

IMPROVE ORGANIZATIONAL EFFECTIVENESS, CULTURE, AND
CLIMATE THROUGH SERVANT LEADERSHIP

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General Studies

by

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

ABSTRACT

IMPROVE ORGANIZATIONAL EFFECTIVENESS, CULTURE, AND CLIMATE THROUGH SERVANT LEADERSHIP, by Major Courtney N. Hall, 87 pages.

The United States Army is increasing its reliance on a more capable and empowered Soldier in the face of an ambiguous enemy. The Soldier is the most indispensable weapon in the US Army. Servant leaders put their followers first and empower them by being attentive to their concerns and to their personal and professional growth. Leaders must go beyond attaining immediate results through mission accomplishment and improve the organization by focusing on the future leaders of the Army.

This thesis seeks to understand the impact of servant leadership on organizational effectiveness, culture, and climate through the study of three leadership cases. US Army senior leaders, mission command doctrine, and leadership doctrine establishes the foundation to build servant leadership behaviors into practical application within organization level units. Army culture provides the existing conditions required for the model of servant leadership to be successful. The proper use of servant leader behavior empowers Soldiers and improves the long-term success of the organization.

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ACRONYMS

ADRP	Army Doctrine Reference Publication
ALRM	Army Leadership Requirements Model
CASAL	Center for Army Leadership Annual Survey of Army Leadership
COL	Colonel
JO	Junior Officer
OCB	Organizational Citizenship Behavior
SBCT	Stryker Brigade Combat Team
US	United States

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CHAPTER 1

INTRODUCTION

There are those who contend that the best strategist is the commander most distantly removed from his troops. . . . The strategist . . . cannot be infected by compassion for his troops. . . . But because war is as much a conflict of passion as it is of force, no commander can become a strategist until first he knows his men. Far from being a handicap to command, compassion is the measure of it. For unless one values the lives of his Soldiers and is tormented by their ordeals, he is unfit to command.

— General Omar N. Bradley

The purpose of this study is to identify if there is a need to integrate servant leadership into United States (US) Army organizational leadership doctrine. Servant leaders put their followers first and empower them by being attentive to their concerns and to their personal and professional growth.¹ Robert E. Greenleaf developed the theory of servant leadership in 1970, but the practice of leaders serving followers was first introduced by Lao-Tzu and Jesus Christ.² Lao-Tzu was a Chinese philosopher and father of Taoism between 570 B.C. and 490 B.C. Lao-Tzu believed that “when the best rulers achieve their purpose, their subjects claim the achievement as their own.”³

The current Army Leadership Requirements Model (ALRM) described in Army Doctrine Reference Publication (ADRP) 6-22 (2012), lists competencies and attributes

¹ Peter G. Northouse. *Leadership: Theory and Practice*, 6th ed. (Thousand Oaks: SAGE, 2013), 220.

² Robert K. Greenleaf, *The Servant as Leader* (Atlanta, GA: Greenleaf Center for Servant Leadership, 2008), 7; Kent M. Keith, *The Case for Servant Leadership* (Atlanta, GA: Greenleaf Center for Servant Leadership, 2008), 7.

³ Keith, 7.

expected of Army leaders.⁴ The literature review addresses the ALRM and its comparison to the servant leadership characteristics. The Chief of Staff of the Army, General Mark Milley, emphasized taking care of the troops in his first message to the force. In this speech, he said, “our collective strength depends on our people . . . we must always treat each other with respect and lead with integrity. Our Soldiers are the crown jewels of the nation; we must love them, protect them, and always keep faith with them.”⁵ The US Army leadership and ADRP 6-22 strive for leaders:

To go beyond attaining immediate measurable results, they must also lead in a manner that actually improves the organization . . . places a demand upon leaders to conduct themselves in a manner that not only satisfies short-term requirements, but also encourages the development of organization trust and loyalty.⁶

The first challenge is the argument that the US Army is a hierarchical organization and servant leadership is paradoxical to this type of structure. However, servant leadership emphasizes the empowerment of followers which is similar to what US Army Doctrine refers to as Mission Command. ADRP 6-0, *Mission Command*, defines Mission Command as “the exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander’s intent to

⁴ Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Government Printing Office, August 2012), 1-5.

⁵ Michelle Tan, “Milley: Readiness for Ground Combat is No. 1 Priority,” *Army Times*, August 28, 2015, accessed October 17, 2016, <https://www.armytimes.com/story/military/pentagon/2015/08/28/milley-readiness-ground-combat-no-1-priority/71284206/>.

⁶ Bill McCollum and Matthew Broaddus, “Leader-Imposed Stress and Organizational Resilience” (L107RA, Command and General Staff College, 2016), 2.

empower agile and adaptive leaders.”⁷ The second challenge is that current doctrine supports the principles of servant leadership, but there is not sufficient training nor is it encouraged through leadership development. Army Profession doctrine reinforces the concepts of honorable service, trust, and stewardship of the profession.⁸ The third challenge is that Army culture reinforces a results-based organization. Superiors reward the accomplishment of the mission and fail to acknowledge what it took to achieve the results and how it affects the climate of the organization. The fourth challenge is the perception that servant leaders are weak or soft on their followers and that they give up their positional power, or authority, when they place the needs of their subordinates above their own. This study will address these challenges and provide data and analysis to counter these arguments.

Organizational leaders have an abundance of mission requirements and this makes it difficult for them to focus on the long-term development of their Soldiers and their organization.⁹ Officers are in an organization for one to two years and it is difficult for these leaders to focus on the long-term when there are so many short-term missions on the calendar. The Army’s commonly known phrase of “Mission First, People Always”

⁷ Department of the Army, Army Doctrine Reference Publication (ADRP) 6-0, *Mission Command* (Washington, DC: Government Printing Office, May 2012), Glossary-2.

⁸ Department of the Army, Army Doctrine Reference Publication (ADRP) 1, *The Army Profession* (Washington, DC: Government Printing Office, June 2015), 1-3 – 1-5.

⁹ Leonard Wong and Stephen J. Gerras, *Lying to Ourselves: Dishonesty in the Army Profession* (Carlisle Barracks, PA: Strategic Studies Institute, 2015), 1-51; Leonard Wong, *Stifling Innovation: Developing Tomorrow's Leaders Today* (Carlisle Barracks, PA: Strategic Studies Institute, 2002), 1-43.

detracts leaders from focusing on the Army's top resource: The Soldier. Selfless Service, an Army Value, states Soldiers "put the welfare of the nation, the Army, and your subordinates before your own."¹⁰

Primary Research Question

Does the US Army need to develop and adopt servant leadership behaviors within its organizational leadership doctrine?

Secondary Research Questions

1. What impact does servant leadership have on organizational effectiveness?
2. Can servant leadership characteristics or behaviors enhance the Army's organizational culture and climate?
3. What impact does servant leadership have on junior officer retention?

Assumptions

This study assumes that the Army will continue to reduce its manpower as directed. The Army will execute the downsizing by eliminating Officers, Non-Commissioned Officers, and Soldiers who are not the top performers and-or fail to live the Army Values. Another assumption is that there are organizations who employ the servant leadership approach and have proven that this practice is suitable and feasible for implementation by the US Army.

¹⁰ Department of the Army, ADRP 1, B-5.

Definitions

Character: Defined in ADRP 6-22 as “character is comprised of a person’s moral and ethical qualities, helps determine what is right and gives a leader motivation to do what is appropriate, regardless of the circumstances or consequences.”¹¹ “Character is essential to successful leadership” and these four elements are essential to a leader’s core: Army Values, Empathy, Warrior Ethos and Service Ethos, and Discipline.¹²

Counterproductive Leader: Defined as the “intentional behavior enacted by leaders that involves misuse of position or authority for personal and/or organizational benefit” and viewed as opposed to long-term interests.¹³ Misuse is further defined as the “departure from accepted societal norms.”¹⁴ The update to ADRP 6-22, not officially released, will further define counterproductive leadership to describe several negative leader behaviors and what was previously characterized as toxic leadership.

Junior Officer (JO): This term is equivalent to Company grade officer and are the military grade ranks of Captain, First Lieutenant, and Second Lieutenant.

¹¹ Department of the Army, ADRP 6-22 (2012), 3-1.

¹² Ibid.

¹³ Steve Werner, *Managing Human Resources in North America: Current Issues and Perspectives* (New York: Routledge, 2007), 114-115.

¹⁴ Ibid., 114.

Organizational Citizenship Behavior (OCB): Defined as “individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system, and in the aggregate, promotes the efficient and effective function of the organization.”¹⁵

Organizational Climate: This term is defined in ADRP 6-22 as “how members feel about the organization and comes from shared perceptions and attitudes about the unit’s daily functioning. Climate affects motivation and the trust Soldiers . . . feel for their team and leaders.”¹⁶

Organizational Culture: ADRP 6-22 defines organizational culture as “shared attitudes, values, goals, and practices that characterize the larger institution over time. It is deeply rooted in long-held beliefs and customs.”¹⁷ Further defined by Edgar Schein as “the shared beliefs of a group used to solve problems and manage internal anxiety.”¹⁸

Organizational Effectiveness: Defined as the organizations “attainment of an end state, achievement of an objective, or creation of an effect.”¹⁹

¹⁵ Dennis W. Organ, Philip M. Podsakoff, and Scott B. MacKenzie, *Organizational Citizenship Behavior: Its Nature, Antecedents, and Consequences* (Thousand Oaks, CA: SAGE, 2005), 3.

¹⁶ Department of the Army, ADRP 6-22 (2012), 7-1.

¹⁷ Ibid.

¹⁸ Edgar H. Schein, *Organizational Culture and Leadership*, 2nd ed. (San Francisco, CA: Jossey-Bass, 1992), 16.

¹⁹ Department of the Army, Field Manual (FM) 6-0, *Commander and Staff Organization and Operations* (Washington, DC: Government Printing Office, May 2014), 15-2.

Organizational Leader (Army): ADRP 6-22 describes organizational leaders “generally includes military leaders at the battalion through corps levels . . . setting policy, managing multiple priorities and resources, or establishing a long-term vision and empowering others to perform their mission.”²⁰

Servant Leadership: Defined as “a servant-leader is simply a leader who is focused on serving others.”²¹ Robert K. Greenleaf, the originator of the theory of servant leadership, defines the term as “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.”²²

Stewardship: There are many definitions of this term in Army doctrine and civilian writings. For this study, stewardship is defined as a long-term responsibility entrusted to the leader to “care for the people . . . entrusted to them by the American people.”²³

Toxic Leadership: This term is defined by Army Doctrine Publication 6-22 as a “combination of self-centered attitudes, motivations, and behaviors that have adverse

²⁰ Department of the Army, ADRP 6-22 (2012), 2-5.

²¹ Keith, 10.

²² Greenleaf, *The Servant as Leader*, 15.

²³ Department of the Army, ADRP 6-22 (2012), Glossary-2.

effects on subordinates, the organization, and mission performance.”²⁴ Toxic leaders have three key elements:

1. “an apparent lack of concern for the well-being of subordinates,”
2. “a personality or interpersonal technique that negatively affects organizational climate,” and
3. “a conviction by subordinates that the leader is motivated primarily by self-interest.”²⁵

Limitations

Time is the most limiting factor that will influence the research conducted during this study. Servant Leadership is a young theory with initial writings in 1970. Researchers continue to study its application further to expand on the initial theory. The time constraints limit this to a qualitative research study. In addition, the researcher recognizes their own experiential bias due to experiencing the positive effects of servant leaders and will maintain awareness of this bias during the data analysis.

Scope

The scope of this study is to identify if servant leadership behaviors will benefit the Army and understand if it will impact organizational effectiveness, culture, and climate. This study will address the implications of integrating this concept. Two case studies of effective servant leaders will show the effectiveness these leaders have on organizations and junior officer-employee retention. An additional case study will look at

²⁴ Department of the Army, Army Doctrine Publication (ADP) 6-22, *Army Leadership* (Washington, DC: Government Printing Office, August 2012), 3.

²⁵ COL George E. Reed, “Toxic Leadership,” *Military Review* (July-August 2004): 67-71.

a counterproductive leader within the Army and the affects this leader has on their organization.

Delimitations

This study will not assess the effectiveness of additional leadership styles, but the researcher understands that leaders must adapt their leadership styles for their given situation. This study does not explore the option of removing current leadership doctrine from US Army doctrine but supplementing it with servant leadership behaviors. Additionally, the study will not provide implementation recommendations below the organizational level.

Significance

Servant leadership is significant to the military profession because it reinforces leaders' emphasis on their Soldiers and will positively affect their behavior by helping them to achieve their maximum potential. Leaders adapt to their environment and must use different leadership approaches to influence their current situation. Leaders can achieve their mission and build their subordinates at the same time. Servant leaders are strong ethically and morally; they do the right thing because they are selfless leaders. Selfish leaders exist within the US Army ranks. These leaders have negative effects on their organizations.²⁶

²⁶ Reed, "Toxic Leadership," 67-71.

Conclusion

The integration of servant leadership characteristics into US Army Leadership doctrine will assist in placing emphasis on the long-term development of Soldiers and increase organizational effectiveness. Leaders are stewards of the profession of arms and care for the people within their command. The literature review will discuss current writings on servant leadership, Army leadership doctrine, organizational effectiveness, culture, climate, and JO retention. This study will analyze if there is a connection between leader behavior and organizational effectiveness, culture, and climate.

CHAPTER 2

LITERATURE REVIEW

A commander must have far more concern for the welfare of his men than he has for his own safety. After all, the same dignity attaches to the mission given a single Soldier as to the duties of the commanding general. The execution of the Soldier's mission is just as vitally important, because it is the sum total of all those small individual missions, properly executed, which produces the results of the big unit. All lives are equal on the battlefield, and a dead rifleman is as great a loss, in the sight of God, as a dead general.

— General Matthew B. Ridgway,
Soldier: The Memoirs of Matthew B. Ridgway

Introduction

The purpose of this study is to identify if there is a need to integrate servant leadership into US Army organizational leadership doctrine. The scholarly concept of Servant leadership originated in 1970 when Robert K. Greenleaf published an essay called *The Servant as Leader*.²⁷ Since 1970, servant leadership as a theory and practice has an abundance of written literature delivering models, characteristics, and behaviors. This chapter will discuss writings on servant leadership, Army leadership doctrine, organizational effectiveness, organizational culture, and organizational climate. The literature will assist in understanding the linkages between servant leadership and Army leadership on organizational effectiveness, culture, and climate. Additionally, the literature will identify literature containing details about the negative leader behaviors that are causing JOs to exit the Army.

²⁷ Greenleaf, *The Servant as Leader*, 7.

Servant Leadership Theory and Practice

In Greenleaf's 1970 essay, *The Servant as Leader*, he reinforces the "leader-first and servant-first are two extreme types" of leaders. Greenleaf claims the difference reveals itself in the "care taken by the servant-first to make sure that other people's highest priority needs are being served."²⁸ In 2016, Northouse said that servant leadership is effective "when leaders are altruistic and have a strong motivation and deep-seated interest in helping others."²⁹ Writers have taken Greenleaf's original work on servant leadership as a philosophy and developed characteristics and models to move it into a practice. Writers evolved the theory further by researching how servant leadership impacts organizations.

Larry Spears identified 10 characteristics of the servant leader from the Greenleaf writings: (1) listening, (2) empathy, (3) healing, (4) awareness, (5) persuasion, (6) conceptualization, (7) foresight, (8) stewardship, (9) commitment to the growth of people, and (10) building community.³⁰ "Servant leaders communicate by listening first."³¹ This communication of listening, the first identified characteristic, is the exchanging of thoughts and ideas and encompasses receiving what is said and not said.³²

²⁸ Ibid., 15.

²⁹ Peter G. Northouse, *Leadership: Theory and Practice*, 7th ed. (Thousand Oaks, CA: SAGE, 2016), 239.

³⁰ Larry C. Spears and Michael Lawrence, *Focus on Leadership: Servant-Leadership in the Twenty-First Century* (New York: J. Wiley and Sons, 2002), 5-8.

³¹ Northouse, *Leadership: Theory and Practice* (2016), 227.

³² Ibid.

Through listening, the servant leaders seek to understand the “will of a group and to clarify that will.”³³ Servant leaders use empathy to show that they understand what their “followers are thinking and feeling.”³⁴ Followers feel accepted, recognized, and validated when leaders show empathy. Healing is essential to feeling whole and servant leaders ensure not only themselves, but care for their follower’s emotional pain.³⁵ Servant leaders have a sense of awareness, commonly known as emotional intelligence, to understand themselves, others, and the context of a situation.³⁶ Servant leaders use persuasion, as opposed to coercion, “as a clear and persistent communication that convinces others to change . . . persuasion creates change through the use of gentle nonjudgmental argument.”³⁷

Servant leaders know how to conceptualize and can understand the bigger picture and explain the reason “why” to their followers.³⁸ Following the conceptualization of a situation, servant leaders can “foresee the likely outcome of the situation” and to learn the lessons of the past, realize the present, and anticipate the future.³⁹ Stewardship, as a characteristic of the servant leader, is the acceptance of the “responsibility to carefully

³³ Spears and Lawrence, 5.

³⁴ Northouse, *Leadership: Theory and Practice* (2016), 227.

³⁵ Spears and Lawrence, 5.

³⁶ *Ibid.*, 6.

³⁷ Northouse, *Leadership: Theory and Practice* (2016), 228.

³⁸ *Ibid.*

³⁹ Spears and Lawrence, 7.

manage the people and organization they have been given to lead . . . they hold the organization in trust for the greater good of society.”⁴⁰ The ninth characteristic is the commitment to the growth of the people. Greenleaf believes that people have an “intrinsic value beyond their tangible contributions to the organization.” Greenleaf states the servant leader recognizes the responsibility to “nurture the personal, professional, and spiritual growth of [followers].” This commitment requires the leader to take a personal interest in the ideas and thoughts of the followers and to encourage them to be involved in the decision making of the organization.⁴¹ The final characteristic of servant leadership is building community and is defined as a “collection of individuals who have shared interests and pursuits and feel a sense of unit and relatedness.”⁴²

Several researchers have provided variations of these 10 characteristics with many overlaps and additions, however, six characteristics remain consistent within the research.⁴³ In *Servant Leadership: A Review and Synthesis*, by Dirk van Dierendonck, identifies these six key characteristics. He says, “Servant leaders empower and develop people; they show humility, are authentic, accept people for who they are, provide direction, and are stewards who work for the good of the whole.”⁴⁴ Additionally, Van

⁴⁰ Northouse, *Leadership: Theory and Practice* (2016), 228.

⁴¹ Spears and Lawrence, 8.

⁴² Northouse, *Leadership: Theory and Practice* (2016), 229.

⁴³ Ibid., 230.

⁴⁴ Dirk Van Dierendonck, “Servant Leadership: A Review and Synthesis,” *Journal of Management* 37, no. 4 (2011): 1232.

Dierendonck provides a way to operationalize servant leadership by enhancing our understanding of “servant leadership behavior, how to recognize it, and how to measure it.”⁴⁵ The servant leader behaviors, antecedents, and consequences are integrated into the Model of Servant Leadership below.

In *Leading at a Higher Level*, Ken Blanchard says that “when people lead at a higher level, they make the world a better place, because their goals are focused on the greater good. This requires a special kind of leader: a servant leader.”⁴⁶ Blanchard also says that servant leadership becomes “a way of life,” organizations are less likely to “experience poor leadership,” and “organizations work more effectively.”⁴⁷ James Hunter reinforces servant leadership in his book *The World’s Most Powerful Leadership Principle*.⁴⁸ Hunter writes that “Leadership is an awesome responsibility,” one that a leader has signed up for, and “human beings have been entrusted to our care, and much is at stake.”⁴⁹ Leadership is not something that is approached “casually and nonchalantly.”⁵⁰ Hunter addresses opposition views on servant leadership and that skeptics view servant

⁴⁵ Ibid.

⁴⁶ Ken Blanchard, *Leading at a Higher Level, Revised and Expanded Edition: Blanchard on Leadership and Creating High Performing Organizations* (New Jersey: Blanchard Management Company, 2010), 261.

⁴⁷ Ibid., 280-281.

⁴⁸ James C. Hunter, *The World's Most Powerful Leadership Principle: How to Become a Servant Leader* (New York: Crown Business, 2004).

⁴⁹ Ibid., 39.

⁵⁰ Ibid.

leadership as a “passive style of leadership” and that servant leaders “abdicate” the responsibility of being a leader.⁵¹ Servant Leaders still run the organization and provide the “mission, values, standards, and accountability.”⁵² After the leader provides this direction, “it becomes time to turn the organizational structure upside down and help people win!”⁵³

Servant leadership emphasizes “service to others” and recognizes that “the role of the organization is to create people who can build a better tomorrow.”⁵⁴ Many researchers have developed servant leadership theories since Greenleaf coined the term, however, one thing remains the same the “willingness to serve others.”⁵⁵ Parris and Peachy evaluated servant leadership theories within organizational contexts and determined that “servant-led organizations enhance leader trust and organizational trust, organizational citizenship behavior, procedural justice, team and leader effectiveness, and the collaboration between team members.”⁵⁶ However, there is the likelihood for conflict between servant leadership and organizations. An article in the journal *Servant Leadership: Theory and Practice*, discusses “the roots of potential inherent conflict” that

⁵¹ Ibid., 51.

⁵² Ibid., 50.

⁵³ Ibid., 51.

⁵⁴ Denise L. Parris and Jon Welty Peachey, “A Systematic Literature Review of Servant Leadership Theory in Organizational Contexts,” *Journal of Business Ethics* 113, no. 3 (2013): 378.

⁵⁵ Ibid., 380.

⁵⁶ Ibid., 387.

exists between the two.⁵⁷ This article presents three points of potential conflict within an organization: (1) “why does it exist?” or “people vs purpose conflicts,” (2) “how does it tend to operate?” or “people vs process conflicts,” and (3) “how does it survive for the long term?” or “people vs power conflicts.”⁵⁸ Understanding that these conflicts exist will help leaders adapt their leadership approach and resolve the potential conflicts.⁵⁹ Servant leaders sacrifice themselves for the “good and growth of others” and open communication with followers will enhance the relationship and grow the organization.⁶⁰ The Model of Servant Leadership assists servant leaders in understanding one way to operationalizing servant leadership within an organization.

Model of Servant Leadership

Conceptualization of Servant Leadership theory varies with every researcher and study. Most of these studies have common characteristics to describe servant leadership, but “scholars are not in agreement regarding the primary attributes of servant leadership.” These studies do provide the foundation required for the “development of a refined model of servant leadership.”⁶¹ Northouse presents a Model of Servant Leadership that was

⁵⁷ James Elliker, “Understanding Ontological Conflict Between Servant Leadership and Organizations,” *Servant Leadership: Theory and Practice* 3, no. 2 (2016): 72-89.

⁵⁸ Ibid., 82-84.

⁵⁹ Ibid., 84.

⁶⁰ Ibid.

⁶¹ Northouse, *Leadership: Theory and Practice* (2016), 231.

developed by integrating three separate studies from 2008, 2011, and 2014.⁶² The Model of Servant Leadership (figure 1) has three main components: “antecedent conditions, servant leader behaviors, and leadership outcomes.”⁶³

Antecedent, or existing, conditions influence the leaders’ ability to implement a leadership approach within an organization. This model identifies three conditions, not an inclusive list, that impact the “leadership process.”⁶⁴ The first condition is Context and Culture or “the nature of each of these affects the way servant leadership is carried out” and accepted within the organization.⁶⁵ Values and norms differ between cultures and the application of servant leadership will vary.⁶⁶ The second condition, Leader Attributes, is the leader’s predisposition or ability to have the qualities of a servant leader. The six leader attributes are: “the desire to serve others, emotional intelligence, moral maturity and conation, prosocial identity, core self-evaluation, and low narcissism.”⁶⁷ These attributes form the way individuals demonstrate servant leadership and individuals are

⁶² The three studies are: Robert C. Liden et al., “Servant Leadership: Development of a Multidimensional Measure and Multi-Level Assessment,” *Leadership Quarterly* 19 (2008): 161-177; Dirk Van Dierendonck, “Servant Leadership: A Review and Synthesis,” *Journal of Management* 37, no. 4 (2011): 1232; and Robert C. Liden et al., “Servant Leadership: Antecedents, Processes, and Outcomes,” *The Oxford Handbook of Leadership and Organizations* (2014), 362.

⁶³ Northouse, *Leadership: Theory and Practice* (2016), 231.

⁶⁴ Ibid.

⁶⁵ Ibid.

⁶⁶ Ibid.

⁶⁷ Robert C. Liden et al., “Servant Leadership: Antecedents, Processes, and Outcomes,” *The Oxford Handbook of Leadership and Organizations* (2014): 362.

different in “moral development, emotional intelligence, and self-determinedness, and these traits interact with their ability to engage in servant leadership.”⁶⁸ The third condition is Follower Receptivity which is the followers desire to work with a servant leader.⁶⁹ Followers who do not want to work with servant leaders see them as “micromanagers” and do not want the leader to get to “know them or help, develop, or guide them.”⁷⁰ However, servant leaders matched with followers who desire their approach show a “positive impact on performance and organization citizenship behavior.”⁷¹ Additionally, the servant leader’s awareness of their followers “needs, desires, and potential” are taken into account and adjust the leader’s behavior accordingly.⁷²

Servant leader behaviors, the second component, were identified in 2008 by Liden et al.’s research to identify a multidimensional process of viewing servant leadership.⁷³ The servant leader behaviors described by the model are: conceptualizing, emotional

⁶⁸ Ibid., 232.

⁶⁹ Ibid., 232-233.

⁷⁰ Ibid., 233.

⁷¹ Ibid.

⁷² Ibid., 365.

⁷³ Robert C. Liden et al., “Servant Leadership: Development of a Multidimensional Measure and Multi-Level Assessment,” *Leadership Quarterly* 19 (2008): 161-177.

healing, putting followers first, helping followers grow and succeed, behaving ethically, empowering, and creating value for the community.⁷⁴

Outcomes, the final component, are important to examine to understand the potential impact servant leadership has on the organization. The outcomes described in the model are follower performance and growth, organizational performance, and societal impact. The follower performance and growth is the direct focus of servant leaders. The goal is that the follower should realize their full capabilities and achieve greater actualization when their leaders show a sincere concern for their well-being.⁷⁵ Another benefit of matched servant leader and follower is that it will increase the followers “in-role performance” and become “more effective at accomplishing their jobs.”⁷⁶ Additionally, followers of servant leaders may become servant leaders themselves, however, additional research is required to validate this assumption.⁷⁷

Servant Leadership and organizational performance correlation studies are still in its initial stages and more study is required to authenticate the links.⁷⁸ However, there are “several studies that have found a positive relationship between servant leadership and Organizational Citizenship Behaviors (OCB).”⁷⁹ OCB are where the follower goes above

⁷⁴ Northouse, *Leadership: Theory and Practice* (2016), 232.

⁷⁵ Ibid., 236.

⁷⁶ Ibid., 236-237.

⁷⁷ Ibid., 237.

⁷⁸ Ibid.

⁷⁹ Ibid.

the minimum requirements of their job and increase the overall performance of the organization.⁸⁰ Van Dierendonck synthesized multiple research studies “confirming servant leadership as a potential antecedent of unit level OCB.”⁸¹ Another outcome of servant leadership is positive societal impact in various ways, but this is not typically measured in studies.⁸²

The Model of Servant Leadership establishes a framework for researchers to further understand and analyze the impacts servant leaders have on their followers and organizations. This model sets the conditions for organizations to facilitate the growth of their organizations, but requires certain conditions be met. The comparison and analysis of this model and the US Army organizational units is described in chapter 4, Analysis.

⁸⁰ Ibid.

⁸¹ Van Dierendonck, 1249.

⁸² Northouse, *Leadership: Theory and Practice* (2016), 237.

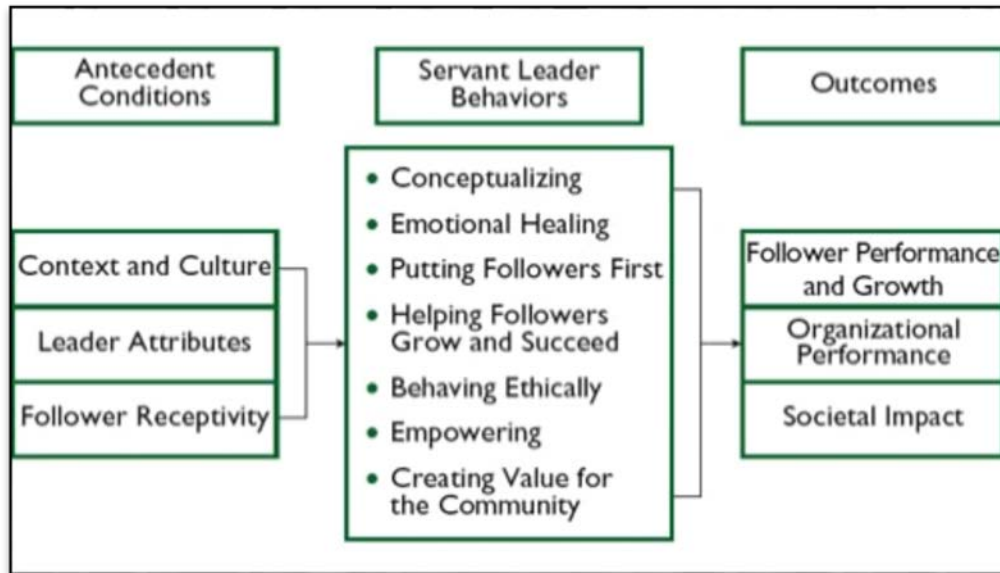


Figure 1. Model of Servant Leadership

Source: Peter G. Northouse. *Leadership: Theory and Practice*, 7th ed. (Thousand Oaks, CA: SAGE, 2016), 232.

Army Leadership Doctrine

Army Doctrine Publication 6-22, *Army Leadership*, defines the US Army Leader as “anyone who by virtue of assumed role or assigned responsibility inspires and influences people to accomplish organizational goals. Army leaders motivate people both inside and outside the chain of command to pursue actions, focus thinking, and shape decisions for the greater good of the organization.”⁸³ In the Army, there are three different leadership levels as described by AD RP 6-22: direct, organizational, and strategic. This study will focus on the organizational level leader. The organizational

⁸³ Department of the Army, ADP 6-22, 1.

level leader sets the tone, has a wide span of influence within the organization, and “influence several hundred to several thousand people.”⁸⁴ Organizational leadership uses direct (face-to-face) leadership to influence many levels of subordinates. Organizational leaders usually operate in a more complex environment with more people and with more uncertainty.⁸⁵

The US Army Doctrine Reference Production 6-22 uses the Army Leadership Requirements Model (figure 1) to identify components of attributes, what a leader is, and competencies, what a leader does. Leader attributes are comprised of character, presence, and intellect.⁸⁶ The character attribute “represents the values and identity of the leader” and the “moral and ethical qualities . . . [to] determine what is right.”⁸⁷ Empathy is a subcategory of character in the ALRM. ADRP 6-22 defines empathy as a leader’s ability to “genuinely relate to another person’s situation, motives, and feelings . . . does not necessarily mean sympathy for another, but . . . leads to a deeper understanding.”⁸⁸ Presence is how the “leader is perceived by followers and others . . . it involves the example the leader projects to inspire others to do their best and follow their lead.”⁸⁹

⁸⁴ Ibid., 2-5.

⁸⁵ Ibid.

⁸⁶ Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Government Printing Office, August 2012), 1-5.

⁸⁷ Ibid.

⁸⁸ Ibid., 3-3.

⁸⁹ Ibid., 1-5.

Intellect is the “mental and social faculties the leader applies in the act of leading” and their “conceptual abilities enable effective problem-solving and sound judgment.”⁹⁰

Leader competencies include leads, develops, and achieves.⁹¹ The three leader competencies involve influence and should align with the organization’s mission and adapted to the leader’s followers.⁹² The leads competency consists of five subcategories as listed in the ALRM (figure 2). The lead others subcategory consists of providing purpose and motivation, influencing, building and sustaining morale, resolving conflicts, enforcing standards, instilling discipline, balancing mission and welfare, taking care of Soldiers and Army Civilians, and a few others.⁹³ Of interest is the balancing mission and welfare by taking care of Soldiers. ADRP 6-22 states that, “having a genuine concern for follower well-being accompanies motivation, inspiration, and influence. “Soldiers and Civilians are willing to go the extra mile for leaders whom they respect.”⁹⁴ ADRP 6-22 identifies that there may be an internal conflict with leaders who have to send their Soldiers into harm’s way, however, part of taking care of the Soldier is to prepare them “for the realities of combat” and enforce the role of standards.⁹⁵ The leads competency

⁹⁰ Ibid.

⁹¹ Ibid.

⁹² Ibid., 6-1.

⁹³ Ibid., 6-1 – 6-7.

⁹⁴ Ibid., 6-6.

⁹⁵ Ibid.

also discusses building trust to “enable influence and mission command.”⁹⁶ Trust is essential to building commitment throughout the organization and to building a positive climate. Communicates, another leads subcategory, reinforces good communication through listening and creating a shared understanding.”⁹⁷

The leader competency Develops discusses the role leaders have in preparing their followers to “assume positions with greater leadership responsibilities.”⁹⁸ Develops is not only about self-development but the developing “people and the organization with a long-term perspective” and requires creating a “positive environment that fosters esprit de corps and . . . maintains a healthy balance between caring for people and their families while focusing on the mission.”⁹⁹ Develops also requires the leader to act as a steward of the profession through decision making that is focused on sustaining the future Army “capable of performing its core functions.”¹⁰⁰ Developing followers and organizations requires open and candid communications that establishes a learning environment while the leader constantly assesses the climate.¹⁰¹ Establishing a positive climate is discussed in the organization climate subheading within this chapter. The Achieves competency is discussed in the organization effectiveness subheading within this chapter.

⁹⁶ Ibid., 6-7.

⁹⁷ Ibid., 6-14.

⁹⁸ Ibid., 7-1.

⁹⁹ Ibid.

¹⁰⁰ Ibid.

¹⁰¹ Ibid., 7-3.

The ALRM and ADRP 6-22 does not specifically address servant leadership within the text, however, the attributes, competencies, and message are consistent with the servant leadership characteristics. An article by Major Nick Turner published on the Center for Army Profession and Ethic website titled *Inspiring Trust and Developing Character through Servant Leadership* addresses the alignment of attributes and competencies alongside the ten characteristics of servant leadership.¹⁰² This study will independently evaluate the links between Army leadership doctrine and servant leadership in chapter 4, Analysis.

¹⁰² Nick Turner, “Inspiring Trust and Developing Character through Servant Leadership,” Center for Army Profession and Ethic, accessed October 16, 2016, <http://cape.army.mil/character-development-project/repository/maj-nick-turner-leadership-research-paper.pdf>, 8.

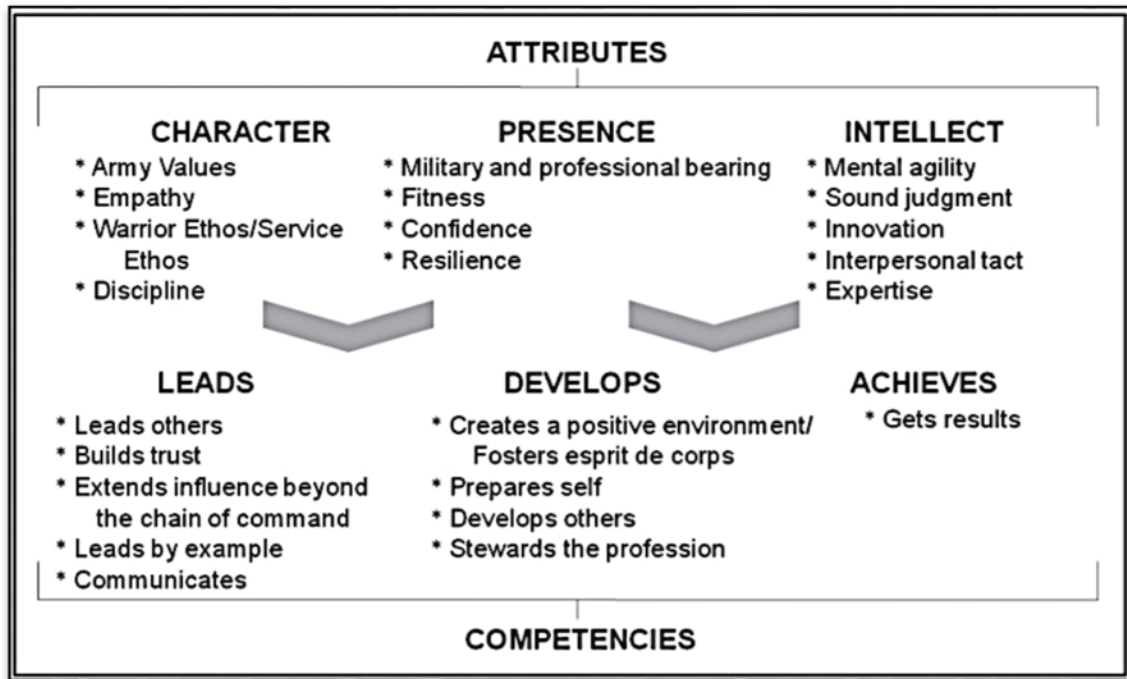


Figure 2. The Army Leadership Requirements Model

Source: Department of the Army, Army Doctrine Reference Publication (ADRP) 6-22, *Army Leadership* (Washington, DC: Government Printing Office, August 2012), 1-5.

The Army Profession Doctrine, ADRP 1, is another regulation that helps to build the leaders of the Army. The Center for Army Profession and Ethics states, “ADRP 1 provides the foundation for Army training and education curricula on the Army Profession, the Army Ethic, and character development of Army professionals.”¹⁰³ ADRP 1 defines the Army as a trusted profession, disciplined and relatively autonomous whose members provide a “vital service to society.” ADRP 1 identifies five essential

¹⁰³ Department of the Army, ADRP 1, 1-1 – 1-4.

characteristics of the Army Profession (figure 3): (1) Military Expertise, (2) Honorable Service, (3) Trust, (4) Esprit de Corps, and (5) Stewardship of the Profession.¹⁰⁴

These essential characteristics are the underlying principles that make the US Army a trusted military profession. The Army's responsibility is to maintain the trust of the American people.¹⁰⁵ To serve honorably and to apply military expertise ethically and with precision.¹⁰⁶ The US Army's duty to the American people is to ensure there is a future effective Army that has cared for its people, resources, and the profession that maintains the will to fight through esprit de corps.¹⁰⁷ It is the characteristics of the Army profession and the Army Values that establish the foundation of the Army Culture and bonds the Soldiers in uniform to a greater purpose. The framework of the Army Ethic identifies the legal and moral foundations for the individual as a profession and must follow the golden rule, "treat others as one would want to be treated or, do not treat others as one would not like to be treated."¹⁰⁸ It is our duty and obligation to treat our followers with respect and as honorable servants of the nation.¹⁰⁹

¹⁰⁴ Ibid.

¹⁰⁵ Ibid., 1-4.

¹⁰⁶ Ibid., 1-5.

¹⁰⁷ Ibid.

¹⁰⁸ Ibid., B-8.

¹⁰⁹ Ibid., 2-5.

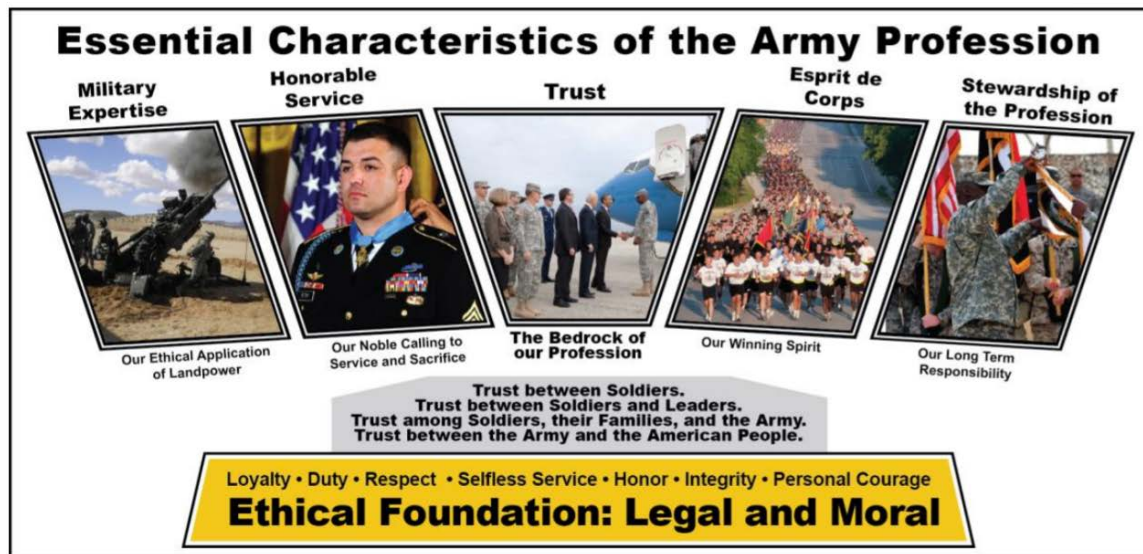


Figure 3. Essential Characteristics of the Army Profession

Source: Department of the Army, Army Doctrine Reference Publication (ADRP) 1, *The Army Profession* (Washington, DC: Government Printing Office, August 2012), vi.

The US Army must execute military operations within complex and ambiguous environments. Leaders must use the foundation provided to them through leadership doctrine and guidelines within ADRP to apply mission command to accomplish the missions directed to them by the Army. Mission command as a philosophy is discussed in ADRP 6-0 and is defined as the “exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander’s intent to empower agile and adaptive leaders in the conduct of unified land operations.”¹¹⁰ Mission command is guided by six principles: “build cohesive teams through mutual trust, create shared understanding, provide a clear commander’s intent, exercise

¹¹⁰ Department of the Army, ADRP 6-0.

discipline initiative, use mission orders, and accept prudent risk.”¹¹¹ Leaders must rely on their followers to execute missions with little oversight. Leaders use the principles of mission command to develop their subordinates and empower them to act independently and make decisions on their own. The mission command philosophy is consistent with servant leadership behaviors and helps followers to grow, succeed, and perform their missions with confidence. Leaders build the shared understanding by conceptualizing the mission through mission orders and commander’s intent. Leaders understand that there is risk to every military operation and their Soldiers lives are put in danger, but leaders put their followers first by ensuring they are properly trained and prepared to execute the mission with discipline.

Organizational Effectiveness

Lieutenant General Walter F. Ulmer Jr (Retired) wrote, “It is . . . noteworthy that the erosion of organizational effectiveness can be a quiet cancer, initially difficult to discern amid the noise of current events, and so subtle that only the most discerning observer can catch the change until too late in the game.”¹¹² Organizational effectiveness is defined in chapter 1, however, assessing organizational effectiveness varies by the organization. ADRP 6-22 states, “Leadership builds effective organizations. Effectiveness directly relates to the core leader competency of getting results.”¹¹³ Gets

¹¹¹ Ibid., 1-3.

¹¹² Christopher Kolenda, *Leadership: The Warrior's Art* (Carlisle, PA: Stackpole Books, 2001), xxxii-xxxiii.

¹¹³ Department of the Army, ADRP 6-22 (2012), 8-1.

results is subordinate to the leader competency Achieves within the ALRM (figure 2). ADRP 6-22 also states that it is a “leader’s ultimate purpose to accomplish organizational results.”¹¹⁴ The leader achieves this goal by “providing direction, guidance, and clear priorities,” “monitoring performance to identify strengths and correct weaknesses in organizations, groups, and individuals allows for accomplishing missions consistently and ethically.”¹¹⁵

The leader must understand that mission accomplishment must also include maintaining and building the organization’s capabilities.¹¹⁶ As seen in the Model of Servant Leadership and in Van Dierendonck’s article, servant leadership behaviors enhance team effectiveness not only through performance but by increasing “group process and clarity.”¹¹⁷ Van Dierendonck writes that effectiveness requires being goal oriented, adaptive to the environment, gaining organizational commitment, and follower’s recognition.¹¹⁸ Organizational effectiveness is not only accomplishing the mission, but includes growing the people within the organization. Servant leadership builds OCB and effectiveness through empowering leadership and group efficiency.¹¹⁹

¹¹⁴ Ibid., 8-2.

¹¹⁵ Ibid., 8-1.

¹¹⁶ Ibid.

¹¹⁷ Northouse, *Leadership: Theory and Practice* (2016), 237; Van Dierendonck, 1249.

¹¹⁸ Van Dierendonck, 1249.

¹¹⁹ Northouse, *Leadership: Theory and Practice* (2016), 237.

Organizational Culture and the US Army

Organizational culture is the “result of a complex group learning process that is only partially influenced by leader behavior” and is “created in part by leaders.”¹²⁰

Culture and leadership is a mutual relationship and a clear understanding of the organization’s culture is essential to the success of all leaders. The leader is responsible for assessing the organization’s cultural functionality and “to manage cultural evolution and change in such a way that the group can survive in a changing environment.”¹²¹

An organization’s culture is difficult to change, but not impossible. Edgar Schein identifies three levels of cultures: artifacts, espoused beliefs and values, and basic underlying assumptions. Artifacts are the “visible organizational structures and processes” which are “easy to observe” but “very difficult to decipher.”¹²² Espoused values are the strategies, goals, philosophies, ideologies, and rationalizations.¹²³ In understanding someone’s culture, an observer must understand basic underlying assumptions. Basic underlying assumptions are the “unconscious, take-for-granted beliefs, perceptions, thoughts, and feelings which are the ultimate source of values and action.”¹²⁴ Cultures evolve from three different sources: “the beliefs, values, and assumptions of founders of organizations; the learning experiences of group members as

¹²⁰ Schein, 5.

¹²¹ Ibid., 15.

¹²² Ibid., 17.

¹²³ Ibid., 19.

¹²⁴ Ibid., 17.

their organization evolves; and new beliefs, values, and assumptions brought in by new members and leaders.”¹²⁵ The US Army was formed in 1775 to fight the American Revolutionary War, almost 242 years ago. In these years, countless generations have built the Army culture that exists today and the organizational culture continues to evolve to fit the current operational environment. US Army culture is a hierarchical organization and a top-down rank ordered class that critics identify as a challenge for applying servant leadership. Servant leadership is contrary to the conventional hierarchical military structure which requires strict discipline and discourages socializing between different ranks. However, the current Army senior leadership is attempting to change the culture. General Daniel Allyn, currently the Vice Chief of Staff of the Army, said, “Servant leadership is the underlying theme of the Army Values, and it is just good business.”¹²⁶

Servant leadership reinforces its primary function as placing the needs of subordinates before themselves and “leaders accomplish this through discipline, self-awareness, foresight, and humility which are all desired traits of an Army leader.”¹²⁷ Lieutenant General (retired) Ulmer states, “If we value only the outcome of the immediate battle, or merely the next quarter’s report of profit and loss, then our yardstick will be set to disregard long-term consequences of whatever methods were used to attain

¹²⁵ Schein, 211.

¹²⁶ Jennifer Mattson, “Sergeant Means ‘Servant’: How NCOs Typify the Servant Leader,” *NCO Journal* (2013): 1-10.

¹²⁷ Turner, 13.

immediate results.”¹²⁸ This is a consistent description of the current culture in some organizational level units within the Army. Ulmer also states, “if the followers are considered relatively expendable compared to the perceived criticality of the immediate goal, there is little extrinsic reward for the leader in preparing for the future. The issue here is not the need to accomplish today’s mission, but that it is imperative that we do so while conserving resources for tomorrow.”¹²⁹ Organizational culture shapes how the unit solves problems and reduces anxiety. Servant Leaders use their understanding of the organizations culture to impress strong values and ethical behaviors upon their followers. Ulmer emphasized, “there will be less latitude in acceptable leader style because expectations for high quality leadership in all sectors are growing, despite periodic public episodes of leader misbehaviors.”¹³⁰

Organizational Climate and the US Army

Organizational level leaders establish “policies and the organizational climate that supports their subordinate leaders and fosters a climate that includes and respects all members.”¹³¹ Organizational climate consists of “collective perceptions of the work environment formed by members of the organization based on actions, policies, and

¹²⁸ Kolenda, xxxiii.

¹²⁹ Ibid.

¹³⁰ Ibid., xxxii-xxxiii.

¹³¹ Department of the Army, ADRP 6-22 (2012), 2-3 – 2-5.

procedures of the leadership.”¹³² US Army doctrine reinforces establishing a positive organizational climate for followers to “feel better about themselves, have stronger commitments, and produce better work.”¹³³ Leaders establish a positive climate by acknowledging the presence and effects of anyone who feeds the negative climate.¹³⁴ Leaders strive to develop a climate that is “fair, inclusive, and ethical” as discussed in ADRP 6-22, however, “some leaders use inappropriate strategies to obtain immediate results and mindless adherence to orders without concern for others.”¹³⁵ Leaders can create a positive climate by stewarding the profession and correcting behavior within the organization and continuously assessing the organizational climate, developing their followers, and allowing followers to make and learn from their mistakes.¹³⁶

The Army has multiple methods established to measure the climate of an organization. Some examples are command climate surveys, multi-source assessment feedback, and routine communication throughout an organization. Command climate surveys are directed by Army Regulation 600-20 and assess the organization’s climate and identify trends throughout the unit. These surveys are only effective if a large percentage of the organization participates with open and candid comments. The surveys

¹³² Benjamin Schneider and Karen M. Barbera, *The Oxford Handbook of Organizational Climate and Culture* (New York: Oxford University Press, 2014), 104.

¹³³ Department of the Army, ADRP 6-22 (2012), 7-2.

¹³⁴ Ibid.

¹³⁵ Ibid.

¹³⁶ Ibid.

allow subordinates to provide anonymous feedback to the leaders of the organization from their perspective and experiences. Leaders have a duty to address the concerns within the survey, however, are not always provided oversight from their senior organizations in resolving any issues. Army Regulation 350-1 directs the multi-source assessment feedback for leaders to collect anonymous feedback from superiors, peers, and subordinates on their own leadership. The challenge with this assessment is that the leader can select who receives the survey and does not have to provide the feedback to their superiors. Another way to receive climate assessments is through constant feedback from subordinate leaders within the organization; however, this is only effective if the leader has established an organization built on trust and allows open and candid feedback. Followers should feel comfortable bringing their issues to their leader. Trust is essential. It is the leader's responsibility to focus on the long-term development of people and provide a positive climate where their follows enjoy coming to work every day.

Junior Officer Retention

Ulmer wrote, "Talented people in the 21st century expect to work in healthy climates, where strong bonds of mutual trust facilitate mission accomplishment and support long-term institutional strength."¹³⁷ Leaders can affect their followers in many ways both positively and negatively. In the book *Tarnished*, George Reed addresses the impact leaders have on their followers. He says that negative leadership impacts those at the lower levels of an organization and "are more likely to leave their jobs, and those who

¹³⁷ George E. Reed, *Tarnished: Toxic Leadership in the U.S. Military* (Lincoln, NE: Potomac Books, 2015), 7.

remain report lower levels of job satisfaction, life satisfaction, commitment to the organization, and . . . higher levels of anxiety and emotional exhaustion.”¹³⁸

The 2012 Center for Army Leadership Annual Survey of Army Leadership (CASAL) shows that leaders who demonstrate behaviors consistent with the attributes and competencies in ADRP 6-22 are more likely to have a positive effect on “cohesion, discipline, subordinate motivation, work quality, commitment to the organization, and confidence in following the superior into life-or-death situations.”¹³⁹ The 2014 CASAL reports that most leaders do not “have a mindset for developing others” and their followers report that they are not being mentored or developed properly.¹⁴⁰ Additionally, the 2014 CASAL report shows that followers identified leader development as the number one thing they needed from their superiors.

Junior Officers typically make the decision to stay in the Army between the years after their initial commitment and before the 10-year mark of their career. The 2014 CASAL reports that JOs report the lowest morale and job satisfaction within the officer ranks at less than 50 percent having high morale and only 62 percent job satisfaction. The CASAL also shows that JOs intention of remaining in the Army are at 43 percent planning to stay in the Army, 40 percent of whom are undecided, and 17 percent who

¹³⁸ Ibid., 37.

¹³⁹ Ibid., 40.

¹⁴⁰ Ryan Riley et al., *2014 Center for Army Leadership Annual Survey of Army Leadership (CASAL): Military Leader Findings* (Fort Leavenworth, KS: Leadership Research, Assessment and Doctrine Division, 2014), x.

“probably or definitely plan” to leave upon completion of their obligation.¹⁴¹ The CASAL report shows that JOs perception of superior’s employment of mission command and that JOs “did not believe that their higher headquarters allowed them to exercise disciplined initiative or take prudent risks to the same extent expressed by senior officers.”¹⁴²

The 2014 CASAL uses counterproductive leadership as opposed to the term toxic leadership to describe negative leadership behaviors. The report shows approximately one-fifth or less of those who completed the survey believed their leaders exhibited counterproductive leadership and that these leaders have a negative effect on the “motivation, commitment, and work quality of their subordinates as well as on unit cohesion and discipline.”¹⁴³

Junior Officer departure has occurred at concerning rates for many decades. In the book *Bleeding Talent*, Tim Kane did a study of JOs who graduated from the United States Military Academy on their decision to leave the Army early.¹⁴⁴ His survey found that 50 percent strongly agree that the reason they left the military was due to a frustration with military bureaucracy.¹⁴⁵ One survey participant stated that they had

¹⁴¹ Ibid., 24-28.

¹⁴² Ibid., 39.

¹⁴³ Ibid., 63.

¹⁴⁴ Tim Kane, *Bleeding Talent: How the US Military Mismanages Great Leaders and Why It's Time for a Revolution* (New York: Palgrave Macmillan, 2012), 95.

¹⁴⁵ Ibid., 97.

“become frustrated by the confines of their senior leaderships’ boundaries.”¹⁴⁶ The survey identified that these officers would rather the Army promote based on merit as opposed to time in service.¹⁴⁷ JOs “perceive that many leaders outrank them, not due to greater capability or potential, but simply due to longevity and the high promotion rates of the last ten years.”¹⁴⁸ JO retention is always a concern for the senior leaders of the military, because they want to retain the best performing officers and groom them to lead and fight America’s future wars.

Gung Ho and Servant Leadership Case Study

Evans Carlson retired as a Brigadier General from the US Marines in 1946, but is most notable for his time as a Lieutenant Colonel and founder of the Marine Corps’ 2nd Raider Battalion, or Carlson’s Raiders.¹⁴⁹ Evans Carlson joined the Army at 16 and branched field artillery. He learned a great deal about the military and the “importance of authenticity” during his initial enlistment.¹⁵⁰ Carlson’s Army career began teaching him the “inherent idea to servant leadership, that one must lead by example, and not only

¹⁴⁶ Ibid., 96.

¹⁴⁷ Ibid., 98.

¹⁴⁸ Task and Purpose, “Reframing the Military’s Junior Officer Retention Problem,” accessed April 30, 2017, <http://taskandpurpose.com/reframing-the-militarys-junior-officer-retention-problem/>.

¹⁴⁹ Michael Duffy, “Gung Ho, Marine! Servant Leadership, Evans Carlson, and the 2nd Marine Raider Battalion,” *Servant Leadership: Theory and Practice* 3, no. 1 (2016): 89.

¹⁵⁰ Ibid., 91.

through power.”¹⁵¹ He learned that his followers “performed better when they knew why they were doing something instead of just knowing how to do it.”¹⁵² Carlson completed his service in the Army and after a few arduous years he chose to return to service as a Marine in 1922.¹⁵³

Carlson took command of the 2nd Raider Battalion in February 1942. As the Commander, he used an unconventional “egalitarian approach to lead his Marines” through a style called “Gung Ho leadership, derived from a Chinese phrase meaning ‘work together.’”¹⁵⁴ He learned this style by observing Chinese guerrillas during China’s Civil War.¹⁵⁵ Carlson emphasized Gung Ho leadership which “meant that leaders were first among equals, receiving no special benefits for their increased responsibilities, beyond additional pay.”¹⁵⁶ Carlson “understood certain ideals of leadership, such as having love for his followers” and once wrote a letter to his father saying, “I love my men but must keep them working . . . I never ask a man to do something I won’t do myself . . . An officer that can mix with his men and show them that he does not hold himself above them . . . always holds their respect and loyalty.”¹⁵⁷

¹⁵¹ Ibid.

¹⁵² Ibid.

¹⁵³ Ibid., 92.

¹⁵⁴ Ibid., 91.

¹⁵⁵ Ibid.

¹⁵⁶ Ibid.

¹⁵⁷ Ibid.

Carlson learned many leadership lessons from the guerrilla leaders. One of these leaders explained to him that officers are leaders and you can tell if a man is a leader “if he has given his men convincing proof of his ability to lead, his correctness and swiftness of decision, his courage, his willingness to share everything with his men . . . then he is respected. His men have confidence in him . . . men and their leaders are comrades. Off duty, they are on equal social basis.”¹⁵⁸ Carlson saw this as a contrast to the Marine Corps mentality, but understood why this way of thinking worked by responding, “what you do does more than help win battles or inform people as to their conditions. You’re teaching yourselves and your people how to live like decent human beings. . . . It’s ethical indoctrination!”¹⁵⁹ Carlson also understood that “Soldiers needed more than just discipline to be effective in combat. To be truly capable of anything, Soldiers needed to be developed, to know why they were fighting.”¹⁶⁰

The 2nd Raider Battalion was an all-volunteer elite unit with hand selected Marines who Carlson describes as “self-assured fighters—men that had no problems killing with a knife or their bare hands.”¹⁶¹ Carlson saw these Marines as “individuals, full of potential and intelligence” which differed in contrast to many other units who were hierarchical and saw their troops “as cogs in a machine, a means to an end.”¹⁶² His

¹⁵⁸ Ibid., 93.

¹⁵⁹ Ibid.

¹⁶⁰ Ibid., 95.

¹⁶¹ Ibid.

¹⁶² Ibid.

Marines were taught to speak up and voice their opinions without the fear of reprisal and actually have a say in what happened within the organization.¹⁶³ This innovative idea has evolved into the “after-action review, a common technique used by the military after a training exercise.”¹⁶⁴ This empowered his Marines to take the initiative when faced with a challenge on the battlefield.

Carlson also engrained in his Marines “tough discipline” and put them through challenging training and they worked equally “side-by-side” with officers.¹⁶⁵ In 1942, their training proved that the trust and empowerment of his Marines could act decisively during operations at Makin Atoll, Japan, and at Guadalcanal, both in 1942.¹⁶⁶ After these successes, 2nd Raider Battalion was restructured and then eventually disbanded in 1944.¹⁶⁷ However, the leaders and Marines within the Battalion took Carlson’s Gung Ho leadership approach, “innovations, and ideas” to their following assignments and sent letters to Carlson thanking him.¹⁶⁸ Carlson innovated the “implementation of the fire team at the squad level” and “allowed for greater initiative in their actions.”¹⁶⁹ Evans Carlson not only left an impact on his unit, but the Marines as a whole.

¹⁶³ Ibid., 100.

¹⁶⁴ Ibid.

¹⁶⁵ Ibid., 96.

¹⁶⁶ Ibid., 97.

¹⁶⁷ Ibid., 98.

¹⁶⁸ Ibid., 99.

¹⁶⁹ Ibid.

“Kill Team” Brigade Commander Case Study

In February 2009, the 5th Stryker Brigade Combat Team from the 2nd Infantry Division (5/2 SBCT) was at the National Training Center training for its deployment to Iraq when a change of mission was given that they would change their deployment to Kandahar, Afghanistan instead. The Brigade Commander, Colonel Harry Tunnell, took command of the unit in 2007, even after he was “gravely wounded” on his deployment to Iraq in 2003.¹⁷⁰ Senior leaders predicted Tunnell would one day be a general officer due to his aggressiveness on the battlefield.¹⁷¹ Tunnell trained his brigade on counter-guerilla tactics instead of the counterinsurgency doctrine that was used in Afghanistan to emphasize the protection of the population. Officers doing evaluations at the National Training center “grew concerned about Tunnell’s aggressive approach, but more senior Army commanders did not force him to abandon it.”¹⁷² Tunnell emphasized the motto “search and destroy” and gave the priority to “destroying the guerrilla forces.”¹⁷³ Leaders and Soldiers within the organization were trained on combat operations and received little to no training on stability operations.

The brigade deployed to Kandahar, Afghanistan in August of 2009. A Canadian Brigade was responsible for transitioning combat operations over to 5/2 SBCT and

¹⁷⁰ Rajiv Chandrasekaran, *Little America: The War within the War for Afghanistan* (New York: Alfred A. Knopf, 2012), 152.

¹⁷¹ Ibid.

¹⁷² Ibid., 154.

¹⁷³ Ibid.

reported that Shah Wali Kot, the province to the North of Kandahar, was the “principle Taliban sanctuary.”¹⁷⁴ However, 1-17 Infantry Battalion, located within the Arghandab River Valley, was identified as key terrain for both the Americans and the insurgents operating within the area. The Arghandab, filled with “bunkers, weapons caches, and bomb-making factories” proved a challenge for the battalion of infantrymen fighting there against an estimated 300 to 400 enemy fighters.¹⁷⁵

Tunnell focused all his effort on killing the insurgents and failed to secure and hold villages to protect the population. Tunnell did not focus any effort on the reconstruction of the area of operations. At the headquarters in Kandahar, senior military officials grew concerned at not only Tunnell’s “rejection of counterinsurgency strategy” but at how many missteps his brigade was having.¹⁷⁶ There was even a time that a high ranking general in Afghanistan questioned if Tunnell should be “relieved of his position,” however, the senior general thought he could change.¹⁷⁷ A few months later, after almost 21 Soldiers from 1-17 Infantry Battalion had been killed, the division commander brought in a battalion from the 82nd Airborne Division to replace the infantry battalion.¹⁷⁸

¹⁷⁴ Ibid., 157.

¹⁷⁵ Ibid.

¹⁷⁶ Ibid., 160.

¹⁷⁷ Ibid.

¹⁷⁸ Ibid., 161.

Two months after returning home, five Soldiers from within 5/2 SBCT “were charged with murdering unarmed Afghans,” and keeping body parts as trophies, these Soldiers are most commonly known as the kill team.¹⁷⁹ The Army did a follow-on investigation into the brigade’s command climate that cleared Tunnell of any direct responsibility for the killings, but the investigator describes the brigade “was rife with turmoil from the start.”¹⁸⁰ Brigadier General Stephen Twitty conducted the investigation and stated that, “COL Tunnell is no longer in command . . . if still in command, I would recommend that COL Tunnell be relieved of his responsibilities as a brigade commander.”¹⁸¹ The report stated that Tunnell failed to “adequately communicate his tactical vision” but that this was not the cause of the murders of Afghan civilians.¹⁸² The report said that subordinates viewed Tunnell as “an intelligent and a tactically and technically proficient leader,” however, his “subordinate officers and noncommissioned officers were reluctant to challenge his decision to focus on counter-guerrilla tactics instead of the [senior commands] mandated counterinsurgency operations.”¹⁸³ The report also described Tunnell as “introverted, stubborn, unapproachable, close-minded, and as a

¹⁷⁹ Ibid.

¹⁸⁰ Military Times, “Report Blames Lapse on Stryker Commander: 532-Page Report Finds Colonel Ignored Doctrine, Proper Procedure in Leading Undisciplined BCT,” *Military Times*, November 27, 2011, accessed May 3, 2017, www.militarytimes.com/story/military/archives/2013/03/27/report-blames-lapses-on-stryker-commander-532-page-report-finds/78530102.

¹⁸¹ Ibid.

¹⁸² Ibid.

¹⁸³ Ibid.

person who thinks he knows more than most.”¹⁸⁴ The report continued by saying Tunnell “had limited social interaction with his officers . . . and he rarely counseled or mentored his subordinates.”¹⁸⁵ The report provided information from the senior evaluator at the National Training Center stating that “5/2 SBCT was his most challenging rotation due to the reluctance of Tunnell to follow and train his formation using current doctrine.”¹⁸⁶

Twitty concluded his report with:

This climate was overcome by subordinate leaders who understood what needed to be done in their unique areas of operation and did it. Their actions allowed the SBCT to achieve successes both lethally and non-lethally, which unfortunately for the Soldiers of the brigade, have been overshadowed by the alleged criminal actions of a few.

Southwest Airlines Case Study

Southwest Airlines embodies the principles of servant leadership and it all began with Herb Kelleher. Mr. Kelleher’s philosophy is: “Leadership is being a faithful, devoted, and hard-working servant of the people you lead and participating with them in the agonies as well as the ecstasies of life.”¹⁸⁷ Southwest Airlines began operations in 1971. Kelleher, a lawyer by trade, co-founded the airline with Rollin King and reinvented the way people used commercial airlines by lowering airfares and focusing on the people.¹⁸⁸ Kelleher ensured his employees had a clear understanding of the “organization

¹⁸⁴ Ibid.

¹⁸⁵ Ibid.

¹⁸⁶ Ibid.

¹⁸⁷ Kevin Freiberg and Jackie Freiberg, *Nuts!: Southwest Airlines' Crazy Recipe for Business and Personal Success* (New York: Broadway Books, 1996), 311.

¹⁸⁸ Ibid., 28-41.

and personal mission, vision, and values” and enforced the golden rule.¹⁸⁹ Southwest’s core values that provide the foundation for their culture are: “(1) profitability, (2) low cost, (3) family, (4) fun, (5) love, (6) hard work, (7) individuality, (8) ownership, (9) legendary service, (10) egalitarianism, (11) common sense and good judgment, (12) simplicity, and (13) altruism.”¹⁹⁰ Southwest Airlines philosophy consists of eleven attitudes:

(1) employees are number one: the way you treat your employees is the way they will treat your customers, (2) think small to grow big, (3) manage in the good times for the bad times, (4) irreverence is okay, (5) it’s okay to be yourself, (6) have fun at work, (7) take the competition seriously, but not yourself, (8) it’s difficult to change someone’s attitude, so hire for attitude and train for skill, (9) think of the company as a service organization that happens to be in the airline business, (10) do whatever it takes, (11) always practice the Golden Rule, internally and externally.¹⁹¹

Kelleher directed his “people department” to hire people who have a sense of humor as “a way to nourish joy, pride, and just plain fun in people on and off the job.”¹⁹² Southwest employees are expected to be “authentic” and allowed to freely express themselves and their individuality.¹⁹³ Southwest believes people are more important than resources and whose “satisfaction is valued and respected.”¹⁹⁴ Southwest knew they

¹⁸⁹ Ibid., 111.

¹⁹⁰ Ibid., 147.

¹⁹¹ Ibid., 151.

¹⁹² Ibid., 65.

¹⁹³ Ibid., 66.

¹⁹⁴ Ibid.

could train their employees with the required skills need to succeed, but that they could not change people's attitudes.¹⁹⁵

Southwest's philosophy is that bureaucracy "slows the organization down" and creates an "environment of dependency" that makes their employees do exactly what is asked of them, but "no more."¹⁹⁶ This thinking encourages their employees to "assume ownership and responsibility" and allows them to have the authority required to make decisions.¹⁹⁷ Southwest still has a hierarchy and structure but operates informally so that their employee's ability to achieve results quickly is not limited.¹⁹⁸ Communication, typically done face-to-face, allows decision making to occur quickly.

Kelleher constantly told his employees, "if we think small, we'll grow big, but if we think like we're big, we'll grow small."¹⁹⁹ Since the beginning, this philosophy is the "embedded culture" and "way of life" for Southwest Airlines. Kelleher believed that trust is built through integrity and "trust inspires ownership."²⁰⁰

Southwest believes in continuing to develop as an employee and as a person, and believes in having empathy and putting oneself in someone else's shoes through learning, sharing, and understanding one another to show that "there are perspectives other than

¹⁹⁵ Ibid.

¹⁹⁶ Ibid., 76.

¹⁹⁷ Ibid.

¹⁹⁸ Ibid., 76-77.

¹⁹⁹ Ibid., 78.

²⁰⁰ Ibid., 107-111.

their own.”²⁰¹ This thinking is reinforced with saying “thank you” often and showing a genuine care for people. Southwest is known for a very low turnover and most people make it their last job.²⁰² At Southwest, “employees come first.”²⁰³ Southwest Airlines continues to revolutionize the airline industry. This is shown in their profitability, steady growth rate, stock performance, low fares, low turnover, market dominance, most productive work force, and highest customer service ratings.²⁰⁴

Conclusion

Integrating servant leadership characteristics into US Army leadership doctrine at the organizational level will assist in placing emphasis on the long-term development of Soldiers and increase organizational effectiveness, culture, and climate. Army leaders are adaptive to their environments and adjust their leadership style to the situation. Servant leaders establish a foundation of strong ethics and trust with their Soldiers. Adapting servant leadership into organizational leadership doctrine will improve the organization’s effectiveness, culture, and climate. Chapter 3 will discuss the research methodology, data collection process, discuss why the three case studies were chosen, and discuss how the data will be analyzed.

²⁰¹ Ibid., 114.

²⁰² Ibid., 214.

²⁰³ Ibid., 282.

²⁰⁴ Ibid., 9.

CHAPTER 3

RESEARCH METHODOLOGY

Introduction

The purpose of this study is to identify if there is a need to integrate servant leadership into US Army organizational leadership doctrine. The current problem is that organizational leaders have an abundance of mission requirements and this makes it difficult for them to focus on the long-term development of their Soldiers and their organization.²⁰⁵ Exploratory research for this study begins with building an understanding through a literature review of Servant Leadership, Army Leadership Doctrine, and JO retention. This study employs qualitative research via a multiple case study methodology to conduct a comparison of leadership behaviors on organizational effectiveness, culture, climate, and JO retention. The research analysis will lead to answering the primary research question: Does the US Army need to develop and adopt servant leadership behaviors within its organizational leadership doctrine? This study strives to fill a gap in the literature by using qualitative research to expand on the impact leadership has on the retention of JOs.

Data Collection

The data collected for this study are from books, journal articles, online sources, and government documents. The researcher validated the credibility of sources by using information that was appropriately cited and used data corroboration through additional

²⁰⁵ Wong and Gerras, 1-43.

sources. There are many experts in the field of servant leadership with varying theories, but this study highlights researchers who were the most consistent in servant leadership articles.

The three individuals selected for the case studies are based on the leader's fulfillment of certain characteristics at the organizational level and there was evidence to assess organizational effectiveness, culture, and climate. The researcher predicts contrasting results between the case studies to provide opportunity for comparisons. The three types of organizational leaders selected are: one who displayed servant leader behavior; one who displayed counterproductive leader behavior; and a civilian leader who displayed servant leader characteristics. The first is Brigadier General (retired) Carlson during his time as an organizational level leader in the 2nd Marine Raider Battalion who exemplified servant leadership behaviors with evidence to show an impact on organizational effectiveness, culture, and climate. The second is Colonel (retired) Tunnell during his time as the brigade commander of the 5th SBCT from the 2nd Infantry Division who displayed counterproductive leadership characteristics with information available to measure organization effectiveness, culture, and climate. The third leader is Herb Kelleher, the founder of Southwest Airlines. Kelleher was chosen as a civilian servant leader with data available to measure organizational effectiveness, culture, and climate. The data collected during this research study is included in the bibliography of this thesis.

Data was retained in a secure OneDrive cloud with two-step authentication protection. Back-up copies of computer files are retained on the researcher's computer

and a research journal was used for data organization. The researcher was aware of potential ethical issues of qualitative research and made every effort to minimize ethical concerns.

Data Analysis

The data collected and the multiple case study methodology analyzes servant leadership characteristics and Army doctrine on organizational effectiveness, culture, climate, and JO retention.²⁰⁶ The researcher will compare the Army Leader Requirements Model with the 10 servant leadership characteristics identified by Spears in chapter 2. Subsequently, based on a clear understanding of the concepts in chapter 2, Literature Review, the researcher will conduct validity testing on the case studies using screening criteria of feasibility and suitability.²⁰⁷ The feasibility is assessed by evaluating the degree of simplicity of integrating servant leadership into Army leadership doctrine. The suitability is assessed by evaluating if servant leadership is appropriate for use in Army leadership doctrine.

Additional comparative analysis is conducted on the case study leaders and the seven servant leader behaviors identified in the Model of Servant Leadership found in figure 1. Once that analysis is complete, the researcher will use evaluation criteria to analyze the three leaders' impact on their organizations. The evaluation criteria are: organizational effectiveness, organizational culture, organizational climate, and JO

²⁰⁶ John W. Creswell, *Qualitative Inquiry and Research Design: Choosing Among Five Approaches* (Thousand Oaks, CA: SAGE, 2013), 97-102.

²⁰⁷ Department of the Army, FM 6-0, 4-4.

retention. These terms are defined in chapter 1 and further explained in chapter 2.

Organizational effectiveness is assessed through changes in organization “behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect.”²⁰⁸ Army Doctrine Publication Reference 6-22, *Army Leadership*, establishes the leader competency Achieves: Gets Results to assess a leader’s effectiveness.²⁰⁹ Organizational effectiveness performance assessment is mission accomplishment and is measured as a success or fail.

Organizational culture is measured as a yes or no in these four categories: are shared attitudes and values of the organization known internally, are the shared attitudes and values externally perceived, are the behaviors of the individuals in the organization consistent with the shared attitudes and values, and is the organizational culture ethical. Organizational climate is measured as the subordinate’s perception of the organization being positive or negative. JO retention is measured as majority of the JOs chose to stay or leave the organization based on the behavior of the leader.

Conclusion

This study will analyze the data collected and multiple organizational leader case studies to answer the primary and secondary research questions. Servant Leader behavior and counterproductive leader behavior effects the organization in various ways. This effect varies based on pre-existing conditions, followers, and the leader. Chapter 4,

²⁰⁸ Department of the Army, FM 6-0, 15-2.

²⁰⁹ Department of the Army, ADRP 6-22 (2012), 8-1.

Analysis, will use the screening criteria and evaluation criteria to present the results of the study through impartial qualitative analysis.

CHAPTER 4

ANALYSIS

Introduction

The purpose of this study is to identify if there is a need to integrate servant leadership into US Army organizational leadership doctrine. The current problem is that organizational leaders have an abundance of mission requirements and this makes it difficult for them to focus on the long-term development of their Soldiers and their organization.²¹⁰ The analysis of this research answers the study's primary and secondary questions. The primary research question is: Does the US Army need to develop and adopt servant leadership behaviors within its organizational leadership doctrine? The secondary research questions are:

1. What impact does servant leadership have on organizational effectiveness?
2. Can servant leadership characteristics or behaviors enhance the Army's organizational culture and climate?
3. What impact does servant leadership have on junior officer retention?

In this chapter, the researcher uses the framework identified in chapter 3 to conduct comparative analysis on Army doctrine and Servant Leadership theory, analyze the three case studies, and then assess the impact leaders have on their organizations.

²¹⁰ Wong and Gerras, 1-43.

Army Doctrine and Servant Leadership Analysis

Chapter 2 identified literature on Servant Leadership and Army Doctrine. Army Doctrine included in chapter 2 consisted of Leadership, Army Profession, and Mission Command. Army senior leaders and doctrine are very clear on the expectations of an Army leader. The attributes and competencies identified within the ALRM and ADRP 6-22 are consistent with the servant leadership characteristics. The term servant leadership is not clearly discussed within doctrine, but the guidance provided is consistent with the servant leadership characteristics. Table 1 identifies the comparison between the ALRM and the 10 servant leadership characteristics identified in chapter 1.

Table 1. Army Leadership Requirements Model and Servant Leadership Characteristics Comparison

			Servant Leadership Characteristics									
			Listening	Empathy	Healing	Awareness	Persuasion	Conceptualization	Foresight	Stewardship	Commitment to Growth	Building Community
Army Leadership Requirements Model	Attributes	Character		X	X					X		
		Presence					X					
		Intellect	X	X	X	X	X	X	X			X
	Competencies	Leads	X		X	X	X	X	X	X	X	X
		Develops	X		X	X				X	X	X
		Achieves				X		X	X		X	

Source: Created by author.

All 10 characteristics align with the ALRM's attributes and competencies. The definitions are not exact, but the intent is assessed to be similar. The servant leadership characteristic listening is similar to the attribute and competencies:

1. intellect within the subcategory interpersonal tact,
2. leads within the subcategory communicates, and
3. develops within the subcategory develops others.

The servant leadership characteristic empathy is similar to the attributes:

1. character within the subcategory empathy and
2. intellect within the subcategory interpersonal tact.

The servant leadership characteristic healing is similar to the attributes and competencies:

1. character within the subcategory empathy,
2. intellect within the subcategory of interpersonal tact,
3. leads within the subcategory of builds trust, and
4. develops within the subcategories develops others and stewards the profession.

The servant leadership characteristic awareness is similar to the attribute and competencies:

1. intellect within the subcategory mental agility,
2. leads within the subcategories leads others, builds trust, and communicates,
3. develops within the subcategories creates a positive environment and develops others, and
4. achieves within the subcategory gets results.

The servant leadership characteristic persuasion is similar to the attributes and competency:

1. presence within the subcategory confidence,
2. intellect within the subcategory interpersonal tact, and

3. leads within the subcategories leads others, extends influence beyond the chain of command, and communicates.

The servant leadership characteristic conceptualization and foresight are similar to the attribute and competencies:

1. intellect within the subcategories of mental agility, sound judgment, innovation, and expertise,
2. leads within the subcategory leads others, and
3. achieves within the subcategory gets results.

The servant leadership characteristic stewardship is similar to the attribute and competencies:

1. character within the subcategory discipline,
2. leads within the subcategory leads others, and
3. develops within the subcategory stewards the profession.

The servant leadership characteristic commitment to growth is similar to the competencies:

1. leads within the subcategories leads others, builds trust, extends influence beyond the chain of command, and leads by example,
2. develops within the subcategories creates a positive environment-fosters esprit de corps, prepares self, and develops the profession.

The final servant leadership characteristic is similar to the attribute and competencies:

1. intellect within the subcategory interpersonal tact,

2. leads within the subcategories leads others, builds trust, and extends influence beyond the chain of command, and
3. develops within the subcategory creates a positive environment.

These linkages demonstrate that, even though it is not specifically stated, Army doctrine does include servant leadership concepts.

Essential characteristics of the Army Profession establish the foundation of a legal and moral Soldier in the US Army and ensures all Army professionals abide by the golden rule. This golden rule is the same in servant leadership, and leaders are encouraged to see their followers as equals, not as a lesser person. Additionally, servant leadership and mission command are similar with the expectation that followers are empowered to operate independently and developed by their leaders with the shared understanding of the organization's values and mission.

The Model of Servant Leadership, as discussed in chapter 2, describes the pre-existing conditions and leader behaviors required within an organization for three specific outcomes. The Army has all three of the existing conditions required for successful servant leadership implementation. The Army context and culture are consistent with societal expectations and all Soldiers know and embrace the Army Values. Even with the hierarchical rank structure, servant leadership is executable within the Army culture. Leader attributes is the second condition that the Army organization must possess. The six leader's attributes are "the desire to serve others, emotional intelligence, moral

maturity and conation, prosocial identity, core self-evaluation, and low narcissism.”²¹¹

These leader attributes depend on the individual leader and are existing attributes and cannot be taught. The third existing condition is the followers’ receptivity and each organization must educate and assess their followers’ willingness to have a servant leader. Followers within the Army are capable and willing of accepting servant leadership, and leaders should assess their followers and build trust with them to ensure they are receptive. These three existing conditions demonstrate that servant leadership is a suitable leadership style for implementation into the US Army Leadership Doctrine. Additionally, the feasibility of integrating servant leadership within Army doctrine is achievable because the servant leadership behaviors already exist and most leaders already employ these characteristics.

Case Study Analysis

The researcher chose three leader case studies to provide different perspectives of how a leader’s behavior impacts their organizations. The two servant leadership case studies were chosen to provide two different methods of implementing servant leaders, and the counterproductive leader was chosen to provide a contrasting comparison of the behaviors employed by servant leaders. The three case study leaders are analyzed against the seven servant leader behaviors identified within the Model of Servant Leadership, shown in table 2. Then, the research assesses the impact the leader has on the organizations effectiveness, culture, climate, and JO retention, shown in table 3.

²¹¹ Liden et al., “Servant Leadership: Antecedents, Processes, and Outcomes,” 362.

Table 2. Case Study and Servant Leader Behaviors Comparison

		Servant Leader Behaviors						
		Conceptualizing	Emotional Healing	Putting Followers First	Helping Others Grow and Succeed	Behaving Ethically	Empowering	Creating Value for the Community
Case Study Leaders	Lieutenant Colonel Evans Carlson	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Colonel Harry Tunnell	No	No	No	No	No	No	No
	Mr. Herb Kelleher	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Source: Created by author.

Table 3. Evaluation of Case Study Leaders Impact on their Organization

		Organizational Effectiveness	Organizational Culture				Organizational Climate	Junior Officer Retention
		Mission Accomplishment	Shared Attitudes and Values Known Internally	Shared Attitudes and Values are Externally Perceived	Behaviors are Consistent with Shared Attitudes and Values	Organizational Culture is Ethical	Subordinates perception of the Organization	Impact of Leader on Junior Officer
		Measurement: Success or Fail	Measurement: Yes or No				Measurement: Positive or Negative	Measurement: Stay or Leave
Case Study Leaders	Lieutenant Colonel Evans Carlson	Success	Yes	Yes	Yes	Yes	Positive	Stay
	Colonel Harry Tunnell	Fail	Yes	No	No	No	Negative	Lack of Evidence
	Mr. Herb Kelleher	Success	Yes	Yes	Yes	Yes	Positive	Stay

Source: Created by author.

Servant Leader Analysis: Lieutenant Colonel Evans Carlson

Evans Carlson's Gung Ho leadership approach is a clear example of servant leadership at the organizational level. His organization effectively accomplished the

mission while also maintaining a positive organizational climate and extended the organizational culture throughout the Marine Corps. Carlson demonstrates the characteristics of a servant leader by empowering and developing his subordinates and used what we now know as mission command to decentralize power.²¹² “Servant leadership [is] seen as being a weak style of leadership by some, unsuitable for such high risk and dangerous professions as the military” however, Carlson built a sense of community through tough disciplined training where he led by example and experienced the same burdens as his subordinates.²¹³ This harsh training developed his Marines to be mentally tough and built their mental health capacity to survive the realities of war.

Carlson exhibited all seven of the servant leader behaviors identified in the Model of Servant leadership, table 2. He empowered his Marines by developing them and allowing them to openly have a say in the way the unit worked. Carlson ensured his Marines knew that he was a “first among equals.”²¹⁴ Carlson trained his Marines to operate independently and ultimately ensured their mission accomplishment. His elite Marines shared the organization’s attitudes and values and behaved ethically and in line with their values. Carlson’s superiors saw the success of the 2nd Marine Raider Battalion and knew the unit’s culture needed to spread to other organizations. Carlson’s climate was positive and his Marines’ morale and resiliency remained high during and after the war. Carlson knew he could use his Marines in a smaller capacity to do the same

²¹² Duffy, 101.

²¹³ Ibid., 94-104.

²¹⁴ Ibid., 104.

missions as bigger units. Carlson's unit was awarded the Presidential Unit Citation for their actions at Guadalcanal and an unprecedented number of valor awards were given to his Marines during World War Two.²¹⁵ The Raider Battalion had high unit cohesion and had no psychological casualties most likely due to the high esprit de corps within the unit. In respects to JO retention, servant leadership emanated from James Roosevelt, Carlson's second in command of the Raider Battalion, as he took command of the 4th Raider Battalion. The same leadership approaches were used in the 4th Raider Battalion and experienced the same successes as the 2nd Raider Battalion. There is not any data on the other JOs within the Battalion, however, the conditions were present for JOs to stay in the Marines due to the impact of their leader Evans Carlson.

Counterproductive Leader Analysis:
Colonel Harry Tunnell

Colonel Harry Tunnell's deployment to Afghanistan was the culmination of his career. His Soldiers reported that Tunnell was intelligent and competent, however, intelligence alone does not make an individual a good leader. Tunnell failed to use the ALRM as a guideline to lead as a Brigade Commander in the US Army. Tunnell knew that he wanted to accomplish his brigade's mission through counter-guerrilla operations, however, he failed to conceptualize this to his organization's leaders in a way that helped them understand why they were not fighting the counterinsurgency war as directed by their higher headquarters. This one decision to fight counter-guerrilla operations led Tunnell to selfishly choose himself over his Soldiers, his superiors, and the Afghan

²¹⁵ Ibid., 98.

civilians of Kandahar Province. Tunnell did not exhibit any of the servant leader behaviors described in the Model of Servant Leadership. He failed to empower his followers and did not allow them to speak their mind openly.

Tunnell negatively impacted his organization in many ways. He failed to accomplish his mission to protect the civilians of Afghanistan's Kandahar Province. He bred a culture of aggressiveness and killing that some Soldiers took to the extreme and are responsible for taking innocent civilian lives. Tunnell did conduct investigations into wrong doings as required, however, his followers failed to understand ethical behavior. The organizational climate was negative and leaders felt they could not provide any criticism to Tunnell. On the contrary, his subordinate leaders only gave him information they knew he wanted. There is a lack of evidence to confirm impact to JO retention because of Tunnell's leadership. Tunnell intentionally misused his position for personal benefit by attempting to prove that counter-guerrilla warfare was the way to fight the war in Afghanistan, and he failed to consider the long-term impact this decision would have on his Soldiers, his organization, and the Afghan people. Tunnell's decision was counterproductive to his organization, but strong subordinate leaders understood their responsibilities and ensured that there were some successes within the brigade.

Civilian Servant Leader Analysis:
Mr. Herb Kelleher

Mr. Herb Kelleher is the epitome of a servant leader. He built Southwest Airlines with a service attitude that was for the people, both his employees and his customers. He and the co-founder of Southwest Airlines saw that there was a need for a low-cost fare airline and were service driven more than profit driven. Kelleher truly served his

followers by using all seven of the servant leader behaviors. He empowered his employees to make decisions based on their intellect and training. He put his followers first and ensured the employees received the development they needed. Kelleher used a different method than Carlson, but was equally successful with his organization. He believed that his employees could have fun and still work hard.

Kelleher retired in 2008, but the culture he built within Southwest Airlines lives on today. Everyone within the organization and customers know that Southwest Airlines is a company built on heart. Their employees' behavior is consistent with their values and they remain ethical and out of the news negative spotlight. Kelleher established a positive organizational climate where his followers maintain high morale and they feel ownership within the company. Retention is extremely high and most employees retire at the end of their career from Southwest Airlines. Kelleher revolutionized not only the way commercial airlines operate, but proved that servant leadership is effective in large organizations with a hierarchy comparable to the US Army.

Servant Leader Impact on the Organization

Evidence from the data collection and multiple case study analysis shows that servant leadership positively impacts organizations. The first secondary question asks what impact does servant leadership have on organizational effectiveness? The answer is it has a positive impact on organization effectiveness. The servant leader's ability to conceptualize and communicate the organization's mission to their followers increases the followers understanding of their role within mission accomplishment. Servant leaders

focus on the long-term development of their followers and the organization and as a result achieve high organizational effectiveness.

The next secondary question asks can servant leadership characteristics or behaviors enhance the Army's organization culture and climate? The answer is yes it can. Organizations who are built on ethical attitudes and values have strong cultures that their followers believe in and the Army's Values are engrained in Soldiers from basic training. Servant leaders develop their followers to solve problems ethically because they lead by example. Servant leaders' antithesis is a counterproductive leader. Servant leaders show their followers to "Do as I do," because the leader is there beside the follower executing the difficult tasks required. The 2nd Raider Battalion and Southwest Airlines show that servant leaders enhance organizational culture and climate.

The final secondary question asks what impact does servant leadership have on JO retention? The answer is that servant leadership has a positive impact on JO retention. Followers who have high job satisfaction, purpose, and have leaders who care to develop them are more likely to stay at their place of employment. In the Army, the time for a JO to decide if they will stay or leave is after their initial obligation expires. There are many reasons that tempt JOs to leave the Army, but a counterproductive leader will typically cause the JO to leave the Army.

Summary and Conclusion

The Army is a large hierarchical organization composed of various personalities and complex mission requirements. The primary research question asks does the US Army need to develop and adopt servant leadership behaviors within its organizational

leadership doctrine? The answer is yes, but servant leadership behaviors already exist within Army doctrine. The Army needs to add the term and definition of servant leadership to Army doctrine and provide more detail by adding the Model of Servant Leadership to its doctrine. Servant leaders benefit the Army by focusing on the long-term development of the organization and their followers. Chapter 5 will discuss the significance of this problem, the findings of the study, and recommendations for future research.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

Introduction

The purpose of this study was to identify if there is a need to integrate servant leadership into US Army organizational leadership doctrine. The current problem is that several US Army leaders focus on short-term mission accomplishment and do not place enough emphasis on the long-term development of their Soldiers and their organization. Servant leadership is significant to the military profession because it focuses on the long-term development of Soldiers and of the organization and ultimately achieve mission accomplishment through servant leadership. Servant Leaders and counterproductive leaders have an impact on their followers and their organization. The Army gives very clear guidance on the attributes and competencies required of Army leaders, but this guidance is overwhelmed by the many missions that are juggled daily by organizational units. The organizational effectiveness, culture, and climate improves when servant leaders choose to focus on the long-term development of the organization.

Findings

Leaders must adapt their leadership style based on their situation, followers, and requirements, however, the attributes and competencies of a leader should establish the leader's foundation. The first finding is that servant leadership consists of characteristics and behaviors consistent with those identified within the ALRM's attributes and competencies. The ALRM does not specifically cite servant leadership, but ADRP 6-22 addresses the characteristics and behaviors expected of a servant leader and focuses on

the long-term development of the organization. The author was not expecting these similarities and was pleasantly surprised that Army doctrine encourages the use of servant leadership characteristics.

The second finding is based on the case studies and data collection associated with organizational effectiveness, culture, climate, and JO retention. Servant Leaders have a positive impact on their organizations on all four of these requirements. Soldiers benefit from servant leaders and become servant leaders themselves.

The third finding is that followers play a large part in the success of servant leadership. Servant leaders require mature followers who are open to the idea of a leader empowering them to accomplish the mission independently. Army junior officers have the desire to lead and to operate independently, but require development from their leader. When looking at the follower's role, the researcher should look at the concept of the servant followership and its relationship to the servant leader.

The fourth finding, was not specifically identified through the case studies, but through the literature review, is that most people do not understand what servant leadership means. Ken Blanchard wrote in his book *Leading at a Higher Level* that most people immediately “conjure up thoughts of the inmates running the prison, or trying to please everyone.”²¹⁶ Most people think that leaders “cannot lead and serve at the same time.”²¹⁷ Servant leaders do not hand over their authority and are still responsible for providing the organization with the vision, direction, purpose, and resources. Once

²¹⁶ Blanchard, 261.

²¹⁷ Ibid., 262.

servant leaders have provided these things, then the leader can adjust their focus to ensuring their followers have everything they need to succeed and grow in the process. Mission command is servant leadership; by giving the subordinate the authority and direction to make a decision when the leader is not present.

In summary, integrating servant leadership into US Army doctrine is feasible and suitable. Servant leadership is seen by some as a “weak” leadership approach; however, Evans Carlson’s case study proves that servant leaders do not have to be weak to care for their Soldiers. Additionally, Herb Kelleher was not viewed by his peers or subordinates as weak either, but took a much different approach with Southwest Airlines. Servant leadership is about empathy, not sympathy.

Recommendations for Future Research

This study focused on servant leadership and their impact on organizational effectiveness, culture, and climate. However, due to limitations discussed in chapter 1, this topic requires additional research to further expand on this study. Recommendations for further research are discussed below.

The first recommendation is to research the understanding of the existing paradigms and obstacles present in the Army that limit the acceptance of servant leadership. This research would help cultivate a leader development program that effectively trains servant leaders in accordance with Army doctrine. The researcher should choose a servant leadership model that fits the identified obstacles.

The second recommendation is to identify where to integrate servant leadership characteristics within the ALRM and Army Doctrine. The ALRM establishes the

attributes and competencies leaders are evaluated on during their annual performance evaluations. Further research should identify if there is a servant leadership characteristic that should replace a main attribute or competency. This study should, if able, use quantitative research to analyze current Army leaders pre-existing attributes and competencies and evaluation on attributes they most look for in their leaders.

The third recommendation is to do further research on the role of the follower in servant leadership. The role of the follower is highlighted within the Model of Servant Leadership, but what are the requirements for a servant leader to develop a follower who is resistant to servant leadership. The research could include the Army's recruiting requirements for the attributes and competencies desired during the recruiting process of junior officers.

The final recommendation is to conduct research on servant leader and counterproductive leader interactions. Research should identify what peer correcting actions, also known as "policing," work in respect to reducing the impact counterproductive leaders have on their organizations. Army leaders at all levels have peers who should have the moral courage to hold a counterproductive leader accountable. Additionally, the study should focus on the role of the servant leader as the follower and how those leaders can reduce the impact of their counterproductive superior.

The author would have liked to research these topics further and a lot of the information identified above was not available in current research. Additionally, identifying documented examples of Army servant leaders were difficult because current

leadership history has not yet been documented. Servant leadership is still a young theory, but US Army servant leaders have existed since the beginning.

Summary

Soldiers deserve servant leaders. Servant leaders concentrate on the long-term development of their followers and the organization. By concentrating on the development of their followers, leaders focus on mission accomplishment. Followers will work harder and more efficiently when they know their leader has a genuine care for their well-being. This study has shown evidence within the literature review and in the case studies of Evans Carlson and Herb Kelleher that servant leadership improves organization effectiveness, culture, and climate. Leaders should understand that servant leadership is an effective way to lead their organizations and deserves further study to continue to reinforce the results identified within this thesis.

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