Assessing the Servant Organization
Development of the Servant Organizational
Leadership Assessment (SOLA) Instrument.

By

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CHAPTER ONE

INTRODUCTION

Servant leadership is a concept that is attracting a broader audience throughout all kinds of organizations today. This growing interest is fueled by many changes taking place in the workplace as well as in society at large. In the past 25 years we have seen a dramatic increase of women in the workplace, a growing ethnic and racial diversity and a desire to see the workplace serve as a learning environment for personal growth and fulfillment. These changes have found the traditional leadership model of power and authority to be lacking. This traditional model has held prominence since the beginning of time and our history is written around the use and abuse of leadership power.

In the early 1900's Frederick Taylor (Owens, 1991) began to apply the precision of scientific inquiry to organizational dynamics. In the 1920's the Hawthorne Experiment was conducted, discovering that workers respond positively to personal attention and respect. The worker began to be seen as a real person rather than a tool to be used to fulfill organizational dictates. In the 1950's, Douglas MacGregor presented the two schools of management thinking that he labeled Theory X and Theory Y (Lassey & Sashkin, 1983). These two theories drew the distinction between a negative view of workers as needing to be controlled and a positive view that suggested that what they really needed was to be freed up to become the responsible, creative workers that they really were. This new thinking set the stage for the writings of Greenleaf in the 1970's and others, like Burns (1978) who began a new revolution in leadership thinking.

> There is a revolution underway. In corporate boardrooms, university
> classes, community leadership groups, not-for-profit organizations and

elsewhere, change is occurring around the ways in which we, as a society, approach the subject of work and leadership. Many people are seeking new and better ways of integrating work with their own personal and spiritual growth. They are seeking to combine the best elements of leadership based upon service to others, as part of an exciting concept called servant-leadership. (Spears, 1994, p.1)

The term "servant leadership" was coined by Robert Greenleaf back in 1970 in his essay, *The Servant as Leader*. In this work he presents the notion that "*the great leader is seen as servant first,* and that simple fact is the key to his greatness." Greenleaf doesn't provide an explicit definition of the term, but rather provides this explanation and test.

The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served. The best test, and difficult to administer, is: Do those served grow as persons? Do they, *while being served,* become healthier, wiser, freer, more autonomous, more likely themselves to become servants? *And*, what is the effect on the least privileged in society; will they benefit, or, at least, not be further deprived? (p. 7)

The concept of leader as servant goes back well before the 1970's to the time of Jesus Christ who addressed the prevailing leadership of his day which was based on power and authority.

Jesus called them together and said, You know that the rulers of the Gentiles lord it over them, and their high officials exercise authority over them. Not so with you. Instead, whoever wants to become great among you must be your servant, and whoever wants to be first must be your slave—just as the Son of Man did not come to be served, but to serve, and to give his life as a ransom for many. Matthew 20:25-28 (New International Version)

This radical view of leadership was largely ignored (in both secular and Christian leadership) until reintroduced by Greenleaf. Greenleaf's views have since been promoted by The Greenleaf Center for Servant-Leadership and have influenced several in the Christian leadership community as well as many of today's most prominent leadership

thinkers such as Steven Covey (1994), John Gardner (1990), Peter Senge (1997), M. Scott Peck (Spears, 1995) and Margaret Wheatley (1994). Larry Spears, the Director of The Greenleaf Center for Servant Leadership, believes that "we are now witnessing the emergence of servant-leadership as a burgeoning social movement" (1994, p.2). Servant leadership is a new way of looking at the role of leadership; the view that leaders have of themselves and the view that leaders have of others.

Sergiovanni (Brandt, 1992) refers to the old way of leadership thinking as being upside down. He believes that the traditional model shows us serving our leaders whereas the leaders ought to be serving the enterprise.

Practitioners of servant leadership tell us that it is more than a "nice-sounding" theory. Ken Melrose (Woerner, 1997), the chairman and CEO of the Toro Company speaks of his "bone-deep belief in the value of people and his conviction that servant leadership is the best way to run a company." Much of this has to do with the way he views his leadership role. "My role is … to serve the organization by coaching and facilitating, not by controlling and commanding", (p. 18). C. William Pollard (1996), chairman of The ServiceMaster Company, puts it this way.

> A leader who is willing to serve can provide hope instead of despair and
> can be an example for those who want direction and purpose in their life
> and who desire to accomplish and contribute. This leader is the leader of
> the future. (p. 243)

Servant leadership is an age-old concept that is being resurrected and promoted as the best way of dealing with our current age of ambiguity, fast-paced change and desire for human development. The workplace is not the same as it was several years ago. Kotter (1990) tells us that the business world is now "more competitive, more volatile and tougher." We are now dealing with "faster technological change, greater

4

international competition … and a demographically changing workforce" (p. 12). This higher demand for change requires "more leadership" as opposed to more management, according to Kotter.

Other writers assert that it requires a whole different way of thinking about leadership. Millard (1995) sees servant leadership, not as a style of leadership, but as "a philosophy and approach to leadership … a way of life and thinking" (p.3). This different way of looking at leadership is seen by some as a new model of leadership for the future. Schwartz (1991) asserts that "this concept of the 'servant leader' is at the core of the new leadership … leaders see themselves as part of a team, balancing organizational goals with their employees' needs" (p. 22).

This emphasis on caring for the needs of the worker is a critical part of this new leadership model. In reviewing today's workplace, Sarkus (1996) shares that "today's workforce is doing more with less …; leaders …. must work to more fully optimize each employee's potential" (p.26). As Steven Covey (Frick, 1996) shared at the 1996 International Conference on Servant Leadership, "What servant-leadership represents will increase in relevance. There is a growing awareness and consciousness of it. The servant-leadership concept is a natural principle, a natural law. Natural laws are simply there, like true north" (p. 1).

Problem

Though servant leadership has been written about and practiced by some in the past few years it has not been studied in a systematic manner. Greenleaf's (1977) writings were not based on research or even what he called conscious logic. They were based on a keen

intuitive sense of people and their relationships within institutions. There also is a need to review what has been written since Greenleaf to determine what has been added to his work and can perhaps take us beyond his original ideas. In light of this, this study will investigate the following questions.

1. What *is* servant leadership?

2. What are the characteristics of servant leadership?

3. Can the presence of these characteristics within organizations and teams be assessed through a written instrument?

Purpose:

The purpose of this study is to collect, from the literature and a panel of experts, an agreed-upon list of the characteristics of servant leadership, and to develop an instrument for assessing the level at which leaders and workers perceive that these characteristics are displayed in their organizations or teams.

Significance of the Problem:

The right kind of leadership is desperately needed for today's organizations. The lack of this kind of leadership has led some to declare a crisis of leadership. Greenleaf (1977), for example, observes:

> We are in a crisis of leadership in which vast numbers of 'educated'
> people make … gross errors in choosing whose leadership to follow, and
> in which there is … little incentive for able and dedicated servants to take
> the risks of asserting leadership (p. 4).

This need for leadership also applies to leadership in Christian organizations. The moral scandals of the past ten years brought on by top Christian leaders as well as the

questionable fund raising strategies exemplified in the "New Era" scandal (Carnes, 1997) point to the fact that power in some Christian organizations is not being used in an ethical manner. This affects the organization, its people and all who are aware of its activities. Integrity is questioned and people are more suspicious of their leaders. "We live at a time when holders of power are suspect and actions that stem from authority are questioned. *Legitimize power* has become an ethical imperative," Greenleaf (1977, p.5) asserts.

Ward (1996) speaks of servanthood and leadership as being basic concepts in the Biblical record, but notes that "tyranny within the church is one of the historical and contemporary problems of Christianity. Much that we assume and much that we tolerate (and sometimes embrace) within the church … is tyrannical" (p. 28).

All of this leads to the lessened ability of organizations to fulfill their missions. People find themselves under-utilized, under-motivated and under-productive.

> Daniel Yankelovich reports that fewer than 25 percent of workers today say that they work at full potential, and about 60 percent believe they do not work as hard as they once did. Roughly 75 percent say they could be significantly more effective than they are now (Gardner, 1990, p.90).

A new leadership is needed: leadership that is not trendy and transient, but a leadership that is rooted in our most ethical and moral teaching; leadership that works because it is based on how people need to be treated, motivated and led. As Ward (1996) states, "the question of what is proper leadership … has probably never been a more dynamic question" (p.34). This study will seek to explore this "dynamic question" by seeking to bring a much-needed research element to the ongoing discussion on servant leadership. The development of the Servant Leadership Organizational/Team

7

Assessment (SLO/TA) instrument will provide a tool to begin to address the following questions.

1. Do people sense that they are served well within their organizations or teams?

2. Do leaders today exhibit the characteristics of servant leadership?

3. Can this information be useful in training people to develop into leaders who exhibit the characteristics of servant leadership?

As people are able to interact with these questions, it is hoped that there will be a greater and growing awareness of and desire for promoting the concept of servant leadership throughout all of our organizations. It is this author's assumption that through this growing awareness we will be able to unleash the powerful potential of creativity and leadership that is within each of us for the purpose of building up ourselves and our organizations while reaching out to others and impacting a very needy world.

<div align="center">Definition of Terms</div>

Organization – refers to any legally structured entity made up of various workgroups of people. An organization can have a business, government or non-profit purpose.

Team – refers to individual workgroups within an organization that have a recognized leadership structure, membership and purpose.

Characteristics (of Servant leadership) – refers to observable behaviors, attitudes, values and abilities that are exhibited by people within an organization or team.

Expert (for Delphi panel) – refers to a person who has written on servant leadership or has taught at the university level on the subject.

<u>Assumptions</u>

The major assumptions of the study are:

1. That the characteristics of servant leadership can be identified and are observable in the context of organizational and team life.

2. That a consensus of opinion of a group of experts is more valid than the thinking of one individual (Guglielmino, 1997) in determining the characteristics of servant leadership.

3. That the experts in the Delphi study were complete and thorough in their responses to the questionnaires.

4. That the participants in the field test of the instrument answered truthfully.

CHAPTER TWO

REVIEW OF THE LITERATURE

Introduction

Bernard Bass (1981) tells us that "the study of leadership is an ancient art" and that "leadership is a universal human phenomenon" (p. 5). From the classics we hear Plato, Caesar, the ancient Egyptians and Chinese speak of the importance of leadership and the role of the leader. Throughout recorded history we are confronted with the fact that leadership is closely tied with the concepts of power, authority, status and position. Often leaders have used the power of leadership to force their will upon others and have held that this is their right. Isn't it true that our country's system of checks and balances government was set up in an effort to curb the unrestrained power of the despot?

Cohen (1990) quotes General Gorge S. Patton as saying that leadership is "the art of getting your subordinates to do the impossible" (p. 7). Cohen's own definition is "leadership has to do with getting things accomplished by acting through others" (p. 3). These more benign definitions still carry with them the implication that the leader is the one who knows what needs to be done and that people are a means to an end … the end that the leader has in sight. This is still a power-over style of leadership and it remains the most accepted and common model of leadership throughout the world (Cohen, Fink, Gadon & Josefowitz, 1995). President Harry S. Truman put his own slant on this definition of leadership when he stated, "Leadership is the ability to get men to do what they don't want to do and like it" (Owens, 1991, p. 289).

Servant leadership provides a different way of looking at leadership, the leader

and the worker. In this review of the literature we will be focusing on three basic

questions:

1) What is servant leadership?

2) Why is it important?

3) What are the characteristics of servant leadership?

We will begin our search with some of the writings of the distant past on leadership

and the servant, particularly as found in the Biblical record. We then will move on to the

1970's when Robert Greenleaf introduced the term "servant leadership" to the leadership

lexicon. From there we will move beyond Greenleaf to see what other writers have

added to the foundation he laid.

Writings from the Distant Past: The Biblical Record

When Rehoboam became King of Israel after the death of his father Solomon, he

held an audience with his followers who proceeded to lay down conditions for their

continued faithfulness to him. They told him "your father put a heavy yoke on us, but

now lighten the harsh labor and the heavy yoke he put on us, and we will serve you" (I

Kings 12:4). Rehoboam asked for three days to prepare a response and to seek the

wisdom of his advisors. The decision he had to make was a choice as to the kind of

leader he would be. Two different views quickly emerged. One group of advisors (the

elder wise men of the kingdom) instructed him to see himself as a servant to the people.

They told him, "if today you will be a servant to these people and serve them and give

them a favorable answer, they will always be your servants" (I Kings 12:7). The second

group of advisors (the young men, Rehoboam's contemporaries) gave different advice.

They suggested, "tell these people … my father laid on you a heavy yoke; I will make it

even heavier. My father scourged you with whips; I will scourge you with scorpions" (I

Kings 12:10-11). Rehoboam made the choice that many leaders have made before and

after him. The choice was to not listen to his people but to claim for himself the right to

use power over the people to force compliance. As a direct result of his choice the

Kingdom was irrevocably divided and he lost the majority of his followers.

The reality of this choice and the prevalence of the power and authority model of

leadership was confronted by Jesus Christ about 800 years later, as he presented a

different leadership model for the new Kingdom that he offered.

> The kings of the Gentiles lord it over them; and those who exercise
> authority over them call themselves Benefactors. But you are not to be
> like that. Instead, the greatest among you should be like the youngest, and
> the one who rules, like the one who serves … I am among you as one who
> serves (Luke 22:25-27).

It is clear what choice Jesus would have made if he had been in Rehoboam's position.

The choice of controlling others or serving others is always present in the dynamics of

leadership. Jesus, by all accounts one of the greatest leaders of all time, saw himself as a

servant to the people that he led. He made it clear that he "did not come to be served, but

to serve, and to give his life as a ransom for many" (Matthew 20:28). Servant leadership

is seeing your role as leader to be a servant to others. It is refusing to use the position of

leadership to gain service from others, but to use your power to provide appropriate

service to them.

Jesus also addressed the tendency of leaders to put great stock in their preeminent positions. He said "if anyone wants to be first, he must be the very last, and the servant of all" (Mark 9:35). Servant leadership does not rely on position, status or prestige. It is not holding onto leadership position at all cost.

This radical view of leadership was difficult for the followers of Jesus to handle. As history clearly tells us, most of his followers found the traditional model of power and authority leadership to be the best suited for their purposes. There are occasional glimpses of the servant leadership model in practice. Saint Augustine wrote the following to his followers.

> For you I am a bishop, but with you I am a Christian. The first is an office accepted; the second is a gift received. One is danger; the other is safety. If I am happier to be redeemed with you than to be placed over you, then I shall, as the Lord commanded, be more fully your servant" (Sims, 1997, p.3).

Other leaders have used the servant title as well. George Washington signed his letters "your most humble and obedient servant" (Sims, 1997, p.116). To be sure, the use of the term servant doesn't guarantee that servant leadership is being practiced. Though the term is somewhat familiar, seldom has the reality of the leader as servant filtered down to those being led. In spite of occasional glimpses, the servant model of leadership remained mostly ignored until the writings of Robert K. Greenleaf.

Robert K. Greenleaf and The Greenleaf Center for Servant-Leadership

Throughout his first career of 38 years, Robert Greenleaf worked for AT&T, eventually serving as Vice-President for Management research. Upon his retirement in 1964 he began the Center for Applied Ethics which became The Greenleaf Center for

Servant-Leadership 21 years later. Before his death in 1990, his second career took off

as writer, speaker and consultant to business, universities and churches. The idea of

servant leadership came out of his studies of leadership and from reading the parable of

Leo in the novel *Journey to the East* (Hesse, 1956). In this story, Leo is the servant of a

band of travelers who are on a quest. Even as Leo serves the needs of the group, he also

provides strength and stability to the group. When Leo leaves the group one night the

entire band begins to unravel and the quest is ultimately abandoned. Later in the story it

is revealed that Leo, the servant, is in reality the leader that the group was seeking. Leo

was the servant leader and Greenleaf picked up on this as the central part of his

leadership theory.

> Who is the servant leader? Greenleaf (1977) put it this way.
>
> The servant-leader *is* servant first ... it begins with the natural feeling that
> one wants to serve, to serve *first*. Then conscious choice brings one to
> aspire to lead. That person is sharply different from one who is *leader*
> first, perhaps because of the need to assuage an unusual power drive or to
> acquire material possessions. For such it will be a later choice to serve--
> after leadership is established. The leader-first and the servant-first are
> two extreme types. Between them there are shadings and blends that are
> part of the infinite variety of human nature (p. 13).

Servant leaders see their role as servant and then leadership becomes for them one

of the ways in which they serve others. Greenleaf (1977) goes on to say that this "servant

first" person is "more likely to … refine a particular hypothesis on what serves another's

highest priority needs than is the person who is *leader first*" (p. 14). The emphasis is on

the true motivation of the leader: to lead or to serve. For Greenleaf, leadership had

everything to do with what a person was inside rather than the particular techniques or

skills that might be employed. It was vital that the servant leader be completely self-

aware. He stated it in this way.

The servant views any problem in the world as in here, inside oneself, not out there. And if a flaw in the world is to be remedied, to the servant the process of change starts in here, in the servant, not out there (1977, p. 44).

Greenleaf did not bother to define servant leadership but rather spent his time talking about what the servant leader does and how those actions affect others. He believed that if servant leadership was being practiced that " all men and women who are touched by the effort grow taller, and become healthier, stronger, more autonomous, and more disposed to serve" (1977, p. 47). The true test of the servant leader will be in the positive growth of people that he or she leads.

Dr. Larry Spears, the current Director of The Greenleaf Center for Servant Leadership, has identified ten key characteristics of servant leadership from the writings of Greenleaf.

1) Listening receptively to what others have to say.
2) Acceptance of others and having empathy for them.
3) Foresight and intuition.
4) Awareness and perception.
5) Having highly developed powers of persuasion.
6) An ability to conceptualize and to communicate concepts.
7) An ability to exert a healing influence upon individuals and institutions.
8) Building community in the workplace.
9) Practicing the art of contemplation.
10) Recognition that servant-leadership begins with the desire to change oneself. Once that process has begun, it then becomes possible to practice servant-leadership at an institutional level. (Spears, 1994, p. 2)

Greenleaf (1987) encouraged us to "reject the idea that our fellow humans are to be used, competed with or judged" (p. 10). This high view of people as partners and fellow-workers is a hallmark of the servant leadership model. The ultimate test of servanthood,

for Greenleaf, is to help others to ultimately become servants as well. In this way all people within organizations and within society may benefit.

Servant leadership, more than any other leadership concept, deals with the issues of power, position and privilege. Greenleaf (1987) knew that "Servanthood is ultimately tested wherever one is with one's power" (p. 68). He knew that the primary moral test for a leader is what they do with the power they have. Servant leaders use power to promote the good of the people they are leading. In fact, Greenleaf (1987) claims that the responsibility of institutions is to raise all of the people in them to a higher level of quality as persons and as workers than they would achieve on their own" (p. 110).

The Greenleaf Center for Servant Leadership has continued the promotion of Greenleaf's works and the concept of servant leadership. Larry Spears and other staff have continued to posthumously publish some of the writings of Robert Greenleaf. Two of these volumes, *On Becoming a Servant Leader* and *Seeker and Servant* were published as recently as 1996. Larry Spears has also edited a book of essays called *Reflections on Leadership: How Robert K. Greenleaf's Theory of Servant-Leadership Influenced Today's Top Management Thinkers.* This book presents contributions from diverse leadership thinkers such as Max Dupree, M. Scott Peck, Peter Senge and Greenleaf. In this book, Spears (1995) tells us that "great leaders must first serve others, and that this simple fact is central to his or her greatness. True leadership emerges from those whose primary motivation is a desire to help others" (p. 3). M. Scott Peck (Spears, 1995) shares that

> Servant leadership is more than a concept. As far as I'm concerned, it is a fact. I would simply define it by saying that any great leader, by which I also mean an ethical leader of any group, will see herself or himself primarily as a servant of that group and will act accordingly (p. 87).

This collection of essays makes the case that the servant leadership concepts of Robert Greenleaf have set the foundation for the cutting edge leadership thinking of today. This thinking includes learning organizations, the empowerment movement, the importance of followership, flattened organizational structures and organic organizational models. Servant leadership is seen as promoting the moral, relational and structural base for the realization of these new concepts. However, not everyone welcomes these new concepts without reservation.

Cowan (1996) is one who reacts to the quick acceptance of these new ideas. He comments, "for those of us living within the limitations of Newtonian physics, a trip through *Reflections on Leadership* is a trip trough the looking glass to join Alice in Wonderland – which is not to say we should not do it" (p.). Cowan concludes that we need to go beyond the simplicity of Frederick Taylor but perhaps not quite so far as "this mystical view" suggests. He is still waiting for the synthesis between the two.

In the progression of his writings, Greenleaf moved from the individual as servant to the institution as servant. He believed that the relatively recent development of large institutions in our world created a new responsibility for those institutions to serve the people within them. To him, "the two themes – individual and institution – are really inseparable" (Frick & Spears, 1996, p. 345). This interest led Greenleaf (1977) to propose a new type of top leadership in organizations called primus inter pares (first among equals). This concept suggests that the top leader would intentionally limit his positional power by serving as the "first" of a leadership team. This model addressed the critical issues of unrestrained power, team building and empowering others. Other

writings of Greenleaf took his message to the trustees of organizations, seminaries, universities and churches.

Beyond Greenleaf: Other Writings on Servant Leadership

It is almost impossible to read the literature on this subject without coming across the name of Greenleaf. Due to the strength of his original ideas and the continuing work of The Greenleaf Center for Servant Leadership, he stands as the basis of most of the current writing on the subject. The other foundation for current writing is found in Christian teaching on servanthood and the clear modeling of the concept in the life of Jesus Christ. Over eighty dissertations are now available on the topic and the vast majority of them are from a Christian perspective. However, most of the dissertations are from a theoretical and qualitative basis. There is almost no quantifiable research on this important subject.   With the growing interest in the topic, especially in the area of leadership studies from an organizational perspective, the need for serious and continuing research is evident.

Max DePree (1989) introduced servant leadership to a broader audience of people who respect his leadership success at Herman Miller, a for-profit furniture company. DePree challenged the role of profit as the driving force of business by stating that

> Profit, the hoped-for result of the 'how,' is normal and essential. Those
> results, however, are only a way to measure our resourcefulness at a point
> in time, mile markers on a long road. Why we get those results is more
> important (p. 2).

He believed, as Greenleaf did, that the business existed as much for the people working there as for the customer who purchased the products. He proposed that any organization needs to believe in its people and that leaders need to "endorse a concept of persons" beginning with "an understanding of the diversity of people's gifts and talents" (1989, p. 9). One of the leader's key goals is to nurture these gifts and talents so that people can fully develop towards their potential. He believes that the "first responsibility of a leader is to define reality … the last is to say thank you … in between the two, the leader must become a servant and a debtor" (1989, p.11). DePree also introduces the concept of roving leadership. This is an understanding that everyone in the organization brings leadership to the group in line with their unique gifts and contribution. Leadership is not a position, but a task that is fulfilled when needed by the group. Servant leaders recognize that often they will follow as well as lead. Leaders are to "become vulnerable by sharing with others the marvelous gift of being personally accountable" (1992, p. 12). DePree (1992) emphasizes the team building role of the servant leader and likens the team to a jazz band that learns how to make full use of the unique gifts of each person and blends together into a creative partnership that goes beyond the sum of the parts. DePree's 1997 book relates these concepts to the area of not-for-profit organizations where organizations are more driven by the cause than the bottom line of profit.

Bennett Sims (1997) reinforces the point that leadership is not position. To him leader is "a word for a person's role; 'servant' can be a word for a person's identity" (p.18). He recognizes that the two words servant and leader don't seem to belong together. He notes that "Servant leadership itself is a paradox that looks like a rational absurdity, an oxymoron, a contradiction … paradox is thus a formula for the *whole* truth"

19

(p.21). Sims is one of few that has suggested a definition for servant leadership, which is

"to honor the personal dignity and worth of all who are led and to evoke as much as

possible their own innate creative power for leadership" (p.10-11). The focus here in on

a high view of people and on building each person's potential. To accomplish this, the

leader is to:

1) promote a shared vision

2) be a lifelong learner

3) use power to care for others' needs

4) build community and collaboration

5) be vulnerable, not promoting self

6) communicate honestly

7) build up others

Jim Kouzes and Barry Posner (1995) have written about leadership from the position

of what works in the experience of actual leaders. They make the case for the fact that

most of what we have understood about leadership is "a myth" (p. 15). They refer to the

myth of the leader being the one with all of the answers and the need to maintain the

"great man" theories that our power and control leadership practice is based upon. They

emphasize instead the necessity of leaders being learners. This is an attitude that accepts

the fact that leaders don't know it all: that they don't have all of the right answers. Trust

is a critical ingredient in the relationship of the leader to the people led. They found that

"trust has been shown to be the most significant predictor of individual's satisfaction

with their organization" (1995, p. 165). Trust comes from the credibility of the

relationship (1993). Trust comes from the way that leaders deal with their position of

power and the issue of control. It is built when leaders make themselves "vulnerable to others whose subsequent behavior we can't control" (1995, p. 167). Servant leadership addresses this issue of leader control by recognizing that the leader role is not to control but to support and enable. This then leads to greater freedom and productivity from the followers. Control actually has a reverse effect from its intention in that "it actually erodes the intrinsic motivation that a person might have for a task … intrinsic motivation is essential to getting extraordinary things done" (1995, p. 181). Leaders do have power, but they become the most powerful when they give their power away to others. This is one of the paradoxes of servant leadership.

John Gardner (1984) asserts that shared values are critical in an organization and that the role of the leader is to unlock the motivation that exists in the worker. He states that "in the conventional model, people want to know whether the followers believe in the leader. I want to know whether the leader believes in the followers" (p.152). Gardner promotes enabling and empowering people. He encourages this through:

1) the sharing of information and opportunities for learning.

2) the sharing of power by devolving initiative and responsibility.

3) the building of confidence of followers so that they can achieve their own goals through their own efforts.

4) removing barriers to the release of individual energy and talent. (1990, p. 22)

Stephen Covey (1994) has written that "Servant Leadership requires humility of character and core competency around a new skill set" (p. 3). He suggests three steps for executive leaders to take:

1) building relationships of trust

2) setting up win-win performance agreements and then,

3) being a source of help.

He speaks of servant leadership as one of the ways in which leaders may relate to followers and he ends up mixing this with the idea of benevolent authority. In Covey's view the leader is the authority until the goals are set and then the servant leader role is activated.

Ken Blanchard (1995) presents a similar scenario. He suggests that the normal hierarchical approach to leadership is appropriate for the setting of the goals and direction and then once these are set the organizational pyramid can be turned upside down and the leader then becomes a servant to the people. He encourages us to remember that "the servant aspect of leadership only begins when vision, direction, and goals are clear" (p.12). This is a view of servant leadership as a style: as one option that the leader of today might employ in working with people.

Bill Millard (1995) rejects the idea of servant leadership as merely another style of leadership. He sees servant leadership as a "philosophy and approach to leadership … a way of life and thinking" (p. 3). The servant leader has a different way of viewing leadership than does the traditional leader. People are to be served, but not just when it is useful for the company or for reaching the leader's goals. Servant leaders *are* servants. They display the characteristics of servant leadership because these characteristics are congruent with their own intrinsic values. Millard says that servant leadership is "not just a set of practices that can be adopted" (1995, p.3). He identifies several traits of servant leadership that include:

22

1) Teamwork – the leader is part of the whole rather than being apart from the whole.

2) Setting an Example – the leader models behavior rather than imposing behavior.

3) Affirmation - the leader builds people up rather than holding them down.

4) Familiarity – the leader seeks to know and be known rather than seeking aloofness and insulation from those being led.

5) Individuality – the leader values uniqueness and differences rather than conformity.

6) Flexibility – the leader believes that rules and procedures should fit the needs of people rather than the other way around.

7) Healing – the leader is committed to restoration and improvement rather than requiring perfection (1995).

In addition to these ways of working with others, Millard also identifies key inner qualities of the servant leader. They include unpretentiousness, integrity, transparency, self-denial and compassion.

Fairholm (1994) in his book, *Leadership and the Culture of Trust*, makes the point that "earning trust is a function of leader-follower interaction" and he suggests that "a record of service to followers is critical in defining the leader's trust relationship with followers" (p.109). The leader who serves helps to create an atmosphere of credibility and trust. This is part of what it means to build the culture within an organization or the underlying values upon which an organization functions.

Edgar Schein (1985) contends that creating and managing culture is the only thing of importance that a leader really does. Perhaps this is an over-statement, but it does

suggest that the leader's influence on the organization derives more from the atmosphere created than from executive decisions made. Creating a culture of servanthood and service is a by-product of a servant leader acting within an organization.

In addressing the needs of leadership in higher education, Bogue (1994) calls for leadership based on honor, dignity, curiosity, candor, compassion, courage, excellence, and service. These qualities refer not only to the inner character of the leader but also the way the leader relates to others in the organization. People are looking for a leadership of care that promotes a high standard of excellence throughout the college or university.

In a training program that he developed on servant leadership, Roberts (1996) has identified six characteristics of an open or servant leadership. They are open agendas, collaboration (emphasizing "we" over "I"), open/two-way communication, trust, empowerment of others and an open mind. The servant leader is open, authentic and honest. Knowing that leadership is not position, the servant leader is free to be completely vulnerable while refusing to use self-protective strategies that become counter productive to serving others and to the interests of the organization.

Kiechel (1992) takes a look at servant leadership within the context of corporate America. He believes that the servant leader takes people and their work very seriously, listens and takes his lead from the troops, heals, is self-effacing and sees himself as a steward. Kiechel contends that most critics of this leadership model focus their attack on the idea of listening to the will of the group. This kind of listening takes time and goes against the tendency of leadership to control outcomes for the organization. The notion of shared vision and outcomes is central to the servant model of leadership and it takes a true servant to pull it off in a corporate setting.

Jahner (1993) emphasizes the skill of the servant leader to enter into relationships with individuals or communities. This provides the opportunity of empowering others which he sees as moving authority from an extrinsic source to an intrinsic one. Intrinsic authority is more valued because it is the true motivation of a person to excel. He believes that "an organization's level of commitment to servant leadership can be measured in terms of hospitality … the leader serves the larger vision by becoming subordinate to the authority of the community" (1993, p. 34). Servant leadership recognizes that leaders obtain their right to lead by the will of the followers. Leaders are part of the community, not separated from it.

Peter Senge (1990) has become well known as a proponent for the learning organization. He believes that "dynamic learning organizations are built and maintained by servant leaders who lead because they choose to serve" (1997, p.17). He contends that this kind of leadership is "inevitably collective" as opposed to hierarchical because "only with the support, insight, and fellowship of a community can we face the dangers of learning meaningful things" (1997, p.17). Two beliefs that he identifies with servant leadership are the belief in the dignity and worth of all people and the belief that power to lead flows from those who are led.

Kezar (1996) describes servant leadership as a philosophy where there is an open environment, where "people feel comfortable …Everyone has a voice and works collaboratively using skills such as truthtelling, dialoging, and mapping processes" (p. 14). He recognizes that the servant leadership model is in conflict with the commonly held values of autonomy and individuality. Servant leaders cannot work alone to achieve their own purposes. They must work in collaboration with others. Serving requires an

object. Kezar observes that the individuality of the traditional leadership model is not shared by all in our society. He discovered that "almost all of the women and people of color … interviewed, mentioned that the servant leadership model was close to the way they had always thought about leadership" (1996, p. 25).

Lea Williams (1996), a woman of color, wrote the book Servants of the People: The 1960s Legacy of African American Leadership. One of the leaders profiled, Fannie Lou Hamer, was in the forefront of the battle for civil rights in Mississippi during the 1960s. Williams uses Hamer as an example of servant leadership displayed. According to Williams, "the servant-leader is committed to serving others through a cause, a crusade, a movement, a campaign with humanitarian, not materialistic, goals" (1996, p. 143). She refers to Greenleaf's test for servant leadership which includes those persons being served growing while the least privileged in society benefit. Characteristics Williams highlights include the following:

1) Honesty, integrity and credibility

2) A persuasive personality

3) Willingness to work in the trenches with people from varied backgrounds and diverse experience.

4) Facilitating cooperative interaction among diverse groups

5) Never rejecting people

6) Demonstrating empathy, understanding and tolerance

7) Sustained by an abiding faith in God, self, others and the cause

Williams believes that under the concept of servant leadership oppressed groups can communicate with each other as "fellow sufferers, all working toward a common goal,

but without an omniscient leader advancing an immutable agenda derived from a single vantage point" (1996, p. 143).

Nouwen (1996) speaks to the issue of the vulnerability of the servant leader. The servant leader releases power and control in order to love and serve others. Nouwen draws a connection between our willingness to release control and our ability to love when he states,

> The temptation of power is greatest when intimacy is a threat. Much Christian leadership is exercised by people who do not know how to develop healthy, intimate relationships and have opted for power and control instead … many Christian empire builders have been people unable to give and receive love (p. 60).

The servant role is one that accepts suffering. Max DePree (1989) tells us that the leader doesn't inflict pain, but he bears it. This is the hallmark of servant leaders. They are willing to bear the pain of serving others in an imperfect world. Nouwen puts it this way. "Here we touch the most important quality of Christian leadership … it is not a leadership of power and control, but a leadership of powerlessness and humility in which the suffering servant of God, Jesus Christ, is made manifest" (1996, p. 63).

O'Conner (1991) warns us that the servant leader of today is "in danger of becoming the tyrant … of tomorrow, unless he or she learns to die in the now … and it is never only one death" (p. 95-96). Palmer (1990) mirrors the same thought when he states that "the spiritual gift on the inner journey is the knowledge that death is natural and that death is not the final word" (p. 18). The death being discussed here is the death to self, to control, to power over others. Several writers on the subject are willing to admit that a death is involved in the process of becoming a servant leader. It is a dangerous path that leads to great freedom and promise for both the leader and the people led.

Hawkins (1996) addresses one of the questions that often comes up concerning servant leadership. If the servant leader is supposed to listen to the group, what if the group does not have a clear direction or goal? He tells us that the servant leader serves the group by facilitating them through a process of identifying vision and goals. Hawkins makes it clear that the "servant leader leads as well as serves. But, they serve first" (p. 6).

Hagstrom (1992) presents his own journey into servant leadership as an educator at the Alaska Discovery School.

> After years of observing leaders bully children, teachers, and parents into reform, I wanted to try a different approach to leadership – to be an encourager, not a dictator; a facilitator, not a know-it-all. The 'servant leadership' approach especially impressed me. I wanted to encourage innovation in the school by nurturing the skills of children, teachers, and parents. I was convinced that if a leader of an institution helped others understand their own leadership abilities, that institution would become healthier and stronger. Hierarchical rights had to go, so that true power could be realized (p. 23).

Servant leadership is an alternative to the traditional power and authority model that is still most prevalent in our organizations today. It should be noted that there are abusive authoritarians and benevolent authoritarians but they both lead from the foundation of a power and authority model.

Holden (1988) asserts that today's manager needs to be both a visionary and a servant. He states, "As a visionary, the manager keeps the team future-oriented … As a servant, the manager … ministers to associates … they're in the trenches, along with the rest of the team, with their sleeves rolled up" (p. 6). He believes that one of the key aspects of the leader's service is the giving of respect to people. You respect them enough to listen, to be open with them and to trust them.

Schwartz (1991) presents the servant leader as the leader for the 90s. He claims that the older styles of leadership are no longer going to work. The "new breed" of leaders will "see themselves as part of a team, balancing organizational goals with their employees' needs" (p. 22). Schwartz presents the following characteristics of the servant leader.

1) being a participatory leader

2) involving employees in decision making

3) providing direction

4) creating a positive environment

5) making sound decisions

6) looking ahead

Lee and Zemke in their 1993 article The Search for Spirit in the Workplace claim that servant leadership is the "unifying strand" behind the recent interest in spirit in the workplace. The workplace, once seen as a place to earn a living, is now viewed as a place of personal development and growth (Bolman & Deal, 1995). Lee and Zemke quote from Harry Levinson who wonders if servant leadership is more of a philosophy for book writers and publishers than for practicing managers in the real workplace. His concerns have to do with the inability of the servant model to deal with what he calls "the underlying fundamental aggression of people in the workplace." He wonders if servant leadership would fit within the existing culture of most businesses and if the "different conceptual abilities" of people are being considered. "Managers have to take charge and be appropriately aggressive", according to Levinson (Lee & Zemke, 1993, p. 24). Levinson raises some important questions here, but he also reveals his own biases

concerning common workers and their abilities to lead in the workplace. His quotes also show the tendency to see servant leadership as soft and unrealistic for the real world of business and corporate life. Lee and Zemke go on to quote from Edward Lawler, professor at the Business School of the University of Southern California and Director of the Center for Effective Organizations who states, "the traditional business model has failed and we're looking for a replacement. Here's one new-old paradigm" (1993, p. 28).

So does the servant leadership model really work in practice? Ken Melrose (1996), the CEO of the Toro Company suggests that servant leadership is not the easy path, but it does the most people the most good. He makes it clear that the motivation of the servant leader is not to get more out of people but to help build their self-worth and dignity. Leadership is not a position, according to Melrose, but it is all about character and competence and building an environment of trust.

Young (1997) proposes that servant leadership is the emerging style for church renewal and Campbell (1997) agrees. Campbell relates how difficult it is for Church leaders to let go of control and focus on community building and listening to where people are in their journeys. The leader does not have to have all of the ideas.

Sarkus (1996) draws a distinction between servant leadership and its distant cousins, transformational and charismatic leadership. These two models, which are based on trait theory, hold that leaders "possess certain 'gifts' that allow them to effectively lead and transform" (p. 26) their organizations. It is the moral and ethical quality of servant leadership that separates it from the others. Sarkus believes that only servant leadership provides protection against the natural tendency of leaders to be self-serving and to avoid personal accountability. Sarkus holds that "servant-leadership is to humbly serve without

expectation to be served by those who follow" (p. 27). This is risky business, but he feels that the results are worth it. Establishing "trust and accountability begins a powerful, lasting movement toward increased productivity, profit, quality and safety performance" (p. 28). For Sarkus, caring is the starting point, and serving is the goal.

Summary

Servant leadership is more than a style of leadership. It is a different way of thinking about the purpose of leadership, the true role of the leader, and the potential of those being led. The servant leader sees leadership as an opportunity to serve others along with the shared objectives of the organization. Leadership is not position, recognition, status or prestige. It is not controlling people, but freeing people towards their full potential. Leadership is a responsibility that all share within the organization. Servant leaders will use their position and power to empower those whom they lead and they will work alongside them as partners … as community.

The role of the leader is one of being a learner. Servant leaders know that they don't have all of the answers. They are still growing and becoming. Their ears are open to input from all levels of the organization. They know they need others and the creativity and uniqueness that each person brings to the group.

People have immense potential. They have an large reservoir of knowledge, questions and ideas to contribute. People need to be freed to fulfill their potential so that they can grow as persons and contribute to the shared mission of our organizations and teams.

Summary of Servant Leadership Characteristics

Table 1

Initial Clustering of Characteristics by Authors

Characteristic	Authors
Listening	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Kiechel (1992), Hawkins (1990), Holden (1988), Lee C. (1993), Tice (1994), Blanchard (1995), Campbell (1997), Walker P.D. (1997)
People first, high view of people Values people Acceptance and empathy w/ People Affirms others Believes in people Respects people Skilled in relationships Encourages Develops people	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Millard (1994,1995), Kiechel (1992), Jahner (1993), Kezar (1996), West (1996), Hawkins (1990), Hagstrom D. (1992), Holden (1988), Lee & Zemke (1993), Covey (1994), Blanchard (1995), Senge (1997), Melrose K. (1996), Hansel T. (1987), Zinkler L.C. (1990)
Intuition/foresight Vision Sees the future	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Kezar (1996), Schwartz (1991), Lee & Zemke (1993), Covey (1994), Blanchard (1995), Zinkler L.C. (1990), Walker P.D. (1997), Green H. (1996)
Awareness/Perception Lifelong Learner Asks questions Creates learning environment/experiences Learns from others	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Covey (1994), Sarkus (1996), Tarr (?), Hagstrom D. (1992), Tice (1994), Campbell (1997), Melrose K. (1996), Walker P.D. (1997)
Uses persuasion Vs. coercion	Greenleaf (1977), Spears (1994), Sims (1997), Walker P.D. (1997)

Healing	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Sarkus (1996), Millard (1994,1995), Kiechel (1992)
Love/Unlimited liability Compassion	Greenleaf (1977), DePree (1989,1992,1997), Millard (1994,1995), Sims (1997), Kouzes & Posner (1993, 1995), Spears (1994), Kezar (1996), Larkin D.K. (1995)
Ethical use of power and authority Not coercive Shared power Release control Doesn't rely on positional authority Empowers others Enables people Shared decision making Shared leadership	Greenleaf (1977), DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Spears (1994), Sarkus (1996), Hatcher (1997), Santos (1997), Jahner (1993), Kezar (1996), Hagstrom D. (1992), Schwartz (1991), Lee & Zemke (1993), Covey (1994), Senge (1997), Campbell (1997), Melrose K. (1996), Stott J.R. (1986), Ward T.W. (1996), Nouwen H. (1996), Walker P.D. (1997), Larkin D.K. (1995)
Self-reflective, looks within first Spiritual journey Contemplative	Greenleaf (1977), Spears (1994), Sarkus (1996), Hatcher (1997)
Builds community Team Collaborative Inclusive Partnership "we" vs. "I" Working with vs. apart from	Greenleaf (1977), Spears (1994), DePree (1989,1992,1997), Covey (1994), Sims (1997), Kouzes & Posner (1993, 1995), Sarkus (1996), Hatcher (1997), Millard (1994, 1995), Jahner (1993), Kezar (1996), Holden (1988), Schwartz (1991), Tice (1994), Campbell (1997), Walker P.D. (1997)
Laughter/Humor	Greenleaf (1977), DePree (1989,1992,1997), Spears (1994)
Risk taking	Greenleaf (1977), DePree (1989,1992,1997), Kouzes & Posner (1993, 1995), Spears (1994), Walker P.D. (1997)
Models behaviors Leads by example	Millard (1994, 1995), DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Hatcher (1997), Kezar (1996), Zinkler L.C. (1990), Walker P.D. (1997)
Develops familiarity Open to being known Open, honest, transparent Vulnerable Integrity Admits limitations/mistakes Authentic Accountable	Millard (1994, 1995), DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Spears (1994), Hatcher (1997), Kezar (1996), West (1996), Holden (1988), Covey (1994), Ward T.W. (1996), Nouwen H. (1996), Walker P.D. (1997), Larkin D.K. (1995)

Denies self Unpretentious Not focused on own image Open to criticism/challenge Humble Credible Open communication	
Encourages individuality Diversity Inclusive	Millard (1994, 1995), DePree (1989,1992,1997), Hansel T. (1987)
Builds a trust environment Trusts others Is trustworthy	DePree (1989,1992,1997), Kouzes & Posner (1993, 1995), Spears (1994), Hatcher (1997), Holden (1988), Lee & Zemke (1993), Melrose K. (1996), Ward T.W. (1996)
Ethical, moral	DePree (1989,1992,1997), Sarkus (1996), Hatcher (1997), Walker P.D. (1997)
Initiates action Moves out ahead Action oriented	DePree (1989,1992,1997), Sims (1997), Kouzes & Posner (1993, 1995), Spears (1994)
Hospitality	Jahner (1993), Larkin D.K. (1995)
Facilitating	Hagstrom D. (1992), Blanchard (1995), Green H. (1996)

The Need For an Instrument

It is clear from a review of the literature that servant leadership is gaining in recognition among organizational leaders. It is also clear that servant leadership remains an intuition-based concept (Greenleaf, 1977). There is a significant lack of quantitative research, as we are still in the early stages of study in this new field; and there is a need for tools to assist in ongoing research. This study seeks to help define servant leadership in terms of its characteristics and then to use those characteristics to design an assessment tool that can be used within organizations or teams to determine the presence of those characteristics. It is likely that an instrument of this type will encourage the gathering of quantifiable data on this intuitively held leadership concept.

Schiemann (1996) claims that "people issues are frequently reported to be the issues least well understood in organizations." He also states that "even those who presume they know their cultures are often substantially off the mark" (p. 89). If what he says is true, then an instrument designed to provide objective data can be used to help an organization see and understand its own leadership culture.

James O'Toole tells us that "ninety-five percent of American managers today say the right thing. Five percent actually do it" (Quoted in Dinkmeyer & Eckstein, 1996, p. 4). The information gained from an instrument of this type will encourage managers, leaders and workers to look at what they actually *do* in the workplace and then perhaps they can hold themselves accountable for the kind of leadership they display.

Greenleaf (1987) tells us that "effective servant-leaders can be so subtle about it that all that anybody is likely to see is the result" (p. 151). It is true that servant leadership is not about self-promotion and therefore it may not always be explicitly identified in an organization. Asking about the presence of specific characteristics through a written instrument will help to bring servant leadership, or its absence, out into the open.

The interest in and use of assessment instruments is growing in organizations. Wagner & Spencer (1996) tells us that due to organizations who are "propelled by the movement away from command-and-control management, the sweeping influence of total quality, and other pervasive changes in the management of organizations, the value of measurement is increasingly being emphasized in organizations today" (p. 83). They also point out that there is "an increasing need to develop measurement systems for such softer processes as cultural change" (p.84). These "softer" people issues are more

35

difficult to define and assess, but they are crucial to the future of our organizations and

the people who lead and serve within them.

CHAPTER THREE

DESIGN OF THE STUDY

Conceptual Framework

The review of the literature on the subject of servant leadership suggests that a new view of leadership is called for to deal with the organizational challenges in our future. Bornstein & Smith (1996) tell us that "Leadership has traditionally been thought of as the result of gifted people with preferred traits influencing followers to do what is necessary to achieve organizational and societal goals. This view, we believe, reflects the leadership of the past" (p. 282). Many of the authors reviewed have suggested that servant leadership presents a model for the leadership of the future. (Covey, 1994, Pollard, 1996, Lee & Zemke, 1993).

Therefore, this study has focused on clarifying the agreed-upon characteristics of servant leadership. A panel of experts in the field participated in a Delphi study to come to consensus on the characteristics. These characteristics were used to come up with a working definition of servant leadership and to develop the *Servant Organizational Leadership Assessment* instrument.

This instrument is designed to provide organizations and teams a tool with which to assess the perceived presence of servant leadership characteristics in their group. The tool is designed to be taken by any person in the organization including top leadership, managers and people in the workforce. One potential goal of this is to determine whether

differences exist in the perceptions held by people from different leadership roles in the organization.

It is hoped that the instrument will also become a catalyst for dialogue and ongoing training in organizations around the issues of organizational culture and leadership. Senge (1990) writes about the importance of team learning as a foundation to establishing a learning organization. He states that "if teams learn, they become a microcosm for learning throughout the organization" (p. 236). The results of a tool like the SOLA can become the basis for rich discussion at all levels of the organization.

In addition, the instrument will provide a quantitative scale for gathering and evaluating data related to servant leadership in organizations. Its availability is likely to increase the volume of research on this topic.

Outline of Research Procedure

In addition to the collection of servant leadership characteristics from the literature, this study involved both a Delphi survey and the development of the Servant Organizational Leadership Assessment (SOLA) instrument. Below is an outline of the procedures with specific detail following.

I.   Identification of the characteristics of the servant leader from the literature.

II.   Identification of the characteristics of the servant leader through a Delphi survey

        A.   Selection of experts

        B.   Gathering of data on the characteristics

        C.   Treatment of the data

III.   Constructing the SOLA Instrument

     A.   Item construction

     B.   Item review and revision

     C.   Assembly of the instrument

     D.   Pre-field test

     E.   Field test

     F.   Item analysis

     G.   Item review and revision

     H.   Estimation of scale characteristics from item data

         1.   mean

         2.   standard deviation

         3.   reliability

     I.   Analysis of Potential Subscores

     J.   Demographic Comparisons

     K.   Factor Analysis

<u>The Delphi Survey</u>

<u>The Delphi Technique</u>

In the late 1940's, studies were undertaken at the Rand Corporation concerned with "improving the statistical treatment of individual opinion" (Dalkey, Rourke, Lewis & Snyder, 1972, p.20). In 1953, Dalkey and Helmer introduced iteration and controlled

feedback to this developing procedure which came to known as the Delphi method or technique. Originally, this method was used for forecasting trends such as strategic wartime scenarios and forecasting is often mentioned in the literature as a part of the definition of this method. Through the years, however, this technique has been employed in a variety of fields, including education, health, business, science, public transportation and psychology, and has been used effectively in gathering expert opinion on a variety of topics.

The Delphi technique was developed as "a tool for obtaining the most reliable opinion consensus of a group of experts where exact knowledge is unavailable" (Guglielmino, 1977). It is a systematic way of collecting the opinions of a dispersed group and then moving them towards a form of consensus.

Sackman (1975) presents the Delphi technique as:

> an attempt to elicit expert opinion in a systematic manner for useful results … involves iterative questionnaires administered to individual experts in a manner protecting the anonymity of their responses. Feedback of results accompanies each iteration of the questionnaire, which continues until convergence of opinion. The end product is the consensus of experts, including their commentary (p. *xi*).

In many ways the Delphi method is similar to the Nominal Group Technique (NGT) in which a group of people are led through a facilitated process of identifying group answers to open-ended questions and then seek to come to a group consensus. The NGT, however, is a face-to-face group process while the Delphi is conducted with participants who are not in the same location and are not aware of each other's identity.

The Delphi technique has three distinctive features:

1) anonymity, which reduces the influence of dominant individuals within the group,

2) controlled Feedback , which reduces "noise," or extraneous group dynamics that are

not a part of the problem-solving process,

3) statistical group response, which reduces group pressure towards conformity. In this

process, group members can rethink their opinions and change their minds without

undue group influence. (Dalkey, et al., 1972, Smith & Heytler, 1985)

Though some have decried "the elusiveness of a fixed, universally agreed upon

working definition of Delphi" (Sackman, 1975, p. 2), there is a consistent pattern in how

the Delphi method is employed. First, the Delphi question is developed to address the

chosen problem. This question is open-ended and allows for wide-ranging responses. A

panel of experts is identified to respond to this question and then a series of

questionnaires are sent out to the panel. Questionnaire One will elicit a list of

widespread responses from the experts on the Delphi question. Questionnaire Two

provides the results from the first questionnaire and asks each panel member to rate the

responses on a scale. The third questionnaire provides the panel with the results from

questionnaire two and asks them to respond to these results with an additional rating of

the responses. The process moves progressively towards the convergence of individual

responses (Dalkey et al., 1972). The goal of the study is group consensus and the Delphi

has shown itself to be effective in reaching this kind of a goal.

This technique is built on the simple assumption that two heads are better than one

and that groups possess more information than any one individual. The procedure is

designed to facilitate the group process with the fewest distractions. This "anonymous

debate in a non-threatening manner" (Barnette, quoted in Guglielmino, 1977, p. 23)

allows for experts to participate when they normally could not due to time, travel and

cost restraints. Delbecq, Van de Ven & Gustafson (1975) see the Delphi as "a means for aggregating the judgments of a number of individuals in order to improve the quality of decision making, … particularly useful for involving experts … who cannot come together physically" (p. 83). They also suggest that this method requires three things: adequate time for the research, participants writing skills and high participant motivation. Adequate time is necessary since this method cannot be used for getting a quick final result due to the number of questionnaires and the time required to obtain each of the responses. Participants must be able to communicate clearly and succinctly in writing so that the researcher can make full use of their responses. Participant motivation is critical in order for them to maintain involvement throughout the process. The expert panel must believe strongly in the topic and in the potential for the study to provide real benefit.

The Delphi technique allows researchers to go beyond information available from a literature search by drawing upon the current knowledge of experts. The information gained is current and has the added benefit of being refined in the process of dialogue.

Sackman (1975), in his book *Delphi Critique* expresses many concerns with the general acceptance and use of this method. He believes that the Delphi technique has been used extensively without full attention to some potential problems. One of those problems is the rationale behind determining who will serve on the panel of experts. What qualifies them to speak to this issue? On what criteria are they selected? Sackman warns against choosing experts on the basis of being easy to reach with the potential of being influenced through a relationship with the researcher. A clear rationale for selection should be clearly stated in the written research report. He also raises a concern about statistical significance not being reported and the lack of long-term longitudinal

validation for the Delphi method. He also cautions about panelist dropout, which he notes, is one of the hazards of this kind of research.

Linstone and Turoff (1975) state that "it can be expected that the use of Delphi will continue to grow" (p. 7). This is probably due to the inherent strengths in the method. The Delphi allows for an equality of response; one that provides for minority viewpoints in a way that face-to-face discussions do not. Smith and Heytler (1985) remind us that "it is well accepted that opinion gleaned from several experts is superior to the opinion of just one expert" (p. 207). The Delphi technique provides the researcher with the opportunity to engage multiple experts in an anonymous dialogue resulting in a collective wisdom unavailable from any other research method.

Identification of the characteristics of the servant leader from the literature

Forty six characteristics of the servant leader were identified from the literature and were included in part two of round one of the Delphi survey. This list is included in Appendix A.

Identification of the characteristics of the servant leader through a Delphi survey

Selection of the Expert Panel

The experts were chosen based upon the fact that they had written on servant leadership or had taught at the university level on the subject. Fourteen experts completed all three parts of the Delphi out of the original 25 who were asked to participate. Fifteen originally agreed to participate but one dropped out after round one. The 14 participants included: Larry Spears, The Greenleaf Center for Servant-Leadership; Ann McGee-

Cooper and Duane Trammell, Ann McGee-Cooper & Associates (note: these two worked together on a single response for each part of the survey and are therefore counted as one respondent); Jim Kouzes, Learning Systems, Inc,/The Tom Peters Group; Dr. Bill Millard, Life Discovery and World Servants; Lea Williams, Bennett College; Dr. Joe Roberts, Suncoast Church of Christ; Jack Lowe, Jr., TDI Industries; Dr. Pam Walker, Cerritos College; Grace Barnes, Azusa Pacific University; Ann Liprie-Spence, McMurray University; Deborah Campbell, Servant Leadership Community of West Ohio; Dr. Ted Ward, Trinity Evangelical Divinity School and Michigan State University; Bishop Bennett Sims, The Institute for Servant Leadership.

Data Collection Procedure

A three-round Delphi process was used. The panel of experts received a series of three questionnaires which were sent along with cover letters and pre-addressed, stamped return envelopes. The initial questionnaire packet was sent through certified mail to help insure receipt of, and response to, the packets. The questionnaires in part two and three were printed in color to create a more attractive presentation and to encourage response. If a response was not received within approximately two weeks after each questionnaire packet was mailed, a follow-up letter along with a copy of the entire questionnaire packet was mailed out encouraging them to continue their participation. E-mail and phone reminders were also used to assist in getting these very busy people to respond through all three parts of the survey. Each questionnaire was coded for ease of identification. See Appendix A,B, C & D for samples of the questionnaires, cover and follow-up letters, and the final report to the expert panel.

<u>Questionnaire I</u>.   The first questionnaire provided a summary statement of the research

purpose and goals, a brief description of the Delphi method being used and forms for

recording responses. They were asked to list at least ten characteristics of the servant

leader. Once they completed their list they were asked to open an envelope that

contained a list of characteristics drawn from the literature. They then were asked to add

to their list any of the characteristics from the literature listing they felt should be

included.

Along with this first questionnaire a statement of assumptions was included to

establish a framework for the Delphi question. This statement read:

> This study is based on the assumption that there are characteristics of the
> servant leader which are observable within the context of organizational
> and team life. The characteristics of the servant leader may include
> behaviors, attitudes, values and abilities.

The Delphi question itself read: what do you judge to be the characteristics of the servant
leader?

<u>Questionnaire II.</u> The second questionnaire presented a compilation of all of the lists

received from round one. This compiled list was provided with a semantic differential

rating scale on which the experts were asked to rate each of the 67 items. The scale

included four values placed at regular intervals on a seven-point scale. The four values

used were:

Essential -- Without this characteristic a person would not be a servant leader.

Necessary -- This characteristic would normally be present in a person who is a

servant leader.

Desirable – This characteristic is compatible with being a servant leader but is not

really necessary.

Unnecessary -- This characteristic probably has little or no relation to a person

being a servant leader.

Experts were also asked to add additional characteristics that they felt needed to be added

at this point. Three characteristics were added to the list for the next questionnaire for a

total of 70 items.

Questionnaire III. The third questionnaire included the results of the responses to round

two. The results were presented using the same semantic scale as in round two with the

median, twenty-fifth percentile, and seventy-fifth percentile of each characteristic rating

marked. They were asked to rate each item, once again, while providing their reasoning

for any responses that fell outside of the middle 50% of the group response. There were

29 explanations provided for marking items outside of the interquartile range. These are

included with the final results of the Delphi in Appendix D. The experts were not

provided with a copy of their original rating from round two.

Treatment of the Data

The median and interquartile range of total response for each item was computed

to determine which characteristics were rated as Necessary or Essential for describing the

servant leader. These characteristics then formed the basic constructs for the

development of the SOLA instrument items.

A Sign Test (Dixon & Mood, 1946) was run on the interquartile ranges from

rounds two and three to determine if there was significant movement towards consensus

by the expert panel.

<u>Development of the Servant Organizational Leadership Assessment (SOLA) Instrument</u>

<u>Summary</u>

The characteristics that were rated as Necessary or Essential were used to construct the items for the instrument. These items were reviewed by a panel of six judges in preparation for a pre-field test which was conducted with 22 participants. Revisions were then made on the field test version of the instrument. The field test was conducted with 828 participants from 41 different organizations. The responses were analyzed through reliability testing and item to test analysis. Correlations were run between the instrument and the different demographics.

The SOLA instrument was developed in such a way that it can be taken by anyone, at any level, within an organization or team. Top leadership, management and workforce/staff members will take the same instrument and answer the same questions. This was done for several reasons:

1. Servant leadership assumes a shared leadership; therefore the presence of servant leadership characteristics in an organization or team is an issue that everyone in an organization is responsible for.

2. With this instrument, leadership as well as the entire organization is assessed by people from various levels or positions in the organization. By comparing these different groups through analysis of their responses, we are able to determine if the leadership and the workforce share the same perceptions about the presence of these characteristics within the organization and within the leadership.

3.   This format of designing the instrument to be taken by everyone in the

organization will help to overcome some of the problems inherent in

leadership self-assessments. The issue of social desirability often forces

leaders to answer questions in ways that may be expected rather than a

more honest or accurate response.

4.   The leader may not be aware of the true impact, positively or negatively,

they have on the people of the organization. This instrument allows them

to hear from all parts of the group in order to assess how their leadership

characteristics and practices are measured against those of servant

leadership.

The instrument has been designed so that it is applicable for use in teams, work units, company divisions or departments, or with an entire organization.

Item Construction

Results from the Delphi survey were used as the constructs from which the instrument items were written. Likert-style items were written for each construct with more items being written for those that received higher ratings in the Delphi study. There was an attempt to write enough items to provide for the most accurate assessment while ending up with an instrument that can be completed in an average of 25 - 30 minutes. In the field test it was determined that the average time to take the 80-item instrument was 15 – 20 minutes. More items were written than would be needed for the final version of the instrument in order to allow for item attrition.

Items were clustered into six potential subscores according to the following list.

Table

Items Clustered into Potential Subscores

Clusters – Constructs Scores	Key Points	Items Servant leaders …
Values people	By believing in people *Maintaining a high view of people*	• Respect others • Believe in the unlimited potential of each person • Accept people as they are • Trust others • Are perceptive concerning the needs of others • Enjoy people • Show appreciation to others
	By putting others first *Before self*	• Put the needs of others ahead of their own • Show love and compassion toward others
	By listening *Receptive, non-judgmental*	• Are receptive listeners
Develops people	By providing for learning and growth *Developing potential*	• Provide opportunities for people to develop to their full potential • Leaders use their power and authority to benefit others • Provide mentor relationships in order to help people grow professionally • View conflict as an opportunity to learn & grow • Create an environment that encourages learning
	By modeling	• Lead by example by modeling appropriate behavior • Models a balance of life and work and encourages others to do so

	By encouraging	• Build people up through encouragement and affirmation
Builds Community	By enhancing relationships	• Relate well to others • Work to bring healing to hurting relationships
	By working collaboratively *Emphasizing teamwork*	• Facilitate the building of community & team • Work with others instead of apart from them
	By valuing the differences of others *Differing gifts, cultures, viewpoints*	• Value differences in people • Allow for individuality of style and expression
Displays authenticity	By being open to being known *Willing to be transparent*	• Admit personal limitations & mistakes • Are open to being known by others • Promote open communication and sharing of information • Are accountable & responsible to others
	By being learners *Being self aware, open to input from others*	• Are non-judgmental – keep an open mind • Are open to learning from others • Are flexible – willing to compromise • Evaluate themselves before blaming others • Are open to receiving criticism & challenge from others
	By maintaining integrity *Honest, consistent, ethical behavior*	1. Are trustworthy 2. Demonstrate high integrity & honesty • Maintain high ethical standards

Provides leadership	By envisioning the future *Intuition as to direction for the organization*	• Has a vision of the future • Uses intuition and foresight to see the unforeseeable • Provides hope to others
	By taking initiative *Moving out ahead*	• Encourages risktaking • Exhibits courage • Has healthy self-esteem • Initiates action by moving out ahead • Is competent – has the knowledge and skills to get things done
	By clarifying goals *Understanding what it takes to get to the vision*	• Is clear on goals and good at pointing the direction • Is able to turn negatives into positives (threats to opportunities)
Shares leadership	By sharing power *Empowering others*	• Empowers others by sharing power • Is low in control of others • Uses persuasion to influence others instead of coercion
	By sharing status *Issues of position, honor, self-promotion*	• Is humble – does not promote him or herself • Leads from personal influence rather than positional authority • Does not demand or expect honor and awe for being the leader • Does not seek after special status or perks of leadership

The following three items from the Delphi were not used in the instrument because either they were not observable in an organizational setting or they did not fit into the six potential subscore clusters:

- Leads from a base of spirituality & faith.

- Promotes laughter and positive humor.

- Leads with a mindset that servant leadership is the only true way to lead rather than one style among many.

In addition to the six potential subscore clusters, the items were written from three different perspectives producing three different sections of the instrument: assessing the entire organization, assessing the leadership of the organization and assessing both from the perspective of the participants personal experience. This provided an opportunity to look at two additional subscores: an assessment of the organization and an assessment of the organization's leadership.

Item Review and Revision

Six people served as a panel of judges to independently review each of the items and determine whether or not they fit with the constructs. The judges were also asked to review each item for clarity, grammar and structure, and appropriateness for addressing the constructs. From the responses gained, some items were clarified and clarifications were made in the instructions. Various opinions were given on whether to offer a middle "undecided" response.   It was decided to provide this response and to go with a five point Likert-style scale. With this input the initial instrument was developed and readied for the pre-field test. The ordering of the items in the instrument were determined randomly by placing all of the items in a box and drawing them out one by one. The items used in the pre-field test instrument are located in Appendix E.

<u>Pre-Field Test</u>

Twenty two people, adult learners from two different colleges, participated in the pre-field test. In addition to taking the instrument, this group was asked to respond as to whether the instrument and the individual items were understandable and to see if any changes needed to be made prior to the field test. Measures of reliability and item-total correlation were run on this small sample to determine if the instrument was ready for the field test.

Table _____

Pre-field Test Reliability Results

	N	*M*	Total Score	*SD*	*a*
Values People	22	45.86	70	10.58	.72
Develops People	22	30.59	50	11.56	.68
Builds Community	22	36.71	60	10.38	.75
Displays Authenticity	22	38.67	70	13.98	.95
Provides Leadership	22	38.68	60	12.76	.84
Shares Leadership	22	40.57	60	13.87	.55
Job Satisfaction	22	22.91	30	6.26	.90

Item to test correlations were run and those with low scores were considered for changes. Participants in the pre-field test also provided input as to unclear items and instructions and recommended changes. Based on this input the instrument was adjusted by re-writing certain items, clarifying instructions and moving from a separate Scantron answer sheet to a single question/answer sheet format. A list of the changes made in preparation for the Field Test Version are listed in Appendix F. The instrument was

revised for the field test resulting in 74 test items plus six additional items added to provide for a job satisfaction to servant leadership comparison. The job satisfaction items are not a part of the SOLA instrument but an additional instrument for the purpose of comparison.

Field Test

The instrument was given to the number of participants that would meet a goal of 10 people per item (Nunnally, 1967) or a total of 800. A total of 828 people participated in the field test with 41 participating organizations. A copy of the recruitment packet that was sent out to prospective organizations is included in Appendix G.

I.   Description of the Sample

The sample consisted of people from 41 different organizations representing all of the following four sectors: religious non-profit organizations, secular non-profit organizations, for profit organizations and public agencies. Approval for the cooperation of the organization with this field test came from someone in authority, but the actual field test was conducted under the direction of the Human Resource department. A specific contact person was designated from this department to oversee the distribution, implementation and collection of the instruments. This was to help eliminate the perception or reality of coercion and to encourage voluntary participation. Participation was completely voluntary and anonymity was guaranteed for each participant (names were not requested). Each participant was provided with a consent form and required to sign it prior to taking the instrument. A pre-determined number of instruments was sent

to each participating organization along with instructions and consent forms. Each

instrument was pre-marked with a number designating the participating organization.

Table _____

Description of Field Test Participants – Gender

Gender	N	Percentage
Male	406	51.33
Female	385	48.67
Total	791	100

Table _____

Description of Field Test Participants – Education Level Attained

Education Level Attained	N	Percentage
Not completed High School	5	.61
High School	67	8.24
Some College	287	35.30
Undergraduate College Degree	183	22.51
Some Graduate School	98	12.05
Masters Degree	134	16.48
Doctoral Degree	39	4.81
Total	813	100

Table _____

Description of Field Test Participants – Type of Organization

Type of Organization	N	Percentage
Business For Profit	255	31.29
Government	38	4.66
Religious	326	40.01
Community Service	31	3.80
Medical Service Provider	19	2.33
Education	146	17.91
Total	815	100

Table _____

Description of Field Test Participants – Position/Role in the Organization

Position/Role	*N*	Percentage
Top Leadership	102	12.59
Management/Supervision	197	24.32
Workforce	511	63.09
Total	810	100

Table _____

Description of Field Test Participants – Age

Age	*N*	Percentage
0-19 years	27	3.31
20-29 years	216	26.47
30-39 year	192	23.53
40-49 years	207	25.36
50-59 years	132	16.18
60 and over	42	5.15
Total	816	100

Table _____

Description of Field Test Participants – Years in the Organization

Years in the Organization	*N*	Percentage
Less than 1 year	130	15.93
1-3 years	249	30.51
4-6 years	120	14.71
7-10 years	90	11.03
10-15 years	74	9.07
Over 15 years	153	18.75
Total	816	100

Table _____

Description of Field Test Participants – Ethnic Origin

Ethnic Origin	*N*	Percentage
White – not Hispanic origin	707	87.06
Black – not Hispanic origin	54	6.65
Hispanic	34	4.19

Asian or Pacific Islander	8	.99
American Indian or Alaskan Native	1	.12
Other	8	.99
Total	812	100

II.   Data Collection Procedure

The contact person from the Human Resource/Training department of each participating organization collected and mailed in the completed instruments to the researcher. Thank you letters were sent out to each organization. A tabulation was made of all of the instruments collected compared with those sent out.

III.   Treatment of Data - Item Analysis

The data from the completed instruments was entered into SPSS software and a reliability estimate attained with a Cronbach Alpha. An item to total correlation was run on each item to determine the level of correlation of each item with the total instrument. The relative strength of individual items was evaluated to consider necessary revisions.

Item Review and Revision

Items were identified for possible revision or deletion based on the information gained from the data analysis. An item reduction test was conducted to determine if the instrument can be streamlined by requiring fewer items while maintaining high reliability.

CHAPTER FOUR

PRESENTATION OF THE FINDINGS

The results from the Delphi study will be presented leading up to the selection of the constructs for the development of the items for the SOLA instrument. This chapter will also deal with the results of the field test in terms of reliability, item to instrument correlation and factor analysis.

The Delphi Survey

Consensus of the Expert Panel

A Delphi study was conducted with 14 experts in the field to determine a full and prioritized listing of the characteristics of the servant leader. Round one of the three-part Delphi survey was mailed out to 25 potential experts so a 60% response was achieved.

Table

Number and Percentage of Responses for Each Mailing

	Number Sent	Number Returned	Percent Returned
Round 1	25	15	60
Round 2	15	14	93
Round 3	14	14	100

The panel members seemed to take seriously the assignment they had agreed to complete. Questionnaires were answered thoroughly and significant input was provided by each member. Sixty-seven characteristics were identified in round one and were rated in round two. Three additional characteristics were added by panel members in round two and were included on the rating sheet for round three. Each of the seven boxes on the rating scale were assigned the following values between one and seven in order to calculate medians and interquartile ranges.

U		D		N		E

1 1.5 2 2.5 3 3.5 4 4.5 5 5.5 6 6.5 7

Figure 1. Assignment of Numerical Values to each box on the rating scale. Since people were asked to mark only one box it was necessary to round off the interquartile range to the nearest full box. If the interquartile range was represented by a number with .25 or lower, it was rounded down. If the interquartile range was represented by a number with .75 or over, it was rounded up. If it fell on a number with .5 it would be rounded down on the lower end of the range and up on the high end of the range. In this way the interquartile range was always shown on the rating scale in full boxes.

The median and interquartile ranges were calculated on Minitab Software. Table _____ shows the medians and interquartile ranges for round two and three along with the results of the Dixon and Mood's Sign Test to movement towards consensus (Dixon & Mood, 1946).

Table _____

Delphi IR Results

	Characterisitics	Medians		IR		Change
		R2	R3	R2	R3	+/-
1	Has a vision of the future	6	6	2	.5	-
2	Is clear on goals and good at pointing the direction	5	5.5	2.25	1	-
3	Uses intuition and foresight to see the unforeseeable	5.5	5	3.25	2.25	-
4	Is a conceptual thinker	3.5	4	3	2	-
5	Initiates action by moving out ahead	5	6	2.5	2	-
6	Respects people	7	7	.25	0	-
7	Believes in the unlimited potential of each person	5.5	6	3	1	-
8	Accepts people as they are	6	6	2	2	0
9	Admits personal limitations & mistakes	6	6	2	1.25	-
10	Denies him or herself: leads for the sake of the led rather than to benefit the leader	6.5	6.5	2	2	0
11	Is open to being known by others	5	5	3	2.25	-
12	Empowers others by sharing power	6.5	7	2	1	-
13	Works to develop people to their potential	6	6	2.25	1	-
14	Builds people up through encouragement and affirmation	6	7	2	1	-
15	Is creative in showing appreciation to others	5	5	3.25	0	-
16	Is a coach	4.5	4.5	3	2	-
17	Is a mentor	5	5	3	1	-
18	Relates well to others	6	6.5	2.5	1.25	-
19	Brings healing to people in relationships	5	6	1.25	1	-
20	Is trustworthy	7	7	0	0	0
21	Trusts others	6.5	7	1.25	1	-
22	Facilitates the building of community &	6	7	2	2	0

	team					
23	Works with others instead of apart from Them	5.5	5.5	3.25	2	-
24	Shares leadership	6	7	2.25	1.25	-
25	Demonstrates love and compassion toward others	6	6.5	2	1.25	-
26	Promotes open communication and sharing of information	5.5	6	2	1.25	-
27	Is non-judgmental – keeps an open mind	6	5	1.25	1	-
28	Views conflict as an opportunity to learn & grow	5	5	.5	0	-
29	Is open to learning from others	5.5	6	1	1	0
30	Is a receptive listener	7	7	2	1	-
31	Has moral authority stemming from high ethical standards	6	7	2	1	-
32	Encourages risktaking	5	5	1.5	0	-
33	Is accountable & responsible to others	6	6	1	0	-
34	Demonstrates high integrity & honesty	7	7	1	0	-
35	Is hospitable	4.5	5	3	2.25	-
36	Is perceptive concerning the needs of others	5	6	1.25	1	-
37	Leads from personal influence rather than positional authority	6	7	2	1	-
38	Does not demand or expect honor and awe for being the leader	6	6	3.25	2	-
39	Leads by example by modeling appropriate behavior	7	7	2	.25	-
40	Appreciates individuality – doesn't force conformity	6	5	3.25	1.25	-
41	Values diversity	5	5.5	3.25	1	-

42	Leads with a mindset that servant leadership is the only true way to lead rather than one style among many	5.5	4.5	4.5	3	-
43	Does not retaliate when wronged	5	5	2.5	2.5	0
44	Uses his or her power and authority to benefit others	6	6	2	1	-
45	Is low in control of others	5	5	3	1.25	-
46	Is commanding – helps people to grow up	3	3.5	2.5	3	+
47	Is flexible – willing to compromise	5	5	2	1	-
48	Leads from a base of spirituality & faith	6	6	4	2.5	-
49	Exhibits courage	6	6	1.25	1	-
50	Knows his/her own shadows (dark side)	6	6	4	2	-
51	Has self-esteem	5	6	2	1	-
52	Promotes laughter and positive humor	5	5.5	3	2.25	-
53	Is self-reflective (looks within first)	6	6	2	1.25	-
54	Provides hope to others	6	6.5	1.25	1	-
55	Is able to turn negatives into positives	5	5	3	1	-
56	Creates an environment that encourages learning	6	6	2.25	2	-
57	Uses persuasion to influence others instead of coercion	6	6	2	1	-
58	Is a situational leader by responding to the readiness of the followers	4.5	5	3	2	-
59	Models a balance of life and work and encourages others to do so	5	4	2.75	2	-
60	Resists being "used" by partisan factions	4	4	2.25	2	-
61	Carries realistic responsibility for resources	4	4.5	2.25	2	-
62	Is humble – does not promote him or herself	6	6	2.25	2	-
63	Does not seek after special status or perks of leadership	5	5.5	3	2	-
64	Is open to receiving criticism &	5	5.5	1.75	1	-

#	Characteristic					
	challenge from others					
65	Ensures that employees' work is fulfilling	4.5	4	3.25	3	-
66	Enjoys people	6	7	2.5	2	-
67	Is competent – has the knowledge and skills to get things done	6	6	1.25	1	-
68	Provides care to people who are oppressed and marginalized by systems	----	5	----	.5	----
69	Is likely to be shaped by a working acquaintance with Jesus of Nazareth as prototypical of the servant leader in history	----	3	----	4.25	----
70	Evokes the gifts of others	----	4.5	----	1	----

Note: #68 through #70 were added by respondents during the 2nd Inquiry. Therefore, only the 3rd response numbers are provided.

Sixty three of the characteristics showed a movement towards consensus from the ratings in round 2 and round 3. Six characteristics had no change and only one showed an increase in the interquartile range. This supports the notion that the Delphi process leads towards consensus.

A median of 5.0 and above was required for a characteristic to become the basis for an item in the instrument. Sixty of the characteristics had a 5.0 or higher which means that all of these characteristics were rated as "Necessary" or "Essential" to being a servant leader. These characteristics are listed in Table _____ from the highest to lowest medians.

Table _____

List of Characteristics from the Delphi Survey to be used in the Development of the

Instrument

#	Median	Characteristic	IR

1	7	Respects people	0
2	7	Empowers others by sharing power	1
3	7	Build people up through encouragement & affirmation	1
4	7	Is trustworthy	0
5	7	Trusts others	1
6	7	Facilitate the building of community & team	2
7	7	Shares leadership	2
8	7	Is a receptive listener	1
9	7	Has moral authority stemming from high ethical standards	1
10	7	Demonstrates high integrity & honesty	0
11	7	Leads from personal influence rather than positional authority	1
12	7	Leads by example by modeling appropriate behavior	.25
13	7	Enjoys people	2
14	6.5	Denies him or herself: leads for the sake of the led rather than to benefit the leader	2
15	6.5	Relates well to others	1.25
16	6.5	Demonstrates love and compassion toward others	1.25
17	6.5	Provides hope to others	1
18	6	Has a vision of the future	.5
19	6	Initiates action by moving out ahead	2
20	6	Believes in the unlimited potential of each person	1
21	6	Accepts people as they are	2
22	6	Admits personal limitations & mistakes	1.25
23	6	Works to develop people to their potential	1
24	6	Brings healing to people in relationships	1
25	6	Promotes open communication and sharing of information	1.25
26	6	Is open to learning form others	1
27	6	Is accountable & responsible to others	0
28	6	Is perceptive concerning the needs of others	1
29	6	Does not demand or expect honor and awe for being leader	2
30	6	Uses his or her power and authority to benefit others	1
31	6	Leads from a base of spirituality & faith	2.5
32	6	Exhibits courage	1
33	6	Knows his/her own shadows (dark side)	2
34	6	Has self-esteem	1
35	6	Is self-reflective (looks within first)	1.25
36	6	Creates an environment that encourages learning	2
37	6	Uses persuasion to influence others instead of coercion	1
38	6	Is humble – does not promote him or herself	2
39	6	Is competent – has the knowledge and skills to get things done	1
40	5.5	Is clear on goals and good at pointing the direction	1
41	5.5	Works with others instead of apart from them	2
42	5.5	Values diversity	1

43	5.5	Promotes laughter and positive humor	2.25
44	5.5	Does not seek after special status or perks of leadership	2
45	5.5	Is open to receiving criticism & challenge from others	1
46	5	Uses intuition and foresight to see the unforeseeable	2.25
47	5	Is open to being known by others	2.25
48	5	Is creative in showing appreciation to others	0
49	5	Is a mentor	1
50	5	Is non-judgmental – keeps an open mind	1
51	5	Views conflict as an opportunity to learn & grow	0
52	5	Encourages risktaking	0
53	5	Is hospitable	2.25
54	5	Appreciates individuality – doesn't force conformity	1.25
55	5	Does not retaliate when wronged	2.5
56	5	Is low in control of others	1.25
57	5	Is flexible – willing to compromise	1
58	5	Is able to turn negatives into positives	1
59	5	Is a situational leader by responding to the readiness of the followers	2
60	5	Provides care to people who are oppressed and marginalized by systems	.5

These sixty characteristics were used to develop the 74 items in the instrument for the field test.

Field Test of the Servant Organizational Leadership Assessment (SOLA) Instrument

Results on the Entire Instrument

Out of 1624 instruments distributed to 45 organizations, 847 were returned from 41 organizations of which 828 were usable. The mean score was 278.77 on a total score of 370. The standard deviation was 48.78. Estimated reliability, using the Cronbach-Alpha coefficient, was .98 (Cronbach, 1951).

Item Analysis

The lowest item to test correlation was .41 and the highest was .77 showing that all of the items have a strong correlation with the instrument as a whole.

Results on Six Potential Subscores

Six potential subscores were considered prior to the field test. Reliability estimates, item to test correlations were run as well as correlations between scales. All of the six subscores: Values People, Develops People, Builds Community, Displays Authenticity, Provides Leadership and Shares Leadership, revealed high reliability scores along with high correlations between the scales. Table _____ shows the numbers for each one.

Table _____

Reliability Scores on Six Potential Subscores

	N	*M*	Total score	*SD*	*a*
Values People	828	53.84	70	8.88	.91
Develops People	828	37.37	50	7.78	.90
Builds Community	828	45.20	60	7.87	.90
Displays Authenticity	828	51.79	70	10.29	.93
Provides Leadership	828	45.59	60	8.49	.91
Shares Leadership	828	44.99	60	9.24	.93

Table _____

Correlation between the Six Potential Subscores

	Values People	Develops People	Builds Community	Displays Authenticity	Provides Leadership	Shares Leadership
Values People		.859	.862	.892	.748	.847
Develops People			.818	.889	.836	.868
Builds				.876	.825	.736

Community						
Displays Authenticity						.825	.875
Provides Leadership							.736
Shares Leadership						

The high correlations between scales rules out the possibility of using these

subscores for research purposes. However, they may be useful for diagnostic purposes

in working with individual organizations.

Results on Two Potential Subscores

Two additional potential subscores were considered after the field test had been

completed. Since the instrument was designed to assess both the organization and the

leadership it seemed that these two could be looked at as potential subscores. Reliability

estimates, item to test correlations were run as well as correlations between scales. Each

of the two subscores: Organization and Leadership, reveals high reliability scores along

with high correlations between the scales. Table _____ shows the numbers for each one.

Table _____

Reliability Scores on Two Potential Subscores

	N	*M*	Total score	*SD*	*a*
Organization	828	113.66	150	18.61	.95
Leadership	828	165.11	220	32.14	.98

The correlation between these two potential subscores is .836. The high correlations

between the scales rules out the possibility of using these subscores for research

purposes. However, they may be useful for diagnostic purposes in working with

individual organizations.

Results on Demographic Correlations to the total instrument

Seven demographic questions were asked of the participants in the field study.

The areas are gender, educational level attained, age, organization type, years in the

organization, position within the organization and ethnicity. No significant difference

was found between males and females, age or number of years in the organization. Some

level of significant difference was found in levels of education, type of organization,

position within the organization and ethnicity.

| Level of Education | N | Subset for alpha = .05 | |
		1	2
Masters Degree	134	273.63	
Some college	287	274.65	
Some graduate school	98	274.84	
Doctoral degree	39	280.45	
Undergraduate college degree	183	285.84	285.84
High school	67	288.97	288.97
Not completed high school	5		331.40
Sig.		.97	.072

| Type of Organization | N | Subset for alpha = .05 | |
		1	2
Business for-profit	255	261.81	
Medical Service Provider	19	264.21	
Government	38	270.16	
Education	146	279.42	279.42
Religious	326	291.47	279.47

			297.94
Community Service	31		297.94
Sig.		.089	.137

		Subset for alpha = .05	
Position/role	N	1	2
Workforce	511	274.88	
Management/ Supervisor	197	278.59	
Top Leadership	102		297.78
Sig.		.768	1.00

		Subset for alpha = .05	
Ethnic origin	N	1	2
Other	8	221.81	
Hispanic	34	261.32	261.32
Black – not Hispanic	54		275.84
White – not Hispanic	707		280.16
Asian or Pacific Islander	8		299.87
Sig.		.230	.254

Factor Analysis

Test Reduction

The instrument items were reduced from 74 to 60 in order to decrease the time it takes to complete the instrument and to make it more appealing to organizations that might consider it's use in the future. The items that were deleted are listed in Table _____.

Table _____

Items Eliminated in Test Reduction Process

Item #	Items Eliminated	Rationale
3	Enjoy people	Difficulty is over 81% and the foundational construct is still covered in the remaining items
6	Value differences in people's skills and abilities	The foundational construct is still covered in the remaining items
11	Believe in the unlimited potential of each person	The foundational construct is still covered in the remaining items
13	Seek to resolve difficult issues between people in a timely way	The foundational construct is still covered in the remaining items
16	Are open to being known by others	The foundational construct is still covered in the remaining items
18	Are flexible – willing to compromise	The foundational construct is still covered in the remaining items
34	Are highly capable in their field of expertise	Difficulty is over 81% and the foundational construct is still covered in the remaining items
48	Are competent – have the knowledge and skills to get things done	Difficulty is over 81% and the foundational construct is still covered in the remaining items
66	My supervisor does not attempt to control me or my work	The foundational construct is still covered in the remaining items
73	I know that I am trusted by my supervisor	Difficulty is over 81% and the foundational construct is still covered in the remaining items
74	My supervisor allows me to exercise leadership in my area of work	Difficulty is over 81% and the foundational construct is still covered in the remaining items
76	My manager puts my needs above his or her own	The foundational construct is still covered in the remaining items
78	I am hopeful about the future of this organization	Difficulty is over 81% and the foundational construct is still covered in the remaining items
80	I am able to grow personally and professionally in this organization	Difficulty is over 81% and the foundational construct is still covered in the remaining items

Reliability and item-test correlations were run on the 60 item reduced instrument. The

revised instrument came up with a mean of 223.79 on a total potential score of 300 and

the standard deviation was 41.08. The alpha coefficient is .98. The lowest item-test

correlation is .41 and the highest is .79. There were no items that went above the 81%

difficulty standard. Table _____ provides a comparison between the original instrument

used in the field test and the reduced instrument.

Table _____

Comparison between the field test version of the Instrument and the Reduced 60 item
Instrument

	Field Test Instrument	Reduced Instrument
M	279	224
Total potential score	370	300
SD	48.8	41.1
a	.9827	.9802
Lowest item-test score	.4103	.4070
Highest item-test score	.7753	.7860
Items over 81% difficulty	7	0

The reduced 60-item instrument maintains the same reliability and adherence to the
foundational constructs as the longer instrument while eliminating items with over 81%
difficulty and allowing for a shorter, easier to take instrument.

CHAPTER FIVE

DISCUSSION, CONCLUSIONS AND IMPLICATIONS, LIMITATIONS OF THE STUDY, AND SUGGESTIONS FOR FURTHER RESEARCH

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Appendix A

Materials to be Used in Round One of the Delphi Survey

Cover Letter

Questionnaire I

Follow-up Letter

(FAU Letterhead)

                                                                    March, 1998

Dear,

Your expert participation is requested for a special study being conducted on the vital
subject of **Servant Leadership**.

You are one of a few leaders who have done significant work on this topic and your input
is essential for the outcome of this study. Jim Laub, a doctoral student in Educational
Leadership/Adult Education, is developing a diagnostic instrument called the Servant
Leadership Organization/Team Assessment (SLO/TA) making use of the characteristics
of the servant leader gained in this study.

In order to obtain consensus on the characteristics of the servant leader, he is surveying a
small panel of experts (10-15) making use of a modified Delphi technique. There will be
three brief inquiries that should each require about 15-20 minutes of your time.

First Inquiry (enclosed with this letter)	Your listing of the characteristics of the servant leader.
Second Inquiry (to follow)	Your rating of each of the characteristics named by the expert panel from the First Inquiry.
Third Inquiry (to follow)	A final rating of the results from the Second Inquiry, with a request to write a sentence describing your position if it varies widely from the group response.

Each participant on the expert panel will receive a summary of the results of the survey.
Individual responses to each inquiry will remain confidential.   (Over ---------------->)

Your cooperation in serving on this select panel is greatly appreciated. Please feel free to contact us with any questions you may have. Please sign the enclosed *Consent Form* and mail it back, separately from the questionnaire, in the special self-addressed envelope provided. Thank you.

Sincerely,

Jim Laub   Lucy M. Guglielmino, Ed.D.
Researcher   Professor and Dissertation Chair

Enclosure: First Inquiry (Part 1 & 2) with self-addressed envelope
                      Consent Form with self-addressed envelope

Introduction:

This study is based on the assumption that there are characteristics of the servant leader which are observable within the context of organizational and team life. The characteristics of the servant leader may include behaviors, attitudes, values and abilities.

The Question:

What do you judge to be the characteristics of a servant leader?

Comment:

Brief answers will be most helpful in the survey. Use of complete sentences is not necessary. A listing of 10 characteristics is requested, but list as many as you wish. When you complete your list, please open the sealed envelope attached below.

	First Inquiry – Part 1

Your listing of the characteristics of the servant leader
(A listing of 10 characteristics is requested, but list as many as you wish)

1*	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	

* Note: this is not a ranking; list the characteristics as you think of them. There is no need to prioritize them.

⟹ Don't forget to open the sealed envelope once you have written down your initial list. (Part 2)

Please return this sheet in the self-addressed envelope provided

Thank you for completing your initial list before opening this envelope. I did not want to influence your first response to the question. Please draw a line under your last response on Part 1 before beginning this next part - Part 2.

The following list includes characteristics of the servant leader collected from the literature. Please read over this list and then add to your listing in Part 1 any of these characteristics that you consider essential to the servant leader. If you feel you have already listed one of these items, please write the item **number** after your corresponding response on Part 1.

Some of the Characteristics of the Servant Leader from the Literature

The Servant Leader …

1	Is a non-judgmental listener
2	Has a high view of people
3	Puts others first
4	Accepts people as they are
5	Is skilled in relationships
6	Works to develop people
7	Respects people
8	Encourages people
9	Has a vision of the future
10	Is a lifelong learner – is open to learning from others
11	Creates an environment that encourages learning
12	Is perceptive concerning the real needs of others
13	Uses persuasion to influence others instead of coercion
14	Brings healing to people in relationships
15	Shows love toward others
16	Uses his or her power and authority to benefit others
17	Leads from personal influence rather than positional authority
18	Focuses on the good of the group rather than on his or her own image
19	Empowers others by sharing power
20	Releases control over others
21	Releases control over organizational outcomes
22	Shares leadership
23	Is self-reflective & looks within first
24	Facilitates the building of community & team
25	Works *with* others instead of apart from others
26	Emphasizes collaboration & partnership
27	Promotes laughter & humor
28	Encourages risk taking

Additional characteristics are listed on the next page ⟶

The Servant Leader … (continued)

29	Leads by example by modeling appropriate behavior
30	Encourages individuality
31	Celebrates diversity
32	Is trustworthy
33	Trusts others
34	Initiates action by moving out ahead
35	Is accountable to others
36	Demonstrates high integrity & honesty
37	Is humble – does not promote him or herself
38	Admits personal limitations & mistakes
39	Is open to being known by others
40	Is open to receiving criticism & challenge from others
41	Does not seek after special status or perks of leadership
42	Is hospitable
43	Affirms people
44	Demonstrates compassion toward others
45	Shares decision making
46	Promotes open communication and sharing of information

(follow-up letter)

April, 1998

Dear

If you have already returned your response to the servant leader questionnaire … thank you! Your participation is greatly appreciated.

If you have not yet returned the questionnaire, please take a few minutes to fill it out. Why not right now while you have it in your hands?

As we shared before, we are only sending this to a small, select group of people. Your response is very important. Individual responses will be kept confidential, and each participant in this survey will be fully and promptly informed of the results.

Your experience and input on the vital topic of the servant leader will contribute significantly to this study. Your help is greatly appreciated.

Sincerely,

Jim Laub   Lucy M. Guglielmino, Ed.D.
Researcher   Professor and Dissertation Chair

Enclosure: First Inquiry – Part 1&2

APPENDIX B

Materials to be Used in Round Two of the Delphi Study

Cover Letter

Questionnaire II

Follow-up Letter

(FAU Letterhead)

April 30, 1998

Dear   ,

Thank you for completing Inquiry I in our Delphi survey on **the characteristics of a servant leader**. Your participation is greatly appreciated.

Inquiry II, enclosed here, involves the rating of the characteristics listed by all who participated on the first inquiry. Your responses may not appear on this questionnaire exactly as you wrote them, since closely related ideas were combined to avoid repetition.

Thank you, again, for your participation in this study. It would be very helpful if you could return the completed questionnaire by May 15th. A self-addressed envelope is once again enclosed for your convenience.

Thank you for all of your help.

Sincerely,

Jim Laub
Researcher

Daytime phone: (561) 642-0094
Nighttime phone: (561) 790-4472
Fax: (561) 642-7966
e-mail: jlaub@worldservants.ogg

Enclosure: Second Inquiry rating form

<div style="border:1px solid black;">

Second Inquiry
Characteristics of a Servant Leader

</div>

Instructions:

Listed below are the characteristics which were collected from the First Inquiry. Please rate each characteristic on the scale provided. If, at this time, you feel that there is a characteristic which should be added to the list, please add it at the end of the Questionnaire.

The letters on the rating scale represent the following:

U =	Unnecessary =	This characteristic probably has little or no relation to a person being a servant-leader.
D =	Desirable =	This characteristic is compatible with being a servant leader but is not really necessary.
N =	Necessary =	This characteristic would normally be present in a person who is a servant leader.
E =	Essential =	Without this characteristic a person would not be a servant leader.

To indicate your rating, please place an **X** in one of the seven white boxes for each of the characteristics, as in the following examples:

U		D		N		E
		X				

For "desirable" rating

OR

U		D		N		E
					X	

For between "Necessary" & "Essential"

	The Servant Leader …	**Your Rating**						
		U		D		N		E
1	Has a vision of the future							
		U		D		N		E
2	Is clear on goals and good at pointing the direction							
		U		D		N		E
3	Uses intuition and foresight to see the unforeseeable							
		U		D		N		E
4	Is a conceptual thinker							

	The Servant Leader …	Your Rating			
5	Initiates action by moving out ahead	U	D	N	E
6	Respects people	U	D	N	E
7	Believes in the unlimited potential of each person	U	D	N	E
8	Accepts people as they are	U	D	N	E
9	Admits personal limitations & mistakes	U	D	N	E
10	Denies him or herself: leads for the sake of the led rather than to benefit the leader	U	D	N	E
11	Is open to being known by others	U	D	N	E
12	Empowers others by sharing power	U	D	N	E
13	Works to develop people to their potential	U	D	N	E
14	Builds people up through encouragement and affirmation	U	D	N	E
15	Is creative in showing appreciation to others	U	D	N	E
16	Is a coach	U	D	N	E
17	Is a mentor	U	D	N	E
18	Relates well to others	U	D	N	E
19	Brings healing to people in relationships	U	D	N	E
20	Is trustworthy	U	D	N	E
21	Trusts others	U	D	N	E
22	Facilitates the building of community & team	U	D	N	E

		The Servant Leader …	Your Rating						
23	Works with others instead of apart from them	U		D		N		E	
24	Shares leadership	U		D		N		E	
25	Demonstrates love and compassion toward others	U		D		N		E	
26	Promotes open communication and sharing of information	U		D		N		E	
27	Is non-judgmental – keeps an open mind	U		D		N		E	
28	Views conflict as an opportunity to learn & grow	U		D		N		E	
29	Is open to learning from others	U		D		N		E	
30	Is a receptive listener	U		D		N		E	
31	Has moral authority stemming from high ethical standards	U		D		N		E	
32	Encourages risktaking	U		D		N		E	
33	Is accountable & responsible to others	U		D		N		E	
34	Demonstrates high integrity & honesty	U		D		N		E	
35	Is hospitable	U		D		N		E	
36	Is perceptive concerning the needs of others	U		D		N		E	
37	Leads from personal influence rather than positional authority	U		D		N		E	
38	Does not demand or expect honor and awe for being the leader	U		D		N		E	
39	Leads by example by modeling appropriate behavior	U		D		N		E	
40	Appreciates individuality – doesn't force conformity	U		D		N		E	

	The Servant Leader …	Your Rating			
41	Values diversity	U	D	N	E
42	Leads with a mindset that servant leadership is the only true way to lead rather than one style among many	U	D	N	E
43	Does not retaliate when wronged	U	D	N	E
44	Uses his or her power and authority to benefit others	U	D	N	E
45	Is low in control of others	U	D	N	E
46	Is commanding – helps people to grow up	U	D	N	E
47	Is flexible – willing to compromise	U	D	N	E
48	Leads from a base of spirituality & faith	U	D	N	E
49	Exhibits courage	U	D	N	E
50	Knows his/her own shadows (dark side)	U	D	N	E
51	Has self-esteem	U	D	N	E
52	Promotes laughter and positive humor	U	D	N	E
53	Is self-reflective (looks within first)	U	D	N	E
54	Provides hope to others	U	D	N	E
55	Is able to turn negatives into positives	U	D	N	E
56	Creates an environment that encourages learning	U	D	N	E
57	Uses persuasion to influence others instead of coercion	U	D	N	E
58	Is a situational leader by responding to the	U	D	N	E

	readiness of the followers							

	The Servant Leader …	**Your Rating**						
59	Models a balance of life and work and encourages others to do so	U		D		N		E
60	Resists being "used" by partisan factions	U		D		N		E
61	Carries realistic responsibility for resources	U		D		N		E
62	Is humble – does not promote him or herself	U		D		N		E
63	Does not seek after special status or perks of leadership	U		D		N		E
64	Is open to receiving criticism & challenge from others	U		D		N		E
65	Ensures that employees' work is fulfilling	U		D		N		E
66	Enjoys people	U		D		N		E
67	Is competent – has the knowledge and skills to get things done	U		D		N		E

List additional characteristics below – if needed

Thank you for continuing your participation on this Delphi study. These results will be collected and sent back to you for one more rating.

Please send this rating form (3 pages) back in the **self-addressed envelope** provided <u>by May 15<u>th</u></u>. Thanks for all of your help.

(FAU Letterhead)
follow-up letter

April, 1998

Dear   ,

If you have already returned Questionnaire II on the characteristics of servant-leadership
… thank you!

If you have not yet returned the questionnaire, please take a few minutes to fill it out.
Perhaps you can take a look at it in the next few minutes.

As we shared before, we are only sending this to a small, select group of people. Your
response is very important.

Individual responses will be kept confidential, and each participant in this survey will be
fully and promptly informed of the results.

Your experience and input on the vital topic of the servant leader will contribute
significantly to this study. Your help is greatly appreciated.

Sincerely,

Jim Laub

Enclosure: Second Inquiry – Questionnaire 2

APPENDIX C

Materials to be Used in Round Three of the Delphi Survey

Cover Letter

Questionnaire III

Follow-up Letter

(FAU Letter)

June, 1998

Dear   ,

Thank you for completing Inquiry 2 of our Delphi study on the characteristics of a servant leader. The process is going very well thanks to your cooperation.

Enclosed is the Third Inquiry … the final step of the Delphi survey process.

Your cooperation has been greatly appreciated. You will receive a summary of the findings of this study as soon as the final responses are received and compiled.

Please return your completed Questionnaire by **June 15th** in the self-addressed enveloped provided.   Thank you for all of your help.

If you have any questions, please contact me at:

Daytime phone: 561-642-0094
Evening phone: 561-790-4472
Jlaub@worldservants.org

Sincerely,

Jim Laub

Enclosure: Third Inquiry

Third Inquiry
Characteristics of a Servant Leader

Instructions: Here are the results from Inquiry 2 and a request for your final rating. Please rate each characteristic on the scale provided. The letters on the rating scale represent the following: (Note: this is the same rating scale used in Inquiry 2)

U =	**Unnecessary** =	This characteristic probably has little or no relation to a person being a servant-leader.
D =	**Desirable** =	This characteristic is compatible with being a servant leader but is not really necessary.
N =	**Necessary** =	This characteristic would normally be present in a person who is a servant leader.
E =	**Essential** =	Without this characteristic a person would not be a servant leader.

Instructions: The red line on each rating scale indicates the median response to that item; the yellow shading indicates the interquartile range, rounded off (or, the middle 50% of the responses for each item). To indicate your new rating, please place an **X** in <u>one</u> of the seven boxes, as you did on Questionnaire 2. If your response to any item on this questionnaire does not fall within the middle 50% of the group ratings (inside the yellow shading), pleaase write a brief explanation as to your reasons for your response in the space provided on page six. **Here is an example:**

U		D		N		E
		X				

Within the yellow; no explanation needed

U		D		N		E
					X	

Outside of the yellow; brief explanation requested

	The Servant Leader …	Final Rating						
1	Has a vision of the future	U		D		N		E
2	Is clear on goals and good at pointing the direction	U		D		N		E
3	Uses intuition and foresight to see the unforeseeable	U		D		N		E
4	Is a conceptual thinker	U		D		N		E
	Characteristics of a Servant Leader	**Your Rating**						

#	Characteristics of a Servant Leader	U		D		N		E
5	Initiates action by moving out ahead	U		D		N		E
						X		
6	Respects people	U		D		N		E
								X
7	Believes in the unlimited potential of each person	U		D		N		E
							X	
8	Accepts people as they are	U		D		N		E
							X	
9	Admits personal limitations & mistakes	U		D		N		E
							X	
10	Denies him or herself: leads for the sake of the led rather than to benefit the leader	U		D		N		E
							X	
11	Is open to being known by others	U		D		N		E
						X		
12	Empowers others by sharing power	U		D		N		E
							X	
13	Works to develop people to their potential	U		D		N		E
							X	
14	Builds people up through encouragement and affirmation	U		D		N		E
							X	
15	Is creative in showing appreciation to others	U		D		N		E
						X		
16	Is a coach	U		D		N		E
					X			
17	Is a mentor	U		D		N		E
						X		
18	Relates well to others	U		D		N		E
							X	
19	Brings healing to people in relationships	U		D		N		E
						X		
20	Is trustworthy	U		D		N		E
								X
21	Trusts others	U		D		N		E
							X	
22	Facilitates the building of community & team	U		D		N		E
							X	
	Characteristics of a Servant Leader	**Your Rating**						

#	Statement					
23	Works with others instead of apart from them	U	D	N		E
24	Shares leadership	U	D	N		E
25	Demonstrates love and compassion toward others	U	D	N		E
26	Promotes open communication and sharing of information	U	D	N		E
27	Is non-judgmental – keeps an open mind	U	D	N		E
28	Views conflict as an opportunity to learn & grow	U	D	N		E
29	Is open to learning from others	U	D	N		E
30	Is a receptive listener	U	D	N		E
31	Has moral authority stemming from high ethical standards	U	D	N		E
32	Encourages risktaking	U	D	N		E
33	Is accountable & responsible to others	U	D	N		E
34	Demonstrates high integrity & honesty	U	D	N		E
35	Is hospitable	U	D	N		E
36	Is perceptive concerning the needs of others	U	D	N		E
37	Leads from personal influence rather than positional authority	U	D	N		E
38	Does not demand or expect honor and awe for being the leader	U	D	N		E
39	Leads by example by modeling appropriate behavior	U	D	N		E
40	Appreciates individuality – doesn't force conformity	U	D	N		E

	Characteristics of a Servant Leader	Your Rating			
41	Values diversity	U	D	N	E
42	Leads with a mindset that servant leadership is the only true way to lead rather than one style among many	U	D	N	E
43	Does not retaliate when wronged	U	D	N	E
44	Uses his or her power and authority to benefit others	U	D	N	E
45	Is low in control of others	U	D	N	E
46	Is commanding – helps people to grow up	U	D	N	E
47	Is flexible – willing to compromise	U	D	N	E
48	Leads from a base of spirituality & faith	U	D	N	E
49	Exhibits courage	U	D	N	E
50	Knows his/her own shadows (dark side)	U	D	N	E
51	Has self-esteem	U	D	N	E
52	Promotes laughter and positive humor	U	D	N	E
53	Is self-reflective (looks within first)	U	D	N	E
54	Provides hope to others	U	D	N	E
55	Is able to turn negatives into positives	U	D	N	E
56	Creates an environment that encourages learning	U	D	N	E
57	Uses persuasion to influence others instead of coercion	U	D	N	E

	Characteristics of a Servant Leader	Your Rating			
58	Is a situational leader by responding to the readiness of the followers	U	D	N	E
59	Models a balance of life and work and encourages others to do so	U	D	N	E
60	Resists being "used" by partisan factions	U	D	N	E
61	Carries realistic responsibility for resources	U	D	N	E
62	Is humble – does not promote him or herself	U	D	N	E
63	Does not seek after special status or perks of leadership	U	D	N	E
64	Is open to receiving criticism & challenge from others	U	D	N	E
65	Ensures that employees' work is fulfilling	U	D	N	E
66	Enjoys people	U	D	N	E
67	Is competent – has the knowledge and skills to get things done	U	D	N	E

The following items were added to the list during the 2nd Inquiry. Please indicate your rating of these new items by placing an X in one of the boxes.

		U	D	N	E
68	Provides care to people who are oppressed and marginalized by systems	U	D	N	E
69	Is likely to be shaped by a working acquaintance with Jesus of Nazareth as prototypical of the servant leader in history	U	D	N	E
70	Evokes the gifts of others	U	D	N	E

If your response to any item on this questionnaire does not fall within the middle 50% of the group ratings (inside the yellow shading), please write a brief explanation as to your reasons for your response.

Item #	Brief Explanations (add an additional sheet if necessary)

Please Sign

In the published dissertation we would like to include your name as a participant on the expert panel. Please sign below to provide your permission for us to use your name. Thank you for all of your help with this study. The results will be sent to you as soon as they are ready.

Yes … you may use my name in the listing of the expert panel

_____   _____
(Signed)   (Date)

(FAU Letterhead)
follow-up letter

July, 1998

Dear   ,

If you have already returned Questionnaire III on the characteristics of servant-leadership … thank you!

If you have not yet returned the questionnaire, please take a few minutes to fill it out. Perhaps you can take a look at it in the next few minutes.

As we shared before, we are only sending this to a small, select group of people. Your response is very important.

Individual responses will be kept confidential, and each participant in this survey will be fully and promptly informed of the results.

Your experience and input on the vital topic of the servant leader will contribute significantly to this study. Your help is greatly appreciated.

Sincerely,

Jim Laub

Enclosure: Third Inquiry – Questionnaire 3

APPENDIX D

Delphi Results Mailed out to Expert Panel

<u>Jim Laub, Researcher</u>
Florida Atlantic University
12253 Lacewood Lane, Wellington, FL 33414
(561) 642-0094♦ jlaub@worldservants.org

July 9, 1998

Dear

Here are the results from the Delphi process that you have so graciously been involved in. You participated with thirteen others in an expert panel to determine the characteristics of the servant leader. I am sending you the results in three formats.

- The rating sheet showing the median and interquartile range (IR) for each characteristic
- A printout showing the actual median and IR numbers and the changes between rounds 2 & 3 of the Delphi. This shows a definite move of the group towards consensus on almost all of the items.
- A final report showing the characteristics that were listed as <u>necessary</u> or <u>essential</u> to the servant leader. These are the characteristics that are being used to develop the instrument.

I am also sending you a copy of a rough draft of the instrument for your consideration.

The focus of this study is to develop a tool called the Servant Leadership Organizational/Team Assessment instrument. This instrument will allow people within an organization or team to give their perceptions as to whether the characteristics of servant leadership are present in their group. Once the instrument is prepared it must be field-tested by 700-800 people. <u>Would you be willing to help with the following?</u>

- Gain approval from your organization to participate?

<u>To agree to participate</u>, an organization will send in a <u>letter of approval</u> on their letterhead (see sample enclosed) indicating the estimated number of people that will participate and who the contact person will be. I then will follow up with each organization contact person directly.

<u>We are hoping to receive all of the approval letters from participating organizations by</u> **July 31st**, if possible. The field test itself is scheduled to take place at the end of August or the beginning of September and will be completed by the end of September. The field-test will involve asking volunteers (top leadership, management and workforce) from your organization to take the instrument and then turning in the answer sheets to me. It is estimated that the instrument will take about 30 minutes to complete. Each

organization, of course, will have the opportunity to review the final instrument before the field-test is conducted.

Thank you for your participation in this study and for your consideration of this request.

Sincerely,

Jim Laub

Delphi IR Results

		Characterisitics	Medians		IR		Change
			R2	R3	R2	R3	+/-
1		Has a vision of the future	6	6	2	.5	-
2		Is clear on goals and good at pointing the direction	5	5.5	2.25	1	-
3		Uses intuition and foresight to see the unforeseeable	5.5	5	3.25	2.25	-
4		Is a conceptual thinker	3.5	4	3	2	-
5		Initiates action by moving out ahead	5	6	2.5	2	-
6		Respects people	7	7	.25	0	-
7		Believes in the unlimited potential of each person	5.5	6	3	1	-
8		Accepts people as they are	6	6	2	2	0
9		Admits personal limitations & mistakes	6	6	2	1.25	-
10		Denies him or herself: leads for the sake of the led rather than to benefit the leader	6.5	6.5	2	2	0
11		Is open to being known by others	5	5	3	2.25	-
12		Empowers others by sharing power	6.5	7	2	1	-
13		Works to develop people to their potential	6	6	2.25	1	-
14		Builds people up through encouragement and affirmation	6	7	2	1	-
15		Is creative in showing appreciation to others	5	5	3.25	0	-
16		Is a coach	4.5	4.5	3	2	-
17		Is a mentor	5	5	3	1	-
18		Relates well to others	6	6.5	2.5	1.25	-
19		Brings healing to people in relationships	5	6	1.25	1	-
20		Is trustworthy	7	7	0	0	0
21		Trusts others	6.5	7	1.25	1	-
22		Facilitates the building of community & team	6	7	2	2	0
23		Works with others instead of apart from Them	5.5	5.5	3.25	2	-
24		Shares leadership	6	7	2.25	1.25	-
25		Demonstrates love and compassion toward others	6	6.5	2	1.25	-
26		Promotes open communication and sharing of	5.5	6	2	1.25	-

	information					
27	Is non-judgmental – keeps an open mind	6	5	1.25	1	-
28	Views conflict as an opportunity to learn & grow	5	5	.5	0	-
29	Is open to learning from others	5.5	6	1	1	0
30	Is a receptive listener	7	7	2	1	-
31	Has moral authority stemming from high ethical standards	6	7	2	1	-
32	Encourages risktaking	5	5	1.5	0	-
33	Is accountable & responsible to others	6	6	1	0	-
34	Demonstrates high integrity & honesty	7	7	1	0	-
35	Is hospitable	4.5	5	3	2.25	-
36	Is perceptive concerning the needs of others	5	6	1.25	1	-
37	Leads from personal influence rather than positional authority	6	7	2	1	-
38	Does not demand or expect honor and awe for being the leader	6	6	3.25	2	-
39	Leads by example by modeling appropriate behavior	7	7	2	.25	-
40	Appreciates individuality – doesn't force conformity	6	5	3.25	1.25	-
41	Values diversity	5	5.5	3.25	1	-
42	Leads with a mindset that servant leadership is the only true way to lead rather than one style among many	5.5	4.5	4.5	3	-
43	Does not retaliate when wronged	5	5	2.5	2.5	0
44	Uses his or her power and authority to benefit others	6	6	2	1	-
45	Is low in control of others	5	5	3	1.25	-
46	Is commanding – helps people to grow up	3	3.5	2.5	3	+
47	Is flexible – willing to compromise	5	5	2	1	-
48	Leads from a base of spirituality & faith	6	6	4	2.5	-

49	Exhibits courage	6	6	1.25	1	-
50	Knows his/her own shadows (dark side)	6	6	4	2	-
51	Has self-esteem	5	6	2	1	-
52	Promotes laughter and positive humor	5	5.5	3	2.25	-
53	Is self-reflective (looks within first)	6	6	2	1.25	-
54	Provides hope to others	6	6.5	1.25	1	-
55	Is able to turn negatives into positives	5	5	3	1	-
56	Creates an environment that encourages learning	6	6	2.25	2	-
57	Uses persuasion to influence others instead of coercion	6	6	2	1	-
58	Is a situational leader by responding to the readiness of the followers	4.5	5	3	2	-
59	Models a balance of life and work and encourages others to do so	5	4	2.75	2	-
60	Resists being "used" by partisan factions	4	4	2.25	2	-
61	Carries realistic responsibility for resources	4	4.5	2.25	2	-
62	Is humble – does not promote him or herself	6	6	2.25	2	-
63	Does not seek after special status or perks of leadership	5	5.5	3	2	-
64	Is open to receiving criticism & challenge from others	5	5.5	1.75	1	-
65	Ensures that employees' work is fulfilling	4.5	4	3.25	3	-
66	Enjoys people	6	7	2.5	2	-
67	Is competent – has the knowledge and skills to get things done	6	6	1.25	1	-
68	Provides care to people who are oppressed and marginalized by systems	---	5	---	.5	---
69	Is likely to be shaped by a working acquaintance with Jesus of Nazareth as prototypical of the servant leader in history	---	3	---	4.25	---
70	Evokes the gifts of others	---	4.5	---	1	---

Note: #68 through #70 were added by respondents during the 2nd Inquiry. Therefore, only the 3rd response numbers are provided.

Final Results – Delphi Study on the Characteristics of a Servant Leader

U =	**Unnecessary** =	This characteristic probably has little or no relation to a person being a servant-leader.
D =	**Desirable** =	This characteristic is compatible with being a servant leader but is not really necessary.
N =	**Necessary** =	This characteristic would normally be present in a person who is a servant leader.
E =	**Essential** =	Without this characteristic a person would not be a servant leader.

The **red** line on each rating scale indicates the median response to that item; the **yellow** shading indicates the interquartile range, rounded off (or, the middle 50% of the responses for each item). Participants were asked to provide explanations if they marked outside of the interquartile range. These comments are listed at the back of this report.

Numerical values were applied to the box scale in the following way.

U		D		N		E

1   1.5   2   2.5   3   3.5   4   4.5   5   5.5   6   6.5   7
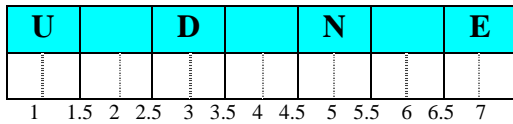
Numbers for the interquartile range were rounded off to the closest full box. Values of .25 and below were rounded down, values of .75 and above were rounded up and values of .50 were rounded down on the low end and up on the high end.

	The Servant Leader …	**Final Rating**							
1	Has a vision of the future	U		D		N			E
2	Is clear on goals and good at pointing the direction	U		D		N			E
3	Uses intuition and foresight to see the unforeseeable	U		D		N			E
4	Is a conceptual thinker	U		D		N			E
	Characteristics of a Servant Leader	**Final Rating**							
5	Initiates action by moving out ahead	U		D		N			E

#	Characteristic	U		D		N		E
6	Respects people	U		D		N		E
								■
7	Believes in the unlimited potential of each person	U		D		N		E
						■		
8	Accepts people as they are	U		D		N		E
						■		
9	Admits personal limitations & mistakes	U		D		N		E
						■		
10	Denies him or herself: leads for the sake of the led rather than to benefit the leader	U		D		N		E
							■	
11	Is open to being known by others	U		D		N		E
					■			
12	Empowers others by sharing power	U		D		N		E
							■	
13	Works to develop people to their potential	U		D		N		E
						■		
14	Builds people up through encouragement and affirmation	U		D		N		E
							■	
15	Is creative in showing appreciation to others	U		D		N		E
						■		
16	Is a coach	U		D		N		E
					■			
17	Is a mentor	U		D		N		E
						■		
18	Relates well to others	U		D		N		E
							■	
19	Brings healing to people in relationships	U		D		N		E
						■		
20	Is trustworthy	U		D		N		E
								■
21	Trusts others	U		D		N		E
								■
22	Facilitates the building of community & team	U		D		N		E
								■

Characteristics of a Servant Leader				**Final Rating**				
23	Works with others instead of apart from	U		D		N		E

#	Characteristics	U		D		N		E	
	them						▌		
24	Shares leadership	U		D		N		E	
								▌	
25	Demonstrates love and compassion toward others	U		D		N		E	
							▌		
26	Promotes open communication and sharing of information	U		D		N		E	
							▌		
27	Is non-judgmental – keeps an open mind	U		D		N		E	
						▌			
28	Views conflict as an opportunity to learn & grow	U		D		N		E	
						▌			
29	Is open to learning from others	U		D		N		E	
							▌		
30	Is a receptive listener	U		D		N		E	
								▌	
31	Has moral authority stemming from high ethical standards	U		D		N		E	
								▌	
32	Encourages risktaking	U		D		N		E	
						▌			
33	Is accountable & responsible to others	U		D		N		E	
							▌		
34	Demonstrates high integrity & honesty	U		D		N		E	
								▌	
35	Is hospitable	U		D		N		E	
						▌			
36	Is perceptive concerning the needs of others	U		D		N		E	
							▌		
37	Leads from personal influence rather than positional authority	U		D		N		E	
								▌	
38	Does not demand or expect honor and awe for being the leader	U		D		N		E	
							▌		
39	Leads by example by modeling appropriate behavior	U		D		N		E	
								▌	
40	Appreciates individuality – doesn't force conformity	U		D		N		E	
						▌			

Characteristics of a Servant Leader		**Final Rating**

#	Statement	U		D		N		E
41	Values diversity	U		D		N	●	E
42	Leads with a mindset that servant leadership is the only true way to lead rather than one style among many	U		D	●	N		E
43	Does not retaliate when wronged	U		D		N	●	E
44	Uses his or her power and authority to benefit others	U		D		N		● E
45	Is low in control of others	U		D		N ●		E
46	Is commanding – helps people to grow up	U	●	D		N		E
47	Is flexible – willing to compromise	U		D		N ●		E
48	Leads from a base of spirituality & faith	U		D		N	●	E
49	Exhibits courage	U		D		N	●	E
50	Knows his/her own shadows (dark side)	U		D		N	●	E
51	Has self-esteem	U		D		N	●	E
52	Promotes laughter and positive humor	U		D		N	●	E
53	Is self-reflective (looks within first)	U		D		N	●	E
54	Provides hope to others	U		D		N		● E
55	Is able to turn negatives into positives	U		D		N ●		E
56	Creates an environment that encourages learning	U		D		N	●	E
57	Uses persuasion to influence others instead of coercion	U		D		N	●	E

	Characteristics of a Servant Leader	Final Rating							
58	Is a situational leader by responding to the readiness of the followers	U		D		N		E	
						◼ (red mark, just right of N)			
59	Models a balance of life and work and encourages others to do so	U		D		N		E	
					◼ (red mark, between D and N)				
60	Resists being "used" by partisan factions	U		D		N		E	
				◼ (red mark, between D and N)					
61	Carries realistic responsibility for resources	U		D		N		E	
					◼ (red mark, just left of N)				
62	Is humble – does not promote him or herself	U		D		N		E	
						◼ (red mark, just right of N)			
63	Does not seek after special status or perks of leadership	U		D		N		E	
						◼ (red mark, right of N)			
64	Is open to receiving criticism & challenge from others	U		D		N		E	
						◼ (red mark, just right of N)			
65	Ensures that employees' work is fulfilling	U		D		N		E	
				◼ (red mark, between D and N)					
66	Enjoys people	U		D		N		E	
								◼ (red mark, at E)	
67	Is competent – has the knowledge and skills to get things done	U		D		N		E	
						◼ (red mark, between N and E)			

The following items were added to the list during the 2nd Inquiry. The responses shown here are from the 3rd Inquiry only.

	Characteristic								
68	Provides care to people who are oppressed and marginalized by systems	U		D		N		E	
						◼ (red mark, at N)			
69	Is likely to be shaped by a working acquaintance with Jesus of Nazareth as prototypical of the servant leader in history	U		D		N		E	
				◼ (red mark, between U and D)					
70	Evokes the gifts of others	U		D		N		E	
					◼ (red mark, just left of N)				

If responses to any item on the 3ʳᵈ Inquiry did not fall within the middle 50% of the group ratings (inside the yellow shading), brief explanations as to the reasons for the response were requested. Here is a list of the explanations given.

Item #	Brief Explanations
5	Must be seen to be a leader and risk taker
6	Yes, but works for good of people above all else
7	Knowing people's potential – although it is not "unlimited" in my experience
12	Using power appropriately is more important than sharing power
16	It's essential to focus on long-term development of others
17	It's essential to mentor for long-term development of others
18	Desirable, but not necessary
19	Essential to not only resolve conflict but be sensitive to complete healing of others concerns/feelings.
19	"healing" is a term that, to me, implies mending or fixing something that is broken. While this is something servant leaders do, I see other competencies being more essential.
21	Knows who is trustworthy and who isn't – not naïve.
27	When I consider this element in the inverse, it seems impossible to do so and be a servant leader – that is to judgmental and have a closed mind. That's why I believe it is essential.
27	Open mind is essential
28	Valuing conflict is essential. So important to surface & honor differences.

29	Deep listening & learning from others highly essential.
32	I just don't see how this is necessary or essential to qualify a person as a servant leader
32	In order to help people reach their potential and to participate in a creative future – participants need to be willing to take risks.
33	One loses trust if not accountable to others
35	Making others feel valued & welcomed is the heart of servant leadership.
40	This is about respecting & valuing differences
52	The ability to stay open & safe (laugh at worst situations) to me is essential in making it safe for others to step up. This is part of unconditional love
55	Can't be a servant leader without this optimism – ability to reframe problems into opportunities.
58	Leaders often stretch groups to move beyond where they are; even if they aren't ready.
59	This balance is difficult. Servant leaders need to continually struggle to maintain a healthy lifestyle.
62	Humility is desirable, but not necessary. Hubris, on the other hand, is the greatest sin! Humility that means "not arrogant" is essential, but humility that means submissive is not desirable.
64	Essential to model not shooting messenger as in open to criticism
66	should enjoy helping people above social interaction
67	Knows personal limits and calls on others. This is a form of competence
69	Buddhists can be very effective servant leaders
69	If you said all religious leaders, I would rate this higher

APPENDIX E

Items Used in Pre-Field Test Instrument

Items – Pre-field test

According to the six constructs/subscores

I. Values people- 14 items

	Item #	Item
1	5	Respect each other
2	71	I am respected by others in this organization
3	11	Believe in the unlimited potential of each person
4	25	Accept people as they are
5	1	Trust each other
6	73	I know that I am trusted by others in this organization
7	60	Are receptive listeners
8	64	I am listened to by others in this organization
9	21	Are aware of the needs of others
10	3	Enjoy people
11	69	I feel appreciated for what I contribute to the organization
12	62	Put the needs of the workers ahead of their own
13	76	My manager puts my needs above his or her own
14	12	Show love and compassion toward others

II. Develops people – 10 items

	Item #	Item
15	50	Provide opportunities for people to develop to their full potential
16	80	I am able to grow personally and professionally in this organization
17	52	use their power and authority to benefit others before themselves
18	58	Provide mentor relationships in order to help people grow professionally
19	26	View conflict as an opportunity to learn & grow
20	54	Build people up through encouragement and affirmation
21	67	I receive encouragement and affirmation in this organization
22	38	Create an environment that encourages learning
23	47	Lead by example by modeling appropriate behavior
24	44	Practice the same behavior they expect from others

Builds Community – 12 items

	Item #	Item
25	17	Relate well to each other
26	27	Know how to get along with people
27	24	Work to bring healing to hurting relationships
28	13	Seek to resolve difficult issues between people in a timely way
29	45	Facilitate the building of community & team
30	55	bring people together instead of pulling them apart
31	9	Work well together in teams
32	31	Work alongside the workers instead of separate from them
33	19	Attempt to work with others more than working on their own
34	6	Value differences in people's skills and abilities
35	10	Value differences in culture, race & ethnicity
36	22	Allow for individuality of style and expression

Displays authenticity – 14 items

	Item #	Item
37	42	Admit personal limitations & mistakes
38	16	Are open to being known by others
39	35	Promote open communication and sharing of information
40	59	Are accountable & responsible to others
41	4	Are non-judgmental – keep an open mind
42	29	Are open to learning from others
43	18	Are flexible – willing to compromise
44	51	Honestly evaluate themselves before seeking to evaluate others
45	39	Are open to receiving criticism & challenge from others
46	15	Are trustworthy ++
47	70	I trust the leadership of this organization
48	14	Demonstrate high integrity & honesty ++
49	40	Leaders say what they mean, and mean what they say
50	8	Maintain high ethical standards

V. Provides leadership – 12 items

	Item #	Item
51	28	Communicate a clear vision of the future of our organization
52	7	Know where this organization is headed in the future
53	78	I am hopeful about the future of this organization
54	43	Encourage people to take risks even if they may fail
55	33	Don't hesitate to provide the leadership that is needed

56	53	Initiate action by moving out ahead
57	48	Are competent – have the knowledge and skills to get things done
58	34	Are highly capable in their field of expertise
59	2	Are clear on key goals of the organization
60	57	Have an effective strategy to help move this organization where it needs to go
61	20	Are held accountable for reaching work goals
62	37	Provide the support and resources needed to help workers meet their goals

VI. Shares leadership – 12 items

	Item #	Item
63	30	encourage each person to share in building the organization's vision
64	36	Empower others by sharing power
65	74	I have the authority I need to do my job well
66	23	Are encouraged to share in decision-making
67	66	I can do my job without being controlled by others
68	41	Encourage each person in the organization to exercise leadership
69	32	Use persuasion to influence others instead of coercion or force
70	56	Are humble – do not promote themselves
71	49	Lead from personal influence rather than from the authority of their position
72	46	Do not demand or expect honor and awe for being the leader
73	61	Do not seek after special status or perks of leadership
74	75	In this organization, a person's work is valued more than their position

Comparison Items – Job Satisfaction – 6 items

	Item #	Item
75	**63**	I am working at a high level of productivity
76	**65**	I feel good about my contribution to the organization
77	**68**	My job is important to the success of this organization
78	**72**	I enjoy working in this organization
79	**77**	I am able to be creative in my job
80	**79**	I am able to use my best gifts and abilities in my job

APPENDIX F

Feedback from Judges and Pre-Field Test Participants and Changes Made for the Field
Test Version of the SOLA Instrument

Feedback from Judges and Pre-Field Test Participants and Changes Made for the Field
Test Version of the SOLA Instrument

Item Changes		
Pre-Field Test Version	Field Test Version	Reason for the Change
12-Show love and compassion toward others	12- Are caring & compassionate towards each other	Love was too broad of a term. Item to test correlation = -.1011
23-Are encouraged to share in decision-making	23-Are encouraged by supervisors to share in making *important* decisions	Need to be more specific as to who is encouraged and what type of decisions
24-Work to bring healing to hurting relationships	24-Work to maintain positive working relationship	Considered to be too strong of a statement. "hurting" needed to be changed
29-Are open to learning from others	29-Are open to learning from those who are *below* them in the organization	Needed to be more specific than "others"
30-Encourage each person to share in building the organization's vision	30-Allow workers to help determine where this organizations is headed	Need to be specific (each person – workers) and define organizational vision
36-Empower others by sharing power	36-Give workers the power to make *important* decisions	Need to be specific on (others – workers) and operationalizing "sharing power"
46-Do not demand or expect honor and awe for being the leader	46-Do not demand special recognition for being leaders	Need for clarity Low item to test correlation = -.0915
49-Lead from personal influence rather than from the authority of their position	49-Seek to influence others from a positive relationship rather than from the authority of their position	Need to clarify "personal influence"
50-Provide opportunities for people to develop to their full potential	50-Provide opportunities for all workers to develop to their full potential	Need to be specific (people – workers). Low item to test correlation = .0459
52-Use their power and authority to benefit others before themselves	52-Use their power and authority to benefit the workers	Needed to be more specific than "others". Low item to test correlation = .1529
53-Initiate action by moving ahead	53-Take appropriate action when it is needed	Several people mentioned that the original item was not clear
55-Bring people together instead of pulling them apart	55-Encourage workers to work *together* rather than competing against each other	Need for clarify (people – workers). Low item to test correlation = .0275
56-Are humble-do not	56-Are humble-they do not	Just a wording change

promote themselves	promote themselves	
57-Have an effective strategy to help move this organization where it needs to go	57-Communicate clear plans & goals for the organization	Need to define strategy Low item to test correlation = .2126
64-I am listened to by others in this organization	64-I am listened to by those *above* me in the organization	Needed to be more specific than "others"
66-I can do my job without being controlled by others	66-My supervisor does not attempt to control me or my work	Needed to be more specific than "others"
67-I receive encouragement and affirmation in this organization	67-I receive encouragement and affirmation from those *above* me in the organization	Need to be more specifc
69-I feel appreciated for what I contribute to the organization	63-I feel appreciated by my supervisor for what I contribute to the organization	Need to be more specific – appreciated by who?
71-I am respected by others in this organization	71-I am respected by those *above* in the organization	Needed to be more specific than "others". Low item to test correlation = .14334
73-I know that I am trusted by others in this organization	73-I know that I am trusted by my supervisor	Needed to be more specific than "others"
74-I have the authority I need to do my job well	74-My supervisor allows me to exercise leadership in my area of work	Need to make it more specific. Low item to test correlation = .1299
75-In this organization, a person's work is valued more than their position	75-In this organization, a person's *work* is valued more than their *title*	Replace "position" with "title" – for clarity

Format Changes		
Pre-Field Test Version	Field Test Version	Reason for the Change
D. Indicate the word that best describes **your organization**	D. Indicate the word that best describes the **type of organization** you work for	For clarity
	G. Added #5 Other	To provide a needed option
In General Instructions: "the workforce as well as management and top leadership"	"the organization including workers, managers and top leadership"	For clarity
In General Instructions:	"**Important,** before you	For clarity and to emphasize

"Please read, sign and return the **Consent Form** provided. There is an additional copy for you to keep.	begin … please read and sign the separate yellow **Consent Form** provided to record you permission to be involved in this study. Keep the white copy of the Consent Form for your own records"	the importance of doing the consent form.
	Changes made related to not using the NCS Scantron form. These were directional changes only.	Not using Scantron sheets for Field Test
#3 answer option had no label	#3 answer option was given the label of "Undecided"	People were unclear about the meaning of response #3
Under Section 1 directions: "People throughout this organization (workforce, management and top leadership) …"	"In general, people within this organization …"	In response to pre-field test input. To emphasize that this section refers to the organization as a whole, not leaders
Under Section 2 directions: "Top Leadership and Management in this Organization …."	"Managers/Supervisors and Top Leadership in this Organization …."	For clarity

Other suggestions:

- Consider adding size of organization to demographics page
- Consider adding type of structure in the organization (multi-level or flat)

These two suggestions were not acted on.

APPENDIX G

Field Test Recruitment Packet

Request Letter

Dissertation Brief

Approval Letter

Jim Laub, Researcher
Florida Atlantic University
12253 Lacewood Lane, Wellington, FL 33414
(561) 642-0094♦ jlaub@worldservants.org

June, 1998

As you may know, I've been working on my doctorate for the past three years and am now working on my dissertation on servant leadership. I'm sending out this packet to people who I believe have a heart for the issue of servant leadership and may be able to assist in this dissertation project. Please look this over and see if there is a way that you can help.

The focus of this study is to develop a tool called the Servant Leadership Organizational/Team Assessment instrument. This instrument will allow people within an organization or team to give their perceptions as to whether the characteristics of servant leadership are present in their group. I have provided a two page summary sheet to describe the instrument and the goals of the study. Once the instrument is prepared it must be field-tested by 700-800 people. Would you be willing to help with the following?

- Gain approval from your organization to participate?

To agree to participate, an organization will send in a letter of approval on their letterhead (see sample enclosed) indicating the estimated number of people that will participate and who the contact person will be. I then will follow up with each organization contact person directly.

We are hoping to receive all of the approval letters from participating organizations by **June 25th**, if possible. The field test itself is scheduled to take place at the end of August or the beginning of September and will be completed by the end of September. The field-test will involve asking volunteers (both leadership and workforce) from your organization to take the instrument and then turning in the answer sheets to me. It is estimated that the instrument will take about 30 minutes to complete. Each organization, of course, will have the opportunity to review the instrument before the field-test is conducted.

Thank you for your consideration of this request.

Sincerely,

Developing the Servant Leadership Organizational/Team Assessment (SLO/TA) Instrument.

The development of the Servant Leadership Organizational/Team Assessment (SLO/TA) instrument is a dissertation project being conducted by Jim Laub through Florida Atlantic University. Jim serves as director of Leadership Mobilization for World Servants.

The instrument will provide a much needed tool to begin to address the following questions.

1. Do people sense that they are served well within their organizations or teams?

2. Do leaders today exhibit the characteristics of servant leadership?

3. Can the level that an organization has developed into a "servant organization" be assessed?

As people are able to interact with these questions, it is hoped that there will be a greater and growing awareness and desire for promoting the concept of servant leadership throughout all of our organizations.

The instrument will be designed to be taken by anyone, at any level, within an organization or team structure. Top leadership and workforce staff/members will take the same instrument and answer the same questions. This will be done for several reasons:

1. Servant leadership assumes a shared leadership, therefore the presence of servant leadership characteristics in an organization or team is an issue that everyone in an organization is responsible for.

2. The presence of the characteristics of servant leadership among the leadership will be assessed as well as the workforce. By separating out these two categories within the instrument, we will be able to determine if the leadership and the workforce share the same perceptions about the presence of these characteristics, not only in the organization at large, but also as it relates to leadership and workforce separately.

3. This format of designing the instrument to be taken by everyone in the organization will help to overcome some of the problems inherent in leadership self-assessments. The issue of social desirability often forces leaders to answer questions in ways that may be expected rather than a more honest response.

4. Leaders may not be aware of their true impact, positively or negatively, on the people of the organization. This instrument will allow them to hear from all parts of the group in order to assess how their leadership characteristics are measured against those of servant leadership.

The instrument will be designed so that it is applicable for use in teams, work units, company divisions or departments, or with the entire organization This will make the instrument very versatile and provide for multiple applications with different kinds of organizations and groups.

The characteristics upon which this instrument will be built are being drawn from a Delphi study of experts in the field of servant leadership. The instrument will be designed in a pen and paper, Likert-style format that will take each person an average of 30 minutes to complete.

It is hoped that this instrument will be used for purposes of further research in the field of servant leadership and the development of a more servant oriented culture in organizations. It is also hoped that organizations and teams will be provided with a means of assessing their own commitment to servant leadership towards the goal of building up of all of their people.

The instrument will be field-tested in a variety of settings and types of organizations. These would include religious non-profit organizations, secular non-profit organizations, for-profit organizations and public agencies.

Servant leadership is based on the belief that leaders serve others to build them up to their full potential. This is in contrast to a leadership based on power and authority that tends to use people to achieve the leader's goals. A servant organization is one in which each person (leadership and workforce) values people development, community building and learning at all levels.

For additional information concerning this project please contact Jim Laub at:

12253 Lacewood Lane, Wellington, FL 33414
(561) 642-0094

jlaub@worldservants.org

Field Test Approval Letter

(please use company letterhead)

(Date)

Jim Laub, Researcher
Florida Atlantic University
12253 Lacewood Lane
Wellington, FL 33414

Dear Jim,

This letter is to indicate approval for our organization to participate in field testing the Servant Leadership Organizational/Team Assessment instrument. We understand that taking the instrument will be voluntary by each individual and not required or coerced in any way. To facilitate this, the administration of the instrument will be carried out by our Human Resource people rather than by Management.

We understand that we will be able to review the instrument prior to the field test

We believe that approximately (please provide an number estimate here) individuals from our organization will be able to participate by taking the instrument.

Please direct all future correspondence to (contact person) at (address/phone/e-mail). They will serve as your contact person for the field test.

Sincerely,

(Name)
(Title)
(Contact information: address/phone/fax/e-mail)

Please return this letter, on your letterhead, to the address above. Thank you for your willingness to be a part of this study.

APPENDIX G