical-adaptive problems are clearly defined challenges that do not have distinct straight-forward solutions within the existing organizational system and

therefore, require the organization to learn, change, and adapt (Heifetz 1994). The focus group data from 2011 and 2015 shows that all three levels of the leadership hierarchy are perceived by cadets as transitioning toward an adaptive and technical-adaptive problem definition. In fact, in the 2015 focus groups only nine percent of comments about street-level leaders' problem definition indicated a perception of unwanted sexual behaviors being a technical challenge. Among all levels of the leadership community in 2011 and 2015, there is a heavy propensity toward an adaptive and technical-adaptive problem definition while the technical definition is diminished. This may be counter-productive with a malevolent culture problem such as sexual harassment and sexual assault if leadership behaviors are perceived as being too lenient and not reliant enough on the established rules of the organization.

Leadership Hierarchy's Behaviors to Confront the Problem

The second question of this research project sought to find what leadership behaviors were used by the different leadership levels to facilitate change with the issue of unwanted sexual behaviors. It was expected that prior to the Inspector General's 2005 report the Air Force Academy leadership embraced a laissez-faire approach by abdicating responsibility and making little effort to meet the needs of followers (Northouse 2016). However, soon thereafter the leaders would confront the challenges with firm transactional, rules-based methods to gain or maintain stability (Lussier and Achua 2013). As the surveys and focus groups were not directed by Congress until 2006 and 2007, respectively, one can assume that legislators overseeing the progress of the Military Service Academy leaders as they addressed the culture problems were not pleased with the progress made thus far. By 2007, the results of the qualitative analysis of the focus

group comments show that as expected, the senior and middle-level leaders relied predominantly on a transactional approach to confront the culture crisis. Conversely, during this first year of the focus groups, participants perceived the street-level leaders as having a strong preference toward the hands-off, laissez-faire approach over the transactional or transformational leadership styles. This disengaged preference appears to be due primarily to the student leaders either not being truly aware or sensitive enough to the true nature of sexual harassment and sexual assault. Instead, they viewed inappropriate behaviors as simply a reality of being a student in college or member of the military. As the education and training programs persisted over the years, this indifference among cadet leaders would change.

By 2015, it was expected that the senior-level leaders would focus on more transformational-based leadership techniques to motivate and foster a higher level of respect and dignity for others. This expectation was corroborated by the qualitative analysis of the focus group comments. In 2015, all three levels of the leadership hierarchy are perceived as behaving with a strong preference toward transformational leadership. Senior and middle-level leaders are perceived to prefer transformational leadership over transactional behaviors with a 2-to-1 margin, and street-level leaders prefer transformational with a 6-to-1 margin over transactional. Quite perplexingly, survey results show that cadet women reporting incidences of unwanted sexual contact in the most recent academic year was not going down, but instead had increased from 9.5% in 2006 to 11.2% in 2016 (Lipari et al. 2006; Van Winkle et al. 2016). While there are likely several different factors contributing to the increasing reports of unwanted sexual contact, one of these factors may have been the leadership community's strong

preference toward the *heart-changing* transformational approach, when the organization continued to require an emphasis on the *rules-compliance* transactional procedures.

The Leadership Grid and Situational Leadership models both illustrate that leaders must tailor their selected leadership approach to the situation and the skillset of their followers (Blake and McCanse 1991; Blake and Mouton 1964, 1978, 1985; Blanchard, Zigarmi, and Zigarmi 2013; Hersey and Blanchard 1977). In the case of the Air Force Academy's culture crisis of unwanted sexual behaviors, the *task* was to enforce proper behaviors but the *concern* was to change the way that students treated each other with respect and dignity. Using the Leadership Grid, it may be that the Air Force Academy leadership hierarchy had either too quickly or too strongly preferred the *Country Club Manager* approach with a high people-low task approach in their leadership behaviors (Blake and McCanse 1991). Perhaps the cadets at the academy needed more of an *Authority-Obedience Manager* approach to reduce occurrences of the malevolent behaviors (Blake and McCanse 1991).

Referring to the Situational Leadership model, when the academy leadership community used the transformational approach, it relied too strongly on the *Supporting* leadership style when there was still a need for the *Directing* style (Blanchard, Zigarmi, and Zigarmi 2013). The Supporting leadership style is preferred for followers who are of moderate to high competence with the task, and the Directing leadership style is recommended for followers who are of low competence with the task (Blanchard, Zigarmi, and Zigarmi 2013). While the institution and some of the senior and middle-level leaders had been focused on the task of reducing the occurrence of unwanted sexual behaviors for quite some time, many of the students were new to the task. Blanchard

(2010) refers to these new followers as *enthusiastic beginners*. They require high directive and low supportive leadership.

It is important to remember that the Air Force Academy, like most colleges, has twenty five percent of their student population change each year. One quarter of the organization is new to the task. Therefore, the preferred leader behaviors must be adjusted accordingly. Of the different levels of the leadership hierarchy at the Air Force Academy, the street-level leaders interact most regularly with the newest members of the organization, the freshmen. Therefore, it may be most effective for the street-level leaders to focus on the task via transactional leadership, but the 2015 focus group participants perceived the cadet leaders as having a very low preference toward the transactional style. This could be one of the factors contributing to the reported rates of unwanted sexual contact increasing from 2006 to 2016.

Another discussion point from the focus groups and surveys regarding leadership behaviors is related to the perceived preferential treatment of intercollegiate athletes. The 2011 and 2015 focus group participants indicated that allegations of unwanted sexual behaviors against certain successful intercollegiate athletes is treated differently than allegations against other students. The focus group participants perceived that leaders from all levels act in a laissez-faire manner in these cases. The 2015 focus groups proctors asked specific questions about intercollegiate athletes and coaches of intercollegiate sports which led to a further increase in the reported perceptions of laissez-fair leadership. This perception is further supported by every year of the surveys. In the 2006 and 2008 surveys, the athletic staff was reported by both women and men cadets as the lowest of all leadership categories in their efforts to make honest and

reasonable efforts to stop sexual harassment and sexual assault (Cook and Lipari 2008; Lipari et al. 2006). Only sixty-five and sixty-six percent of cadets reported that the athletic staff made honest and reasonable efforts in 2006 and 2008 respectively, while ninety-six and ninety-two percent responded in the affirmative for Academy senior leaders (Cook and Lipari 2008; Lipari et al. 2006). The 2016 survey response changed to a Likert scale, so the results are not directly comparable but the outcome is similar. The intercollegiate coaches and athletic staff received the lowest ratings of all groups within the leadership community for their efforts to stop sexual harassment and sexual assault (Van Winkle et al. 2016).

There are a few discussion points that arise out of the perceived laissez-faire leadership approach regarding intercollegiate athletes' participation in unwanted sexual behaviors and the lackluster efforts made by the athletic staff leaders toward stopping these behaviors. First, from a leadership perspective all groups should be treated fairly with equal justice. There should not be any groups of followers treated as sacred cows, whose acts of indiscretion are overlooked. Unfortunately, the focus group participants at the Air Force Academy perceived that the popular, successful intercollegiate athletes were given special consideration when they were accused of unwanted sexual behaviors. As a university competing at the Division 1 level of competition, the Air Force Academy is probably not the only school where these perceptions of unequal justice exist. Leadership's preferential treatment of high performers can occur outside university athletic departments as well. Leaders of an organization focused on sales and commissions, such as stock traders, could overlook the unethical actions of their top salesmen or their fast-rising executives. These perceptions, whether they are reality or

not, can lead to culture problems for the organization, and they can lead to a sense of entitlement by the members of the group who are given special treatment.

Another issue that should be considered when examining the focus group and survey results' deficient rating of the Air Force Academy's athletic staff is the potential leverage that dynamic leaders, like football and basketball coaches, have on an organization. It is a great missed opportunity for the academy to not have their head coaches leading the charge to eradicate sexual harassment and sexual assault from the organization. Dynamic and charismatic men and women are often selected for head coaching positions. Not only do their players look to them for leadership, but they can have great influence on the entire student body at a university. Students often associate themselves with the sports teams of their school, and the leaders of these teams are the head coaches and the team captains who are often the star players. In fact, it is likely that most students are more familiar with the names of the head football coach and star quarterback than they are with the university president or college deans. Having the leadership behaviors of the Air Force Academy's athletic staff leaders rated at the highest levels of making an effort to stop sexual harassment and sexual assault may have had a great impact on eradicating this scourge from the organization.

Perceived Effectiveness of Leadership Hierarchy's Behaviors

The final research asks why followers perceive certain leadership behaviors as more effective than others. It was expected that cadets would perceive the transformational behaviors of leaders as more effective than the transactional or laissez-faire approaches due to a preference for characteristics such as role modeling, motivating through inspiration, stimulating followers intellectually, giving individualized

consideration, as well as trust, openness, empathy, and emotional involvement (Bass and Avolio 1994). The findings of this research project show that followers do perceive transformational leadership behaviors as being predominantly effective when compared to transactional and laissez-faire styles. This finding was true throughout the leadership spectrum and across the longitudinal study. For example, in the 2015 focus groups, of all the observations related to senior-level leader behaviors, fifty-nine percent were effective transformational actions, whereas only nine percent of this leadership approach were perceived as ineffective. In this same year, only nine percent of the comments conveyed perceptions of effective transactional leadership, and sixteen percent relayed observations of ineffective transactional behaviors. Many of the focus group comments that expressed perceptions of effective transformational leadership mentioned leader characteristics using words and phrases such as helpful, trust, sharing personal experience, kindness, empathy, supportive, mutual respect, climate of respect, caring and concern (Cook, Lipari, and Rock 2011; Kalien et al. 2007; Namrow et al. 2015). On the other hand, cadets did not perceive the rules-based transactional leadership style as very effective. Their focus group comments regarding the transactional approach used harsh words and phrases such as hammer job, punishments, rules, mandatory meetings, PowerPoint briefings, overkill training, brainwash, and get into trouble (Cook, Lipari, and Rock 2011; Kalien et al. 2007; Namrow et al. 2015). Also, as previously discussed in the leadership behaviors section, the laissez-faire approach was mostly associated with cadet leaders ignoring inappropriate behaviors, or the leadership community ignoring the actions of intercollegiate athletes. In nearly all instances, this hands-off approach was perceived as ineffective by the focus group participants.

Thus, drawing from the second and third research question results, this study shows that as the longitudinal research project proceeded, more of the Air Force Academy leadership hierarchy adopted a transformational approach to addressing the culture crisis of unwanted sexual behaviors, and this leadership style was perceived by the focus group participants as being the most effective approach. The perplexing issue is that despite more leaders behaving in a transformational manner in 2011 and 2015, the annual surveys show that more women and men reported incidences of unwanted sexual contact from 2006 to 2016 (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016).

There are likely many factors that contributed to the increasing percentage of both women and men reporting unwanted sexual contact at the Air Force Academy from 2006 to 2016. First, it may be that more incidences took place, and the crisis grew worse despite leadership's efforts to eradicate the behaviors due to the rapid turnover of the student population each year. Every summer one quarter of the student body is replaced by mostly recent high school graduates. Many of these high school graduates are coming to the university from very dysfunctional high school cultures. According to the Associate Press, sexual harassment and sexual assault is a "hidden horror" epidemic in America's schools with roughly 17,000 official reports of sexual assaults by primary and secondary school students occurring from 2011 to 2015 (McDowell et al. 2017). To be clear, these are officially reported assaults, but some states do not publish assault numbers when minors are involved (McDowell et al. 2017). Additionally, many sexual assault victims do not make an official report of their assault. At the Air Force Academy for example, only approximately ten percent of sexual assault victims make an official

report (Winkle et al. 2016). If the same rates applied to primary and secondary school students, then an estimated 170,000 sexual assaults occurred during the four-year period. The students who are groomed in America's schools make up the new freshmen class of the Air Force Academy as well as other college campuses. In fact, a 2006 study showed that twenty-seven percent of college women reported experiencing unwanted sexual contact (Gross et al. 2006). At the academy, many focus group comments indicated that cadets initially thought when they arrived at the Air Force Academy that unwanted sexual behaviors were acceptable in college or in the military. The leadership lesson is that leaders rarely get to choose the members of their team, and instead the role of the leadership hierarchy is to mold and shape new followers through training and education. As discussed in the preceding leadership behavior section, perhaps the Air Force Academy leadership hierarchy relied too much on transformational leadership with these new *enthusiastic beginners* from high school, who required more directive leadership that is often associated with the transactional approach (Blanchard 2010).

Another factor that may have contributed to the increasing percentage of both women and men reporting unwanted sexual contact at the Air Force Academy from 2006 to 2016 is the *rebound* phenomenon from sexual assault prevention literature. This literature shows that gains made against a problem tend to erode over time (Gidycz, Orchowski, and Berkowitz 2011). It is proposed that this rebound or regression may be affected by a lack of reinforcement, diversion of the leadership's attention to other issues, or turnover in the target audience (Gidycz, Orchowski, and Berkowitz 2011). The possible effects of the turnover in the target audience was discussed in the previous paragraph.

Within the focus group comments and surveys, there is no indication that the Air Force Academy leadership hierarchy's attention was diverted to other issues. Quite the opposite is true. The Congressional scrutiny continues to keep attention focused on the issue. Also, the surveys from 2006 to 2016 show that nearly all the female and male cadets reported receiving sexual assault training each year at the Air Force Academy (Cook and Lipari 2008; Cook and Rock 2012; Lipari et al. 2006; Van Winkle et al. 2016).

Regarding the lack of reinforcement, Gidycz, Orchowski, and Berkowitz (2011) recommend the need to continually refresh and renew program efforts, maintaining a sustainable level of energy over the long term. In the focus groups, cadets expressed perceptions that the prevention programs had grown stale and focused primarily on reinforcement of the definitions and rules (Cook, Lipari, and Rock 2011; Kalien et al. 2007). The 2015 focus groups commended a few new initiatives that emphasized personal stories, experiences, and active bystander training that had an impact on the way that cadets, especially male cadets, viewed sexual harassment and sexual assault (Namrow et al. 2015). It also may be that the Academy needs to tailor their unwanted sexual behavior programs to each class year of the students within the school. The training and education most needed by the freshmen may not be as effective for the seniors and vice-versa. Academy leadership needs to view the survey's increased reports of unwanted sexual contact as a learning opportunity to re-evaluate the leadership hierarchy's reinforcement and attention being given to the climate crisis. As leaders work through several iterations of the FRAM Leadership Model loop, they should adjust from the multiple learning and decision opportunities, as well as from any feedback they are afforded.

Contributions

This research study proposes both theoretical and applied contributions to public administration and leadership literature. The primary theoretical contributions are evident in the FRAM Leadership Model. First, the model reminds scholars the value of aligning the multiple levels of the leadership hierarchy in their efforts and leadership approach selected to address complex social issues. Next, the newly proposed model reminds leaders of the importance of properly defining a problem before selecting leadership approach.

The study also offers applied contributions. First, this qualitative research project suggests that followers perceive transformational leadership styles as more effective than transactional or laissez-faire approaches when confronting a complex social issue such as unwanted sexual behaviors. Another applied contribution is that when the leadership hierarchy chooses to ignore the inappropriate behaviors of a certain group within the organization, other members will likely notice and become frustrated with this laissez-faire approach.

Theoretical

The primary problems that this study aimed to address were that the leading leadership models do not properly account for the aligning of the multiple levels of the leadership hierarchy in their efforts to address a complex social issue, and that the problem must be defined before leadership actions can be perceived as effective. Thus, this research project proposed the FRAM Leadership Model which was designed to account for both issues. The research questions were designed to test the variables imbedded within the model such as the levels of the leadership hierarchy serving as the

independent variable. The first research question focused on the dependent variable of the problem definition, while the second and third research questions focused on the dependent variables of the leader behaviors and the perception of effectiveness, respectively. This leadership model should be tested further by using other cultural crisis issues besides unwanted sexual behaviors and in other institutions to further validate the theoretical value.

Applied

The research also offers applied contributions to the field of leadership. First, the qualitative analysis of the focus groups comments suggests that transformational leadership approaches are often perceived by followers as more effective than transactional or laissez-faire styles. Focus group participants at the Air Force Academy indicate that they appreciate the key attributes of the transformation leadership approach when they describe these leaders as trusting, kind, empathetic, supportive, respectful, caring and concerned. On the other hand, focus group participants described the transactional approach that leaders occasionally use when addressing unwanted sexual behaviors with words such as brainwashing, hammer job, overkill training, and mandatory meetings that put you asleep. The focus group comments are divided on the perceptions of the effectiveness of transactional leadership whereas the transformation approach is predominantly perceived as effective. Additionally, from the focus group comments it appears, with rare exceptions, that laissez-faire leadership is only viewed as effective when a focus group participant was describing her or his own hands-off actions as a street-level leader. Otherwise, the laissez-faire leadership approach was deemed ineffective.

Another applied contribution involves the application of laissez-faire leadership with a certain group within the organization. Focus group participants perceived that certain leaders within the leadership hierarchy were ignoring the misbehaviors of a certain group of followers which appeared to be causing dissention and mistrust within the organization. In the comparative case study of the leadership community at the Air Force Academy, it was mostly the middle-level and street-level leaders in the form of the athletic staff and cadet team leaders, respectively, who were overlooking the malevolent behaviors of popular intercollegiate athletes. But for the purpose of the applied contribution, this situation could occur in any organization where certain individuals or groups are permitted to operate outside the normal guidelines or proper procedures. Other members of the organization will notice this disparity in justice and will become frustrated with the leaders.

Recommendations

There are several recommendations that arise from this research project. First, future research should be conducted of other Military Service Academies and civilian universities as they address the issue of unwanted sexual behaviors. Also, future research using the FRAM Leadership Model should be accomplished with an organization facing a culture crisis other than sexual harassment and sexual assault. The next recommendation pertains to leadership development and training programs. As a minimum, the individuals preparing to take on leadership positions as the Air Force Academy should be trained on the leadership behaviors that are perceived as most and least effective. They also should be cautioned against relying too heavily on the transformational style with new freshmen cadets. Ideally, this type of leadership training

would take place at the other Military Service Academies, as well as during pre-supervisory courses for leaders and managers in military and civilian organizations. The final recommendation specifically focuses on the issue of sexual harassment and sexual assaults in America's schools and universities. There is a culture crisis in our primary and secondary schools, as well as our colleges and universities that must be confronted.

Future Research

This research project highlights the need for future research in several areas. First, this paper conducted a deep-dive comparative case study of focus group participant comments at the Air Force Academy rather than a shallow look at all three of the Military Service Academies. Thus, the next step in this line of research is to conduct a case study examination of the U.S. Military Academy in West Point, New York and the U.S. Naval Academy in Annapolis, Maryland. The comparative nature of the three Department of Defense Military Service Academies would be enlightening. Perhaps, this comparative case study could form the foundation for a newly minted PhD's first leadership book.

Also, a comparative case study that involves several civilian universities' approaches to addressing unwanted sexual behaviors should be conducted. The issue of sexual harassment and sexual assault on campuses is becoming more common in the news. Research also shows the issue of unwanted sexual contact affects over a quarter of college women (Gross et al. 2006). The leadership issues at civilian universities will likely be different than the Military Service Academies, but the FRAM Leadership Model is germane to Auburn University or most other schools. There are leadership hierarchies who must properly understand and define the problem and then should take action to intervene. Civilian university presidents, deans, faculty members, athletic coaches, and

student leaders may have less formal authority than a military commander to apply direct, transactional leadership on a day-to-day basis, but these civilian leaders can and should exercise their leadership and influence to reduce or prevent unwanted sexual behaviors.

Finally, another future research project that should be conducted is to apply the FRAM Leadership Model to an organization that is facing a culture crisis or complex social issue other than unwanted sexual behaviors. For example, the model could be applied to the National Football League's attempt to address the concerns of its players who chose to kneel or protest during the playing of the National Anthem. Perhaps the leadership hierarchy would consist of the league commissioner, team owners, coaches, and team captains. Were they aligned in their attempt to address the issue? How did they define the problem? What leadership behaviors did they exercise to affect the problem? Were their interventions effective? This would be an interesting study.

Leader Development

The next recommendation from this research project is that the findings should be incorporated into the leadership development and training programs that are used to prepare men and women to assume leadership positions at the Air Force Academy or any of the other Military Service Academies. Individuals in all levels of the leadership hierarchy at the academy are trained prior to assuming their position. Their leadership training should include the importance of having the proper problem definition and aligning the different levels of leadership when dealing with an issue such as unwanted sexual behaviors. Additionally, these leaders should be trained that laissez-faire leadership is rarely perceived as effective, whereas the transformational approach is viewed by followers as being very effective. They should also be cautioned that new

freshmen cadets, Blanchard's (2010) *enthusiastic beginners*, may prefer transformational leadership, but their aptitude with issues such as sexual harassment and sexual assault prevention may require a more rules-based approach inherent in the transactional leadership style. This information does not need to be restricted to Military Service Academies; it has applicability to pre-supervisory courses for leaders and managers in the military as well as in civilian organizations.

Confront Unwanted Sexual Behaviors in Schools and Universities

The final recommendation specifically focuses on the issue of sexual harassment and sexual assaults in America's schools and universities. Studies show there is a culture crisis with unwanted sexual behaviors in our primary and secondary schools, as well as our colleges and universities. The leaders in our schools and our politicians must confront the issue. The current laissez-faire approach of ignoring or not recognizing the crisis is not effective. Statistics indicate the horrible behaviors are of epidemic proportions and are not addressed nearly enough. As earlier quoted, twenty-seven percent of college women report experiencing unwanted sexual contact (Gross et al. 2006). There were 17,000 official reports of sexual assaults by primary and secondary school students occurring from 2011 to 2015 (McDowell et al. 2017). Almost two-thirds of college students experience sexual harassment, but only ten percent of these students report the incident to a college employee (Hill and Silva 2005). Forty percent of colleges and universities reported not investigating a single sexual assault in the previous five years, and thirty percent of colleges and universities offered no training on sexual assault to students nor law enforcement officers (U.S. Senate Subcommittee, 2014). These statistics show that a culture crisis of sexual harassment and sexual assault is taking place

in our schools and campuses with very little reporting and not enough leadership response. The time for leaders at all levels of the hierarchy to act is yesterday.

Conclusion

This research project examined the problem that two of the widely used leadership models do not sufficiently account for properly defining the nature of problems and the essential role of aligning the organizational hierarchy when describing or analyzing leadership behaviors. This paper proposes a new model, the FRAM Leadership Model, which incorporates both problem definition and leadership hierarchy. The model also illustrates how different leadership behaviors can affect perceived intervention effectiveness, as well as how feedback and learning opportunities allow the leadership community to adapt their approach.

A longitudinal comparative case study of the Air Force Academy's attempts to eradicate the culture crisis of sexual harassment and sexual assault from the institution is used to evaluate the proposed leadership model. The three case studies examine focus group comments spanning an eight-year period in addition to survey reports from 2006 to 2016. The focus group comments show that the leadership hierarchy was principally aligned as they first defined the problems as technical issues requiring transactional leadership and later modified the problem definition to one of an adaptive nature more suited for a transformational leadership style. The study also showed that there were issues with problem definition and hierarchy misalignment involving the certain groups within the organization. When popular intercollegiate athletes were accused of unwanted sexual behaviors, focus group participants perceived the problem was ignored by the athletic coaches, staff members, and cadet leaders. This laissez-faire leadership approach

was deemed as ineffective and possibly exacerbating the culture issues at the Air Force Academy. Another finding of the research project was that while leadership interventions were perceived as mostly effective, the survey results revealed increasing percentages of unwanted sexual contact. Several factors possibly affecting this disconnect are discussed. For example, with one-quarter of the student population being replaced each year by recent high-school graduates, the Air Force Academy's leadership hierarchy may have exhibited an overreliance on transformational behaviors when the new followers required more rules-based, transactional leadership. Overall, the FRAM Leadership Model, with its incorporation of problem definition and leadership hierarchy, was beneficial in an analysis of the Air Force Academy leadership's attempts to impact the issue of unwanted sexual behaviors, but the model should be tested in future research using other case studies and leadership scenarios.

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APPENDIX 1 - CODING INTER-RATER RELIABILITY

Survey Instructions

Thank you for volunteering to help verify the validity my qualitative data coding practices. On the next few pages you will find seven comments by Academy cadets who participated in focus-groups discussing problems of sexual harassment and assault. Following each cadet comment, there are four coding categories. Circle one answer for each question; go with your initial reaction without over analyzing. The following definitions will help you understand the differences between each coding selection. Please return to David Bottomlee. Thank you!

Levels of Leadership:

(What level of leader is the focus group participant observing and commenting on?)

1. **Senior-level Leaders:** Any references to institutional-level decision-makers including the top general officers at each Academy: The Superintendent (Sup), Commandant (Comm), and Dean.
2. **Mid-level Leaders:** The officers (AOCs), non-commissioned officers (AMTs/NCOs), teachers, coaches, and staff members serving in various roles in the squadrons, classrooms, and teams.

3. **Street-level Leaders:** Cadets and students who serve in formal and informal leadership roles.

Defining Problems:

(How does or might *that leader*, not the focus group participant, be perceived as defining the problem?)

1. **Unrecognized Problems:** Problem behaviors are unnoticed or unobserved. In some cases, the leader may be aware of a behavior but does not perceive a problem.
2. **Ignored Problems:** Problem behaviors are observed but the leader willfully chooses to not address or investigate possible wrongdoing.
3. **Technical Problems:** Problem behaviors that are clearly defined and can be addressed using existing organizational rules and procedures. Solutions are easily available if rules are implemented and enforced. Solutions focus on processes and procedures rather than people.
4. **Adaptive Problems:** The problem is not clear-cut or easy to identify. Following rules or existing procedures will not lead to solutions. These issues require a focus on values, trust, beliefs, relationships and raising awareness. Requires many changes so the solution is not quick or easy.
5. **Technical & Adaptive Problems:** Problems that require both technical and adaptive leadership. These challenges are clearly defined but may not have distinct straight-forward solutions. Rules must be enforced in the short term, but long-lasting solutions require a focus on values, trust, etc.

Addressing Problems:

(How does or might *that leader*, not the focus group participant, be perceived as addressing the problem?)

1. **Laissez-Faire Approach:** Leader either does not recognize problems or chooses to be hands off, delegating authority, uninvolved, avoiding decisions, and giving very little guidance.
2. **Transactional Approach:** Leader relies on rewards and punishments to affect short-term behavior; management-by-exception, corrective transactions, offers *quid pro quo* (favors or forfeitures promised in return for certain behaviors), relies on order and rules.
3. **Transformational Approach:** Leader relies on role modeling, trust, charisma, care for individuals, motivation, inspiration, openness about personal experiences, creativity, emotional involvement, intellectual stimulation, empathy, expresses confidence in followers.

Effective or Ineffective:

(Is *that leader's behavior*, not the focus group participant, perceived as effective or ineffective in addressing the problem?)

Coding perceptions of effectiveness can be very subjective. It may help to ask, “Would the focus group participant making this comment want the leader behavior to continue? Does the cadet making this comment perceive the leader’s behavior as helping to reduce or eliminate the problem?”

1. **Effective:** The leader behavior should continue, perhaps with minor adjustments, because it is having a positive effect on individuals or the organization.
2. **Ineffective:** The leader behavior should change. The focus group participant perceives the leader as having little or no positive effect on the individuals or the organization.

Survey Questions

1: *“If you wanted immediate results, like the hardest punishment and stuff like that, I would go to an AOC. If you wanted the toughest punishment, immediate reaction, that's when I would go to an AOC.”*

From the focus-group participant's perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant's perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant's perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant's perception, is that leader, or might they be,

Effective or Ineffective?

Effective Ineffective

2: *“If it’s like a big deal and it’s pretty persistent, I think even the guys [cadet leaders] will say, ‘You need to knock this off; you’re going to get in trouble.’ Everybody’s trying to look out for each other.”*

From the focus-group participant’s perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant’s perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant’s perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant’s perception, is that leader, or might they be, **Effective or Ineffective?**

Effective Ineffective

3: *“Right now it’s shoot first, ask questions later, guilty until proven innocent. At least the people that I talk to when they [the Superintendent and Commandant] announced this from the staff tower at breakfast, everyone was against the guy, ‘How could he do this?’ It is alleged offender as well, because suddenly he’s being accused of something, and if he didn’t commit it, then this has impacts on the rest of his life, jail time. You need to*

respect his privacy and try — just innocent until proven guilty — not guilty until proven guilty.”

From the focus-group participant’s perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant’s perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant’s perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant’s perception, is that leader, or might they be, **Effective or Ineffective?**

Effective Ineffective

4: *“My squad was doing training for the freshmen and one of the girls was doing bear crawls. She had been in some trouble; she got caught with a guy behind closed doors. But one of the first comments about her was, ‘Oh, she’s used to being on her knees.’ Everyone laughs. And she had heard it. Her AOC was told about it. But nothing got done. Nothing ever will be done.”*

From the focus-group participant’s perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant's perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant's perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant's perception, is that leader, or might they be, **Effective or Ineffective?**

Effective Ineffective

5: *"It's a lot easier to stay awake during the ones [briefings by AOCs or AMTs] where they share personal stories and people stand up and relate their experiences. That's pretty much how you measure effectiveness in the cadet wing, whether or not cadets are sleeping through it or whether they are awake through it."*

From the focus-group participant's perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant's perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant's perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant's perception, is that leader, or might they be,

Effective or Ineffective?

Effective Ineffective

6: *"[Sexual assault was] the first thing our Commandant talked about when he came in. He genuinely cared about it. Because he's the father of three daughters, he brings it up. It's not something that he goes, 'Okay, I think sexual assault is bad,' and then we don't hear about it for the rest of the year."*

From the focus-group participant's perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant's perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant's perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant's perception, is that leader, or might they be,

Effective or Ineffective?

Effective Ineffective

7: *“General Williams [the Commandant], you can see him in his role as a father and his family, and he considers us as his family as well. So, it's like he's upset when one of his children offends one of the others.”*

From the focus-group participant's perception, what **Level of Leadership** are they commenting on?

Senior-Level Mid-Level Street-Level

From the focus-group participant's perception, how does or might that leader **Define the Problem?**

Unrecognized Ignored Technical Adaptive Technical & Adaptive

From the focus-group participant's perception, how does or might that leader **Address the Problem?**

Laissez-Faire Transactional Transformational

From the focus-group participant's perception, is that leader, or might they be, **Effective or Ineffective?**

Effective Ineffective