

**CONCEPTUALIZING RESPONSIBLE LEADERSHIP:
DEVELOPING AND TESTING A NOMOLOGICAL
FRAMEWORK**

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DEVELOPING AND TESTING A NOMOLOGICAL
FRAMEWORK**

By

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Submitted

**in fulfilment of the requirements of the degree of Doctor of Philosophy
to the**



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This Thesis is Dedicated to My Parents

Mrs. Rekha Agarwal

&

Mr. Shanti Bhushan Agarwal

who let their daughters dream big

CERTIFICATE

This is to certify that the thesis titled “**Conceptualizing Responsible Leadership: Developing and Testing a Nomological Framework**”, being submitted by **Mrs. Swati Agarwal** to the Indian Institute of Technology Delhi, for the award of the degree of **Doctor of Philosophy (Ph.D.)**, is a record of bonafide research work carried out by her. She has worked under my supervision and has fulfilled the requirements for the submission of this thesis, which has attained the standard required for Ph.D. degree of the Institute. The results presented in this thesis have not been submitted elsewhere for award of any degree or diploma.

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Date:

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ABSTRACT

The prevailing leadership research discusses the normative and strategic perspectives of leadership, albeit separately. However, in order to address the current context of stakeholder theory and corporate sustainability debate, researchers and practitioners call for integrating the two seemingly disparate perspectives of leaders' ethical and strategic behaviours to create a hybrid leadership framework. Such an integration of diverse perspectives of leadership has indeed been stated as one of the "emerging issues" of leadership research (Day, 2012). In this regard, work on responsible leadership has been encouraging as since its' inception, it has theoretically combined leaders' ethical and strategic behaviors into one framework. Despite multiple theoretical conceptualizations, responsible leadership is currently measured as a one-dimensional concept with stakeholder welfare as the focus. While this aspect is salient to responsible leadership, other ethical and strategic dimensions of responsible leadership are equally important as a response to the changing business and social context. Therefore, the present study is designed to develop an integrative model of responsible leadership that acts as a response to the current business demands.

We reviewed the previous literature on responsible leadership in order to find the multiple behaviors that could be associated with responsible leadership. For this, we found 71 articles that mentioned 'responsible leadership' in the title or abstract and were published since its' prominent conceptualization in Maak and Pless's article on *Responsible Leadership* in year 2006 until articles published in year 2018. A closer study of these articles to look for different ways in which responsible leadership has been defined resulted into four behavioural categories that can be associated with responsible leader behaviors. The categories are as follows: 1) leaders' moral conduct as an individual and leaders' concern for 2) ethical performance; 3) stakeholder relationships and 4) long term goals such as organizational sustainability and social change. Therefore, to encapsulate these aspects into our multi-dimensional model of

responsible leadership, we defined the strategic dimensions of responsible leadership through two dimensions of *sustainable growth focus* and *multi stakeholder consideration*. Further, we draw on Brown, Trevino and Harrision's (2005) work on ethical leadership to define the normative dimensions of responsible leadership as *moral person* and *moral manager*.

After having theoretically conceptualized the four dimensions of responsible leadership, we utilized a deductive method of item generation based on recommendation of Hinkin (1995, 1998). This involved deriving behavioral items from previous literature. Overall, we developed 43 items across four dimensions of responsible leadership namely *moral person*, *moral manager*, *multi stakeholder consideration* and *sustainable growth focus*. These 43 items were submitted to academic experts (2 leadership professors and 2 research scholars) to check for the wordings, relevance, ease of answering etc. The academic experts chose to drop 19 items and 24 remaining items were submitted for content validation. Content validation exercise was conducted in study 1 on a group of 40 part time MBA students who were selected through purposive sampling and needed to mark the items in terms of how well each item represented the behavioral dimension. This study led to finalizing 20 items that were submitted for exploratory factor analysis in study 2. Study 2 was conducted on a respondent set of 179 employees and EFA was used for assessing underlying factor structure. The analyses of this study resulted in the final 18 items of responsible leadership measure that were submitted for confirmatory factor analysis, construct validity and nomological validity testing in further studies.

In the next phase of our research, we conducted study 3 and 4. In study 3 we performed the confirmatory techniques of factor analysis in IBM-AMOS 22 software. A total of 285 completed and useful responses were collected which met the criteria of minimum of 200 respondents to use SEM as a modelling technique (Byrne, 2016). This study confirmed the first order four factor structure of responsible leadership. Post this, we tested convergent and

discriminant validity of the dimensions as well as the construct. For testing the convergent and discriminant validity of the construct, we incorporated similar value-based leadership styles such as servant leadership and authentic leadership and used Tracey and Tews (2005) method to test the validities.

Further in testing the nomological validity of responsible leadership, we examined antecedents and consequences to the developing construct. For individual level antecedents, we took two variables namely leaders' moral ownership and open mindedness and for organizational level antecedents, we took one variable namely organization's ethical values. In study 3, we also tested for attitudinal outcomes that are relevant to responsible leadership which were followers' perceptions about leaders' procedural justice and interpersonal justice, trust in and identification with leader and followers' pride in the organization. We further conducted tests for nomological validity in study 4 by examining the impact of responsible leadership dimensions on followers' behavioural outcomes such as moral courage, citizenship behaviours towards stakeholders and innovative performance. For study 4, we collected data from 230 leader member dyads in one organization. The leaders marked their direct reports' (members') on their behavioural outcomes and the direct reports marked their leaders' on their responsible leader behaviours.

All in all, through our work, we have theoretically refined the responsible leadership construct by inspecting previous responsible leadership literature to develop a unifying definition, as well as methodologically contributed by creating a scale for measuring responsible leadership as a multidimensional framework and providing insights into development of a nomological framework of responsible leadership. Embedding responsible leader behaviors in organizations also gives us an understanding of shaping managerial assessments and compensation plans in future (Flammer & Bansal, 2017). By no means, however, is the task complete as a continued refinement and validation of a scale attached to

an evolving concept such as ours is needed. One of the areas of further investigation is the factor structure of the proposed construct. The preliminary status of the nomological network being investigated here most likely could have resulted in missing on including some other relevant or important constructs such as impact of followership. Also, considering responsible leadership impacts stakeholders, it would be enriching to collect data on responsible leader behaviours from other stakeholders such as employees from other teams, clients and suppliers etc. Moreover, our work was not without limitations. First, our studies were conducted in Indian organizations which limits to capture if culture has any impact on the newly developed measure. Second, the data in study 3 was collected through purposive sampling which could cause sampling error. Another issue was surrounding the selection of two followers by their managers in study 4 which could result in leaders selecting members who mark only positive responses. However, a promise of complete independence of study and confidentiality of data was made to avoid only positive bias.

To sum up, the above discussion indicates towards enough theoretical evidence that responsible leadership indeed is a unique and relevant theory, and its further empirical investigation is much needed. Hence, it is our endeavour to take that first step towards making responsible leadership more measurable, thereby increasing its trainability and applicability in business organizations.

Keywords: Responsible leadership, construct validation, scale development, integrative leadership framework, followers' moral courage, citizenship behaviors towards stakeholders

सार

प्रचलित नेतृत्व अनुसंधान नेतृत्व के नैतिक और रणनीतिक दृष्टिकोण पर चर्चा करता है, हालांकि अलग से। हालांकि, शोधकर्ताओं और चिकित्सकों नेताओं के नैतिक और रणनीतिक व्यवहार के दो प्रतीत होता है असमान दृष्टिकोण को एकीकृत करने के लिए एक संकर नेतृत्व ढांचा बनाने के लिए कहते हैं। यह हितधारक सिद्धांत और कॉर्पोरेट स्थिरता बहस के वर्तमान संदर्भ में नेतृत्व को रखने के लिए अधिक प्रासंगिक है। इसलिए, वर्तमान अध्ययन नेतृत्व का एक एकीकृत मॉडल विकसित करने के लिए डिज़ाइन किया गया है जो वर्तमान व्यावसायिक मांगों के जवाब के रूप में कार्य करता है। नेतृत्व के विविध दृष्टिकोण का इस तरह का एकीकरण वास्तव में नेतृत्व अनुसंधान (डेस, 2012) के "उभरते मुद्दों" में से एक के रूप में कहा गया है। इस संबंध में, जिम्मेदार नेतृत्व पर काम अपनी स्थापना के बाद से उत्साहजनक रहा है, इसने सैद्धांतिक रूप से नेताओं के नैतिक और रणनीतिक व्यवहार को एक ढांचे में संयुक्त किया है। कई सैद्धांतिक अवधारणाओं के बावजूद, जिम्मेदार नेतृत्व को वर्तमान में फोकस के रूप में हितधारक कल्याण के साथ एक एकआयामी अवधारणा के रूप में मापा जाता है। हालांकि यह पहलू जिम्मेदार नेतृत्व के लिए प्रमुख है, जिम्मेदार नेतृत्व के अन्य नैतिक और रणनीतिक आयाम बदलते व्यापार और सामाजिक संदर्भ की प्रतिक्रिया के रूप में समान रूप से महत्वपूर्ण हैं। हमने जिम्मेदार नेतृत्व पर पिछले साहित्य की समीक्षा की ताकि कई व्यवहारों को ढूंढा जा सके जो जिम्मेदार नेतृत्व से जुड़े हो सकते हैं। इसके लिए, हमें 71 लेख मिले जिनमें शीर्षक या सार में 'जिम्मेदार नेतृत्व' का उल्लेख किया गया था। इन लेखों में जिम्मेदार नेतृत्व को विभिन्न तरीकों से परिभाषित किया गया है जिससे चार जिम्मेदार नेता व्यवहार श्रेणियों को बनाया जा सकता है। श्रेणियां इस प्रकार हैं: 1) नेताओं का नैतिक आचरण एक व्यक्ति के रूप में और नेताओं की चिंता 2) नैतिक प्रदर्शन; 3) हितधारक रिश्ते और 4) संगठनात्मक स्थिरता और सामाजिक परिवर्तन जैसे दीर्घकालिक लक्ष्य के लिए। इसलिए, जिम्मेदार नेतृत्व के हमारे बहुआयामी मॉडल में इन पहलुओं को समझने के लिए, हमने टिकाऊ विकास फोकस और बहु हितधारक विचार के दो आयामों के माध्यम से जिम्मेदार नेतृत्व के रणनीतिक आयामों को परिभाषित

किया। इसके अलावा, हम नैतिक व्यक्ति और नैतिक प्रबंधक के रूप में जिम्मेदार नेतृत्व के प्रामाणिक आयामों को परिभाषित करने के लिए नैतिक नेतृत्व पर ब्राउन, ट्रेविनो और हार्रिसियन (2005) काम करते हैं।

सैद्धांतिक रूप से जिम्मेदार नेतृत्व के चार आयामों की अवधारणा करने के बाद, हमने हिंकिन (1995, 1998) की सिफारिश के आधार पर आइटम उत्पादन की एक कठौतीत्मक विधि का उपयोग किया। यह पिछले साहित्य से व्यवहार आइटम प्राप्त शामिल थे। कुल मिलाकर, हमने जिम्मेदार नेतृत्व के चार आयामों में 83 वस्तुओं का विकास किया, नामतः नैतिक व्यक्ति, नैतिक प्रबंधक, बहु हितधारक विचार और टिकाऊ विकास ध्यान केंद्रित। इन 43 मदों को शब्दों, प्रासंगिकता, उत्तर देने में आसानी आदि की जांच करने के लिए अकादमिक विशेषज्ञों (2 नेतृत्व प्रोफेसरों और 2 शोध विद्वानों) को प्रस्तुत किया गया था। अकादमिक विशेषज्ञों ने 19 वस्तुओं को छोड़ने का फैसला किया और 24 शेष वस्तुओं को सामग्री सत्यापन के लिए प्रस्तुत किया गया। 40 अंशकालिक एमबीए छात्रों के एक समूह पर 'अध्ययन 1' में सामग्री सत्यापन अभ्यास आयोजित किया गया था जिन्हें शुद्ध नमूना के माध्यम से चुना गया था और प्रत्येक आइटम ने व्यवहार आयाम का प्रतिनिधित्व करने के संदर्भ में वस्तुओं को चिह्नित करने की आवश्यकता थी। इस अध्ययन के कारण 20 वस्तुओं को अंतिम रूप दिया गया जो अध्ययन 2 में अन्वेषणात्मक कारक विश्लेषण के लिए प्रस्तुत किए गए थे। 'अध्ययन 2' में 179 कर्मचारियों के प्रतिवादी सेट पर आयोजित किया गया था और ईएफए अंतर्निहित कारक संरचना का आकलन करने के लिए इस्तेमाल किया गया था। इस अध्ययन के विश्लेषणों के परिणामस्वरूप जिम्मेदार नेतृत्व उपाय की अंतिम 18 वस्तुएं हुईं जो पुष्टिकारक विश्लेषण, आगे के अध्ययनों में वैधता और नोमिक वैधता परीक्षण के निर्माण के लिए प्रस्तुत की गई थीं।

अपने शोध के अगले चरण में हमने 3 और 4 का अध्ययन किया। अध्ययन 3 में हमने आईबीएम-आमोस 22 सॉफ्टवेयर में कारक विश्लेषण की पुष्टिकारक तकनीकों का प्रदर्शन किया। कुल 285 पूर्ण और उपयोगी

प्रतिक्रियाएं एकत्र की गईं जो मॉडलिंग तकनीक (बायर्न, 2016) के रूप में एसईएम का उपयोग करने के लिए न्यूनतम 200 उत्तरदाताओं के मानदंडों को पूरा करती हैं। इस अध्ययन में जिम्मेदार नेतृत्व के पहले आदेश चार कारक संरचना की पुष्टि की गई है। इसके बाद, हमने आयामों के साथ-साथ निर्माण की अभिसरण और असतत वैधता का परीक्षण किया। निर्माण की अभिसरण और अविवेकी वैधता का परीक्षण करने के लिए, हमने नौकर नेतृत्व और प्रामाणिक नेतृत्व जैसी समान मूल्य-आधारित नेतृत्व शैलियों को शामिल किया और वैधियों का परीक्षण करने के लिए ट्रेसी और टेक्स (2005) विधि का उपयोग किया।

इसके अलावा जिम्मेदार नेतृत्व की नोमिक वैधता का परीक्षण करने में, हमने विकासशील निर्माण के पूर्ववर्ती और परिणामों की जांच की। व्यक्तिगत स्तर के पूर्ववर्ती के लिए, हमने दो वेरियेबलस को लिया अर्थात् नेताओं का नैतिक स्वामित्व और खुली उदारता और संगठनात्मक स्तर के पूर्ववर्ती के लिए, हमने संगठन के नैतिक मूल्यों नामक एक चर लिया। अध्ययन 3 में, हमने उन परिणामों का भी परीक्षण किया जो जिम्मेदार नेतृत्व के लिए प्रासंगिक हैं जो नेताओं के प्रक्रियात्मक न्याय और पारस्परिक न्याय के बारे में अनुयायियों की धारणाएं थीं, नेता और अनुयायियों के गौरव के साथ विश्वास और पहचान संगठन. हमने अनुयायियों के व्यवहारिक परिणामों जैसे नैतिक साहस, हितधारकों के प्रति नागरिकता व्यवहार और अभिनव प्रदर्शन पर जिम्मेदार नेतृत्व आयामों के प्रभाव की जांच करके अध्ययन 4 में नोमिक वैधता के लिए परीक्षण किए। अध्ययन 4 के लिए, हमने एक संगठन में 230 नेता सदस्य डाइडस से डेटा एकत्र किया। नेताओं ने अपने व्यवहारिक परिणामों पर अपनी सीधी रिपोर्ट (सदस्यों) को चिह्नित किया और प्रत्यक्ष रिपोर्टों ने उनके जिम्मेदार नेता व्यवहारों पर अपने नेताओं को चिह्नित किया।

सभी में, हमारे काम के माध्यम से, हमने सैद्धांतिक रूप से एक एकीकृत परिभाषा विकसित करने के लिए पिछले जिम्मेदार नेतृत्व साहित्य का निरीक्षण करके जिम्मेदार नेतृत्व निर्माण को परिष्कृत किया है, साथ ही साथ एक पैमाने बनाकर कार्यप्रणाली गत का योगदान दिया है। एक बहुआयामी ढांचे के रूप में जिम्मेदार नेतृत्व को मापने और जिम्मेदार नेतृत्व के एक नॉमिलॉजिकल ढांचे के विकास में अंतर्दृष्टि

प्रदान करना। संगठनों में जिम्मेदार नेता व्यवहार को एम्बेड करना हमें भविष्य में प्रबंधकीय आकलन और मुआवजा योजनाओं को आकार देने की समझ भी देता है (फ्लेमर एंड बंसल, 2017)। हालांकि, किसी भी तरह से, हमारे जैसे उभरती अवधारणा से जुड़े पैमाने के निरंतर शोधन और सत्यापन के रूप में पूरा कार्य नहीं है। आगे की जांच का एक क्षेत्र प्रस्तावित निर्माण का कारक संरचना है। यहां जांच किए जा रहे नॉमिलॉजिकल नेटवर्क की प्रारंभिक स्थिति के परिणामस्वरूप अनुयायियों के प्रभाव जैसे कुछ अन्य प्रासंगिक या महत्वपूर्ण निर्माण शामिल हो सकते थे। इसके अलावा, जिम्मेदार नेतृत्व प्रभावों हितधारकों पर विचार करते हुए, अन्य हितधारकों जैसे अन्य हितधारकों, ग्राहकों और आपूर्तिकर्ताओं आदि के कर्मचारियों से जिम्मेदार नेता व्यवहारों पर डेटा एकत्र करना समृद्ध होगा। इसके अलावा, हमारा काम सीमाओं के बिना नहीं था। सबसे पहले, हमारे अध्ययन भारतीय संगठनों में आयोजित किए गए थे जो इस बात पर कब्जा करने की सीमा तय करते हैं कि यदि संस्कृति का नए विकसित उपाय पर कोई प्रभाव पड़ता है। दूसरा, अध्ययन 3 में डेटा परपोसिव नमूना जो नमूना त्रुटि पैदा कर सकता है के माध्यम से एकत्र किया गया था। एक और मुद्दा अध्ययन 4 में अपने प्रबंधकों द्वारा दो अनुयायियों के चयन के आसपास था जो सदस्यों को जो केवल सकारात्मक प्रतिक्रियाओं के निशान का चयन नेताओं में परिणाम सकता है। हालांकि, केवल सकारात्मक पूर्वाग्रह से बचने के लिए अध्ययन की पूर्ण स्वतंत्रता और आंकड़ों की गोपनीयता का वादा किया गया था।

संक्षेप में, उपरोक्त चर्चा पर्याप्त सैद्धांतिक साक्ष्य की ओर इंगित करती है कि जिम्मेदार नेतृत्व वास्तव में एक अनूठा और प्रासंगिक सिद्धांत है, और इसके आगे अनुभवजन्य जांच की बहुत जरूरत है। इस अध्ययन के माध्यम से जिम्मेदार नेतृत्व को अधिक मापने योग्य बनाना हमारा प्रयास है ताकि इसकी प्रशिक्षण की क्षमता और व्यावसायिक संगठनों में प्रयोज्यता में पहला कदम उठाया जाए।

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LIST OF ABBREVIATIONS

AL	:	Authentic leadership
ALRT	:	Relational transparency
BP	:	Balanced processing
CBS	:	Followers' citizenship behavior towards stakeholders
CFA	:	Confirmatory factor analysis
CFI	:	Comparative fit index
EFA	:	Exploratory factor analysis
EP	:	Followers' pride in organization
IJ	:	Followers' perceptions about leaders' interpersonal justice
IMP	:	Internalized moral perspective
IP	:	Followers' innovative performance
LFL	:	Laissez faire leadership
MC	:	Followers' moral courage
MM	:	Moral manager
MP	:	Moral person
MSC	:	Multi stakeholder consideration
OEV	:	Organizational ethical values
PCFA	:	Partial confirmatory factor analysis
PJ	:	Followers' perceptions about leaders' procedural justice
PL	:	Passive leadership
RMSEA	:	Root mean square error of approximation
RL	:	Responsible leadership
SA	:	Self awareness
SD	:	Standard Deviation

- SEM** : Structural equation modelling
- SGF** : Sustainable growth focus
- SL** : Servant leadership
- SRMR:** Standardized root mean square residual
- TIL** : Followers' trust in and identification with leader
- TLI** : Tucker Lewis Index